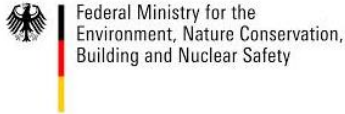


**Country Paper
Uganda**

Final Report

**Terminal Evaluation of the UN Environment Project
Ecosystem Based Adaptation for Mountain Ecosystems**



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**Evaluation Office of UN Environment
May 2017**

Preamble

This evaluation report has been produced as part of the Terminal Evaluation of the UN Environment project entitled Ecosystem Based Adaptation for Mountain Ecosystems, implemented in Nepal, Peru and Uganda. This report presents a country paper for the project component implemented in Uganda. Findings of this report are reflected in the main evaluation report of the EbA Mountain project. This report has been prepared by an independent consultant evaluator, Revocatus Twinomuhangi, and is a product of the Evaluation Office of UN Environment. The findings and conclusions expressed herein, do not necessarily reflect the views of Member States of the UN Environment Senior Management, or stakeholders consulted in the preparation of this report. This report, or portions thereof, may not be reproduced without explicit written reference to the source.

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Acronyms/Abbreviations

AAKNet	Africa Adaptation Knowledge Network
AF	Adaptation Fund
AKP	Adaptation Knowledge Platform for Asia
AMCEN	African Ministerial Conference on the Environment
APAN	Asia-Pacific Adaptation Network
BMUB	German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety
CBD	Convention on Biological Diversity
CC	Climate Change
CCA	Climate Change Adaptation
CC SP	Climate Change Sub-Programme
CDKN	Climate and Development Knowledge Network
CIGI	Centre for International Governance Innovations
DDPs	District Development Plan
DEPI	Ecosystem Division (Division of Environmental Policy Implementation (of UNEP))
DEWA	Division of Early Warning and Assessment
DLG	District Local Governments
DNRO	District Natural Resource Officer
DRC	Division of Regional Cooperation
DRR	Disaster Risk Reduction
DTIE	Division of Technology, Industry and Economics
EA	Expected Accomplishment
EbA	Ecosystem Based Adaptation
ECCO	Environment and Climate Change Outlook
EF	Environment Fund (UNEP)
GAN	Global Adaptation Network
GCF	Green Climate Fund
GEF	Global Environment Facility
GEO	Global Environment Outlook
GFS	Gravity Flow Scheme
ICI	International Climate Initiative (of the BMUB)
IUCN	International Union for Conservation of Nature
LAC	Latin America and the Caribbean
LDCF	Least Developed Countries Fund (LDCF)
LoA	Letter of Agreement
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MoFPED	Ministry of Finance, Planning and Economic Development
MoU	Memorandum of Understanding
MTE	Medium Term Evaluation
MTS	Medium Term Strategy (of UNEP)
MWE	Ministry of Water and Environment
NAPs	National Adaptation Plans
NAPA	National Adaptation Programme of Action
NDP	National Development Plan
NDP II	Second National Development Plan
NCCP	National Climate Change Policy
NCCPC	National Climate Change Policy Committee
NIE	National Implementing Entity
NPA	National Planning Authority

NPSC	National Project Steering Committee
PEI	Poverty Environment Initiative
PES	Payment for Ecosystem Services
PFD	Programme Framework Document
PIMS	Project Information Management System
PoW	Programme of Work
ProDoc	Project Document
PSC	Project Support Costs
QAS	Quality Assurance Section
RBM	Results-Based Management
REDD	Reducing Emissions from Deforestation and Forest Degradation
REGATTA	Regional Gateway for Technology Transfer and Climate Change Action (LAC region)
ROA	UNEP Regional Office for Africa
ROtI	Review of Outcomes to Impacts
SDGs	Sustainable Development Goals
SCCF	Special Climate Change Fund
TE	Terminal Evaluation
TOC	Theory of Change
ToRs	Terms of Reference
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme (UN Environment)
UNEP EOU	United Nations Environment Programme, Evaluation Office
UNFCCC	United Nations Framework Convention on Climate Change
VIA	Vulnerability and Impact Assessments (Climate Change)

Uganda Country Paper

1. Introduction

1. The United Nations Environment Programme (UNEP / UN Environment), in partnership with the United Nations Development Programme (UNDP) and the International Union for Conservation of Nature (IUCN) designed and implemented a project entitled “*Ecosystem Based Adaptation (EbA) for Mountain Ecosystems*” (hereafter called the EbA Mountain Project) in three countries (Nepal, Peru and Uganda) over a five-year period, 2010-2016. The EbA for Mountain Ecosystems project was implemented within the umbrella EbA project “*Support for building resilience of vulnerable ecosystems*” (Project 11.P3) during the UN Environment Programme of Work (PoW) for periods 2010 - 2011 and 2012 – 2013 and as a stand-alone project during the UN Environment PoW for the period 2014 - 2016.
2. This Country Paper for Uganda is a contribution towards the Terminal Evaluation of the EbA Mountain Project. The evaluation is led by the UN Environment Evaluation Office (EOU) and was conducted by an independent team of evaluators between May and October 2016. The Terminal evaluation was undertaken in line with the UN Environment Evaluation Policy¹ and the UN Environment Evaluation Manual² to assess project performance and to determine the outcomes and impacts (actual and potential) stemming from the project, including their sustainability.

1.1 Evaluation objectives and scope

3. This Country Paper for Uganda was prepared as part of the Terminal Evaluation of the EbA Mountain Project. The purpose of this Country Paper is to assess the EbA Mountain Project’s Uganda component against the key evaluation principles as presented in the evaluation Terms of Reference, namely to assess project performance (in terms of relevance, effectiveness and efficiency) and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. These findings will then feed into the Terminal Evaluation of the EbA Mountain Project. The analysis covers implementation of the EbA for Mountain Ecosystems project in Uganda from 2010-2016. Details of the evaluation objective and scope of the Terminal Evaluation of the EbA Mountain Project are available in the main evaluation report.
4. The Uganda Country Paper is structured to mirror the main evaluation report and builds on the numerous UN Environment staff and other stakeholder interviews, as well as other evidence gathered from the evaluation mission in Uganda and field visits to pilot sites in the Mt. Elgon region: Bulambuli, Kapchorwa, Kween and Sironko Districts.³ The Country Paper presents the evaluation findings, conclusions, lessons learned, and recommendations relative to the EbA Mountain Project implementation in Uganda. Included in this country analysis is a closer examination of the performance of the EbA Mountain Project components, their underlying assumptions, impact drivers and other factors that affect the performance of the project in Uganda. This is explained further in the reconstructed Theory of Change (TOC) section 2.7.
5. The evaluation at country level was guided by a set of **key questions**, based on the project’s intended objectives, and outcomes:
 - i. Has Uganda incorporated EbA principles on mountain ecosystem into national planning and development policy processes (including actions focused on Mountain Ecosystems to enhance

¹<http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

²<http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

³ Alongside visits to UNEP HQ in Nairobi, Kenya, in Uganda, a country mission was conducted in Kampala for discussions with project partners – UNDP, IUCN and the Ministry of Water and Environment. Field visits were conducted in Bulambiuli and Sironko, where UNDP implemented the project and in Kapchorwa and Keen Districts where IUCN implemented the project.

- resilience) as a result of the project? Have the EbA measures led to improved delivery of ecosystem services?
- ii. Has Uganda incorporated EbA cost-benefit analysis principles based on evidence from interventions to inform public policy, finance processes and economic sectors as a result of the project?
 - iii. Has the project strengthen Uganda's capacity for promoting EbA options and to reduce the vulnerability of communities to climate change impacts with particular emphasis on the Mount Elgon ecosystem?
 - iv. To what degree was the project successful in supporting the integration of EbA principles into good practices and recommendations for informing adaptation policies, development and financial models and plans relevant for up-scaling?
 - v. To what extent has the project set the bases for scaling up the EbA approach at national, regional and global level?
 - vi. To what extent was the project able to influence international discussions on EbA?
 - vii. How did UN Environment, UNDP and IUCN as well as the national partner governments assess the partnership and cooperation of the three implementing entities? What lessons can be learned for future collaborative projects?

1.2 Country paper approach and methodology

6. In accordance with the evaluation TOR, the country evaluation approach followed a participatory and evidence based approach, with a focus on results, learning-by-doing, and collaboration. The methodology deployed for the country paper was derived from, and follows the full EbA Mountain Project evaluation methodology that involved an inception phase, country missions and data collection phase, and analysis and the reporting phase.
7. Quantitative outputs were assessed against their quality and effectiveness, and their capacity to drive and sustain changes at higher level of objectives. That was possible through triangulation of information (reports, etc.) with the field visits and personal interviews with stakeholders, particularly those who have benefited from the project activities. Triangulation was also used in assessing other relevant components of the project, i.e. awareness and stakeholder participation, as well as learning and knowledge management. Whenever possible and appropriate, meetings involving different stakeholders were held and this enabled capturing a wide range of opinions and concerns related to the EbA Mountain Project Uganda component.
8. The main methods and tools that the evaluation team used in Uganda included the following:
 - i. Desk review: Key project documentation, reports produced by the project, and information from relevant websites, among others were reviewed.
 - ii. Interviews: Face to face/telephone/Skype interviews with Project Management, Fund Management Officer, executing partners and stakeholders.
 - iii. Country visit: Visit to the project component in Uganda and meeting with country UNDP and IUCN officials, Ministry of Water and Environment (MWE) and Climate Change Department (CCD) officials of the Government of Uganda (GoU) Local Government officials, as well as NGO, and community stakeholders (See Annex 2-).
9. In addition to reflecting this overarching methodology, the Country Paper also applied a Theory of Change (TOC) approach (explained further in Section 2.7). The TOC is used in this evaluation as a tool to delineate the causal logic of the EbA Mountain Project outputs, outcomes and impacts at the country level.
10. The evaluation team faced some data limitations in the process of developing the Uganda Country Paper. The project was evaluated after its operations had closed, when the PMU had closed resulting in a number of project staff being unavailable for interviews and discussions. In addition, the evaluation team could not obtain adequate financial information when required.

2. Project Background

2.1. Context

11. Uganda is a Low-Income Country in which agriculture provides employment for majority of its population (68%) and most of its food requirements - about 84% of Uganda's population is food secure with the Karamoja semi-arid regions regarded as food insecure⁴. In spite of its recent growth spurt, Uganda continues to be one of the poorest nations in the world, with about 20 percent of the population still living in poverty, below USD 1.25 a day⁵. The heavy dependence on rain-fed agriculture and natural resources means that livelihoods of Uganda's population are particularly vulnerable to climate variability and change. Ecosystem degradation is highly visible and is worsened by climate change, and this compromises the ability of ecosystems to deliver ecosystem services. Climate change is exacerbated by problems of food insecurity, poverty, weak institutions and a rapidly growing population.
12. Not only is Uganda one of the world's most vulnerable countries to climate change but it is also among the least prepared to adapt to the impacts of climate change.⁶ Across Uganda, climate is already changing with erratic weather patterns (especially floods and droughts) being observed in increased frequency. These climatic trends are likely to intensify. For example, average temperatures will likely rise by 1-3°C by 2050 and rainfall patterns will be more erratic and unpredictable⁷ and these will have far-reaching consequences on the intensity and occurrences of hazards and disasters especially in Uganda's mountain areas.
13. The observed temperatures between 1900 and 2009 shows an increase in average annual temperature of between 0.8°C - 1.5°C, with typical rates of warming around 0.2°C per decade but the period 1960 - 2008 has been progressively warmer. The country's National Adaptation Programmes of Action (NAPA) indicates that Uganda experienced 10 droughts in a one decade alone - 1991 and 2000. At the same time, rainfall seasons were observed to be increasingly variable. Projected annual rainfall totals are expected to differ little from what is presently experienced, with projected changes in a range of less than, plus or minus 10% from present rainfall. However, less rainfall is expected to occur over most of Uganda, with slightly wetter conditions over the west and north-west. What is significant on a seasonal time scale is the projected increase in seasonal rainfall for the December, January and February (DJF) season (up to 100% from present), which is indicative of a longer wet season that extends from September, October, and November (SON) towards DJF⁸.
14. Certain ecosystems in Uganda are particularly vulnerable: the drylands of Karamoja, the river and wetland ecosystems (e.g. Lakes Victoria, Albert & Edward), and the mountain ranges of the Rwenzoris and Mount Elgon. Uganda's mountain regions are important sources of water, energy, minerals, forest and agricultural products, and areas of recreation. They are storehouses of biological diversity, home to endangered species and an essential part of the global ecosystem. Mountains are also a key element of the hydrological cycle, being the source of many of the world's major river systems. Mt. Elgon is a transboundary ecosystem that serves as a water tower for Lake Victoria, Lake Turkana, and Lake Kyoga. Therefore, Mt. Elgon is an important water catchment. Mountain ecosystems are important for climate change adaptation because their integral role in hydrological cycles. This makes mountain ecosystems an important area of focus for EbA.
15. In Mt. Elgon region, increasing pressure on mountain resources and ecosystems has already resulted in increased soil erosion, runoff, landslides and general land degradation. The Mt. Elgon region is densely

⁴ Integrated Food Security Phase Classification Analysis for Uganda, November 2013

⁵ Republic of Uganda, 2014. Poverty Status Report 2014.

⁶ Centre for International Governance Innovations - CIGI, 2007. International Risk Report. CIGI

⁷ Ministry of Water and Environment, 2014 Regional-scale Climate Change Projections of Annual, Seasonal and Monthly Near-Surface Temperatures and Rainfall in Uganda. A Report as part of the outputs of the Economic Assessment of the Impacts of Climate Change in Uganda. The study was supported by CDKN.

⁸ MWE, 2015. Economic Assessment of the Impacts of Climate Change in Uganda – Main report. The study was supported by the Climate and Development Knowledge Network (CDKN).

populated (Districts like Sironko have densities of up to 600 persons per square km⁹) and land holdings are very small. The majority of the population is engaged in agriculture, which is the main economic activity. Accordingly, the available land is subjected to continuous and intensive cultivation, with little to no remnants of natural vegetation in the lower and mid highland areas. Natural vegetation is mainly restricted to gazetted areas at higher elevations like the Mt. Elgon Forest National Park, as well as the Chepkitale and Namatale Central Forest Reserves (CFR). However, these forest reserves are also being threatened with degradation and encroachment. Therefore, the ecosystem in the region is heavily degraded.

16. Being a mountains area, with steep slopes that are heavily cultivated and degraded, and with the high rainfall, the region is also very susceptible to landslides. Landslides significantly impact on the lives of affected communities and compromise their main sources of livelihoods. Flooding is also common in the region, especially in the low-lying areas and is catalyzed by silting of rivers, reclamation of swamps and blockage of drainage channels. Apart from destroying infrastructure, gardens, homes, and other livelihood assets, the impacts of flooding have adverse effects in health and agricultural sectors.
17. Future climate change and its impacts, and extreme weather events will exacerbate ecosystem degradation and increase vulnerabilities and undermine delivery of ecosystems services and livelihood improvement. This creates an urgent need to restore ecosystem health as a way of reducing vulnerability and increasing resilience of the mountain ecosystem and communities to climate change. The region is characterised by climate related hazards such as strong winds, prolonged droughts, unpredictable rainfall patterns, floods, landslides and soil erosion, crop pests and diseases, famine, and human diseases.
18. Uganda lacks landscape level frameworks for internalizing ecosystem resilience to climate change in mountain ecosystems. In addition, coherent land use and water resource monitoring and planning systems are also limited. The few, if any, demonstrated experiences in EbA approaches at the landscape level necessitated strengthening capacity for policy and decision makers as well as communities to apply EbA to enable ecosystems to continually provide critical services while at the same time increasing the resilience of communities and their livelihoods to climate change.

2.2 Project objectives and components

2.2.1 Objectives

19. The primary goal of the EbA Mountain Project was “to strengthen the capacity of countries that 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”.

2.2.2 Project Components

20. The project included 5 components: (1) Development of methodologies and tools for EbA decision making in mountain ecosystems; (2) Application of methodologies and tools at ecosystem level; (3) Implementation of EbA pilots at ecosystem level; (4) Development of business case for EbA at the national level; and (5) Development of a learning and knowledge management framework. Component 5 was added at the global level (this was not done at country level) when the project revised in 2015. Thus, although all the five components were implemented in Uganda, component 5 does not feature in country project reporting. At project design, in 2010, outputs on communication and learning were designed under component 4, but even when the project was revised in 2015, country reporting on these outputs remained under component 4 (see paragraphs 24-25).

⁹ Uganda Bureau of Statistics (UBOS), 2016. National Population and Housing Census 2014, Main Report.

21. **Component 1: Development of methodologies and tools for EbA decision making in target districts in Mt. Elgon ecosystem.** This component was meant to provide support to develop EbA methodology, tools, and options indicators for monitoring and availing them to decision makers in project countries, including Uganda. The support included compilation of good practice EbA measures, operationalising VIA methodology adapted to include ecosystem resilience, developing mapping and scenario methodology, and developing EbA monitoring tools for EbA management and project success.
22. **Component 2: Application of methodologies and tools at ecosystem level in target districts in Mt. Elgon ecosystem.** Through this component, support was meant to ensure that the developed EbA methodologies and tools are applied at ecosystem level. This was to be achieved through: conducting VIA at the mountain ecosystem level engaging the relevant stakeholders taking into consideration the different climate scenarios; prioritizing EbA options through economic assessment; developing maps for spatial planning for EbA, incorporating stakeholder priorities to the spatial analysis to develop a land use plan, designing a specific implementation and action plan for EbA, and development of monitoring guidelines and baselines.
23. **Component 3: Implementation of EbA pilots in Mt. Elgon ecosystem.** This component was meant to support piloting and demonstration of EbA practices can build resilience in mountain areas. It was meant to mobilise and convene stakeholders, review existing territorial plans and identify entry points for EbA approaches and assess the financial costs and sources. It was also meant to conduct targeted training for relevant government and technical institutions, capturing learning from pilot projects, implementing on EbA ground actions like restoration of degraded ecosystems (river basins, forest, grasslands and wetlands) to ensure water provision and soil stabilization, as well as promoting conservation farming and sustainable livestock husbandry to reduce pressures on ecosystems and enhancing sustainable water use and management.
24. **Component 4: Development of business case for EbA at the national level.** This component was meant to support defining of cost co-efficients for EbA, conducting economic assessments at national sectoral level for EbA, translation of the economic assessments into policy papers that guide sector strategies and allocation of resources. It was also meant for building responsive policy, legislative and institutional frameworks to support linking ecosystems and their functions to economic growth. At project design, this component included outputs on communication and knowledge management, but when the global project was revised, the outputs were removed from component 4 and put under component 5. To that end, in this this evaluation, the outputs are assessed under component 5.
25. **Component 5: Development of a learning and knowledge management framework.** This component mainly functioned at the overall EbA Mountain Project-level, but had some specific activities in Uganda. As mentioned in paragraphs 20 and 24, this component was designed in 2015 when the project was revised and incorporated some outputs (on communication and learning) which were under component 4. This component was meant to support learning across the other components and efficient and systematic documentation and dissemination of knowledge products and lessons learned to all intended target groups, including fostering South-South and global collaboration. It was specifically meant for developing and maintaining information systems (web-portal and a-communique), convening regional climate change forum through Global Adaptation Network (GAN), organization of sub-regional and thematic workshops (facilitate exchange), supporting scientific assessments and synthesis of research such as VIAs, supporting review of policy, strategy, plans, institutional setup developing and maintaining good practice database, developing training modules such as those targeted at Decision Support Framework (DSF) that are applicable to EbA, and organizing training workshops particularly focused on EbA training and capacity building at various levels. The support was also meant to organize exchange visits, including supporting developing country participants in Global events, the Ninth International Conference on Community Based Adaptation (CBA9) in 2015 in Kenya, as well as reviewing, identifying and elaborating policy options, and providing advisory support to actors on adaptation integration and convening targeted science-policy dialogues.

