



THE ADAPTATION FINANCE ACCOUNTABILITY INITIATIVE

Delivery of Adaptation Finance in Uganda: **Assessing**
institutions at Local Government Levels

BY DANIEL LUKWAGO

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ACRONYMS

AACC	Agricultural Adaptation to Climate Change	ENR	Environment and Natural Resources
AFAI	Adaptation Finance Accountability Initiative	EU	European Union
AfDB	Africa Development Bank	FAO	Food and Agricultural Organization
AFRII	Africa Innovation Institute	FGDs	Focus Group Discussions
ASDI	Agency for Promoting Sustainable Development Initiatives	FIEFOC	Farm Income Enhancement and Forest Conservation Project
BCC	Bushikori Christian Center	FMNR	Farmer Managed Natural Regeneration
BRDC	Bungokho Rural Development Centre	FY	Financial Year
CAIP	Community Agriculture Infrastructure Improvement Programme	GCCA	Global Climate Change Alliance
CAN-U	Climate Action Network Uganda	GEF	Global Environment Facility
CAO	Chief Administrative Officer	GOREDO	Gogonyo Reflect Development Organization
CAP	Coalition Against Poverty	ITCP	Integrated Territorial Climate Plan
CBOs	Community-based Organizations	IUCN	International Union for Conservation of Nature
CC	Climate Change	LC	Local Council
CCD	Climate Change Department	LDCs	Least Developed Countries
CDD	Community-driven Development	LG	Local Government
CFO	Chief Financial Officer	LGMSD	Local Government Management and Service Delivery
CG	Central Government	LRDP	Luwero- Rwenzori Development Programme
CHAI	Climate Change Adaptation and ICT	MAAIF	Ministry of Agriculture, Animal Industry and Fisheries
CSOs	Civil Society Organizations	MDAs	Ministries Department and Agencies
DANIDA	Danish International Development Agency	MEMD	Ministry of Energy and Mineral Development
DDP	District Development Plan	MERECF	Mt Elgon Regional Ecosystem Conservation Programme
DENIVA	Development Network of Indigenous Voluntary Associations	MLHUD	Ministry of Lands, Housing, and Urban Development
DFID	Department for International Development	MoFPED	Ministry of Finance, Planning, and Economic Development
DLG	District Local Government		
DRR	Disaster Risk Reduction		
DWD	Directorate of Water Development		
DWRM	Directorate of Water Resources Management		

MoLG	Ministry of Local Government
MTIC	Ministry of Trade, Industry, and Cooperatives
MWE	Ministry of Water and Environment
NAADS	National Agricultural Advisory Services
NADIFA	Nakasongola District Farmer's Association
NAFETIPIIPE	Nabiswera Farmers' Initiative for Poverty Eradication through Land Productivity Enhancement
NAPA	National Adaptation Programmes of Action
NARO	National Agricultural Research Organization
NCCAC	National Climate Change Advisory Committee
NCCP	National Climate Change Policy
NEMA	National Environment and Management Authority
NFA	National Forestry Authority
NGO	Non-Government Organization
NPA	National Planning Authority
NUSAF	Northern Uganda Social Action Fund
PACONET	Pallisa Civil Society Network
PFCC	Parliamentary Forum on Climate Change
PPP	Public Private Partnership
PRDP	Peace Recovery and Development Plan
S/C	Sub County
SIDA	Swedish International Development Cooperation Agency
SLM	Sustainable Land Management
TACC	Territorial Approach to Climate Change
UGX	Uganda Shillings
UNDP	United Nations Development Programme

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EXECUTIVE SUMMARY

The amount of international climate finance approved to help developing countries address the impacts of climate change increased eightfold between 2008 and 2012. However, in Uganda little is known about financing climate change adaptation activities, as well as its effectiveness in delivery. For instance, who is funding climate change adaptation activities, whom is involved, or what mechanisms are used for climate adaptation financing. Understanding institutional dynamics, the ways in which local stakeholders access financial resources for adaptation, and how these resources flow from national-to-local levels is key to promoting the effective delivery of adaptation finance.

This study examined adaptation finance in Uganda, particularly looking into the mechanisms and implementation approaches at the sub-national level. The study tracked and reviewed adaptation finance flows from international to local levels in Uganda during the financial years 2010/11 and 2013/14. It examined the institutional framework governing climate change adaptation and the different implementation mechanisms of adaptation funds in Apac, Bundibugyo, Nakasongola, Pallisa, and Mbale. This involved tracking four projects: National Adaptation Programme of Action (NAPA) pilots, Territorial Approach to Climate Change (TACC), Agricultural Adaptation to Climate Change in Uganda, and Sustainable Land Management (SLM).

Defining Adaptation Finance

Although adaptation finance is well understood at the international level, there is no common definition for “adaptation finance” at the national and local levels in Uganda. In most cases, “adaptation” activities cannot be distinguished from regular “development” activities

because of the close relationship between the two. Interventions on the ground are not explicitly directed to climate change adaptation, but rather to livelihood enhancement. Low levels of transparency and reluctance of implementing agencies to disclose information on how funds were being spent makes it hard to ascertain the effectiveness of adaptation funds.

The Challenge at Hand

Between 2010 and 2012, more than USD 264 million in adaptation funds reached Uganda. Data from international sources such as OECD show that the bulk of this was provided in Official Development Assistance (ODA) through European countries as well as US and EU institutions. However, it is difficult to accurately determine how much climate adaptation finance is actually available within Uganda, largely because the country does not have systems in place that report on the delivery of adaptation finance. There are myriad recipients of climate adaptation funds in Uganda, though information on their sources is not consolidated. The research team found serious difficulties in accessing financial data for most adaptation funds at the national and local levels. They also experienced challenges related to poor documentation and less involvement of beneficiaries in accountability of funds.

There are few adaptation projects administered through public channels in the five districts. The NAPA was piloted in, Bundibugyo, Nakasongola, and Pallisa, and funded by the Royal Danish Embassy in Kampala through the Climate Change Department for the financial year 2011/12. In Mbale the USD 1million Territorial Approach to Climate Change (TACC) project was funded by DANIDA, DFID, and UNDP. It was implemented in Mbale, Manafwa, and Bududa in 2012 and 2013. In Nakasongola, there were two projects: a) the Euro

14 million Agricultural Adaptation to Climate Change (AACC) project, which was, funded by the EU and the Royal Belgium government and b) the USD 4 million Sustainable Land Management (SLM) project, which was implemented at the national level and in five districts (main: USD 2.2 million and GEF: USD 1.8 million).

Climate change adaptation funds are channelled to the local levels through central government transfers, donor projects, the private sector, and NGOs. However, the interaction between these sources of funding is minimal. Projects are implemented as standalone and usually use their own financial frameworks and systems. In most cases, the project beneficiaries are almost the same as those benefiting from other development projects.

If adaptation funds are to help the most vulnerable people, some prior understanding of vulnerability is needed, in terms of both dimensions and location of vulnerable groups. In all four projects, of vulnerability assessments were done before project design. The projects tried to address the needs of the communities to a large extent, although the implementation may have not positively affected the vulnerable groups.

Limited Progress is Underway

In 2007, Uganda developed the National Adaptation Programs of Action (NAPA) to prioritize activities that respond to urgent needs to adapt to climate change – those for which further delay would increase vulnerability and/or costs. However, apart from the wetlands conditional grant, the central government budget transfers do not include any funding for implementation of NAPA's priorities.

While responsibility for coordinating climate change activities rests with the central government, the local level is where implementation is meant to take place. The National Climate Change Policy (NCCP) envisages that local

governments will play a key role in implementation and coordination of its objectives. District-level structures are provided for in the policy, however, it is less clear how they are linked to national and lower-level structures to deliver on climate change actions. Although different technical and political officials within local governments recognize climate change as an issue, it is not financially prioritized, resulting in limited staff and financial resources.

Most local authorities and non-government stakeholders interviewed during this research have a very limited awareness on adaptation options. This means they are not being as effective as they could be in holding the central government, donors, and international agencies to account on the quality or appropriateness of adaptation projects.

Key Challenges

There is evidence of the weak link between national policies and local intervention for adaptation. Local governments have little awareness of national planning instruments such as the NAPA, which could help guide local planning. Decisions about adaptation priorities and where projects should focus are taken at different scales. They can be centralized, involving a narrow range of national government agencies, or decentralized to local government and/or involve CBOs and communities. On other hand, local priorities are not moving up to the national level to influence policies. This means that, even when local needs are identified, there may not be action to address them.

Generally, community participation was not evident in the design of the projects studied; however, there was some level of involvement in the implementation. In three projects (SLM, NAPAs and TACC), communities were involved in implementation, especially through the small grant scheme, where they proposed activities through

developing proposals.

One of the accountability gaps is the lack of horizontal and vertical coordination between funders and implementers. NGOs and local governments with adaptation projects demonstrated very limited awareness of other initiatives implemented in the district.

Budget allocations to climate change activities at the district level are insignificant because these issues are considered crosscutting, and the budgeting process still follows a strictly sector based approach. This is further worsened by the fact that the local governments is entirely dependent on central government transfers, which have to mirror central government priorities. The role of sub-county administration in the climate change framework has been largely marginal.

Key findings

There were 348 total reported projects for 2010 – 2012, from which 83 were reclassified as not adaptation relevant. The revision criteria included looking into the project title, project description, and sector tag of the whole list of projects

Adaptation finance reported to Uganda reached more than USD 264 million between 2010-2012. Most of such funding came through bilateral Official Development Assistance (ODA), particularly from European countries, with Germany, Denmark, and Sweden being the biggest donors. The water sector took the largest share representing 50%, while agriculture and disaster prevention each took 14%.

The chart of accounts of the Ugandan budget system does not contain a climate change marker. However, a recent analysis of the budget showed that Uganda is financing climate-relevant action that represents between 0.15-0.17percent of the country's GDP (during fiscal years 2009/10-2011/12), with a medium and low relevance in

relation to climate change (Tumushabe, et al., 2013).

Budget allocations to climate change activities at the district level are insignificant because during planning, climate issues are considered as crosscutting, while the budgeting process still follows a strictly sector-based approach.

There are overlapping areas in the institutional set up, which raise serious issues of resource duplication and conflict in its implementation. For instance, within MWE, the Department of Environmental Affairs (DEA) and the National Environment Management Authority (NEMA) share the responsibility of ensuring the rational and sustainable utilization, development, and effective management of water and environment resources

There is evidence of a weak link between national policies and local intervention for adaptation. Local governments have little awareness of national planning instruments such as the NAPA. In addition, they have minimal capacity to implement climate change projects.

Most of the adaptation projects and interventions were largely top-down; with minimal involvement of local government. However, where the local government was involved in the design and implementation, sustainability improved.

Most projects go through central government agencies, which take a large share of the funds and leave little for the local beneficiaries.

Uganda does not have systems in place that report on the delivery of adaptation finance. There are myriad recipients of climate adaptation funds in Uganda, though information on their sources is not consolidated.

This study recommends the following:

Within the central government

- Streamline coordination and reporting mechanisms to facilitate effective implementation of adaptation activities.
- Empower the Climate Change Department to develop a framework for gathering project information.
- Increase funding to local governments to facilitate adoption and monitoring of meaningful interventions.
- Review the structure and expertise of local governments to cater for climate change mainstreaming capacity needs.
- Decentralize the National Climate Change Advisory Committee to coordinate and harmonise climate change funding at the local government level
- Help build capacities of local governments so that they are able to undertake vulnerability assessments, design projects with community participation, and report on spending in a clear, transparent way.
- Ensure adequate representation and effective participation by households or local communities in the decentralized governance system to increase sustainability of development initiatives.

Within the local government

Increase participation of the sub-counties, both in planning at the local government level and project implementation by CSOs.

- Empower communities to enable faster delivery of adaptation projects.
- Encourage community/beneficiary contribution or cost sharing in ensuring ownership and sustainability of projects.
- Make financial information publicly available. This can be done through publishing information on websites, public notice boards at local government offices, press releases, and monthly announcements on the radios.
- Promote the use and sharing of vulnerability information in the design of adaptation activities at sub-national level.
- Mainstream environment issues in sector budgets based on some percentage. Alternatively, have the environment and natural resources sector, pool, and manage the different funds from the other sectors.
- Build the capacity of local governments to effectively undertake vulnerability assessments, design projects with community participation, and report on spending in a clear transparent way.
- Ensure adequate representation and effective participation of local communities in project design and implementation to increase sustainability of development initiatives.

Development Partners

- Document, consolidate, and make adaptation activities and funding accessible to both to government and CSOs.

- Ensure timely disbursement of adaptation funds to ensure effective implementation of programmes.
- Ensure that the procurement process does not impede implementation.
- Involve local governments in the administration of the funds to increase the availability of financial information and increase accountability of funds.
- Facilitate capacity building at the local level to help local governments and other implementers of adaptation projects undertake vulnerability assessments, design projects with community participation, and report on spending in a clear transparent way.
- Support implementation of long-term programmes rather than one-off projects, since these tend to be insufficient and fail to address long-term climate change challenges.

- Empower local communities with information to shift attitudes about climate change.

The study concludes that:

Whereas adaptation finance is well understood at international level, there is no common definition for “adaptation finance” both national and local levels in Uganda. In most cases, “adaptation” activities cannot be distinguished from regular “development” activities because of the close relationship between the two. Sub national governments continue to be underfunded in implementing climate change adaptation work. Poor levels of transparency and reluctance to disclose information on how funds were being spent by most implementing agencies makes it hard to ascertain the effectiveness of adaptation funds.

Civil Society Organization (CSOs)

- Provide greater capacity-building to help local governments and other implementers of adaptation projects undertake vulnerability assessments, design projects with community participation, and report on spending in a clear transparent way.
- Ensure adequate representation and effective participation by households or local communities in the decentralized governance system to increase sustainability of development initiatives.
- Track adaptation spending and create demand for public accountability.

SECTION 1: INTRODUCTION AND METHODOLOGY

1.1 Background

The amount of international climate finance approved to help developing countries address the impacts of climate change increased eightfold between 2008 and 2012¹. Much of this funding has been mobilized as developed countries seek to meet commitments to provide scaled up finance to developing countries under the UN Framework Convention on Climate Change (UNFCCC). Developing country governments have increased their own spending to adapt to climate change and strengthen resilience, recognizing the risks that climate change already poses to their people and economies.

There are currently efforts to study climate finance in Uganda by civil society organizations; however, these studies are limited to specific objectives and scope. There are a lot of unknowns on climate finance in Uganda that need to be unpacked right from the national budget to the lower government planning frameworks. Little is known about financing climate change adaptation activities, as well as its effectiveness in delivery. There is little knowledge about who is funding climate change adaptation activities, whom is involved, or what mechanisms are used for climate adaptation financing. Even when information is available, it is possible that the results of intended adaptation efforts may not be proportional with the financial flows earmarked for climate relevant activities, in part, because of interruptions in the expenditure chain.

The poorest in any society are often the most vulnerable to the impacts of climate change. There is greater awareness of national-level efforts to address climate change, but strong local financial delivery mechanism (Bird, N., 2012) is also needed. Understanding institutional dynamics, the ways in which local stakeholders access financial resources for adaptation, and how these resources flow from national-to-local levels is key to promoting the effective delivery of adaptation finance (Terpstra, Carvalho, and Wilkinson, 2013).

In light of this, the Climate Action Network Uganda (CAN-U) commissioned the Adaptation Finance² Tracking Study to examine adaptation finance in Uganda, particularly looking into the mechanisms and implementation approaches at the sub-national level. Specific objectives include: mapping adaptation finance flows in Uganda, looking into recipient institutions, and identifying the extent to which the funds reach vulnerable groups. The results of the study would enable stakeholders to streamline frameworks that meet high standards of transparency and accountability in climate finance.

1.2 Objectives

Specifically, the study:

- a) Analyzed the policy, institutional, and legal framework for climate change adaptation in Uganda
- b) Reviewed and analyzed international climate change adaptation financing

¹ The volume of public climate finance spent on approved adaptation projects has increased from \$100 million in 2008 to nearly \$813 million in 2012 according to Climate Funds Update. Note that these figures only include approved projects (rather than dedicated finance) and

does not include official flows or bilateral flows of development assistance.

