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PROJECT TERMINAL EVALUATION

“INTEGRATED LANDSCAPE MANAGEMENT FOR IMPROVED LIVELIHOODS AND ECOSYSTEM RESILIENCE IN MT ELGON”

UNDP PIMS 4634

GEF ID 5718

GEF FOCAL AREA: MULTI FOCAL AREA (LD & CCM)

STRATEGIC PROGRAM OF GEF 5:

CCM5 - PROMOTE CONSERVATION AND ENHANCEMENT OF CARBON STOCKS THROUGH SUSTAINABLE MANAGEMENT OF
AND USE, LAND-USE CHANGE, AND FORESTRY

LD3 - REDUCE PRESSURES ON NATURAL RESOURCES FROM COMPETING LAND USES IN THE WIDER LANDSCAPE BY
PROMOTING INTEGRATED LAND USE PLANNING AT THE DISTRICT LEVEL

EXECUTING ENTITY/IMPLEMENTING PARTNERS: MINISTRY OF FINANCE, PLANNING AND ECONOMIC DEVELOPMENT
(MFPED),

RESPONSIBLE PARTNERS: MBALE DISTRICT LOCAL GOVERNMENT (IN PARTNERSHIP WITH BULAMBULI AND MANAFWA
DISTRICT LOCAL GOVERNMENTS)

REGION: AFRICA
COUNTRY: UGANDA

Evaluation conducted by:

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from August 2020 - October 2020
Report submitted 26 October 2020

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This Terminal Evaluation was prepared for UNDP by Dr Justine Braby (international) and Dr John Wasige (national), as independent consultants.

The evaluators would like to express their gratitude to all persons who contributed to the evaluation. A list of all stakeholders consulted is appended in Annex 2.

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ABOUT THE EVALUATION

Report Language(s): English

Evaluation Type: Terminal Evaluation

Brief Description: This report is a terminal evaluation of a UNDP/GEF Medium-Sized Project implemented between 2016 and 2020. The project's overall objective was to empower communities in Mount Elgon to manage their production landscapes in an integrated manner for improved livelihoods and ecosystem resilience. The evaluation sought 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. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNDP, the GEF and the relevant partner agencies in Uganda.

Key words: resilience; Mt Elgon; sustainable land management; SLM; agriculture; soil; soil erosion; SLM technologies; farmer; soil fertility; landslides; women empowerment; land degradation; climate change; COVID-19.

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LIST OF ACRONYMS

ACDP	Agriculture Cluster Development Project
ATAAS	Uganda Agricultural Technology and Agribusiness Advisory Services
CCM	Climate Change Mitigation
CFR	Central Forest Reserves
CMC	Catchment Management Committee
CPAP	Country Programme Action Plan
DDP	District Development Plans
EA	Executive Agency
EBA	Ecosystem-based Adaptation
FAO FSS	Food and Agriculture Organisation Farmer Field Schools
GEF	The Global Environment Facility
IA	Implementing Agency
IC	International Consultant
LECB	The Low Emission Capacity Building Project
MAAIF	Ministry of Agriculture, Animal Industries and Fisheries
MEAs	Multilateral Environmental Agreements
MERECF	Mount Elgon Regional Ecosystem Conservation Programme
MTIC	Ministry of Trade, Industry and Commerce
MWE	Ministry of Water and Environment
NAADS	National Agricultural Advisory Services
NAPA	National Adaptation Plan of Action
NARO	National Agricultural Research Organization
NC	National Consultant
NDPII	Uganda's Second National Development Plan (2015/16-2019/20)
NEMA	National Environment Management Authority
NFA	National Forestry Authority
NUSAFII	Northern Uganda Social Action Fund
NUSAFIII	Third Northern Uganda Social Action Fund
OWC	Operation Wealth Creation
PMU	Project Management Unit
PTSC	Multi-Stakeholder Project Technical Steering Committee
REDD+	Reducing Emissions from Deforestation and Forest Degradation
SDGs	Sustainable Development Goals
SFM	Sustainable Forest Management
SLM	Sustainable Land Management
SMART	Specific, Measurable, Attributable, Relevant, Time-bound/Trackable/Timely/Targeted
TACC	Territorial Approach to Climate Change Project
UNCCD	United Nations Convention to Combat Desertification and Drought
UNDAF	United Nations Development Assistance Framework
UNDP CO	United Nations Development Programme Country Office
UNEG	United Nations Evaluation Group
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNV	United Nations Volunteers

PROJECT INFORMATION TABLE

Table 1. Project Information Table of the ILM Mt Elgon project

Project Details		Project Milestones	
Project Title	Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mount Elgon	PIF Approval Date:	25 th February 2014
UNDP Project ID (PIMS #):	4634	CEO Endorsement Date (FSP) / Approval date (MSP):	10 - 11 Feb 2015
GEF Project ID:	5718	ProDoc Signature Date:	22-29 February 2016
UNDP Atlas Business Unit, Award ID, Project ID:	00095404	Date Project Manager hired:	August 2017
Country/Countries:	Uganda	Inception Workshop Date:	9-10 August 2016
Region:	Africa	Mid-Term Review Completion Date:	N/A
Focal Area:	SLM, CCM &, SFM	Terminal Evaluation Completion date:	August – September 2020
GEF Operational Programme or Strategic Priorities/Objectives:	<p>MULTI-FOCAL AREA (CCM, LD)</p> <p>LD-3: Reducing pressures on natural resources from competing land uses in the wider landscape</p> <p>Outcome 3.1: Enhanced enabling environment between sectors in support of SLM</p> <p>Outcome 3.2: Good management practices in the wider landscape demonstrated</p> <p>CCM-5: Promoting conservation and enhancement of carbon stocks</p> <p>Outcome 5.1: Good management practices in LULUCF adopted both within the forest land and in the wider landscape</p> <p>Outcome 5.2: Restoration and enhancement of carbon stocks in forest and non-forests lands, including peatlands</p> <p>Outcome 5.3: GHG emissions avoided and carbon sequestered</p>	Planned Operational Closure Date:	31 st August 2020
Trust Fund:	GEFTF (LD and CCM FAs)		

Implementing Partner (GEF Executing Entity):	UNDP (MAAIF)	
NGOs/CBOs involvement:	33 CBOs involved from 33 parishes (outlined in Annex 2) (beneficiaries and collaborating partners) Ecotrust, Mt Elgon Tree Planting Project, Uganda Women Environment Project (consultations and financial/technical support to project)	
Private sector involvement:	Kyagalani Coffee Processors (financial contribution to project, also were involved through consultations) Kawa Com Processors (technical advice to project, also were involved through consultations)	
Geospatial coordinates of project sites:	NYONDO- 36N633943.76m E109366.62m (Elev.1238m) WANALE-(Nabanyole) 36N640160.15m E112546.24m (Elev.1788m) (Bubetsye) 36N637942.85m E116160.14m (Elev.1921) SISIYI - 36N650603.95m E139989.55m (Elev.1799m) KHABUTOOLA - 36N6411556.56m E100829.80m (Elev.1285m) NAMISUNI 36N650751.52m E143202.25m (Elev.1577m)	
Financial Information		
PDF/PPG	at approval (US\$M)	at PDF/PPG completion (US\$M)
GEF PDF/PPG grants for project preparation	34,588.77 (as per GEF CEO Endorsement Request)	15,411.23 (as per GEF CEO Endorsement Request)
Co-financing for project preparation	0 (none found in CEO Endorsement request)	0 (none found in CEO Endorsement request)
Project	at CEO Endorsement (US\$M)	at TE (US\$M)
[1] UNDP contribution:	2,270,750	2,231,176
[2] Government:	6,160,634	823,322
[3] Other multi-/bi-laterals:	0	3,074,170
[4] Private Sector:	0	8,768
[5] NGOs:	0	45,912
[6] Total co-financing [1 + 2 + 3 + 4 + 5]:	8,431,384	6,183,348
[7] Total GEF funding:	1,670,320	1,670,320
[8] Total Project Funding [6 + 7]	10,451,704	7,853,668

EXECUTIVE SUMMARY

Brief description of project

1. While Mt Elgon offers a variety of ecosystem services essential to the livelihoods of the communities living there, the ability of the ecosystem to continue providing these services has been diminished substantially. This is mostly due to (a) the deforestation of roughly 60% of land now occupied by agriculture and human settlement, and (b) the degradation of land.
2. Drivers of land degradation include insecure land tenure, exploitation of resources, unsustainable agricultural practices, soil erosion, lack of integrated land-use planning (including the lack of effective natural resource mapping). These drivers are all exacerbated by climate change.
3. As a result, the project under evaluation aimed to curb land degradation and enhance ecosystem health by contributing to improved livelihoods and resilience of the ecosystem through the use of integrated landscape management approaches. The project objective was *to empower communities in Mt Elgon to manage their production landscapes in an integrated manner for improved livelihoods and ecosystem resilience*.
4. To achieve this objective, the project had two main components. This first was to raise awareness among district authorities and local communities on SLM, SFM and CCM technologies and approaches. The project aimed to strengthen the general knowledge of the location of Mt Elgon natural resources, land degradation and GHG emission status through the development of community resource maps. Based on the resource maps, the project planned to support the development of Land Use Plans working at both the landscape and household level (farm planning). The project sought to strengthen the enforcement of land legislation and the rights of land occupiers in the Mt Elgon area. The project also aimed to support the mainstreaming of sustainable land management (SLM), sustainable forest management (SFM) and climate change mitigation (CCM) into District Development Plans (DDP).
5. Under the second component, the project aimed to adopt and use the Food and Agriculture Organisation's Farmer Field School approach¹ in the districts of intervention, providing training in SLM, SFM, CCM technologies and approaches for local farmers. Under this component, the project sought to implement pilots to showcase and support the uptake of SLM, SFM and CCM technologies and approaches such as conservation agriculture practices, afforestation and tree planting. The component also sought to strengthen partnerships and collaboration between public and private sectors to better secure farmers' access to inputs, markets and technical support and advice. Frameworks to monitor carbon emissions and sequestration and soil erosion were also going to be developed and implemented by the project. Finally, the project also sought to collect, compile, and disseminate best practices and lessons learned for related on-going and future initiatives in the region.
6. The project focused on three districts in particular: Mbale, Manafwa and Bulambuli, and more specifically 6 sub-counties: Wanale and Nyondo in Mbale District, Khabutoola and Nalondo in Manafwa District, and Sisiyi and Namisuni in Bulambuli District. The selection of these districts and

¹ FFS is an approach to extension that is based on the concepts and principles of people-centred learning and was developed as an alternative to the conventional, top-down, extension approaches. It uses innovative and participatory methods to create a learning environment, including learning networks, in which land users have the opportunity to learn for themselves about particular production problems, and ways to address them, through their own observation, discussion and participation in practical learning-by-doing field exercises. FFS serve as pilots for conservation agriculture technologies and approaches for improved land management and livelihoods of smallholder farmers; they are particularly suited for the intervention of the project.

sub-counties was done by local stakeholders with guidance from consultants based on the degree of ecosystem degradation, levels of poverty and potential to make change.²

7. In line with the UNDP Evaluation Guidance for GEF Financed Projects³, as well as the UNDP Evaluation Guidelines⁴ developed by the Independent Evaluation Office of the UNDP, the Terminal Evaluation of the “Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mount Elgon” is being undertaken at the completion of the project to assess performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. As is standard for GEF-financed projects, the evaluation has two primary purposes:
 - a. To provide evidence of results to meet accountability requirements, and
 - b. To promote operational improvement, learning and knowledge sharing through results and lessons learned among UNDP, MAAIF and project partners.

Brief Report on Project Results Achievement

8. Annex 1 provides a detailed report on the achievement of project results within the Results Framework and C. Project Results and Impacts provides the detailed narrative. Below is a brief summary of the project results.
9. For Outcome 1; Output 1.1. and 1.2. were successful, resource maps and land use plans were developed for all 33 parishes. Output 1.3. achieved partial success, gap analysis study was done, two of three by-laws were implemented, with NEMA following up on the last by-law. For Output 1.4, a monitoring framework has been developed but has not been implemented at the time of project closure. For Output 1.5. all three districts have mainstreamed SLM, SFM, and CCM into their district development planning processes, with some annual budget allocations in one district.
10. For Outcome 2; Output 2.1. was not achieved by project closure, Output 2.2. was partially achieved, although no action plan was put in place, farmers had been equipped and connected to the private sector and cooperatives had been formed (with Ministry of Trade, Industry and Cooperatives taking this forward). Output 2.3. was successfully implemented with CBOs implementing SLM, SFM technologies, and additionally there has been evidence uptake beyond the project intervention areas. For Output 2.4. for carbon sequestration and soil erosion monitoring frameworks have been established with limited implementation. For Output 2.5. best practices have not been fully documented although uptake of best practices in SLM and SFM technologies have taken place in neighbouring sub-counties of project intervention areas.

Main Findings

11. The below section summarizes the key findings of the Terminal Evaluation detailed in the content of this report.
12. **Project Design:** The project document and its results framework was country-driven and addressed key national priorities related to sustainable land management and climate change⁵. The design did not include a Theory of Change and one had to be reconstructed for the purpose, which was used to guide the evaluation in terms of overall project impact. The overall objective,

² Selection done during PPG phase.

³ <http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>

⁴ <http://web.undp.org/evaluation/guideline/>

⁵ See paragraph 64.

components and outcomes were generally feasible and practical in terms of the time frame of the project.⁶ Overall the results framework was clear with SMART indicators, and gender-disaggregation. Despite the results framework having clear ecosystem-based and capacity-development objective-level indicators (in the form of GEF tracking tools), the evaluators noted that there were no livelihood indicators to track progress towards “enhanced livelihoods”. As a result, the evaluators made some suggestions on how these could have been included in the design.⁷ The results framework would have benefitted from having clear outcome-level indicators and targets. Examples of these have been suggested.⁸ Based on the level of changes and challenges faced during implementation, the evaluators believe more effective stakeholder engagement and partnership, including capacity assessments should have been done at design.⁹

13. **Project Implementation and Execution:** The project underwent *changes in project implementation*, all of which were formally recorded. These included (a) going directly through CBOs to implement their land use plans and SLM technologies and pilot demo sites (which the evaluators found was the most successful part of the project)¹⁰ (b) small changes in collaboration partners (including a. and the partnership with Busitema that was not planned during design), (c) delays in implementation that necessitated an 18-month no-cost extension.
14. The first two changes (a) and (b) affected the project positively in that results were achieved successfully, and evidence has demonstrated that the potential for sustaining these results are high.¹¹
15. The third (c), affected the project negatively in that certain results were not achieved within the timeframe of the project, despite an 18-month extension having been granted. Reasons for this are attributed to prolonged uncertainty on who and how the output (specifically Output 2.1) was to be achieved due to disagreements between MAAIF and UNDP, delays in procuring consultants (including challenges in finding suitable candidates), and finally when work plans and commitments had been put in place (more than a year into the 18-month extension), COVID-19 forced the project to further postpone resulting in the result not being achieved by project closure.¹²
16. Unnecessary delays contributed to the lack of results achievement discussed above, most notably, the delay in setting up the PMU. The project was delayed by one year because MAAIF had not been able to set up the PMU. The PMU was eventually set up directly by UNDP as agreed by the Project Board in June 2017.¹³
17. Project finance and expenditure was reported on annually. The evaluators found high variances between planned and actual expenditure by year, particularly in the first year. This can be attributed to the delays experienced in the first year where virtually no activities were implemented. Huge discrepancies exist between co-financing committed at project design and actual co-financing realized during project implementation. Complete co-financing expenditure information was not received for the evaluation and thus the evaluators can only assume that either reporting was weak, or co-financing in the form that was committed was not realised.¹⁴

⁶ See paragraph 67.

⁷ See paragraph 72-74.

⁸ See paragraph 69-71.

⁹ See paragraphs 83-87. Implementation changes were made in e.g. direct use of communities instead of private company to implement ILM technologies; there was pressure from MAAIF to directly implement some activities themselves instead of using activities (e.g. Output 2.1) but attempts were made by UNDP to source consultants without success, Busitema University for Output 1.1 and 1.2 could have been hired at the onset if there had been more partnership capacity assessments conducted at design.

¹⁰ See paragraphs 98, 177-179, 186, but also the whole section under Sustainability, Catalytic/Replication Effect and Progress to Impact

¹¹ See section under Sustainability.

¹² See paragraph 139.

¹³ See paragraph

¹⁴ See paragraphs 113-128.

18. The grant mechanism, although effectively implemented overall, posed some administrative challenges, and the project team highlighted that in hindsight it would have been more efficient (and opened up more time to do more technical aspects) to have used an intermediary to administer the grant.¹⁵
19. M&E plan included the basic requirements, although the results framework would have benefitted from some minor improvements on the output-level indicators, and the inclusion of outcome-level indicators in the results framework.¹⁶ Implementation of M&E was done through quarterly reporting, PIR reporting and the M&E framework.
20. Risks management was generally well-managed with the exception of the risks to implementation arrangements that caused unnecessary delays in some aspects of the project already covered in the paragraphs above.
21. **Project results and impacts:** *Outcome 1* has largely been successfully achieved. Land-use plans were developed for all parishes and these have been mainstreamed into district development plans in all three districts. Clause adoption has achieved more limited success, although evidence suggests that their adoption is ongoing beyond project closure. Monitoring and enforcement mechanisms have been put in place and integrated into district annual workplans.¹⁷ *Outcome 2* has had been very successfully achieved in terms of the empowerment aspect and demo sites with communities, but only partially achieved on some of its outputs by project closure. Implementation delays affected particularly Output 2.1 which was not achieved within the timeframe of the project (although it is clear from the evidence provided to the evaluators that workplans and commitments had been made to finalise this post-project). Some achievement had been made towards strengthening public-private collaboration to improve farmers' access to inputs, but the Action Plan was not fully developed or implemented. The implementation of SLM and SFM at community level was highly successful and evidence suggests uptake, replication, and sustaining of project results. Monitoring frameworks for carbon sequestration and soil erosion had been developed and put in place, but implementation is limited due to low capacity at district level. A best practices document was not developed, although best practices from the SLM interventions have been replicated and upscaled into neighbouring areas of project intervention sites.¹⁸
22. *Relevance:* The project was well-aligned to country priorities at government level (predominantly through the NDPII and ASSP), and within the UN country framework (UNDAF and CPAP). Stakeholder engagement during project implementation was strong (e.g. representation on the project board, representation at Inception Meeting including update of recommendations from stakeholders into project implementation such as the direct implementation of some outputs by communities, level of engagement of local-level government).
23. *Effectiveness:* The project did not manage to fully achieve on all its outputs. Some activities that could have been realistically achieved within the project timeframe were not because of implementation-related delays (such as the action plan for public-private collaboration, the FFS training, the best practices documentation), other activities were overly ambitious (such as the carbon monitoring framework). Despite this, the project managed to make some impactful achievements in terms of the wider Theory of Change, particularly in relation to community empowerment and uptake towards SLM integration into farming to enhance resilience and ecosystem health in the project areas of Mt Elgon.¹⁹

¹⁵ See paragraph 126.

¹⁶ See paragraphs 129-131.

¹⁷ See paragraphs 152-165.

¹⁸ See paragraphs 166-186.

¹⁹ See paragraphs 193-197.

24. *Efficiency*: The project faced several delays including losing the first year because the PMU was not set up, which ultimately resulted in the project not achieving some of its outputs within the project timeframe despite the granting of an 18-month no-cost extension. There were some variances between years, but the project was generally cost-efficient in terms of its expenditure in relation to outcome.²⁰
25. *Overall project outcome*: Considering the above paragraphs, overall achievement of outputs is moderately satisfactory. Some elements were highly successful, especially the community engagement, the use of community championships, gender empowerment through women leadership of community implementation of SLM and SFM activities. The landscape planning and management processes were certainly an improvement from what was there before (the project managed to have digitized, and integrated land use planning conducted for all 33 parishes). Local communities were empowered to apply technologies and approaches to reverse land degradation and reduce GHG emissions through the adoption of technologies in the project areas, but also through the replication of neighbouring communities who saw for themselves that the technologies worked and supported improvements in livelihoods.
26. *Sustainability*: Several examples of financial commitment suggest that project results will be sustained, especially at community level.²¹ Empowerment of communities, including women empowerment, has resulted in community-championship of SLM interventions and further uptake; government at various levels has seen the success of community engagement and has demonstrated political support for further uptake.²² In terms of governance and legal frameworks, land use plans and by-laws are progressing forward, the inter-ministerial taskforce is a good reflection of a wider and more programmatic approach to SLM and wider adoption of project successes have been demonstrated through a NEMA-led project to upscale SLM into the wider Mt Elgon landscape.²³ Environmental sustainability has been improved through the project in relation to the environmental risks encountered prior to project implementation.²⁴
27. *Gender empowerment*: Gender empowerment was particularly strong in this project as demonstrated by the level of women leadership and championship of SLM interventions in the project areas. The Gender Action Plan was developed late (half-way through project implementation) and the project would have benefitted from an action plan of this level of quality if it been done at PPG phase. However, the evaluators found that women empowerment particularly was demonstrated in the monitoring of the results framework (particularly at community level).

Conclusions

28. The project faced implementation challenges that put project results attainment at risk. Unnecessarily delaying some output implementations until the very last months (March – August 2020) of an already maximised project time-frame²⁵ increased vulnerability of the project to external risks, which is exactly what happened when the COVID-19 pandemic restricted project implementation in the final months of the project. In fact, the project should have been under final operational closure in these months (and not in “starting phases” of output implementation). If it had been, it would not have been as affected by COVID-19 as it was.
29. The finalisation of Output 2.1 (the FFS training) merits discussion, because the evaluators were provided with evidence that in fact funding was committed (funds transfer dated 26 August), and MAAIF commitment through work plans signed off by the Permanent Secretary had been

²⁰ See paragraphs 198-203.

²¹ See paragraphs 205-212.

²² See paragraphs 213-218.

²³ See paragraphs 219-222.

²⁴ See paragraphs 223-227.

²⁵ Referring to the 18-month no-cost extension that extended the project by 1.5 years.

approved by the Project Board, all before project closure. This evidence was provided during the finalisation of this TE report, and shows that activities of this output will be finalised by the end of the year (2020). However, the international evaluator is limited to assessing the project results attainment within the timeframe of the project (which officially closed 31 August 2020). Whether the output will or will not be achieved beyond project closure cannot be assessed by the TE. GEF rules stipulate that no extensions can be provided beyond the 18 months that had already been provided to the project. A recommendation is made by the evaluator in the finalisation of project results for specific outputs that were not achieved within the timeframe of this project, but this is placed in the context of GEF rules and regulations, and the IA, EA and GEF will need to take this matter forward accordingly. Specific recommendations are made below in relation to the finalisation and sustaining of some outputs that were not finalised within the project time frame (Recommendation Category A below).

30. The Government of Uganda had made a large co-financing commitment in project design of which the majority was not realised, at least in terms of expenditure reporting made available to the evaluators. Similarly, expenditure reporting for the majority of the co-financing contribution from UNDP was also not available for the evaluators to assess where exactly the co-financing was used to achieve project results. GEF funding is supposed to be an incremental contribution, not the core contribution, towards what are essentially government-led projects. GEF additionality is a new section for evaluators to consider in GEF-funded project evaluations, and future project design will be focusing more on co-financing commitments and realisations thereof in project implementation. Co-financing that is committed at project design should be reported on, and a lesson from this project has been included in the lessons learnt for future project design.
31. UNDP had to take over some of the executive functions of MAAIF during project implementation, including the setup of the PMU and direct recruitment and sometimes even management of project outputs. This leads the evaluators to question why the HACT capacity assessment that was used for project design had not picked up some limitations of MAAIF as an executing partner. Similarly, recruitment of appropriate staff and consultants proved difficult (e.g. FFS, gender). On the other hand, MAAIF was convinced that it had the in-house capacity to conduct the FFS training, and there was resultant to-and-fro between UNDP and MAAIF about whether external (or FAO) consultants should be used or not. Improved capacity assessment (HACT) of the EA may have supported a better understanding of this capacity or limits thereof.
32. In summary, even with the project extension, some outputs were not fully delivered. Some other outputs demonstrated successful (or, in some cases over-) achievement. Results overall in terms of the project's results framework were not fully achieved.
33. That said, the project demonstrated achievements in terms of its outcomes and overall objective within the framework of the reconstructed Theory of Change that illustrates that the project was impactful in what it set out to achieve within the broader aims of SLM in Mt Elgon.
34. The project aimed to decrease land degradation and enhance ecosystem health by using landscape management approaches and SLM, SFM and CCM technologies with communities to improve livelihoods and enhance resilience among people and ecosystems. The two strategic, higher-level questions guiding the evaluation linked to its two outcomes were (a) did the project succeed in integrating and improving landscape planning and management processes in the three project districts? and (b) did the project contribute to empowering communities in Mt Elgon to manage their production landscapes in an integrated manner?
35. Based on the evidence provided to the evaluators of uptake and integration of land use planning in the districts, the integration of monitoring frameworks to support measuring land condition improvements, and the successful uptake and ownership at community-level of the SLM and SFM demonstrations, as well as the replication into areas outside of project intervention, it seems that the project did indeed contribute substantially to both improved landscape planning

and improved community management of their production landscapes. The extent of this has been demonstrated in the results section of this report. The recommendations provided below will further strengthen this contribution toward impact and sustainability.

36. Additionally, and in particular reference to community championship, the evaluators believe that the community-led approach had a significant impact in terms of sustaining project result, and move to impact in the TOC. This is evidenced by strong community ownership and uptake, longer-term savings schemes generated (through training and community empowerment as a result of allowing communities to lead activities instead of one company), and thus sustainability of results at least in terms of community-related SLM, SFM and CCM interventions.
37. The project fit well within the larger programmatic approach of the Government (in relation to its inter-ministerial task force on SLM) relevant to country development priorities (e.g. NDPII) and should be seen as a leverage point for further catalytic action towards more systems and holistic SLM across wider landscapes.
38. The evaluators believe that the community-led approach had a significant impact in terms of sustaining project result. This is evidenced by strong community ownership and uptake, longer-term savings schemes generated (through training and community empowerment as a result of allowing communities to lead activities instead of one company), and thus sustainability of results at least in terms of community-related SLM, SFM and CCM interventions.
39. Based on the above considerations, the project, overall, is given a rating of ***Moderately Satisfactory***, with the summary table provided below (see Table 4 in main report for description of rating system).

Table 2. Summary of project ratings (as guided by the 2020 UNDP Terminal Evaluation Guidance for GEF-financed Projects)

Criterion	Rating	Summarized Notes	Rating number
Monitoring and Evaluation	MS		4
M&E Design at Entry	MS	Clear plan for M&E outlined in project document, logical framework mostly clear, some indicators could have been more "SMART", no outcome-level indicators.	(4)
M& Implementation	MS	M&E reporting was conducted and coordinated by the PMU with a dedicated staff member (although this member also had other responsibilities), GEF tracking tools reported on but not clear how tracking was done and by whom, M&E did not allow for adaptive management in regard to achievement of some outputs, Terminal Evaluation was delayed and overlapped with project closure.	(4)
UNDP Implementation/Oversight and Implementation Partner Execution	MU		3

Criterion	Rating	Summarized Notes	Rating number
Quality of UNDP Implementation/Oversight	MU	Insufficient co-finance reporting, implementation and oversight issues related to results achievements of some of the outputs, not enough contingency put in place to deal with disagreements with EA, generally some good risk management procedures put in place re COVID-19 (e.g. adaptations to deal with meeting restrictions), PMU good relationship with stakeholders	(3)
Quality of Implementing Partner Execution	MU	Huge variance in co-finance committed versus reported as spent, causing delays such as the delayed set up of the PMU, lack of achieving certain outputs despite extension time awarded, good community empowerment aspects	(3)
Assessment of Outcomes	MS		4
Relevance	S	Well-aligned to country priorities, UNDAF and CPAP frameworks, aligned to gender mainstreaming, stakeholder engagement strong	(5)
Effectiveness	MS	Mixed level of success with regard to output achievements, even with 18-month extension some outputs were not achieved, strong community engagement, ownership and move to impact	(4)
Efficiency	MS	Many project delays, including the set-up of the PMU, and some important outputs not being achieved even in a realistic time frame	(4)
Sustainability	L		4
Financial resources	L	Ongoing support through grant mechanisms to CBOs, saving schemes by CBOs, other financing support, district government budgeting, setting up farmer cooperatives, support funding to by-laws	(4)
Socio-political	L	Community empowerment and uptake strong, women	(4)

Criterion	Rating	Summarized Notes	Rating number
		empowerment strong, high level support from MAAIF	
Institutional framework and governance	L	Legal frameworks put in place, levels of commitment by government demonstrated, further project submitted to GEF by NEMA and UNEP to upscale elements of this project	(4)
Environmental	L	Ongoing SLM technologies to continue improving ecosystem health, environmental sustainability more secure now than before project started (based on GEF tracking tools and SLM technologies stabilizing soil structure and health)	(4)
Overall Project Rating	MS	Project had some impactful achievements and there is some evidence pointing to move to impact as per the Theory of Change mostly due to community empowerment through adoption of SLM, SFM and CCM technologies, improved land use planning and improved land condition monitoring frameworks in place, but there were some issues with implementation and not all project outputs were achieved in time for project closure despite the 18-month no-cost extension.	4

Recommendations

Table 3. TE Recommendations for the ILM Mt Elgon Project

Rec #	TE Recommendation	Entity Responsible	Time Frame
A	Category A: Ensuring (necessary) final project results achievement		
A.1.	Ensure bylaws are effectively finalised and enforced. NEMA to facilitate this process to fruition using the following steps: (a) bottom-up verification process at parish level should be conducted to get final buy-in	NEMA, District Government and Ministry of Justice	Latest by end of 2021

Rec #	TE Recommendation	Entity Responsible	Time Frame
	from resistant community members, (b) submitting and tabling at sub-county, district, and finally Attorney General level (for verification and validation with existing laws) and (c) final gazetting.		
A.2.	Ensure final reporting on lessons learnt and uptake as per Output 2.5 (particularly include CBO and women empowerment aspects of this project).	UNDP CO/MAAIF (under supervision of project board)	ASAP
A.3.	Finalise FFS training as planned under MAAIF (dependent on agreements and rules by GEF).	MAAIF	End of 2020
A.4.	Continue supporting the forming of cooperatives to improve farmer access to markets.	MTIC	ASAP and ongoing
B	Category B: Sustaining and further catalysing results for TOC impact		
B.1.	Provide continued platform for successful CBOs to share stories, support training in future replication, farmer-exchange visits.	MAAIF	Without limit to time frame
B.2.	This recommendation is specifically to be included in the project design for the project by NEMA/UNEP (concept development support from MAAIF) on SLM implementation in the broader Mt Elgon region. Integrate community empowerment, women leadership and lessons below into the GEF-cycle concept development that aims to catalyse and replicate aspects of this project into the entire Mt Elgon ecosystem. (See paragraph 222 under “Institutional framework and governance sustainability” for background).	NEMA/MAAIF	Into Project Document of the project to be developed (time frame depending on PPG phase)

Lessons Learned

40. **Lesson 1: It is important to conduct comprehensive capacity assessment and effective stakeholder engagement (including community empowerment options) at design phase**
41. Implementation challenges and changes were faced by the project. A lesson to be learnt from these challenges is the importance of conducting comprehensive capacity assessments of the executing agency in terms of capacity to manage the project but also to implement certain activities in-house. Conducting a more robust stakeholder engagement process and mapping of capacity within the country in relation to specific outputs (either at onset of project or, preferably, at design) can further enhance ownership and sustaining of project results.
42. **Lesson 2: Community empowerment (and encouraging women leadership) can have a much more sustained impact (and be more cost-effective)**
43. The greatest success factor of this project was the change from design to implementation (based on stakeholder pressure) to do a grant mechanism and empower (through training and facilitative support) CBOs to lead and run the initiatives directly. This might be more risky in terms of financial oversight (good training, trust building and good but not too limiting oversight can overcome this risk) but the reward is much higher – especially in terms of longer-term impact and sustaining of project results.
44. **Lesson 3: Devolving grant mechanism coordination to an intermediary (preferably an NGO who can do this in a programmatic way) might simplify project management responsibilities for PMUs**
45. The UNDP CO and PMU spent much of their implementation time on administering the grant (without human resources or sufficient capacity) to 33 different parishes. It might simplify

project management and implementation procedures to allow a capacitated NGO or other implementing partner to do this, and supporting them instead with a small management fee, possibly building in a programmatic approach here (or if there is an existing and operational government grant mechanism, using that). The UNDP Low Value Grant Guidance allows for intermediary administration of a grant mechanism provided a HACT assessment is conducted.