2.3 Target areas and groups

26. The EbA Mountain Project in Uganda was implemented at national, local and at a community-level. The project promoted nature based adaptation solutions as an alternative to traditional adaptation. The aim was to strengthen national and local capacities to implement EbA practices in order to build the resilience of ecosystems and reduce the vulnerability of communities in Mt. Elgon region and reduce the impact of climate change on their livelihoods.
27. At the national level, the project targeted the Government of Uganda with the Ministry of Water and Environment (MWE) as the lead. In the MWE's Directorate of Environmental Affairs (DEA) was the main target but the project also targeted the Climate Change Department, which is responsible for climate change policy and planning as well as coordinating and supervising climate change response in the country. The other Ministries targeted were; Ministry of Health (MoH), Ministry of Finance, Planning and Economic Development (MoFPED), Ministry of Justice and Constitutional Affairs (MoJCA), Ministry of Agriculture, Animal Industry and Fisheries (MAAIF), Ministry of Local Government (MoLG), Ministry of Energy and Mineral Development (MEMD), National Planning Authority (NPA) and Uganda National Meteorological Authority (UNMA) who all formed the National Steering committee. The technical officers in the ministries and agencies engaged in the project were exposed to EbA practices and the benefits of their applications, and were also able to share knowledge between each other and with global partners during study tours and workshops.
28. At the sub-national level, the project intervention area was the Mt. Elgon region. This region had been identified during the NAPA preparation process as being among the most vulnerable regions in Uganda to climate change. The pilot sites were in the target districts of Bulambuli, Kapchorwa, Kween and Sironko. In the pilot sites, the target groups included the District Local Governments (DLGs) of Bulambuli, Kapchorwa, Kween and Sironko Districts, that are responsible for local level development policy, planning and practice. At the district and sub-county level, the direct beneficiaries were technical staff engaged in the project and those that were trained by the project on EbA application and benefits.
29. The communities and households, who are the most vulnerable to the impacts of climate change, were the key beneficiaries of the project. The communities and households were to benefit from the EbA knowledge and practices generated through the project, as well as from improved generation of ecosystem services and livelihood improvement as a result of the EbA Mountain Project. Farmer groups and associations were also key beneficiaries of the project, and were to play a major role in pilot site identification, and in piloting and implementation of EbA options at ecosystem level.

2.4 Milestones in project implementation in Uganda

30. Table 1 below presents the milestones and key dates in project design and implementation:

Milestones	Completion dates
UN Environment Project Approval Date	24 June 2010
Actual Start Date (Global)	24 June 2010
Actual start date (in Uganda)	1 April 2012
Intended Completion Date	31 December 2014
Planned Duration	48 months
Project Inception Workshop (in Uganda)	22 November 2011
First PSC Meeting	10 September 2012
Last PSC Meeting (before Terminal Evaluation)	7 November 2015
Technical Completion Date	30 April 2016
Actual Completion Date	30 June 2016
Date of financial closure	30 June 2016
Terminal Evaluation completion	December 2016

2.5 Implementation arrangements

31. Project funding was provided by Germany's Federal Ministry for the Environment, Nature Conservation, Building and Nuclear Safety (BMUB). In Uganda, the lead implementer of the project was the Ministry of Water and Environment (MWE), Directorate of Environmental Affairs (DEA) which worked in close collaboration with UNDP and IUCN and the Local Governments of Bulambuli, Kapchorwa, Kween and Sironko Districts all of which were overseen by the UN Environment Regional Office for Africa (ROA).
32. UN Environment's Ecosystems Division (previously the Division of Environmental Policy Implementation (DEPI)) and in particular the Climate Change Adaptation Unit (CCAU) was responsible for overseeing and monitoring the project implementation process, including technical backstopping. DEPI engaged ROA to lead implementation of UN Environment led components (1, 2 and 5) in Uganda. UN Environment was also expected to ensure timelines, quality and fiduciary standards in project delivery. UN Environment's Project Coordinator was responsible for overall project supervision, backstopping and oversight.
33. UNDP country office, as resident agency within the UN system, coordinated the implementation of project activities with backstopping and oversight from the UN Environment Regional Office for Africa. This was arrived at on the understanding that UNDP has a comparative advantage, given that they can easily draw from experiences and lessons from different parts of the world on similar initiatives.
34. A Programme/Project Management Unit (PMU) was put in place by UNDP to coordinate the project activities. The PMU was headed by a full time National Project Coordinator. However, because of the country driven approach of this project, implementation was led by the MWE whose Director of Environmental Affairs acted as the Project Manager/Director where the PMU was to be based.
35. Implementation of the various project components was shared among the project partners. UN Environment and its collaborating center, the World Conservation Monitoring Center (WCMC) based in Cambridge UK, provided leadership for implementation of Components 1 and 2, with support from partners. ROA executed UN Environment's led components in Uganda, with UNDP providing overall coordination. Both UNDP and IUCN led the implementation of the Component 3 but in different Districts. UNDP implemented Component 3 in Bulambuli and Sironko Districts, and IUCN implemented the Component in Kapchorwa and Kween Districts, but UNDP provided overall coordination role at the country level. UNDP also led the implementation of Component 4. Each Project Partner (UN Environment, UNDP and IUCN) developed their own workplans, based upon a joint workplan which had to be approved by the National Project Steering Committee.
36. Given the global nature of the EbA Mountain project (implemented in Nepal, Peru and Uganda), it had a global Project Steering Committee. At the national level, Uganda had a National Project Steering Committee (NPSC), also referred to as Project Board, which provided overall supervision and guidance to project implementation. The Committee was multi-sectoral with representatives from the main project partners in Uganda (MWE, UN Environment, UNDP, IUCN) and other project implementing partners, including Ministry of Agriculture, Animal Industry and Fisheries (MAAIF), Ministry of Lands, Housing and Urban Development (MoLHUD), Ministry of Energy and Mineral Development (MEMD), Ministry of Justice and Constitutional Affairs, Ministry of Health, National Planning Authority (NPA), Uganda National Meteorological Authority (UNMA), Ministry of Finance, Planning and Economic Development (MoFPED), and Districts they were represented at the project board which provided overall guidance to project implementation.
37. At the start of the project, it was agreed by the implementing partners and GoU that the National Climate Change Policy Committee (NCCPC) be adopted as the EbA National Project Steering Committee in Uganda. Therefore, the members of the NCCPC constituted the NPSC. The NPSC met quarterly to review and approve project annual workplans and reports. The project also put in place a Project Technical Committee which was also multi-sectoral and met quarterly to review and approve quarterly workplans and reports, supervise project activities and visit/monitor project sites.

38. Each project partner (UN Environment, UNDP and IUCN) appointed a project focal person to handle all matters relating to the project within the respective agency. At the district level, District Natural Resource Officers (DNROs) acted as the project focal persons. Both UNDP and IUCN had project officers to coordinate project activities in respective districts i.e. IUCN appointed a Project Officer for the districts of Kapchorwa and Kween, based at the IUCN offices in Mbale; and UNDP appointed one for the districts of Bulambuli and Sironko, also based in Mbale. The National Project Coordinator and Project Officers were each facilitated with a vehicle, office furniture, communication and IT equipment.
39. Project activities were implemented jointly by UNDP/IUCN and the District Local Governments, with the direct involvement of District officials, such as, District Natural Resource Officers (DNROs), District Production Officers (DPOs), District Water Officers and Community Development Officers (CDOs). At the lower local government level (Sub-County), project implementation involved sub-county staff like the Sub-County Chiefs and CDOs, Parish Chiefs and Local Level (LCI) Councils.
40. Effective partnership arrangements were formalized, through a Letter of Agreement (LoA) between MWE and UNDP, and MoUs and contracts, between UNDP/IUCN on the one hand, and the Districts, sub-counties and suppliers to ensure effective project execution. Several NGOs and CBOs were also involved in project implementation.

2.6 Project Financing in Uganda

41. The Ugandan component of the EbA Mountain Project had a total budget of USD 2,506,149. From this, the UNDP budget allocation was USD 1,731,733 while the budget for IUCN was USD 624,416. In kind contribution for project implementation was from GoU (USD 100,000), and from Local Communities (USD 50,000)¹⁰. UN Environment disbursed funds directly to the implementing partners (UNDP and IUCN). In addition, UN Environment remitted funding for its activities (under Components 1 and 2) to UNDP.
42. IUCN maintained a project account in Mbale from which funds were remitted for project activities quarterly. Funds were deposited to the account upon a satisfactory adherence to accountability requirements based on financial reports to IUCN and requisitions based on approved work plans and budget. On the other hand, UNDP did not have a bank account in the Mt. Elgon region and project funding requests were made directly to the UNDP Country Office based on approved work plans and budgets.

2.7 Reconstructed Theory of Change for the Project

43. Progress made towards achievement of EbA Mountain Project objectives and impacts in Uganda was examined using the Theory of Change (TOC) approach and Review of Outcomes to Impacts (ROtI) analysis. At project design, the TOC was not part of the project. However, the revised Project Document (Project Document of the second phase) provides a TOC, but it does not cover the entire project duration. Therefore, for this evaluation, the TOC was reconstructed (see Figure 1) with a certain degree of interpretation by the evaluators. The reconstructed TOC diagram depicts the causal pathways from outputs to outcomes through intermediate states towards impact.
44. **Stage 1:** Referring to the “objectives” statement as defined in the Project Document, the goal of the EbA Mountain Project was “to strengthen the capacity of countries that are particularly vulnerable to climate change impacts to build ecosystem resilience for promoting EbA options and to reduce the vulnerability of

¹⁰ Under IUCN (Kapachorwa and Kween districts), a demonstration site of up to 2 acres was offered where communities could learn from. In the construction of the GFS community labour was not paid for, it came in on a voluntary basis together with all the district technical staff. The Districts of Sironko and Bulambuli provided land for the construction of the Climate Change Adaptation Learning Centers. During the implementation of the PES and the GFS in Sironko and Bulambuli, communities volunteered their labour. At the national level, the Project Director together with all his staff worked tirelessly for the project as government contribution. The NCCPC members who were also part of the project provided their time for M & E activities as Government contribution.

communities with particular emphasis on mountain ecosystems". To that end, we consider the main Project Outcome¹¹ as: "countries vulnerable to climate change impact have strengthened capacity to build ecosystem resilience through the promotion of EbA focused on mountain ecosystems".

45. Project implementation in Uganda was geared towards building and facilitating the capacity of national and local government institutions and communities to engage in adaptive ecosystem management. Achievement of the project outcome would contribute to increased mountain ecosystem resilience and reduced vulnerability of mountain region communities and their livelihoods to the negative impacts of climate change. This is in line with the long-term goal of the EbA "umbrella project" (11-P3) from which this project is derived. Thus, the evaluation considers the ultimate impact of the project in Uganda as "increased ecosystem resilience and reduced vulnerability of communities in Mt. Elgon ecosystems to climate change".
46. **Stage 2:** The broader outcome defined in the logical framework of the EbA Mountain Project is clear and can be verified by keeping track of the: (i) EbA cost-benefit plans in place at country level and are being used to influence public policy and finance processes (ii) number of national level consultations on the development of EbA cost-benefit plans, (iii) inter-sectoral meetings held giving recommendations on inclusion of EbA into development planning processes and overall adaptation strategy, and (iv) integration of EbA, including cost-benefit analysis principles, into National Adaptation and other adaptation strategic documents.
47. The EbA Mountain Project logical framework (and now TOC) analysis is based on the premise that: strengthened capacity in EbA approaches and principles at country level (Uganda) will result in increased mountain ecosystem resilience and reduced vulnerability of communities in mountain regions (Mt. Elgon) to climate change impacts.
48. The first output (Output 1.1 in Figure 1) refers to the assistance given by the project to develop EbA methodology, tools, and options indicators for monitoring and availing them to decision makers in project countries. The output was to be achieved through production of a handbook of EbA measures for mountain ecosystems providing a menu of options; mainstreaming resilience into VIA methodologies; outlining data needs, scenarios and steps for mapping; and, identifying indicators for in-country monitoring (monitoring protocol).
49. The second output (Output 2.1 in Figure 1) refers to the support given by the project for the application of EbA strategy and action plans at ecosystem level. This output was to be achieved by conducting vulnerability and impact assessments at country level; economic assessment of EbA options for each country (Uganda); spatial mapping of EbA options for the selected ecosystem; preparation of EbA proofed land use plans; and implementation of action plans.
50. The third set of outputs (Outputs 3.1 and 3.2 in Figure 1) refers to the support given by the project to pilot EbA at ecosystem level. Under this set of outputs, the project set to alleviate technical and institutional capacity deficiencies for incorporating EbA in national planning and policy processes, and implementing/piloting EbA strategies and action plans being developed in countries. This would be achieved by supporting local communities, CSOs, and other partners at the project site to implement EbA.
51. The fourth output (Output 4.1 in Figure 1) is the support given by the Project for developing a Business Case for EbA at the national level. The focus was to build the capacity of target countries to utilise EbA cost-benefit analysis principles to inform public policy, planning, finance process and investment in economic sectors. This would be catalytic to incorporation of not only EbA but climate change adaptation in their national development processes and to build capacity that can drive sustainability. Under this output focus was on developing guidance notes and cost-coefficients and putting in place mechanisms for sharing them with relevant governments at national level.
52. The fifth output (Output 5.1 in Figure 1) refers to the assistance given by the project to capture and disseminate knowledge products and lessons learned. Under this output, the project's assistance focused on

¹¹ Outcomes: the short to medium term behavioural or systemic effects that the project contributes towards, and that are designed to help achieve the project's impacts ("the ROTI Handbook", GEF, 2009)

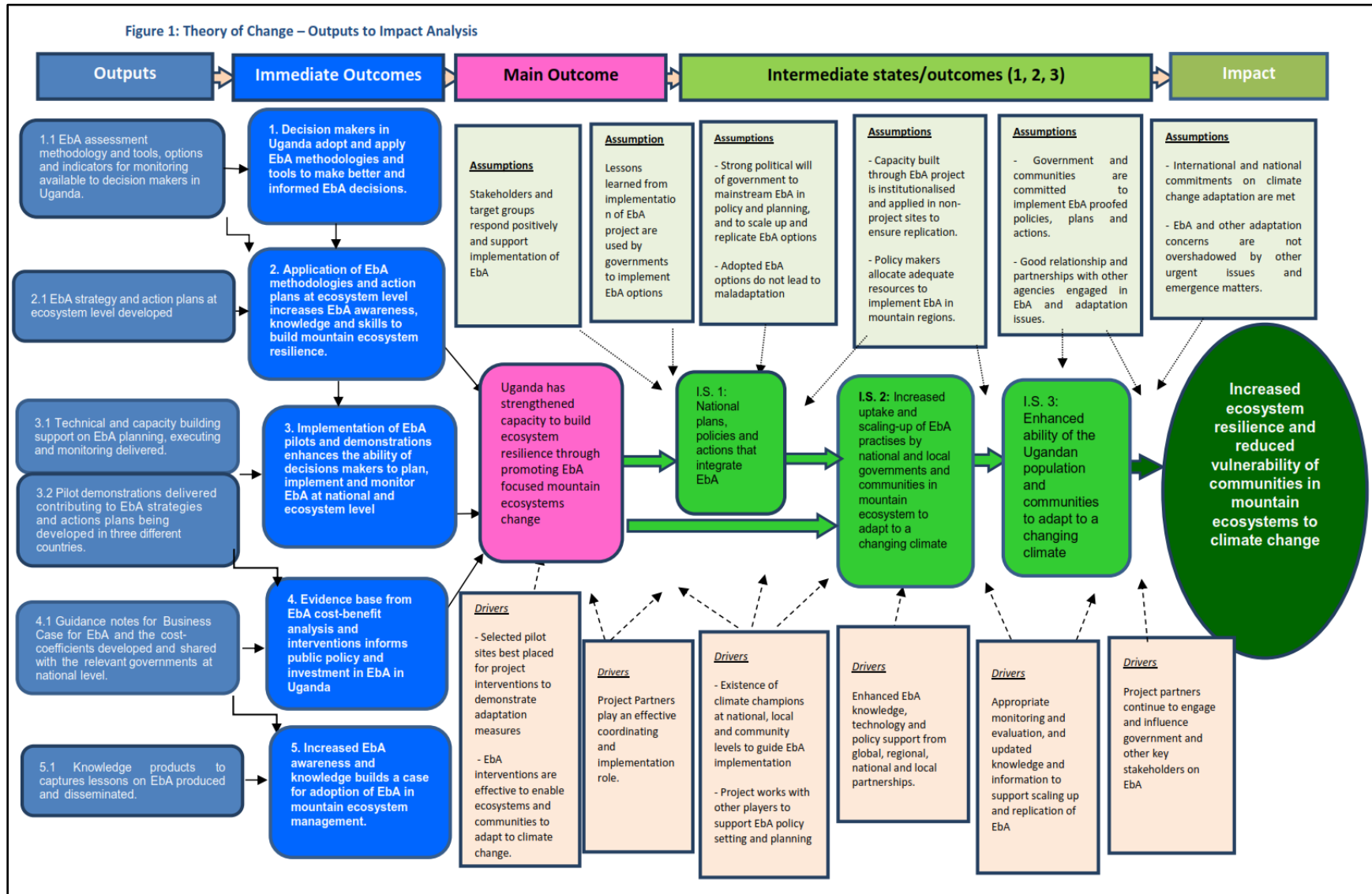
putting in place mechanisms for knowledge management and document learning from the project ensuring that the project's knowledge products are shared nationally and internationally through various platforms such as electronic media, published papers, joint training workshops and conferences. This output was achieved through developing and maintaining information systems; convening regional climate change forum through GAN; organization workshops and visits to facilitate exchange, supporting review of policy, strategy, plans, institutional setup; developing and maintaining good practice database; developing training modules and conducting trainings; providing advisory support to actors on adaption integration; and convening targeted science-policy dialogues.

53. The project's immediate outcomes are interlinked and synergetic. For example, immediate outcome 1 (Decision makers in Uganda adopt and apply EbA methodologies and tools to make better and informed EbA decisions) is a prerequisite to achievement of immediate outcome 2: EbA methodologies and tools applied at ecosystem level. Further, immediate outcome 3 (enhanced ability of decision makers to plan, implement and monitor EbA at national and ecosystem level) builds on immediate outcomes 1 and 2. The results from EbA pilots and demonstrations would contribute to the development of a business case for EbA and evidence base from EbA cost-benefit analysis would then inform public policy and investment in EbA, thus outcomes 3 and 4 (evidence base informs public policy and investment) are also linked. Finally, outcomes 1-4 are linked to outcome 5 (increased EbA awareness and knowledge builds a case for adoption of EbA) All these were intended to strengthen the capacity of Uganda to apply EbA options to build ecosystem resilience and reduce the vulnerability of mountain communities to climate change.
54. Emerging from the Project Document, the **key-drivers** for the delivery of the several goods and services (Outputs) are:
 - i. Project Partners (UN Environment, UNDP, IUCN and MWE) play an effective coordination and implementation role.
 - ii. Selected pilot sites are best placed for project interventions to demonstrate EbA measures.
55. Derived from the five components each with Outputs, five immediate Outcomes would be achieved; provided that the MWE will actively assume a leading role and that the main national and local stakeholders will assume their specific responsibilities in the process (institutional uptake).
56. However, the achievement of the five immediate Outcomes identified by the EbA Mountain Project does not automatically imply that the main Project Outcome (countries vulnerable to climate change impact have strengthened capacity to build ecosystem resilience through the promotion of EbA focused on mountain ecosystems) is achieved. An effective coordination has to be in place in order to assemble and harmonically implement all the functions and instruments included in the Project Document and its Logical Framework. UN Environment, UNDP and IUCN have to fully play their coordination, implementation and promotion role. The national implementation/coordinating agency in Uganda (MWE) had to play a coordination role, while the institutional uptake by the main stakeholders had to be maintained and strengthened. The project would then be fully functional and achieve outputs and outcomes under the assumptions that:
 - i. EbA interventions at ecosystem level are effective to enable ecosystems and communities to adapt to the impacts of climate change.
 - ii. Stakeholders and target groups respond positively, and are committed to implement EbA interventions and provide the necessary support.
57. **Stage 3:** The assessment of the TOC led to the identification of the impact pathways and specification of the intermediate states as summarized below:
58. The impact that this project intended to contribute to is "increased ecosystem resilience and reduced vulnerability of communities in mountain ecosystems to climate change". The pathway from the Project main outcome (countries vulnerable to climate change impact have strengthened capacity to build ecosystem resilience through the promotion of EbA focused on mountain ecosystems) to the intended Impact is not a straight forward process: Intermediate states - the transitional conditions between the project's immediate outcomes and the intended impact - are necessary conditions for the achievement of the intended impact.