² The UN Framework Convention on Climate Change (UNFCCC) defines adaptation as actions taken to help communities and ecosystems cope with changing climate condition. <http://unfccc.int/2860.php>

- c) Examined adaptation financing mechanisms and delivery at the sub-national level in five districts
- d) Analyzed local institutions' capacity to implement adaptation projects
- e) Provided recommendation for improvement in climate change adaptation financing in Uganda

influence decisions that affect them

- **Equity**
Efforts are made to address social inequalities and promote equality

1.3 Assessing accountability

Adaptation finance is complicated since it involves a number of different stakeholders and processes at different scales. This makes it a challenge to define accountability in terms that are applicable across multiple scales and across different relationships. However, a review of the aid effectiveness (OECD, 2008), good governance, and climate finance (Schalatek, L. and N. Bird, 2012) literature leads us to identify five principles that reflect on aspects of accountability, and can help assess how well adaptation finance is flowing:

- **Transparency**
Information is made available that allows stakeholders to understand the use of funding and the activities that are being carried-out
- **Ownership**
Stakeholders at the national and sub-national levels decide what actions need to be taken
- **Responsiveness**
Resources are directed in response to the needs and interests of the most vulnerable people and communities
- **Participation**
Processes allow stakeholders (government, private sector, civil society, and affected communities) to provide informed, timely, and meaningful input and

1.4 Methodology

The study analyzed quantitative and qualitative information. This allowed the researchers to validate the quantitative findings with the experiences of stakeholders.

Quantitative and qualitative information was integrated in an iterative manner so that the researchers could identify why and how the observed trends emerged, ensuring the findings are useful for pinpointing and articulating appropriate recommendations.

Quantitative methods

This involved the collection and review of primary and secondary data and analytical studies from various sources, including international databases, government documents, NAPA records, project documents, evaluations, as well as reports on sub-national level financial mechanisms. International finances were analyzed using data from the OECD Credit Reporting System projects for Uganda 2010 -2012³, the Least Developed Countries Fund (LDCF)⁴, and the Global Climate Change Alliance⁵. At the national level, data was collected from the Climate Change Department in the Ministry of Water and Environment (MWE), UNDP, FAO, and district local governments to identify the amount approved and disbursed to the implementing agencies in the five districts.

The study covered financial years (2010/11 - 2013/14) when projects were implemented. In tracking the funds,

³ <http://stats.oecd.org/Index.aspx?datasetcode=CRS1>

⁴ <http://www.thegef.org/gef/LDCF>

⁵ <http://www.gcca.eu/>

the research team traced the flow of funds from the national level (Climate Change Department, UNDP, and FAO) to the implementing partners, local government levels, and final beneficiaries.

Qualitative methods

Key informant interviews were conducted at:

- National level with UNDP (Energy and Environment, SLM Manager), FAO (Project Manager GCCA), Climate Change Department, CAN-U members and other stakeholders.
- Local government levels with: a) Mbale District (CAO, Deputy CAO, District Planner, District Production Officer, District Environment Officer, Head ENR, District Senior Environment Officer, District ENR Committee, S/C Chiefs of Namanyonyi & Bungokho S/C), b) Apac district (Team leader- NAPA, Coordinator- ASDI, DCDO, District Environment Officer, District ENR Officer), c) Nakasongola district (CAO, District Environment Officer, District Agricultural Officer, Secretary ENR, V/Chairperson LC III- Nabiswera S/C, District Forest Officer, District Water Officer, District Focal Person, GCCA, Chairman War Veterans, Kalungu S/C, V/Chairman LC III, Kalungu S/C, S/C Chief, Kalungu S/C, and District Production Officer), d) Bundibugyo district (Natural Resources Officer, CDO, Agricultural Officer, LC III Chairman – Harugale S/C, Sub-County NAADS Coordinator);
- NGOs (DENIVA, ASCI, IUCN, BRDC, Mbale CAP, Salem Brotherhood, Uganda Red Cross- Mbale, BCC, World Vision, Uganda Women Concern Ministry, NADIFA, NAFETIPIPIE).

Focus group discussions (FGDs) with beneficiaries in Harugale Sub-County, (Bundibugyo) Kyangogolo

Community, Ndaiga community, Kalungi Sub County, Kakoge Sub County in (Nakasongola). The FGDs were conducted with men and women of varied ages where the adaptation projects were implemented. They were conducted in local languages to ensure participation of all respondents.

1.5 Selection of districts

In selecting funds to track, we identified specific districts and then followed specific adaptation programmes or projects. Five districts were selected based on the following criteria:

- Apac, Bundibugyo, Nakasongola, and Pallisa: NAPA pilot districts
- Mbale: Part of the Uganda NAPA preparation process; a highland ecosystem; and a high possibility of adaptation funding; likelihood of cooperative local government officials.
- Nakasongola: Part of the Uganda NAPA preparation process; a semi-arid; drought-prone district; a cattle corridor ecosystem (livestock based systems); and a high possibility of adaptation funding

1.6 Limitations of the study

While we attempted to track adaptation finance and analyse institutional capacity in Uganda, this should be taken as a narrow attempt for a number of reasons. First, while there could be a commitment by the donor community to release information at the international level, there are minimal efforts to do so at local levels. Second, there are myriad recipients of climate adaptation funds in Uganda, but information on their sources is not consolidated. However given these limitations, the study focused on international databases to identify adaptation financing for Uganda. At the national level, the focus was on the adaptation projects in the five districts mentioned earlier.

SECTION 2: POLICY AND INSTITUTIONAL SETTING

2.1 National climate change policy

A major milestone in Uganda's effort to address climate change has been the development of the National Climate Change Policy (NCCP), which:

- Identifies and promotes common policy priorities to address climate change; adaptation policy responses; mitigation policy responses; and the monitoring, detection, attribution, and prediction of policy responses
- Supports the integration of climate change issues into planning, decision making, and investments in all sectors and trans-sectoral themes through appropriate institutional arrangements
- Facilitates the mobilization of financial resources to address climate change

The policy emphasizes adaptation as a top priority for Uganda. It identifies agriculture and livestock, fisheries and aquaculture, transport and works, biodiversity, wildlife and tourism, energy, human settlements and disaster risk management as either sector-specific or crosscutting in nature.

The policy includes a costed implementation strategy, which provides cost estimates for actions to be undertaken under the policy's strategies within 5 to 15 years. **Overall, the implementation strategy estimates that a total of USD3.9 billion will be required over the next 15 years to fund climate change actions in Uganda (at a nominal level of USD258 million per year). This scale of investment is**

approximately 1.6% of annual GDP.

2.2 Institutional arrangements in the climate change policy

The NCCP maps out key institutions and departments involved in the implementation and coordination of climate change activities.

The overall function of the **National Climate Change Policy Committee (NCCPC)** is to coordinate the implementation of the NCCP and evaluate the relevance of the policy in line with the priority needs, progress of expected outcomes, resource mobilisation and sustainability of results, among others. The committee is chaired by the Prime Minister and comprise of Ministers from various departments at national level.

The **National Climate Change Advisory Committee (NCCAC)** is chaired by the Minister of Water and Environment with technical representatives from various government departments at national level, representatives from the private sector, civil society organizations, academia and district authorities. Its mandate will be to provide technical input to the National Climate Change Policy Committee.

The key national institutions that are tasked with ensuring NCCP implementation are the Ministry of Water and Environment (MWE); Ministry of Finance, Planning, and Economic Development (MoFPED); Ministry of Local Government (MoLG); and National Planning Authority (NPA⁶). Each ministry, department, and agency is expected to designate a departmental focal point and is accountable

⁶ The NPA was established under Article 125 of the Constitution, mandated to produce comprehensive and integrated development plans for the country.

for the implementation of the prescribed policy responses that concern it.

Key agencies under the MWE include the Climate Change Department (CCD), Uganda National Meteorological Authority (UNMA), Directorate of Water Resources Management (DWRM), and Directorate of Water Development (DWD).

The **Climate Change Department** is charged with providing guidance to the various ministries, departments, and agencies to ensure consistency. Its other functions include, in part, acting as an information clearinghouse on climate change concerns, providing policy and strategic advice on climate change, and supporting communication and outreach on climate change issues.

The **Uganda National Meteorological Authority (UNMA)** department is mandated with monitoring weather patterns and climate, exchanging data/information and products, and issuing advice.

The **Directorate of Water Resources Management** and **Directorate of Water Development** take the lead on climate change vulnerability assessment and adaptation in the water sector.

The **MoFPED** is tasked with ensuring effective climate finance delivery. It must ensure that national-, sectoral-, and district-level budgets and indicative planning figures integrate climate change through appropriate provisions of the NCCP further ensure that resource use is in line with expected and actual progress. The MoFPED further facilitates the introduction of relevant financial mechanisms and tools to relevant stakeholders to support financial resource mobilisation and investment for the implementation of the NCCP (Ministry of Water and Environment, 2012)

The **National Planning Authority** ensures that the MDAs concerned integrate climate change through adequate provisions in their annual work plans and ensure that these

agreed work plans are implemented (ibid).

The **MoLG** provides guidance to the districts to translate NCCP priorities and implementation strategies into coherent plans at the district level; ensure that districts make adequate provisions in their development plans, annual plans, and budgets; and ensure that these are acted upon as planned.

The **Parliamentary Forum on Climate Change** (PFCC) was established in 2008 with a mandate of promoting awareness and action about the effects of climate change and ensuring society-wide resilience against climate change through targeted capacity building (Parliament, 2013).

The **Office of the Prime Minister** will take the lead in climate change implementation under the disaster risk management sector. Uganda has a national disaster preparedness and management policy that is intended to deal with disaster management, including climate change disasters.

The institutional arrangement at the local level is fairly similar to that at the national level. At the district level, the climate change focal offices is the Natural Resources Department. This department is under the District Authorities as well as the Climate Change Department in the MWE. The District Local Council (DLC) is responsible for formulating policies on climate change, implementing said policies, and ensuring effective delivery of climate finance. At the district level, the Environment Committees are the equivalent of the National Climate Change Advisory Committee (NCCAC) at national level. Similarly, the Natural Resource Department is the equivalent of MWE while the district departments are comparable to the various ministries with which they are affiliated.

The NCCP envisions that local governments will play a key role in implementation and coordination of its objectives. Unlike other climate change policies that have been implemented in parallel with existing local decentralization

structures, the NCCP is compliant with the Decentralization policy⁷ (see Table 2.1). The NCCP is fully integrated with local government structures. This will greatly enhance the chances to establish local forums for dialogue and co-production of the ideas needed to address rural people's challenges in adapting to climate change (Friis-Hansen, Bashaasha and Aben, 2013).

the NCCP as indicated below

- Though the policy does include a costed implementation strategy, it does not say much in regard to financing its implementation. Five sources for financing climate change actions are mentioned (Ministry of Water and

Table 2.1: Compliance of Climate Change Policies with Decentralization

Policy	Compliance with decentralization?	Analysis why
Emergency response	<ul style="list-style-type: none"> ▪ No. Centralized coordination with concentrated local institutions is not integrated into local government. ▪ All decisions with regard to the coordination of emergency assistance are centralized within the OPM's office. 	<ul style="list-style-type: none"> ▪ Central government needs to be seen as acting. ▪ Resettlement camps are highly politically sensitive.
NAPA	<ul style="list-style-type: none"> ▪ No. Implemented through projects managed by central ministries in parallel with local government. 	<ul style="list-style-type: none"> ▪ The driver of reform was to become eligible to receive UN funding for climate change projects. Thus, there was little more than token instrumental consultation among so-called stakeholders outside the central ministries and UN consultants.
NCCP	<ul style="list-style-type: none"> ▪ Yes. Implementation of policies that are fully integrated with local government structures. 	<ul style="list-style-type: none"> ▪ Policy formulation process guided by a joint government–multi-donor committee. The policy reflects analysis rather than funding availability.

Source: Friis-Hansen, Bashaasha and Aben (2013)

2.3 Weaknesses in the current policy and institutional framework

There are a number of loopholes and deficiencies that could be addressed for more effective implementation of

Environment, 2012). However, there is little indication given of their likely scale of contribution.

- There are overlapping areas in the institutional set up, which raise serious issues of resource duplication

⁷ Under decentralisation, policy implementation and service delivery are the responsibilities of local governments, while the central government is responsible for setting national goals and priorities through policy, standards, and resource allocation so as to deliver services to their populations

and conflict in its implementation. For instance, within MWE, the Department of Environmental Affairs (DEA) and the National Environment Management Authority (NEMA) share the responsibility of ensuring the rational and sustainable utilisation, development, and effective management of water and environment resources.

- The CCD is so grossly understaffed in its current state that it doesn't possess the required capacity to perform its mandate.
- No guidance is provided on the capacity of the MoFPED to efficiently monitor reports from other ministries and agencies to ensure that resource use is in line with NCCP expectations (Tumushabe, et al., 2013). This also applies to the other government institutions with a role to play in the NCCP implementation strategy. Institutional roles should be made clear to improve the coordination and accountability of policy implementation.
- Since the Parliamentary Forum on Climate Change (PFCC) is outside of Parliament's formal structures of engagement on climate change issues, it does not have a clear role in the implementation of the policy. Given that Parliament is made up of relevant committees such as the Committee on Environment and Natural Resources, such structures could be recognized and strengthened, for more effective implementation of the policy.
- In principle, the implementation framework for the NCCP bridges the gap between policy and practice. However, it is not entirely clear how district-level structures are linked to the national-level structure and the lower (sub-county)- level structures to deliver on climate change actions (Friis-Hansen, Bashaasha and Aben, 2013).
- There is evidence of the weak link between national policies and local intervention for adaptation. Local governments have little awareness of national planning

instruments such as the NAPA. Thus, these are not guiding local planning. On the other hand, local priorities are not moving up to the national level to influence policies. This means that, even when local needs are identified, there may not be corresponding action to address them.

- Although technical staff at district and sub-county levels are aware of the impact of climate change, it is not prioritized, resulting in limited staff and financial resources. Implementation of climate change activities is largely funded by the central government through a conditional grant that represents less than 0.1 percent of total central government transfers, which are for very specific purposes and cannot be re-allocated as needs change. Without adequate local financial revenues, elected officials are unable to prioritize climate change issues.

“...there is no specific funding for climate change in the district, although the Peace Recovery and Development Plan (PRDP) allocates some funds for the Environmental Department. However, the funding is very minimal. For instance, out of UGX 1.9 bn of PRDP funds, only UGX 7 million was earmarked for the Environmental Department in FY 2014/15” - District Official, Mbale district local government

- Although crosscutting climate change issues are being mainstreamed into the objectives and activities of other sectors at the planning stage, there is often no corresponding budget allocation. Budget allocations to climate change activities at the district level are insignificant because during planning, climate issues are considered crosscutting, while the budgeting process still follows a strictly sector-based approach. Unless guidance on how to incorporate climate change into planning and budgeting is provided to district-level political leaders and planners, climate change issues may not be pursued appropriately.

“...mainstreaming of the environment in sectors is done on paper, but not in funding; most sectors only consider their priorities.” - District Official, Mbale district local government

“...underfunding of the ENR sector is largely due to the policymakers in government who don’t appreciate the issue of climate change. Right from the central government, ENR is marginalized, and the same situation is translated at the local government level. During district budget conferences, issues of climate change are mentioned, but meager funds are allocated at the end of the day. The political priorities determine the budget allocation and ENR is not a key priority of the district leadership.” - District Official, Mbale district local government

- Failure by most funders to build the capacity of local institutions
- Lack of analysis tools for integrating climate change into development plans and budgets

“...the sub county has very little funding for the environment. We only allocate about UGX300,000 (= USD 120) from local revenues (we don’t get any funding from the central government) for mainly sensitization and enforcement of environmental regulations. Through the LGMSD funds, they allocated UGX700,000 for tree planting.”
– S/C Chief, Namanyonyi, Mbale district

- In all the districts studied, it was evident that they have minimal capacity to implement climate change projects. In fact at the sub-county level, there are no explicit climate change activities apart from distribution of tree seedling to interested community members. This is mainly due to:
 - Minimal capacity due to meagre funding and low staffing
 - Lack of action from top leadership on addressing climate change
 - Apathy by most leaders who think the solution should come from national government, donors, or NGOs
 - Personalization of projects; it was evident during interviews that district officials implement projects individually with minimal involvement of other officials.
 - Sometime mistrust between the political and technical wings in planning and management of climate change projects (i.e., delays in implementation of small-scale irrigation in Nakasongola due to disagreements in approach)
- In all the districts studied, there are disaster management committees. However, they are not fully functional due to inadequate funding. Therefore, Uganda is still inadequately prepared to deal with climate change-related disasters.