46. **Lesson 4: Championship is key to project results attainment and sustainability, catalytic role and replication**
47. This lesson can be taken in two contexts, namely (a) champion farmers and CBO representatives, who allow for social spread more rapidly as they have trust and respect in their communities, and (2) champion project partners, whose commitment goes beyond the tick-box project implementation, and often results in a much higher and more impactful project.
48. Lifting, rewarding and further empowering those champions who go the extra mile will have a reinforcing feedback loop effect on longer-term impact.

I. INTRODUCTION

A. Evaluation Purpose

1. The UNDP/GEF Project “Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mt Elgon” (GEF ID 4634, here-after referred to as “ILM Mt Elgon Project”) aimed to curb land degradation and enhance ecosystem healthy by contributing to improved sustainable land management techniques in three districts in the Mt Elgon region of Uganda.
2. In line with the recently updated UNDP Evaluation Guidance for GEF Financed Projects²⁶, as well as the UNDP Evaluation Guidelines²⁷ developed by the Independent Evaluation Office of the UNDP, the Terminal Evaluation is being undertaken at the completion of the project, particularly to assess performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. As is standard for GEF projects, the evaluation has two primary purposes:
 - a. To provide evidence of results to meet accountability requirements, and
 - b. To promote operational improvement, learning and knowledge sharing through results and lessons learned among UNDP, MAAIF and project partners.

B. Scope and Methodology of the Evaluation

3. The evaluation was conducted in an independent manner (see below under D. Ethics) by two evaluation consultants commissioned by the UNDP Uganda Country Office. The evaluation was carried out between August and September 2020 (with an extension until end October to allow for a longer stakeholder review process of the TE draft report) under the general support and oversight of the UNDP Country Office, and facilitative support of the Project Management Unit. The evaluation employed a participatory approach and stakeholders were informed of the evaluation process with opportunities to provide comments on the evaluation findings.
4. The parameters and focus of the evaluation included (as provided above under purpose) assessment of the project design and its implementation and to flag any issues and provide reasoning why these issues arose and how these were mitigated/adapted to, highlight learnings and good practices, and discuss the move to impact and sustaining project results.
5. A Theory of Change was reconstructed during the Inception Phase of the Evaluation (as there was none developed during project design) based on an extensive desktop review of all project documentation, and initial interviews with project partners. This Theory of Change was then presented and discussed with various project partners involved in the evaluation, inputs were sought, and a marginally revised version can be found in section III.A. of this report.
6. The Theory of Change was predominantly used to guide the assessment of overall impact and sustaining of project results, as well as a useful tool to consider what recommendations could further allow the project to support the longer-term impact of ecosystem resilience and improved livelihoods in the Mt Elgon region.

²⁶ <http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>

²⁷ <http://web.undp.org/evaluation/guideline/>

7. The two strategic higher-level questions guiding the evaluation (specifically related to Effectiveness related to project achievement of outcomes) are as follows:
 - a. Did the project succeed in integrating and improving the landscape planning and management processes in the district of Manafwa, Bulambuli and Mbale?
 - b. Did the project contribute to empowering communities in Mt Elgon to manage their production landscapes in an integrated manner?
8. The evaluation assessed project performance based on expectations set out in the project Logical Framework (Annex 1), and assessed impact within the context of the reconstructed Theory of Change. The evaluation was conducted using the evaluation criteria as set out in the newly updated UNDP Evaluation Guidance for GEF-Financed Projects. For each evaluation criterion, questions and indicators, sources and methods of verification have been outlined in the evaluation matrix (Annex 3). These are viewed
9. The evaluation criteria used for UNDP GEF-financed projects as outlined in the new guidance is provided below in Table 4.

Table 4. Criteria and rating system as laid out by the TE Guidance for UNDP-supported GEF-financed projects 2020

Evaluation Criterion	Ratings
1. Monitoring and Design (M&E) at entry 2. M&E plan implementation 3. Overall Quality of M&E	Highly Satisfactory (HS) (6) – no shortcomings, quality of M&E design/implementation exceeded expectations Satisfactory (S) (5) – minor shortcomings, quality of M&E design/implementation met expectations Moderately Satisfactory (MS) (4) – Moderate shortcomings, quality of M&E design/implementation was more or less met expectations Moderately Unsatisfactory (MU) (3) – Significant shortcomings, quality of M&E design/implementation was somewhat lower than expected Unsatisfactory (U) (2) – Major shortcomings, quality of M&E design/implementation was substantially lower than expected Highly Unsatisfactory (HU) (1) – Severe shortcomings in M&E design/implementation Unable to Assess (UA) – Available information does not allow an assessment of the quality of M&E design/implementation Overall Quality is the average of the two individual ratings (Design+Implementation)
1. Quality of UNDP Implementation/Oversight 2. Quality of Executing Agency (EA) (MAAIF) Execution 3. Overall Quality of Implementation/Oversight and Execution	Highly Satisfactory (HS) (6) – no shortcomings, quality of implementation/execution exceeded expectations Satisfactory (S) (5) – minor shortcomings, quality of implementation/execution met expectations Moderately Satisfactory (MS) (4) – Moderate shortcomings, quality of implementation/execution was more or less met expectations Moderately Unsatisfactory (MU) (3) – Significant shortcomings, quality of implementation/execution was somewhat lower than expected Unsatisfactory (U) (2) – Major shortcomings, quality of implementation/execution was substantially lower than expected Highly Unsatisfactory (HU) (1) – Severe shortcomings in implementation/execution Unable to Assess (UA) – Available information does not allow an assessment of the implementation/execution Overall Quality is the average of the two individual ratings (implementation+execution)
Relevance	Highly Satisfactory (HS) (6) – no shortcomings Satisfactory (S) (5) – minor shortcomings Moderately Satisfactory (MS) (4) – Moderate shortcomings Moderately Unsatisfactory (MU) (3) – Significant shortcomings Unsatisfactory (U) (2) – Major shortcomings

	Highly Unsatisfactory (HU) (1) – Severe shortcomings Unable to Assess (UA) – Available information does not allow an assessment of the implementation/execution
Effectiveness	Same as above
Efficiency	Same as above
Overall Project Outcome	Same as above, based on Relevance, Effectiveness and Efficiency. Calculations are detailed in Table 5.
Sustainability	Likely (L) (4) – there are little to no risks to sustainability Moderately Likely (ML) (3) – there are moderate risks to sustainability Moderately Unlikely (MU) (2) – there are significant risks to sustainability Unlikely (U) 1 – There are severe risks to sustainability Unable to assess (UA) – Unable to assess These are individually rated for financial, socio-political, institutional, framework and governance, environmental, and the overall (average score of individuals)

10. The evaluators did not find that the guidance was particularly clear on exactly how different categories (i.e. all the sub-headings in Findings of the TE as laid out in the guidance) are to be included in the ratings. The evaluation guidance states that “several elements of the Findings section” will require a rating using the rating systems that are described. These elements are included below (with an asterisk). The evaluators have individually assessed, in the narrative, all the sub-headings. In addition, these have been considered in the ratings of the elements that are to be formally rated as per the guidance (as laid out in Table 4 above). The evaluators have included a table outlining the guidance, and how they have interpreted the guidance to include several categories/sub-headings in the rating of the elements/criteria as highlighted in Table 5 below.

Table 5. Outline detailing how different evaluation elements (sub-headings) were considered in the formal rating of the ILM Mt Elgon project

Headings and sub-headings as laid out in 2020 TE Guidance (* signifies formal rating as per guidance)	Key questions to cover per 2020 TE Guidance (more detail can be found in pg 40-62 of the guidance document)	Ratings Laid Out in Guidance	Evaluator interpretation in inclusion of assessment of all sub-headings in the Rating system
(A) Project Design/Formulation	The TE is expected to assess the Project Design Documentation to see whether the design was effective in helping the project reach expected results.	Not included in rating system.	Not included in rating system.
Analysis of Results Framework: project logic and strategy, indicators	- clarity of project objectives, components - relevance to country priorities - reconstruct Theory of Change	Not included in rating system.	Not included in rating system.

Headings and sub-headings as laid out in 2020 TE Guidance (* signifies formal rating as per guidance)	Key questions to cover per 2020 TE Guidance (more detail can be found in pg 40-62 of the guidance document)	Ratings Laid Out in Guidance	Evaluator interpretation in inclusion of assessment of all sub-headings in the Rating system
	<ul style="list-style-type: none"> - How was the results framework defined? - Were the indicators SMART? 		
Assumptions and Risks	<ul style="list-style-type: none"> - How were the risks and assumptions articulated in PIF and ProDoc? - Were they logical and robust, did they help determine outputs and activities? 	Not included in rating system.	Not included in rating system.
Lessons from other relevant projects (e.g. same focal area) incorporated into project design	<ul style="list-style-type: none"> - How were lessons from other projects incorporated into project design? 	Not included in rating system.	Not included in rating system.
Planned stakeholder participation	<ul style="list-style-type: none"> - How were stakeholders included in project design? - Assess Stakeholder Engagement Plan in ProDoc - Were partnership arrangements, roles and responsibilities well defined? 	Not included in rating system.	Not included in rating system.
Linkages between project and other interventions within the sector	<ul style="list-style-type: none"> - Were linkages established with complementary interventions (including other GEF projects)? 	Not included in rating system.	Not included in rating system.
Gender responsiveness of project design	<ul style="list-style-type: none"> - How was gender included in project design, was there gender analysis and a gender action plan (including in the results framework)? 	Not included in rating system.	Not included in rating system.
Social and Environmental Safeguards	<ul style="list-style-type: none"> - Assess the SESP 	Not included in rating system.	Not included in rating system.
(B) Project Implementation	Assess project implementation including the review of adaptive management, project	Not included in rating system.	Overall implementation Considered under the rating of "UNDP implementation/oversight*, Implementing Partner

Headings and sub-headings as laid out in 2020 TE Guidance (* signifies formal rating as per guidance)	Key questions to cover per 2020 TE Guidance (more detail can be found in pg 40-62 of the guidance document)	Ratings Laid Out in Guidance	Evaluator interpretation in inclusion of assessment of all sub-headings in the Rating system
	finance and co-finance, M&E, and implementation & execution.		execution* and overall assessment of implementation/oversight and execution*"
Adaptive management	<ul style="list-style-type: none"> - Did the project undergo any significant changes? - Did these changes affect project outcomes? - Were the changes in writing and formalised? 	Not included in rating system.	Considered under the rating of "UNDP implementation/oversight*, Implementing Partner execution* and overall assessment of implementation/oversight and execution*"
Actual stakeholder participation and partnership arrangements	<ul style="list-style-type: none"> - Project management: how did the project develop and leverage the stakeholders and partners? - Participation and country-driven process: How did local and national government stakeholders support the objectives, did they have active roles? - Public awareness: how did stakeholder involvement and public awareness contribute to the process? - Extent of stakeholder interaction: comparison between actual and planned (Stakeholder Engagement Plan) - Gender: how was gender included (see Stakeholder Engagement Plan)? 	Not included in rating system.	Considered under the rating of "UNDP implementation/oversight*, Implementing Partner execution* and overall assessment of implementation/oversight and execution*"

Headings and sub-headings as laid out in 2020 TE Guidance (* signifies formal rating as per guidance)	Key questions to cover per 2020 TE Guidance (more detail can be found in pg 40-62 of the guidance document)	Ratings Laid Out in Guidance	Evaluator interpretation in inclusion of assessment of all sub-headings in the Rating system
Project Finance and Co-finance	<ul style="list-style-type: none"> - Check variances between planned and actual expenditures - Assess identification of potential sources of co-financing as well as leveraged - Were strong financial controls put in place to allow project management to make informed budgetary decisions - Check overall management of funds and regular reporting - Should also include two tables (Tables 11 and 12 in the guidance) outlining planned and actual co-financing 	Not included in rating system.	Considered under the rating of “UNDP implementation/oversight*, Implementing Partner execution* and overall assessment of implementation/oversight and execution*”
Monitoring & Evaluation: design at entry*, implementation*, overall assessment of M&E*	<ul style="list-style-type: none"> - Design at entry: assess M&E at design phase, incl SMART, budget, baselines, etc - M&E implementation: assess reporting and collection of data as per design, use of M&E for project implementation, extent of project board role in M&E, gender, etc 	Element to be formally rated (see Table 4).	N/A
UNDP implementation/oversight*, Implementing Partner execution* and overall assessment of implementation/oversight and execution*	<ul style="list-style-type: none"> - UNDP: adequacy, quality and timeliness of UNDP support to Implementing Partner, candor in reporting, quality of risk management, responsiveness to significant implementation 	Element to be formally rated (see Table 4).	N/A

Headings and sub-headings as laid out in 2020 TE Guidance (* signifies formal rating as per guidance)	Key questions to cover per 2020 TE Guidance (more detail can be found in pg 40-62 of the guidance document)	Ratings Laid Out in Guidance	Evaluator interpretation in inclusion of assessment of all sub-headings in the Rating system
	problems, oversight of SESP Implementing Partner (MAAIF): day to day management under overall oversight and supervision of UNDP, appropriate focus on results and timeliness, appropriate use of funds, procurement, quality of risk management, adequate, candor in reporting		
Risk management	- Any new risks reported on in PIRs, discussed among project management and project board? How did these risks affect project implementation - Were any risks overlooked?	Not included in rating system.	considered under the rating of "UNDP implementation/oversight*, Implementing Partner execution* and overall assessment of implementation/oversight and execution*"
Social and Environmental Safeguards	Table provided which evaluator included assessing each risk in the SESP and updating ratings based on TE findings	Not included in rating system.	considered under the rating of "UNDP implementation/oversight*, Implementing Partner execution* and overall assessment of implementation/oversight and execution*"
(C) Project Results and Impacts	TE report must include an assessment of results as measured by broader aspects as outlined below, some elements require use of the GEF rating system in addition to the descriptive analysis – rated elements marked with an asterisk		

Headings and sub-headings as laid out in 2020 TE Guidance (* signifies formal rating as per guidance)	Key questions to cover per 2020 TE Guidance (more detail can be found in pg 40-62 of the guidance document)	Ratings Laid Out in Guidance	Evaluator interpretation in inclusion of assessment of all sub-headings in the Rating system
Progress Towards Objective and Expected Outcomes	<ul style="list-style-type: none"> - Were the expected outcomes achieved, extent to which outcome achievement was dependent on delivery of project outputs - assess the extent to which key expected outputs were actually delivered 	Not included in rating system.	Included in the rating of "Overall Project Outcome*"
Relevance*	<ul style="list-style-type: none"> - Alignment with national priorities - Alignment with UNDP and GEF priorities - Stakeholder engagement - Relevance to and complementarity with other initiatives 	Element formally rated (See Table 3).	N/A
Effectiveness*	<ul style="list-style-type: none"> - Extent to which the projects' actual outcomes and outputs were in line with what was planned - Extent to which the project achieved results - Any constraining factors - Any alternative strategies that would have been more effective in achieving project objectives - Gender – extent of women empowerment and gender equality 	Element formally rated (See Table 3).	N/A
Efficiency*	<ul style="list-style-type: none"> - How cost-effective the project was - Project management and timeliness (including extent to which project 	Element formally rated (See Table 3).	N/A

Headings and sub-headings as laid out in 2020 TE Guidance (* signifies formal rating as per guidance)	Key questions to cover per 2020 TE Guidance (more detail can be found in pg 40-62 of the guidance document)	Ratings Laid Out in Guidance	Evaluator interpretation in inclusion of assessment of all sub-headings in the Rating system
	extension could have been avoided, extent to which project management structure was efficient, M&E systems adhered to, delivery of funds and activities)		
Overall Project Outcome*		<p>Element formally rated.</p> <p>Ratings for Overall Project Outcome is based on the ratings for relevance, effectiveness and efficiency, of which relevance and effectiveness are critical. If relevance is unsatisfactory range then overall outcome will be too. The overall rating cannot be higher than the effectiveness rating. The overall outcome rating cannot be higher than the average score of the effectiveness and efficiency criteria.</p>	N/A
Sustainability*	- Likelihood of the project results being sustained after project ends	Element formally rated (See Table 3).	N/A
<i>Financial*</i>	<p>- Likelihood of financial resources being available once GEF assistance ends</p> <p>- What opportunity for financial sustainability exist? Have any</p>	Element formally rated (See Table 3).	N/A

Headings and sub-headings as laid out in 2020 TE Guidance (* signifies formal rating as per guidance)	Key questions to cover per 2020 TE Guidance (more detail can be found in pg 40-62 of the guidance document)	Ratings Laid Out in Guidance	Evaluator interpretation in inclusion of assessment of all sub-headings in the Rating system
	financing mechanisms been secured?		
<i>Socio-political*</i>	<ul style="list-style-type: none"> - Are there any social or political risks that undermine project results being sustained? - What is the level of stakeholder ownership? - How are project successes being transferred and taken up? - How were gender results achieved in the long-term? 	Element formally rated (See Table 3).	N/A
<i>Institutional framework and governance sustainability*</i>	<ul style="list-style-type: none"> - Do the legal frameworks, governance structures and processes pose any risk to sustaining project results? Have any frameworks been put in place to ensure sustaining of project results? - Has the project identified and lifted champions? - Level of ownership at governance level 	Element formally rated (See Table 3).	N/A
<i>Environmental Sustainability*</i>	<ul style="list-style-type: none"> - Are there any factors that may risk environmental sustainability? 	Element formally rated (See Table 3).	N/A
Country ownership	<ul style="list-style-type: none"> - Was the project national demand-led? - Have the outcomes been incorporated into development plans? - Were relevant government bodies involved in project implementation? 	Not included in rating system.	Considered in the rating under overall sustainability.

Headings and sub-headings as laid out in 2020 TE Guidance (* signifies formal rating as per guidance)	Key questions to cover per 2020 TE Guidance (more detail can be found in pg 40-62 of the guidance document)	Ratings Laid Out in Guidance	Evaluator interpretation in inclusion of assessment of all sub-headings in the Rating system
	- Was an intergovernmental committee involved?		
Gender equality and women's empowerment	- How effective was the project in contributing to women empowerment? - Are gender results long-term?	Not included in rating system.	Mainstreamed across all indicators, but particularly considered in Effectiveness, and Overall Sustainability.
Cross-cutting issues	- Effects of the project on local populations (e.g. income generation, improved NRM) - Has the project supported risk-mitigation and resilience	Not included in rating system.	Considered in the rating of Effectiveness.
GEF Additionality	- Are outcomes related to incremental reasoning? - Can outcomes be attributed to GEF contribution? Are these outcomes sustainable?	Not included in rating system.	Considered in in the rating of Effectiveness.
Catalytic/Replication Effect	- Where can replication or catalytic effect be seen?	Not included in rating system.	Considered in in the rating of Overall Sustainability.
Progress to Impact	- Environmental stress reduction/ environmental status change - Overall impact of project in long-term - Changes to regulatory frameworks - Changes to wellbeing	Not included in rating system.	Considered in in the rating of Overall Sustainability.

11.The evaluation matrix (Annex 3) provides an extended set of questions that supported and guided the evaluation process.

C. Data Collection and Analysis

12. The findings of the evaluation were based on the following:

- a. An extensive **desktop review** was conducted of all project documentation including deliverables, reports of consultative meetings, financial reporting, and project reporting, as well as other related reports (see list of documentation in Annex 4); in terms of data collection methods (expanded on in C. below), this includes using the monitoring systems in place, specifically the logframe indicators to measure progress (actual results against expected results), and all project information as already stated.
- b. **Semi-structured interviews** were conducted with key stakeholders, predominantly through zoom (see Annex 2 for the list of stakeholders interviewed). The set of overall guiding questions as well as the detailed structural guidance for field visit interviews is provided in Annex 3 of this report.
- c. A ten-day **evaluation mission** was conducted by the national evaluator between 25 August and 3 September, and included interviews and focus group discussions, as well as site visits to selected field sites as outlined below (see Annex 2 for the field site and interview schedule of the evaluation mission).

13. The selection of parishes to visit during the evaluation mission was based on a consultative zoom meeting with the PMU and UNDP Country Office held on 17 August 2020 and resultant email communication, and selection was based on the following core criteria:

- a. Performance of implementation success (a representative sample of successful versus less successful);
- b. A representative spread of two groups and their timing of funding disbursement (5 of the initial cohort who received funding first – out of 15, and 6 of the second cohort – out of 18);
- c. Level of gender and youth representation;
- d. Logistics and safety of evaluation team (accessibility to difficult areas of the mountain, as well as safety in terms of COVID-19);
- e. Levels of championship and leadership from government and community level;
- f. Representative spread of SLM technologies used and adopted, including a representative of value-add activities (one site for every one of the nine technologies adopted);
- g. A representative spread across the three districts.

14. The parishes visited and interview schedule can be found in Annex 2, and the overall data collection methodology covered can be found in the evaluation matrix in Annex 3.

15. All findings in the Terminal Evaluation report are based on a triangulation of evidence. Evaluation findings (and thus lessons and recommendations) sourced were further verified through other sources (including: M&E documentation and project implementation documentation, interviews and follow-up interviews verifying if findings were opinion-based or fact-based including requests for written evidence).

16. Gender considerations were of utmost importance in the collection data and analysis for the evaluation. The field visits, interviews, and documentation tracking included the assessment of how gender was effectively mainstreamed and integrated in project implementation. This was done using the following methodology: (a) tracking written evidence of gender indicators in the project logical framework, (b) assessment and resultant suggestions of where gender empowerment may have been improved in terms of the gender indicators, (c) equal representation and gender related questions (as found in the evaluation matrix in Annex 3) during the interview processes and field site visits, (d) assessment of the implementation of the gender action plan.

D. Ethics

17. This evaluation was conducted in accordance with the principles outlined in the United Nations Evaluation Group (UNEG) 'Ethical Guidelines for Evaluations'²⁸.
18. The evaluation was carried out in an independent, impartial, and rigorous manner.
19. The evaluation process, therefore, was bound under its professional and ethical code of conduct, which included the following key factors: (a) all interviews and information were provided in confidence and anonymously and, as a result, no information can be traced back to one direct source/individual, (b) those involved in the evaluation have had the opportunity to review the evaluation findings as well as the main evaluation report, (c) the evaluators were sure to have empathy and sensitivity to different contexts and cultures in which stakeholders work.

E. Limitations

20. A few limitations were faced during the evaluation process, as outlined below.
21. *Inability of the international evaluator to conduct country visit in person due to COVID-19:* Due to travel restrictions imposed by the COVID-19 pandemic, the international evaluator worked remotely with the national evaluator who conducted the evaluation mission and any face-to-face interviews. While this was the best option available given the COVID-19 constraints, this posed one major limitation, and that is that the international evaluator could not pick up on the nuances that usually come with face-to-face meetings, and field visits²⁹. When conducting in-person evaluation missions, one is generally more aware of the nuances of implementation issues within any given project. While the roles and responsibilities were well laid out between the international and national evaluator, and the evaluation mission in particular formed a large evidence base for the results of the evaluation, some face-to-face meetings and office visits in person by the international evaluator may have allowed the evaluators to delve more deeply into some of the challenges of the project.
22. *Other COVID-19 related issues:* there were also some limitations to the meetings that took place as face-to-face meetings were made more difficult – safety precautions were put in place (effective sanitation, physical distancing, face masks, etc), and generally the limitations imposed upon the meeting due to COVID-19 restrictions did not significantly affect the evaluation.

²⁸ <http://www.uneval.org/document/download/548#:~:text=1.,Norms%20and%20Standards%20for%20Evaluation>.

²⁹ Subtleties are difficult to delegate or pick up through another person, much deeper learning and understanding takes place in face to face discussions and field visits.

23. *Zoom versus face-to-face*: Connected to the above restrictions, the majority of interviews (with the exception of the evaluation mission which was conducted by the NC alone) were conducted using Zoom. This was effective in some ways (e.g. good quality recordings allowed for effective capturing of information and evidence from interviews). However, face-to-face interviews are more effective in many ways because there are no risks to interruptions in internet connectivity, or other technical issues faced with remote and digital interview processes (including often softer, less tangible ways or accessing information that go beyond merely verbal communication). Some interviews were interrupted because of bad connectivity, or adaptations had to be made when Zoom calls dropped (e.g. re-scheduling, there-by losing momentum, having to do phone calls instead, etc).
24. *Generally limited time-frame, availability of stakeholders*: The evaluation was conducted over a space of one and a half months (counting from the Inception Meeting). One key stakeholder was not available. The focus was on the evaluation mission which took up 1/3 of the evaluation process, and the evaluators maintain the assumption that a representative sample of 33 parishes were visited (of the 33 parishes, 13 were visited in total³⁰, please see criteria for selection in C. Data Collection and Analysis, paragraph 13).³¹ The evaluators were placed under pressure to submit deliverables in a shorter timeframe that is customary in such evaluations. Despite having submitted on time, an extension was given to the evaluation to allow for a longer stakeholder review process.

³⁰ See Annex 1, Table 10 for the representative list of parishes visited.

³¹ All evaluations are limited in terms of field visits, depending on the number of field sites. It would have been unrealistic for the evaluation to have visited all 33 sites given the timeframe and budget of the evaluation. But it would equally be unrealistic to say that visiting 13 sites is the same as visiting 33 sites – the evaluators are sure that more information would have come from visiting all 33 sites. A sample will never be fully representative of the whole.

II. PROJECT DESCRIPTION

A. Project Background and Objectives

25. While Mt Elgon offers a variety of ecosystem services essential to the livelihoods of the communities living there, the ability of the ecosystem to continue providing these has been diminished substantially.
26. This is a result of (a) deforestation of roughly 60% of land now occupied by agriculture and human settlement, and (b) the degradation of land. Drivers of land degradation include land tenure, exploitation of resources, unsustainable agricultural practices leading to soil erosion and soil infertility, lack of integrated land-use planning (including the lack of effective natural resource mapping). These are further exacerbated by climate change.
27. As a result, the project under evaluation aimed to curb land degradation and enhance ecosystem health by contributing to improved livelihoods and resilience of the ecosystem through the use of integrated landscape management approaches. The project objective was *to empower communities in Mt Elgon to manage their production landscapes in an integrated manner for improved livelihoods and ecosystem resilience*.
28. The project was designed to take an incremental approach towards the empowerment of communities in Mt Elgon to manage their land in an integrated manner (under the technical support of local and centralised government, as well as access to private markets) in order to improve livelihoods and ecosystem resilience.
29. The project sought to secure global environmental benefits (GEBs) through integrated landscape planning and management, and through testing options to reverse land degradation, reduce GHG emissions, and empower communities.
30. To achieve these GEBs, the project had two main components. The first was to raise awareness among district authorities and local communities on sustainable land management (SLM), sustainable forest management (SFM) and climate change mitigation (CCM). The project aimed to strengthen the general knowledge of the Mt Elgon natural resources location, land degradation and GHG emission status through the development of community resources maps. Based on the resource maps, it planned to support the development of Land Use Plans working at both the landscape and household level (farm planning). The project sought to strengthen the enforcement of land legislation and the rights of land occupiers in the Mt Elgon. The project also aimed to support the mainstreaming of SLM, SFM and CCM into District Development Plans (DDP).
31. Under the second component, the project aimed to adopt and use the Food and Agriculture Organisation Farmer Field School approach³² in the districts of intervention, providing training in SLM, SFM, CCM technologies and approaches for local farmers. Under this component, the project also sought to implement pilots to showcase and support the uptake of SLM, SFM and CCM technologies and approaches such as conservation agricultural practices, afforestation and tree planting. The component also sought to strengthen partnerships and collaboration between public

³² FFS is an approach to extension that is based on the concepts and principles of people-centred learning and was developed as an alternative to the conventional, top-down, extension approaches. It uses innovative and participatory methods to create a learning environment, including learning networks, in which land users have the opportunity to learn for themselves about particular production problems, and ways to address them, through their own observation, discussion and participation in practical learning-by-doing field exercises. FFS serve as pilots for conservation agriculture technologies and approaches for improved land management and livelihoods of smallholder farmers; they are particularly suited for the intervention of the project.

and private sectors to better secure farmers' access to inputs, markets and technical support and advice. Frameworks to monitor carbon emissions and sequestration and soil erosion were also going to be developed and implemented by the project. Finally, the project also sought to collect, compile, and disseminate best practices and lessons learned for related on-going and future initiatives in the region.