We have identified the Intermediate States that have to be fulfilled (as shown in Figure 3), which presents our understanding of the causal logic and of the pathway from Outcome to Impact.

59. We identified three main Intermediate States (I.S.), that would lead to the achievement of the intended impacts. Assuming that the main outcome is achieved and maintained, under the **assumptions** that: Lessons learned from the EbA project are used by governments to implement EbA; and, Strong political will of government to mainstream EbA in policy and planning, the process will lead to “National development plans and climate change policies and actions that integrate EbA” (**I.S. 1**). The **key impact drivers** (external factors) expected to contribute to realisation of this I.S. 1 are: Partners play their roles; existence of EbA champions at national, local and community levels; and, project works with other players to support EbA policy setting and planning.
60. Our understanding is that the integration of EbA in national development plans and climate change policies, will lead to: "Increased uptake and scaling-up of EbA practises by governments and communities in mountain ecosystem to adapt to a changing climate" (**I.S. 2**), on **assumption** that: Adopted EbA and other adaptation actions do not lead to maladaptation; EbA capacity built through the project is institutionalised and applied in non-project sites to ensure replication; There is strong political will at national level to scale-up and replicate EbA tools and methodologies; Key stakeholders, target groups and communities in the mountain areas are supportive, and adopt EbA interventions, and; policy makers allocate adequate resources to implement EbA in mountain ecosystems. The main **impact drivers** at this stage are: effective institutions and platforms to guide implementation of EbA; EbA knowledge, technology and policy support from global, regional, national and local partnerships.
61. Increased uptake and scaling up of EbA by government and communities in mountain ecosystem to adapt to a changing climate will lead to: “Enhanced ability of the population and communities in mountain regions and countries to adapt to a changing climate” (**I.S. 3**). The **drivers** at this level are: existence of EbA champions at local and national level to guide EbA implementation; and, enhanced EbA knowledge, technology and policy support from global, regional, national and local partnerships. The **assumptions** are that: governments and communities are committed to implement EbA proofed plans, policies and actions; adopted EbA and other adaptation actions do not lead to maladaptation; and, good relationship and partnerships with other agencies dealing in EbA and climate change adaptation issues.
62. Finally, under the **assumptions** that: International and national commitments on climate change adaptation are met. EbA and other adaptation concerns are not overshadowed by other urgent issues and emergency matters in countries; the Project Impact “Increased ecosystem resilience and reduced vulnerability of communities in mountain ecosystems to climate change” can be achieved. This will be **driven** by: project partners continue to engage and influence government and other key stakeholders on EbA; and, appropriate monitoring and evaluation and updated knowledge and information to support replication and up-scaling of EbA.

Figure 1: Theory of Change – Outputs to Impact Analysis



3. Evaluation Findings

3.1 Strategic Relevance

1.2.1 Relevance to national development and environmental needs and priorities

63. The EbA Mountain project addresses local development and environmental needs of the Mt. Elgon region, that is highly vulnerable to the impacts of climate change. However, the capacity to increase ecosystem and community resilience at the local levels is limited. Districts and local people have limited knowledge of climate change risks, adaptation needs and options, and more especially application of EbA to build resilience. Uganda lacks adequate adaptive capacity to reduce climate change vulnerabilities. Particularly lacking is *capacity to undertake vulnerability and impact assessments on vulnerable ecosystems and developing appropriate response measures*. Thus, the EbA project was relevant to Uganda's climate change needs and priorities for strengthened adaptive capacity. Implementation of EbA practices is crucial to developing appropriate and effective capacity to build resilience and reduce vulnerability while at the same time promoting sustainable development in the country.
64. By building the resilience of ecosystems and communities to climate change, the project's activities contributed to Uganda's attainment of MDG 1 and 7 (eradicating poverty and ensure environmental sustainability). Upon the expiry of the MDGs in 2015, implementation of the project now directly contributes to Uganda's achievement of the Sustainable Development Goals (SDGs), specifically: SDG13 - taking urgent action to combat climate change and its impacts; SDG15 protecting, restoring and promoting sustainable use of terrestrial ecosystems, sustainable management of forests, combating desertification, and halting and reversing land degradation and halting biodiversity loss ; SDG1 – ending poverty in all its forms everywhere; and SDG 2 – ending hunger, achieving food security and nutrition, and promoting sustainable agriculture.
65. Moreover, the project addresses NAPA priorities 1,2 and 3: land and land use, farm forestry and water resources respectively and 2: Integrated Water Resource Management and Information Systems for early warning and rapid intervention respectively.
66. The project is well aligned to Uganda's development strategies and priorities. It fully reflects the challenges of economic development and poverty reduction embedded in national development vision, the Uganda Vision 2040¹², the first National Development Plan (NDP)¹³ and second NDP¹⁴, and the various sectoral policies and strategies (including *inter alia*: water and environment, and agriculture sectors).
67. The Uganda Vision 2040 document recognises climate change as a major development challenge and aspires to achieve a green economy and clean environment, in the context of sustainable development and poverty eradication. The first NDP recognised the need to address climate change. The NDP II not integrates climate change response actions but EbA as well partly due to the projects policy influence. In addition, Uganda's National Climate Change Policy (NCCP) prioritises EbA. These are strong indicators that the project has remained relevant and its results are influences policy process. Therefore, projects results are highly likely to remain relevant and will influence Uganda's national development and climate change action in the future.
68. The project was also relevant and addressed priorities of the Uganda UNDAF 2010-2014, Outcome 2.2 (vulnerable communities, government, civil society and private sectors are sustainably managing and utilizing the environment and natural resources for improved livelihoods and to cope with the impact of climate change) and Outcome2.3 (Vulnerable communities having improved access to socio-economic Infrastructure and systems for increased agricultural productivity, sustainable household income, and food

¹² Republic of Uganda, Uganda Vision 2040 (revised in 2012)

¹³ Republic of Uganda, 2010. National Development Plan 2010/2011 – 2014/2015.

¹⁴ Republic of Uganda, 2010. Second National Development Plan 2015/2016 – 2019/2020.

and nutrition security) Furthermore, the project is also in line with the goals, mandate and needs of the MWE and CCD the technical institutions and agencies responsible for environment and climate change and agriculture, as well as the District Authorities which implement adaptation interventions on the ground.

69. The expected improved capacity to implement EbA practices, resulting from this EbA Mountain Project, will enable Uganda to contribute more effectively to increased adaptive capacity and assist Uganda to fulfil its obligations under UNFCCC, including implementation of the Paris Climate Change Agreement. By deploying a learning-by-doing approach, the project remained relevant to national needs. Moreover, the project was designed to complement other national ongoing and planned programmes without duplicating them. Stakeholder consultations were conducted at the district, sub-county and community level to identify the project sites, interventions and beneficiaries within Bulambuli, Kapchorwa, Kween and Sironko Districts.
70. An area encompassing critical river catchments in the four districts were identified using participatory approaches including the VIA during the life of the project that involved local governance structures (districts, sub-counties, parishes and communities) through which the suitability of site selected and willingness to participate in the project activities were confirmed.

1.2.3 Gender balance

71. The EbA project implementation in Uganda deployed a gender-sensitive approach to improve resilience of vulnerable communities and put in place measures to ensure gender equality. Both women and men benefited from the capacity building initiatives, payment for ecosystem services (PES) and benefit sharing schemes, water harvesting initiatives and construction of wood saving stoves. The EbA project emphasized the participation of both women and men while identifying participants for decision making, trainings, exchange visits and other EbA interventions in the Mt. Elgon region. Overall, at least 30% of the project beneficiaries were women. For example, out of 350 persons who were trained (participated) through learning visits (farmer to farmer visits) 220 were men (63%) and 130 were women. Out the 62 policy makers trained in implementing EBA measures, 48 were men (77%) and 14 were women (33%).
72. Regarding implementation of the PES, a deliberate effort was made to have at least 40% of the beneficiaries as women farmers. By April 2016 (when the project closed), out of the 298 beneficiaries of the PES facility, 205 were men (69%) and 93 were women (31%). This deliberate effort to have women farmers participate and benefit from PES improved its coverage and adoption. Through support to CBOs, both women and men's capacity to manage own groups/savings was built and a good example is the Sironko Valley Integrated Projects (SVIP). Both women and men also benefited from construction of improved cook stoves which reduced the burden of searching for firewood, improved the health of women as they had smokeless kitchens. In Sironko district, women benefited from capacity building to produce unbaked bricks which saved lots of firewood. The construction of gravity flow schemes and water harvesting facilities ensure clean water supply to households and saved the women's time and efforts for collecting water for both animals and household use. The evaluation therefore finds the project relevant to gender issues.

3.1.4 Human rights based approach (HRBA)

73. Though human rights were not the primary focus of the project intervention, the project intervention theory considered human rights issues i.e. principles of inclusion, participation, fairness in design and implementation. The project targeted the most vulnerable ecosystems in Uganda in which the poorest communities live and derive ecosystem services (including food and water) and livelihoods. By reducing the vulnerability of the poor communities, the project promotes inclusive development.
74. The design and implementation of the project in Uganda observed the tenets of human rights. For instance, project beneficiaries participated in the selection and design of project sites and activities that are beneficial to them and there was timely remuneration for completed work. This evaluation did not find cases of human rights violations. The project worked with the UN office of the Commissioner of Human Rights to build capacity of stakeholders to integrate climate change into the human rights agenda.

75. The project results contributed to achievement of the rights to food through addressing land degradation with strategies like soil and water conservation which increased land productivity providing more food. Implementation of the project also contributed to achievement of the right to good education and improved health through promoting income generating activities like bee keeping, increased tree planting of indigenous tree species which generated higher incomes to the farmers, providing for the needs of children to go to school. For the women and men involved in the income generating activities, their rights to decent employment as a source of livelihood was also fulfilled.

The overall rating for project relevance is “Highly Satisfactory”

3.2 Achievement of outputs

3.2.1 Component 1: Development of methodologies and tools for EbA decision making in mountain ecosystems

76. Implementation of Component 1 was led by UN Environment World Conservation Monitoring Centre (WCMC).
77. **Output 1.1 - EbA assessment methodology and tools, options and indicators for monitoring available to decision makers in project countries.** Under this output, UN Environment-WCMC developed a customized tool for VIA focusing on understanding the vulnerability of communities in project pilot sites to the loss of ecosystem services as a result of changes in ecosystem functioning through climate change impacts, as well as an understanding of their adaptive capacity and how this could be enhanced. The following outputs were achieved in Uganda:
78. ***Good practice EbA options identified and compiled:*** UN Environment led on providing guidance on EbA and ecosystem resilience in Uganda. UN Environment-WCMC reviewed and synthesized existing knowledge on resilience to clarify the different concepts and provided guidance on effective country level application of the ecosystem resilience concept in the implementation of EbA. A paper on this was produced for the UNFCCC meeting in Durban in 2011. A baseline study conducted by the project¹⁵ provided information on socio-economic conditions, ecosystems and ecosystem services, existing EbA measures capacity for EbA in the Mt. Elgon region based on the improved understanding of factors affecting ecosystem management and building resilience. This baseline information was useful in coming up with a long list of EbA options that can be implemented by the project in region. Another study assessed the capacity of suitable in-country institutions to conduct VIA and support the design of EbA options¹⁶. The study found that a majority of Ugandan institutions lack capacity to undertake credible VIA and recommended that an international firm be contracted to jointly conduct the VIA with a Ugandan institution. The aim was to bring in VIA best practices while building the capacity of local institutions to conduct VIAs in the future.
79. ***Improved VIA methods and tools to support design of EbA options developed.*** UN Environment-WCMC produced a technical guidance manual on conducting rapid assessment of ecosystem services supply and management¹⁷. The guidance manual was used to guide Uganda’s VIA process. A VIA national capacity building workshop was conducted on effective VIA processes. It was attended by 28 participants (20 men and 8 women) from national and district levels. In addition, capacity building of community stakeholders on EbA measures and VIA was also conducted, which were useful in conducting VIA and selection of pilot sites under

¹⁵ Ministry of Water and Environment (MWE), 2012. Baseline information for EbA in Mt Elgon Ecosystem strategy. Consultancy report submitted to MWE and UNDP. Kampala – Uganda in November 2012.

¹⁶ Ministry of Water and Environment (MWE), 2012. Capacity assessment to undertake VIA for the EbA in Mt Elgon Ecosystem-Uganda. Consultancy report submitted to MWE and UNDP. Kampala – Uganda in August 2012.

¹⁷ UNEP – WCMC, 2012. Guidance on Rapid Assessment of Ecosystem Services Supply and Management. A preliminary guidance for the EbA in Mountains. Version 1.3. 3 August 2012. UNEP-WCMC, Cambridge, UK.

Component 2. UN Environment-WCMC developed guidelines for implementation of EbA. The guidelines included, among others, a M&E framework with performance indicators that were arrived at in consultation with national partners in Nepal, Peru and Uganda. Based on the global guidelines, Uganda produced its own M&E framework¹⁸ with indicators for the pilot project. The framework was prepared based on consultation with national, district and local stakeholders and beneficiaries. The M&E framework uses an integrated approach to assess the holistic set of indicators (ecological, economical, social and institutional) that can help measure the outcomes and impacts of the EbA activities in the Mt. Elgon region at the level of ecosystem services and human well-being.

80. However, the project implementation was affected by delays in the delivery of outputs under this component (EbA tools and methodologies). The delays were due to three factors (i) the delay by BMUB to disbursing funds to UN Environment -funds were received by UN Environment in 2011; (ii) due to the partnerships involved and mode of engagement at country level, there was need to prepare country specific ProDocs and present them to specific governments for approval (this was based on advice from by UNDP), in this case a Uganda ProDoc was developed and approved and the project started in April 2014; and, (iii) while initially the plan was for UN Environment and WCMC to undertake initial VIAs in the mountain regions of the respective countries, governments (in this case GoU) decided on the specific locations (Mt. Elgon region) which made UN Environment and WCMC to change direction and rethink its strategy. These factors delayed the commencement of VIAs which also affected (delayed) implementation of components 2 and 3 in Uganda. Eventually the delay affected the envisaged step-wise and logical implementation of the subsequent components as discussed in Sections 3.5.2 – timeliness, 3.6.1 preparation and readiness, and 3.6.2 project implementation and management.

The overall evaluation rating on the delivery of outputs related to this Component is “Moderately Satisfactory”

3.2.2 Component 2: Application of methodologies and tools at ecosystem level.

81. **Output 2.1 - EbA strategy and action plans at ecosystem level developed.** In Uganda, the following outputs were achieved.
82. **Climate change VIA assessment undertaken.** Led by UN Environment -WCMC, and with the support of UNDP Uganda, a comprehensive VIA for the Mt. Elgon region was finalized and launched in December 2013¹⁹. A popular version of the VIA²⁰ was produced that summarizes the results of the VIA for easy access and use by policy and decision makers in national and local governments, civil society and the communities. The report was availed to project stakeholders to inform definition of EbA options and decision supporting tool. The VIA was used to select high climate risk areas for piloting EbA, through trainings and reflections at the lowest community levels. This helped in building capacity and increasing awareness at the lowest levels. In total, five river micro-catchments were selected as pilot sites for the EbA project; Kaptokwoi and Sipi river micro-catchments in Kapchorwa District, Ngenge river micro-catchment in Kween District, Sim river micro-catchment in Bulambuli District, and Sironko river micro-catchment in Sironko District.
83. **EBA strategy identified using decision-making tools, including an economic assessment of EBA options and land use plan.** The VIA conducted to provide scientific evidence of environmental challenges and opportunities in Mt. Elgon was launched in Kampala by the MWE on the International Day of Mountains (11th of December, 2013). This VIA was used to mobilize key stakeholders and farmers in the Mt. Elgon region and raise awareness of EbA. The stakeholders and farmers were trained to use the VIA, and were able to map vulnerabilities of their area and develop action plans, and prioritize EbA options for implementation. In

¹⁸ M&E Framework for the Uganda EbA Mountain project, 2013

¹⁹ Ministry of Water and Environment (MWE), 2013. EbA for in Mountain ecosystems. VIA for the Mt. Elgon ecosystem. Main Report.

²⁰ Ministry of Water and Environment (MWE), 2013. EbA for in Mountain ecosystems. VIA for the Mt. Elgon ecosystem. Popular version of the report.

addition, farmers developed 12 parish climate change adaptation plans based on identification and mapping of vulnerabilities within their parishes, and parish climate change adaptation committees that oversee the implementation of the adaptation plans. A biophysical assessment to quantify environmental services on which a PES would be based was completed in the pilot sites. This fed into the EbA cost-benefit analysis. Two consultative workshops were conducted, facilitated by the global UNDP team and UN Environment-WCMC, that led to a final set of process, context and impact indicators to measure adaptive capacity developed in consultation with all the project stakeholders. An action plan for monitoring the adaptive capacity indicators was put in place with inputs from all stakeholders.

The overall evaluation rating on the delivery of outputs related to this Component is “Satisfactory”

3.2.3 Component 3: Implementation of EbA pilots at ecosystem level

84. **Output 3.1 Technical and capacity building support on EbA planning, executing and monitoring delivered.** Implementation of this component was based on outputs of components 1 and 2. Both UNDP and IUCN led interventions at the pilot sites with collaboration with local communities in four districts in the Mt. Elgon region i.e. Bulambuli, Kapchorwa, Kween and Sironko Districts. Uganda registered great success in achieving project outputs as discussed in the following paragraphs.
85. ***Institutional capacity building of local governments and other key national institutions to plan, monitor and enforce EbA delivered.*** Capacity building activities targeted decision makers at national and local levels. At the national level, officials from the MWE were targeted. At the District level, staff in natural resources, agriculture and community development, as well as members of District and Sub-country councils, community groups, NGOs, CBOs, and women groups were targeted. Capacity enhancement trainings were packaged into two aspects: knowledge based trainings to raise awareness and orientation on climate change, climate change adaptation and EbA; and skilled based trainings to enhance the capacities of communities on EbA. Up to 340 decision makers and technical staff from central government and local governments were trained in EbA and integration of EbA into the District Development Plans (DDPs) and Disaster Risk Reduction (DRR) frameworks using a training manual on integration of EbA²¹. District and parish level workshops were organised where EbA awareness was raised, and EbA skills imparted resulting in the development of four District Adaptation Action Plans and Parish Actions Plans. Community landscape maps, climate change adaptation plans were developed for 12 parishes and adaptation committees (with 42% women representation) which were put in place to operationalize the action plans.
86. The project enabled Uganda’s officials to attend EbA global technical Learning workshops that were organized in project countries – in Uganda (2013), Nepal (2014) and Peru (2015) - to plan and share ideas, best practices and lessons learned on EbA project implementation. Skills based capacity enhancement was extended to communities, households and individual famers. Farmers’ capacities were built through trainings that involved inter and intra farmer to farmer visits. Up to 350 farmers as well as district and sub-county leaders and technical staff (220 men and 130 women) participated in the exchange visits and study tours conducted in Uganda and Kenya²². District and sub-county (political) leadership and technical staff were part of the study tours. The visits in a way increased the participants’ confidence in EbA and catalyzed the preparation EbA action plans. The capacity of communities was also built through training on project proposal writing, implementation and reporting.
87. Overall, the project outputs in Components 1 and 2 (the VIA and GIS-generated hazard maps) were instrumental in enhancing technical capacity of district officials and communities to engage in community action planning and visioning. This enabled partners and beneficiaries to identify priority adaptation options for specific areas to better plan for implementation. The spatial data generated from the different studies

²¹ Ministry of Water and Environment, 2015. Training manual – integrating EbA into policy and financing frameworks

²² UNDP 2016, End of EbA for mountain ecosystems project completion report for Uganda, April 2016

conducted by the project are available for use by the district and national planning authorities. However, the delay in delivery of the outputs under component one affected the stepwise and timely delivery of outputs under component 3.