SECTION 3: INTERNATIONAL ADAPTATION FINANCE

3.1 Main sources of international adaptation finance in Uganda

International adaptation finance information was obtained from looking into OECD's Credit Reporting System (CRS) database, as well as the database for the UNDP projects, and information from Dedicated Climate Funds for the period 2010-2012. The analysis only took into account those projects that were classified by the donors as having a primary or significant focus on adaptation. A conservative revision of such classification was done only for those cases where the sector seemed not climate relevant and when there was no information on the title or description to support the Rio Marker Adaptation classification⁸. The research team looked into both commitments and disbursements. For defining activities, information from the databases and publicly available information was used to complete some of the missing data.

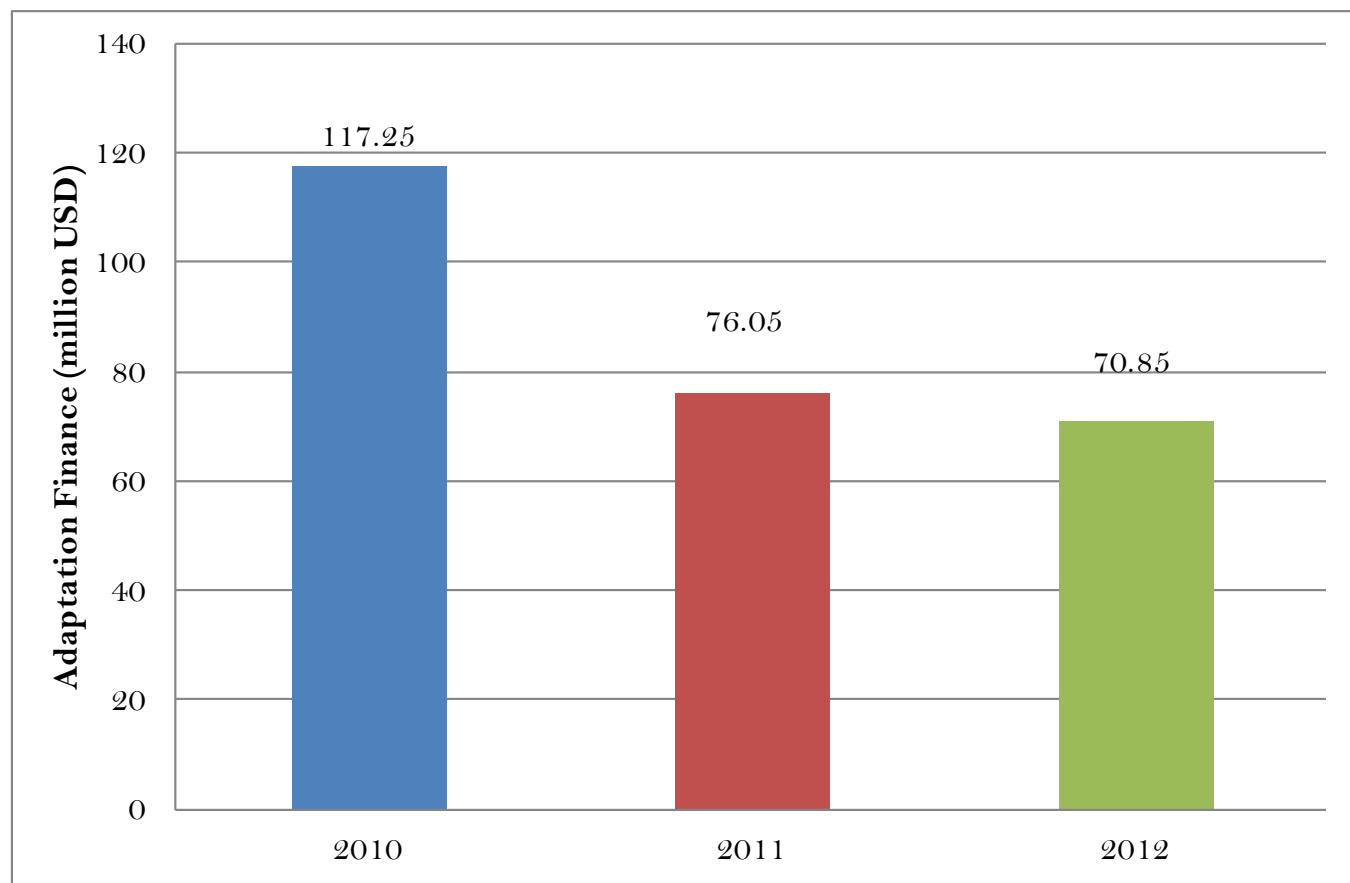
Adaptation finance reported to Uganda reached more than USD 264 million between 2010-2012. Most of such funding comes through bilateral Official Development Assistance (ODA), particularly from European countries, with Germany, Denmark, and Sweden being the biggest donors. US assistance also represents a significant share, followed by Norway, the EU, and multilateral dedicated climate funds.

The AFAl team also conducted a revision of the reported adaptation finance to check if the reported projects were actually adaptation relevant. There were 348 total reported

projects for 2010 – 2012, from which 83 were reclassified as not adaptation relevant. The revision criteria included looking into the project title, project description, and sector tag of the whole list of projects.

⁸ The Rio marker on climate change was established by the OECD Development Assistance Committee (DAC) to track aid flows that support the implementation of the Convention on Climate Change. Rio markers are purpose-based and identify those activities that intend to address climate concerns (significant or principal). Rio markers give an indication of policy objectives and are assigned at project level.

Figure 3.1: Total Funding Uganda Reported as Adaptation Finance by International Donor Community



Source: Derived from research data.

The reduction in the number of projects was mainly driven by misidentification of climate finance or projects without a proper title or description. Also, some projects were tagged with a Rio Marker 1, but their climate change relevance was unclear.

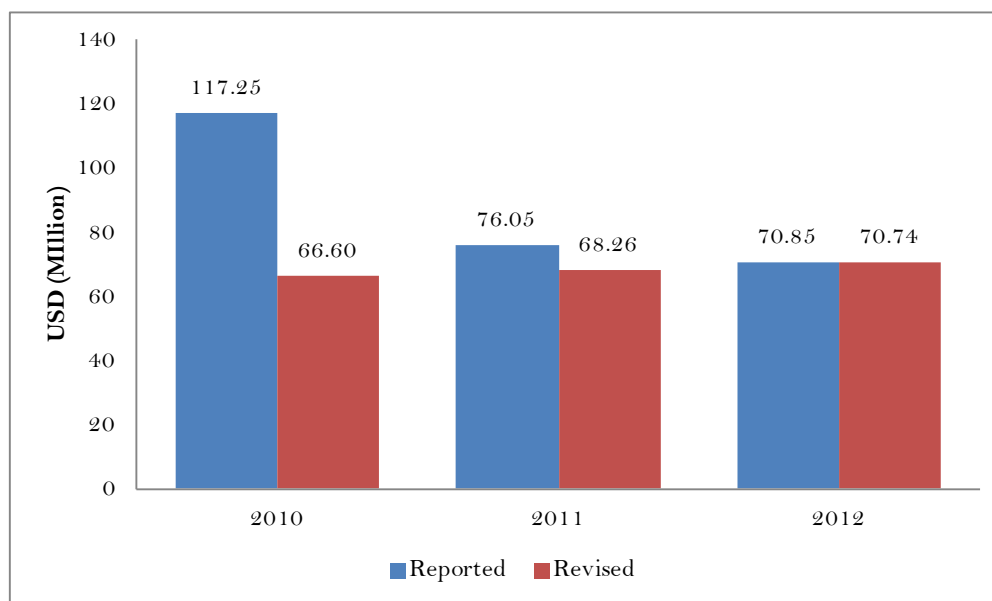
(For example, projects for an orphanage in Uganda, audit projects, or frameworks for democratic participation and civil society.) The 19 Ugandan projects from the UNDP, CFU, and ODI-WRI Fast Start Finance databases were all unmarked, but only one was not considered climate relevant.

Table 3.1: Revision process of the Rio Markers for the 2010- 2012 period

	Projects with Rio Marker 1 Reported	Projects with Rio Marker 1 Revised	Projects Rio Marker 2 Reported	Projects Rio Marker 2 Revised	Unmarked	Unmarked Revised
2010	61 (USD84.5 million)	38 (USD45.9 million)	14 (USD6.8 million)	13 (USD20.6 million)	2	RM0: 1 RM2: 1
2011	110 (USD41.5 million)	96 (USD36.7 million)	28(USD31.5 million)	27(USD31.5 million)	14	RM1: 12 RM2:2
2012	88 (USD61.6 million)	70 (USD63.5 million)	25(USD2.1 million)	12(USD7.2 million)	3	RM1: 1 RM2: 2

When doing this revision of the Rio Markers, the total adaptation funding for the same period was reduced to USD 58.5 million.

Figure 3.2: Adaptation Finance Reported vs. Revised



Source: Derived from research data

When analyzing the disbursement flows, European institutions and countries⁹ remain as the main donors, providing 93% of the USD 168.3 million disbursed to Uganda. Disbursement information is important as it shows when the money is already transferred to the country. However, information on disbursement is less transparent than it is for commitments, and no clear information is available for the United States¹⁰ or the dedicated climate funds.¹¹

Similar to the commitments, the disbursement flows to Uganda are also led by European institutions and countries.

3.2 Sectoral distribution of international adaptation finance in Uganda

The research team also examined the distribution of the committed adaptation finance, with water supply and sanitation receiving 50% of the total share, followed

⁹ EU intuitions, Denmark, Sweden, Germany, Ireland, Belgium, Norway, Italy, United Kingdom, Austria, and Iceland. Non-European countries providing climate finance to Uganda are Japan, Australia, Canada, Korea, and the United States.

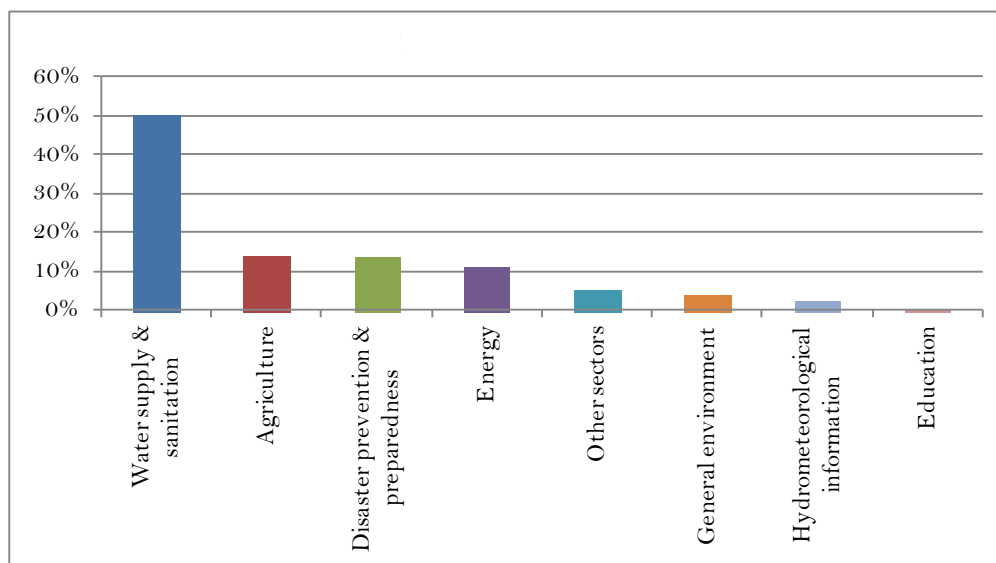
¹⁰ Information on project disbursement funded by the United States appears only in the Fast Start Finance study conducted by WRI and ODI in 2013 (Fransen T et al, 2013). Although the Fast Start Finance period is also 2010-2012, project information is not available in the OECD-CRS database.

¹¹ Climate Funds Update based its reports on publicly available information where disbursement information is scarce.

by agriculture (14%) and disaster prevention and preparedness (14%). However, according to the Uganda National Adaptation Programmes of Action, the key prioritized projects include agriculture, forestry, water, and wildlife.

sanitation and water for production. DANIDA also provides technical assistance to the sector (USD 2 million). Germany also supports this sector, mainly through its Development Bank KfW, with funding for the Water Sector Development Programme II supporting the extension and construction of water plants in Kampala (USD 28 million) and water and sanitation development facilities in Northern and Eastern

Figure 3.3: Main sector-based commitments made in 2010-2012



Source: Derived from research data

Denmark and Germany are the main donors for the water supply and sanitation sector. The Danish International Development Agency (DANIDA)¹² funds projects that represent 93% of the sectoral funding for the period under analysis. The Sector Budget Support project (USD 37 million) focused on the provision of rural water and

Uganda (USD 27 million).

The Least Developed Countries Fund (LDCF) also contributes to this sector with the Building Resilience to Climate Change in the Water and Sanitation Sector project (USD 8.3 million)¹³.

¹² DANIDA have been supporting this sector since 1991. The current phase is for the period 2008-2013 and is a joint effort with other development partners in the country (Ministry of Foreign Affairs of Denmark, 2014).

¹³ This project also contributes to the AfDB Water Supply and Sanitation Programme (WSSP) (GEF, 2014).

USD 30 million has been allocated to the agricultural sector.

- The Global Climate Change Alliance (GCCA) adaptation programme is focused on strengthening rural livelihoods and food security.
- The Least Developed Countries Fund (LDCF) is working to reduce banana-producing communities' vulnerability to climate change (USD 2.8 million).
- Bilateral funding from Belgium supports U-Growth in fostering job growth in rural areas (USD 2 million).

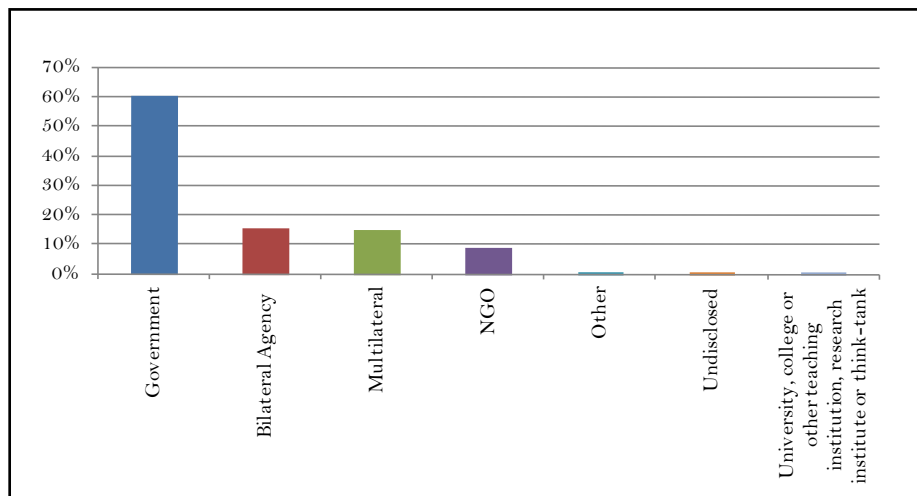
USD 29 million has been allocated for disaster prevention and preparedness.

- US bilateral funding provides 90% of this budget through its Famine Early Warning System Network programme (USD 14 million), which works to reduce food insecurity.
- Germany supports an agriculture-related project in Karamoja (USD 6.7 million).
- Japan's Programme for the Improvement of Capabilities to Cope with Natural Disasters caused by Climate Change (USD 5.7 million) focuses on agriculture.
- The Climate Change Adaptation programme by USAID focused on strengthening disaster risk management in main sectors in Uganda (USD 2.7 million).

3.3 Main recipient organizations of international adaptation finance in Uganda

- The main recipient of the allocated adaptation finance is the government of Uganda (60% of the USD 217 million).
- The Ministry of Water and Environment received 72% of the total allocated to recipient government organizations.
- Bilateral agencies (mainly international development cooperation representations in Uganda) receive approximately 15% of the committed funds.
- Multilateral entities receive 18% of the share, with FAO, managing most of the funding.