32. Below is a table outlining the components, outcomes and outputs of the project.

Table 6. Components, outcomes and outputs of the ILM Mt Elgon Uganda Project as outlined in the project document.

Component	Outcome	Outputs
1: Integrated Landscape Planning and Management	1: The landscape planning and management processes in the district of Manafwa, Bulambuli and Mbale are done in an integrated manner to reduce land degradation and increase carbon sequestration.	1.1. Community resource maps developed in 6 sub-counties in the 3 districts (2 per district) 1.2. Land use plans developed, in line with resource maps, in 6 sub-counties 1.3. District local governments supported to implement clauses regarding SLM, SFM and CCM 1.4. A system for effective monitoring and enforcement of the land use plans and related legislation is put in place 1.5. SLM, SFM and CCM mainstreamed into district policy planning
2: Demonstration of options to reverse land degradation, reduce GHG emissions and empower communities	2: Local communities are empowered and applying technologies to reverse land degradation and reduce GHG emissions	2.1. Enhanced local capacities for the adoption of SLM, SFM and CCM through the FFS approach 2.2. Existing public-private collaboration is strengthened to improve farmers' access to inputs (finance, seedlings), technical support and advice, and markets 2.3. Pilots demonstrating SLM, SFM and CCM technologies and approaches are implemented in the 6 selected sub-counties 2.4. Monitoring frameworks for carbon emissions/sequestration and soil erosion are developed and implemented 2.5. Best practices and lessons learned collected, compiled and disseminated

33. The project focused on three districts in particular: Mbale, Manafwa and Bulambuli, and more specifically 6 sub-counties: Wanale and Nyondo in Mbale District, Khabutoola and Nalondo in Manafwa District, and Sisiyi and Namisuni in Bulambuli District. The selection of these districts and sub-counties in particular was done by local stakeholders with guidance from consultants based on the degree of ecosystem degradation, levels of poverty and potential to make change.³³

³³ Selection done during PPG phase.

34. Some of the key SLM technologies to be implemented by the farmers under Component 2 included more climate resilient coffee and banana production, reforestation and agroforestry (planting of indigenous trees in agricultural land), conservation agriculture practices (including minimum tillage, mulching).
35. The project sought benefit roughly 5,000 households, particularly through empowering women (who are generally responsible for household food security) – through the improvement of land fertility due to the successful implementation of the SLM technologies.
36. The project started in 2016, but due to delays in project implementation (which are further discussed under effectiveness and efficiency below), the project was only effectively implemented from 2017 onwards. The project applied and received an 18 month extension and as a result, the project only officially closed at the end of August 2020.
37. The project design was aligned with the priority interventions in Uganda's National Adaptation Plan of Action (NAPA). The project sought to contribute to the development of innovative approaches to address several CPAP outcomes, including: increased sustainable production of selected sub sectors, particularly benefiting women and youth, national and local institutions capacitated to develop, implement and monitor pro-poor policies and strategies and sustainable environmental and natural resource management, as well as climate change adaptation and mitigation, approaches. The project design directly linked to UNDAF Outcome 2 (Sustainable livelihoods) and Uganda's National Development Plan 1 (2010/11-2014/15), although its implementation also linked to the National Development Plan 2 (2015/16-2019/20) which had not been developed at the project design phase. This is further discussed under relevance in section III of this report.
38. The project design preceded the development of the Global Agenda 2030 and its Sustainable Development Goals, but project implementation particularly focused on SDG 15 (Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss). The project also attempted (without an indicator framework attached) to contribute to Goals 1, 2 and 5.³⁴

B. Project implementation structure and partners

39. The governance structure of the project was as follows:

- a. The UNDP was the implementing agency (IA) and MAAIF was the executing agency (EA).
- b. There was a **Project Board** constituted of representatives of implementing partners: MAAIF, MWE, MTIC, MLHUD, MoLG, NARO, NEMA, NFA, DLGs, NGOs, CBOs, executed by MAAIF and the Mbale DLG.
- c. UNDP provided quality assurance to the project.
- d. As is standard for such projects, there was a **Project Management Unit** oversaw the implementation of the project.

³⁴ See here <https://sdgs.un.org/goals>.

- e. Between MAAIF, the three District Local Governments, MWE, MLHUD, NARO, Busitema University and 33 CBOs and the Catchment Management Committees (CMCs)³⁵ which oversee the CBOs, were responsible for the **implementation of activities**. The community activities were overseen by the District Coordinators. The private sector was to be fully involved and engaged in relevant activities. A number of consultants were recruited to deliver on specific activities under selected outputs.
 - f. The activities of these were overseen by the other RPs because each RP had a role to play in supporting what the CBOs were doing. This was done during the monitoring visits that preceded each Board meeting and the regular quarterly reviews
40. The project was executed under a national implementation modality (NIM), with MAAIF acting as lead implementation partner in collaboration with the Mbale, Manafwa and Bulumbuli District Local Governments.
41. A inter-ministerial task force set up included: the Ministry of Water and Environment (MWE), Ministry of Lands, Housing and Urban Development (MoLHUD), MAAIF, and Ministry of Trade, Industry and Cooperatives (MTIC). This task-force formed part of a Multi-Stakeholder Project Technical Steering Committee (PTSC) (here-after referred to as the Project Board), chaired by the Permanent Secretary of MAAIF, that was established to provide guidance and ensure policy and technical consistency of actions, to evaluate technical consultancy reports. The PSTC also assisted in project monitoring and ensure complementarity with the Uganda Strategic Investment Framework for Sustainable Land Management (2010 – 2020) (a more programmatic approach to SLM in Uganda). The Project Board was responsible for providing overall guidance and direction to the project; it was also responsible for making, by consensus, management decisions for the project when such guidance was required by the Project Manager, including making recommendations to UNDP and the Lead Implementing Partner to approve project plans and revisions.
42. The project management unit (PMU) that was based in Mbale consisted of a Project Manager, Technical Assistant in land use regulation, Technical Assistant in SLM and M&E, Administrative and finance assistant, Driver and a Finance Admin Officer. The PMU implemented project activities through a result based management approach. The PMU was also in charge of the technical and financial reporting and the M&E of the project.
43. The governance structure of the project and roles of partners can be found illustrated in Figure 1 below:

³⁵ Source: email communication with PMU during inception phase.

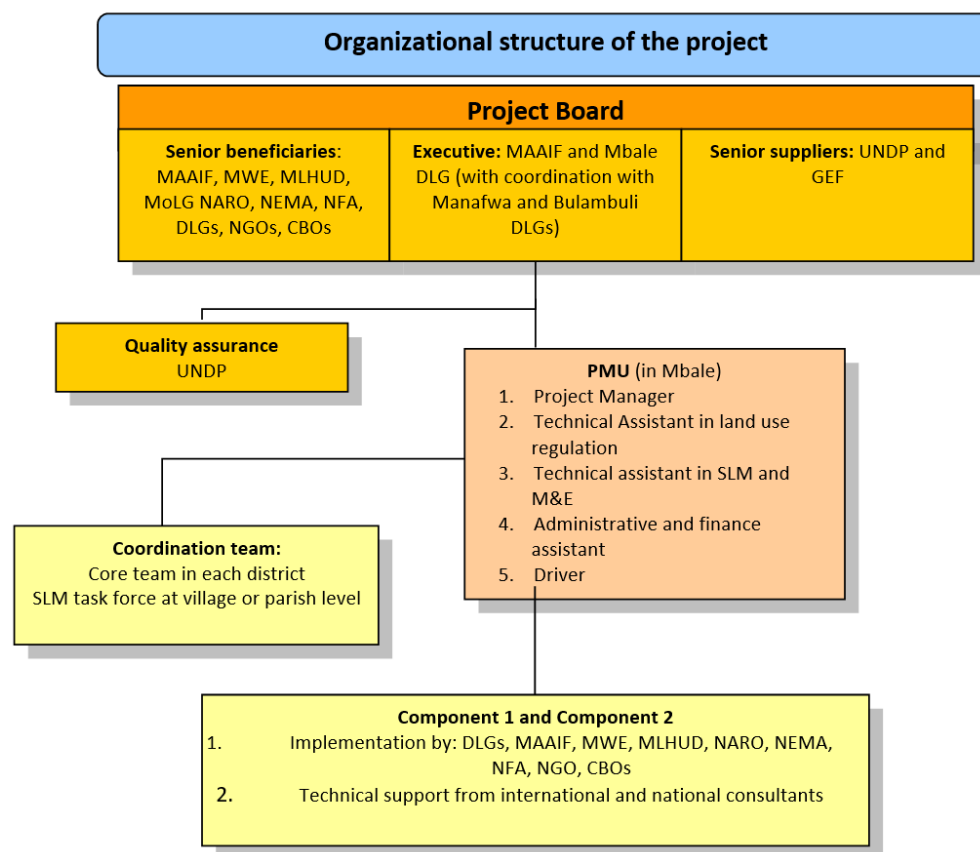


Figure 1. Project organisation chart as laid out in project document

44. The National Agricultural Research Organisation (NARO) provided technical expertise on ILM technologies and training to District staff, TOTs and CBOs on soil fertility management, soil and water conservation and on land use change in the land slide project prone areas of Mt Elgon. NARO also participated in establishment of demonstration sites.
45. NEMA and the Ministry of Justice oversaw the process of bylaw formulations at parish level. NEMA also supported land use planning activities at community level.
46. Busitema University supported validation of land use plans, delivering GIS training and capacity building of monitoring frameworks for soil erosion and carbon sequestration.³⁶ Busitema also oversaw the establishment of the GHG and soil erosion monitoring system for the project, setting it up for each of the district local governments and uploading the baseline information for each district.
47. District local governments were involved at all stages of design and implementation, working through District project coordinators who represented the project on District Technical Planning Committees and ensured integration within district planning and implementation of district programmes. The districts technical staff led in capacity building, establishment of demonstration sites and backstopping the TOTs and CBOs on ILM activities. Together with consultants, the district staff and

³⁶ This task had been started by a consultant but was later seconded to the University – this is further discussed under B. Implementation.

communities developed resource maps and land use plans that identified hotspots of project interventions. An effective system for monitoring and enforcement of the land use plans and related legislation was put in place at district and community level.

48. Community-Based Organisations (CBOs) engaged strategically in planning and capacity building, and in implementing pilot activities as follows: participated in the development of community resource maps and land use plans, and designed and selected ILM interventions that fit with their interests and customs; managed grants; implement and managed demonstration sites; provided labour and supported adoption of ILM technologies by household and community members and participated in the initial process of bylaw formulation. Local communities were engaged strategically in planning and capacity building, and in implementing pilot activities.

49. The local governance structures were used for consultative planning extending down to village level and the selection of target communities. The local leadership structures through which the project operated are laid out in the Table 7 below.

Table 7. Local level governance structure used to support project implementation at local level for the ILM Mt Elgon project

Level of local governance structures	ILM project-task force representatives
Catchment scale/ Parish level	CBOs (Chairperson) CMC Trainer of Trainee (TOT) (2 female and 2 male)
Sub-County	CMC (Chairperson) CBOs Sub-County chief Local Council III (LC III) executive members Parish Chief Technical Staff (community development officer, agricultural extension officer)
District - lower level	District Production officer (Chairperson) District Environmental officer District Gender officer Natural Resource officer District Planner District Forest officer District Finance officer/ Auditor District Communication officer District Agricultural officer District Veterinary officer
District - Mid level	Chief Administrative officer (Chairperson) District Environmental officer District Gender officer Natural Resource officer District Planner District Production officer District Forest officer District Finance officer/ Auditor District Communication officer District Agricultural officer District Veterinary officer
District – Upper mid level	The District Executive Committee (DEC) which is the council of ministers appointed from Local Council V
District - Upper level	All the Local Council V (LCV) that has membership derived from sub-county councilors but chaired by LCV district chairperson

50. Some changes in implementation structure occurred during implementation (Busitema University being one collaborating partner not having been envisaged to implement during design phase). More institutional governmental and community capacity was drawn in rather than companies and consultants. The change from using contractual services company to accomplish implementation of the land use plans that were developed by the project, to working with community based organizations through small grants was one of the most important changes that were done during the implementation and differed from the design stage. These changes are further discussed under B. Implementation.

C. Planned project financing

51. The project was financed through the GEF Trust Fund, almost equally distributed from LD and CCM focal areas to the amount of USD 1,620,320, with planned co-financing from Government (USD 6,160,634) and UNDP (USD 2,670,750). Actual expenditures and co-financing are discussed in section III.B of this report.

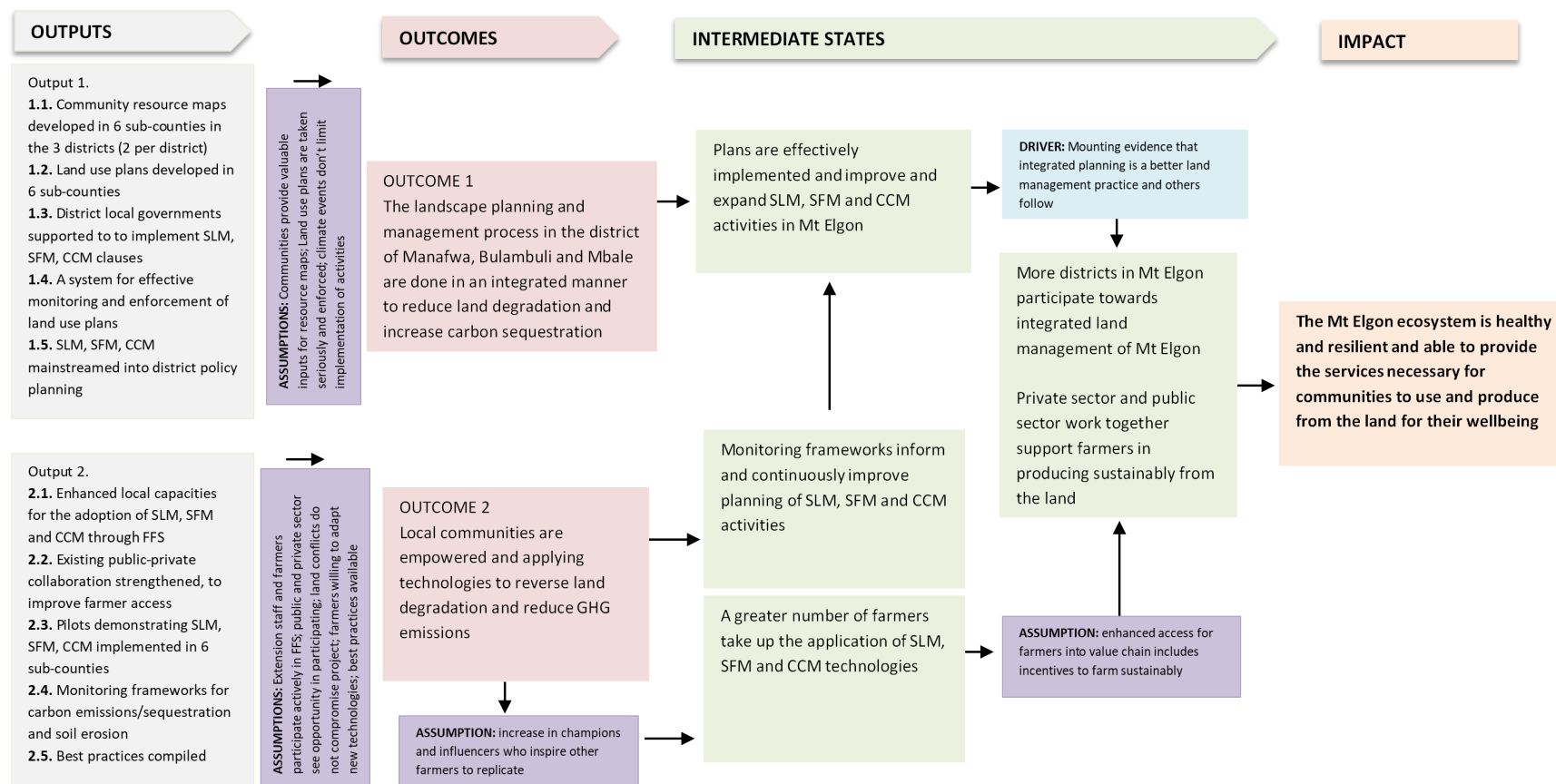
D. Reconstructed Theory of Change

52. The project did not have a Theory of Change developed during its design phase (this was not a requirement during the development of the project). For the purpose of informing the evaluation, and particularly for deepening the understanding in a larger context of improved SLM (as well as SFM and CCM), the evaluators have developed a reconstructed Theory of Change (the TOC diagram can be found below). The narrative below and Theory of Change diagram was refined based on some comments received during the evaluation process.
53. The project aimed to promote integrated land use planning at the district level, engineering a shift from unsustainable land practices to sustainable land management. Additionally, the project aimed to promote conservation of natural capital and the enhancement of carbon stocks in Mount Elgon by enabling governmental, non-governmental and economic actors to build capacities and adopt good land management practices for enhanced and sustainable economic and environmental wellbeing (the two effectively going hand in hand if understood from a systems perspective).
54. The project objective was to “empower communities in Mt Elgon to manage their production landscapes in an integrated manner for improved livelihoods and ecosystem resilience”. The evaluators have, in drafting the reconstructed Theory of Change, defined the longer-term, achievable impact, resulting from the achievement of the project outcomes and its objective.
55. The final impact(s) of the TOC is/are thus: the development objective for the project (based on the ideal scenario in which results are sustained and further replicated) is *that the Mt Elgon ecosystem is healthy and resilient and able to provide the services necessary for communities to use and produce from the land for their wellbeing and resilience*. This encompasses the health and resilience of the soil, watersheds, and, as a result, the rural livelihoods (based on sustained food security and local economies). Figure 1 describes the process and flow for the impact to be attained. It is important to read the below narrative in accompaniment with the TOC diagram.

56. Analysis of the impact pathways was conducted in terms of the assumptions and drivers that underpin the processes involved in the transformation of outputs and outcomes to intermediate states to impact. The intermediate states are the transitional conditions between the project's direct outcomes and the intended longer-term impact. The drivers are the significant external factors that are expected to contribute to the realization of the intended impact and which can be influenced by the project. The assumptions are the external factors that are expected to contribute to the realization of the intended impact and which are beyond the control of the project.
57. The transition from the achievement of outputs to outcomes depends on the following assumptions to have been met (as were outlined in the Project Document):
- a. For Output 1 to Outcome 1: communities provide valuable inputs for resource maps; land use plans are taken seriously and enforced, climate events don't limit the implementation of activities.
 - b. For Output 2 to Outcome 2: extension staff and farmers actively participate in FFS; public and private sector see opportunity in participating in project; land conflicts are kept local and do not compromise project results attainment; farmers are willing to adapt new technologies; best practices are available to compile and disseminate.
58. These assumptions will be tested during the evaluation when evaluating whether outcomes were achieved.
59. There are various intermediate states between the achievement of project outcomes and the longer-term impact. For **Outcome 1**, the intermediate state is that uptake and integration of land use plans will have to be effectively implemented to improve and expand SLM, SFM and CCM activities in Mt Elgon (firstly in the three districts as per project intervention). The driver between this intermediate state and the intermediate state to impact (which is the uptake of more integrated land use planning in other districts of Mt Elgon and that private and public sector increasingly work together to support the implementation of this planning) is that there is mounting evidence that integrated planning is a better land management practice than business-as-usual.
60. For **Outcome 2**, there is a link between the intermediate state that monitoring frameworks for carbon emissions/sequestration and soil erosion improve the planning of SLM, SFM and CCM to inform the effective implementation of land use plans (as per the intermediate state from Outcome 1). The second intermediate state between Outcome 2 and the final intermediate state to impact depends on two assumptions being met. The first assumption of the pathway between outcome 2 (local communities are empowered and applying technologies to reverse land degradation and reduce GHG emissions) and the first intermediate state (a greater number of farmers take up the application of SLM, SFM and CCM technologies) is that there is an increase in champion and influencer farmers who inspire other farmers to replicate. The assumption in the pathway between the first intermediate state and the second intermediate state (more districts in Mt Elgon participate towards integrated land management and the private and public sector work together in producing sustainably from the land) is that the enhanced access for farmers into value chains includes incentives to farm sustainably.
61. If these assumptions are met along the pathways between outcome 2 and the intermediate states, and in partnership with the intermediate state from outcome 1, the final intermediate state will lead to impact. As more districts in Mt Elgon participate in integrated land management and the private

and public sector increasingly come on board to incentivize farmers to farm sustainably, the health and resilience of the ecosystem of Mt Elgon will improve. The healthier the ecosystem, the more able the ecosystem will be to continue providing the communities with the services vital to support their livelihoods.

Figure 1. Reconstructed Theory of Change diagram for the ILM Mt Elgon Project



III. FINDINGS

A. Project Design/Formulation

62. An assessment of the quality of the project design was conducted. The following project documents were used for the review of the project design: the MSP Project Document, the GEF-5 MSP LD and CCM Tracking Tools, the GEF CEO Endorsement Request Document addressing the GEF review comments.

Analysis of Results Framework: project logic and strategy, indicators

63. The project document was improved and refined from PIF-stage (which was not sufficiently contextualised to be more detail-oriented and specific to Mt Elgon). GEF Council review comments on the project document highlighted some key issues, including the need for a more robust Monitoring Plan (which included indicators to assess global benefits), a more detailed and elaborated governance arrangement for effective implementation of the project, more effective elaboration of lessons integrated from recently closed projects and how these have informed the design of the project, more refinement of outputs in the project, how the project intended to deal with land tenure insecurity, and more detail on the carbon sequestration monitoring system. The final project document covered this sufficiently.
64. The project was certainly country-driven in its demand as well as addressing country priorities; this is covered under Country Drivenness, Policy and Legislative Context, as well as the Stakeholder Participation sections in the project document. The project fit within a larger SLM-driven programmatic approach in Uganda, it would have been good to have seen this further elaborated within the project document (although admittedly, the development of the project may not have coincided with the programmatic and strategic country-level approach – the project development was, after all, done in 2014, and only properly implemented in 2017). The project directly aligned with both NDP1 and NDP 2 (through land degradation, climate change, and poverty reduction priorities), as well as the UNDP Strategic Plan (2018-2020, developed only while the project was already being implemented), relevant UNDAF (2016-2018 – which came out post-project development), CPAP, and national plans (e.g. NAPA, NBSAPs). The stakeholder review process during the PPG phase was a good country-driven example, with beneficiary demand being a key element in project design.
65. The project document did not have a Theory of Change, and thus cannot be assessed on this as this was not a requirement for project design in GEF-5. However, the evaluators' have reconstructed one based on the overall impact of the project (using the extensive project documentation as well as interviews with all stakeholders). This Theory of Change (as elaborated on in the previous section of the report) has been used to guide the assessment of the project design thinking.
66. As a result of this process, as well as the assessment of the project results framework, the evaluators have found the following to be pertinent:
67. The overall objective, and the components and outcomes, were feasible and practical in terms of the time frame and cost of the project. However, the evaluators are of the opinion that the Output 2.4. (Monitoring frameworks for carbon emission/sequestration and soil erosion are developed and implemented) may have been more appropriately placed under Outcome 1 (The landscape planning and management processes in the district of Manafwa, Bulambuli, Mbale are done in an integrated manner to reduce land degradation and increase carbon sequestration). It was instead placed under Outcome 2 (Local communities are empowered and applying technologies and approaches to reverse land degradation and reduce GHG emissions). This placement did not have a large effect on project implementation, but may

have made for more simple and early coordination had it been placed more appropriately in the land use planning process.³⁷

68. Overall, the results framework was well-defined, but with some flaws that if picked up at GEF CEO Endorsement Request, could have resulted in a more impact-driven understanding and approach to project implementation. In fact, the evaluators are surprised these were not picked up in the GEF Council Review. Apart from the above output-related issue, these flaws are specifically in the context of the indicators.
69. The first is the lack of outcome-level indicators. The results framework has a large number of output-level indicators (mostly SMART, with some exceptions³⁸), but there are no indicators measuring the two outcomes. The project document makes mention of five “Outcomes” (GEF Core Indicators?), which are placed in the Results Framework as “Objective-level indicators”; these include (1) # of ha of reduction in land degradation, (2) scores on LD tracking tool scorecard, (3) scores on the capacity development scorecard, (4) # of ha under forest cover, and (5) tons of carbon sequestered. Their merit as objective-level indicators are further discussed in paragraph 72 below. The evaluator argues that in the results framework there are no outcome-level indicators specifically for Outcome 1 (integrating land use planning) and Outcome 2 (empowerment of local communities).
70. For Outcome 1, it would have been good to see not just a tick-box approach to outputs, but also an indicator to effectively measure if the land management planning processes put in place are being used and integrated and how these are reducing land degradation. The evaluation process did pick this up during the evaluation mission and will elaborate on this under effectiveness in the sections below. However, having an outcome-level indicator here would have supported a greater understanding and M&E process toward sustaining project results.
71. The same issue applies to Outcome 2 (local communities are empowered and applying technologies to reverse land degradation). There are many output-level indicators that together could illustrate some support towards this outcome coming to fruition, but an appropriate outcome-level indicator would have been more impactful here in terms of measuring progress within the broader Theory of Change framework. The evaluators provide suggested outcome-level indicators that may have improved outcome-level monitoring of the project in the Table below.

Table 8. Suggested outcome-level indicators that could have been used for the results framework and M&E of project results

Outcome	Indicator	Baseline	Target	Means of verification
Outcome 1: The landscape planning and management processes in the three districts are done in an integrated manner to reduce land degradation and increase carbon sequestration	Level of implementation of integrated land use planning in each district	No implementation of land use plans	By end of project, land use plans developed for parishes in each district are implemented and used to further integrate across the wider	Evidence of enforcement of by-laws, M&E measuring implementation of land use plans at district gov level and community implementation levels

³⁷ This is further discussed under Effectiveness.

³⁸ e.g. Under Output 1.3. the second indicator “no of people with increased awareness on SLM technologies and approaches” is not really relevant to this Output, nor is the target and means of verification relevant. How do you measure increase in awareness – not by using attendance sheets. Workshop attendance alone does not guarantee that attendees have learned. Questionnaires asking particular questions about what was learned – that would be a more measurable way to verify whether awareness was increased – or measuring behaviour change in the group that were exposed to the awareness raising.

			landscapes in each district	
Outcome 2: Local communities are empowered and applying technologies and approaches to reverse land degradation and reduce GHG emissions	Level of sustained application (including sustained financing) of technologies Level of women leadership and benefit in sustaining technologies	No application of SLM technologies in target parishes	By end of project, 50% of parishes have sustained application of technologies (50% female leadership and appropriate socio-economic benefit – see <i>socio-economic indicators in paragraph below</i>)	Interviews with CBOs and parish leaders, future plans for sustained implementation, minutes of CBO meetings, any evidence of financing mechanisms (community saving-schemes, government budgeting support, etc)

72. The second is about the indicators that address the core objective of the project. The project speaks about Objective-level indicators (which can be found at the very end of the results framework), which are part of the GEF tracking tools. These could arguably be used as impact indicators in terms of a move towards ecosystem health (as per the Theory of Change). Two aspects form part of the project objective, namely empowering communities in Mt Elgon to manage their landscapes in an integrated manner for (i) improved livelihoods, and (ii) ecosystem resilience. While the objective-level indicators in question do address ecosystem health and resilience aspects, they do not address the improved livelihoods aspects.

73. Of course, one can argue that improved ecosystem health is proven to improve livelihoods (e.g. as an example, reforestation results in soil stabilisation which results in decreased risk of landslides and therefore enhanced safety of community and enhanced wellbeing), but this needs to be more clearly stated (e.g. an indicator looking at a decrease in landslides as part of community wellbeing and safety, or an indicator looking at improved basket of diversity in crop production and food security at household level).

74. In addition, a large part of the National Development Priorities of Uganda state improved livelihoods through socio-economic benefits to the people. The project design documentation could easily have included some gender-disaggregated indicators that measure socio-economic improvement. The evaluators believe that cash-income related indicators are not fully indicative of wellbeing, and would recommend that alternative indicators could be used, such those used in the livelihoods framework (e.g. time for women saved in labour terms, savings schemes generated for enhanced resilience among the community, acquisition of ability to access improved education for children in the household, improved community support structures, improved nutrition at household level, improved access to markets through community cooperatives).

75. Of the three risks identified in the PIF, two were retained in the Project Document with the exception of the risk regarding inadequate political support.³⁹ Five additional risks were identified during the PPG phase.⁴⁰
76. Risks outlined in the project document were logical and robust, and measures taken (even for low risk levels) to mitigate these risks were well outlined and articulated. Mitigation measures outlined were based on sound evidence from previous practices and experiences (previous projects) in the region. The project design in its risk mitigation also ensured that implementation would be set up in areas where success was likely (including a likelihood of further uptake there-after).⁴¹ There is a clear path in how risks and their mitigation measures informed project design, but to a greater extent project implementation (which in some cases differed slightly, in implementation structure, from design).⁴²
77. One external risk that could not have been anticipated at project design, the outbreak of the COVID-19 pandemic. The project suffered delays and also some outputs were not achieved in the final months because of COVID-19, however this will be further discussed under B. Implementation below, because evaluation evidence shows that other delays not linked to COVID-19 had a greater impact on risk to achievement of these outputs (i.e. if the project had been implemented as planned and had these delays not happened, then COVID-19 would not have had the significant impact that it did, in fact an 18-month extension had been given to implement outputs that were not implemented at the onset of the project).