88. **Output 3.2 Pilot demonstrations delivered contributing to EbA strategies and action plans being developed in three different countries.** Under this output, 'no regret' EbA interventions were initiated in 2013 and piloted based on best practices and technical know-how on climate change and its impacts on natural resources, agriculture, ecosystems and community livelihood improvement. The initiation of EbA measures was necessitated by delays in delivering outputs under components 1 and 2 (VIA tools and reports).
89. In 2014, based on the VIA study of the Mt. Elgon ecosystem and EbA Guidance Framework for piloting EbA in Mt. Elgon region, priority EbA measures were implemented in five river micro-catchments namely: Kaptokwoi, Sipi, Ngenge, Sim, and Sironko. The river micro-catchments were selected based on the high risk that was demonstrated by the VIA and the need to demonstrate EbA. Up to 15 micro-projects from Bulambuli, Kapchorwa, Kween and Sironko were supported with approximately USD 405,000 with close interlinkages at the sub-county level. Ecosystem restoration interventions focused at community-driven river micro-catchment revegetation in the five river micro-catchments to support resilience and demonstrate nature-based solutions to climate change. Interventions involved participatory community marking, protection and restoration of river banks (buffers) ranging from 10-15 metres, tree planting (indigenous species), biodiversity conservation, agroforestry and soil and water conservation.
90. A two-acre Sanzara community demonstration and learning centre was put in place. The centre is providing hands-on training and learning to community members. The key activities, technologies and innovations demonstrated at the learning centre were: tree seedling nurseries of various indigenous tree species; crop trials involving drought resistant, quick maturing, high yielding and high value yielding crops. Piloting is also being done on soil and water conservation technologies, tree planting and agroforestry; and small scale irrigation farming using water from the Sanzara GFS. Low cost, small scale irrigation technologies have been demonstrated at the learning centre for the farmers to adopt on their farms and be able to produce food throughout the year.
91. In Kapchorwa and Kween Districts (where IUCN led project implementation), 850 land owners planted over 220,000 trees for various purposes - general landscape restoration, river bank protection, shade, wind breaks, fruits and agroforestry purposes. Over 1,800 households and land owners adopted, implemented and maintained various soil and water conservation measures during the project period, and 175 land owners adopted and planted newly introduced perennial crops, especially bananas as alternative crops for food and income generation. In Bulambuli and Sironko districts, where UNDP led implementation, 69 community groups comprising 270 households engaged in sustainable land management practices. Through this intervention, 63 hectares of land was put under improved land management, 7,239 trees were planted, and 23,640 meters of grassed waterways was put in place.
92. The socio-economic and biophysical assessments were conducted under component 1 and 2 provided baseline information for designing and implementing community economic incentives and PES mechanism, as incentives for EbA in the Mt. Elgon region. A PES model was developed by the Environmental Conservation Trust of Uganda (ECOTRUST) involves payments for carbon sequestration through tree planting, payments for watershed services, small grants to support for small but necessary infrastructure, and support to livelihoods through capacity building and business planning. Up to 149 farmers (103 men and 46 women) were trained in plan vivo²³ orientation and performance based PES payments.
93. The developed PES facility was implemented in Bulambuli and Sironko Districts through upfront funding to farmers to initiate adaptation activities. Bundled credits based on planting trees, soil and water conservation measures, and riverbank management to protect watersheds and store carbon are sold on the international

²³ Plan Vivo – a framework for supporting communities to manage their natural resources more sustainably, with a view to generating climate, livelihood and ecosystem benefits. The standard aims to serve as a standalone, all-inclusive standard incorporating social and biodiversity safeguards along with certified emissions reductions. See: <http://thereddesk.org/markets-standards/plan-vivo-standard>

carbon market. Up to 113 farmers were recruited, under 12 farmers' groups, and they participate in the piloting the PES facility. The success achieved in a short time (two years) is an indicator of likelihood that a greater scale of impact could be achieved that could involve measures such as terracing that require larger tracts of land.

94. IUCN developed a community conservation fund to incentivise EbA measures in Kapchorwa and Kween Districts. For example, a benefit sharing scheme was developed at the Sanzara Community Demonstration and Learning Centre to motivate communities to participate in activities at the centre. The benefit sharing mechanism was discussed and agreed upon at the initial stages. The mechanism is also purely performance based: all the tangible proceeds from the learning centre are equitably shared among the active participants according to individual performance determined by the number of Monthly Performance Cards (MPCs).
95. An incentive for watershed management was designed by IUCN, and trainings and recruitment of community members made. The approach, which is also performance based, has enhanced community financial capital through the establishment of community revolving funds (\$80,000) and cash grants (\$12,000). The incentive succeeded in creating buy-in from communities who engaged ecosystem restoration and sustainable land management. Up to 2,850 households in 38 villages (12 parishes) directly benefited from the fund. Community driven river micro-catchment re-vegetation along Sipi, Kaptokwoi and Ngenge rivers was successfully achieved through this incentive. The communities were trained in financial management and are now managing the revolving fund.
96. The project put in place Gravity Flow Schemes (GFS) and water harvesting facilities in the pilot sites. The GFS were both incentives and nature based solutions to enhancing community and ecosystem resilience: Sanzara GFS in Kapchorwa District; Samazi and Bulago GFS in Bulambuli District; Elgon Parish GFS Sironko District are providing water for irrigation and domestic consumption. In Sanzara parish, Kapchorwa District, 21 farmers are using GFS water for irrigation. They have adopted the use of simple and affordable irrigation technologies on their farms as a means of avoiding crop failure that used to result from the long dry spells in Sanzara, and are able to harvest vegetables during the 3-4 months' dry spell.
97. The project supported livelihood improvement interventions in communities that could reduce pressure on ecosystems and increase adaptive capacities and increase resilience. The interventions include improved cook stoves, mushroom growing, bee keeping, zero grazing, unbaked brick making, tree nurseries and tree planting, agroforestry, irrigation and backyard gardening. However, these were not entirely new initiatives established by the project in the region. Interviews with communities indicated that these initiatives were already in existence before the commencement of the project, but the project scaled them up. In Kapchorwa Districts, for example, a local CBO - Kapchorwa Community Development Association (KACODA) – was already involved in milk and honey production, processing and marketing. Some NGOs were also already active in agriculture and forestry to improve smallholder farmers' livelihoods such as World Vision, Heifer International and Environmental Conservation Trust of Uganda (ECOTRUST). ECOTRUST was already engaged in carbon projects involving sustainable land management with farmers in the Mt. Elgon, though it had not specifically worked in the pilot sites for the EbA project.
98. ECOTRUST designed an incentive for watershed management for Sironko and Bulambuli districts. The incentive serves as a vehicle for sustainable funding for watershed protection services and carbon sequestration as an integral part of EbA. The approach, which is also performance based, combines an input – based payment system for the watershed services, and an out-put based system for carbon sequestration. Under the output – based model, the farmers were paid upon delivery of the estimated carbon sequestration services. The carbon benefits were quantified using an activity – based model, which does not directly quantify ecosystem services, but uses implicit (simple) models to estimate benefits. The activity reached 73 farmer groups, comprising of 340 households. A total of 76,547 hectares of land is already under improved land management with 9,304 trees planted and these will sequester 8,949.726 tons of CO₂ at maturation valued at USD 71,597.808 including the co-benefits (USD8 per tCO₂ with co-benefits). A total of 26,428.1 metres grassed water ways have been dug to conserve soils and water within the catchment. The model has enhanced community resilience and livelihoods through the establishment of the carbon bank (\$70,000) and material grants (\$100,000).

The overall evaluation rating on the delivery of outputs related to this Component is “Highly Satisfactory”

3.2.4 Component 4: Business case for EbA at the local and national levels developed

99. Output 4.1 Guidance notes for Business Case for EbA and the cost-coefficients developed and shared with the relevant governments at national level. In Uganda, achievement of this output required availing adequate information to key government stakeholders and building their capacity to integrate EbA into national development and climate policies, plans and strategies.
100. The Cost Benefit Analysis (CBA) approach was applied to determine the cost-effectiveness of the EbA approaches piloted in Mt. Elgon. The CBA of the EbA options was conducted²⁴ found out that EbA approach to farming and natural resource management was more viable than non-EbA practices, and that the viability of EbA practices was sustainable in the long run. A policy analysis and opportunities study conducted²⁵ highlighted the policy gaps and opportunities that can be taken into consideration in making a case for EbA at national level and integrating EbA in development policy frameworks in Uganda. The PES mechanism developed under component 3 was officially launched in March 2015 by the Minister of Water and Environment. The GoU has expressed support for the PES facility and regard it as self-sustaining model through the continued generation of credits by implementing catchment-scale EbA measures that aligned to local adaptation strategies.
101. ***Incorporation of EbA measures in policies and plans:*** The EbA project results influenced the integration of EbA in the NCCP, NDP and INDC/NDC. In addition, guidelines for integration of EbA in national and sectoral development policies and plans are being developed based upon the experiences of the guidelines to integrate EbA at the district levels that was developed under the programme in close collaboration with the MWE and the district local governments

The overall evaluation rating on the delivery of outputs related to this Component is “Highly Satisfactory”

3.2.5 Component 5: Development of a learning and knowledge management framework

102. Output 5.1- Knowledge products to capture lessons on EbA produced and disseminated: The EbA project was expanded in early 2014 to include a component on Learning and Knowledge Management. To that end, UN Environment revised the project in 2015 to include Component 5. Several activities were implemented at the global and country level that supported documentation and dissemination of knowledge products and lessons learned and fostering of South-South and global collaboration.
103. EbA policy briefs with the purpose of policy level discussion and cost-effectiveness of EbA were prepared that captured the lessons learned on implementation of EbA, opportunities for financing and way forward for EbA in Uganda. The policy briefs were shared in different forums and workshop held nationally, regionally and internationally. The global UNDP programme team supported the Uganda country team in producing a series of Photo Essays documenting key EbA initiatives, achievements and lessons learned. These essays are being showcased on the UNDP Exposure Site and UN Environment websites as an improvement in the ecosystem based adaptation strategy to climate change. Six EbA for mountain ecosystems photo essays on Uganda were produced and had been viewed 44,352 times on the UNDP Exposure site. The project facilitated the formation and launch of the Mt. Elgon Stakeholders Forum. The forum provides a platform for engaging, raising awareness and popularising EbA among stakeholders. The Forum has a website which holds EbA information (<http://mtelgonforum.org>). The forum popularised EbA through weekly radio programmes held over the Mt. Elgon Ecosystem covering the districts of Kapchorwa, Kween, Bukwo, Bulambuli, Sironko, Mbale,

²⁴ UNDP, 2015. Making the case for EbA: The global EbA programme in Nepal, Peru and Uganda.

²⁵ Ministry of Water and Environment, 2014. Public policy and financing framework for EbA in Mt. Elgon ecosystem

Manafa, and Bududa. Media coverage was the norm for every activity carried out for the EbA including EbA promotional materials, radio talk shows and TV talk shows.

104. The project used radio and ICTs to promote forest landscape restoration. IUCN Uganda worked with Farm Radio International (FRI) and Kapchorwa Trinity Radio (KTR) to promote the use of radio and ICT to raise awareness of landholders/farmers regarding opportunities and benefits to restore degraded landscapes and improve benefit from agricultural land by tree planting. The project took advantage of FRI's Participatory Radio Campaign approach, aimed at enabling smallholder farmers and farming communities in Mt Elgon, to understand and address the forest landscape restoration challenges and opportunities they face. As part of this collaboration, KTR, a local radio station was also engaged to run the radio talk shows in the local languages. The project produced two documentary films. The films were developed by IUCN to document the project's achievement. The first one entitled "Summoning the rains" documents the achievements of the wise utilisation of GFS to improve livelihoods of communities. In the Sanzara parish in Kapchorwa District the construction and utilisation of a GFS that has turned a semi-arid area into productive agricultural area. The second film documents the success of using Farm Radio and ICTS in building awareness and promoting forest landscape restoration. A documentary was developed by UNDP as part of the study on Policy Gap Analysis and was widely shared at local and national levels.

The overall evaluation rating of the delivery of outputs related to this Component is "Satisfactory"

3.3 Effectiveness: Attainment of objectives and planned results

3.3.1 Achievement of direct outcomes as defined in the reconstructed Theory of Change

Immediate Outcome 1: Decision makers adopt and apply EbA methodologies and tools to make better and informed EbA decisions.

105. The VIA tool was used as a decision support tool to identify climate change vulnerability hot spots in Mt. Elgon region. The prioritized vulnerable sites/areas were supported under the EbA project. The VIA tools are also being used elsewhere in Uganda to identify areas for intervention/project sites, for example the in the Lake Kioga Management Project, and in country wide hazard and vulnerability mapping that is being conducted by the Office of the Prime Minister (Department of Disaster Preparedness).

Immediate Outcome 2: Application of EbA methodologies and action plans at ecosystem level increases awareness and knowledge of EbA principles and approaches.

106. Using the popular version of the VIA and the capacity built through trainings, farmers in pilot sites were able to map climate change vulnerabilities, and to develop household landuse plans and adaptation action plans. Farmers were able to use the VIA report and tools to prioritize EbA options using a landscape approach and the prioritised options were included in the action plans. The prioritised options and plans were implemented under Outcome 3. However, adequate resources were not available for UN Environment-WCMC to put in place suitable maps to be used for spatial planning for EbA at district scale. Nonetheless, 12 parish level adaptation maps were developed to further inform the maps that were generated in the VIA. The action plan developed for monitoring was successfully used to monitor progress in implementation of project activities. Some of the EbA tools options are being applied in Uganda beyond the project activities. The Office of the Prime Minister is using the VIA methodology for hazard mapping. The Districts in the Mt. Elgon region are applying VIA tools in other projects (like the Lake Kioga Management Project and the Integrated Landscape Management for ecosystem resilience and improved livelihood in Mt. Elgon project) to identify areas for intervention/project sites and scaling up the results of EbA.

Immediate Outcome 3: Implementation of EbA pilots and demonstrations enhances the ability of decision makers to plan, implement and monitor EbA at national and ecosystem level.

107. The community conservation fund and PES put in place by the project have enhanced community financial capital. For example, by the close of the project (30 April 2016), the PES activities had sequestered 4,110tCO₂, and are expected to ultimately generate 8,949.73 tCO₂ valued at USD 71,597.81, including the co-benefits (USD 8 per tCO₂ with co-benefits). Community group members interviewed during this evaluation indicated that financial capital acquired has enabled them to diversify their livelihood sources which is reducing their vulnerability. The revolving funds and PES mechanisms also catalyzed effective participation in ecosystem restoration and other off-farm climate resilient practices that are existence beyond the project's lifetime. Such economic incentives could be scaled-up as community level schemes for financing EbA.
108. The community revolving fund put in place at village level, owned and managed by community groups, provide short term loans to members ranging from UGS 100,000 - 200,000 (USD 30 - 60) for a three months' period at a 5% interest. The benefits - including the interest and contributions from members - are ploughed back into the fund to capitalize it further. Given that borrowing from the fund is performance based on level of engagement in implementation of EbA measures, the fund provides avenues for financing EbA and improving livelihoods. By-laws to regulate the operation of community revolving funds were put in place at sub-county level. The sub-county chief and CDOs supervise the operation of the funds. For purposes of institutionalization.
109. Training of local communities and exchange visits involving farmers were effective in ensuring the take-off of EbA project interventions. However, this evaluation does not find the livelihood improvement interventions that the EbA project engaged in the pilot sites novel. The evaluation neither finds the interventions, climate resilient techniques nor EbA practices. Many actors, especially NGOs (including IUCN and Ecotrust) were engaged in the same livelihood projects in the region before the commencement of this project. For example, IUCN was engaged in the Mt. Elgon Regional Ecosystem Conservation Programme (MERECP) before 2010, that was among others linking livelihoods improvement to climate change. The National Agricultural Advisory Services (NAADS), a GoU initiative, has been over the years engaged supporting farmers and communities to engage in income generating and livelihoods related initiatives in the region. The Forests Absorbing Carbon Emissions projects (FACE) in collaboration with Uganda Wildlife Authority (UWA) has been engaged in community development initiatives: high value crops and on-farm initiatives like woodlots, energy saving stoves and soil conservation initiatives. In addition, the success of the livelihood improvement projects cannot be entirely attributed to the EbA project given the numerous actors in the region.
110. Nonetheless, the contribution of the livelihood interventions to the project success cannot be under related. While they may not be convincingly labelled 'climate resilient techniques', let alone EbA interventions, the livelihood improvement and incentive schemes put in place drivers that catalysed achievement of the EbA project outcomes. They served the purpose of securing early community buy-in and making the case for 'no regret' adaptation measures during project implementation, before the full scale of EbA benefits could be realized. In the case of Sanzara, this was because localized EbA measures were only beginning to be implemented, while in the case of ecosystem restoration in the river catchments, achieving benefits at such scale would require time. Thus, the livelihood and incentive schemes tied in closely to broader project activities, and are capable of sustaining project achievements to higher levels. Above all, livelihood improvement projects reduce poverty levels, increase adaptive capacities and reduce on pressures on ecosystems. The implementation of the Sanzara GFS was very instrumental in turning a semi-arid area into productive agricultural land by providing water for irrigation and farming.
111. The success of the project in raising awareness of EbA and climate change at national level, LGs and communities has resulted in change in attitudes by communities towards adaptation and sustainable farming. For example, the success in river micro-catchment revegetation would not have been achieved without adequate sensitization and change in attitudes given the high population pressure and land shortage (as low as 1-2 acre per households in some cases) in the region. The communities stopped farming land to create river buffers for river catchment restoration. The created river bank buffer zones have been planted with elephant grass, calliandra and sesbania which protect the river bank but are also used for fodder i.e. productive conservation.

112. The farmers interviewed during the evaluation mission in Mt. Elgon indicated that by applying soil and water conservation initiatives implemented by the project, their soils have become more productive and they are beginning to realize increased agricultural production, especially with maize, irish potatoes and bananas. These are already generating benefits like increasing food and nutritional security and household incomes. Realizing the soil fertility/productivity resulting from the improved soil and water conservation initiatives, some farmers have now shifted from application of inorganic fertilizers to organic manure. Farmers have not only reported increased crop productivity but also reduction in soil erosion and siltation. Communities outside the pilot sites, who have gained knowledge from observation of what was being implemented in the pilot sites and listening in to the regular radio programmes supported by the project, have started to adopt improved agricultural practices on their own.
113. The GFS and water harvesting activities have increased access to clean water for consumption and production (for irrigation and for animals). The community has got access to closer sources of tree seedlings which has resulted into increased tree planting in the region. Some of the initiatives started are being scaled-up and replicated by government programmes like National Agricultural Advisory Services (NAADS) and Operation Wealth Creation (OWC) The DLGs are actively supporting and scaling up zero grazing, contour ploughing, digging of trenches, agroforestry and planting of napier grass on river banks will continue to provide fodder for animals.
114. The two Climate Change Adaptation Learning Centres and one EbA Demonstration Centre put in place by the project by UNDP and IUCN respectively are instrumental in climate change learning. The Adaptation Learning centres are already receiving and disseminating climate change information. They are also acting as demonstration centres but the only challenge is that learning materials are not yet adequately available. Once they are made fully operational, the Adaptation Learning Centres will be used for collection, documentation, and dissemination and demonstration of lesson learned and best practices.