Figure 3.4: Main in-country recipients-based commitments made in 2010-2012



Source: Derived from research data

On the disbursement side, whereas the recipient government received the majority of funding for the period analyzed, the second type of recipient were NGOs (16%), including both international and national based organizations.

The analysis in the following two sub-sections is focused on the water supply and sanitation sector.

3.4 Type of activities of international adaptation finance in Uganda

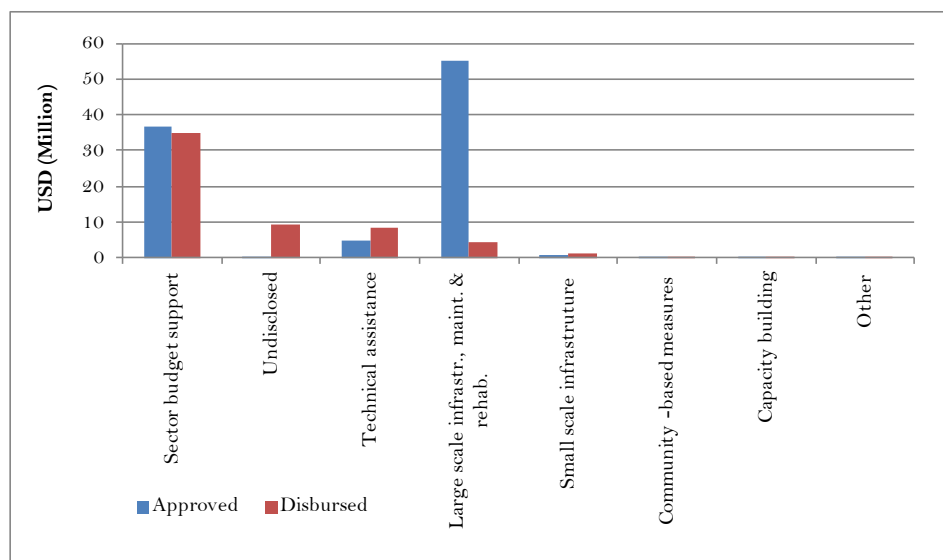
As highlighted in Figure 3.3, the water supply and sanitation sector receives approximately 50% of funds to combat climate change. The AFAl team decided to explore this sector in more detail to understand what types of project and activities are being funded. There are 38 fully climate-relevant projects in this sector, which are classified

according to activity, such as. large- scale infrastructure construction, maintenance, and rehabilitation (55%), mainly in the form of developing water plants and expanding the water network as part of the Water Sector Development Programme; sector budget support (37%); technical assistance; and small-scale infrastructure, such as boreholes digging, water harvesting units, and gravity flow systems.

3.5 Scope of activities of international adaptation finance

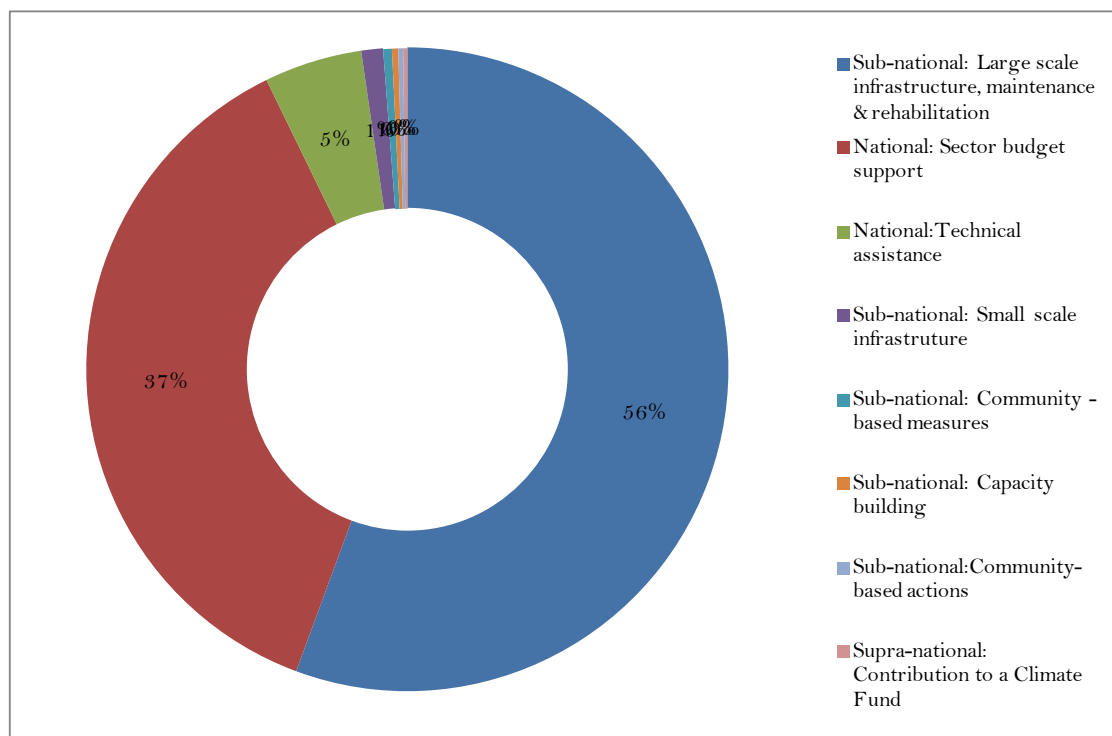
Most of the approved funding for the water supply and sanitation sector has a sub-national focus (58%), as part of the development of the sector at the national level (42%). National activities are only focused on sector budget support and technical assistance. 21 of the 38 projects have a sub-national focus, with activities including large-

Figure 3.5: Main types of activities-based commitments and disbursements made in 2010-2012



Source: Derived from research data

Figure 3.6: Scope of funding-based commitments and disbursements made in 2010-2012



Source: Derived from research data

and small-scale infrastructure and capacity building.

3.6 National information on adaptation finance

The chart of accounts of the Ugandan budget system does not contain a climate change marker. However, a recent analysis of the budget showed that **Uganda is financing climate-relevant action that represents between 0.15-**

0.17% of the country's GDP (during fiscal years 2009/10-2011/12), with a medium and low relevance in relation to climate change (Tumushabe, et al., 2013). Although 48% of the disbursed adaptation funds (60% of the allocated adaptation funds) go to government agencies, not all goes through the national budget, as there are different disbursement modalities.

International supported climate change action has been a concern for both the development partners in Uganda as

well as the national government. In 2011, GIZ commissioned a study to identify the landscape of climate change actors in Uganda. The study included financial information for some of the projects (Verheijen, 2011)¹⁴. In 2012, the Ministry of Finance, Planning, and Economic Development conducted a summary of projects supported and managed outside government systems for the year 2010/2011 (MoFPED, 2012). Also in late 2012, the UNDP commissioned a report for Mapping Environment and Natural Resources Actors Landscape.

A comparison of the different sources shows that there is no universal definition of adaptation finance; and different reports show different sets of projects, and therefore, different estimations of how much adaptation finance has been received by Uganda. Moreover, in the cases when the same projects are identified, they do not show the same amounts (see **Appendix 1** for details). Although the different reports do not cover the same period, all are included within the 2009-2012 period.

14 It included 20 development partners and 78 projects.

SECTION 4: TRACKING LOCAL FUNDS

4.1 Projects Tracked

The research team mapped all the climate change projects being implemented in the five districts, either through public channels or NGOs. However, for tracking, the methodological approach was to identify climate change projects administered through public channels.

In Apac, Bundibugyo, Nakasongola, and Pallisa districts, we tracked the NAPA pilot projects. These pilots were funded by the Royal Danish Embassy in Kampala through the CCD for the financial year 2011/12.

In Mbale, we tracked the Territorial Approach to Climate Change (TACC). The project was implemented between 2010-2013. It was a pilot project for the Global Initiative, “Down to Earth: Territorial Approach to Climate Change,” which was implemented by Mbale DLG in collaboration with the districts of Manafwa and Bududa.

In, addition to the NAPA pilot, we tracked two projects in Nakasongola:

- a) Agricultural Adaptation to Climate Change/GCCA in Uganda. It is a € 14 million project funded by the Irish government through the European Union (EU) and the Belgium government. The EU funding is € 11 million for 4 years (2012-2016) and the Belgium funding is €3 million for 3 years (2013-2015). The project is managed by FAO and implemented through a partnership with MWE.

- b) A five-year Sustainable Land Management (SLM) project funded by UNDP and implemented through the Ministry of Agriculture Animal Industry and Fisheries (2012-2015).

4.2 Implementation mechanisms

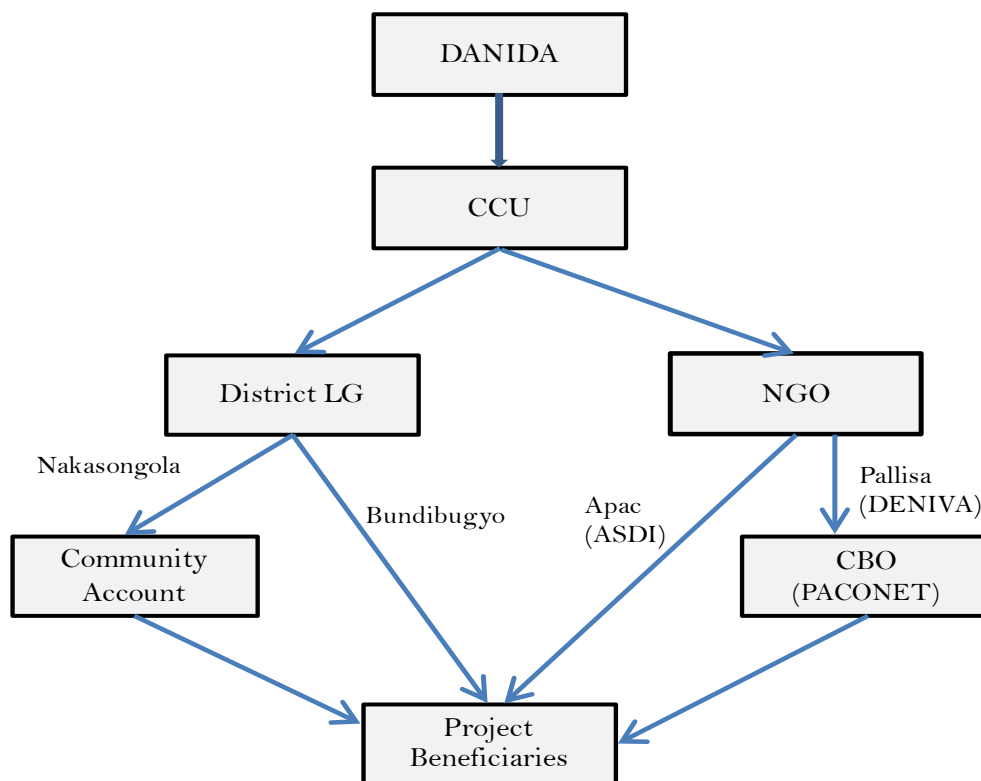
The projects mainly funded the water, environment, and agriculture sector through tree planting (commercial and agro-forestry), bio-gas, improved cook stoves, carbon trade/credit, water dam construction, farmer field schools, rain water harvesting, vulnerability risk assessments, and research (generating knowledge and capacity for climate change adaptation). In addition, learning visits, community sensitization on environment conservation, enforcement of environmental laws, and disaster risk reduction were supported.

The implementation mechanism varied by project as discussed below:

4.2.1 NAPA pilot projects

Size: Each UGX 123,200,000 (≈USD 49,000). The funds were disbursed to the implementing agency in three installments of: 45% (upon signature and submission of the MoU); 40% (upon submission of satisfactory progress report); and 15% (upon submission of an acceptable final report). **Figure 4.1** shows the flow of funds for all the districts. For every allocation to the NAPA pilot districts, 10% of the funds are deducted by CCD for administration.

Figure 4.1: Flow of Funds for NAPA Pilot Projects



Source: Authors after Discussions with CCD and Implementing Agencies

Purpose: To pilot the implementation of the priority areas identified under National Adaptation Programmes of Action (NAPA). A number of activities were implemented including: vulnerability assessments, tree planting, water purification, provision alternative of energy saving technologies, community sensitization, and learning visits (Appendix 2).

Donor(s)/funding agency (ies): Royal Danish Embassy in

Kampala through the Climate Change Department (CCD) in the Ministry of Water and Environment (MWE)

Implementing agency (ies): Agency for Sustainable Development (ASDI) in Apac; Development Network of Indigenous Voluntary Associations (DENIVA) in Pallisa, Production Department Nakasongola District Local Government, and Bundibugyo District Local Government. In Appendix 3, we present the implementation modalities for each of the pilot projects. Comparison of NAPA pilot

implementation mechanisms are presented in **Appendix 4**:

Adaptation relevance: The projects are relevant, since they implemented some of the activities included in the NAPA document such as tree growing, land degradation management, and water for production (irrigation), among others.

Tracking results: In terms of disbursement by the time of phase I of this research (in May 2014), Apac, Bundibugyo, Nakasongola, and Pallisa had received 70%, 85%, 85%, and 85% of the funds, respectively. The balance of the funds were meant to be disbursed after completion of project activities, however, plans were underway to amend the agreement so that the final installment could be availed to enable the completion of the projects. **Table 4.1** shows the disbursed amounts to the four pilot districts.

In Apac, ASDI received the first installment of UGX67,760,000 on January 20, 2012 and a second installment of UGX 18,480,000 on October 10, 2012. The funds were allocated, spent, and accounted for by ASDI, which had a separate bank account for the NAPA project funds. The signatories to the bank account were the district chief administrative officer, the ASDI board chair, and the project coordinator. The steering committee participated in the implementation of the project by launching specific activities such as tree distribution.

The financial accountability followed the ASDI internal accountability/audit mechanisms. However, the supervision of the NAPA activities was done by the steering committee. Most of the funds were spent on the tree nursery followed by public awareness and campaigns, hygiene and sanitation education, and procurement of a

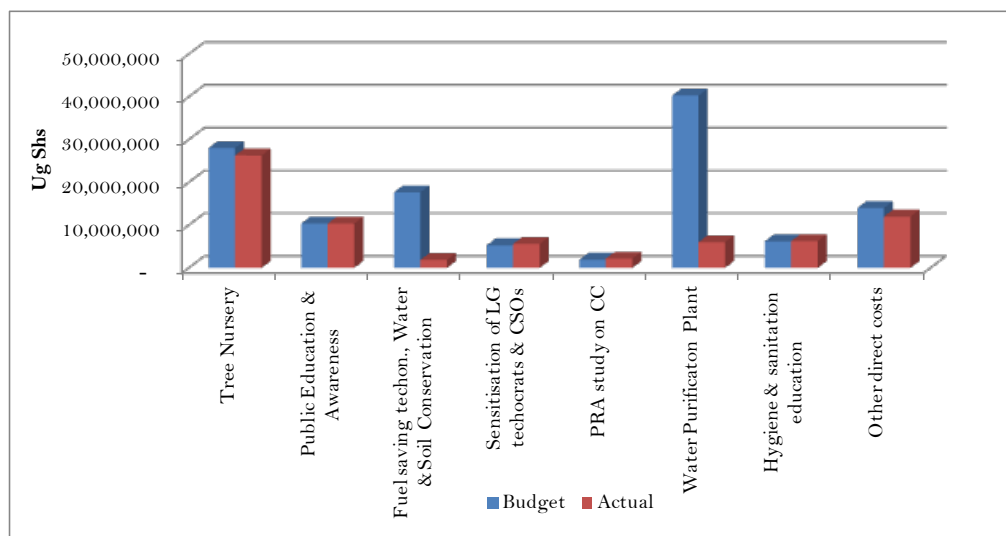
**Table 4.1: Disbursement amount per district
(As at the time of Data collection)**

Pilot district	Project	Total Budget (UGX)	Transferred to pilot districts (UGX; % of budget)	Implementing agency
Apac	Sanitation and improvement and deforestation in an arid ecosystem	123,200,000	70% (86,240,000)	ASDI
Bundibugyo	Soil erosion and deforestation in mountain ecosystems	123,200,000	85% (104,720,000)	District Local Government (DLG)
Nakasongola	Food security and drought management in semi-arid ecosystems	123,200,000	85% (104,645,000) - (77% transferred to the community)	DLG and Community Groups
Pallisa	Food security in drought management in lowland ecosystems	123,200,000	85% (104,720,000)	DENIVA through PACONET

Source: NAPA implementing agencies

water purification plant in Kayei (Figure 4.3). However, by the time of this research, the plant has not been completed due to delays in release of the final installment of funds.