Lessons from other relevant projects (e.g. same focal area) incorporated into project design

78. The baseline section in the project document was well outlined in much detail, and lessons from previous interventions were laid out (although in terms of the indicator framework, it is surprising to see that these baselines were set to zero, implying very little to no previous intervention in the area).
79. The project document speaks to the value-add that the project aimed to achieve by building upon the baseline projects and addressing gaps and issues, and particularly the global environmental benefits, all of which had not been previously addressed by these projects.
80. During the PPG phase, as well as the project appraisal phase, effort was made to include as many stakeholders as possible. This supported further integration of learnings from other projects.
81. The project document outlines in much detail all institutions involved in Mt Elgon and how and what they were doing at project design phase. This includes the specific roles of each institution, as well as the current barriers that exist to achieving the global environmental benefits laid out in the project document. A sub-subsequent section comprehensively covers additional barriers to SLM in the area. These informed the further development and refinement of project outputs that were initially developed at PIF stage.
82. In the narrative of the project document (under GEF Alternative), the project design speaks to how it will create synergies with ongoing projects (e.g. the LECB programme that focuses on awareness raising on climate change, building on the FFS work that had started in Uganda such as integrating the findings of the initiatives from the TACC project into the FFS curricula,

³⁹ This risk was removed during the PPG phase on “strong request” by national and local stakeholders (Source: CEO Endorsement Request).

⁴⁰ These include: 1. Low capacity to implement SLM, SFM and CCM practices at district level in local communities and institutions, 2. Local populations do not see the benefit of SLM, SFM and CCM practices and how show some reluctance/slowness to adopt SLM, SFM and CCM practices, 3. Land use plans, land - related legislation and district development plans are not enforced, 4. Political will at district level does not remain constant during project duration, 5. Land conflicts jeopardize project implementation.

⁴¹ As an example, under climate change risk, the project planned to pay attention in ensuring soil erosion stabilization techniques would be conducted in geologically stable slopes so that conservation measures could be implemented rapidly, thereby decreasing risk that would be out of the control of the project. Training would be provided focused on capacity-gap analysis. High local-level ownership was a priority in the project through ensuring community engagement. Source: Review of Project Document and CEO Endorsement Request.

⁴² This will be further discussed under B. Project Implementation.

building on the technologies developed under ATAAS, complementing the REDD+ work, promoting synergies with MERECP, among others. It would have been more helpful and concise though, if the project document had laid out all the baseline projects in a different format, such as a table, with a column that outlines possible synergies.

Planned stakeholder participation

83. The project document comprehensively covers the roles of institutions from the national to the local level. This section was generally elaborated on. However, this said, this background does not seem to have been fully used in terms of how the project was eventually implemented.
84. As an example, there is some talk of universities, and the PPG phase made an effort to include e.g. Busitema University in the design phase of the project (they did not respond). But if there had been more connection made to implementation structure, and a more robust capacity assessment of these institutions and partners⁴³, there would perhaps have been more use of national and institutionalized capacity, and less use of consultants. This will be further elaborated on in B. Implementation. Ministry stakeholders (a strong mix indicating a systems approach to implementation) as well as local communities, CBOs and Private Sector had roles in the project laid out per output.
85. There was pressure from stakeholders to use bottom-up approaches and community ownership at the onset of implementation (e.g. during the appraisal workshop in November 2015, and the Inception Workshop in August 2016), but during the design phase this was not clearly articulated. The evaluators believe that the PPG phase may have missed out on opportunities of more community-oriented participation and leadership (it had taken the route of using consultants and companies to conduct work and facilitate processes instead of going directly through communities). These were picked up and changed at implementation (further detailed under the B. Implementation section), but does flag issues around how the PPG was conducted (not enough community-level engagement, some stakeholder perhaps missing in the consultation process).
86. The analysis at community level, the gender analysis in particular, for the project, was well laid out. A comprehensive section covering livelihoods and gender roles, land ownership structures, socio-economic issues, was laid out in the project document.
87. The project has a short section on stakeholder involvement, but rested a lot on the inception phase of the project in terms of having further inclusion and engagement. This may have been a bit of a design flaw and a weakness in the PPG phase that resulted in missed opportunities for project implementation flows later on (e.g. particularly in terms of capacity assessments of potential institutions and partners who are more embedded into long-term programmatic structures than e.g. consultants to implement aspects of the project).

Linkages between project and other interventions within the sector

88. Other interventions within the sector were not outlined other than those described above in the section on synergies with other projects. The country has been taking a programmatic approach to SLM in Uganda through MAAIF, this was not sufficiently elaborated in the project document (likely because it was not fully in force yet during project design).
89. The UNDP Country Office at project design committed a large sum of co-financing (almost 2.5 million USD) because it had two projects running parallel in that region (the LECB and the UN readiness project). These could have been elaborated in more detail in terms of synergies and connections (as per perhaps the suggestion of table outlining these aspects as outlined above).

⁴³ In the case of Busitema for instance, they had an existing MoU with MAAIF on work lines under SLM.

The evaluators did not see any linkages made with the LECB in terms of carbon stocks, not with the NDC of Uganda.

90. Given the level of interventions in Mt Elgon and the programmatic approach used by Government to address SLM in Uganda, the evaluators maintain that not sufficient background was given on this in the project document.

Gender responsiveness of project design

91. The project document has a strong (community-level) contextual background and analysis of the level of gender inequality in the target areas of the project, building on e.g. a previous gender analysis done in the Mbale district.
92. The project document does speak to some of the legal issues and strategies around gender (e.g. mention of the constitution, UNDP Gender Equality Strategy (2014-2017)), although the evaluators are unconvinced that this is a comprehensive analysis. There is no Gender Action Plan at design phase, and in fact this was developed quite late into the project.
93. Gender indicators exist, but these appear to be largely based on quantitative and equal representation in project activities and benefits and less to do with leadership and ownership support. There is some mention of landlessness and the project attempts to try and address the issues of land tenure insecurity of women – which probably would have proven to be a difficult task (impossible) during implementation (this is further discussed under B. Implementation).
94. Because gender inequality was raised as a significant barrier in the area, one can see effort being placed on an analysis of some sort in the project narrative. However, it would have been good to have had gender action planning at design phase (and not so far into implementation) and more comprehensive indicators at outcome-level (as suggested in the first section of the project design review).

Social and Environmental safeguards

95. Social and environmental safeguard screening processes were not as advanced in GEF-5 as they are now. The project document and CEO Endorsement Request does a good job of outlining risks (many of them related to social and environmental considerations). Annex 6 of the project document outlines the Environmental and Social Review Criteria, which basically stated that no further environmental and social review was required.
96. The only real risks highlighted here were the issues of conflict over land ownership, which in turn was not really fully elaborated on in the project document. Some issues were picked up by the GEF Review Council (requesting more context on how land tenure insecurity will be dealt with, as well as whether indigenous peoples will be affected by the project); the land tenure issue was addressed through the elaboration of land use planning outputs.

B. Project Implementation

Adaptive Management

97. There were a few changes that took place that were not in the project design. Some of these decisions were taken at the onset of project implementation, and endorsed by the Project Board, others were a result of delays in implementation procedures, lack of consultancy capacities, and COVID-19.⁴⁴ These are further discussed below where appropriate, and further elaborated in their appropriate placements in the sections below.

⁴⁴ Project Board Meeting Minutes.

98. *Change in the implementation regarding community activities - the small grant mechanism:* The project initially aimed to conduct and implement technologies under Outcome 2 through a company. During the initial stages of project inception, however, a large number of project partners and stakeholders (wide consultations were done at this stage of the project) suggested that for enhancing sustaining of project results, that implementation should be as decentralised as possible and owned by the communities. As a result, it was decided to support CBOs directly to lead interventions under the guidance and support by the PMU, the District Coordinators and their teams of extension officers, through a grant mechanism (each CBO would receive training on financial management, and directly manage funds themselves to implement SLM technologies and land use planning). This was not planned at design phase, but the evaluators believe that this change ended up being a large contributor to the success of the project and sustaining project results. The process included the setting up of a Small Grants Committee to discuss how to set up the grants mechanism⁴⁵, which was eventually implemented through the PMU (with sign-off procedures with the District Government), with financial management through the UNDP Country Office.⁴⁶
99. *Change in collaboration partners:* The resource mapping and land use planning outputs of Outcome 1 was conducted through a consultant (as planned in project design) through a UNDP recruitment process (although managed through MAAIF). Based on the review of the TOR and the final report delivered, it seems that the consultant delivered the products as expected. However, based on interviews with some stakeholders, the outputs of the land use maps were sketches which were not easy to integrate into GIS and because the project wanted to use these plans for development planning, there was a need to get other expertise. This was not budgeted or planned for. It is unclear when the MoU between Busitema University and MAAIF was signed.⁴⁷ Nevertheless, Busitema was brought on board after the deliverable was submitted and were required to redo some parts of the exercise which included going back to the villages to do transect walks, capture key points, map out the households with the involvement of farmers; this apparently made it easier for farmers to orient themselves with the maps than with the maps that had been made previously.⁴⁸ This enabled the University (for the project) to create the database for land-use planning which could not be done earlier. Despite discrepancies in the information received (because of different forms of information provided by different stakeholders), the evaluators are led to question why if Busitema University had the capacity to conduct this exercise, why they were not brought on board from the beginning? The reason for this was not made clear to the evaluators. This additional exercise provided for successful implementation of the outputs, but in terms of efficiency, the evaluators believe budget and time could have been saved if Busitema had been brought on earlier.
100. The general tendency to put consultants and external expertise in delivering outputs is quite normal in project design, but more effective capacity assessments and stakeholder engagement at design phase (and not at project implementation phase) can go a long way to ensure smoother delivery and sustainability of project results.⁴⁹

⁴⁵ The guidance on Low Value Grants states that grants can be awarded directly through UNDP, under a standard grant agreement modality. Full HACT assessments would have needed to have been done to use on-granting (i.e. a mediatory institution). It is not necessary to set up a committee to advise how the grant be processed. Source: POPP Guidance on Low Value Grants.

⁴⁶ Interviews with the FM team, interviews with PMU, financial reporting review, Project Board Minutes (2016,2017), Inception Meeting Minutes (August 2016), Project Appraisal Workshop (November 2015).

⁴⁷ One stakeholder said that there was an ongoing MoU that was programmatic that was used, another stakeholder claims that there was not yet an MoU in place when the initial consultant was hired and thus an MoU was only signed in June 2018, and Busitema could not be brought on board earlier, and was only eventually brought on board in July 2019. The evaluator requested for the MoU copy to confirm the date, but as at terminal evaluation reporting this had not yet been received.

⁴⁸ Interviews with collaboration partner.

⁴⁹ This is the evaluators opinion based on multiple experiences in project development and evaluations where consultants are brought in and do an exercise and hand over and it is eventually not used or sustained because no local-level capacity or ownership or championship was produced and encouraged in the process.

101. *Delays in implementation procedures and the 18-month extension request:* This is also discussed below under Efficiency and other sections of B. Implementation, but will also be briefly discussed here to give context to how the project managed/did not manage to adapt. The project was officially launched in February 2016 and planned to be closed in February 2019. A number of delays were encountered in the first year, including (a) delayed recruitment processes of the Project Management Unit (MAAIF had such serious delays in setting this up that the Project Board ultimately that UNDP recruited the PMU), (b) delays in approval processes of the project account opening, (c) delays in establishing of MoUs with Responsible Partners (collaboration partners), and as a result (d) delays in on-ground implementation, which only started in June 2017.⁵⁰ Some outputs that were planned to have been achieved at this point had not started (including the Farmer Field Schools).
102. As a result, the project applied for and was awarded an 18-month no-cost extension, specifically to realize the following results (outputs): (a) local capacities developed through the establishment of 33 farmer field schools (FFS), (b) an action plan developed and implemented to strengthen Public-Private collaborations to inform formation of at least cooperatives, and (c) 33 demo sites established on SLM, SFM and CCM in the 33 parishes. Despite this extension, (a) was not achieved (with the exception of 6 extension officers trained), and (b) was only partly achieved. COVID-19 was blamed for the ultimate failure in achieving the output on farmer field schools before project closure. However, evidence collected during the evaluation suggests that there were several other factors that had delayed this process, mostly to do with disagreements within the Project Board, UNDP and MAAIF as to who and how this should be implemented, including delays in procuring consultants (including challenges in finding capacitated and affordable candidates) to do the training, delays in finding a suitable venue, and as a result the output was put off until when finally it was planned to be implemented in the final months leading up to project closure, COVID-19 restrictions came in and as a result, the output was finally not achieved within the timeframe of the project. Please see paragraph 139 for more detailed information.
103. The gender analysis and action plan was also delayed, an activity that probably should have been done at design phase, or at the very least, at early implementation, was eventually only conducted half-way through the project.⁵¹
104. Generally, given the evidence provided,⁵² the delays that ultimately led to the request for the 18-month extension, could have been avoided through effective and clearer partnership implementation agreements and capacity assessments (especially of MAAIF to take on full implementation responsibility). If the project had been implemented as planned, there would not have been a need for an 18-month extension. The fact that, even with the 18-month extension, the outputs for which the extension was requested were ultimately not achieved, illustrates the weakness in adaptive management.
105. UNDP, during implementation, had to take on executive functions that were under the mandate of the MAAIF, most notably the setting up of the PMU. No LOA was signed between MAAIF and UNDP in this regard (to allow for the hand-over of direct execution functions of UNDP on behalf of MAAIF),⁵³ the signed project document between MAAIF, the Ministry of Finance and UNDP was considered a sufficient agreement. For any executive function that UNDP ended up doing on behalf of MAAIF, MAAIF had to either send a formal request, or the Project Board was to make this decision. In the case of the PMU, the Project Board minutes stipulate agreement between UNDP and MAAIF that UNDP recruited the PMU. The PMU was

⁵⁰ Project Extension Request and Approval Documentation.

⁵¹ In fact, this activity was eventually done through the UNDP Country Office staff and Ministry of Gender because the quality of the submission by the consultant was not sufficient for effective use in successful project implementation. Source: Interviews with project partners, review of gender report submitted by consultant, review of gender action plan, contraction extension documentation.

⁵² Interviews, Board Meeting minutes, extension documentation.

⁵³ The evaluator was told this was not a mandatory function at the time of the project.

supposed to report to MAAIF and UNDP, and UNDP was put in charge of managing the salaries of PMU staff.⁵⁴

Actual stakeholder participation and partnership arrangements

106. Stakeholder participation was strong in this project. The project board included all key stakeholders, and the change to use communities to directly implement (instead of a company) the 33 demo sites was a result of stakeholder pressure to enhance ownership and uptake.⁵⁵
107. Partnership arrangements and roles and responsibilities (including coordination mechanisms) were not clearly implemented as was laid out in the project design and some disagreements on the implementation modalities on some outputs (particularly the FFS) resulted in unnecessary delays.⁵⁶ These are further detailed under IA and EA implementation on page 52 of this report.
108. However, in some aspects (e.g. the CBO championship of the 33 demo sites, the work through the Ministry of Trade in the supporting of setting up the cooperatives, the land use planning aspects), the project successfully developed and leveraged partnerships through a decentralised structure (but through coordination by local government and the coordinated effort by the inter-ministerial taskforce) so that activities were implemented by the people who would further carry on implementation beyond project closure.
109. This allowed for a much more country-driven process (although some UNDP-related intervention was necessary beyond just facilitatory processes which will be further elaborated on under the review of IA and EA below on page 52). Local and national government had an active and leadership role in the project and will continue to do so, with some creases which need to be smoothed out.⁵⁷
110. There were some public awareness and sharing of project successes which have the potential for further upscaling and replication within Mt Elgon (and beyond).⁵⁸ One of the most pertinent awareness creation activities and high-level support of the project results was the visit (the first ever) by the MAAIF Minister. This visit had a major impact on the visibility and thus the upliftment of the communities and their innovations. It also leveraged ownership at country level and showed a longer-term invested interest of country stakeholders from the community level up to the national and centralised government level.⁵⁹
111. Community stakeholder interaction and engagement is viewed by the evaluators as an improvement from what was initially designed and planned. Most notably, it was not planned to have this level of community ownership – the project design envisaged a company to come in and lead SLM, SFM and CCM activities with communities. Instead, during implementation, communities were provided with training in financial administration and management, training in SLM, SFM and CCM, were directly provided with grants to implement what they had learned (including women empowerment through female-leadership in many of the parishes⁶⁰).

⁵⁴ Written communication with UNDP CO.

⁵⁵ Inception Workshop Report minutes, Board Meeting minutes.

⁵⁶ Evidenced by Project Board minutes, interviews with stakeholders.

⁵⁷ For instance, lack of human resources and funding at governmental level, lack of ownership within some governmental procedures at district level. Source: interviews on evaluation mission, project implementation documentation, Board meeting minutes, interviews with government staff.

⁵⁸ E.g. some awareness stories that will have international coverage: <https://medium.com/@UNDPUganda/reviving-degraded-land-through-improved-land-management-practises-in-the-elgon-region-b00a45b3b1d1>, <https://www.unv.org/Success-stories/Digital-innovation-helps-sustain-community-livelihoods-during-COVID-19>, http://www.ug.undp.org/content/uganda/en/home/presscenter/articles/2018/Farmers_in_Eastern_Uganda_receive_small_grants_to_tackle_climate_change.html; including the South South exchange with Kenya, the ministerial visit by MAAIF for exposure.

⁵⁹ Source: Interviews with PMU, beneficiaries, MAAIF staff, local government, review of project implementation documentation.

⁶⁰ Further discussed in various sections below, but most notably under Gender.

112. The need to enhance community ownership was noted by various stakeholders in the very early phases of implementation⁶¹, where it was recommended that the district needs to identify key people in the communities that the project will work with, the modality of small grants instead of using companies to implement technologies to reduce community conflicts and enhance community ownership, having collective working days and building group coherence and trust.⁶² In addition, the forming of cooperatives (which is still evolving beyond project closure), initial steps taken to connect private sector, uptake of lessons learnt across the communities, replication beyond the 33 parishes into neighbouring parishes of various innovations and technologies, is testament to a strong stakeholder involvement and participation process.⁶³

⁶¹ In the Project Appraisal Workshop in November 2015 and the Inception Meeting in August 2016.

⁶² Ibid.

⁶³ The project had many workshops, meetings, open stakeholder participation and platforms in which opinions could be heard. Source: workshop reporting, farmer exchange visit reporting, M&E reporting, interviews with PMU and UNDP CO, various ministerial-level interviews.

Project Finance and Co-Finance

113. A comparison between planned and actual expenditure (for GEF only, as no expenditure table was provided for co-financing per year in the prodoc budget nor in the financial reporting) is laid out in Table 9.
114. There was a relatively large variance between planned and actual expenditure, these include (a) the variance of USD 447, 969.00 not spent because of delays in implementation (mostly the delay in setting up the project management unit), (b) the variance in the second year of USD 335,268.98 (set up of PMU only in June 2017, and many activities were only just getting started), (c) an 18-month extension was sought and thus implementation of activities were effectively pushed to year 3,4 and 5. Finally, of the GEF funding, USD 280,295.30 has not been reported in the expenditure.
115. Project management costs for year 3 (2018) was more than twice the amount planned for that year. Reviewing the annual budget report for 2018 showed that daily subsistence costs and workshop participation of staff were the main contributors to this increase in expenditure (budget codes 71620 and 75710). Overall management costs were almost double that of what was planned (planned project management was USD 77,158.00, and actual was USD 124,128.31). Based on reviewing the costs in the annual reporting, this increase in cost can be attributed to the fact that UNDP had to take on some executive functions it had not previously anticipated, as well (to a lesser extent) continue managing the project over the 18 month extension.
116. Reporting was done yearly, and records for each year were presented to the evaluators. A final expenditure summary was shared with the evaluators⁶⁴. It was difficult for the evaluators to adequately compare detailed financial expenditure per year as the format used in the financial reporting shared with the evaluators was different to the budget lay-out of the ProDoc. Discrepancies can therefore only be compared at the broader, outcome-level, as discussed in the paragraphs above and in Table 9.

Table 9. Expenditure planned (as outlined in ProDoc) and actual (as outlined in Expenditure Summary by activity 2nd August 2020 shared by Financial Management Team at UNDP CO Uganda) for the ILM Mt Elgon project⁶⁵

Year	2016		2017		2018		2019		2020		Total	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Outcome 1	213,411.00	1,098.00	0.00	162,979.59	0.00	81,256.80	0.00	298.27	0.00	25,000.00	213,411.00	270,632.66
Outcome 2	241,301.00	7,779.00	589,100.00	54,937.36	499,350.00	393,493.20	0.00	464,390.39	0.00	24,663.78	1,329,751.00	945,263.73
Project Management	25,720.00	23,586.00	25,720.00	61,634.07	25,718.00	19,840.70	0.00	15,160.12	0.00	3,907.42	77,158.00	124,128.31
Total	480,432.00	32,463.00	614,820.00	279,551.02	525,068.00	494,590.70	0.00	479,848.78	0.00	53,571.20	1,620,320.00	1,340,024.70

⁶⁴ A revised version was shared with the evaluators on 28 October which showed discrepancies in the final expenditure versus Table 9, with the final figure of expenditure by GEF being USD 1,498,607.16, with Outcome 2 showing an expenditure of USD 163,165.40 in 2020 and Project Management USD 6,013.19. Seeing as this was received at the final reiteration of the report the evaluator could not follow up on the details of the expenditure (especially the efficacy of using funds to complete activities beyond project closure) and thus decided to maintain Table 9 as is.

⁶⁵ See footnote above.

117. The co-financing information provided to the evaluators can be found in Tables 10 (planned and actual) and 11 (actual) below. The narrative follows the tables.

Table 10. Co-Financing Table for the ILM Mt Elgon Uganda Project

Co-financing (type/source)	UNDP (USD)		Government (USD)		Other (USD)		Total (USD)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants	200,000.00	160,425.70	0.00	779,478.99	0.00	46,255.67	200,000.00	986,160.36
Loans	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
In-kind	2,070,750.00	2,070,750.00	6,160,634.00	43,843.30	0.00	3,082,594.00	8,231,384.00	5,197,187.30
Cash	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Totals	2,270,750.00	2,231,175.70	6,160,634.00	823,322.29	0.00	3,128,849.67	8,431,384.00	6,183,347.66

Table 11. Detailed contributions for co-financing actually realised for the ILM Mt Elgon project

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (USD)
GEF Agency	UNDP	Grant	Recurrent expenditure	160,425.70
GEF Agency	UNDP	In-kind	Investment mobilised	2,070,750.00
Government	NFA	Grant	Investment mobilized	12,328.76
Government	MAAIF	In-kind	Recurrent expenditure	3,105.00
Government	MAAIF Operation Wealth Creation	Grant	Investment mobilised	55,539.23
Government	MTIC	In-kind	Recurrent expenditure	828.00
Government	MWE	In-kind	Recurrent expenditure	931.50
Government	DLG	In-kind	Recurrent expenditure	26,066.50
Government	Sub-county level Government	In-kind	Recurrent expenditure	12,912.30
Government	Uganda Coffee Development Authority	Grant	Investment mobilised	2,520.00
Government	Office of Prime Minister/NUSAFIII	Grant	Investment mobilised	709,091.00
Civil Society Organisation	Ecotrust	In-kind	Recurrent expenditure	2,880.00
Civil Society Organisation	Mt Elgon Tree Planting Project	Grant	Investment mobilised	34,200.00
Civil Society Organisation	Uganda Women Environment Project	Grant	Investment mobilised	3,287.67
Beneficiary	Communities from 33 parishes	In-kind	Recurrent expenditure	5,544.00
Private Sector	Kyagalani Coffee Processors	Grant	Investment mobilised	8,768.00
Donor Agency	EU/LECB	In-kind	Investment mobilised	672,000.00
Donor Agency	German Government/LECB	In-kind	Investment mobilised	603,500.00
Donor Agency	UNEP/UNREDD	In-kind	Investment mobilised	1,798,670.00
Total Co-financing				6,183,347.66

118. The below items are co-financing that supported the project that provided to the evaluation team. These included:

- a. District Agriculture Water for Production Department invested in two small-scale irrigations schemes – USD 6,600;

- b. The Mt Elgon Tree Planting project contributed USD 34,200.14 in tree seedlings;
- c. The MAAIF Operation Wealth Creation contributed USD 55,539.23 in coffee seedlings, beans and maize seeds, a coffee pulper, elephant grass seeds, tree seedlings;
- d. The Uganda Women Environment Project provided USD 3,287.67 in cash to two CBOs;
- e. The District Local Government provided USD 22, 072 in the form of office space, a computer, and a motorbike for the project;
- f. The Uganda Coffee Development Authority provided USD 2,520.00 in coffee seedlings.
- g. The CBO communities provided USD 5,544 in labour contributions;
- h. Kyagalanyi Coffee Processors provided USD 8,768 in the form of coffee pulpers;
- i. Northern Uganda Social Action Fund contributed by providing grants for livelihoods improving activities including cash for work (in e.g. soil and water conservation and restoration structures), in neighbouring sub-counties – USD 709,091.00);
- j. Kawa Com Processors provided technical advice to the project (in-kind) – costs not included;
- k. The grant contributions from MAAIF Operation Wealth Creation Programme increased coffee productivity, attracted several investors, all of which provided technical support;
- l. As result of the visit of the Minister of MAAIF to the project, the project beneficiaries learned about a coffee planting system used in Brazil (shared by the Minister), which increases number of plants per hectare by 20%, by just reducing the spacing from the traditional 8x8ft to 8x2ft. Eight people were supported to pilot it and several others have committed to adopt this technology post-project.

119. Other than what was provided in Table 11 (other than the UNDP financing, it is not clear which of the co-financing from other sources was planned)⁶⁶, no other information was provided/sufficiently clarified on how co-financing was recorded in terms of expenditure and contribution to project results.⁶⁷ There is no evidence to suggest that co-financing was adequately reported on year by year, nor did the evaluation team receive complete co-financing reporting for the entire project time-line. As a result, there is no way of knowing how some of the co-financing was spent.

120. The co-financing realised by Government in relation to what was planned was a fraction (less than 15%) of that was committed at project design. In fact, a large part of this co-financing documented (USD 709,091) were grants provided to neighbouring communities and thus should not strictly be reported as co-financing for the project, *per se*, as are several other items that were leveraged through the course of the project.

121. There is also no reporting on how exactly the donor agency contribution (totalling more than USD 3m) as well as the in-kind contribution from UNDP (through its two other projects, the Low Capacity Building Project contribution of USD 672,000 and UN Readiness project

⁶⁶ In fact, none of the non-governmental and non-UNDP co-financing was outlined in the planned co-financing in the ProDoc, and of the government budget, it is not clear if this was planned or not.

⁶⁷ In fact, even the estimates in paragraph 118 are a result of calculations that the international evaluator had to do based on cost estimates provided (e.g. cost per seedling X # of seedlings, cost of pulpers, addition of individual costs of items) and the tables had to be put together as a result of this by the evaluators. A table was provided on TRAC expenditures where TRAC expenditure was given per year per component, and indicates a total of USD 117,442.18 spent under TRAC, which does not coincide with the total in Table 11; information incomplete and unclarified at time of finalizing this report.

contribution of USD1,798,670) were used to advance project results (no expenditure reporting on this per outcome per year, or at all).

122. According to interviews with the IA and EA, the evaluator is told that the discrepancies and variances are a result of a lack of reporting (and when reported, piece-meal) of the co-financing expenditures. It is surprising to the international evaluator that such small amounts could be accounted for, but the variance of millions committed by Government, for instance, could not. If a lack of reporting is indeed the case, then much more stringent processes need to be put in place to account for co-financing committed, and co-financing realized, through the same level of reporting that is required for GEF funds expenditures. This process needs to be more formalised so that information on co-financing can more easily be accounted for.⁶⁸
123. In terms of accountability to GEF funds, there were overall good due diligence and management of funds, based on the annual reporting of funds spent, PIMS reporting, as well as audit trails for the community expenditures. Some smaller issues/complaints are registered here in regard to overall management.
124. The first is that there was a delay in the disbursement of funds for 18 of the parishes when new agreement signoffs were delayed. This delay was attributed to the change in leadership at the UNDP CO (new leadership coming on board and wanting to understand the project implementation procedures before signing off anything).⁶⁹ According to interviews with stakeholders, this led to some mistrust between the communities and the project.
125. There was some mismanagement of funds at district level that was picked up when new management at district level came in and was immediately rectified through an intervention by MAAIF and the money was returned to UNDP.⁷⁰
126. The project team and FMO highlighted that the administration and management of the grant mechanism was a complicated process. The 33 parish grants were administered by the PMU together with a bank, when the CBO of a parish needed to access the grant, they had to submit the agreed reporting for sign off first from the District Level Coordinator, then from the PMU, and then could go to the bank with this “sign-off” documentation to draw the grant. This necessitated travel by each CBO, as well as required office visits to get sign-offs – which were not possible when COVID-19 restrictions were put in place. The financial officer at the PMU was responsible for the overall financial administration of the grants to the 33 parishes, as well as other duties of financial management of the project as a whole. One of the suggestions coming from the financial management team during the evaluation was that if they could do it again, they would have gone through an intermediary to administer the grant (they would have had to complete a HACT assessment for another entity to do this, but the low value grant guidance does allow – in fact it is quite common – for a grant entity to take on the administration of grant mechanisms in project implementation).
127. Some complaints from various stakeholders about late disbursements of funds by UNDP were noted during the evaluation. However, the evaluators could not find evidence where disbursement was delayed beyond the usual financial and fiduciary rules that UNDP is obliged to follow (i.e. the regulations put in place, such as submission of deliverables as per contract).
128. MAAIF as the executing partner underwent a detailed audit process (specific to the expenditure of GEF funds allocation) by independent auditors Ernst & Young over the year 2018, and the audit did not find any discrepancies in financial management by MAAIF.

⁶⁸ Finding piecemeal information through small amounts and calculations to form the co-financing tables should strictly not be done during evaluation by the evaluator, this information should be clearly and easily shared in a clear and concise format, by outcome, by year (and ideally, down to budgeted items per activity). This is not done at design, nor is it done at implementation, but it should be.

⁶⁹ Interview with Financial Management Team at UNDP.

⁷⁰ Interviews during evaluation mission.