Immediate Outcome 4: Evidence base from EbA cost-benefit analysis and interventions informs public policy and investment in EbA in mountain countries.

115. The project was successful in using EbA CBA and economic incentives to make case for adoption of EbA in the mountain ecosystems in Uganda. The indicator selected for measuring achievement of this outcome was *'economic assessment conducted to determine economic value of EbA options'*. The findings from some interview revealed that the EbA CBA and policy analysis study results and the global EbA publications were able to build a case for EbA application at global, national and local levels. Implementation of the EbA project and achievement of results influenced the integration of EbA in Uganda's NCCP, NDP II and INDC/NDC. Currently, MWE is in the process of developing guidelines on integrating EbA into national planning based upon the experiences developed by the project while integrating EbA in district level planning.

Immediate Outcome 5: Increased EbA awareness and knowledge builds a case for adoption of EbA in mountain ecosystem management.

116. The project was successful in increasing EbA awareness and documenting the project results, practices and lessons learned, which are building a case for adoption of EbA locally, nationally and globally. The generation of different communication materials and sharing and disseminated of the materials using different fora (media, websites, stakeholder forums, conferences and workshops) strengthening communication, knowledge sharing, and more active cooperation among various climate change stakeholders. The implementation of the projects has led to the formation of the Mt. Elgon Stakeholder Forum and the Friends of EbA (FEBA) network that enable the sharing of Uganda's EbA results with the local and global EbA community. UN COPs are also becoming avenues of sharing EbA beyond the implementing countries.
117. The farmers interacted with during the evaluation mission indicated that the use of Farm Radio and ICT was successful in raising their awareness of opportunities and benefits to restore degraded landscapes and improve benefit from agricultural land by tree planting. Radio was an important tool for creating awareness,

enhancing participation and ownership of EbA processes and interventions. The participatory radio programmes were an important extension tool that reached community members who may not have been, or were partially involved in, the project enabling farmer to farmer learning and uptake of the interventions even beyond the project sites, as seen from the radio responses received. This is evidence of a multiplier effect. Because of the radio programme, the numbers of field visits and trainings reduced which makes the radio program more cost effective.

118. Uganda recently hosted the World Mountain Forum from 17-20 October 2016 in the Mt. Elgon region with support from the EbA project which was ably done during the life of the project. The selection of Uganda to host the forum (in the Mt. Elgon region, was lobbying by the project team and the achievements of the EbA project²⁶. The lessons learned from EbA project were used to prepare for the Forum.

The evaluation rating for overall achievement of Outcomes is “Moderately Satisfactory”

3.3.2 Likelihood of impact using the Review of Outcomes to Impact (ROtI) approach

119. The likelihood of impact (to increase the resilience of ecosystems and reduce the vulnerability of communities in the Mt. Elgon ecosystem to climate change) depends on several external factors and conditions moving toward the higher-level objectives of the results chain. It is assessed in terms of the extent to which change is happening along the project results chains from immediate outcomes over the main outcome and intermediate states towards impacts, based on the reconstructed TOC (Section 2.7). The critical question is the extent to which the EbA project is likely to achieve the intended impact in Uganda. The details, observations, examples and highlights of moving toward intermediate states pertaining to project activities 2011-2016 provided below are largely drawn from interviews and project documents obtained from UN Environment, UNDP Uganda, IUCN Uganda, MWE and field visits in Mt. Elgon region.

The outcomes achieved have implicit forward linkages to intermediate states and impacts. The adoption of EbA tools and methodologies; increased awareness and knowledge of EbA principles and approaches; enhanced ability of decisions to implement and monitor EbA; the economic case made for adoption and investment in EbA, the integration of EbA in policy and planning processes; and the improved knowledge of EbA good practices should lead to increased the resilience of ecosystems and reduce the vulnerability of communities in the Mt. Elgon ecosystem to climate change. **Rating of progress towards Outcomes is “B”.**

120. Some progress has already been made that is likely to translate into increased ecosystem resilience and reduced community vulnerability as discussed in Section 3.3.1 (achievement of direct outcomes). The increased capacity to plan and implement EbA options at ecosystem level, the integration of EbA policy and planning at national and local levels, and the partnerships built are likely to translate into increased confidence in EbA, and this indicates significant progress towards intermediate state and impacts. One of the project partners, IUCN continues to work in the region on interventions that can build ecosystem resilience. In addition, there is country and community ownership and driven-ness of the project results which is likely to investment in EbA application. However, unless follow up projects/interventions and financing are put in place by the GoU, UN Environment, UNDP, BMUB and other EbA partners to drive/scale up the project results, progress towards the intended impact may not be fully realised. Although EbA has been integrated in the NDP II and DDPs, through which some funding can be realised, such funding, if any, is too small to scale-up and replicate project results. **Rating of progress towards the Intermediate States is “C”.**
121. The overall aggregate rating for this project is “BC”. Considering the high level of ownership of the project results at national, district and community levels, the partnerships built and institutionalisation of the project’s achievements, a notation “+” is also attributed, producing a final rating “BC+”. The Project, with an aggregated rating of BC+ can be rated as “Likely” to achieve the expected Impact. A further discussion and justification of the rating is presented below.

²⁶ Information from the UNEP EbA Project Coordinator and EbA Project National Coordinator – Uganda.

122. The project assumes that by strengthening the capacity of vulnerable countries to promote EbA options for mountain ecosystems will lead to the desired impact of “increased ecosystem resilience and reduced vulnerability of communities in mountain ecosystems to climate change”. As indicated in section 2.7, this is not an entirely correct assumption. There are many intermediate states and intervening variables between strengthening the capacity to apply EbA options, and increasing ecosystems and community resilience to climate change. While developing, piloting and implementing EbA methodologies, tools and options may be a necessary element of a strategy to reduce vulnerability and increase resilience, as has been recently demonstrated by experience, it is not necessarily sufficient. Thus, utilizing the project results and lessons derived from the medium-term outcomes, such as knowledge and good practices generated from application of EbA principles and approaches, and implementing EbA proofed policies and plans, the intermediate states and impacts illustrate the next and final high-level tangible outcomes in the results chain. According to the reconstructed TOC, these results are probable if key impact drivers are addressed and assumptions managed to lead to this stage.
123. According to the results framework in the reconstructed TOC, the three intermediate states are: (i) National development plans and climate change policies and actions that integrate EbA; (ii) Increased uptake and scaling-up of EbA practises by governments and communities in mountain ecosystem to adapt to a changing climate, and; (iii) Enhanced ability of the population and communities in mountain regions and countries to adapt to a changing climate.
124. In terms of perceived likelihood of impact of the projects EbA tools and options, the project beneficiaries and community groups in project pilot sites indicated a likelihood of impact based on the benefits of the implemented EbA options in the delivery of ecosystem services and livelihood improvement.
125. Given that (i) EbA methodologies and tools were developed and are available for use in future programmes (ii) an economic case was successfully made for investing in EbA, (iii) capacity was built at national, local community groups to apply EbA measures, (iv) EbA was integrated in development policy and planning, (v) Adaptation learning centres were put in place in the region to scale up EbA lessons and application, and (vi) the project documented knowledge products and lessons learned, the project achievements are likely to progress to impact.
126. However, while livelihood improvements interventions were supported by the project, there is no evidence that these interventions are climate resilient nor are they linked to EbA. Thus, it is doubtful they can build ecosystem resilience. By the fact many of these interventions were being implemented in the region long before the EbA project, without reducing climate change vulnerabilities, is an indication that they are not ‘climate resilient techniques’ but acted as incentives to create community buy-in for the EbA project. Thus, with the end of the project there is a risk that once such livelihood projects end the communities will again resort to degrading the restored ecosystems. It is thus crucial they are sustained as way of reducing pressure on ecosystems and diversifying livelihood assets.
127. Nonetheless, the environment conservation fund and a PES facility did not only incentivise for engaging in EbA and other no-regret adaptation options, but also enhance community financial capital. Given that they are implemented on a performance basis, they provide an avenue for financing EbA at community levels and could thus drive implementation of EbA options to higher levels and increasing community resilience to climate change.
128. There is evidence of a reduction in the vulnerability of the ecosystem and communities in the Mt. Elgon to the impacts of climate change. The creation of buffer zones on rivers is reducing siltation of rivers, soil and water conservation measures are already reducing run-off and increasing crop yields and increasing food security and household incomes. However, the adoption of the adaptation interventions piloted/demonstrated under the project is still limited to the project sites within a few communities and thus needs to be rolled out in other communities, districts, mountain areas and other vulnerable ecosystems in the whole country.

Although the project built EbA capacity and a case for investment in EbA at national and local levels, many other factors come into play before the enhanced EbA capacities can be translated into improved resilience

of ecosystems and reduced vulnerability of communities to climate change. As we go higher in the TOC, the assessment becomes more theoretical and speculative i.e. attribution by tracing back change to the project's specific outputs beyond immediate outcomes becomes increasingly difficult, verging on the impossible at intermediate state and impact levels. Additionally, the vast number of actors (Government agencies, districts, NGOs and CBOs), as well as the ongoing and planned projects and programmes that are engaged in climate change adaptation, livelihood improvement, and ecosystem management in the country and region makes it difficult to attribute progress towards building resilience and reducing vulnerability to any one intervention (this EbA Mountain Project).

129. Nevertheless, the project's legacy and achievements provide a very strong foundation on which to continue to build ecosystem and community resilience to the impacts of climate change. By raising awareness and confidence in EbA, proving the viability and sustainability of EbA options as compared to non-EbA options, building the capacity of project partners and beneficiaries to plan and implement EbA, creating EbA champions at national and local levels, and creating the political buy-in and support for EbA, the project was successful in putting in place the necessary drivers that are catalytic to the adoption and scaling up and drive it to impact, while at the same time delivering multiple co-benefits, helping avoid mal-adaptation and contributing to 'no regrets' approach to address climate change.

The effective documentation of EbA knowledge products, as well as communication and information sharing mechanisms put in place will drive the project outcomes to impact through sharing of lessons learned. The project's success in influencing the integration of EbA in the NCCP, NDPII and in the DDPs of the pilot districts and the development of guidelines for integration of EbA in policies and plans (still in progress), has a high likelihood of contributing to climate compatible development in the Mt. Elgon region and Uganda in general. Therefore, whereas many other factors need to come into play before such policies and plan can be translated in increased climate resilience, the EbA proofed NDP II, DDPs, and EbA action plans at district and parish level and landscape plans, if implemented, have a high likelihood of impact. These development policies and planning are likely to attract private, public and foreign funding that could scale up and replicate EbA options that could reduce climate vulnerability in Uganda.

The evaluation rating for the likelihood of achieving impact is "Likely"

3.4 Sustainability and Replication

3.4.1 Socio-political sustainability

130. The partnership created between UN Environment, UNDP, IUCN, MWE, ECOTRUST and the Districts enabled project ownership and political support that is likely to continue beyond the project's life span. With the MWE as the lead implementing partner and DLGs as local partners, the EbA initiatives implemented became government owned and eventually became part of the NDP and DDPs priorities. Thus, the project also succeeded in generating political support and buy-in of the national and district governments and there is a high commitment to up-scale the project achievements in the long-term in national and district government actions and budgets. In addition, the participation of MoFPED on the National PSC can be deemed as an assurance of political/financial support for and sustainability of activities of the project.
131. Climate change, and indeed EbA, is already integrated into Uganda's NDP for the period 2015/2016-2019/2020. In addition, EbA is integrated in the NCCP. The foregoing implies that there is already a policy framework at national level to sustain the project's achievements and lessons learned beyond the project expiry period. Thus, the developed and piloted EbA tools, approaches and interventions are highly likely to remain relevant to Uganda's future development agenda.
132. The project deployed a highly participatory approach in design and implementation. The piloted project interventions at the ecosystem level were needs driven and implemented by districts, communities and farmers. This ensures a high level of sustainability and absorption of adaptive capacity in the medium and

long-term. In particular, the involvement and formation of community groups enhances the socio and economic dimensions of the project results as the built networks will continue beyond the expiry of the project. The involvement of the NGOs and CBOs (for example IUCN and ECOTRUST) is an entry point to engaging the networks in building climate resilience in Uganda.

133. The project was implemented in a participatory manner with stakeholders participating actively in all activities including: vulnerability assessment and mapping, selection of pilot sites, prioritisation of EbA options, as well as in piloting of on-the-ground EbA interventions and integration of EbA in policies and plans. The participatory approach deployed by the project provided a framework for continued resource mobilization and implementation of EbA activities in the country. To that end, the project's achievements have been found to be beneficial to the districts and communities, and have subsequently resulted in increased ownership of results and contribution to socio-political sustainability of the project results. The project achieved its objective of influencing national and local policy and planning, as sectoral and district policymakers and technical staff who were involved developing EbA action plans, and integration of EbA in DDPs.
134. At the local level, sustainability has been evaluated and is found likely due to the following factors: (i) the demand for soil and water conservation, and livelihood improvement interventions among communities is high which will increase agricultural productivity, food security and raise household incomes; (ii) the method of implementation through incentives (the revolving funds and PES mechanisms) enable the interventions to continue delivering livelihood improvement and enhanced community financial capital which reduce pressure on ecosystems; (iii) community driven river micro-catchment restoration, tree planting and agroforestry will enhance productive conservation and ensure ecosystem health, and (iv) implementation through community groups with support from district extension services. These should promote collective protection of the restored ecosystems and trees planted.
135. However, politics could negatively affect project sustainability. For example, during elections periods, politicians seeking for votes curtail enforcement of environmental regulations and this in way eroded the momentum and gains that the project had scored on ecosystem restoration. Thus, it remains to be seen if the project results will hold in the pressure of further encroachment.

The evaluation rating for socio-political sustainability is “Highly Likely”

3.4.2 Sustainability of Financial Resources

136. The continuation of project results, especially scaling up of EbA interventions in pilot sites as well as replicating them in other areas in Mt. Elgon and other mountain regions in Uganda may require financial support. Uganda (being an LDC) lacks adequate resources to drive full implementation of EbA options. While the EbA has been integrated in NDP II and DDPs, is being integrated into National Adaptation Plans (NAPs) and can leverage from national resources in budgets, follow-up financial support is critical to sustaining the project results beyond the pilot sites.
137. The opportunity here is that EbA is a priority in Uganda's INDC/NDC. Uganda is in the process of accreditation to the GCF, and this funding once accessed could be used to continue and scale-up project activities. Above all, financial sustainability is likely through continued political will and support at the highest level of government and inclusiveness of all major stakeholders, especially districts and community groups, and the PES facility which are a basis for increased funding of EbA activities. The GoU resources, through the annual budget, will continue to be allocated to MWE and the CCD, and the Districts to sustain running costs of the established EbA pilots and Learning Centre. Nonetheless, the ability to scale up the environment conservation fund and PES mechanisms is one of the viable avenues to sustain the EbA interventions put in place by the project. Moreover, ECOTRUST will likely continue project scaling up the PES mechanism (maintaining the carbon bank) started by the project even after the end of the project. At community level, there is a potential for cost recovery for engaging in EbA implementation through income generated by communities that could reduce pressure on ecosystems.

138. Furthermore, the sustainability of successful piloted EbA interventions will depend on their ability to generate monetary benefits (the incentive to keep them going) which will depend on continued access to technical advice and inputs. The piloted livelihood improvement projects have already started to generate immediate local level benefits that reduce the current costs induced by climate-related disasters. A case in point is improved soil fertility and irrigation that are boosting agricultural productivity, food security and household incomes. The interviewed farmers and communities confirmed increased productivity. Therefore, improved ecosystem services will contribute to sustain the production systems that were declining before the project interventions. The piloted interventions, like bee keeping, mushroom growing, zero grazing, and agroforestry will generate incomes for the household and communities, and this will enhance ability to sustain them. The setting up of community groups and strengthening of exiting community groups and CBOs, and financial mechanisms involved (revolving funds and PES), will assist beneficiaries and communities to sustain climate resilient and livelihood improvement interventions. However, unless a follow up phase/project is designed to ensure financial sustainability to up-scale and replicate the project achievements, there is a risk that some interventions will be lost especially the river-micro catchment restoration.

The rating for the financial sustainability is “Moderately Unlikely”

3.4.3 Sustainability of Institutional Frameworks

139. The project was designed with a strong capacity building focus as well as broad stakeholder participation and consultation so that project activities can be continued beyond the period of LDCF support. Along the way partnerships were built between UN Environment, UNDP, IUCN, MWE and the pilot districts. Several MoUs were signed and implemented and these partnerships can be built upon to enhance the sustainability of the project results.

140. In the evaluators’ assessment, the coordination and management role played by MWE and more especially the PMU, in administering, overseeing and implementing all project activities was essential in driving the project to deliver outputs and achieve outcomes. Without the exemplary effective and efficient coordination, the project activities could not possibly continue. The Project also enhanced coordination and capacities of partners and stakeholders at the national, district and community levels to effectively network and support the implementation of common mandates. During the implementation of the project, Adaptation Learning Centres were put in place in Bulambuli and Sironko Districts strengthens the climate change institutional set up of the districts. The Adaptation Learning Centres will continue to promote climate change learning and knowledge disseminations for a long time after the expiry of the project. The Centres will link with the National Climate Resource at CCD in enhancing climate change learning. The implementation of project under MWE and Districts also enhances institutional sustainability.

The rating for the institutional sustainability is “Likely”

3.4.5 Environmental sustainability

141. By restoring degraded ecosystems and watersheds, the ecosystem resilience has been increased and this will enhance the delivery of ecosystem services to the communities. However, the threats of increased population growth and poverty could increase pressure on natural resources and ecosystems that could potentially undermine ecological sustainability. These challenges need to be managed to ensure the integrity and resilience of ecosystems to continue providing ecosystem services to the population and communities.

142. However, the project’s sustainability could be negatively influenced by the demographics in Mt. Elgon region, which is characterised by high population densities, shortage of land (land per household is between 1-2 acres in some cases) and poverty in communities that have always hindered ecosystem restoration and management activities. The communities in the Mt. Elgon region have been encroaching on Mt. Elgon National Park to expand agricultural land, creating serious human-environment conflicts.

The rating for the environmental sustainability element is “Likely”

3.4.5 Catalytic Role and Replication

143. The partnerships built by the project between UN Environment, UNDP, IUCN, MWE, Districts, ECOTRUST, NGOs/CBOs, communities and farmers groups and media houses have put in place a critical mass that has elevated EbA to higher levels that could trigger implementation of EbA in other areas outside the project pilot sites, based on the lessons learned from the project’s successes.

Incentives

144. Farmer groups were formed and used to mobilise communities and set up livelihood improvement projects. The communities were involved in the pilot activities. Community conservation funds and PES mechanisms were developed in the pilot sites. The revolving fund and PES facility helped farmers to access financial capital to improve their livelihoods. Additionally, the communities and individual farmers can earn incomes from livelihood improvement projects started by the project. All these played a crucial role locally in strengthening the adoption of EbA options and supporting ecosystem restoration and soil and water conservation in pilot sites and could be used to replicate and up-scale project results.

145. The use of radio-programmes, more especially the participatory farm radio campaign provided an opportunity for creating awareness and enhancing participation to community groups and farmers that were outside the pilot sites. The radio programmes also fill the gap created by lack of sufficient extension staff in the region. There are also some people within the communities who are interested in the programmes but never get the time to participate in the community meetings and trainings.

146. The participatory radio program is an effective extension method - it has a multiplier effect since listeners pass on the information to their fellow farmers. Because of the radio program, the numbers of field visits and trainings have reduced which makes the radio program more cost effective.