Figure 4.2: Utilization of NAPA funds, Apac (Jan –Dec 2012)



Source: ASDI



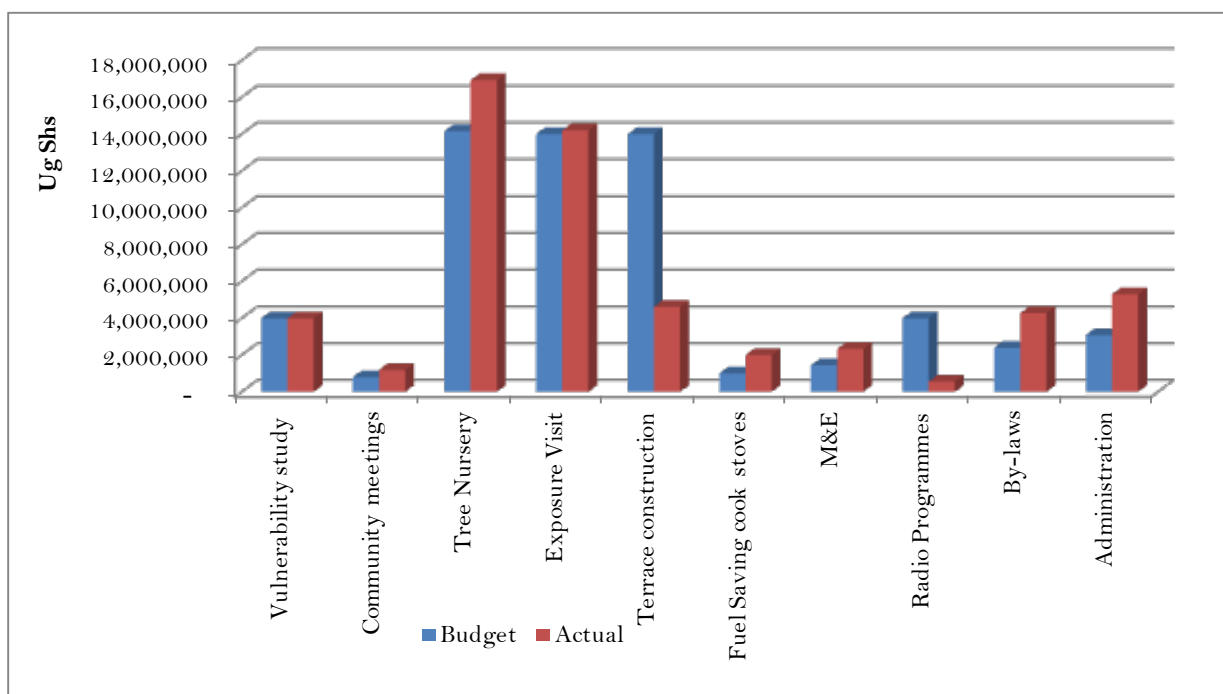
Figure 4.3: An incomplete water purification plant in Kayei, Akokal S/C, Apac

In Bundibugyo, the district local government received the first installment of UGX 55,440,000 (February 2012) and a second installment of UGX 49,280,000 (November 2012). The funds were allocated, spent and accounted for by the District Technical Implementation Committee (DTIC). The DLG had a separate bank account for the NAPA pilot project funds. The signatories to the bank account were the CAO, CFO, and national resources officer.

The disbursement and accountability of funds followed the district local government financial and audit system.

The accountability of funds followed the district accountability and audit frameworks. The supervision of the NAPA activities was done by the natural resources officer, the NAPA Coordinator, and the district political wing.

Figure 4.4: Utilization of funds, Bundibugyo (1st installment)



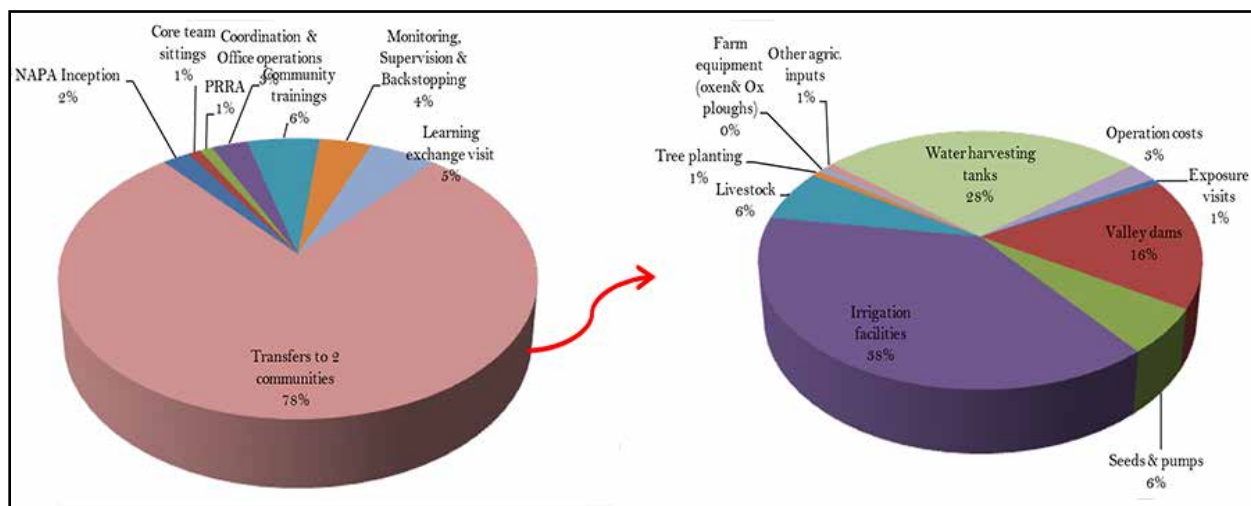
Source: Bundibugyo DGL (NAPA Office)

In Nakasongola, the district local government received the first installment of UGX 55,440,000 in December 2011. Two transfers of UGX 23,471,750 were made in January 2012, directly to the community's accounts in Kyangogolo and Ndaiga. In 2013, the district received a second installment of UGX 49,214,000. UGX 17,000,000 was transferred to each of the communities. In total, the funds transferred to the communities accounted for 85% of the total received by the district local government. Its share was used to cover administration costs, coordination and project monitoring, and capacity building (exchange visits, training for communities, etc.) [Figure 4.5].

project level, the committee chairperson could only access funds in consultation with the community members. The committee secretary was also signatory to the account. All expenditures were made in consultation with the community. Overall, this approach was largely transparent, offering considerable checks and balances.

In Pallisa, DENIVA received two installments of UGX 55,440,000 in December 2011 and UGX 49,280,000 in October 2012. PACONET received 31% (UGX 32,500,000) of the total funds. PACONET was responsible for accounting for all resources spent at the project level, including money spent by Gogonyo Reflect Development Organization

Figure 4.5: Allocation of funds, Nakasongola



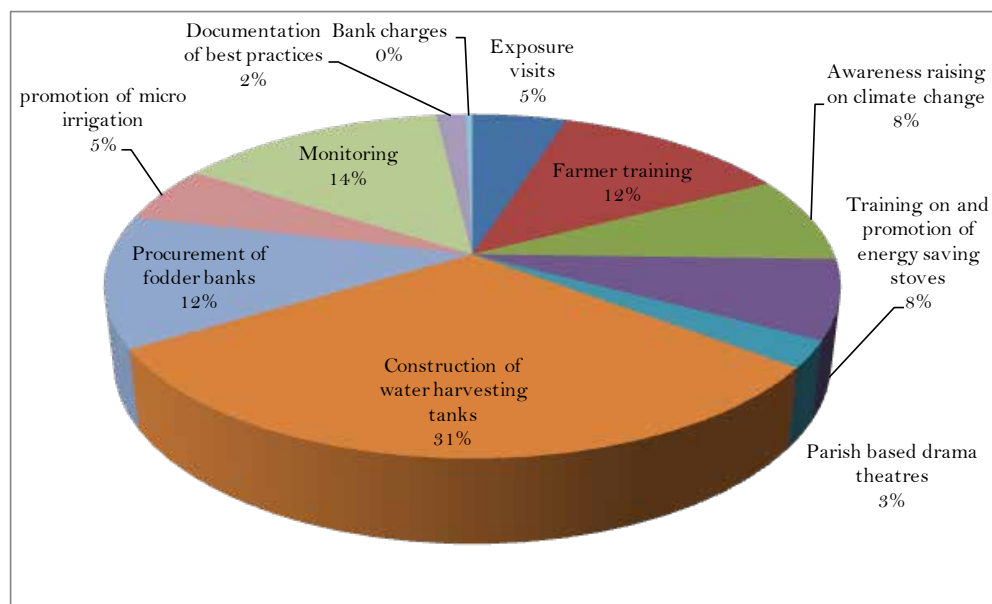
Source: Nakasongola district local government (NAPA Office)

Accountability was a responsibility of all stakeholders along the expenditure chain. Funds were accessed from the district with authorisation from the CAO, who expected full accountability from the NAPA coordinator. At the

(GOREDO), a community-based organization (CBO) contracted to directly interface with the community and select beneficiary households in the Gongoyo sub-county. Most of the grassroots implementation was made by GOREDO, but larger procurements were made by PACONET.

The beneficiaries did not have a stake in budgeting for the funds, and they were not entitled to information on the specifics of expenditures (Figure 4.6).

Figure 4.6: Utilization of funds, Pallisa



Source: Accountability reports by PACONET

4.2.2 Territorial Approach to Climate Change (TACC)

Size: Total budget USD 1 million. From this, USD 0.9 million (90%) of the TACC project was focused on the development of an integrated development plan for districts and the Mbale region; 10% was used to support the Small Grants Scheme, focused on tree planting.

Purpose: The TACC in the Mbale region is part of the global TACC partnership under UNDP for working with sub-national authorities. The objective was to strengthen

the capacity for sustainable environment and natural resource management and climate change adaptation and mitigation. The project focused on the development of the Mbale Integrated Territorial Climate Plan (ITCP) 2014-2019. Implementation included a small grants facility for CBOs.

Donor(s)/funding agency (ies): DANIDA (USD 0.27 million), DFID (USD 0.45million), and UNDP (USD 0.28 million).

Implementing agency (ies): The Mbale district government (through a specific project management unit), in collaboration with the Manafwa and Bududa districts. The Mbale district local government was the accounting agency for the funds disbursed for the project activities, including community grants. Any funding that was to be disbursed by UNDP had to be approved by the Mbale district local government. The Mbale CAO was the chief accounting

officer for the project.

Adaptation relevance: The project was relevant, since it addressed some of the activities included in the NAPA document, such as adaptation plan development, tree growing, and land degradation management, among others.

Tracking results: Complete financial information on the TACC project was available only in a combined form for all

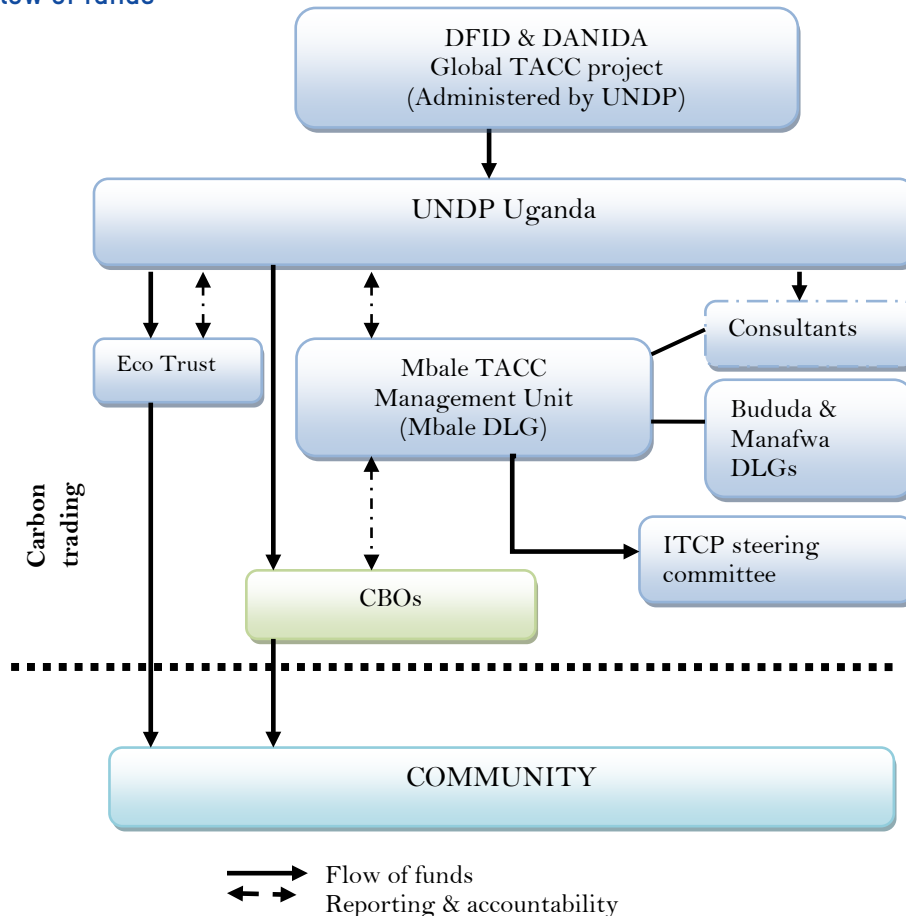
three districts in which it is being implemented: Mbale, Manafwa, and Bududa (see **Table 4.2**). However, the study team was unable to collect actual spending data, mainly because the Mbale CAO was not able to provide that information at the time of writing this report. Most of these funds appear to have been spent on mitigation activities, such as tree planting.

Table 4.2: TACC Financing (Budget)

Planned Activities	Budgeted Amount (USUSD)			NOTES
	2012	2013	Total	
Activity 1. Partnership, coordination, and participation platforms for climate change planning and programming established	30,000	30,000	60,000	
Activity 2. Capacity to integrate climate change issues into regional development plans and actions built	105,000	125,000	230,000	Grants in year 1 were budgeted at 30,000 and year 2 was at 70,000 USUSD
Activity 3. Integrated Territorial Climate Plan (ITCP) formulated	125,000	125,000	250,000	
Activity 4. Climate change policy and investment package developed	150,000	130,000	280,000	
Activity 5. Lessons learned and best practices disseminated	13,000	18,000	31,000	
Project Management	67,000	82,000	149,000	
	490,000	510,000	1,000,000	

Source: United Nations Development Programme Uganda: TACC Project Document; pg. 34 to 38

Figure 4.7: TACC flow of funds



Source: Drawn by the research team

4.2.3 Agricultural Adaptation to Climate Change in Uganda/GCCA.

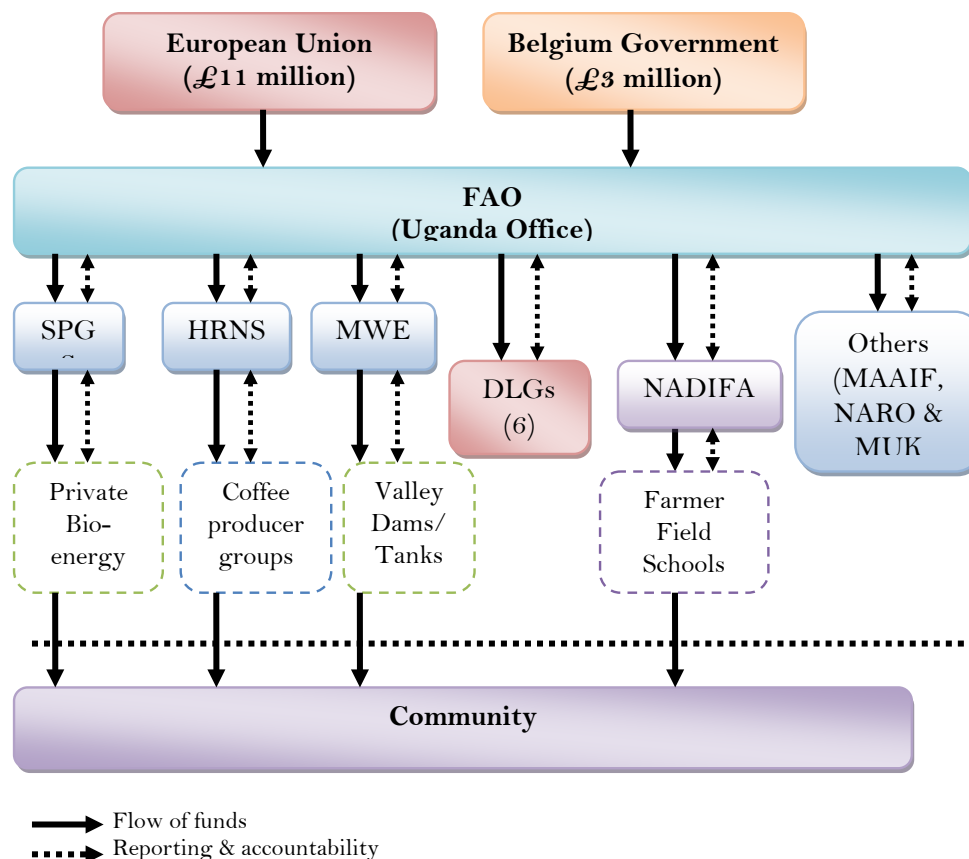
Size: Total budget £ 14 million. This is a five-year project (July 2012 to July 2016) that is being implemented in six cattle corridor districts: Nakasongola, Nakaseke, Luweero, Sembabule, Mubende, and Kiboga.