Monitoring & Evaluation

M&E Design at Entry

129. The GEF CEO Endorsement Request and the Project Document outlined the Monitoring and Evaluation Plan in detail, with the Inception Phase, Monitoring responsibilities and events (like quarterly reporting), learning and knowledge sharing, auditing, communications, clearly detailed. The M&E work plan and budget was clearly outlined in Table 13 of the project document.
130. The M&E plan included a baseline⁷¹, and relevant and appropriate targets but not all indicators were necessarily smart (see under Review of Project Design more details on this). In addition, there were no outcome-level indicators to measure progress to impact.
131. The time frames and roles and responsibilities of the implementation of the M&E framework was generally well-articulated in the project document. The terminal evaluation budget and timeframe was well outlined.

M&E Implementation

132. Various entities were responsible for M&E at different levels. A PMU staff member was commissioned (as part of many other duties) to coordinate the M&E framework as laid out in the project design. Quarterly reporting, PIR reporting was implemented regularly and the M&E logframe was kept up to date.
133. The GEF tracking tools have been reported on (mostly found by the evaluators in the PIR), but it is unclear to the evaluators who was in charge of this process.⁷² It is not clear, nor is it reported on (at least the evaluators did not receive evidence of the fact) how the tracking tools were measured exactly.
134. The PMU and project partners were generally sensitive and adaptive to M&E; the Project Board discussed any delays and issues and had a relatively large role to play in suggesting what needs to be done to maintain on track. However, M&E was not sufficiently adopted for adaptive management for the successful achievement of some of the outputs (e.g. see paragraph 99 under Adaptive Management).
135. The risk management of COVID-19, in some instances, was a good practice example of risk mitigation and will be further discussed under Risk below.
136. The Terminal Evaluation was delayed by a delayed recruitment process under the responsibility of UNDP and later COVID-19 restrictions and thus difficulty in finding appropriate candidates.

Monitoring & Evaluation	Rating
M&E Design at Entry	MS (4)
M&E Plan Implementation	MS (4)
Overall Quality of M&E	MS (4)

⁷¹ Although as already mentioned in the Review of Project Design, it is surprising that no baselines existed given the amount of previous intervention in the project area.

⁷² During the interview processes, the PMU stated it was the Busitema University who was supporting tracking the core indicators, but Busitema maintained that the PMU was in fact doing this and that there was insufficient data in reality to conduct a proper tracking of the indicators and targets in the GEF Core Indicator Framework.

UNDP Implementation and Oversight, Implementation Partner execution and overall assessment of implementation/oversight and execution

137. *Changes in the roles between IA and EA and resultant delays in project implementation:* The project was not implemented as laid out in the design, and the roles between UNDP as an implementing agency and MAAIF as the executing agency changed in project implementation, most notably the setup of the PMU, and the recruitment of staff. For instance, at the inception meeting in August 2016, it was planned that the PMU would be recruited by MAAIF within two months. Ten months passed and still no PMU had been constituted⁷³ although the project had already been registered in ATLAS. Finally, after much deliberation, a consensus was reached at the Project Board Meeting in 2017 that UNDP takes over the set up and coordination (including the payment of salaries) of the PMU (the PMU had to report to MAAIF and to UNDP). This was further delayed because of difficulties in recruiting appropriate staff. Six months passed and UNDP finally recruited most of the staff from the UNV network, with a project manager coming on board even later.⁷⁴ The executing agency (MAAIF) also was the coordinating body for both Outcomes, but recruitment and management of consultants were done by UNDP. This led to some challenges in roles and responsibilities, and disagreements in terms of implementation (most notably, for Outputs 1.1. and 1.2. where a consultant was hired by UNDP – as per the project document – to deliver on the outputs and later Busitema was hired to deliver on these outputs through additional services – not in the project document, more information on this can be found in paragraph 99 under Adaptive Management; and for Output 2.1. which is discussed below).
138. *Co-financing reporting:* Throughout implementation, co-financing was not sufficiently reported on, there is a minimal trail of co-finance tracking with large variances in what was initially planned, to what was eventually committed. This has already been elaborated on in detail under Project Finance and Co-finance in paragraphs 117-128.
139. *Implementation barriers to results attainment:* Some outputs were only partially achieved. These will be discussed in more detail under C. Project Results and Impacts, but the implementation aspects resulting in the failure of achieving these outcomes are discussed here. The evaluators were not able to get to the bottom of the issue regarding why some outputs were not finally achieved (including Output 2.1., Output 2.2., and Output 2.5.), mostly because interviews between the IA and the EA did not match up, and there was not sufficient evidence produced in the Project Board Minutes, nor by the PMU to sufficiently account for the failure in fully achieving these outputs. Based on the interviews, the evaluators can deduce that there were disagreements between the IA and the EA as to the implementation arrangements of these outputs. Most notably Output 2.1. (the FFS training) will be used to illustrate this point, as it is the Output that showed the lowest level of achievement, it was the main reason why the project was given an 18-month extension and the output was still not achieved by project closure. The FFS training was supposed to be one of the first outputs planned to be achieved, and was supposed to start in year 1. It was also an Output that was placed under the coordination of MAAIF. The project document had MAAIF and the District Local Government as the key coordinators of the FFS training. In the budget notes, it was planned that international and national consultants were to be recruited to deliver on this output.⁷⁵ Within the first phase of implementation when there was some difficulty in sourcing external expertise, MAAIF requested UNDP that MAAIF take on this output directly (instead of hiring consultants) and integrate it into their longer-term programming, stating that they had FFS capacity (their officers had been trained in FFS) to conduct the training. UNDP apparently denied this request, preferring to use the capacity of the FAO roster of FFS consultants and

⁷³ Due mainly to issues of lack of human resources and delayed governmental procedures to get this done, including over-committed staff at MAAIF. Source: interviews government and UNDP.

⁷⁴ Interviews with UNDP CO.

⁷⁵ Project document and project budget and budget notes.

took on the recruitment of consultants themselves. They could not find appropriate consultants through this recruitment process, and the output implementation was delayed. Continued disagreement between MAAIF and UNDP ensued and further delayed the implementation of the output. The main premise for requesting for a project extension was for this output (along with, to a lesser extent, the other two outputs already mentioned in previous paragraphs). The 18-month no-cost extension was granted at the beginning of 2019. A whole year passed in the meantime. MAAIF had made the request to UNDP again, this time FAO had agreed to provide them with training support materials and advice, MAAIF collected the information, worked out the programme⁷⁶ and the training was finally organized, including the organisation of the venue (UNDP were to pay for all this directly). This was finally organised for March 2020 (more than a year after the extension was made). The same month COVID-19 restrictions hit, the venue was cancelled due to the restrictions, and UNDP and FAO were restricted in their working operations due to COVID-19 rules. Dialogue continued between the entities until June 2020, but UNDP and FAO were still restricted despite agriculture being declared by Government as an essential service that carries on (and as a result allowing MAAIF to continue operating). According to an interview with MAAIF substantiated by supporting evidence⁷⁷ during the finalisation of this report, the Project Board had agreed on the work plan submitted by MAAIF in the last days before project closure to have MAAIF carry on with the activities beyond project closure (31 August) terminating end of 2020; and funds were transferred to MAAIF on 26 August 2020. The evaluators cannot offer an opinion on the results achievement beyond project closure, they can only assess the achievement of results within the time-frame of the project. From the evidence base collected through interviews and project documentation, there is no sufficient evidence provided to justify why the output could not have been successfully achieved within the time frame of the original project. Reasons given include (a) disagreements on implementation where MAAIF believed they had the in-house capacity to implement and UNDP preferred to source consultants⁷⁸, (b) challenges faced in recruiting consultants⁷⁹, (c) COVID-19, which only appeared in the last months before project closure so cannot be used as a valid justification as the output should have been completed in year 1, not in the final months of an already over-extended project time-frame. The project was given an 18-month extension, and still the output could not be achieved. As a result of the evidence provided, the evaluators are led to the conclusion that the failure of achieving this output within the timeframe of the project is a result of ineffective implementation and oversight.

140. *PMU implementation:* The PMU only came on board halfway through year 2 of the project. Recruitment proved difficult because of a lack of enough appropriate candidates. Finally, UNDP was able to recruit some staff through the UNV network resulting in a large proportion of staff who had not previously had senior-level experience in project management. A project manager was the last to be brought on board, which meant that initially, project staff lacked direction at the onset of being hired. This project manager stepped out of the project in 2019, and for subsequent months one of the Technical Advisors was acting project manager (despite already having two roles – M&E and SLM Specialist) until the first quarter of 2020 when another project manager was finally hired. The PMU overall did an effective job in coordinating the implementation of the activities and in some instances were able to outperform on some of the indicators (which, based on interviews with partner stakeholders, was a testament to the hard work and dedication of the PMU team).

⁷⁶ This information is based on an interviews with MAAIF, with UNDP, but no written evidence was received other than what is provided in Project Board Meeting minutes (of which the evaluators did not have access to the final meeting minutes).

⁷⁷ Bank statements, work schedule of ILM project, payment vouchers to service providers.

⁷⁸ Based on interviews with MAAIF and UNDP.

⁷⁹ There was a budget for international consultants too – even if national consultants were difficult to find despite an apparently large database of FFS experts in the country, why could no international consultants be sourced?

141. *Community empowerment*: One of the more successful elements in terms of implementation was the decentralisation of Output 2.3 to the CBOs (which included training in financial and general management). This empowered communities to directly implement and thus created championship and a greater potential of sustaining of project results (this is further discussed under Sustainability, Ownership, and Catalytic Role and Replication).
142. *Project Board*: The project board had regular meetings and was the main decision-making body of the project. Minutes were well captured. However, based on some of the results not being achieved effectively, the evaluators deduce that decisions were not taken effectively or efficiently enough in respect of some of the project outputs. In other instances, project decisions were made in effective consultation and proved successful (such as the community empowerment element of Output 2.3).

UNDP Implementation/Oversight and Implementing Partner Execution	Rating
Quality of UNDP Implementation/Oversight	MU (3)
Quality of Implementing Partner Execution	MU (3)
Overall Quality of Implementation/Oversight and Execution	MU (3)

Risk Management

143. As mentioned in the Design Review, anticipated risks at project design phase had been well articulated with detailed mitigation strategies in place. The PIR reporting outlined and described adaptation strategies to risks that came up that had been anticipated, as well as risks that had not been anticipated (such as COVID-19). Risks are further elaborated and assessed in the narrative below.
144. *Environmental – heavy rains and flooding*: the project implementation SLM technologies supported mitigating this anticipated risk through the establishment of soil barriers. Entire communities participated in the establishment of soil erosion barriers. The risk existed, but was heavily mitigated as a result of these interventions.
145. *Social and Environmental - COVID-19*: This was an unanticipated risk that in the evaluators opinion, the project managed, in some ways, in mitigating and adapting to, despite the restrictions – particularly in terms of continuing the work already started (using digital innovation to continue supporting the communities in implementing their SLM technologies). In fact, some best practice examples can be used for future resilience mechanisms around this.⁸⁰ However, in other aspects the pandemic caused a failure in attaining project results because other delays and challenges put these under high risk of failure (for example, the FFS training which was heavily delayed until the very last months of the project because of weak implementation modalities as discussed under paragraph 139, which increased the risk of failure to an external risk like COVID-19).
146. *Risks in terms of implementation arrangements*: This is connected under the IA and EA implementation aspects above. There was not enough risk assessment done on different institutional relationship and self-capacity knowledge to implement. This risk caused heavy delays and failures in output-level results achievement. See e.g. paragraph 139 for a specific example.

⁸⁰ See here for an example: <https://www.unv.org/Success-stories/Digital-innovation-helps-sustain-community-livelihoods-during-COVID-19>

147. The above risks are the most pertinent to this section – others will be further discussed in the section below.

Social and Environmental Safeguards

148. It is difficult for the evaluators to conduct a full SESP risk assessment of a project (under GEF-5) that did not have as stringent requirements during design and implementation stage as the Guidance for Terminal Evaluations requires in the new GEF cycles. The Social and Environmental Screening Template was generally well-outlined at design for what was required at that stage.

149. Generally, apart from the COVID-19 pandemic, planned risks were adequately dealt with.

150. Risks are assessed in the table below.

Original Risk (in ProDoc)	Revised Risk	Original Rating (I/L & Significance)	Revised Rating (I/L & Significance)	TE Findings on the revision
Local communities show limited interest and willingness to engage in project initiatives that require substantial labour investment.	Unchanged	Low	Unchanged	In fact, community engagement and ownership was the largest success factor in the project, at least for Mbale and Bulambuli districts.
Impacts of climate change could disrupt some interventions through weather extremes and natural disasters.	Unchanged	Low	Unchanged	Implementation of effective SLM technologies effectively reduced this risk to communities in a surprisingly short time.
Low capacity to implement SLM, SFM and CCM practices at district level in local communities and institutions.	Unchanged	Low	Unchanged	Capacities were enhanced.
Local populations do not see the benefit of SLM, SFM and CCM practices and show some reluctance/slowness to adopt SLM, SFM and CCM practices.	Unchanged	Low	Unchanged	Local communities saw more benefit and had much higher uptake than the project had aimed for.
Land use plans, land - related legislation and district development plans are not enforced	Unchanged	Low	Unchanged	There is move to uptake these, although bylaws implementation has been slow, at least at community level land use plans are being fully enforced.
Political will at district level does not remain constant	Unchanged	Low	Unchanged	N/A

during project duration				
Land conflicts jeopardize project implementation	Unchanged	Low	Unchanged	Community ownership has resulted in this risk being close to non-existent with the exception of the 10/30 m river buffer which has been heavily contested in Manafwa.

C. Project Results and Impacts

Progress Towards Objective and Expected Outcomes

151. The evaluators have updated and provided comments and status within the results framework of the project based on the evaluation, this can be found in Annex 1, and thus this particular section's narrative should be read in conjunction with the results framework in Annex 1.

Outcome 1: The landscape planning and management processes in the three districts are done in an integrated manner to reduce land degradation and increase carbon sequestration

Resource maps and land use plans were developed and implemented for parishes and used to further integrate across the wider landscapes in each district. Although the process of bylaw formulation is not yet finalised, there is evidence of enforcement of by-laws at community level, M&E measuring implementation of land use plans at district government level and community implementation levels.



Figure 2. From left to right: Farmer Group Meeting in Nyondo Mbale, a sign post ILM CBO, Community-drawn resource mapping, digitised maps. Source: ILM Project and Evaluation Mission 2020.

Output 1.1. Community resource maps developed in 6 sub-counties in three districts

152. The project supported communities in all three districts to develop and disseminate community resource maps in the 33 parishes of the six sub-counties (see Annex 2 for a complete list of the parishes).⁸¹ The end-project target for this output was 33 community resource maps which was fully achieved. The resource maps have been used to formulate parish-level land use plans to protect common resources. In the Bulambuli and Mbale districts, communities in parishes neighbouring the project intervention parishes have started adopting what their neighbours are doing.

⁸¹ Final report on Parish Land Use Plans, Resource maps, Interviews on the Evaluation Mission.

153. Busitema University had digitised all the resource maps and there is a maintained GIS system to support land use planning in this regard.

Output 1.2. Land-use plans developed, in line with the resource maps, in 6 highly degraded sub-counties

154. 33 land-use plans were developed and have been adopted by the sub-counties. They have been used as a basis for targeting hotspots for implementation of ILM technologies to curb land degradation.⁸² Capacity was built for district teams, TOTs and CBOs continue to implement ILM technologies. This action has led to decreased soil erosion, increased productivity, reduced encroachment of river banks in Bulambuli and Mbale districts, and increased planting of quick maturing tree species in agro-forestry systems to increase availability of wood fuel.⁸³

155. Land use plans have been effectively digitized and are housed within the District Coordinator offices as well as at Busitema University. There are government programmes in the project area such as operation wealth creation (OWC), ACDP, NUSAF3 and NGOS (Coffee a cup, Eco trust) that are building ILM land use plans approach for sustainable management of Mt. Elgon Ecosystem. Nabiziba Farmers Association in Bulambuli District are using their land use plan to lobby for funding from the “presidential initiative to fight poverty” for which they applied and were approved. The 3 ILM project districts have mainstreamed ILM land use plans in their budgets and district development plans (DDP) that will continue to support communities with inputs, training and advisory services.

Output 1.3. District local governments supported to implement clauses regarding SLM, SFM and CCM

156. The implementation of SLM, SFM and CCM clauses was only partially achieved. In total, 4 clauses were identified by the project districts. At project closure, 3 of the 4 identified have been implemented.⁸⁴

157. The clauses identified from national laws focus on (i) controlling soil erosion, (ii) reducing deforestation as a result of fuel wood collection, (iii) promoting afforestation, and (iv) protecting buffer zones along river banks. The first three are being implemented in all three districts.

158. In Mbale and Manafwa districts there is some adoption⁸⁵ of promoting use of fuel saving stoves following the adoption of these the SFM clauses. Other CBOs and non group members are paying skilled CBO members to make for them potable and permanent kitchen energy saving stoves. Bubentse Carbon farmers (CBO Mbale district) are making energy saving stoves for commercial purpose.⁸⁶

159. Capacity of 12 district staff was built on those SLM and SFM clauses by NEMA in a training held for the 3 districts and all three districts have draft by-laws to guide enforcement of the SLM and SFM related clauses, ready for presentation to the district councils for approval^{3,4}. With the successes in the introduction of SLM and SFM technologies and approaches, CBOs and extension officers have reported higher adoption and demand for technical support from communities on the technologies.⁸⁷

160. With reference to enforcement of these clauses, there were some struggles here due to top-down versus bottom-up approaches. These are further discussed under the effectiveness section below.

⁸² Field observations and interviews during evaluation mission, Aug/Sep 2020.

⁸³ Ibid, and 2020 PIR, M&E results framework, Board meeting minutes.

⁸⁴ Interviews during evaluation mission, and review of clauses and implementation documentation.

⁸⁵ According the PIR 2020, 470 stoves out of a target of 5,756 were distributed. Based on the evaluation mission, there was a lot of enthusiasm for adopting energy savings stoves but in most areas communities are limited by materials.

⁸⁶ Evaluation mission interviews.

⁸⁷ Ibid.

Output 1.4. A system for effective monitoring and enforcement of the land use plans and related legislation put in place

161. The Monitoring and Evaluation framework was embedded in the District Annual Workplans and normal quarterly M&E system. In turn, districts agreed to track these indicators as part of performance at Local Government level.⁸⁸
162. Each district then developed indicators that would be monitored in response to improved land health. These indicators were included in the District Annual Workplans. The district created the ILM task force, district Executive committee and LCV council and at community level, the CMCs, CBOs, sub county staff constituted M&E teams.⁸⁹
163. This team has overseen the successful ILM implementation. There was no police involvement in training and enforcement. As mentioned by the district project coordinators, M&E were not conducted in during some quarters. As a result, this output has only been partially achieved.

Output 1.5. SLM, SFM and CCM mainstreamed into district policy plans

164. The three districts have mainstreamed SLM, SFM and CCM into district DDPs and DEAPs for the next five year plan (2020-2024).⁹⁰
165. In the case of Mbale district, the district was allocated 48 million Ugandan Shillings towards Natural Resources Management for the year 2019/2020. The district Planner of Mbale mentioned that natural resources is allocated less than 1% of the district budget.⁹¹

Outcome 2: Local communities are empowered and applying technologies and approaches to reverse land degradation and reduce GHG emissions

There is high level of empowerment communities to implement and adopt ILM technologies, including sustained financing of technologies. Most of CBO leaders and members are women and benefit in sustaining technologies.



Figure 3. From left to right: CBO members in Bulambuli district with their grant cheque, SLM technologies including soil erosion gullies and fuel efficient stoves. Source: ILM Project and Evaluation Mission 2020.

Output 2.1. Enhanced local capacities for the adoption of sustainable forest and land management and climate change mitigation through the FFS approach

166. Six extension staff (33% women) per district were trained as CBO facilitators. However, the training of facilitators at TOTs level was only partially done. Nevertheless, trained extension officers have been and will continue supporting TOTs and CBOs on ILM technologies and practices. There was evidence of enhanced capacity through demonstration plots, adoption of land improvement practices.⁹²

⁸⁸ Interviews on evaluation mission.

⁸⁹ Ibid.

⁹⁰ Interviews on evaluation mission, and review of plans.

⁹¹ Ibid.

⁹² Evaluator opinion based on interviews and observations during evaluation mission.

167. The formation of 6666 FFS (10 per subcounty) was not implemented. The project target to train about 1500 farmers under the FFS approach but 805 farmers trained on SLM, SFM and CCM in groups therefore was not implemented within the timeframe of the project. According to MAAIF interviews, there have been measures put in place to implement the FFS training, but the evaluators cannot comment on results achievement outside of the project framework other than providing commentary in terms of sustainability.
168. Delays already discussed in paragraph 139 above resulted in the failure of fully achieving this output within the timeframe of the project, even after an 18-month no-cost extension was provided to the project. The evaluators are aware that there have been measures put in place and agreed to by the Project Board for the output to be implemented beyond project closure. The extension was provided in January 2019. As far as the evaluators are aware, no further formal extensions were requested to GEF, but even if they had been, they would have been denied, because the project had already been given the maximum extension time a project can be given under GEF rules. As a result, the evaluators can only assess the project results within the project timeframe. This output was not achieved by project closure.

Output 2.2. Existing public-private collaboration is strengthened to improve farmers' access to inputs, technical support and advice and markets

169. The Action Plan to improve and strengthen public-private collaboration to improve farmers' access to inputs including (micro-finance and climate-resilient seedlings) was not fully completed by project closure.
170. The relevant private sector players have been identified and the public players, largely farmers and market off-takers were mapped to make linkages between the suppliers and potential users much easier.
171. Identified stakeholders and private sector players are further collaborating and supporting Community Based Organizations and farmers in diverse ways including bringing input markets closer, allowing them to order products before the season and linking them to markets.⁹³ This has included also the organic transition (longer-term and connected to the Theory of Change framework) towards farmer cooperatives for greater and longer-term access and unified power among local and small-scale farmers.
172. Farmers have been equipped with land use plans, proposal development and lobbying skills that have helped them link up with other development organisations such as Coffee a Cup which distributes seedlings and other farm inputs, Ecotrust which also distributes tree seedlings and pays people for planting trees under the Carbon Sequestration Program.
173. Operation Wealth Creation (a government program for increasing access to planting materials and market development) continued to provide support to the project supported groups with over 350,000 indigenous tree seedlings during this reporting period, which have been planted in agro-forestry and stand alone woodlots. NUSAFU 3 which is paying farmers to dig contours, and support is given by e.g. BCU and Kyagulanyi coffee to CBOs for coffee bulk purchases.⁹⁴
174. In collaboration with the private sector through the roll out of small grants to the CBOs, in August, the project enabled the purchase of equipment and inputs for practicing climate smart and conservation agriculture practices that mostly aim at reducing soil erosion, promoting agro-forestry, promoting tree planting, creating alternative livelihoods.⁹⁵
175. Additionally, farmer to farmer exchange visits were carried out in Mbale and Bulambuli that strengthened learning, acquisition of practical knowledge and collaboration between farmers and other stakeholders including private sector. These farmer exchanges helped to take

⁹³ Interviews with project stakeholders and MTIC.

⁹⁴ Ibid.

⁹⁵ Evaluation mission interviews.

advantage of the potential services and goods that could be marketed at those levels. Enterprise-based cross- learning visits held between Uganda and Kenya.⁹⁶

176. As mentioned already, the project supported cooperative formation by CBOs at sub-county level to enhance profitable engagements with the private sector players. This engagement was supported by Ministry of Trade, Industry and Cooperatives mainly supporting value-addition to farmers produce, but also building farmers' capacities to negotiate with private sector players.⁹⁷

Output 2.3. Pilots demonstrating SLM and SFM are implemented in the 3 districts of intervention

177. ILM demonstrations have been implemented in the 3 districts of intervention. About 21,625 ha have been put under conservation agriculture, which is over and above the project target of 20,500 ha. Soil erosion control structures of up to 21,925.7 km in total were established in the project area during the reporting, including hedge rows, contour bounds, grass bounds and stone bound.⁹⁸

178. Considering re-forestation to be establishment of stand alone tree crops, 57.2 Ha of woodlots were established during the reporting period, bringing the cumulative coverage to 90.7 Ha. This forms just 9% of the project target. About 403.7 Ha of farm land was put under agro-forestry, indicating that this is a somewhat preferred option. The challenge with establishing stand alone tree plants in this area is scarcity of land in the face of a very high population density. The table below illustrates the level of adoption of different technologies per district.

Table 12. The comparison among the three districts of Mbale, Bulambuli, Manafwa on the adoption of technologies (High adoption rates indicate full adoption by all CBOs undertaking the activities)

Technologies	Mbale	Bulambuli	Manafwa
Contour bund	These have been adopted and are highly successful. Non project members are adopting the practice	These have been adopted and are highly successful. Non project members are adopting the practice	These have been adopted and are highly successful. Non project members are adopting the practice
Grass bunds	These are highly successful in the district as they also serve as livestock feed.	These are highly successful in the district as they also serve as livestock feed.	These are highly successful in the district as they also serve as livestock feed.
Stone Bunds	These have been adopted and are highly successful.	These have been adopted and are highly successful.	These have been adopted and are highly successful.
Agroforestry	These have been adopted and are highly successful.	These have been high adopted and are highly successful.	These have been high adopted and are highly successful.
Woodlots	Very few people have adopted in Wanale subcounty and none from Nyondo subcounty	It has been largely adopted especially in areas that have experienced landslide, along the river bank and at the foothills of the mountain.	Not successful due to the land tenure system.
Hedgerows	Not successful	Not successful	Not successful
Energy Saving stoves	100% successful in Nyondo subcounty whereas construction of energy stoves is still struggling in wanale due to lack of required raw materials	Construction of energy stoves is still struggling owing to lack of the required materials which are also considered costly. They also	50% adopted as ILM started in 2019 for most groups in the district.

⁹⁶ Interviews on evaluation mission, reviews of workshop reporting.

⁹⁷ See footnote 52.

⁹⁸ GEF tracking tools, interviews during evaluation mission.

	which are also considered costly.	have to seek out labor from Mbale district Nyondo subcounty	
Conservation Agriculture (Herbicide use, Zero Tillage, Mulching)	This has not been adopted in Wanale due to lack of mulching materials whereas it has been successful in Nyondo. Zero tillage has not been adopted	Not very successful zaero tillage has not been adopted	Mulching has been successfully adopted. Zero tillage has not been adopted
Integrated Fertilizer Use (Organic & Inorganic fertilizer Use)	There has been use of organic manure.	There has been use of organic manure.	There has been use of organic manure.

179. This output was without question the most successfully implemented output of all, and the empowerment aspects of communities, particularly women, is a best practice example of how communities can be engaged and empowered to directly implemented their activities and further sustain project results. The use of the grant mechanism was a powerful tool to do this (as previously already elaborated on). Women have been empowered with training on ILM practices to manage land productivity, financial management and income generation and have stated that the project had improved their livelihoods (e.g., planting grass bands and selling grass as livestock feed, selling milk and cooking bananas from ILM projects).

Output 2.4. Monitoring frameworks for carbon emission/sequestration and soil erosion are developed and implemented

180. Based on foundational work delivered by a consultant, Busitema University developed and adapted a data collection tool to the indicators highlighted in the monitoring framework, and this was installed on the computers of district coordinators with a simple software and users were trained on how to use the tools for data collection, analysis as well as reporting on carbon emission and soil erosion.⁹⁹

181. District ILM task forces were equipped them with GIS hard and soft ware, soil sampling and testing tools, computers and software to capture and record information on the framework indicators.

182. However, the teams are still challenged by data archiving, measurement of carbon emissions, Carbon science communication, reporting and dissemination, use of GIS/GPS applications and RS techniques; and use of the use of satellite imagery for soil erosion monitoring. The target for this activity was 60% achieved because the monitoring framework for carbon emission/sequestration and soil erosion was developed but its implementation has been limited due to low capacity at the district to operationalize the GIS software and mull function of some equipment (e.g. GPS and carbon meters).

Output 2.5. Best practices developed and disseminated

183. The three districts have mainstreamed best SLM, SFM and CCM practices into district DDPs and DEAPs for the next five year plan (2020-2024) that facilitate extension officers and CBOs to continue ILM activities and disseminate to non-project areas.

184. Other government programmes such as Operation Wealth Creation and NUSAFIII are supporting dissemination of ILM project activities to curb deforestation and soil erosion in parishes that were not part of the project area.

⁹⁹ Interviews with project stakeholders.

185. Dissemination through online articles¹⁰⁰ and videos¹⁰¹ about the project has also been noted during evaluation. Also, UNDP country office submitted each year a PIR (Project Implementation Report) to GEF, where successful stories are published.

186. The two activities associated with this output were to integrate best practices in the area into the project activities, and to develop a strategic plan for scaling up the best practices and lessons learnt of the project. There is a “lessons learnt concept” on how this will be collected, but this concept is purely in framework form, without content on the lessons/best practices.¹⁰² However, there is evidence that shows that best practices in the area have been integrated, and even beyond that, have been upscaled beyond the project areas. SLM demonstrations in project sites have been upscaled into neighbouring areas (e.g. Budwale, Bungoho Mutoto, Bumbobi, Lwaso sub-counties in Mbale district, Maasira, Buginyanya, Bulaago, Lusia, Bulegeni, Buginyanya, Bumasobo, Buluganya, Bumugisole sub-counties and Bulegeni town council in Bulambuli district. The national evaluator also observed that best practices of SLM demonstrations had been taken up in households that had not formally been part of the CBOs, including e.g. Sisiyi in Bulambuli district and Wanale in Mbale district, after learning what their neighbours had achieved. Observations were made during the evaluation mission that CBO gardens had become demonstration sites and ILM farmers had become experts that were being hired by neighbouring sub-counties to train and provide labour to ILM technologies. As a result of this evidence, the evaluators are of the opinion that despite there not being one single product, this output has been achieved somewhat because there has been proven uptake on different platforms by what we would expect would be the target audience of such an intervention (i.e. communities in Mt Elgon outside of the project intervention areas), which is the eventual impact that one wants to make out of the development of a product/publication such as this (the overall impact of the project is to enhance landscape-level SLM and therefore resilience of the entire Mt Elgon region). So if best practices are taken up without needing a product to do so, but instead through the demonstration sites, then there is, arguably, success within the achievement of this output, even if a product was not produced. The evaluators cannot stipulate how impactful a publication would have been – we can only speculate that there may have been broader uptake, but there may also not have been. But based on experience with community interventions in the region (including, e.g. the SCI-SLM project, UNEP CC-DARE, climate change information toolkits to farmers in Namibia)¹⁰³, the evaluators found that community uptake was usually stronger through farmer-to-farmer learning than through dissemination of a glossy publication.