Institutional changes

147. The government officials and communities trained by the project will remain in place to implement and scale up EbA activities. The setting up of Adaptation Learning and Demonstration Centres, backed by the development of EbA tools, principles and application guidelines not only enhances the ability to implement EbA in Uganda. These will translate into effectiveness of Implemented EbA options. The EbA tools and methodologies developed are instrumental in the increased adaptive capacity in the country. The Action Plans developed and committees put in place are instrumental in ensuring preparedness to climate risks and disasters.

148. In addition, key agencies and institutions (in sectors like agriculture, environment and natural resources, health, disaster management, transport, finance, etc.) in Uganda now recognise the need for application of EbA for increased climate change resilience. The involvement of districts in the project coupled by integration of EbA in DDPs has institutionalized EbA at the local level. These institutions and stakeholders became committed in the implementation project interventions and provided necessary support. The institutions have expressed commitment to make EbA one of the top priorities in their plans.

Policy changes

149. The project has raised EbA awareness among policy and decision makers at national and local levels. The increased awareness has catalysed the integration of EbA in national development planning processes (NCCP, NDP II and INDC). Uganda is currently developing the guidelines for integration of EbA in policies and plans. In addition, Uganda is developing a Green Growth Development Strategy in which EbA is one of priorities. All these have enabled political buy-in and country ownership of the project results and will catalyse climate change response in Uganda. The integration of EbA in the DDPs, as well as the development of EbA Action Plans at district and parish level are catalytic to increased EbA financing which will result in replication and up

scaling of EbA activities in Uganda. The partnerships built, adaptation learning centres and knowledge products put in place as well as the PES mechanisms and EbA committees put in place by the project can catalyse policy response at the local level that can be replicated in other parts of the country.

Catalytic financing

150. The project received funding from BMUB through UN Environment to implement its activities. Limited in kind co-financing (in kind contributions) was provided by the GoU and local communities in the Mt. Elgon ecosystem. As mentioned in the assessment of financial sustainability (section 3.4.2), follow up funding will be instrumental to further enhance the capacity of local governments and communities, enhance communication and dissemination of EbA approaches and practices, and scale up ecosystem restoration, soil and water conservation, water catchment management, and evolve other adaptation intervention appropriate for Uganda.

Champions to catalyse change

151. The project has created several EbA champions (at global, national and local levels) who strongly believe in the effectiveness of EbA in building ecosystem resilience, and increasing the adaptive capacity and reducing the vulnerability of communities and their livelihoods to the impacts of climate change. The districts, communities and farmer groups involved in piloting EbA options as well as the district and sub-county staff engage with rural agrarian communities and ecosystems that are most vulnerable to droughts, floods and landslides. However, there is also a risk that some champions (including community members and technical staff) could leave for other opportunities and this could create a gap that could slow progress on EbA.

152. The increased confidence in EbA tools and approach, effectiveness of the piloted EbA interventions, and effective communication and dissemination channels are catalytic and could champion innovations in adaptation that can translate into increased community and ecosystem resilience. The political buy-in and increased awareness of policy and decision makers to formulate and implement EbA proofed policies and plans could increase preparedness and resilience to climate change translating into climate compatible development in Uganda. However, the championing of EbA and climate compatible development in general could be slowed down by inadequate climate finance to scale up project results.

Replication

153. The project was implemented in four districts in the Mt. Elgon region out of 112 Districts in Uganda²⁷, 13 of which are in mountainous areas. There are other vulnerable ecosystems including the wetlands, forests, rangelands and urban areas across Uganda. There is therefore room for up scaling and replicating EbA and ecosystem restoration countrywide.

154. There are also high prospects for replication based on the project's outputs and results which have created EbA awareness and the need for applying EbA and nature based solutions to adapt to climate change. This has catalyzed action to integrate EbA into policy and planning frameworks at the national and district levels. During the visit to the project sites in the four pilot districts in Mt. Elgon region, the district officials and farming communities showed great enthusiasm about replicating the lessons from the piloted projects. Some of them indicated that they had already shared experiences with adjacent communities and districts. However, additional support is required by MWE, districts and communities for replication and up-scaling, which could be possible with a follow up phase or project. A review of the DDPs for the period 2015/2016-2019-2020 indicates that EbA options have been integrated in district development planning process in the four pilot districts. In addition, all the districts in Uganda have included climate change adaptation activities in their DDPs (2015/16-2019/20). The MWE has indicated that many districts (apart from the pilot districts) have requested that sensitization of communities on climate change adaptation, especially ecosystem

²⁷ Number of districts in Uganda as at 30 June 2013

rehabilitation and watershed management, be extended to their communities. The increased cooperation between the MWE, districts, civil society and the private sector is another indicator of replication.

155. However, the achievements of the pilot project do not necessarily mean that the EbA lessons and best practices can easily be transferred elsewhere, as there are many challenges in adapting to climate change²⁸. Among such challenges are the high variability of environmental conditions, fragility of ecosystems, population pressure and high dependence on ecosystems, weak infrastructure and economies; resource constraints, high poverty and deteriorating livelihoods. Moreover, EbA interventions involving ecosystem restoration, watershed management and land rehabilitation are very expensive and laborious, and alternative livelihoods are needed when the land rehabilitation is going on. Further, many farming communities are highly risk averse, which further limits their ability to accept adaptation measures such as irrigation, tree planting and agroforestry, changing crop varieties and planting patterns. They often prefer strategies with less risk but lower yields.
156. Though there is a potential for replication of the project results, realization of significant impact requires that the lessons learned be replicated and up-scaled over sufficiently large areas, considering the geographic scale at which climate change impacts are likely to be experienced. The outputs of the project should be made easily available, including to local communities in their own languages, and capacity building extended to other stakeholders. The Adaptation Learning Centres put in place, and the Climate Change Resource Centre at CCD/MWE will be instrumental in up-scaling and replicating lessons learned. In addition, the awareness materials and knowledge products produced by the project (reports, books, briefs, documentaries etc.) are used by MWE, CCD and project partners to popularise the project achievements and lessons learned.
157. It was realised from the project that documentary films developed and Farm Radio programmes with innovative and concrete activities are most effective in the transmission of knowledge and good practice to stakeholders of all categories. In addition, more concise technical documents are relevant to technical implementing entities and researchers. The project hired a communication assistant to follow all project implementation and communicate achievements and lessons learned. Other projects hosted by partners found the ideas good and are beginning to replicate them. Documentation is catalytic to the up-scaling and replicating project results.

The project's catalytic role and replication is rated as "Satisfactory"

3.5 Efficiency

3.5.1 Cost effectiveness

158. Whereas no cost-effective measures are mentioned in the ProDocs, several measures to promote cost-effectiveness were adopted during implementation:
- i. Partnerships: Harnessing the comparative advantage of the partners and establishment of strategic partnerships with key organizations who already had a strong track record of experience in climate change adaptation in the country;
 - ii. Site selection: Pilot sites were selected in areas where potential partners and the GoU were already conducting relevant projects and programmes;
 - iii. Engaging local communities: Districts and communities were involved in the project design and implementation, especially selection of pilot sites and in the executing the prioritised EbA interventions. The communities and pilot sites selected are among the most vulnerable and are among the ultimate implementers and beneficiaries of project's interventions;

²⁸ Waithaka et al (eds). 2013. East African Agriculture and Climate Change: A Comprehensive Analysis. IFPRI, Washington. DC.

- iv. Building on the past and ongoing programmes of partners and utilization of existing institutional structures (like the DEA at MWE, DLGs), programmes, information, equipment and data sets.
 - v. Communication: The project used cost-effective modes of communication to access farmers – e.g. use of radio to do farmer to farmer training.
159. However, the selection of pilots in areas where GoU and partners were already working, could also mean that the project ‘went for low hanging fruits’ instead of trying to promote EbA in locations where this would have required starting from the beginning, but would have made a bigger difference at the end.
160. For example, as at 30 April 2016, the total project expenditure was USD 2,148,051 (91.1%) out of the Uganda project budget amounting to USD 2,356,149 (excluding USD 150,000 in-kind contribution from GoU and local communities). While IUCN’s project expenditure was 100% of the budget (USD 624,416), UNDP project expenditure was USD 1,523,635.00 (87.9%) out of the budget amounting to USD 1,731,733. The management costs, mainly composed of project staff, travel and administrative support, remained low as compared to the total project budget. The MWE and District technical staff who worked on the project provided in kind contribution (labour) to the project which increased cost-savings.
161. A key characteristic to be highlighted for this project is that it builds on successful experience or lessons learnt from prior projects or represent a scale-up of earlier successful activities. For example, the project builds on the country’s experiences in the preparation of the NAPA and other projects: e.g. the Territorial Approach to Climate Change (TACC) project whose main output was the Integrated Territorial Climate Change Plan (ITCP) for the Mbale region; 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, Sironko District Landslide Project, Sio-Malaba-Malakisi river catchment project, the Farm Income Enhancement and Forestry Conservation (FIEFOC) Project.
162. Similarly, evidence suggests that the project builds on the complementarities and synergies of other donor funded projects including those funded by GEF like The Nile Trans-Boundary Environmental Action Project (NTEAP) a regional GEF/International Waters project, encompassing eleven states (Burundi, Congo, Egypt, Eritrea, Ethiopia, Kenya, Rwanda, Sudan, Tanzania, Uganda, Arab States). In addition, by working directly with national institutions, like MWE, and Districts the project generated buy in, and took advantage of pre-existing systems, which greatly reduced project overhead costs.

3.5.2 Timeliness

163. Generally, substantial effort went into the design process of the project, which put it in good stead for implementing its activities over its five-year duration. The project was approved by UN Environment and global implementation begun in June 2010. Project implementation in Uganda begun in April 2012 almost two years late. The planned project duration was 48 months, expected to be completed by 31 December 2014. The project under-went a major revision in 2015, that added Component 5 and the project period was extended to 30 April 2015. The main project activities were completed (90%) by 31 December 2015. However, adequate resources were not available with UN Environment-WCMC to put in place suitable maps to be used for spatial planning for EbA at district scale. In addition, guidelines for integrating EbA in policy and planning are still in progress.
164. The project experienced significant delays in implementation caused by the delay by UN Environment in delivering EbA tools and methods. The project design had envisioned a sequential implementation of project activities: starting with developing EbA tools and methods (component 1), applying the tools and methodologies at ecosystem level, and implementing EbA pilots at ecosystem level. Thus, the delay in delivering EbA tools and methodologies delayed implementation of components 2 and 3 at country level. Indeed, IUCN started to implement livelihood improvement projects in the Mt. Elgon region as early as 2012 before the VIA were conducted. In 2013, the project partners in a meeting in Uganda agreed to start implement ‘no-regret’ adaptation activities before the VIA and identification of EbA practices. However, the “no-regret” pilot projects should have also been informed by a VIA which was only conducted during year 2 of

the project implementation. Nonetheless, the “no-regret” pilot activities presented a learning experience for the project and could be used to inform all subsequent activities.

165. Whereas the project started more than a year later than the scheduled start date, annual work plans were expedited as planned. There were also some delays in putting in place a PMU. Thus, in some cases, targets were not fully achieved on time, but this was not entirely within the means of the project implementers to manage. The MTR identified these delays and other institutional challenges. The project implemented the MTR recommendations which fast tracked project activities to completion. Because of the late start, the project duration was extended to allow project implementation and completion of crucial activities that were still ongoing at the time of evaluation reporting. It is the view of this evaluation that the project managed to overcome early delays in the launch of implementation and the timeliness in achievement of results was largely a result of PMU’s effective and efficient management style.
166. IUCN Uganda reported timeliness in funds disbursement. For UNDP, disbursements were very slow at the beginning because of a slow start to implementation, however from 2013 onwards implementation of project activities intensified and remained on track. By the end of December 2015, almost 90% of the project activities had been successfully completed well with the project budget.
167. Despite the delays in implementing Component 1, the management response at UN Environment was efficient and instrumental towards timely achievements of project objectives and outcomes. The disbursement of funds was immediate once funding and reporting was approved and as at 31 December 2016 UN Environment had disbursed all the funds (100%) to partners. The project National PSC and Technical Committee meetings placed great emphasis on timely implementation of the project activities as contained in the ProDoc and work plan. There have been no cases of none performance from partners.

The overall rating for efficiency is “Moderately Satisfactory”

3.6 Factors affecting performance

3.6.1 Preparation and readiness

168. The Uganda ProDoc lacked a detailed log-frame. The implementation strategy was realistic and appropriate to achieve the stated outputs and outcomes. The project built strong linkages with other ongoing and planned initiatives during project implementation that can drive the project results to impact.
169. Project stakeholders at the national and local levels were adequately identified in the ProDoc, including, among others, national and local government technical staff and political leadership, communities, civil society, research and academic institutions and the private sector. The most vulnerable communities highly dependent on the Mt. Elgon ecosystems for food security and livelihoods were identified as the main stakeholders. Therefore, planning and implementing of project activities focused on vulnerable communities as well as policy and decision makers at the national and local governments. Details on stakeholder participation are provided in section 3.6.3.
170. The project considered previous and ongoing work and initiatives on environment and climate change in Uganda and built on this foundation. The choice of implementing and executing partners, based on their respective competencies, contributed to the successful implementation of the project. The lead implementing agencies (UN Environment, UNDP and IUCN), the executing agency (MWE) in partnerships with districts as well as implementation and institutional arrangements were clearly described in the ProDoc. Local partners for the demonstration projects were identified in consultation with the relevant Government Ministries, Districts and local communities. However, the project design did not consider country and local specifics, considering all mountain regions context as the same. For example, the design missed out issues like vulnerability and conflicts, demographics and environmental health that could affect the sustainability of project achievements.

Overall, the project preparation and readiness was “Moderately Satisfactory”

3.6.2 Project implementation and management

171. At the national level, UNDP coordinated project implementation based on a Letter of Agreement (LoA) signed between the MWE and UNDP. MoUs were signed between MWE and DLGs to operationalise project implementation at the local level. The LoA and MoUs signed clearly spelt out the roles and responsibilities of partners in project implementation, which also increased ownership of the project and actions taken.
172. A PMU under the MWE was put in place as a Secretariat to coordinate project implementation. A full time National Programme Coordinator (NPC) was put in place to manage the project. The NPC reported to the Project Manager who is also the Director Environmental Affairs, MWE. The project management structure was very clear, and management was stable with roles and responsibilities clearly defined and understood.
173. At the district level, the District Natural Resource officers (DNROs) were the Project focal persons. IUCN appointed a Project Officer who coordinated implementation of project activities in the districts of Kapchorwa and Kween; and UNDP also appointed a Project Officer for the districts of Bulambuli and Sironko. Project activities were implemented jointly with the DLGs through the involvement of district officials, such as, DNROs, Agricultural Officers, Production Officers, Environment Officers, Community Development Officers, Water Officers, etc.
174. A NPSC and Technical Committee were put in place to guide and supervise project implementation. The two committees were multi-sectoral, with members drawn from sectors including water and environment, lands, agriculture, planning, finance, local government etc. The NPSC was the highest decision making body of the project in the country tasked with ensuring that the project was implemented according to the plans and budgets and that it delivered satisfactory results and impacts. The Technical Committee was more engaged in monitoring and reporting.
175. A MTR was completed in September 2014 and rated project progress as Marginally/Moderately unsatisfactory (objectives/outputs) because many project activities were behind schedule. The MTR made some recommendations to improve project performance and all of them were implemented.
176. The implementation arrangement was notable in that the existence of two main project implementing partners in Uganda - UNDP and IUCN was beneficial to achieve synergy effects of project implementation through UN Agencies and NGOs. However, the two institutions received funding from UN Environment through their HQs and operated separate financial management and reporting systems which subdued flexibility.
177. The different partners/stakeholders’ roles and mandates often delayed implementation of activities, especially where partners thought that they were the “actual” or “lead” implementers. Thus, decision making was complicated because for each decision, the three agencies had to first agree which took a lot of time. Project implementation challenges were also experienced arising from variations in operational systems between UNDP and IUCN. The operational procedures of IUCN (an INGOs) were more flexible and community driven compared to those of the UNDP (UN agencies). More often UNDP’s style was bureaucratic, operated through suppliers and lacked flexibility and community engagement. The variation therefore explains the higher buy-in of the EbA project in the districts of Kapchorwa and Kween (where IUCN operated), than in the districts of Bulambuli and Sironko where UNDP operated.
178. While partners’ roles and responsibilities were clearly spelt out in the design documents (ProDocs), the project team, and indeed DEA in MWE, indicated that they found reporting mechanisms and decision making much easier with UNDP than with IUCN and UN Environment. The explanation for this may be that UN Environment is not a resident agency and IUCN is an INGO, and the executing partners found it easier working with UNDP which is an intergovernmental agency. It is important to recognise however that the reporting structure did not significantly affect the implementation of project activities and achievement of results.

179. Procurement in terms of equipment and consultancies was managed by the Procurement Section of UNDP. The administrative processes at UNDP sometimes delayed procurement of essential services but this did not significantly affect the achievement of project outputs and outcomes.
180. Though the delays in delivering outputs under component 1 (EbA tools and methodologies) affected the logical flow in implementation of some project components, the project largely followed the course that had been set out for it in the ProDoc. Despite the initial delays and management challenges encountered, the evaluation team concludes that project management was effective and efficient, with no major problems reported by executing partners. Where management challenges were encountered adaptive management and flexibility were applied to bring back the project implementation on course. The role of the PMU was praised by NPSC members interviewed. It is the view of the evaluation team that the UNDP and the PMU were effective and efficient in implementing the project.
181. While Adaptation Learning Centres were built in the project sites lead by UNDP (Bulambuli and Sironko Districts), this did not take place in Kapchorwa and Kween districts where IUCN operated. Given that the Adaptation and Learning Centres are also physical structure that will remain in place for a longtime after the expiry of the project, the districts in which they were not constructed feel that project resources were not equitably distributed among project partners and areas. This feeling of unfairness in project implementation was clearly expressed by the district officials of Kapchorwa and Kween.

The project's performance in implementation and management is rated as "Satisfactory"

3.6.3 Stakeholder participation, cooperation and partnerships

182. During the definition of priorities, UNDP actively engaged the GoU and civil society in the entire project preparatory process. A TOC workshop was conducted that enabled partners to understand and agree on a common logical framework and implementation strategy and an M&E framework. Throughout the implementation of the project, stakeholder participation remained high (in scoping, inception, VIA, action planning, training and information sharing workshops, exchange and learning visits etc.) and partners are commended for this achievement.
183. Participatory visioning was undertaken with communities at the project on-set in which the communities developed a vision and mapped out pilot sites, identified priority interventions and developed community environment action plans. This process ensured that communities are engaged in the processes right from initial stages, and provided a point of reference for communities to check their progress and track how the various interventions are contributing to achievement of the vision. The project also engaged in participatory mapping of villages and households within the targeted river catchments, participatory visioning processes, and development of Village/Community Environment Action Plans (CEAPs) with clear implementation structures for implementation of the community environment conservation fund.
184. Workplans were developed and agreed upon by all the parties and progress was shared within the country on a quarterly basis through quarterly review meetings. The MTR was an equally participatory process involving all stakeholders, which gave a good rating of progress towards the achievement of the project objectives.
185. The NCCPC was selected to as the NPSC. This provided an avenue for easy mobilisation for EbA implementation in sectors at national level and for EbA to influence national policy which is beneficial for sustainability. Participation was particularly ensured through signing of a LoA and MoUs with key partners, districts and maintaining good communication channels between the project team at UNDP and MWE with partner and stakeholders. Engagement of local communities helped to ensure that their needs were taken into consideration in the development and piloting of EbA tools and approaches, implementing EbA interventions and livelihood improvement projects, as well as ensuring ownership and buy-in. Significant effort went into raising public awareness on EbA. A range of training and communication materials were

prepared and sensitization of government officials and technical staff at national and district levels as well as farmers at community level conducted.