Purpose: The project aims to strengthen the resilience of the rural population and the agricultural production systems in the central part of the cattle corridor, and to build the capacities of communities, commercial farmers, and the government of Uganda to cope with climate change.

Donor(s)/funding agency (ies): European Union (£ 11 million) and the Royal Belgian government (£ 3Million).

Adaptation relevance: The project was relevant, since it implemented activities such as drought adaptation, tree growing, water for production (irrigation) that were included in the NAPA document.

Figure 4.8: AACC/GCCA flow of funds



Source: Drawn by the research team

Implementing agency (ies): It is directly implemented by FAO, MWE, and 10 implementing partners, including SPGs, NADIFA, LWF, C-Care, HRNS, Caritas Kasana Luweero, NaLIRRI, and NARO.

Tracking results: Complete financial information on the AACC project was available only in a combined form for all six districts in which it is being implemented: Nakasongola, Nakaseke, Luweero, Sembabule, Mubende, and Kiboga

(see **Table 4.3**). However, the study team was unable to collect actual spending data, mainly because the FAO was not able to provide that information at the time.

Apart from local CSOs (such as NADIFA in Nakasongola), other implementing partners are non-resident in the district, and some are not even known by the district officials. The Nakasongola district was provided with

Table 4.3: AACC /GCCA financing

Result Area	Output	EU (€)		Recipient	Belgium (€)		Recipient
		Budget	Disbursed		Budget	Disbursed	
1. Knowledge and capacity for climate change	1.1 Strengthening institutional capacity of CCD & other national institutions	Figures missing	Figures missing	CCD	150,000	150,000	Makerere University
	1.2 Climate proof national development	Figures missing	Figures missing	MDAs			
2. Better access of livestock and crops to water	2.1 investment in water infrastructure	3,600,000	3,600,000	MWE	400,000		MWE
	2.2 Investment in software	400,000	400,000	MAIIF			
3. Improve Resilience of agricultural production systems	3.1 Agricultural systems resilience to climate change impacts improved through FFS	510,000		Local CSOs (FFSs)	170,000		Local CSOs (FFSs)
		280,000		Local CSOs (inputs)	250,000		MAIIF & NARO
	3.2 Bio-energy plantations & improved charcoal prod. Technology	520,000	520,000	SPGS	480,000	480,000	DLGs
					151,000	151,000	DLGs (replicate NAPAs)
	3.3 Climate change adaptation practices for coffee production	630,000	630,000	HRNS			
Training		165,000	165,000	FAO	100,000	100,000	FAO
Total		7,975,000	7,185,000		2,211,000	1,391,000	

Source: Interview with the FAO project manager of GCCA-Uganda

some small funding (approximately UGX 10 million per year) for supervision and technical backstopping and district offices.

4.2.4 Sustainable Land Management (SLM)

Size: Total budget USD4,230,730. SLM Main is a three-year project (December 2010 - December 2013) and SLM-GEF: **Enabling Environment for SLM to overcome land degradation in the Uganda cattle corridor Districts** is a four-year project (August 2010 - December 2015¹⁵). These projects are being implemented in two cattle corridor districts of the Nakasongola and Kamuli districts.

Purpose: To enhance sustainable land management, providing the basis for economic development, food security, and sustainable livelihoods while restoring the ecological integrity of the cattle corridor ecosystem

Donor(s)/funding agency (ies):

- SLM-Main: The government of Norway through UNDP Dry Lands Development Centre and UNDP core resources (USD 2,200,000)
- SLM-GEF: Global Environment Facility (USD 1,830,730)
- The Government of Uganda (USD 200,000)

Implementing agency (ies):

- SLM-Main: MAAIF, MWE, UNDP, six districts,¹⁶ and CBOs¹⁷
- SLM-GEF: Implementing Partner (IP) - MAAIF. The other responsible partners include the Ministry of Energy and Mineral Development (MEMD); the Ministry of Water and Environment (MWE); Ministry of Tourism, Trade, and Industry (MTIC); Ministry of Lands, Housing, and Urban Development (MoLHUD); the Meteorology Department of the Ministry of Water and Environment; and two

¹⁵ The project started in August 2010 when the project document was signed by UNDP and the end date of the project was therefore planned for July 2014. However, the project sought a no-cost extension until December 2015 to enable the logical conclusion of project activities.

¹⁶ Lyantonde, Sembabule, Nakaseke, Nakasongola, Kamuli, and Kaliro districts

¹⁷ Nabiswera Farmers Livestock Cooperative Society, Nalukonge Community Initiative, Tusubira Women Group, Tubasaliza Kisaliza Women Group,

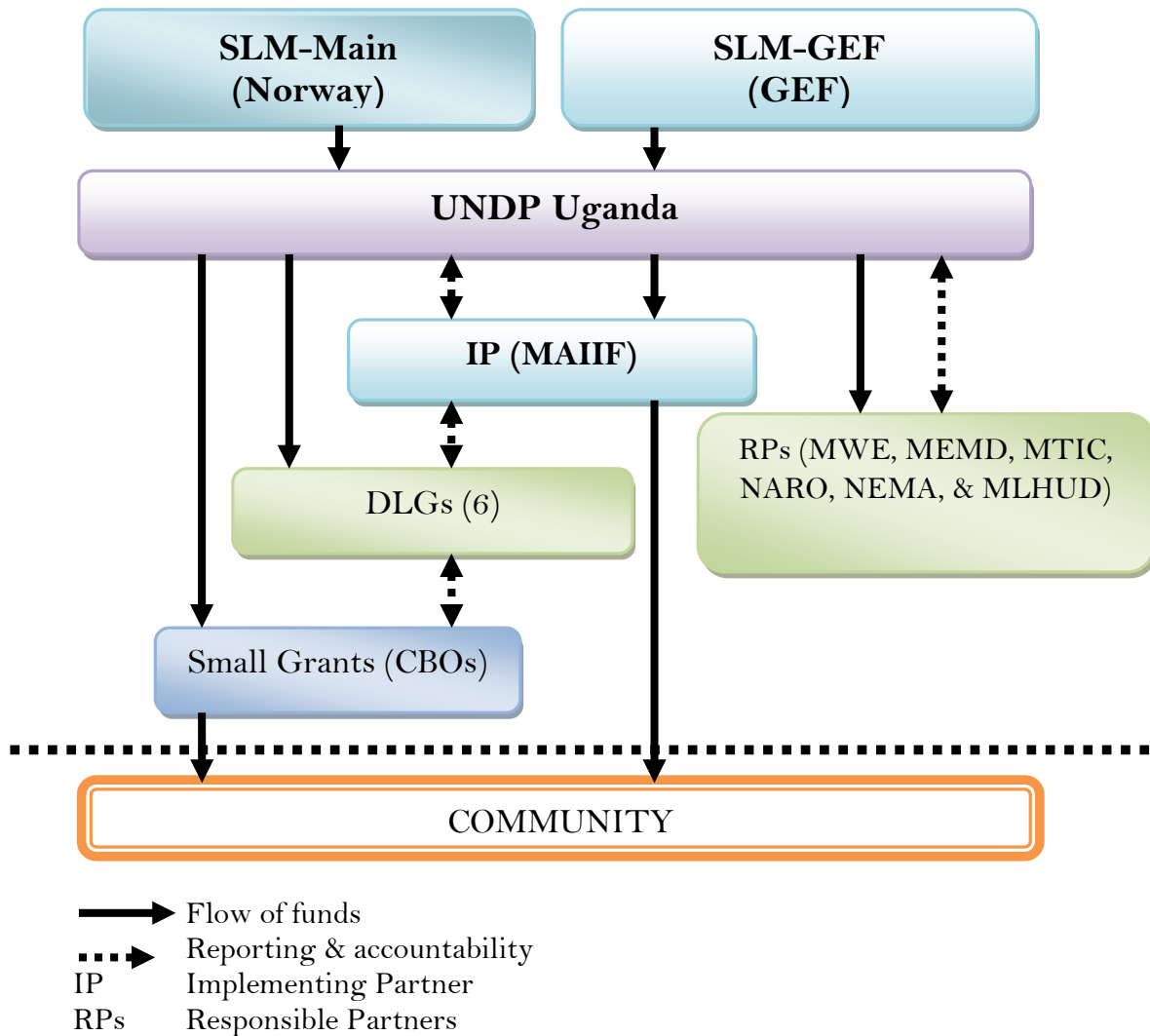
and Kyangogolo Women Group in the Nakasongola district

cattle corridor districts (Nakasongola, and Kamuli)

Adaptation relevance: The project is relevant, since its implemented activities, such as conservation agriculture, water harvesting, tree planting, climate change, and development planning, that are included in the NAPA document.

Tracking results: The study team only obtained budget financials on the SLM project in a combined form per output implemented. In addition, only aggregate spending data on an annual basis was obtained for SLM-GEF (see **Table 4.4 and Appendix 5**. Approximately one third of the budgeted funds were on project management and approximately 20 percent was on the small grants scheme.

Figure 4.9: SLM Flow of Funds



Source: Drawn by the research team

Table 4.4: SLM GEF Financing (Budget (USD))

SLM -GEF Outcome	Year 1 2011	Year 2 2012	Year 3 2013	Year 4: 2014	Year 5: 2015	Total (USD)
Outcome 1: The policy, regulatory, and institutional environment support sustainable land management in the cattle corridor. In particular, policies and legislation for sustainable charcoal and tenure security strengthened.	20,156	33,202	58,317	150,000	63,000	324,675
Outcome 2: Knowledge-based land use planning forms the basis for improving dry lands sustainable economic development.	8,327	46,938	65,033	188,600	102,000	410,898
Outcome 3: Local economic development is strengthened through diversification and improved access to finance and insurance.	0	58,454	171,163	181,000	77,571	488,188
Outcome 4: Project Management	117,242	72,049	125,181	188,498	104,000	606,969
Total Budget	145,725	210,642	419,694	708,098	346,571	1,830,730
Total spent (Jan- Dec)	145,490	215,652	419,694	429,531		1,210,367
SLM-Main Outcome						
Output 1: SLM priority interventions are integrated in the DDPs and budgets of the six target districts.	163,984	105,500	36,500	163,984	105,500	305,984
Output 2: SLM priority interventions were identified and implemented by local communities in the six target districts.	104,004	418,940	329,940	104,004	418,940	852,884
Output 3: The capacity of UNCCD/NAP Focal Point Office and the inter-ministerial committee on SLM strengthened to support SLM country programs.	120,375	166,260	166,060	120,375	166,260	452,695
Miscellaneous	16,801	8,000	8,000	16,801	8,000	32,801
TOTAL	405,164	698,700	540,500	405,164	698,700	1,644,364

Source: UNDP/GEF Annual Progress Report, 2014; Work Plan & Budget, 2015 and Combined Delivery Reports

SECTION 5: ACCOUNTABILITY MECHANISMS

This section highlights some of the key findings of this study and discusses the five principles of accountability: transparency, ownership, responsiveness, participation, and equity.

5.1 Fund flow mechanisms

Climate change funds are channeled to the local levels through central government transfers, discretionary funds, donor projects, and NGOs.

a. Central government transfers

The largest proportion of central government transfers are conditional in nature. Currently, local governments receive Environment and Natural Resource (ENR¹⁸) conditional grants, which are largely wages and salaries. Thus, local governments lack the discretionary powers to allocate resources to ensure that the particular needs of their communities such as climate change are addressed. In addition, the ENR sector does not compete favorably with the national priority areas of health, education, and civil works. Apart from water (which is centrally funded under civil works) and wetlands (which is funded through a central government conditional grant), management of other natural resources is excluded from most GoU grants and funded out of local revenue (Caritas, 2014). Consequently, funding for climate change is minimal. In Mbale for instance, the central government grant (wetland) is only UGX 11m (≈ USD 4,400) per year, and the environment unit is allocated UGX 4 million,¹⁹ which is hardly realized.

b. Discretionary funds

Climate change activities are sometimes funded through discretionary funds, such as CAIP, CDD, LRDP, LGMSD,

NUSAF, Luwero-Rwenzori, and PRDP. These grants provide some powers for local governments to allocate funds to their priority areas, but they include minimum criteria for promoting good performance. These grants have a high donor support component. Despite the discretionary powers given to local governments, climate change activities are not given top priority when allocating funds. For instance, in Mbale environment department was allocated a mere UGX 7 million out of over UGX 1.9 billion (≈ USD 760,000) PRDP funds in FY 2013/14.

c. Donor projects

Climate change activities are sometimes funded through specialised donor projects, including TACC, MERECF, FIEFOC, AACC/GCCA, NAPA, and SLM. Most of these donor projects are run by the central government ministries (such as MWE and MAAIF) and donor agencies (such as FAO), but delegate some activities to local governments.

d. NGOs

NGOs also implement climate change activities, sometimes implicitly. In Mbale and Nakasongola, these include World Vision, Africa Innovation Institute (AFRII), NAFETIPIPIPE, NADIFA, IUCN, Heifer International, Uganda Concerned Women Ministries, Salem Brotherhood, BCC, BRDC, Red Cross, ECO-Trust, and Mbale CAP. Most of the NGO projects are funded largely by donors. Some NGOs have established offices in the two districts, while others operate from Kampala.

¹⁸ Forestry, lands, wetlands, and environment

¹⁹ Expected from local revenues

The interaction between these sources of funding is very minimal. Projects are implemented as standalone and usually use their own financial frameworks and systems. In most cases, the project beneficiaries are almost the same as those benefiting from other development projects. However, district officials noted that if they are involved during the selection of project beneficiaries, they make sure that those benefiting from other development programs are discouraged from benefiting in these projects. Nevertheless, it's hard to completely eliminate this challenge due to the local dynamics, which may perpetuate duplication of beneficiaries.

5.2 Availability of adaptation finance

As discussed above, there are few adaptation projects administered through public channels in the five districts. In Mbale, the project was the Territorial Approach to Climate Change (TACC). In Apac, Bundibugyo, Nakasongola, and Pallisa, there were NAPA projects. In Nakasongola, there were two additional projects: Agricultural Adaptation to Climate Change in Uganda and Sustainable Land Management (SLM) (see Table 5.1). However, the other projects were implemented by NGOs and the private sector (see Appendix 6).