Relevance

187. The project was well-aligned to country priorities, both at governmental level, and within the UN framework at country level. During design phase, the project aligned with various instruments, but these became outdated because by the time the project was implemented other strategies had taken over.

188. As an example, there was much integrated approach by the NDPII and ASSP to reduce the risk of disasters particularly in the highlands, it was strongly highlighted in the inception meeting

¹⁰⁰ e.g. <https://medium.com/@UNDPUGanda/reviving-degraded-land-through-improved-land-management-practises-in-the-elgon-region-b00a45b3b1d1>,

http://www.ug.undp.org/content/uganda/en/home/presscenter/articles/2018/Farmers_in_Eastern_Uganda_receive_small_grants_to_tackle_climate_change.html, <https://www.unv.org/Success-stories/Digital-innovation-helps-sustain-community-livelihoods-during-COVID-19>, <https://www.unv.org/Success-stories/Nine-UN-Volunteers-Five-countries-ForNature>

¹⁰¹ e.g. <https://www.youtube.com/watch?v=R8KiCOSQIDg>, <https://www.youtube.com/watch?v=p-1sYzErJk>

¹⁰² Concept for lessons learnt document shared with evaluators by the PMU.

¹⁰³ <https://www.thegef.org/project/sip-stimulating-community-initiatives-sustainable-land-management-sci-slm>, <https://wedocs.unep.org/handle/20.500.11822/211>; David A, Braby J, Zeidler J, Kandjinga L, Ndokosho J. 2013. Building adaptive capacity in rural Namibia: Community information toolkits on climate change. International Journal of Climate Change Strategies and Management, Vol. 5 Iss: 2, pp.215 - 229

at project start that the project has aligned with this priority very strongly, and in fact the project successes would be used to learn how to conduct resilience work in other highland areas.

189. The project was well aligned with the UNDAF and CPAP framework of the UNDP country programmes, as well as the strategic programming of UNDP.
190. The project did well to align (working with Ministry of Gender and UN Women) the gender aspects and gender empowerment shifts through the project.
191. Stakeholder engagement during the project implementation was very strong and partnerships were rearranged in order to have the most effective implementation (which worked in some outputs, not in others). Based on the evaluation mission, the evaluators found that the ILM project was particularly receptive and responsive to the needs and benefits of the communities. The project was highly relevant to improve land productivity and contributing to improved livelihoods.¹⁰⁴
192. The project took into considerations laid by previous projects in Mt Elgon, including AATAS – SLM by MAAIF, Ecotrust, NUSAFIII).

Effectiveness

193. The project had a mixed level of success in terms of its output-related achievements. Some outputs (including FFS, clauses) were not fully nor successfully implemented. Already stated above, some activities could have been realistically achieved in the time-frame of the project which were not (see e.g. paragraph 139). In other instances, the project was highly ambitious in terms of what it set out to achieve in a short space of time (e.g. in terms of the monitoring framework on carbon sequestration which is long-term and novel undertaking).
194. Given this, as well as the (in many instances, unnecessary) delays which affected the successful implementation of some activities, the project managed to make some impactful achievements in terms of the wider Theory of Change (most notably the community empowerment aspects, of which elements of wider adoption and upscaling can be seen in e.g. paragraph 186, and Catalytic/Replication Effect and Progress to Impact below).
195. As already outlined under the sections above (most notably paragraphs 136-142 under IA and EA Implementation) the implementation of the project had several weaknesses. However, it also had some successful results – most notably in terms of improved land use planning and integration of these into development planning, setting up new monitoring frameworks, the demonstration and further uptake of SLM technologies by communities in project intervention areas as well as their neighbouring areas. For these, impact has already been demonstrated (as can be seen under the sections under Sustainability, as well as Catalytic/Replication Effect and Progress to Impact).
196. What is interesting is that the evaluators found, during the evaluation mission¹⁰⁵, and subsequent discussions and analysis, that (unsurprisingly) innovation and ownership was strongest in the riskiest and more difficult areas (in terms of risk of causing floods, landslides, and difficulty generally in farming in high altitude and steep slope terrain). As a result, the highlands (i.e. Mbale and Bulumbuli) had more uptake and innovation in terms of sustaining results even from a financing perspective (using community savings) than the more productive and less risk-prone low-lying areas of Manafwa.
197. With regard to the clause implementation, some challenges were encountered. In the design of these, initially the most appropriate people were not involved (i.e. the Ministry of Justice

¹⁰⁴ As highlighted by many community members and CBOs during the evaluation mission.

¹⁰⁵ Only the national evaluator went on the evaluation mission, but check-ins with the international evaluator were conducted at the end of every day to discuss and reflect on the findings as well as the planning for the next day.

versus using a consultant). Once the Ministry of Justice was finally involved, the level of budget for more senior officials was lacking, and so junior lawyers were involved who did not have the capacity. Overall, the by-law formulation largely followed a top down approach. A recommendation is given to make sure that the by-laws are effectively enforced post-project.¹⁰⁶

Efficiency

198. The project had many delays due to various reasons, including (a) disagreements between MAAIF and UNDP on several elements of project implementation, but most notably Output 2.1 (even after an 18-month extension was provided to the project), (b) UNDP turnover in leadership, (c) PMU late recruitment and staff turnover which put the project at higher risk to external risks like (d) COVID-19, which caused final failure in some project results attainment. More detail on this can be found in paragraphs 101 and 139.
199. This said, the PMU and the relevant partners, specifically some core staff at UNDP CO and MAAIF, who were in charge of implementation often went over and above their call of duty to make things work, and the successful elements of the project, especially at community-level, is testament to this.
200. Gender aspects, despite the short-coming and timing of the deliverables on this, were really strong in this project and positively influence gender empowerment transitions in the Mt Elgon region.¹⁰⁷
201. Some efficiency issues picked up during the evaluation mission include the following: In all districts, there was a mismatch in the financial reporting times and UNDP requirements. While the districts operate a financial year, the UNDP operates a fiscal year. The UNDP financial year was always ending during December and by this time, the districts don't have financial reports because their financial year ends in June of the next year. The districts are then to return some money to UNDP because it's not spent. This caused a delay the implementation if of some Project activities. No solutions were found to resolve this issue.
202. *Time*: In short, despite the project having been ambitious, the project could have successfully implemented all outputs within the time-frames if it had put the right implementation mechanisms in place at the onset.
203. *Cost-effectiveness*: The project budget in relation to what was aimed to be achieved at project development was realistic. What was eventually achieved at community level proved impactful outcome-level (in terms of upscaling and replication, ownership and championship of SLM technologies by communities), but in terms of outputs, not all were achieved and as a result, the final expenditure budget reports an amount of USD 280.295.30 not spent.

Overall Project Outcome

204. As mentioned before, the level of achievement at outcome level was relatively good in relation to achievement at output-level. Particularly because communities were empowered (and especially women) to drive the processes, which was the overall objective of the project to begin with. There is no doubt that the evaluators believe that communities have been empowered and will continue to inspire others – eventually, with varying levels of support from government – to lead to impact within the Theory of Change framework (i.e. integrated landscape management for healthy ecosystems and improved livelihoods).

Assessment of Outcomes	Rating
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¹⁰⁶ This is based on an interview with a key collaborating partner.

¹⁰⁷ Further discussed under Gender in this report.

Relevance	S (5)
Effectiveness	MS (4)
Efficiency	MS (4)
Overall Project Outcome Rating	MS (4)

Sustainability

Financial Sustainability

205. There are various factors showing that project results are likely to continue to be sustained beyond project, and are discussed below.
206. *Ongoing support through grant mechanisms to CBOs:* Projects through MAAIF such as NUSAFIII and the Agriculture Cluster Development Project (ACDP) are using a similar grant mechanism to provide CBOs financial access for continuing their activities.
207. *Saving schemes by CBOs:* Some CBOs have put in place their own group savings schemes to continue their work and also support the financial resilience of community members. These include Khawukha Farmers Group, Bushuyo VHT Dairy Farming and Tree Planting Group, Namisuni Nature Conservation Association, Nambetye farmers association, See Light Ahead Association, Zamalenyi Action For Women Association, Dubana Farmers Association, Nabuziba Farmers Association, Bugobero Women (Ramba Nabi), and Bubentsye Carbon Farmers.¹⁰⁸
208. *Other SLM financing support:* There are government programmes in the project area such as Operation Wealth Creation (OWC), ACDP, NUSAF3 and NGOS (Coffee a cup, Eco trust) that are building ILM approach to sustainable management of Mt. Elgon Ecosystem. Nabiziba farmers association has lobbied for a new projects, the presidential initiative to fight poverty which they applied and have been approved.
209. *District Government budgeting:* The districts have mainstreamed ILM in their budgets and district development plan (DDP) that will continue to support the project with inputs, training and advisory services.
210. *Setting up farming cooperatives to better access markets:* CBOs are in the process of registering a cooperative union to help with bulk marketing challenge and adopting Value addition. Good prices for agricultural products of ILM farmers should support investment in land productivity.
211. *Coffee pulping machines:* at least 4 motorized pulping machines have been purchased by CBOs for value addition on coffee. More CBOs are considering purchasing pulping machines for value addition. This will raise the price off coffee. e.g., a kilogram of coffee berries cost 1200 but pulped coffee is 5200 per kilogram.
212. *Support to by-laws:* NEMA has funds continue supporting community by-laws formation activities in Mt. Elgon region.¹⁰⁹ Before final approval by government, communities in Bulambuli and Mbale have already gone ahead to implement by-laws that support ILM implementation.¹¹⁰

Socio-political sustainability

¹⁰⁸ Observations during the evaluation mission found that these groups had a put in force a saving culture of revolving funds, lending and borrowing from each other and have planned to buy each member a cow (one of the successes is the use of cow manure in soil fertility enhancement, as well as labour savings, and stabilisation of hill sides through planting of elephant grass as cow feed).

¹⁰⁹ Interview with NEMA, work plans.

¹¹⁰ Observations and interviews during evaluation mission.

213. Uptake and sustainability at the community level has been very strong in this particular project thanks to the ownership given to communities to manage their own activities.
214. The financial management training, farmer training, and general administrative training has supported the sustaining project results at the social level.
215. Women empowerment was very strong and has had quite some influence on women leadership in the Mt Elgon region, this impact will certainly be long-term, based on observations and integration of CBO work at community level (and the fact that the most successful parishes were thanks to women-leadership within the CBOs).
216. Government will have to ensure to keep supporting communities to continue empowering themselves and further inspiring others within the whole ecosystem of Mt Elgon (already replication is taking place, as can be seen the catalytic section below).
217. The fact that the communities received high-level visibility when the Minister of MAAIF visited and congratulated them on their success further elevated and created ownership and pride at the community-level, and garnered wider political support.
218. At the risk level, and socially-speaking COVID-19 continues to curtail learning, training and group implementation. It will also continue to affect trade networks, marketing opportunities. Other collapse-related future scenarios (related to the current economic system coming against planetary boundaries which will have many more feedbacks and unintended scenarios like COVID) will continue to change the human development paradigms that currently exist and resilience at the community level will be tested. This risk will be mitigated the more communities are giving ownership and rights over their resources.

Institutional framework and governance sustainability

219. Legal frameworks, through land use plans and by-laws, are coming together and likely will come to fruition beyond project. The by-laws currently lack enforcement, but NEMA has committed to putting the steps in order. There is still some resistance in some communities regarding the construction of contour bands, as well as the continued cultivation upstream along river banks, increasing risk to sustaining results. These will need to be curtailed if by-laws are properly enforced.
220. District level government showed mixed levels of commitment, although overall capacity has been developed and structures put in place to support more integration of integrated and holistic land management processes – but these will take some time to be fully integrated into the government structure.
221. This said, the financial sustainability section above shows levels of commitment from government to continue. In addition, continued and strong support from MTIC (in terms of cooperatives), MAAIF (in terms of SLM coordination at programmatic level), and MWE (NEMA and laws), and overall the inter-ministerial task force, shows a level of commitment to put in place resilience measures that will affect change toward improved livelihoods and ecosystem health as per the TOC framework.
222. NEMA together with UNEP (with support of the Project Board and the SLM Coordinator from MAAIF) have put together a GEF PIF that has been approved that takes the community-level implementation aspects and catalyses them. Unfortunately, despite requests to see the PIF, this was ultimately not shared by MAAIF and the evaluators can therefore not provide further information. However, a recommendation is made to include elements from this project into the project design for the next project.

Environmental sustainability

223. Overall, environmental sustainability will be kept through ongoing SLM community interventions. There are a few risks that need to be taken into consideration, but these are minor in relation to what the project managed to achieve for ecosystem resilience in the project areas (especially in terms of community ownership).
224. *Crop pests and diseases:* Crop pests and diseases infestation such as stem borers for coffee, Banana bacterial wilt (BBW), coffee leaf rust and Coffee berry disease are hindering the realization of impacts of ILM technologies on improved crop production.
225. *Mole rat:* In Manafwa the Mole rat has been reported as a threat to sustainable management of contour bands, banana, root crops and grass bands.
226. Size of land holdings may negatively affect environmental sustainability (especially if bylaws such as contour bands and river bank farming continue to be hindered causing continued soil erosion and fertility loss).
227. Despite the above considerations, overall environmental sustainability is more secured now than before the project, and the evaluators believe the fact that communities have taken the lead will continue to inspire and further catalyse movement to ecosystem health in the Mt Elgon wider landscape.

Sustainability	Rating
Financial resources	L (4)
Socio-political	L (4)
Institutional framework and governance	L (4)
Environmental	L (4)
Overall Likelihood of Sustainability	L (4)

Country Ownership

228. The project was an exemplary case in terms of ownership at community level. District level government, in the opinion of project respondents, could have been given more ownership through access to financial resources and actual decentralised implementation (i.e. some of the PMU tasks could have been handed over to be owned by district-level government). The evaluators do not necessarily share the same opinion having reviewed some of the mechanisms and ownership levels at district level. However, it would be good to test in subsequent projects more devolving of administration to the district level government to support the integration and uptake of project results into a more programmatic approach. The fact that budgeting was done to ensure continued SLM uptake (at least in Mbale) shows strong commitment.
229. MAAIF has strong ownership of all SLM activities, although it seems that human resources are limited.¹¹¹ The inter-ministerial task force is a very good systems approach to tackling systemic challenges relating to SLM and this goes beyond the project.
230. Strong stakeholder engagement at the onset of the project and also existing MoUs and relationships within government continue to ensure sustainability of results. The relationship between development partners and government should be strengthened as it is the evaluators' opinion that there are some issues here that may affect country ownership of subsequent projects.

¹¹¹ Based on interview with MAAIF stakeholders.

231. The project was designed to be country-led and demand-driven, with its origin in the priorities of the people. This is an important aspect to consider and a reason why the project will likely continue.
232. Some strong champions exist at all levels (UNDP CO, MAAIF and other ministries, district government, and most notably, community – and women leaders). These are the people who turn projects into programmes, who pull results into impacts.

Gender equality and women empowerment

233. A gender analysis was done for the project, and a resultant action plan was developed and disseminated to integrate into key project activities. This activity was done very late into the project (half-way through the project)¹¹², and the evaluators are not convinced whether the gender empowerment successes of the project are due to this, or actually in spite of this. The gender action plan that was finally developed can be used as a good example for future project design – it was well outlined, well integrated into project activities, and had several indicators and targets, some of which were in the results framework, and some which were additional, all of which were SMART. The evaluation team did not gain access to the M&E reporting for the Gender Action Plan so could not assess the level of success in terms of the indicators outlined in the action plan. As a result, the evaluators could only assess the gender-indicators in the results framework as well as observe gender empowerment at community level through interviews and field demonstrations during the evaluation mission conducted by the national consultant (and interviews with stakeholders).
234. According to the evaluators, the project definitely delivered on increased women participation and leadership in community committees. In fact, the evaluation mission found that women leadership, on average, showed more successful project results than those led by men. Women, on average, were found to take more initiative in participating in project activities, training, scaling up technologies, managing the grants, record keeping and setting up demo sites.¹¹³
235. Prior to the project implementation, women did not have access to resources and inputs, but the project supported a transition towards more equality through providing direct access to grant services, new technologies and inputs into their farming (e.g. in the banana plantations), and equipment for these technologies. The project made an effort to encourage women leadership, and as a result, most CBOs visited during the evaluation had more women than men. Women have been empowered to manage land productivity, income generation and have stated that the project had improved their livelihoods.¹¹⁴
236. The project delivered on increasing access to socio-economic benefits and services for both men and women through the small grants program. A total of 1,251 members (M-600, F-651) have directly benefited from the small grant's interventions. The grants have been used to buy farm inputs, to conduct training programs on agricultural best practices and expose farmers through learning visits to other farmers. The grants have also been used to make energy saving stoves that is used to reduce amount of firewood used for cooking thus invariably reducing forest loss and firewood labour on women and children. These grants have also been used to support making of organic fertilizers and purchase of inorganic fertilizers were appropriate which is contributing to increase in yields for farmers thus availing more food and household income.

¹¹² Exact date is unknown to the evaluator.

¹¹³ Observations made by national evaluator on evaluation mission.

¹¹⁴ Based on interviews with women leaders during the evaluation mission.

237. The ILM project did an effective job, and is probably an exemplary case, in engaging the women, men, and the youth to participate in project implementation. Gender was mainstreamed across all project actions. Sometimes the roles were separated by default. For example, during construction of the contour and grass bands, the youth would take the measurements, the men dig and the women plant the grass. Other times, they would all be involved in activities with the men doing the more labor-intensive work and the women taking on the lesser intensive work.

Cross-cutting issues

238. While the project did not have socio-economic indicators to measure progress in terms of livelihood improvements, the tools acquired allowed for much more ownership and uptake of project results that will ensure longer-term impact than if the project had focused on e.g. cash income increases. For instance, the CBO empowerment (and women leadership in this regard) supported better overall financial management and savings schemes to enhance resilience at community level. SLM technologies further enhanced resilience and decreased risk to e.g. soil fertility reducing crop production, landslides, etc. Regeneration of natural resources through, e.g. afforestation, supported ecosystem health which will provide more access to important resources in to future and stabilise soil for increased fertility and decreased erosion.

239. In this regard, including achievements made by the monitoring frameworks and integrated land use planning, communities are better prepared to cope with disasters and possible risks associated with climate change and other environmental collapse scenarios that will be part of our future as a result of linear global economic growth.

GEF Additionality

240. This project was approved prior to the adoption of the GEF additionality framework (December 2018), and thus the evaluation cannot provide an assessment of the dimensions of GEF additionality that the new guidance stipulates. It can make some commentary on GEF additionality in general in terms of the project's overall objectives and outcomes.

241. From viewing the co-financing aspects of the project (most specifically the lack of reporting exactly where the majority of the co-financing committed was used to directly advance the project results), which implies that the project largely dependent solely on GEF to attain project results.

242. This outcome-level achievement is directly attributed to the financial contribution made by GEF, but, given the evidence provided in the sustainability section of this report, will likely be continued beyond GEF funding and project closure.

243. The TE guidance under the GEF additionality section asks if outcomes are sustainable. The catalytic section below illustrates evidence that move to impact is occurring vis the TOC framework. If those aspects discussed under the sustainability section, as well as under recommendations below, are further pursued (and allowed to organically develop without too much top-down approach), there will be more natural and sustained move to impact.

Catalytic/Replication Effect and Progress to Impact

244. From the inception meeting of the project, stakeholders highlighted the importance of community ownership and engagement for sustainability. This is a key success factor that the project took on board and rolled with.

245. Between NEMA, MWE and MAAIF, a concept has been developed for the next cycle of GEF resources to upscale and cover more districts through continued community empowerment throughout the whole Mt Elgon ecosystem.

246. In addition to this, there is already some organic replication happening in neighbouring parishes because farmers and communities have seen themselves the benefits of those communities running their CBO-led SLM and social-cohesion initiatives.
247. The project demonstrated that implementation of SLM, SLM and CCM technologies, capacity building and farmer to farmer exchange visits had a significant positive effect on Ecosystem health and local community livelihoods. Nearly each of the CBOs visited during the evaluation field mission, in August – September, 2020, were actively implementing ILM technologies, mainly due to land restoration, increased productivity gains and new emerging commercial enterprises (e.g., livestock and livestock feeds from grass bands).
248. Through the demonstrations supported by the ILM project grants to CBOs, the capacitated district coordinators and TOTs, there is a good chance that ILM techniques will be further replicated and scaling up in the future. Observing the distinct difference between the sub counties (Sisiya and Namisuni subcounties in Bulambuli District) that received the intervention and those without the intervention, has become the driving force for the scaling out especially through increased adoption of the activities by neighboring sub counties (e.g. Budwale, Bungoho mutoto, Bumbobi, Lwaso sub counties in Mbale; Maasira, Buginyanya, Bulago, Lusia, Bulegeni, Bulegeni town council in Bulambuli district), neighboring sub counties in Kapchorwa District. There was also evidence that households not included in the CBOs have adopted ILM technologies (e.g., Sisiyi (bulambuli District) and Wanale (Mbale District) after observing and learning what their neighbors have achieved. This has made project sub counties to be learning sites for scaling out ILM project activities to cover the entire region.
249. The districts have committed to integrating the ILM activities in the five-year district development plans (DDP) through the Natural resources departments with an assigned budget directed to the project activities for scaling out to the entire region.
250. The capacity building of the district staff, sub county staff and TOTs, was successful in not only strengthening the knowledge of these individuals, but also mainstreaming ILM activities at the district and community level. For example, the empowered district ILM task forces formulated during the lifespan of the project and TOTs will, according to the coordinators and extension staff, continue to function and provide advisory guidance to the technical planning committees and CBOs.
251. The GEF tracking tools as well as the monitoring frameworks that have been put in place through the project will continue to track ecosystem integrated planning for resilience.
252. The most important aspect is the continuation of communities empowered to track and implement their SLM initiatives in a socially-cohesive manner.

D. Main Findings, Conclusions, Recommendations, Lessons Learned

Main Findings

253. The below section summarizes the key findings of the Terminal Evaluation detailed in the content of this report.
254. **Project Design:** The project document and its results framework was country-driven and addressed key national priorities related to sustainable land management and climate change¹¹⁵. The design did not include a Theory of Change and one had to be reconstructed for the purpose, which was used to guide the evaluation in terms of overall project impact. The overall objective, components and outcomes were generally feasible and practical in terms of

¹¹⁵ See paragraph 64.

the time frame of the project.¹¹⁶ Overall the results framework was clear with SMART indicators, and gender-disaggregation. Despite the results framework having clear ecosystem-based and capacity-development objective-level indicators (in the form of GEF tracking tools), the evaluators noted that there were no livelihood indicators to track progress towards “enhanced livelihoods”. As a result, the evaluators made some suggestions on how these could have been included in the design.¹¹⁷ The results framework would have benefitted from having clear outcome-level indicators and targets. Examples of these have been suggested.¹¹⁸ Based on the level of changes and challenges faced during implementation, the evaluators believe more effective stakeholder engagement and partnership, including capacity assessments should have been done at design.¹¹⁹

255. Project Implementation and Execution: The project underwent *changes in project implementation*, all of which were formally recorded. These included (a) going directly through CBOs to implement their land use plans and SLM technologies and pilot demo sites (which the evaluators found was the most successful part of the project)¹²⁰ (b) small changes in collaboration partners (including the partnership with Busitema that was not planned during design), (c) delays in implementation that necessitated an 18-month no-cost extension.

256. The first two changes (a) and (b) affected the project positively in that results were achieved successfully, and evidence has demonstrated that the potential for sustaining these results are high.¹²¹

257. The third (c), affected the project negatively in that certain results were not achieved within the timeframe of the project, despite an 18-month extension having been granted. Reasons for this are attributed to prolonged uncertainty on who and how the output (specifically Output 2.1) was to be achieved due to disagreements between MAAIF and UNDP, delays in procuring consultants (including challenges in finding suitable candidates), and finally when work plans and commitments had been put in place (more than a year into the 18-month extension), COVID-19 forced the project to further postpone resulting in the result not being achieved by project closure.¹²²

258. Unnecessary delays contributed to the lack of results achievement discussed above, most notably, the delay in setting up the PMU. The project was delayed by one year because MAAIF had not been able to set up the PMU. The PMU was eventually set up directly by UNDP as agreed by the Project Board in June 2017.¹²³

259. Project finance and expenditure was reported on annually. The evaluators found high variances between planned and actual expenditure by year, particularly in the first year. This can be attributed to the delays experienced in the first year where virtually no activities were implemented. Huge discrepancies exist between co-financing committed at project design and actual co-financing realized during project implementation. Complete co-financing expenditure information was not received for the evaluation and thus the evaluators can only assume that either reporting was weak, or co-financing in the form that was committed was not realised.¹²⁴

¹¹⁶ See paragraph 67.

¹¹⁷ See paragraph 72-74.

¹¹⁸ See paragraph 69-71.

¹¹⁹ See paragraphs 83-87. Implementation changes were made in e.g. direct use of communities instead of private company to implement ILM technologies; there was pressure from MAAIF to directly implement some activities themselves instead of using activities (e.g. Output 2.1) but attempts were made by UNDP to source consultants without success, Busitema University for Output 1.1 and 1.2 could have been hired at the onset if there had been more partnership capacity assessments conducted at design.

¹²⁰ See paragraphs 98, 177-179, 186, but also the whole section under Sustainability, Catalytic/Replication Effect and Progress to Impact

¹²¹ See section under Sustainability.

¹²² See paragraph 139.

¹²³ See paragraph

¹²⁴ See paragraphs 113-128.

260. The grant mechanism, although effectively implemented overall, posed some administrative challenges, and the project team highlighted that in hindsight it would have been more efficient (and opened up more time to do more technical aspects) to have used an intermediary to administer the grant.¹²⁵
261. M&E plan included the basic requirements, although the results framework would have benefitted from some minor improvements on the output-level indicators, and the inclusion of outcome-level indicators in the results framework.¹²⁶ Implementation of M&E was done through quarterly reporting, PIR reporting and the M&E framework.
262. Risks management was generally well-managed with the exception of the risks to implementation arrangements that caused unnecessary delays in some aspects of the project already covered in the paragraphs above.
263. **Project results and impacts:** *Outcome 1* has largely been successfully achieved. Land-use plans were developed for all parishes and these have been mainstreamed into district development plans in all three districts. Clause adoption has achieved more limited success, although evidence suggests that their adoption is ongoing beyond project closure. Monitoring and enforcement mechanisms have been put in place and integrated into district annual workplans.¹²⁷ *Outcome 2* has had been very successfully achieved in terms of the empowerment aspect and demo sites with communities, but only partially achieved on some of its outputs by project closure. Implementation delays affected particularly Output 2.1 which was not achieved within the timeframe of the project (although it is clear from the evidence provided to the evaluators that workplans and commitments had been made to finalise this post-project). Some achievement had been made towards strengthening public-private collaboration to improve farmers' access to inputs, but the Action Plan was not fully developed or implemented. The implementation of SLM and SFM at community level was highly successful and evidence suggests uptake, replication, and sustaining of project results. Monitoring frameworks for carbon sequestration and soil erosion had been developed and put in place, but implementation is limited due to low capacity at district level. A best practices document was not developed, although best practices from the SLM interventions have been replicated and upscaled into neighbouring areas of project intervention sites.¹²⁸
264. *Relevance:* The project was well-aligned to country priorities at government level (predominantly through the NDPII and ASSP), and within the UN country framework (UNDAF and CPAP). Stakeholder engagement during project implementation was strong (e.g. representation on the project board, representation at Inception Meeting including update of recommendations from stakeholders into project implementation such as the direct implementation of some outputs by communities, level of engagement of local-level government).
265. *Effectiveness:* The project did not manage to fully achieve on all its outputs. Some activities that could have been realistically achieved within the project timeframe were not because of implementation-related delays (such as the action plan for public-private collaboration, the FFS training, the best practices documentation), other activities were overly ambitious (such as the carbon monitoring framework). Despite this, the project managed to make some impactful achievements in terms of the wider Theory of Change, particularly in relation to community empowerment and uptake towards SLM integration into farming to enhance resilience and ecosystem health in the project areas of Mt Elgon.¹²⁹

¹²⁵ See paragraph 126.

¹²⁶ See paragraphs 129-131.

¹²⁷ See paragraphs 152-165.

¹²⁸ See paragraphs 166-186.

¹²⁹ See paragraphs 193-197.

266. *Efficiency*: The project faced several delays including losing the first year because the PMU was not set up, which ultimately resulted in the project not achieving some of its outputs within the project timeframe despite the granting of an 18-month no-cost extension. There were some variances between years, but the project was generally cost-efficient in terms of its expenditure in relation to outcome.¹³⁰
267. *Overall project outcome*: Considering the above paragraphs, overall achievement of outputs is moderately satisfactory. Some elements were highly successful, especially the community engagement, the use of community championships, gender empowerment through women leadership of community implementation of SLM and SFM activities. The landscape planning and management processes were certainly an improvement from what was there before (the project managed to have digitized, and integrated land use planning conducted for all 33 parishes). Local communities were empowered to apply technologies and approaches to reverse land degradation and reduce GHG emissions through the adoption of technologies in the project areas, but also through the replication of neighbouring communities who saw for themselves that the technologies worked and supported improvements in livelihoods.
268. *Sustainability*: Several examples of financial commitment suggest that project results will be sustained, especially at community level.¹³¹ Empowerment of communities, including women empowerment, has resulted in community-championship of SLM interventions and further uptake; government at various levels has seen the success of community engagement and has demonstrated political support for further uptake.¹³² In terms of governance and legal frameworks, land use plans and by-laws are progressing forward, the inter-ministerial taskforce is a good reflection of a wider and more programmatic approach to SLM and wider adoption of project successes have been demonstrated through a NEMA-led project to upscale SLM into the wider Mt Elgon landscape.¹³³ Environmental sustainability has been improved through the project in relation to the environmental risks encountered prior to project implementation.¹³⁴
269. *Gender empowerment*: Gender empowerment was particularly strong in this project as demonstrated by the level of women leadership and championship of SLM interventions in the project areas. The Gender Action Plan was developed late (half-way through project implementation) and the project would have benefitted from an action plan of this level of quality if it been done at PPG phase. However, the evaluators found that women empowerment particularly was demonstrated in the monitoring of the results framework (particularly at community level).