186. The combination of partners was effective and efficient, with each partner making important contributions towards different project components and outputs. Based on interviews and examination of the progress reports and project accomplishments, it was clear that there was reasonably good collaboration among the partners and especially engagement with stakeholders at the districts, communities, and farmer groups throughout the duration of the project. In summary, communication and engagement strategies were vitally important elements of all project activities.
187. Gender issues were taken into consideration in project implementation. The trainings conducted by the project were sensitive to gender distribution. The findings from the interviews with community group members, and documented in the PIRs indicate that training of women has enhanced their basic capabilities and self-confidence to counter and challenge existing disparities and barriers against them. Community groups supported by the project had membership and leadership composed of both men and women whose management skills were enhanced. Community revolving funds were introduced and members were trained on financial management and book keeping and this is expected to lead to individual group economic empowerment through enabling decisions about financial management, enabling them to set up micro-enterprises, and increasing incomes. The community groups were also trained on PES modalities. The various training conducted under the project helped stakeholders to develop EbA action Plans at district level and climate change adaptation action plans at parish level.
188. NGOs were represented on the PSC and were also part of the project implementation. For example, IUCN, an international NGO was one of the project partners. UNDP partnered with ECOTRUST to develop incentives for EbA through which the PES facility was developed. IUCN worked in partnership with other NGOs including Nature Harness Initiatives (NHI), Kapchorwa Community Development Association (KACODA), Apitrade Africa Limited, Tree Talk Foundation, Farm Radio International (FRI) and Kapchorwa Trinity Radio (KTR) to implement project activities.
189. Nonetheless community engagement at the start of the project was not all that easy and successful in all communities. For example, in Kapchorwa district IUCN had intended to pilot the project activities in the Atari river sub-catchment, but had to abandon the area because the communities became hostile thinking that IUCN had come to grab their land. IUCN relocated to another area, the river Ngenge micro-catchment where the communities were receptive and the pilot and demonstrations activities at ecosystem level were very successful and community owned.
190. Private sector engagement in the project design and implementation was very limited. While this can be attributed to the fact that the private sector is profit motivated and does not have any incentives to engage in EbA, there is no indication that the project partners attempted to mobilise and incentivise private sector engagement. The Private sector was not represented on the NPSC and so the project missed an opportunity to raise awareness and mobilise the private sector to participate in EbA activities. However, the private sector has a lot to gain from improved delivery of ecosystem services that results from EbA application: reduced floods risks, clean water supply, energy supply and improved soil fertility. For example, the private companies dealing in coffee in the region could have been interested in the EbA initiatives that increase coffee production and improve the coffee value chain.

Stakeholder participation, cooperation and partnerships is rated “Highly Satisfactory”

3.6.4 Communication and public awareness

191. The project team has done a great job in engaging with key institutional stakeholders, through effective communication and public engagement. Outcome 5 of the project was devoted to increasing EbA awareness and documenting of good practices and lessons learned, and knowledge management. These could raise

awareness and build a case for adoption of EbA locally, nationally and globally. To that end, this evaluation finds that effective communication and raising public awareness were a priority of the project.

192. The project deliberately enlisted a communication consultant who worked with both the national and community stakeholders to develop an EbA communication strategy. The strategy was developed in a participatory manner to allow for ownership and continuity. In addition, a communication assistant was recruited to strengthen communication at national and community levels. Regular and clear communications between the project team (at the PMU), project partners, and beneficiaries ensured that progress was on track. Clear communication also helped to manage expectations of the project stakeholders.
193. A range of communication materials were prepared (tools, study reports, policy briefs and training materials) and public awareness workshops convened and demonstrations held. Some of these materials are uploaded on the websites (<https://ebaflagship.unep.org>) and many others are yet to be made publicly accessible. The involvement of the media (radios, TV and print media), regular meetings/workshops of partners and key stakeholders, training of district officials and communities ensured that information about project results and progress were communicated and this kept the partners highly engaged.
194. The Mt. Elgon Stakeholders Forum was formed to increase awareness and application of EbA. Regular forums (quarterly and bi-annual meetings) provide an opportunity to building consensus on contentious issues. District technical teams were involved in the monitoring of EbA activities. At the global level, the Friends of EbA (FEBA) network was formed and it enabled sharing of Uganda project results with the global EbA community. During the COP 21 in Paris various EbA Day side-events were held on to highlight and promote the importance of EbA as an effective means towards enhancing human climate resilience as a part of adaptation negotiation and planning processes²⁹. In addition, the Uganda EbA team project participated in CBA9 Conference held in Nairobi Kenya in April 2015 - at which presentations of EbA knowledge products was made.
195. Two documentary films were developed by IUCN and are great project achievements which will serve as lesson learned for further activities addressing EbA and climate change adaptation in general. The method was found to be very effective and other projects are deploying it. UNDP developed 6 EbA photo essays which were posted on the Global UNDP and UN Environment websites, in addition to a Policy Gap Analysis documentary.

The project's performance on communication and public awareness is rated "Highly Satisfactory"

3.6.5 Country ownership and driven-ness

196. Country ownership and driven-ness was an integral part of the project from the time of conceptualization to implementation. The evaluation mission and documentation review confirm that the ownership was high because the project is highly relevant to Uganda's environment, climate change, and development priorities and plans as outlined in the section 3.1: relevance. Moreover, the project was (and remained) linked to the MDGs (now SDGs), UNDAF and UNDP CPAP and sought to ensure environmental sustainability, develop a global partnership for development, promote sustainable development which are priorities for Uganda.
197. The project was implemented on a basis of LoA between GoU and UNDP, which was operationalised with MoUs signed between MWE and DLGs. This provided an enabling environment and ownership of the actions taken. Evidence of country ownership and driven-ness is also provided by the complementarity of the EbA

²⁹ <https://www.iucn.org/theme/ecosystem-management/our-work/ecosystem-based-adaptation-and-climate-change/friends-eba-feba>

project to GoU priorities in the NAPA. Given that Uganda co-sponsored UNEA 1/8 resolution on EbA³⁰, is an indication that the EbA project was country driven and delivered great achievements in the country.

198. The project was also nationally implemented in Uganda with lead implementing agency as Government Ministry - MWE (DEA). All the project institutions and stakeholders in Uganda were nationals, except for UN Environment, UNDP and IUCN. The involvement of national and local technical experts (in MWE, IUCN, Makerere University, Districts, NGOs and Consultants) in the scientific work also promoted country ownership. Joint decision making was depicted right from work plan development to approval. The national counterparts and other implementing partners agreed on annual and quarterly plans and budgets and carried out joint M&E missions and shared roles in implementation of priority activities taking care that each of them does what they do best. The high rating of effectiveness was mainly due to the very good engagement at the district and community levels, and ownership at both the national and district levels.
199. The contextualisation and piloting of EbA tools and approaches, and more precisely, conducting participatory VIA and action planning ensured ownership of the outputs at national and local levels. In addition, identification of pilot sites, beneficiaries and prioritisation of EbA options was participatory. The capacity building activities based on the capacity needs of stakeholders, generated ownership of the project by the main stakeholders.
200. It was apparent to the evaluators that the MWE and GoU were fully supportive of the project during its implementation and are committed to incorporating the results in national programmes. In fact, all national level stakeholders interviewed expressed interest in a follow up phase/phase.

Country ownership and driven-ness is rated “Highly Satisfactory”

3.6.6 Financial planning and management

201. Financial planning and management was consistent with UN Environment’s procedures. UN Environment received project funds from BMUB and made disbursements to implementing agencies based on legal and contractual agreements, for the execution of specific activities. As at 30 April 2016, IUCN had already disbursed/spent all the allocated project funds (100%) while UNDP had disbursed 88% of the allocated funds (remaining with a balance of USD 208,098). Three project/budget revisions were carried out, the latest in May 2014. A no-cost extension was granted to the project to 30 April 2016 to complete project activities³¹. The statement of expenditure as at 30 April 2016 shows a total expenditure of USD 2,148,051, including both financing through UNDP and IUCN. In kind contribution to the project from GoU and communities totalled USD 150,000. The GoU and local communities provided in kind co-financing estimated at USD 150,000.
202. Financial records at UN Environment were maintained by a Fund Management Officer (FMO) who also provided oversight on the funds administration. According to the FMO, this project was ‘uneventful’ in terms of the financial aspects, indicating that there were no irregularities and problems. In Uganda, financial records were kept by UNDP (PMU). An end of project Financial Audit was conducted by Price Waterhouse Coopers (PWC). There no significant issues raised by the audits.
203. The main challenge for the project was the slow turn-around time for payments for project activities which had implications on the project timeframe, especially these involving procurements and accountabilities (some service provided were not timely in accounting for funds). This was overcome by utilizing CBOs to implement activities. Some grantees had weak accounting procedures/systems for the funds received. This

³⁰ UNEA 1/8 resolution on ecosystem based adaptation encourages all countries to incorporate EbA in national policies and plans, and in climate change adaptation. The resolution also encourages all countries to formulate and implement EbA measures.

³¹ June 30, 2015 was the legal closing date. The technical closing date was December 31, 2014 however UNEP activities and expenditures did not close on time primarily due to delay of some activities.

was overcome by having one grantee (ECOTRUST) who managed the bigger chunk of the resources on behalf of UNDP while ensuring that activities were going on at the sub-county level based on agreed work plans. A no-cost extension period was subsequently obtained to finalize the work and most of the project results were eventually attained.

204. The project partners (UNDP and IUCN) received funds separately from UN Environment as stipulated in the respective legal agreements and operated separate financial reporting systems. This did not allow flexibility in decision making and budgets. For example, funds could not be reallocated from one budget item to another. Moreover, the PMU was not engaged in IUCN financial matters.

Overall project financial planning and management was “Satisfactory”

3.6.7 Supervision, guidance and technical backstopping

205. The ProDoc stated that the project would be implemented by UN Environment, UNDP and IUCN. In UN Environment, the Ecosystem Division (DEPI) was responsible for the project, i.e. overseeing and monitoring the project implementation process as per UN Environment rules and procedures, including technical backstopping. UN Environment worked closely with UNDP, IUCN and MWE (the EA). A Project Coordinator was designated from UN Environment to provide oversight and accountability during the life of the project. The national project Coordinator, the Project Director (the Director DEA, MWE), and the UN Environment Project Coordinator was highly regarded by the project management team.
206. As part of its supervision and backstopping role, UN Environment closely monitored project progress and regularly communicated with partners to provide guidance and ensure that any challenges were addressed. The Project Coordinator visited the project sites in Uganda and during the visit also attended a NPSC meeting. This participation in meetings enhanced interactions and access to first-hand information from the project partners and beneficiaries, which contributed to project implementation and achievement of results. Where not present, UN Environment was represented by UNDP, which has a resident agency in Uganda that was available to provide project supervision and backstopping in case major issues in project implementation and execution were encountered.
207. MWE and other local project partners greatly appreciated the role of the PMU and involvement of the UNDP Environment and Energy team in Uganda who assisted with the implementation and reporting. Project supervision was also provided by the NPSC and Technical Committee which met regularly. The NPSC provided important strategic guidance to the project management team. Over the course of the project, a good rapport and mutual trust was developed between the NPSC and the project management team.

Overall UN Environment /UNDP supervision and backstopping was “Highly Satisfactory”

3.6.8 Monitoring and evaluation

Monitoring and Evaluation design

208. At project design, the Uganda ProDoc (UNDP ProDoc) did not have a project log frame (results framework) and thus lacked SMART indicators for each expected outcome as well as mid-term and end-of-project targets. A work plan is provided in the ProDoc that indicates activities, outputs and timelines. The time frame to achieve the ultimate objective would depend very much on the impact drivers and assumptions (such as availability of financial resources for up-scaling/replicating) to move from project outcomes towards project impacts.
209. An elaborate M&E plan with indicators was later developed in 2013 to guide project implementation. Both the global and Uganda ProDocs include M&E plans and budgets consistent with the UN Environment and UNDP M&E Evaluation Policies. The ProDoc also makes provision for independent mid-term and terminal

evaluations. A provision was included in the ProDoc for an independent terminal evaluation to be conducted towards the end of the project. Periodic monitoring of progress was conducted through site visits and annual progress review reports. The project design did not include a dedicated M&E staff at the PMU.

The M&E design is rated as “Moderately Satisfactory”

M&E plan implementation

210. Since there was no country-specific logframe for Uganda, monitoring was based on the overall project logframe, including indicators and targets. The M&E system put in place was operational and facilitated timely tracking of results and progress towards project objectives throughout the project implementation period. The PMU operationalized the M&E system. M&E was conducted through NPSC meetings, technical Committee meetings, procurement committee meeting, audits, and visits to project sites by project teams. Regular technical monitoring was carried out by UNDP (through the Program Officer), PMU, MWE team and DLG teams.
211. Joint monitoring teams to the project including government, UNDP (MSU, Finance & Programme) and the district leadership were held. Regular monitoring of the project field activities was done by the project board on a quarterly basis with the board reviewing project progress while in the field. The, UN Resident Representative, the UNDP Assistant Country Director and the Minister and Permanent Secretary MWE also visited the project pilot sites in Sironko and Bulambuli Districts.
212. A community based M&E system was introduced by IUCN in Kapachorwa and Kween districts. This was yet another departure from “doing business as usual”. In this system, land owners working with facilitators could evaluate their progress (or lack of it) along the way and remedial measures instituted at the right time. Forty-two active members formed a peer group monitoring team that occasionally visited and supported their members on their individual farms to implement EbA interventions.
213. Participatory planning and visioning that were undertaken with communities at the start of the project provided a point of reference for communities to check their progress in project implementation. Community visioning was also used as a monitoring tool for communities during reflection meetings to track how the various interventions are contributing to achievement of the vision. This helped communities to adjust their interventions, and integrate key lessons emerging to ensure that they achieve their vision.
214. Financial monitoring was undertaken by the Programme Associate and DLGs. The project underwent annual audits. Following the end of the project, a final project report was prepared and was made available to the evaluators.
215. However, project reporting tended to be concentrated on activities and outputs. The project monitoring system did not fully support measuring results at outcome level, though the project did not have a M&E staff at the PMU, it relied on expertise of the staff of UNDP, UN Environment and WCMC to develop M&E plans and for monitoring project progress, reporting and documenting knowledge products and lessons learned. In some instances, the final report does not provide updated information and a few activities are reported as still ongoing.

The M&E plan implementation is rated as “Satisfactory”

4. Conclusions and Recommendations

4.1 Conclusions

216. In the light of ROTI analysis and the TOC, the project objectives and implementation remained relevant in the context of the issues they intended to address in Uganda. These issues include: (i) national development plans and climate change policies and actions that integrate EbA; (ii) increased uptake and scaling-up of EbA practises by governments and communities in mountain ecosystem to adapt to a changing climate; and, (iii) enhanced ability of the population and communities in mountain regions and countries to adapt to a changing climate; as intermediate states in the TOC remain important.
217. As described in Sections 3.1.1 and 3.1.2, the evaluation found the project highly relevant to GoU national and local environment and development priorities.
218. The project was successful in strengthening the capacity of the national government, DLGs and communities in Mt. Elgon to apply EbA approaches. A VIA was produced and used to identify and pilot EbA options, and CBA conducted that confirmed the viability and sustainability of EbA options. Above all the necessary human capacity was built at levels and institutional mechanisms (EbA proofed policies) created to support EbA. The project deployed capacity building approaches that were based on learning by doing and demonstrations in the pilot sites.
219. The project worked directly with the national, district and community stakeholders, trained key stakeholders on EbA, piloted and demonstrated EbA options at ecosystem level, and used participatory methods to communicate and disseminate EbA lessons learned. In addition, the project raised EbA awareness and knowledge among policy and decision makers and the wider public. Due to the project interventions, EbA has been integrated in the NDP II, NCCP and DDPs of the four pilot districts (Bulambuli, Kapchorwa, Kween and Sironko districts). At the district level, EbA action plans were also developed.
220. The landscape and climate change adaptation action plans developed at parish level were implemented through ecosystem restoration (including river micro-catchment revegetation and rehabilitation of degraded land), soil and water conservation and livelihood improvement interventions (discussed in section 3.2.3). Innovative economic incentives for promoting EbA were developed, including the community conservation fund, revolving fund and PES mechanisms, are operating after the expiry of the project. These are beginning to translate into increased resilience of ecosystems and communities to a changing climate. Even though, guidelines for mainstreaming EbA in policies and plans are still being developed after the end project, this evaluation finds that the project has succeeded in putting in place enabling conditions that will contribute to reducing the vulnerability of the communities to the impacts of floods, droughts and landslides, and improve community livelihoods.
221. Moreover, the project has promoted partnerships and dialogue at the community, district and national levels involving both the technical and political arms of government. This has fostered collaboration in sharing of EbA information and lessons learned, ownership of the results of the project, and above all the integration of EbA in policies and planning at national and local levels. These are critical for enhancing EbA implementation, scaling up and replication. All these are key drivers towards the intermediate state. Based on the ROTI analysis, the overall likelihood that the intended impact will be achieved is rated as 'likely'.
222. The targets set by the project at design were achievable in the planned budget and time frame. However, while the project achieved almost all the outputs and outcomes, significant uptake of the lessons learned and best practices as well as up-scaling and replication requires a much longer time and additional funding. To that end a follow up phase or project may be necessary to (i) increase EbA awareness, knowledge and skills beyond the pilot sites, districts and Mt. Elgon region – which rewires extensive communication and dissemination of EbA project results in Uganda, (ii) deeper and direct involvement of local project in implementation, mainstreaming of EbA into sectoral and local government policies and plans. There are already promising cases where project results (VIA, ecosystem restoration and watershed management) are

being applied outside the pilot areas - in other communities of Mt. Elgon region and the country at large to inform adaptation planning and decision making and continued funding can concretise these achievements.

223. The overall impact from the outcomes and intermediate states is increased ecosystem resilience and reduced vulnerability of communities in Mt. Elgon region to climate change. This impact is likely to be achieved based on the intermediate state assessments. The EbA tools, methodologies and options were developed, applied and piloted and found to be cost-effective. The target of increasing institutional and community capacity to apply EbA to adjust adaptation practices to a changing climate was achieved. The combined impact of EbA proofed DDPs and land use plans, land rehabilitation, and climate resilient livelihood improvement are contributing to increasing preparedness to climate change risks and flood disasters in Uganda. The combined impact of implementation of EbA tools and approaches; the national and local climate change policy and development plans that integrate EbA (NCCP, NDP II and DDPs); the increased uptake and scaling-up of EbA options at community level and uptake by the central and local governments; and the enhanced ability of the population and communities in Mt. Elgon region to adapt to a changing climate are contributing to increased ecosystem and community resilience.
224. Long term impacts are likely to accrue if implementation of EbA forms part of a wider framework for Uganda's adaptation planning and sustainable development. The early successes of the pilots showcase the project's concrete, on-the ground achievements, which will be instrumental in promoting further stakeholder buy-in and acceptance by households, communities and local governments of EbA practices.
225. Prospects for sustainability are likely with respect to three factors i.e. socio-political, institutional and environmental sustainability of project outcomes, and less likely for financial sustainability. Availability of financial resources will be instrumental to drive up scaling and replication. Though Uganda has integrated EbA in policy and planning, national and local resources may not be adequate to upscale and replicate the project achievements. Nonetheless, there are some ongoing and planned initiatives in climate change adaptation supported by both the GoU, bilateral and multilateral donors that provide some opportunities for sustaining project outcomes through uptake. Additionally, the socio-political situation and institutional frameworks are conducive to sustaining project outcomes. However, sustainability will be higher if follow up funding sources are secured, and ownership and enthusiasm at community, district and national level to keep momentum is kept maintained.
226. The evaluators, when visiting the project sites, found that there was considerable enthusiasm and drive to move the project's results forward and that country ownership was very strong. The partnerships forged and high stakeholder participation was considered by the respondents and evaluators alike to be great achievements. Engagement of national and local stakeholders at all levels and alignment of the project goals with national and local priorities and needs with respect to climate change adaptation was instrumental in promoting a high level of country ownership and driven-ness.
227. Project implementation was generally cost-effective. Project activities were low cost and cast a vast net in terms of livelihood impact. This was achieved through establishing strategic partnerships through MoUs, selection of pilot and demonstration sites in areas with ongoing projects and programmes, involving local communities in implementation and utilization of existing institutions, structures and information. However, achievement of project outputs was less timely given the delays in delivering EbA tools and methodologies and VIAs which delayed the logical and sequential implementation of the projects components. The project kicked off more than a year late which affected implementation and completion of some EbA activities.
228. The project had multiple implementation partners, had a multi-sectoral NPSC and engaged many partners and stakeholders at global, national and local levels. This helped build and strengthen partnerships and an institutional framework for EbA. It also directly helped institutions to overcome some capacity barriers (MWE and districts) and create opportunities for mainstreaming EbA into districts, sectoral and national planning process.
229. The project performed well on M&E. Though at design the Country ProDoc did not have a log-frame with SMART indicators, an elaborate M7E was designed in 2013 and significant efforts and resources were committed by the PMU and project partners to M&E. Technical backstopping was provided by the UNDP

Country Office. Monitoring and reporting the progress of the project and documenting lessons learned and best practices was well conducted. A MTR was successful conducted and it informed remedial action for the project. The implementation of the recommendations of MTR made the project to have great achievements.