Table 5.1: Information on disbursed funds at the local government level

Project	Information on disbursements per project	Amount*	
		Budget	Disbursement
TACC	<ul style="list-style-type: none"> Information was only available online for the whole Mbale region (not by district) and only for the committed funding. No information on disbursements has been obtained, even though the project has been closed since 2013. Information from the districts of the first phase included both commitments and disbursements, but the financial information of the latter was incomplete. 	US USD 1 million	US USD 1 million
SLM	<ul style="list-style-type: none"> Information was available through the project management unit, but for all partners and districts (not by district) and only for the committed funding. No information on disbursements has been obtained, even though the SLAM-Main project ended in 2013. 	USD 4.0 million	USD 3.475 million
AACC / GCCA	<ul style="list-style-type: none"> Information was available through FAO, but for all partners and districts (not by district) and only for the committed funding. Information included both commitments and disbursements, but the financial information of the latter was incomplete. 	€ 10.186 million	€8.576 million
NAPA pilots	<ul style="list-style-type: none"> Information was available through CCD, district local governments, and implementing NGOs and CBOs Projects ended in 2012. 	UGX492 million (≈USD 196,000)	UGX400 million (≈USD 160,000)

*Combined figures for the entire project; The disaggregated figure could not be obtained.

5.3 Targeting of funds

If adaptation funds are to help the most vulnerable people, some prior understanding of vulnerability is needed, in terms of both dimensions and location of vulnerable groups. This can be based on knowledge of prior impacts of climate extremes, or assumptions made about poor communities or certain sectors that are the most vulnerable. There were variations in the extent to which the projects intentionally targeted vulnerable communities.



In all four projects, some kinds of vulnerability assessments were done before project design. The projects tried to address the needs of the communities to a large extent, although the implementation may have not positively affected the vulnerable groups.

For instance, for the NAPA pilots in Apac, the activities that were implemented were based on the proposal developed through a consultative process involving the district officials, NGOs and other stakeholders in the district under

the Apac District Climate Change Action Forum. A committee was set up to fundraise, and ASDI was selected as the Lead Agency. The Apac Anti-corruption Coalition was selected to coordinate the implementation of the projects.



Tree Nursery in Harugale S/C, Bundibugyo district

The SLM and TACC projects provided small grants to CBOs, based on the proposals that they (CBOs) developed and submitted. Under TACC, each CBOs was given up to USD 5,000. Under SLM, CBOs received between USD 20,000–30,000. The selection criteria included already established, demonstrable experience in similar activities and ability to co-fund (See **Box 5.1**).

Box 5.1: Criteria for selecting CBOs under Small Grants Approach for TACC

- Have a constitution
- Duly registered at sub county, district or national level
- Have been in existence thus not new in the community
- Ready to implement the proposed activities.
- Able to co-fund

“...in order to have climate change integrated by the communities, a grant was provided to different members of communities in a competitive way so as to build local capacities...” - Program Analyst, UNDP

The AACC/GCCA project also provided funding to local CBOs (such as NADIFA in Nakasongola) to implement Farmer Field Schools. Although some CBOs don't necessarily represent the vulnerable peoples, they do ensure that vulnerable people are involved in project implementation.

However, in all projects, the grants were too small to meet the needs of the community. It was evident during interviews with beneficiaries and local government officials that they were not satisfied with the amount of funds dedicated to small grants compared to other activities. For instance, under TACC, less than 10% of the total project funds were spent on the small grants given to over 20 CBOs.

5.4 Accountability Framework

5.4.1 Responsiveness

A project is regarded to be responsive when its resources are directed towards the needs and interests of the most vulnerable people and communities. Responsiveness

creates more ownership to the project and in most cases participation by different stakeholders is also high. Responsiveness can be achieved if the communities and local authorities are aware of the adaptation options. However, most local authorities and non-government stakeholders interviewed during this research have a very limited awareness on adaptation options. This means they are not being as effective as they could be in holding the central government, donors, and international agencies to account on the quality or appropriateness of adaptation projects.

Most of the projects studies tried to address needs and interests of the most vulnerable people and communities to a large extent, however, there were challenges in the implementation process.

The Integrated Territorial Climate Plan (ITCP) developed under TACC was based on the results of climate profiles and a Climate Change Vulnerability Assessment Study, conducted for the whole Mbale region by consultants. The development of the ITCP involved some district officials that constituted the ITCP Steering Committee, which included district production, forest and environment officers, district planners, commercial officers, and the CAOs. The ITCP responded to this analysis, but implementation of these recommended activities is being delayed because of lack of additional funding (USD 250 million is needed to implement the plan). In addition, the project focused on the development of a plan (ITCP), without wider activities at the ground level (other than the Small Grants Scheme).

The AACC/GCCA project was conceptualized at the national level by MWE and MAIF with support from the European Union. Although there were some consultations with local governments, the expectations of the MWE are not in line with those of Nakasongola district local government. The construction of valley tanks/dams is one example. Under the project, MWE is supposed to construct two 10,000 cubic

meters valley tanks worth over UGX 1.2 billion. However, the district officials are not satisfied with the amount of funds to be spent and the potential impact of the population. The district officials believe that if they were provided with the funds instead, they would be able to construct about six valley dams using the same amount of funds; rather than the two under the MWE. This likely would benefit more people, since the dams would be scattered in the different parts of the selected sub-counties. However, MWE believes in bigger dams since they hold more volumes of water.

“...the cost of UGX 600 million for the construction of a valley dam of 10,000 cubic litres by the MWE is high. At this cost the district can construct more than three valley dams whose total capacities can even supersede the 10,000 Cubic litres.” District Official, Nakasongola district local government

5.4.2 Participation

Participation is about how different project processes allow stakeholders to provide informed, timely, and meaningful input. It also includes how stakeholders influence decisions that affect them at the different stages of a project. Decisions about adaptation priorities and where projects should focus are taken at different scales. They can be centralized, involving a narrow range of national government agencies, or decentralized to local government and/or involve CBOs and communities.

Generally, community participation was not evident in the design of the projects studied; however, there was some level of involvement in the implementation. In three projects studied, communities were involved in implementation, especially through the small grant scheme, where they proposed activities through developing proposals. The district officials somehow participated in the project design and monitoring/supervising the project implementation.

The designing of TAAC involved various stakeholders through the Mbale Coalition for the Alleviation of Poverty (Mbale CAP). The TACC project was initiated in 2011 by Mbale CAP with support from the Welsh Assembly Government. The Welsh Assembly Government offered support to the Mbale region as it sought to build capacity of its partner regions through its partnership program, Partnerships Overseas Networking Trust (PONT). The Welsh Assembly Government sought support from the UK government (DFID). This interest evolved into wider support from Department for International Development (DFID) and Danida through UNDP.

AACC/GCCA was conceptualized in 2010 by the EU in conjunction with MWE and MAIF after lengthy consultations with both government and donors. MWE was selected as the main implementing partner for the project while FAO was asked to support GoU in implementing the project because FAO had the technical capacity for the project that was lacking within the government. Nakasongola district officials were involved in the selection of the beneficiary sub-counties. However, they were not involved in the selection of the implementing partners, such as Sawlog Production Grant Scheme (SPGS) and Hanns R. Neumann Stiftung (HRNS).

“...we interact more with NADIFA; other partners are distant and we don’t know some of the very well.” - District Official, Nakasongola DLG

SLM was conceived by the UNDP Dry Lands Development Centre, implemented by MAIF, and 6 district local governments (Lyantonde, Sembabule, Nakaseke, Nakasongola, Kamuli, and Kaliro). Some district officials were consulted during the design stage and their inputs were included in the project. However, district officials interviewed noted that the consultations took a long time. In addition, they noted that there are usually too

many consultative meetings with national agencies (with minimal feedback), which makes it hard for the district officials to provide meaningful input.

“...the district was consulted since 2003; but the implementation started in 2011...we were tired of the consultations” - District Official, Nakasongola DLG

For NAPA pilots, local government officials participated in the drafting of the project proposals together with other stakeholders. Most of the beneficiaries were selected by implementing partners in collaboration with the district official. In some pilots, such as Nakasongola, beneficiaries were involved in planning, budgeting, and utilisation of the project funds.

All the projects involved CBOs in the implementation through the grantees scheme. The SLM and TACC projects involved 24 and 20 CBOs, respectively. The NAPA pilots in Apac and Pallisa were implemented by NGOs and CBOs. Under the AACC/GCCA project, in Nakasongola, NADIFA was supported. The district officials were involved in providing technical support to implementing NGOs/CBOs.

NADIFA is implementing the Community-based Adaptation “Building Resilience” component. NADIFA was selected in 2013 by FAO, in consultation with the district. After selection, NADIFA received a one-month orientation on Farmer Field Schools (FFSs) and Village Saving and Lending Associations approaches. NADIFA signed a Letter of Agreement (LoA), in June 2013 for 18 months worth UGX 180 million. Funding was provided by the Irish government through FAO). Under this funding, NADIFA was to establish 20 FFs in the Kakoge sub-county. The second LoA, worth UGX 240 million (funded by the Belgium government through FAO), extended the project for another nine months (April 2014-Sept 2015). Under this funding, NADIFA was to establish 24 FFs in the Lwampaga sub-county. Both sub-counties were selected by Nakasongola district officials.

District officials participated in monitoring. Under the SLM and TACC, the CBOs that received the small grants had to report to the district officials. Overall the projects didn’t involve the sub-county structures.

“... for SLM the sub-county role was to provide a letter of introduction for the groups.” -V/Chairperson LC III, Nabiswera S/C

“The supervision was good as opposed to other programs...the TACC Project Manager was quite vigilant. She could call at any time and also visit you.” - Executive Director, Bushkori Christian Centre

With NAPA pilots, the people in the communities we talked to noted that the sub-county did not show interest in monitoring the projects, in spite of the importance of the activities to their livelihoods and to climate change.

“Our sub-county leaders have frustrated us. We have not interacted with them since the project commenced.” - A community member in Ndaiga, Nakasongola

The AACC/GCCA project has some district officials on the project steering committee that oversees the progress of the project. However, funding of districts is minimal, with a budget of UGX 10.75 million per year meant for review meetings and transportation of the contact person. The project also facilitates a field office with a staff, a generator, and approximately UGX 6.6m per year for office maintenance.

Participation of the communities in the accountability process of the various projects was more visible in sustainable land management where heads of CBOs had a tripartite agreement with the district CAO and UNDP country coordinator to account for all the funds and have an audit performed. With TACC, CBOs were accountable to the project

manager and the CAO Mbale district local government. For other implementing partners such as consultants, the Mbale CAO was in charge of disbursement and approval of payments. AACC/GCCA participation in accountability was minimal at the local government level since most of the decisions are made at the national level by FAO.

national and local levels (**see Table 5.2**). Some officials at the district and national level were not forthcoming with financial-related information.

Although the project funds are reflected in the district budget, donors do not use the district system to channel funds to the target beneficiaries. Aside from funds for district monitoring and supervision, funds are disbursed directly to CBOs and implementing partners. However, the districts are responsible for the accountability of funds by the benefiting CBOs.

5.4.3 Transparency

Transparency means that clear procedures for project allocation and beneficiary identification are spelt out. The project-related selection procedures should be shared with all key stakeholders from the onset of a project and followed throughout the project life, ensuring that the intervention truly is targeting the needy.

Transparency enhances trust among stakeholders. Adequate financial systems are necessary to ensure that resources are used as appropriately and as effectively as possible.

Access to information

Transparency and access to information often go hand in hand. Information about decisions on the location and types of activities, as well as financial information, needs to be made available so recipients can hold agencies accountable and make decisions on the best ways to spend these resources. This applies to both the local and national levels. Transparency calls for open access to any information about the various projects. However, the research team found serious difficulties in accessing financial data for most adaptation funds at both the

Table 5.2: Ease with which data could be accessed

District	Transparency of information
Mbale	<p>TACC:</p> <ul style="list-style-type: none"> Good information on commitments for the TACC at the national level, published online No district specific information obtained Lack of publicly available information at the district level, and no single repository to look for information
Nakasongola	<p>AACC/GCCA:</p> <ul style="list-style-type: none"> Information on commitments obtained from FAO at the national level No information obtained from national-level partners such as MAAIF, MWE, CCD, SPGS, and HRNS Some budget information was obtained from the Nakasongola district (Chief Finance Office) and interviews with the NADIFA coordinator. No district-specific information was obtained. Lack of publicly available information at the district level, and no single repository to look for information
	<p>SLM:</p> <ul style="list-style-type: none"> Information on commitments obtained from the SLM Coordination Office at the national level No information obtained from national-level partners such as MAAIF, MWE, and CCD No district specific information was obtained. Lack of publicly available information at the district level, and no single repository to look for information
Apac, Bundibugyo, Nakasongola and Pallisa	<p>NAPA:</p> <ul style="list-style-type: none"> Information on commitments obtained from CCD, district local governments, and implementing NGOs and CBOs Actual spending data was obtained from district local governments and implementing NGOs and CBOs; however, the information was not complete. Lack of publicly available information at the district level, and no single repository to look for information

Although the Access to Information Act of 2005 requires all public officials to provide information in their possession upon request, the practice is rather different. Access to financial information at the local government level is sensitive; financial reports can only be accessed with the permission of the CAO. Even when the research team made requests in writing to the relevant agencies, they were unable to provide information.

Under TACC, the CAO of the Mbale district local government

was the accounting officer and was the only person with the project-related financial information. However, information from him never materialized, even after pledging that he would provide the information. Thus, the research team depended on limited financial information from project documents provided by UNDP.

For the AACC/GCCA, budget information was accessed through interviews with the project officer at FAO. However,

actual expenditure information could not be accessed by FAO, partly to due to the lengthy procedure of extracting it from accounting records. Spending by government institutions such as MAAIF, CCD, and MWE was not obtained because they did not respond to the researcher's requests, even when the research team submitted a formal request. The research team could not get information from other implementing partners such as SPGS and HRNS due to the complexity of getting such information from private agencies/actors. At the local level, some budget information was obtained from the Nakasongola district (Chief Finance Office) and through interviews with the NADIFA coordinator.

For the SLM, budget information was accessed through the UNDP Project Office. However, actual expenditure information on SLM-Main could not be accessed, partly to due to the lengthy procedure of extracting it from accounting records of UNDP. Some budget information at the local level was obtained from the Nakasongola district (Chief Finance Office and the district annual budget).

The above-mentioned challenges created difficulties in ascertaining how the projects funds are being spent and whether they reached the intended beneficiaries.

Selection of beneficiaries

There was some level of transparency in selection of beneficiaries at the local level for the TACC and SLM projects. However, this is not the case with the AACC/GCCA project, since FAO selected the implementing partners at the national level. Apart from NADIFA in Nakasongola, the district officials interviewed were not aware how the partners were selected.

"...the use of service providers has limited district involvement in the selection of beneficiaries. For instance, I am unaware of the beneficiaries for coffee farming and bio-energy plantations" - District Official, Nakasongola

DLG

"...SPGS who are implementing the tree planting component have never engaged the District Forest department; thus the beneficiaries are selected without the involvement of district officials." – District Official, Nakasongola DLG

Both the TACC and SLM had a grants committee that ensured that the best proposals from CBOs were selected. The grant committee for TACC included the UNDP; the Climate Change Department; the Uganda Wildlife Authority; local governments of Mbale, Bududa, and Manafwa; and the National Forestry Authority. They also provided an opportunity for appeal if any CBO was not satisfied with the selection. This not only promoted the value of equity but entrenched justice as well.

"The groups which were not satisfied with the selection were given an opportunity to appeal. During appeals, the community group argued their case to a panel and some group was later considered for the grant." – District Official, Nakasongola district local government

Some of the beneficiaries the research team talked to noted that there was high level of openness in the selection process.

"...the process was transparent and my organization was able to benefit because of the open nature of evaluation." - Executive Director, BCC, Mbale

Under the NAPA pilots, the beneficiaries did not have a stake in budgeting for the funds, were not entitled to information on the specifics of expenditures, and were not aware of how much money was spent. The decision on procurement, coordination, monitoring, and implementation were undertaken by the implementing agencies.

Coordination

One of the accountability gaps is the lack of horizontal and vertical coordination between funders and implementers (see **Table 5.3**). NGOs and local governments with adaptation projects demonstrated very limited awareness of other initiatives in their area, so links were not being made between them. For instance, the research team found that NGOs such as the Red Cross were not aware of the ITCP and were therefore conducting their own vulnerability assessments at the local level. In Nakasongola, there was no coordination between the AACC/GCCA and the SLM projects.

The research team obtained some financial information from CBOs involved in project implementation, but, as there is no official mechanism to bring together CSO and local government activities, information disclosure depends on each project. There is no formal mechanism for NGOs to inform the local government about adaptation activities; thus local government officials have knowledge only of the projects they work directly with.