Conclusions

270. The project faced implementation challenges that put project results attainment at risk. Unnecessarily delaying some output implementations until the very last months (March – August 2020) of an already maximised project time-frame¹³⁵ increased vulnerability of the project to external risks, which is exactly what happened when the COVID-19 pandemic restricted project implementation in the final months of the project. In fact, the project should have been under final operational closure in these months (and not in “starting phases” of output implementation). If it had been, it would not have been as affected by COVID-19 as it was.

¹³⁰ See paragraphs 198-203.

¹³¹ See paragraphs 205-212.

¹³² See paragraphs 213-218.

¹³³ See paragraphs 219-222.

¹³⁴ See paragraphs 223-227.

¹³⁵ Referring to the 18-month no-cost extension that extended the project by 1.5 years.

271. The finalisation of Output 2.1 (the FFS training) merits discussion, because the evaluators were provided with evidence that in fact funding was committed (funds transfer dated 26 August), and MAAIF commitment through work plans signed off by the Permanent Secretary had been approved by the Project Board, all before project closure. This evidence was provided during the finalisation of this TE report, and shows that activities of this output will be finalised by the end of the year (2020). However, the international evaluator is limited to assessing the project results attainment within the timeframe of the project (which officially closed 31 August 2020). Whether the output will or will not be achieved beyond project closure cannot be assessed by the TE. GEF rules stipulate that no extensions can be provided beyond the 18 months that had already been provided to the project. A recommendation is made by the evaluator in the finalisation of project results for specific outputs that were not achieved within the timeframe of this project, but this is placed in the context of GEF rules and regulations, and the IA, EA and GEF will need to take this matter forward accordingly. Specific recommendations are made below in relation to the finalisation and sustaining of some outputs that were not finalised within the project time frame (Recommendation Category A below).
272. The Government of Uganda had made a large co-financing commitment in project design of which the majority was not realised, at least in terms of expenditure reporting made available to the evaluators. Similarly, expenditure reporting for the majority of the co-financing contribution from UNDP was also not available for the evaluators to assess where exactly the co-financing was used to achieve project results. GEF funding is supposed to be an incremental contribution, not the core contribution, towards what are essentially government-led projects. GEF additionality is a new section for evaluators to consider in GEF-funded project evaluations, and future project design will be focusing more on co-financing commitments and realisations thereof in project implementation. Co-financing that is committed at project design should be recorded down and reported on, and a lesson from this project has been included in the lessons learnt for future project design.
273. UNDP had to take over some of the executive functions of MAAIF during project implementation, including the setup of the PMU and direct recruitment and sometimes even management of project outputs. This leads the evaluators to question why the HACT capacity assessment that was used for project design had not picked up some limitations of MAAIF as an executing partner. Similarly, recruitment of appropriate staff and consultants proved difficult (e.g. FFS, gender). On the other hand, MAAIF was convinced that it had the in-house capacity to conduct the FFS training, and there was resultant to-and-fro between UNDP and MAAIF about whether external (or FAO) consultants should be used or not. Improved capacity assessment (HACT) of the EA may have supported a better understanding of this capacity or limits thereof. Utilization of a DIM and NIM modality concurrently could have saved the situation for the delays observed in addition to the delayed recruitment of staff by MAAIF.
274. In summary, even with the project extension, some outputs were not fully delivered. Some other outputs demonstrated successful (or, in some cases over-) achievement. Results overall in terms of the project's results framework were not fully achieved.
275. That said, the project demonstrated achievements in terms of its outcomes and overall objective within the framework of the reconstructed Theory of Change that illustrates that the project was impactful in what it set out to achieve within the broader aims of SLM in Mt Elgon.
276. The project aimed to decrease land degradation and enhance ecosystem health by using landscape management approaches and SLM, SFM and CCM technologies with communities to improve livelihoods and enhance resilience among people and ecosystems. The two strategic, higher-level questions guiding the evaluation linked to its two outcomes were (a) did the project succeed in integrating and improving landscape planning and management processes in the three project districts? and (b) did the project contribute to empowering communities in Mt Elgon to manage their production landscapes in an integrated manner?

277. Based on the evidence provided to the evaluators of uptake and integration of land use planning in the districts, the integration of monitoring frameworks to support measuring land condition improvements, and the successful uptake and ownership at community-level of the SLM and SFM demonstrations, as well as the replication into areas outside of project intervention, it seems that the project did indeed contribute substantially to both improved landscape planning and improved community management of their production landscapes. The extent of this has been demonstrated in the results section of this report. The recommendations provided below will further strengthen this contribution toward impact and sustainability.
278. Additionally, and in particular reference to community championship, the evaluators believe that the community-led approach had a significant impact in terms of sustaining project result, and move to impact in the TOC. This is evidenced by strong community ownership and uptake, longer-term savings schemes generated (through training and community empowerment as a result of allowing communities to lead activities instead of one company), and thus sustainability of results at least in terms of community-related SLM, SFM and CCM interventions.
279. The project fit well within the larger programmatic approach of the Government (in relation to its inter-ministerial task force on SLM) relevant to country development priorities (e.g. NDP II) and should be seen as a leverage point for further catalytic action towards more systems and holistic SLM across wider landscapes.
280. The evaluators believe that the community-led approach had a significant impact in terms of sustaining project result. This is evidenced by strong community ownership and uptake, longer-term savings schemes generated (through training and community empowerment as a result of allowing communities to lead activities instead of one company), and thus sustainability of results at least in terms of community-related SLM, SFM and CCM interventions.
281. Based on the above considerations, the project, overall, is given a rating of ***Moderately Satisfactory***, with the summary table provided below.

Table 13. Summary of project ratings (as guided by the 2020 UNDP Terminal Evaluation Guidance for GEF-financed Projects)

Criterion	Rating	Summarized Notes	Rating number
Monitoring and Evaluation	MS		4
M&E Design at Entry	MS	Clear plan for M&E outlined in project document, logical framework mostly clear, some indicators could have been more “SMART”, no outcome-level indicators.	(4)
M& Implementation	MS	M&E reporting was conducted and coordinated by the PMU with a dedicated staff member (although this member also had other responsibilities), GEF tracking tools reported on but not clear how tracking was done and by whom, M&E did not allow for adaptive management in regard to achievement of some outputs, Terminal Evaluation was	(4)

Criterion	Rating	Summarized Notes	Rating number
		delayed and overlapped with project closure.	
UNDP Implementation/Oversight and Implementation Partner Execution	MU		3
Quality of UNDP Implementation/Oversight	MU	Insufficient co-finance reporting, implementation and oversight issues related to results achievements of some of the outputs, not enough contingency put in place to deal with disagreements with EA, generally some good risk management procedures put in place re COVID-19 (e.g. adaptations to deal with meeting restrictions), PMU good relationship with stakeholders	(3)
Quality of Implementing Partner Execution	MU	Huge variance in co-finance committed versus reported as spent, causing delays such as the delayed set up of the PMU, lack of achieving certain outputs despite extension time awarded, good community empowerment aspects	(3)
Assessment of Outcomes	MS		4
Relevance	S	Well-aligned to country priorities, UNDAF and CPAP frameworks, aligned to gender mainstreaming, stakeholder engagement strong	(5)
Effectiveness	MS	Mixed level of success with regard to output achievements, even with 18-month extension some outputs were not achieved, strong community engagement, ownership and move to impact	(4)
Efficiency	MS	Many project delays, including the set-up of the PMU, and some important outputs not being achieved even in a realistic time frame	(4)
Sustainability	L		4
Financial resources	L	Ongoing support through grant mechanisms to CBOs, saving schemes by CBOs, other financing support, district government	(4)

Criterion	Rating	Summarized Notes	Rating number
		budgeting, setting up farmer cooperatives, support funding to by-laws	
Socio-political	L	Community empowerment and uptake strong, women empowerment strong, high level support from MAAIF	(4)
Institutional framework and governance	L	Legal frameworks put in place, levels of commitment by government demonstrated, further project submitted to GEF by NEMA and UNEP to upscale elements of this project	(4)
Environmental	L	Ongoing SLM technologies to continue improving ecosystem health, environmental sustainability more secure now than before project started (based on GEF tracking tools and SLM technologies stabilizing soil structure and health)	(4)
Overall Project Rating	MS	Project had some impactful achievements and there is some evidence pointing to move to impact as per the Theory of Change mostly due to community empowerment through adoption of SLM, SFM and CCM technologies, improved land use planning and improved land condition monitoring frameworks in place, but there were some issues with implementation and not all project outputs were achieved in time for project closure despite the 18-month no-cost extension.	4

Recommendations

Rec #	TE Recommendation	Entity Responsible	Time Frame
A	Category A: Ensuring (necessary) final project results achievement		
A.1.	Ensure bylaws are effectively finalised and enforced. NEMA to facilitate this process to fruition using the following steps: (a) bottom-up verification process at parish level should be conducted to get final buy-in from resistant community members, (b) submitting	NEMA, District Government and Ministry of Justice	Latest by end of 2021

Rec #	TE Recommendation	Entity Responsible	Time Frame
	and tabling at sub-county, district, and finally Attorney General level (for verification and validation with existing laws) and (c) final gazetting.		
A.2.	Ensure final reporting on lessons learnt and uptake as per Output 2.5 (particularly include CBO and women empowerment aspects of this project).	UNDP CO/MAAIF (under supervision of project board)	ASAP
A.3.	Finalise FFS training as planned under MAAIF (dependent on agreements and rules by GEF).	MAAIF	End of 2020
A.4.	Continue supporting the forming of cooperatives to improve farmer access to markets.	MTIC	ASAP and ongoing
B	Category B: Sustaining and further catalysing results for TOC impact		
B.1.	Provide continued platform for successful CBOs to share stories, support training in future replication, farmer-exchange visits.	MAAIF	Without limit to time frame
B.2.	This recommendation is specifically to be included in the project design for the project by NEMA/UNEP (concept development support from MAAIF) on SLM implementation in the broader Mt Elgon region. Integrate community empowerment, women leadership and lessons below into the GEF-cycle concept development that aims to catalyse and replicate aspects of this project into the entire Mt Elgon ecosystem. (See paragraph 222 under “Institutional framework and governance sustainability” for background).	NEMA/MAAIF	Into Project Document of the project to be developed (time frame depending on PPG phase)

Lessons Learned

282. **Lesson 1: It is important to conduct comprehensive capacity assessment and effective stakeholder engagement (including community empowerment options) at design phase**

283. Implementation challenges and changes were faced by the project. A lesson to be learnt from these challenges is the importance of conducting comprehensive capacity assessments of the executing agency in terms of capacity to manage the project but also to implement certain activities in-house. Conducting a more robust stakeholder engagement process and mapping of capacity within the country in relation to specific outputs (either at onset of project or, preferably, at design) can further enhance ownership and sustaining of project results.

284. **Lesson 2: Community empowerment (and encouraging women leadership) can have a much more sustained impact (and be more cost-effective)**

285. The greatest success factor of this project was the change from design to implementation (based on stakeholder pressure) to do a grant mechanism and empower (through training and facilitative support) CBOs to lead and run the initiatives directly. This might be more risky in terms of financial oversight (good training, trust building and good but not too limiting oversight can overcome this risk) but the reward is much higher – especially in terms of longer-term impact and sustaining of project results.

286. **Lesson 3: Devolving grant mechanism coordination to an intermediary (preferably an NGO who can do this in a programmatic way) might simplify project management responsibilities for PMUs**

287. The UNDP CO and PMU spent much of their implementation time on administering the grant (without human resources or sufficient capacity) to 33 different parishes. It might simplify project management and implementation procedures to allow a capacitated NGO or other

implementing partner to do this, and supporting them instead with a small management fee, possibly building in a programmatic approach here (or if there is an existing and operational government grant mechanism, using that). The UNDP Low Value Grant Guidance allows for intermediary administration of a grant mechanism provided a HACT assessment is conducted.

288. Lesson 4: Championship is key to project results attainment and sustainability, catalytic role and replication

289. This lesson can be taken in two contexts, namely (a) champion farmers and CBO representatives, who allow for social spread more rapidly as they have trust and respect in their communities, and (2) champion project partners, whose commitment goes beyond the tick-box project implementation, and often results in a much higher and more impactful project.

290. Lifting, rewarding and further empowering those champions who go the extra mile will have a reinforcing feedback loop effect on longer-term impact.

ANNEX 1: PROJECT LOGICAL FRAMEWORK INCLUDING TE COMMENTS

Outcome	Output	Activity	Target	Results	% TE estimated Level of Achievement	Comment
Outcome 1: The landscape planning and management processes in the district of Manafwa, Bulambuli and Mbale are done in an integrated manner to reduce land degradation and increase carbon sequestration.	Output 1.1 Community resource maps developed in 6 sub-counties in the 3 districts	Activity 1.1.1: Participatory developing the resource maps at parish level (1 per parish)	33 Community resources maps are developed in the 6 sub-counties	33 community resource maps developed	100	All the communities in the 6 sub counties in the 3 districts implemented this activity. The community alongside the technical team from the district and a consultant where involved in the transect walks to map resource and create a future land use plan. The communities then drew their maps which was used to identify hot spots for ILM interventions
		Activity 1.1.2: Disseminating resources maps including priority areas, through publications, workshops and local media	33 community resource maps are disseminated	33 community resource maps disseminated	100	All 33 community resource maps disseminated
	Output 1.2 Land Use plans developed , in line with the resource maps , in the 6 highly degraded sub counties	Activity 1.2.1: Participatory developing the land use plans at parish level (1 per parish)	33 land use plans are developed	33 land use plans developed	100	The land use maps where developed and disseminated on the basis of resource maps in all the 6 sub counties of the 3 districts that were hot spot areas of intervention
		Activity 1.2.2: Disseminating the land use plans that were developed at parish level	33 land use plans are disseminated	33 land use plans disseminated		

	<p>Output 1.3 District local governments supported to implement clauses regarding SLM, SFM and CCM</p>	<p>Activity 1.3.1: Raising Awareness on SLM, SFM and CCM technologies and approaches amongst district authorities and local communities.</p>	<p>30 district staffs' awareness is raised</p> <p>60 local community representatives' awareness is created.</p>	<p>65 district staffs' awareness raised</p> <p>750 local community representatives' awareness created.</p>	70	<p>By-law sensitization was conducted by NEMA at the district and followed by focus group consultations with CBOs. The Bylaws have been formulated by the CBOs and forwarded to the district for onward process of approval.</p> <p>However Zamalenyi CBO in Bulambuli district went ahead and effected the Bylaws such as forceful digging of contours bands for non-members and ask for payment of 10,000/=. These communities also have gone ahead to protect the river bank from soil erosion by planting bamboo in gardens of non-members along the river bank without the owners approval.</p> <p>The community of Nambekye CBO in Bulambuli district developed bylaws which prevented onion farmers to continue with preparing fine onion beds that were susceptible to landslide and mass movement of soil downstream. The onion farmers were forced to relocate to the nearest</p>
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						district of Kapchwora where they were chased again only to return and adopt improved methods of farming.
		Activity 1.3.2: Carrying out Gap Analysis regarding the implementation of SLM and SFM clauses in existing national and district legislation.	1 Gap Analysis study is conducted on existing legislations of SLM, CCM, SFM for implementation.	1 Gap Analysis study conducted on existing legislations of SLM, CCM, SFM for implementation	100	Gap Analysis study conducted on existing legislations of SLM, CCM, SFM for implementation
		Activity 1.3.3: Implementing strategies to fill existing gaps to implement existing relevant legislation.	50% of clauses are implemented	65% of clauses implemented	70	65% of clauses implemented at community level
		Activity 1.3.3a: Supporting the development and implementation of at least six bye-laws at Subcounty level to implement strategies on SLM, SFM AND CCM.	Atleast 6 bye-laws are developed and implemented at Subcounty level to implement strategies on SLM, SFM AND CCM.	Atleast 6 bye-laws being developed at Sub-county level to implement strategies on SLM, SFM AND CCM.	70	By-laws were developed at Subcounty level to implement strategies on SLM, SFM AND CCM.
	Output 1.4 A system for effective monitoring and enforcement of the land use plans and related legislation is put in place	Activity 1.4.1: Training district government staff and the police in monitoring and enforcement.	100 government staff and police are trained in monitoring and enforcement.	100 government staff (national and local) trained in monitoring and enforcement.	70	A system of monitoring and enforcement of the land use plans and related legislation has been established in coordination with CBOs, CMCs, TOTs, sub county ILM task force in 6 sub counties of ILM project, the district created the ILM task force, district Executive committee and LC V council. This team has overseen the successful ILM implementation. There was no police

						involvement in training and enforcement. Bylaw process is still under development
		Activity 1.4.2: Participatory developing a realistic monitoring and enforcement framework for the Land use plans.	1 monitoring and enforcement system is developed.	1 monitoring and enforcement system developed.		
		Activity 1.4.3: Diffusing and Implementing the monitoring and enforcement framework	1 monitoring and enforcement system is effectively diffused and implemented.	1 monitoring and enforcement system effectively diffused and implemented.		
	Output 1.5 SLM, SFM and CCM mainstreamed into district policy plans.	Activity 1.5.1: Creating Local Environment Committees and organizing of committee meetings at least twice a year	1 Local Environment Committee is created per district. 2 Committee meetings are organized	1 Local Environment Committee created per district.(referred to as the District Task force) 12 Committee meetings are organized	70	The three districts have mainstreamed SLM, SFM and CCM into district DDPs and DEAPs for the next five year plan (2020-2024). A case in point Mbale district was allocated 48 million towards Natural resources management for the 2019/2020. The district Planner of Mbale mentioned that Natural resources is allocated less than 1% of the district budget.
		Activity 1.5.2: Participatory developing recommendations to mainstream SLM, SFM and CCM into the District Development Plans and developing District Environment Action Plans.	1 guideline per district is developed to integrate SLM, SFM and CCM into the District Development Plans. 1 District Environment Action Plan per district is developed.	1 guideline per district developed to integrate SLM, SFM and CCM into the District Development Plans.		

		Activity 1.5.3: Diffusing the SLM, SFM and CCM guidelines for the District Development Plans and the District Environment Action Plans.	1 guideline per district is diffused to integrate SLM, SFM and CCM into District Development Plans	1 guideline per district developed to integrate SLM, SFM and CCM into the District Development Plans.		
Outcome 2 Local communities are empowered and applying technologies and approaches to reverse land degradation and reduce GHG emissions	Output 2.1 Enhanced local capacities for the adoption of SLM, SFM and CCM through the FFS approach	Activity 2.1.1: Participatory developing a Training curriculum on SLM, SFM and CCM technologies and approaches to be implemented in the FFS.	1 Training Manual on SLM, SFM and CCM technologies is developed.	1 Training Manual on SLM, SFM and CCM technologies developed.	100	For each catchment under a parish, a total of 6 people were trained. That included 33% women. They were trained in ILM technologies, proposal writing, Accounting and record keeping and Procurement.
		Activity 2.1.2: Training and equipping 6 FFS facilitators (including 50% women) from the extension services staff in each of the three districts, in SLM, SFM and CCM technologies and approaches (shall include organisation and training of 20FFS per district	6 Master trainers are trained in SLM, SFM and CCM technologies.	6 Master trainers trained in SLM, SFM and CCM technologies.	50	Partially completed
			66 FFS facilitators are trained and equipped.	66 FFS facilitators NOT trained and equipped.	0	FFS activity was not implemented not implemented by project closure. Funds were committed before project closure for MAAIF to conduct this activity until end 2020.
			60 FFS (10 per subcounty) are set up	60 FFS (10 per subcounty) NOT set up	0	FFS activity was not implemented. Funds were committed before project closure for MAAIF to conduct this activity until end 2020.
		Activity 2.1.3: Setting up 60 FFS (10 per sub-county) within the 6 sub-counties	1500 farmers are trained under the FFS approach.	1500 farmers NOT trained under the FFS approach but 805 farmers trained on	0	

		through the implementation of SLM, SFM and CCM technologies and approaches		SLM, SFM and CCM in groups.		
			3 Farmer to farmer visits are organized.	2 Farmer to farmer visits organized	80	Farmer visits organized within Mt. Elgon, Western Uganda and Kenya
		Activity 2.1.4: Organizing farmer to farmer visits between FFS	1 Action plan to improve and strengthen existing collaborations is developed.	1 Action plan to improve and strengthen existing collaborations developed.	80	Farmers have been equipped and connected to organisations such Coffee a cup which distributes seedlings and other farm inputs, Eco trust which also distributes tree seedlings and pays people for trees under the carbon sequestration program. Operation Wealth Creation which supports ILM practices. NUSAFU 3 which is paying people to dig contours. BCU and Kyagulanyi coffee buys for bulk purchase
	Output 2.2 Existing public-private collaboration is strengthened to improve farmer's access to inputs (finance, seedlings), technical support and advice, and markets	Activity 2.2.1: Participatory developing of an action plan to improve and strengthen existing collaboration between national institutions , Local Governments, the private and social sectors and individual farmers to improve farmers' access to inputs technical support and advice, and markets	1 Action plan to improve and strengthen existing collaboration is implemented.	1 Action plan to improve and strengthen existing collaboration implemented.	80	
		Activity 2.2.2: Supporting the implementation of the action plan developed in the activity	2 Enterprise-based cross learning visits are held	2 Enterprise-based cross learning visits held	80	Enterprise-based cross learning visits held

		Activity 2.2.2a: Enterprise-based cross learning visits	20,500 ha under conservation agriculture is set up.	21,625 ha under conservation agriculture set up.	100	<p>All farmer groups successfully implemented demonstration gardens of ILM technologies.</p> <p>Areas under conservation agriculture, tree planting has increased substantially. There has been a positive attitude towards deforestation</p>
	Output 2.3 Pilots demonstrating SLM, SFM and CCM technologies and approaches are implemented in the 6 selected sub-counties	Activity 2.3.1: Setting up Conservation Agriculture demos(Mulching, Fertilizer mgt, Water harvesting) in the 6 selected sub-counties (Including FFS)	1000 ha under Afforestation is set up.	407 ha under Afforestation established	50	Area Afforestation established (407 ha)
		Activity 2.3.2 Setting up Pilots/Demos to re-afforestation and assist in natural regeneration.	4000 ha of farmland with tree farming systems is set up.	4200 ha of farmland with tree farming systems set up.	100	Farmland with tree farming systems set up (4200 ha)
		Activity 2.3.3 Setting up Tree farming demos / Pilots(Coffee agroforestry, Boundary planting, Strip planting, intercropping)	33 demos are set up under Conservation Agriculture and Soil and Water Conservation	33 demos plots set up under Conservation Agriculture and Soil and Water Conservation	100	Demos plots set up under Conservation Agriculture and Soil and Water Conservation
		Activity 2.3.4: Setting up conservation agriculture demos in the 6 selected sub-counties (Including FFS)	1 Technical training is conducted	1 Technical training conducted	80	Technical training on financial management and procurement conduction
		Activity 2.3.5a: Conducting CBO Trainings	1 Financial & M+E training is conducted	1 Financial & M+E training conducted	80	
			1 Procurement training is conducted	1 Procurement training conducted	80	

	Output 2.4: Monitoring frameworks for carbon emissions/sequestration and soil erosion are developed and implemented	Activity 2.4.1: Participatory developing a realistic Carbon emission /sequestration monitoring systems.	1 monitoring framework for carbon emission/ sequestration is implemented.	1 monitoring framework for carbon emission/ sequestration implemented with limited capacity.	70	Developed, not fully implemented
		Activity 2.4.1a: Implementing the monitoring frameworks for carbon emission/ sequestration.	1 realistic Soil erosion monitoring and assessment system at FFS level is developed	1 realistic Soil erosion monitoring and assessment system at FFS level developed	70	Soil erosion monitoring and assessment system developed
		Activity 2.4.2: Participatory developing a realistic Soil erosion monitoring and assessment systems at FFS level.	1 monitoring framework for carbon emission/ sequestration is implemented.	1 monitoring framework for carbon emission/ sequestration implemented with limited capacity.	60	monitoring framework for soil erosion with limited capacity
		Activity 2.4.2a: Implementing the monitoring frameworks for soil erosion.	1 Training in GIS is conducted	1 Training in GIS conducted	70	Training in GIS conducted
		Activity 2.4.3: Conducting GIS training	1 repository is developed and functional	1 repository is developed but NOT yet functional	0	NOT functional
		Activity 2.4.4: Developing a repository and management center (database) for land use data.	Wide range of best practices and lessons learnt are documented	Best practices and lessons learnt documented partially	60	Best practices and lessons learnt were partially documented, uptake into different areas outside of project
	Output 2.5 Best Practices and lessons learned collected, compiled and disseminated	Activity 2.5.1: Documenting project best practices and lessons learnt	1 strategic plan per district to scale up best practices and lessons from the project is developed and disseminated	1 strategic plan per district to scale up best practices and lessons from the project developed and disseminated	70	The three districts have mainstreamed best SLM, SFM and CCM practices into district DDPs and DEAPs for the next five year plan (2020-2024) that facilitate extension officers and CBOs to continue ILM activities. Other government programmes such as Operation wealth creation and NUSAFIII are

						supporting and ILM project coverage to curb deforestation and soil erosion in parishes that were not part of the project area
		Activity 2.5.2: Developing a strategic plan for scaling up the best practices and lessons learned of the project	Wide range of best practices and success stories from project intervention are published and disseminated	Wide range of best practices and success stories from project intervention published and disseminated	70	This task was achieved through online articles and videos about the project. Also, UNDP submitted each year a PIR (Project Implementation Report) to GEF, where successful stories are published
		Activity 2.5.3: Publishing and disseminating the success stories and lessons learnt arising from the project interventions.	1 Gender Action plan is disseminated and implemented	1 Gender Action plan disseminated and implemented	Unable to assess	Gender Action plan disseminated, did not receive M&E for indicators
		Activity 2.5.4: Disseminating and implementing the Gender Action Plan	1 Project Audits is conducted	1 Project Audits conducted	100	Project Audits conducted
	Output 2.6: Project Audit and Evaluation	Activity 2.6.1: Conducting a Project Audit	3 Joint interministerial monitoring visits are conducted	2 Joint interministerial monitoring visits conducted	100	Joint interministerial monitoring visits conducted
Outcome 3: Project Management	Output 3.0: Project Management	Activity 3.1 Monitoring (Joint Inter-Ministerial)	6 Board meetings are conducted.	3 Board meeting conducted.	100	Board meeting conducted
		Activity 3.2: Conducting the Project Board meetings	12 Technical review meetings are conducted	10 Technical review meetings conducted	100	Technical review meetings conducted
		Activity 3.3: Conducting technical Review meetings				

ANNEX 2: LIST OF STAKEHOLDERS INTERVIEWED AND EVALUATION MISSION SCHEDULE

Stakeholders interviewed

Date	Status	Name	Role in Project
14.08.2020	Zoom interview	Mandy Cadman	Regional Technical Advisor UNDP
17.08.2020	Zoom interview	PMU Team and UNDP Uganda	PMU
20.08.2020	Zoom interview	Sheku Davowa	Project Manager (PMU)
20.08.2020	Zoom interview	Robert Mwerera	Technical Advisor (Land use planning) (PMU)
20.08.2020	Zoom interview	George Wandera	Technical Advisor, M&E, acting Project Manager (PMU)
24.08.2020	Zoom interview	Stephen Muwaya	Lead SLM Uganda – MAAIF
Various	Zoom interview	Sarah Mujabi	UNDP Uganda Focal Point for Project
01.09.2020	Phone call	Joseph Ocatum	MTIC
01.09.2020	Zoom interview	Moses Isabirye	Busitema University
02.09.2020	Zoom interview + follow up emails	Andrew Sessanga, Christiana Nyamuturo, Jenesta Atuhaire, Michael Nuwagaba Tuwangye, Polly Akankwatsa Mugisha	Financial Management of Project (UNDP and PMU)
Various	Zoom interview/Phone Call	Jerome Lugumira Sebadduka	NEMA
08.09.2020	Zoom interview	Barbara Mirembe Namugambe	Previous Project Manager (PMU)
12.09.2020	Phone call	Nankya Eseri	NARO
N/A	No response to multiple requests for interview	Kamala Grace	Project Coordinator - MAAIF
21.09.2020		Stephen Mugabi	MWE

ILM Uganda Evaluation Mission Schedule and Stakeholders Interviewed

Date	Sub county	Time (in hours)	Individual and or Group
Mbale district			
25.08.2020	Mbale district local council	10:00am-12:00pm	Production officer Ann.
		12:10pm-1:00pm	Deputy CAO.
		2:00pm-3:00pm	George Wanakina District Agricultural Officer.
		3:10pm-4:00pm	District Planner
		4:00pm-5:00pm	Mr. Eseuku Eric Julius District auditor.
26.08.2020	Wanale Subcounty	10:00am-2:00pm	See Light ahead group Bukhooba.

Date	Sub county	Time (in hours)	Individual and or Group
		06:00pm-08:00pm	Mr Andrew Agricultural extension officer
27.08.2020	Nyondo subcounty	10:00am-12:00pm	Mr. Matongo James from Bufukhula farmers.
		12:10pm-2:00pm	Bubentse Carbon farmers.
		04:00pm-06:00pm	Mr. Wekoye David Agricultural extension officer.
Bulambuli district			
28.08.2020	Bulambuli district	10:00am-11:00am	Mr. Mazina Michael Asst CAO
		11:10am-12:10pm	Environment officer Madam Sarah Madanda
		12:20pm-1:20pm	Forestry Christine
		2:20pm – 3:20pm	Gimui Robert Asst Auditor
		3:30pm-05:00pm	District production officer.
		06:00pm-07:30pm	Sylvia Kakai (Bushuyo VHT Dairy farming and tree planting group (Mbale district)
		07:40pm – 8:50pm	Namutosi Janet Khaukha Farmers group.(Mbale district)
29.08.2020	Namisuni	9:00am-11:00am	Namisuni nature conservation association.
		11:30am-1:00pm	Nambeetye Farmers association
		1:30pm-3:00pm	Zamalenyi action for women development association.
	Sisiyi	3:20pm-4:20pm	Dubana Farmers association
		4:25pm-5:30pm	Nabuziba Farmers association
30.08.2020	Documentation of the field notes		
Manafwa district			
31.08.2020	Nalondo	10:00am-12pm	Nalondo farmers association
		2:00pm-4:00pm	Sibembe farmers association
01.09.20202	Bumatoola	10am-12:00pm	Bumatoola 1 women farmers association.