4.2 Lessons Learned

230. The following key lessons learned emerged in the implementation of the project (not arranged in any order of priority):
231. **Take into account local contexts:** The project analysed climate change impacts and vulnerabilities and developed a scientific approach for EbA. The EbA tools and methodologies and options developed and piloted took into account local contexts and integrated indigenous knowledge into the planning and implementing EbA options (see section 3.3.1 – Achievement of outcomes – immediate outcomes 1 and 5). Therefore, successful implementation of EbA not only requires a strong scientific base but also needs to be guided by participatory vulnerability impact assessments (VIAs) that integrate local socio-economic contexts and risks to ensure sustainability and likelihood of replication of the prioritised and implemented EbA options.
232. **Building evidence base is critical for uptake of EbA options:** The EbA project was successful in building evidence for EbA application in Uganda. This resulted in increased confidence in the contribution of EbA in building climate change resilience in the country which in turn generated policy discussions with key ministries and local governments. The EbA policy discussions resulted into integration of EbA in development policy and planning processes (Sections 3.1.4 relevance to national development and environmental needs and priorities; 3.4.5 catalytic role and replication). Therefore, building EbA evidence base is crucial for EbA policy discussions and engagement with line ministries and local governments that enable better policies, mainstreaming effort of the EbA approach in government policies and plans. Policy discussions in different multi-sectoral platforms must be taken into consideration and systematically planned and implemented.
233. **Partnerships and stakeholder engagement.** The project was largely successful because it was country-owned and driven, aligned to the country's climate change and development needs and priorities, and implemented with the existing national and district institutional frameworks. This ensured strong coordination and management mechanism and understanding of community contexts and vulnerabilities (Section 3.1.4 - Relevance to national development and environmental needs and priorities). Therefore, engagement of a cross-section of stakeholders, including local governments, communities and beneficiaries is important for building partnerships that enhance successful implementation of projects in which the long-term impact is highly dependent on their actions. Adaptive capacity cannot be built without partnerships and stakeholder participation.
234. **Building capacity through learning by doing and demonstration:** A major approach to the EbA project's capacity building was learning-by-doing that involved pilots and demonstrations. The learning approach directly involved district technical staff and political leaders, extension workers, communities and farmer groups in piloting and demonstration of EbA actions. The implementation of EbA interventions using community based approaches translated into a strong sense of local ownership. In addition, involvement of technical personnel at national and district level in the VIAs and piloting helped to build technical capacity. (see sections 3.1.4 relevance to national development needs, 3.2.3 Component 3 – implementation of EbA pilots at ecosystem level, and 3.2.5 Component 4 – EbA learning and knowledge management). Therefore 'Learning-by-doing' capacity building approach is a win-win approach that result in greater ownership of project results and impact and it should be promoted in project design and implementation
235. **Project design and implementation:** Firstly, it was not realistic to expect that ecosystem and community resilience in Mt. Elgon region would be achieved in four years with a budget of USD 2.5 million. While the project achieved great results through pilots, there is a long way to go in building climate change resilience. Secondly, the project was complex project with multiple partners delivering different outputs, using diverse approaches and activities. This was compounded by the sequential (step-wise) arrangement of the components, with the implementation of some components (outputs) packages dependent on the results of preceding activities (scientific tools and methodologies). This is not optimal in a project of short duration, as

delays in delivery of outputs in some components affects other components (see sections: 3.2.3 - achievement of outputs under component 3; 3.5.2 timeliness; 3.6.1 – preparation and readiness; and, 3.6.2 – implementation and management). Project design, particularly in climate change adaptation, needs to be realistic in terms of time and resources, especially in view of the number of factors and uncertainties that come into play. Where possible projects should be designed in such a way that generation of science and application are separate projects.

236. **Incentives are crucial:** The project developed incentives for EbA including the community environment fund and PES that have built community financial capital, enabled communities to engage in livelihood improvement and diversification activities. These incentives have served to reduce pressure on ecosystems but also attracted communities to engage in ecosystem restoration thus accelerating the success of EbA approach. Incentive schemes are key entry points for promoting EbA and are very effective if they are integrated in project design, implemented in a participatory manner, and an institutional framework at district and community level to enhance their sustainability.
237. **Communication and knowledge management.** The project produced a documentary film that showcased, among others the project achievements. The documentary was distributed widely to NPSC members and the wider public and is also available on YouTube and this makes it accessible to the wider public. The documentary serves to demonstrate lessons learned for further activities applying EbA and addressing climate change adaptation in general. This method was found to be very effective and other projects are deploying it (Section 3.6.4 communication and public awareness). Documentaries (films) with innovative and concrete activities are an effective mechanism for demonstration and transmission of knowledge and good practice to stakeholders of all categories. However, they need to be disseminated widely to the public.

4.3 Recommendations

238. Based on the evaluation findings, some recommendations have been made. The recommendations look ahead to the post-project period and development and implementation of other UN Environment projects and sustaining the results of the EbA project in Uganda. Apart from UN Environment, the recommendations are targeted to UNDP, IUCN, GoU and the local governments in the Mt. Elgon region.
239. The project has created a considerable interest and confidence in EbA and has generated useful lessons and best practices that can be scaled and replicated (Sections 3.3.2 - Likelihood of impacts, and 3.4.5 - Catalytic role and replication). However, the project activities were limited to pilot sites in Mt. Elgon region and involved a few partners. This implies that EbA awareness and knowledge is still limited to a few partners, beneficiaries and area. Successful uptake of EbA and building mountain ecosystem resilience in Uganda therefore requires follow up activities that communicate and disseminate EbA lessons learned and replicate EbA options outside the pilot sites in the Mt. Elgon and other mountain regions of Uganda. Such follow up activities may require a follow up phase and funding. Strengthening the climate finance readiness of GoU to access the GCF and other international climate finance, and implementation of the NDC are some of the avenues of ensuring financial sustainability of Uganda's EbA approach.
240. It is recommended that UN Environment, UNDP, IUCN and GoU increase efforts to disseminate the lessons learned and knowledge products generated by the project in Uganda, including to other relevant ongoing and planned projects. Wide dissemination of the projects knowledge products can be done through their respective networks and other means, which should be given high visibility at appropriate forums. The appropriate materials should be translated into local languages and made easily available to local communities and development agents in Uganda. Additionally, some technical reports should be simplified as far as possible to facilitate their use by managers and decision-makers and for uptake into policy processes. Again, however, funds will need to be identified for this activity.
241. Community participation and interest in piloted EbA options was high. However, the piloted and demonstrated EbA interventions are still on a very limited scale and in a few ecosystems and communities where the project was piloted. They are not yet rolled out. (Section 3.4.5 - Catalytic role and replication). The GoU should integrate EbA into broader development programmes, including NAPs, in which the needs of the most vulnerable communities and ecosystems are addressed. Community driven EbA projects could be

developed by districts and communities, but funding is a constraint. International and local NGOs could be encouraged and supported to engage actively in the design and implementation of community driven EbA projects.

242. While the project focused on the Mt. Elgon region, there are other vulnerable mountains and hilly regions in Uganda. In addition, there are other severely degraded and vulnerable ecosystems including: the wetlands, river and lake basins, forests, rangelands and semi-arid areas and urban ecosystems that need an EbA approach (sections 3.4.3 – environmental sustainability, and 3.4.5 - catalytic role and replication). Therefore, the GoU needs to apply EbA to other degraded and vulnerable ecosystems. This could involve scaling up EbA tools, products and services (developing appropriate tools) to other ecosystems and promote ecosystem restoration and management countrywide.
243. The project design combined the development and application of EbA tools and methodologies implemented jointly by different partners. However, UN Environment delayed to develop tools and methodologies that were supposed to be inputs for other project components. This resulted in delays other partners in implementation of other project components in countries and the step wise implementation approach envisioned at project design was not realised (Sections: 3.2.3 - achievement of outputs under component 3; 3.5.2 timeliness; 3.6.1 – preparation and readiness; and, 3.6.2 – implementation and management). It is critical that that UN Environment increases its timeliness in delivering the science and scientific tools that are to be applied by other partners at country level, because this provided a challenge to the logical and sequential implementation of project components. Alternatively, projects could be designed separately: (i) project for development of scientific tools, and (ii) application and implementation projects. This way piloting and application project can start when the tools are in place.

4.4 Summary of Ratings

244. Ratings for the individual criteria are given in Table 2. The overall rating for this project based on the evaluation findings is **Satisfactory**.

Table 2: Summary of Evaluation criteria, assessment and ratings

Criterion	Summary Assessment	Ref.	Rating
A. Strategic relevance	The project’s goal, objective and components are highly aligned to Uganda’s development, environment and climate change needs and priorities. These issues include: (i) national development plans and climate change policies and actions that integrate EbA; (ii) increased uptake and scaling-up of EbA practises by governments and communities in mountain ecosystem to adapt to a changing climate; and, (iii) enhanced ability of the population and communities in mountain regions and countries to adapt to a changing climate	3.1.1 and 3.1.2	Highly Satisfactory
B. Achievement of outputs	The project worked directly with the national, district and community stakeholders, trained key stakeholders on EbA, piloted and demonstrated EbA options at ecosystem level, and used participatory methods to communicate and disseminate EbA lessons learned. Almost all the outputs were satisfactorily achieved based on the log-frame indicators. The technical outputs for all components were of a high quality. Outputs on outcome 3 on implementation of EbA pilots at ecosystem level and outcome 4 on building evidence base for EbA were exceptionally achieved.	3.2	Satisfactory
C. Effectiveness: Attainment of objectives and planned results			

Criterion	Summary Assessment	Ref.	Rating
1. Achievement of direct outcomes as defined in the reconstructed TOC	Project monitoring did not adequately support documenting evidence at outcome level. However, direct outcomes of the project were largely achieved. The project was successful in strengthening the capacity of the national government, DLGs and communities in Mt. Elgon to apply EbA approaches. A VIA was produced and used to identify and pilot EbA options, and CBA conducted that confirmed the viability and sustainability of EbA options. The necessary human capacity was built at relevant levels and institutional mechanisms (EbA proofed policies) created to support EbA. The project deployed capacity building approaches that were based on learning by doing and demonstrations in the pilot sites. In addition, the project raised EbA awareness and knowledge among policy and decision makers and the wider public.	3.3.1	Moderately Satisfactory
2. Likelihood of impact using ROTI approach	The project outcomes achieved have implicit forward linkages to intermediate states and impacts. Considering the high level of ownership of the project results at national and local levels there is likelihood of impact. However, a follow up phase/project may be necessary. Due to the project interventions, EbA has been integrated in the NDP II, NCCP and DDPs of the four pilot districts (Bulambuli, Kapchorwa, Kween and Sironko districts). At the district level, EbA action plans were also developed. The landscape and climate change adaptation action plans developed at parish level were implemented through ecosystem restoration interventions. Innovative economic incentives for promoting EbA were developed, including the community conservation fund, revolving fund and PES mechanisms, which are operating after the expiry of the project. These are beginning to translate into increased resilience of ecosystems and communities to a changing climate. Even though, guidelines for mainstreaming EbA in policies and plans are still being developed after the project end, the project has succeeded in putting in place drivers that will reduce the vulnerability of the communities to the impacts of floods, droughts and landslides, and improve community livelihoods. Moreover, the project has promoted partnerships and dialogue at the community, district and national levels involving both the technical and political arms of government. This has fostered collaboration in sharing of EbA information and lessons learned, ownership of the results of the project, and above all the integration of EbA in policies and planning at national and local levels. These are critical for enhancing EbA implementation, scaling up and replication. All these are key drivers towards the intermediate state and contributing to increasing preparedness to climate change risks and flood disasters. The implementation of EbA tools and approaches are contributing to increased ecosystem and community resilience	3.3.2	Likely
D. Sustainability and replication			
1. Socio-political sustainability	The project was implemented in a participatory manner and succeeded in getting political buy-in and ownership. It generated considerable social and political support at national and local community levels. It has also influenced policy and plan revisions. The socio-political environment is conducive to sustaining the project outcomes.	3.4.1	Highly Likely
2. Financial resources	The lack of finances to upscale and replicate EbA interventions could undermine sustainability. Thus, there may be need a for follow up phase/funding to build EbA awareness and knowledge and to replicate EbA options beyond the pilot sites. Such follow up	3.4.2	Moderately Unlikely

Criterion	Summary Assessment	Ref.	Rating
	activities should involve more local partners. Although Uganda has integrated EbA in national policy and planning, local resources are not adequate to implement EbA options. Moreover, EbA needs also needs to be integrated in sectoral policies and plans. Nonetheless, there are a few ongoing and planned initiatives in climate change adaptation supported by both the GoU, bilateral and multilateral donors that provide some opportunities for sustaining and replicating project achievements. Additionally, the socio-political situation and institutional frameworks are conducive to sustaining project outcomes.		
3. Institutional framework	The project built strong partnerships at global, national district and community institutions. There was a lot of engagement with NGOs and CBOs. Strengthening the capacity of MWE, Districts and community groups will ensure the continuation of project outcomes i.e. VIA, CBA, incorporating EbA in policies and plans and implementing EbA options and livelihood improvement interventions.	3.4.3	Likely
4. Environmental sustainability	Identification and implementation of EbA options, including ecosystem restoration and soil and water conservation promotes environmental sustainability. Up-scaling and replicating EbA approaches and options will greatly promote environmental sustainability in the whole of Uganda. However increased population growth could create pressures on natural resources and ecosystems that could potentially undermine ecological sustainability.	3.4.4	Likely
5. Catalytic role and replication	The project has raised EbA and increased confidence in application of EbA options. The implementation of river catchment restoration, soil and water conservation and no regret adaptation action in communities has demonstrated the benefits of promoting EbA for increased resilience. The project's lessons learned, tools and documentaries will facilitate replication. Examples of replication are already evident, but greater support and financial resources are required for scaling up. Long term impacts are likely to accrue if implementation of EbA forms part of a wider framework for Uganda's adaptation planning and sustainable development. The early successes of the pilots showcase the project's concrete, on-the ground achievements, which will be instrumental in promoting further stakeholder buy-in and acceptance by households, communities and local governments of EbA practices. There are already promising cases where project results (VIA, ecosystem restoration and watershed management) are being applied outside the pilot areas - in other communities of Mt. Elgon region and the country at large to inform adaptation planning and decision making.	3.4.5	Satisfactory
E. Efficiency	The cost efficiency was good which resulted in achievement of project results within the planned budget and time frame, supported by the high level of ownership. Though the project experienced unnecessary delays in its initial stage, remedial measures were put in place after the MTR that fast tracked the project implementation to high level success. Project activities were low cost and cast a vast net in terms of livelihood impact – in this sense the programme was very cost-effective. This was achieved through establishing strategic partnerships through MoUs, selection of pilot and demonstration sites in areas with ongoing projects and programmes, involving local communities in implementation and utilization of existing institutions, structures and information.	3.5	Moderately Satisfactory

Criterion	Summary Assessment	Ref.	Rating
	However, achievement of project outputs was less timely given the delays in delivering EbA tools and methodologies and VIAs which delayed the logical and sequential implementation of the projects components.		
F. Factors affecting project performance		3.6	
1. Preparation and readiness	The targets set by project at design were achievable in the planned budget and time frame. However, the project implementation experienced initial delays caused by UN Environment and WCMC in delivering EbA tools and methodologies, putting in place a PMU, and some delay in procurement and funds disbursement. However, once the project kicked off in Uganda, it remained on track and most the project activities were completed in time, with just a few remaining in progress.	3.6.1	Moderately Satisfactory
2. Project implementation and management	The implementation approach was highly effective and the project ran smoothly. Adaptive management measures were taken when needed to ensure that the project remained on track. However, complications in implementation arrangement created by having several implementing partners (UN Environment, UNDP and IUCN) which operated different reporting mechanisms put enormous pressure on the project team and undermined flexibility. The project had multiple implementation partners, had a multi-sectoral NPSC and engaged many partners and stakeholders at global, national and local levels. This helped build and strengthen partnerships and an institutional framework for EbA. It also directly helped institutions to overcome some capacity barriers (MWE and districts) and create opportunities for mainstreaming EbA into districts, sectoral and national planning process.	3.6.2	Satisfactory
3. Stakeholders participation, cooperation and partnerships	A participatory approach was used, and wide range of stakeholders, from local communities to districts and national government were involved in selection of pilot sites and project implementation or were targeted for capacity building. Participation of NGOs was high. Considerable effort went into participatory visioning and implementation of EbA practices on the ground.	3.6.3	Highly Satisfactory
4. Communication and public awareness	Significant effort went into raising public awareness and knowledge and mobilising stakeholders to implement project activities. A range of communication material was prepared including learning briefs, documentaries and training materials. Public awareness workshops were convened and demonstrations of EbA practices conducted. Adaptation Learning Centres were put in place. Information sharing platforms were put in place to disseminate project achievements and success stories, including radio programmes that facilitated farmer to farmer learning. Clear communication between PMU, partners and beneficiaries played a key role in the project success.	3.6.4	Highly Satisfactory
5. Country ownership and driven-ness	The project responded to country needs for reducing vulnerability and increasing resilience. Thus, there was considerable enthusiasm and drive to move the project's results forward and country ownership was very strong. The partnerships forged and high stakeholder participation were great achievements. Engagement of national and local stakeholders at all levels and alignment of the project goals with national and local priorities and needs with respect to climate change adaptation was instrumental in promoting a high level of country ownership and driven-ness.	3.6.5	Highly Satisfactory
6. Financial planning and management	Financial planning and management was in accordance with UN Environment's requirements. Though financial reporting was good, UNDP did not spend all the funds allocated. In addition, the project	3.6.6	Satisfactory

Criterion	Summary Assessment	Ref.	Rating
	partners (UNDP and IUCN) operated separate financial reporting to UN Environment. IUCN financial reporting was not done through the PMU.		
7. Supervision, guidance and technical backstopping	Both UN Environment and UNDP played an adequate role in supervision and backstopping with great team commitment. No major issues in project implementation and execution were encountered. Technical backstopping was provided by the UNDP Country Office	3.6.7	Highly Satisfactory
8. Monitoring and evaluation	The overall rating on M&E is based on rating for M&E Implementation.	3.6.8	Satisfactory
i. M&E design	The Uganda ProDoc had no log-frame with SMART indicators	3.6.8	Moderately Satisfactory
ii. M&E plan implementation	There was regular monitoring of progress, reporting and documenting lessons learned. A MTR was conducted and recommendations implemented.	3.6.8	Satisfactory
Overall project rating			Satisfactory