Date	Sub county	Time (in hours)	Individual and or Group
		2:00pm-4:00pm	Bugobero women (Ramba nnabi)
02.09.2020	Manafwa district	9:00am-11:00am	Mr. Wasukira Ronald district planner.
		11:10am-12:20pm	Mr. Mukhwana Jerome District Agricultural engineer
		2:00pm-3:30pm	Ms. Sarah Bisikwa District Environmental officer.
		3:40pm-4:30pm	Mr. Okello Denis district production officer
		4:35pm-5:20pm	Mr. Wetunya Peter CAO.

Table 14. Project intervention parishes, including the parishes visited (in bold italics) visited during the evaluation mission for the ILM Mt Elgon project

Sn	District	Subcounty	Parish	CBO/Grantee
1	MBALE	Wanale	Bunatsoma	Wanale Highland Farmers Association
2			Bubenstye	<i>See Light Ahead</i>
3			Bushiuyo	<i>Bushiuyo VHT Diary Farming and Tree planting Gp</i>
4			Nabanyole	Bunawiire Horticulture Growers Group
5			Khaukha	<i>Khaukha Farmers Group</i>
6		Nyondo	Nyondo	Shitulwa Farmers Group
7			Bubetsye	<i>Bubetsye Carbon Farmers</i>
8			Bufukhula	Bufukhula Peace Farmers Group
9			Nabumali	Nabumali United Farmers Savings Group
		Sub total		
10	MANAFWA	Khabutoola	Bugobero	<i>Bugobero Women Ramba Naabi</i>
11			Bumufuni	Bumufuni Women Farmers Association
12			Bunangabo	<i>Bumotoola 1 Women Farmers Association</i>
13			Khabutoola	Buwerwe Women Mixed Farmers Association
14			Nekina	Bumufuni II Yetana Group
15		Nalondo	Bumulekhwa	Khanzala Farmers Association
16			Wanga	<i>Sibembe Women Farmers Group</i>
17			Butsema	Nasya Yungana Farmers Savings and Credit Group
18			Nalondo	<i>Kalaha Rural Agricultural Development Group</i>
		Sub total		
19	BULAMBULI	Sisisyi	Bukibologoto	Bukibologoto Integrated Farmers Association
20			Kidega	Bumu Farmers Association
21			Luzzi	<i>Zamalenyi Action for Women Development</i>

22		Kisubi	Kisubi Association
23		Bumugusha	Nabuya Farmers Association
24		Mabono	Mabono Integrated Farmers Group
25		Kibanda	<i>Dubana Farmers Association</i>
26		Gibuzaale	<i>Nabuziba Farmers Association</i>
27	Namisuni	Namudongo	Nalufudu Farmers Association
28		Namezi	<i>Namisuni Nature Conservation Association</i>
29		Kisekye	Kolela Wongane Farmers Association
30		Nambekye	<i>Nambekye Farmers Association</i>
31		Namisuni	Kikuyu Farmers Association
32		Lusaso	Namisuni Model Farmers Association
33		Gamatimbei	Gamatimbei Farmers Association

ANNEX 3: EVALUATION MATRIX AND GUIDANCE FOR EVALUATION MISSION

Evaluation Matrix used to guide the Terminal Evaluation of the ILM Mt Elgon Uganda Project

Evaluation Criteria	Evaluation Questions	Indicators	Sources	Methodology
Relevance (<i>R=2; NR=1</i>) [How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?]				
Relevance to international instruments	<ul style="list-style-type: none"> - How does the project support the global sustainable development goals? - How does the project align to the MEAs, most notably the UNCCD? - Does the project align towards a global transformational agenda at the local level (towards sustainability and resilience)? 	<ul style="list-style-type: none"> - Level of alignment of global goals into project design - Level of contribution of project to attainment of the goals of the global agenda and the international instruments 	<ul style="list-style-type: none"> - Project documents - International instruments and SDGs 	<ul style="list-style-type: none"> - Document review - Interviews with project team, UNDP and other key stakeholders
Relevance to GEF focal areas	<ul style="list-style-type: none"> - How does the project support the GEF land degradation focal area and strategic priorities? 	<ul style="list-style-type: none"> - Clear relationship between the project objectives and GEF LD FA 	<ul style="list-style-type: none"> - Project document and GEF tracking tools - GEF Focal Area LD strategies and documents 	<ul style="list-style-type: none"> - Document review
Relevance to UNDP Mandate and Strategy	<ul style="list-style-type: none"> - How does the project align with the UNDP Strategic Plan 2018-2021? 	<ul style="list-style-type: none"> - Level of alignment with strategic plan 	<ul style="list-style-type: none"> - Project document - UNDP Strategic Plan 2018-2021 	

Evaluation Criteria	Evaluation Questions	Indicators	Sources	Methodology
Relevance to region	- Does the project support the regional sustainable development priorities (most notably Agenda 2063)?	- Extent of relationship between project objectives and priorities of Agenda 2063 (and other relevant regional priorities)	- Project document - Regional SD documents, including Agenda 2063	- Document review
Relevance to country sustainable development objectives (UNDAF, national development plans, UNCCD country plans etc)	- Does the project align with the sustainable development objectives of Uganda's First (and Second National Development Plan (NDPII))? - How does the project support the country strategies of the relevant MEAs (most notably UNCCD and UNFCCC)? - How does the project support Uganda's UNDAF (2011-2015, 2016-2020)?	- Degree to which the project supports the national SD objectives - Level of involvement of government officials and relevant partners in project design process	- Project document - NDPs, UNDAF, and other relevant strategies and documents - Stakeholder analysis and participation process during design (Project Document)	- Document review
Addressing needs of target communities	- How does the project support the needs of the project beneficiaries? - Has the implementation of the project been inclusive to all relevant stakeholders (were these stakeholders adequately involved in project design and implementation)?	- Level of alignment between needs of target communities and project results	- Project document, particularly stakeholder analysis and participation process during design, and results section	- Document review - Interviews with target communities

Evaluation Criteria	Evaluation Questions	Indicators	Sources	Methodology
Project design coherence and quality	<ul style="list-style-type: none"> - Is there a red thread between the expected results (log frame) and the project design (project context, partner choice, structure, budget, etc)? - Has the project been designed to be efficient and effective in achieving its outcomes? - Has the project design taken into consideration foundations laid by previous projects in Mt Elgon, and has the design attempted to synergize as effectively as possible with relevant projects? 	<ul style="list-style-type: none"> - Level of coherence between project results and project design - Level of inclusion of efficiency and effectiveness in design - Level of value add on previous foundations, as well as level of synergy 	<ul style="list-style-type: none"> - Project document - Key project stakeholders 	<ul style="list-style-type: none"> - Document review - Key interviews
<p>Effectiveness (<i>HS=6; S=5; MS=4; MU=3; U=2; HU=1</i>)</p> <p>[To what extent have the expected outcomes and objectives of the project been achieved?]</p>				
Level of effectiveness in achieving the expected outcomes and objectives	<ul style="list-style-type: none"> - To what extent did the project succeed in integrating and improving the landscape planning and management processes in the district of Manafwa, Bulambuli and Mbale? - To what extent did the project contribute to empowering 	<ul style="list-style-type: none"> - Using indicators in project document and results framework and log frame 	<ul style="list-style-type: none"> - Project document and project implementation documentation (progress reports, final report) - GEF tracking tools - Project team and relevant stakeholders 	<ul style="list-style-type: none"> - Document review - Interviews with project team and key stakeholders - Field site visits

Evaluation Criteria	Evaluation Questions	Indicators	Sources	Methodology
	<p>communities in Mt Elgon to manage their production landscapes in an integrated manner?</p> <p>- Were contributions to improved livelihoods made in conjunction with improving ecosystem resilience?</p> <p>- Were there any risk of maladaptations?</p> <p>- Were local technologies adopted to reverse land degradation?</p>			
Achievement of project outputs	<p>- Were all project outputs achieved?</p> <p>- What were the internal and external factors that most affected performance of the project in delivering the planned outputs and expected achievements?</p> <p>- <i>What management measures were taken to make full use of opportunities and address obstacles to enhance project performance (linked to risk as well as efficiency)?</i></p>	<p>- Using indicators in project document and results framework and log frame</p> <p>- Level of adaptiveness of project</p>	<p>- Project documentation</p> <p>- Logframe</p> <p>- Project team</p>	<p>- Document review</p> <p>- Interviews with project team</p>

Evaluation Criteria	Evaluation Questions	Indicators	Sources	Methodology
Risk management – project adaptiveness	<ul style="list-style-type: none"> - How well were the risks, assumptions and impact drivers managed? - What was the link between the risk management strategy in project design and implementation? - How did the project adapt to the limitations set upon it by COVID-19? Were project results affected and what mitigation strategies were put in place? Can we learn from this project's adaptation process (linked to sustainability)? 	<ul style="list-style-type: none"> - Completeness of risk identification and assumptions during project design - Quality of risk management strategy developed and followed 	<ul style="list-style-type: none"> - Project documentation - Project team 	<ul style="list-style-type: none"> - Document review - Interviews with project team
Efficiency (<i>HS=6; S=5; MS=4; MU=3; U=2; HU=1</i>) [Was the project implemented efficiently, in line with international and national norms and standards?]				
Project implementation efficiency	<ul style="list-style-type: none"> - Was adaptive management used or needed to ensure efficient resource use? - Were there any delays in implementation/ achievement of outputs? 	<ul style="list-style-type: none"> - Level of adaptiveness - Planned expenditure vs actual expenditure of budget - Adequacy of project choices (structural/operational) in 	<ul style="list-style-type: none"> - Project reporting - Project extension reporting - Contracts and agreements with project partners 	<ul style="list-style-type: none"> - Document review - Interviews with project team - Field site visits

Evaluation Criteria	Evaluation Questions	Indicators	Sources	Methodology
	<ul style="list-style-type: none"> - Was the project as cost-effective as originally planned? - Did the project require an extension? Why? - Did co-financing happen as planned? - Was procurement carried out in an efficient manner? 	<ul style="list-style-type: none"> view of context, infrastructure and cost - Quality of results-based management reporting - Project extension justification - Level of contract amendments and justification 	<ul style="list-style-type: none"> - Project team and stakeholders 	
Use of appropriate capacity	<ul style="list-style-type: none"> - Did the project make use of the most relevant capacity and the most capacitated organisations to implement the project? - Was there effective and efficient collaboration between all the project implementers? - Was the capacity assessment accurate in terms of project implementation capacity? - Was there some capacity sharing among partners? 	<ul style="list-style-type: none"> - Quality of capacity assessment - (connected indicators to effectiveness in terms of timely project delivery by partners) - Level of capacity built among partners through sharing 	<ul style="list-style-type: none"> - Project document (capacity assessments) - Project implementation documentation - Project team and partners 	<ul style="list-style-type: none"> - Document review - Interviews with project team, UNDP, project partners

Evaluation Criteria	Evaluation Questions	Indicators	Sources	Methodology
Level of synergy with past/ongoing/future projects	See under relevance (to be covered here too)			
Monitoring and Evaluation (<i>HS=6; S=5; MS=4; MU=3; U=2; HU=1</i>)				
M&E design at entry	<ul style="list-style-type: none"> - What was the quality (in terms of measurement of attainment of project results, including efficiency) of the M&E plan at design phase? - Are the indicators SMART? - What is the quality of the outcome-level indicators - Was there appropriate budgeting for the M&E? 	<ul style="list-style-type: none"> - Level of SMART-ness of indicators - Appropriateness of indicators and M&E plan for project 	<ul style="list-style-type: none"> - Project document and log frame, budget - GEF tracking tools - Budget 	<ul style="list-style-type: none"> - Document review
M&E implementation	<ul style="list-style-type: none"> - Was the M&E plan effectively implemented? - How was adaptive management taken into consideration? (linked to effectiveness and efficiency) 	<ul style="list-style-type: none"> - Level of implementation according to M&E planning - Level of adaptive management as a result of M&E guidance 	<ul style="list-style-type: none"> - Project team - Project reporting including indicators and tracking tools 	<ul style="list-style-type: none"> - Document review - Interviews with project team
IA and EA Execution (<i>HS=6; S=5; MS=4; MU=3; U=2; HU=1</i>)				

Evaluation Criteria	Evaluation Questions	Indicators	Sources	Methodology
Quality of UNDP implementation	<ul style="list-style-type: none"> - What was the level of oversight, guidance and support by UNDP toward project results (linked to Effectiveness and Efficiency) 	<ul style="list-style-type: none"> - Level of UNDP implementation 	<ul style="list-style-type: none"> - Project team 	<ul style="list-style-type: none"> - Interviews with project team
Quality of executing agency (MAAIF) implementation	<ul style="list-style-type: none"> - What was the level of coordination and implementation by MAAIF toward project results (linked to Effectiveness and Efficiency) 	<ul style="list-style-type: none"> - Level of executing agency implementation 	<ul style="list-style-type: none"> - Project team 	<ul style="list-style-type: none"> - Interviews with project team
Sustainability (<i>L=4; ML=3; MU=2; U=1</i>) [To what extent are there financial, institutional, socio-political, and/or environmental risks to sustaining long-term project results?]				
Level of socio-political sustainability of project results	<ul style="list-style-type: none"> - Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impact? - Is the level of ownership by the main stakeholders and policy-makers sufficient to allow for the project results to be sustained? 	<ul style="list-style-type: none"> - Level of influence of social and political factors on project results - Level of ownership of project results by government, farmers and other partners - Level of commitment from stakeholders to sustain results of project 	<ul style="list-style-type: none"> - Final project report - Sustainability strategy in project document - Project team - Project partners and stakeholders 	<ul style="list-style-type: none"> - Document review - Interviews with project team - Interviews with partners, stakeholders - Field visits with farmers and communities

Evaluation Criteria	Evaluation Questions	Indicators	Sources	Methodology
	<ul style="list-style-type: none"> - Are there sufficient government and other stakeholder commitment and incentives to sustain integrated landscape managed in Mt Elgon? 			
Financial resource dependency to sustain project results	<ul style="list-style-type: none"> - To what extent are the continuation of project results and eventual impact of the project dependent on (external) financial resources? - What is the likelihood that adequate financial resources will be or will become available to sustain the results of the project? 	<ul style="list-style-type: none"> - Level of dependence on external funding – level of committed financial resources beyond project 	<ul style="list-style-type: none"> - Final project report - Project team - Project partners, particularly local government and communities 	<ul style="list-style-type: none"> - Document review - Interviews with project team and stakeholders
Level of institutional sustainability	<ul style="list-style-type: none"> - To what extent is the sustenance of results and onward progress towards impact dependent on issues relating to institutional frameworks and governance (particularly related to land planning in the three districts)? - Are the institutional achievements (related to land planning) robust enough to have been fully integrated into institutional operations? 	<ul style="list-style-type: none"> - Level of institutional commitment to project results 	<ul style="list-style-type: none"> - Project team, district-level government 	<ul style="list-style-type: none"> - Interviews with project team - Interviews with key project partners - Field visits

Evaluation Criteria	Evaluation Questions	Indicators	Sources	Methodology
Level of environmental sustainability	<ul style="list-style-type: none"> - To what extent will the ecosystem health benefits arising from project results be sustained? - To what extent have the ILM activities been integrated into long-term planning (by district government and communities)? - What are the environmental risks and possible maladaptive practices that might reverse or halt project results achieved towards alleviating land degradation in Mt Elgon? 	<ul style="list-style-type: none"> - Level of sustaining environmental benefits from project results - Level of integration into operations and planning of management of Mt Elgon 	<ul style="list-style-type: none"> - Project team, national and district-level government, farmers and communities 	<ul style="list-style-type: none"> - Interviews with project team, key governmental partners - Field visits and interviews with communities
<p>Impact (<i>S=3; M=2; N=1</i>)</p> <p>[Are there indications that the project has contributed to, or enables progress toward, reduced environmental stress and/or improved ecological status?]</p>				
Consideration of Theory of Change	<ul style="list-style-type: none"> - Does the project log frame accommodate objectives higher than the project outcomes? - What is the likelihood of longer-term impact (as illustrated in the reconstructed Theory of Change?) - Have there been verifiable improvements in ecological status in Mt Elgon (including 	<ul style="list-style-type: none"> - Presence of impact-level indicators - Level of progress towards achievement of impact beyond project (as per reconstructed TOC) - Level of improvements in ecological status (as per tracking tools) 	<ul style="list-style-type: none"> - Log frame - GEF tracking tools - Reconstructed Theory of Change - Project team, project partners, communities 	<ul style="list-style-type: none"> - Document review - Development and validation by stakeholders of reconstructed TOC - Interviews with project team and project stakeholders

Evaluation Criteria	Evaluation Questions	Indicators	Sources	Methodology
	<p>verifiable reductions in stress on ecological systems)?</p> <p>- Have there been verifiable improvements in community resilience and livelihood?</p>	- Level of improvements in community resilience and livelihoods		

Guiding interview questions and key stakeholders by priority for Evaluation Mission

Key thematic area/group to be interviewed as per output/outcome	Indicative questions (not exhaustive)	Key stakeholders
		<p>High Priority (HP)</p> <p>Medium Priority (MP)</p> <p>Low Priority (LP)</p>
<p>1. Interviews with District level government, police officers and communities involved in resource map and land use plan development and implementation as well as on training on enforcement (of 33 parishes, 12 in total); as well as Environment Committees</p> <p>KEY DOCUMENTS: resource maps and land use plans, training documentation</p>	<p><i>- How necessary do you think it was to develop resource maps and land use plans for your parish? What do you think you are able to do now that you were not able to do before?</i></p> <p><i>- Can you provide evidence of the integration of the land use plan into the District Environment and the District Development Plans?</i></p> <p><i>- What did you find effective and what did you find ineffective in terms of the training component (enforcement)?</i></p> <p><i>- How have you used the training to improve the enforcement of the land use plan?</i></p> <p><i>- Can you provide evidence to show how the land use plans have been implemented in your parish?</i></p>	<p>District level government/MAAIF rep and extension officers (HP)</p> <p>Police Officers (MP) – one police officer per district would suffice</p> <p>Community representatives (HP, depending on the number involved, 10% of those involved in the development and training)</p> <p>Environment Committees (MP-HP, depending on uptake and involvement)</p>

	<ul style="list-style-type: none"> - Has your neighbouring parish done a similar exercise? How has the land use planning effectively been integrated across these borders? - Do you foresee any problems in land use plan implementation in the future? What are the key barriers? - Do you think that this may be something that might be taken up by other parishes (with or without external support?) - Is there anything you would like to add about the project in general? What are your impressions of how the project was implemented? - What kind of monitoring and uptake have you put in place to adapt the land use plans as new information comes in vis SLM, CCM and SFM? 	
<p>2. Interviews with district staff per sub-county involved in capacity development of clauses development and adoption and enforcement</p> <p>KEY DOCUMENTS: any evidenced documentation of clause and clause adoption, training documentation</p>	<ul style="list-style-type: none"> - What did you learn from the capacity development exercise that you did not know before? - How have you use the training to help the enforcement and adoption of the clauses? - What were the barriers to adoption for those clauses not adopted? - Do you think that the adoption of these clauses will mean long-term compliance? What is the level of ownership of these clauses by the different stakeholders (land users)? - Is there anything you would like to add about the project in general? What are your impressions of how the project was implemented? 	<p>District staff: Of those involved in training and clause development, 30% minimum need to be interviewed</p>

<p>3. Focus groups (2 per sub-county of 6 people each – 3 men, 3 women, representing at least 2 youth in total) for farmers involved in training and awareness raising on SLM technologies</p> <p>KEY DOCUMENTS: output materials/awareness materials, capacity development documentation disseminations strategies</p>	<ul style="list-style-type: none"> - <i>What did you learn about the new SLM technologies?</i> - <i>Which technologies have you taken up? Have they benefited you in any way? If yes, how and if not, why not?</i> - <i>Were there any challenges/external factors (e.g. a flood, pests) that hindered you from adopting any technologies?</i> - <i>What do you think needs to be done to help adopt more SLM technologies in Mt Elgon?</i> - <i>What do you think your role is in adopting the SLM technologies? Do you think you have influence over adoption of these technologies? Do you think you are able to influence others to adopt? Do you feel that you are more able to have your voice heard in decision-making processes after having gone through the training?</i> - <i>What did you like about the awareness raising/training – what was most useful?</i> - <i>What could have been done better?</i> - <i>Do you think there is enough knowledge and awareness to continue adopting these technologies further than those who were trained?</i> - <i>Were you involved in any farmer exchange visits? If so, what did you learn? What are your thoughts on this way of learning versus training or materials as a way of learning?</i> 	<p>CBOs (HP)</p> <p>Farmers (HP)</p>
<p>4. Separate interviews with any extension officers involved on awareness and training</p>	<p>- <i>Will you continue doing more awareness and integrate this into your day-to-day extension support (and how)?</i></p>	<p>One or two extension officers per parish</p>

(connected to the activity above)	<ul style="list-style-type: none"> - Can we see evidence of any programmes that you may conduct that further creates awareness? 	
<p>5. Interviews with six extension officers partially trained in FFS (this can be included in the interview process under (iv) above if the same individuals were involved</p> <p>KEY DOCUMENTS: training materials and programmes</p>	<ul style="list-style-type: none"> - What did you think about the training? - Why do you think it was not finalized? - Will you be able to use the partial training you received in your work as an extension officer supporting farmers? Please elaborate how. - What do you think have been the challenges faced by COVID and how do you think the project adapted (this question will likely be asked to all interviewees)? - Do you have any suggestions on how things could have been done differently? - What are the challenges you face in doing SLM related work with farmers in your area? - What do you think generally about the project implementation? 	<p>All six (either in one focus group, or individually/smaller groups if they are spread out)</p>
<p>6. Interviews with selected members of the private sector (to be identified and agreed upon with the PMU) regarding the action plan to improve farmers access to inputs (as per Output 2.2.)</p> <p>KEY DOCUMENTS: Any written evidence of meetings and development of action plan</p>	<ul style="list-style-type: none"> - How were you involved in the development of the action plan? - Why do you think it has not been finalized? - How have you been engaged in the process of improving farmers access to inputs – and what inputs do you think they have gained access to? - How do you think farmers access will be improved in the future because of the steps laid by the project? 	<p>Two or three private sector operators (HP) (those who have influence over farmer production)</p>

	<p>- What are your thoughts on supporting those farmers who farm sustainably? What are the challenges that stop you from supporting those farmers versus those who farm unsustainably?</p>	
<p>7. Visits to a selected number of pilot sites/sites within each of the 12 parishes, including interviews with beneficiary farmers</p> <p>NOTE: this can be linked to the same interviews as with (1) and (3)</p> <p>KEY DOCUMENTS: output level reporting, CBO/CMC level reporting (if any), any reports by District Coordinators on progress, improved land condition assessments as per GEF Tracking Tools</p>	<p>- What activities have you been doing as part of this pilot?</p> <p>- What is the difference between how you were farming and how you are farming now?</p> <p>- What has been easier to adopt and what has been harder?</p> <p>- Do you think you will continue with the pilot after the project?</p> <p>- Have any other farmers been inspired by what you are doing (how many, where)?</p> <p>- Now that you have gone through this pilot, what do you think stops farmers from farming sustainably?</p> <p>- Has anything improved for you through being involved in this project in terms of (a) your quality of life, and (b) the productivity of your land, and (c) your ability to withstand any environmental (and/social) changes that may arise?</p> <p>- Were you involved in the land use planning (resource maps/land use plan)? What do you think about the land use planning part of the project? Do you think other farmers will comply? Yes, how, and if no, why not?</p> <p>- Any other thoughts on the project, how was the project implemented, what was good and what could have been done better?</p>	<p>CMCs/CBOS (farmer groups/coordinators) (HP)</p> <p>Farmers/land-owners (HP)</p>

	<ul style="list-style-type: none">- What are your impressions about the future of farming in Mt Elgon regarding your ability to continue productively farming from the land?- Has your access to the market, loans, seedlings, and other been improved through the project? How?	
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ANNEX 4: PROJECT DOCUMENTATION LIST

Project Design documents

- MSP_PIF_13_May_2014. Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mount Elgon
- 08-11-15_Project_Document. Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mount Elgon
- 2019-GEF-PIR-PIMS4634-GEFID5718_ Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mount Elgon
- ID5718__PIMS_4634_-CEO_Endorsement. Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mount Elgon
- PIMS 4634 -Final ProDoc - MSP Uganda Mt Elgon Landscape after EPAC. Integrated Landscape Management for Improved Livelihoods and Ecosystem Resilience in Mount Elgon
- HACT Assessment for MAAIF

Project Extension Documentation

- Approval Request Document
- Letter NCE
- Minutes of the Board re project extension
- NCE request to GEF
- Signed NCE request

Financial Documents

- Final expenditure summary by activity and donor 2nd August 2020
- Annual Financial Report 2016, 2017, 2018, 2019, 2020
- Letter Audit Report Submission to MAAIF, and MAAIF ILM Audit Report
- Data for co-financing (incomplete)

Meeting minutes

- Minutes of The Second Board Meeting of the Integrated Landscape Management for Livelihoods Improvement In Mt Elgon Region Project held on 21 December, 2016 At Ridar Hotel, Mukono
- Minutes of the Third Joint Board Meeting (Ilm Mt. Elgon, NAP_Ag, and the Karamoja Food Security Project. Held At Imperial View Hotel, Entebbe, 1-5 August 2017
- Minutes of the Fourth Board Meeting held on 5 December 2017 at Imperial Royale Hotel Kampala
- Joint Board Meeting for Projects Implemented by the Ministry of Agriculture, Animal Industry and Fisheries at Bilkon Hotel, Jinja On 22/11/2019
- Minutes of the Small Grants Committee 23.08.17
- Minutes of EPAC

M&E reports

- PIRs for 2018, 2019, 2020
- Copy of M&E Report 2020
- ILM Annual Performance Report 2017
- ILM GAP Report
- ILM Project Summary Report MAAIF June 2019-June 2020
- M&E Framework
- GEF Project Tracking Tool
- List and Contact Details For Project Staff, Key Project Stakeholders, Including Project Boards, And Other Partners To Be Consulted;
- Quarterly Review and AWP Planning Workshop (July-Nov 2019)
- Ministry of Agriculture Animal Industry and Fisheries. Pre-Visit Monitoring Report for the ILM Project. November 2019

Consultancy reports

- Report on the Land Degradation Neutrality (LDN) Training Workshop Held at Wash and Wills Hotel, Mbale District from 18th To 20th October 2017

- Report on Mbale District TOT Training Workshop that was held on 28 to 31 August 2017 at Mt. Elgon Hotel, Mbale.
- Establishment Of The Current Carbon Stocks And Emission Levels In Farmlands in the Mount Elgon ILM Project Region. Final Report. By Paul I. Mukwaya, 2017
- Participatory Development Of Guidelines, Strategies and Recommendations for Implementing Sustainable Land Management, Sustainable Forest Management, and Climate Change Mitigation In Land Use Plans In Mbale, Bulambuli and Manafwa Districts, By Edward Mwavu, 2017
- Development of A Realistic Multi-Level Soil Erosion Monitoring and Assessment System, November 2017
- National Consultancy on Participatory Development of Community Resource Maps and Land Use Plans At Parish Level and Development of Subcounty Land Use Plans Final Report, By Nabanyumya Robert, March 2018
- TOR-Documents Lessons Learned and Good Practices from Implementation Of Initiatives
- A Gender Analysis and Development of a Comprehensive Gender Action Plan For: Integrated Landscape Management for Ecosystem Resilience and Improved Livelihoods in Mt Elgon Project In Bulambuli, Manafwa And Mbale Districts. A Report Submitted to Ministry of Agriculture, Animal Industry And Fisheries (MAAIF) By: Peter Fuuna (National Consultant: Gender Analysis)
- Gender Action Plan
- Gap Analysis regarding the Implementation and Enforcement of Sustainable Land Management (SLM), Climate Change Mitigation (CCM) and Sustainable Forest Management (SFM) Clauses in Existing National and District Legislation In Mbale, Bulambuli and Manafwa. (Final Report). Submitted By: Langoya Council Dickson, 22 January 2018

Workshop and Training Reports

- A Report on the Technical Training Workshop on Carbon Stocks and Soil Erosion Monitoring Tools held at Hotel Paradise on the Nile in Jinja District from 26 February to 1 March 2018.
- Report on South to South Learning Visit to Kenya. May 19th - 25th 2019.
- Report on the Training Of Trainers Of Trainers (TOTs) From Sisiyi Sub County, Bulambuli District held at Mt. Elgon Hotel, Mbale District From 10 to 13 October 2017
- Report on the Training Workshop for Strengthening Farmers' Organizations and Linkages Through Public Private Collaborations.
- ILM Project: Report on By Law Formulation for Mbale, Bulambuli And Manafwa District Local Governments, 2019
- Report Of The Training-Workshop on Community Based Organization (CBO) Grantee System for the ILM Project
- Minutes of the Participatory Workshop for the Development of a Realistic Monitoring and Implementation Framework for the Land Use Plans in the Project Districts held at Crown Suites Hotel, Mbale. 24 to 28 September 2018
- Minutes of The 2nd Quarterly Technical Review Workshop held at Speak Courts Hotel, Jinja 23rd To 26th July 2019
- Report on the Interministerial Monitoring held from 18 to 20 November 2019 in Bulambuli, Mabel and Manafwa Districts.

Other, including PMU documents

- Concept note for lessons learnt and upscaling best practices; TORs for resource person to document best practices
- Bank statements, work schedule of ILM project, payment vouchers to service providers related to MAAIF documentation for Output 2.1