Table 5.3: Coordination of adaptation activities

District	Issues
Mbale	TACC: <ul style="list-style-type: none"> ▪ Lack of coordination at the district level ▪ Good ITCP but not effectively implemented, so actions are diffuse
Nakasongola	AACC/GCCA: <ul style="list-style-type: none"> ▪ There is a coordination office (for partners) ▪ Accountability mainly to FAO ▪ Most implementing partners not based in the district; districts not able to monitor or supervise their activities SLM: <ul style="list-style-type: none"> ▪ Lack of coordination at the district level ▪ Accountability mainly to MAAIF and UNDP ▪ Project perceived as a “one person” project; with minimal involvement of other stakeholders NAPA pilot: <ul style="list-style-type: none"> ▪ Two main partners in the implementation framework; the district local government and two communities. ▪ Accountability was a responsibility of all stakeholders along the expenditure chain.
Apac	NAPA pilot: <ul style="list-style-type: none"> ▪ Good coordination; district officials participated in the drafting of the project proposal together with ASDI representatives. ▪ The Steering Committee participated in the implementation of the project.
Bundibugyo	NAPA pilot: <ul style="list-style-type: none"> ▪ Good coordination; The pilot project was co-funded by the ACCRA consortium, which provided technical support to the district local government to: conduct a vulnerability assessment.
Pallisa	NAPA pilot: <ul style="list-style-type: none"> ▪ Lack of coordination at the district level ▪ The pilot was implemented by non-governmental organizations. ▪ Accountability mainly to CCD and DANIDA

Project evaluations

Project monitoring and evaluation – whether internal or external – provides data on implementation, outputs, and outcomes of interventions. NAPA pilots, TAC, and SLM-Main have been evaluated, but these are internal evaluations and documents are not always readily available.

Overall, internal monitoring and evaluation does not appear to be playing a critical role in improving the accountability of adaptation spending. It is possible that final evaluations provide more detailed and objective evidence on how resources have been spent. In the meantime, little information is being produced through these formal reporting mechanisms.

5.4.4 Ownership

Ownership of the project is when stakeholders at the national and sub-national levels take part in the decision making and implementation of the various activities of the project to ensure it addresses the needs of the vulnerable people.

The NAPA (Bundibugyo & Nakasongola pilots), TACC, and AACC/GCCA had more engagement of the district leaders in making decisions about various aspects of the project. TACC, for example, involved the Mbale district local government, and other politicians and district staff from Manafa, Buduuda, and Mbale in the design. It instituted committees such as the Project Board (chaired by MWE with Mbale, Manafa, and Buduuda district local governments) and the Steering Committee (chaired by the CAO of the Manafa district local government²⁰).

AACC/GCCA works closely with the district local governments to identify and select the beneficiaries. The three sub-counties of Kakooge, Wabinyonyi and Lwampanga were selected by the district leadership. The sub-county officials then selected the parishes and different farmers groups, in consultation with NADIFA. Other implementing partners were also introduced to sub-county officials, although the district was not involved in their selection.

“...the lack of coordination between the service providers and the districts who oversee the project on behalf of the people limits ownership.” – District Official, Nakasongola DLG.

The AACC/GCCA project also works closely with the district to manage climate change adaptation and identify planning gaps. The project is supporting the district to mainstream climate change activities in their development plans and budget (especially the Output Budget Tool).

For the SLM project, decision making is done at the national level by UNDP and MAAIF. At the district level, it is perceived as a MAAIF project with minimal engagement by district officials. To make matters worse, the project is perceived as the district environment officer's project.

“...but we (politicians) have little influence on what can be done; the project is based on the guidelines from MAAIF.” – District Politician, Nakasongola district local government

The SLM-Main project supported the districts to develop District Environment Action Plans that highlighted major

²⁰ Consisted of district environment Officers, production officers, representatives from Uganda Wild life Authority, National Forestry Authority, NARO, Eastern Private Sector Development Centre Ltd and Uganda Christian University

challenges, such as declining soil productivity, challenges of access to water, limited access to energy, and growth of bare land patches. However, the implementation of these plans is a weak due to lack of funding, especially from locally generated revenues.

“...there is no budget allocation from local revenues; the environment sector depends on a central government conditional grant, which is about UGX11million per fiscal year.” – District Official, Nakasongola district local government

The Bundibugyo NAPA pilot project was co-funded by the ACCRA consortium, which provided technical support to the district local government to help integrate climate change into sectoral planning. As a result of the project activities, the district local government has made efforts to integrate them into the district development plan. All sectors are required to mainstream climate change activities in their plans. In addition, the District Council passed ordinances and by-laws on environmental protection. However, implementation challenges remain due to lack of funding.

Community Ownership

The Bundibugyo NAPA pilot activities were implemented directly by community groups. This enhanced learning and ownership. This might have an impact on long-term ownership and sustainability of the activities.

“...we had planned to contract someone to construct the trenches, but the beneficiaries asked to do them themselves; this improved ownership.” – District Official, Bundibugyo.

In the Nakasongola NAPA pilot, communities were consulted on a number of issues, including their understanding of climate change issues, how they were affected by climate change, and the nature of adaptation projects that could suit their needs. With guidance from the NAPA coordinator,

communities were allowed to prioritize activities to implement at various phases. They also identified requirements for capacity building. The community selected the beneficiaries. This approach encourages the highest level of community ownership and cohesion.



Valley Dam in Kyangogolo Community in Nakasongola
Drip Irrigation Tank in Ndaiga Community, Nakasongola

With the small grants scheme under the SLM and TACC projects, beneficiaries such as CBOs were able to design and implement activities that met their greatest challenges. In addition, they were able to manage their finances, since

the funds were directly disbursed to their bank accounts by UNDP. This increased ownership of the project.

“...we constructed five rain water harvesting (underground) tanks of 10ft x 10ft x 8ft deep for some of our members.” - Coordinator, NAFETIPILE



SLM beneficiary project in Kalungi S/C, Nakasongola district

Under the AACC/GCCA, NADIFA was able to select the beneficiaries using the farmer field approach. Through farmers groups²¹, communities are learning and demonstrating modern farming methods, which help them to adapt to changing climatic conditions. Farmers interact and share personal experiences and challenges in animal rearing and crop production.

“We use local knowledge, supplemented by some improved technology, to develop a community adaptation plan which includes adaptation measures, probes how communities have been surviving, and develops community problem analysis. Then the group develops a group action plan. We also mobilize the groups to form(VSLAs to build resilience. The money collected assists them to buy inputs to adapt to climate change.” -

NADIFA coordinator.

However, there were concerns among local governmental officials that the beneficiaries are oriented in ways that will benefit the technical staff. That is, their proposals are biased towards what technical people want.

“...last time I looked at what they (community groups) are doing and I realized they are in the direction that benefits the technical people; meaning the people wrote what technical people wanted but not their priorities.” -

District Politician, Nakasongola DLG.

5.4.5 Equity

Climate change projects are designed to address issues that affect the most vulnerable people. Therefore their plans and actions need to consider social inequalities and promote equality. Generally the project design seemed to have considered equity issues, especially gender, and focused on the most affected areas and people.

In the five districts, the projects studied considered areas that are the most vulnerable to climate change and have either never received or have few climate change-related projects. The three sub-counties (Kakooge, Wabinyonyi, and Lwampanga) selected under the AACC/GCCA projects are usually affected by serious droughts and experience high levels of environmental degradation.

For the Apac NAPA pilot, Akokol S/C, was selected based on its socio-economic disadvantage, harsh weather conditions, and worsening sanitation conditions. There was a desperate effort during implementation to take into consideration gender issues in some districts. For instance, the water purification plant is most likely to benefit women and girl children since they are the most affected by safe water scarcity.

The Bundibugyo NAPA pilot, Harugale S/C, was selected based on its socio-economic disadvantage, heavy degradation due to large-scale cultivation and charcoal burning, deterioration in water conservation management, and high risk of landslides due to poor agricultural practices. In the selection of beneficiaries, gender consideration was made. In addition to explicit consideration of gender, some of the activities such as improved cook stoves and provision of the improved seeds targeted women.

For the Nakasongola NAPA pilot, the sub-counties selected are often heavily affected by the dry spells. In addition, there was an effort during implementation to take into consideration gender issues. For instance, the construction of water harvesting tanks and cook stoves were largely for the benefit of women who bear the brunt of water and fuel wood collection.

For the Pallisa NAPA pilot, the selected parishes had a high level of deforestation. In addition, there was effort during implementation to take into consideration gender issues. The LSM targeted subsistence farmers, pastoralists,

agro-pastoralists, and other resource users. Half of the beneficiaries would be women and youth because of the local use they make of natural resources as well as their intricate involvement in land management practices at the community level, particularly in subsistence farming and alternative livelihood practices such as bee keeping and fruit growing.

Both TACC and SLM projects encouraged women and youth-focused NGOs to apply for the small grants since they are more affected by climate change. The winning proposals had to demonstrate how they would involve vulnerable populations in the project activities. For the SLM project in the Nakasongola district, three out of the five beneficiary CBOs are women-run groups.

Box 5.2: Criteria for selection of CBOs under SLM project:

- Vulnerability of the area
- Innovativeness of the proposals; focus was put on how unique is the proposed project in addressing among others issues related to land degradation.
- Linkage to the community; attention was given to how the said group relates to vulnerable groupings in society like the elderly, women and youths.
- Gender considerations

With the AACC/GCCA, women and youth participation was encouraged. A reasonable number of youth and women joined the different FFSS; in some groups they are the majority.

“This group was established in 2013; we have 22 members (9 males and 12 females)...we have learned a lot from the project, especially on adapting to climate change.” – FGD with the Bugagantuyo Group, Bamusuta, Kakoge sub-county, Nakasongola District



FGD with the FFS Group, in Kakoge S/C, Nakasongola District



Some of the trees under the carbon trade in Nyondo S/C. Research team interviewing a beneficiary to Nyondo S/C, Mbale district

However, there were some weaknesses in the consideration of equity issues during implementation. For instance, in Mbale, although the ECO-TRUST project on carbon trading encouraged the participation of women, all the beneficiaries were men. This is partly due to the patriarchy nature of the Ugandan society where women don't own assets such as land.

“...many farmers were trained on tree planting, management, and on what to and not to do in order to benefit from carbon credits. However, some people shunned the scheme in fear of loss of their land. They thought it was a ploy to take their land. Thus, only 14 beneficiaries (all men) were selected in Nyondo S/C.” - Beneficiary, ECO-Trust; Nyondo S/C, Mbale district.

In Nakasongola, the research team was informed that, under the AACC/GCCA project, MWE plans to construct two dams worth more than UGX1.1 billion in two sub-counties. However, the district official protested the move on the basis that besides being too expensive, it doesn't promote equity in the distribution of water.

“...the district objected to the construction of a 10,000 cubic litres valley dam, but the Permanent Secretary MWE is insisting on the construction...we plan to forward the matter on to Parliament if nothing is done by MWE to reduce the cost of the dam.” - District Official, Nakasongola district local government.

5.5 Major challenges

During interviews with the various stakeholders, the following challenges in the implementation of the above-mentioned projects were mentioned:

- Most of the adaptation projects and interventions were largely top-down; with minimal involvement of local government.
- Local governments have limited capacity to attract and implement adaptation projects due to low funding and inadequate staffing.
- Collaboration and coordination of climate change among local governments and NGOs activities is relatively weak.
- Community awareness on climate financing is minimal.

Most community members noted that they see projects being implemented but don't know how much the implementers are spending.

- Donor financial accountability requirements need to be aligned with the season/weather conditions to maximize the impact of interventions. For instance, in Apac, trees were planted during a dry spell; thus many dried-up.
- Most projects that go through central government agencies, which take a large share of the funds and leave little for the local beneficiaries.
- Some projects are developed with minimal involvement of stakeholders. Even where there is some involvement in the project design, little information is shared. This affects their sustainability.

“...many projects are meeting donor requirements as opposed to addressing the concerns of the community.” - District Official, Mbale District

- The short periods for all the projects cannot effectively address the critical climate change challenges in the districts.
- Despite high demand from communities, most projects implemented activities in very few sub-counties and targeted very few beneficiaries.
- Most projects funds are released late, leading to late implementation of project activities.
- Most beneficiaries interviewed noted that they were not aware of project budgets and how funds are expended on them; they just see projects being implemented. They believe a lot of money is wasted or misused by the project implementers.

“...climate change is a catch word for drawing resources; there are so many opportunists who use the district to fundraise” - District Official, Nakasongola district local government

- Ownership of projects at local levels is still a big challenge in Uganda. There is a tendency of beneficiaries to perceive projects externally introduced in their areas as not theirs, but rather of the agency that introduces them. For instance, in Apac, the majority of the institutions that were given tree seedlings are unable to manage them.
- There is lukewarm involvement of local government officials in project implementation, especially where they are not facilitated (i.e., lack of monetary benefits).
- There is often inadequate facilitation in terms of transport for supervision and monitoring coordination. Thus, they can't monitor different projects on climate change.
- There is a lack of trust that government will deliver and a fear of corruption and misuse of funds, leading to delayed disbursement of funds (i.e., the €4 million for MWE under the AACC/GCCA project not yet been disbursed).
- There is a lengthy procurement process by most funders that delays effective project implementation.
- Political interference sometimes hinders effective implementation of projects and enforcement of regulations on the environment. For instance, in Mbale a dam project at Gurusam that was meant to address issues of flooding and proper water use was terminated due to the political wrangling.

5.6 Good Practices

The implementation of the above-mentioned projects provided some good practices that can be replicated in other similar projects. Some of them include:

- The use of small grantee scheme enables communities to design and implement activities of their choice, which enhances the sustainability of the intervention. Through these grants, beneficiaries have been able to improve production and consequently increased

income.

"...last year we harvested 2,400 kg of honey, which was sold at Shs 5,000 per kg." - Coordinator NAFETIPIIPE

The success stories of CBOs across the target districts attracted USD 740,000 in funding from COMESA for climate smart agriculture. The project implemented in other districts of Buyende, Namutumba, Bugiri, Busia, and Budaka.

- On-the-ground actions such as demonstration projects and education have had a big multiplier effect in that the non-direct project beneficiaries adopted some of the knowledge about improved cook stoves in Bundibugyo, tree planting in Apac, micro-irrigation in Nakasongola, and climate smart agriculture in Nakasongola. Some beneficiaries reported improvement in crop yields due to some of the activities such as terracing.
- **"I was getting three tins before but after introducing trenches, I now get 10 tins...I had a piece of land that was degraded, but now it's productive; I can grow cassava."** - NAPA pilot beneficiaries in Bundibugyo
 - a. Working closely with the local government in the design and implementation of projects improved project sustainability. For instance, the Harugale sub-county in Bundibugyo districts promised to take over the tree nursery as well as soil and water conservation activities after the end of the NAPA pilot.
 - b. Employing a consultative process in the development of the Integrated Territorial Climate Plan (ITCP) has enabled stakeholder ownership. For instance, the government is using the plan to develop a new GEF project.

SECTION 6: CONCLUSIONS AND RECOMMENDATIONS

6.1 Conclusion

The study tracked and reviewed adaptation finance flows from international to local levels in Uganda. It also examined the institutional framework governing climate change adaptation and the different implementation mechanisms adaptation funds.

According to the OECD data, adaptation finance reported to Uganda for the period between 2010 and 2012 reached more than USD 264 million. While there could be commitment by the donor community to release information on adaptation finances at international level, however, there are minimal efforts to do so at local levels. In addition, Uganda does not have systems in place that report on the delivery of adaptation finance. There are myriad recipients of climate adaptation funds in Uganda, but information on their sources is not consolidated. There are complex and incomplete reporting practices among implementing agencies. This makes it very difficult to assess the effectiveness of adaptation funding.

Whereas adaptation finance is well understood at international level, there is no common definition for “adaptation finance” both national and local levels in Uganda. In most cases, “adaptation” activities cannot be distinguished from regular “development” activities because of the close relationship between the two. Poor levels of transparency and reluctance to disclose information on how funds were being spent by most implementing agencies makes it hard to ascertain the effectiveness of adaptation funds.

Climate change adaptation funds are channelled to the local levels through a number of different mechanisms

that include: Central government (CG) transfers, Donor projects, private sector and NGOs. However, the interaction between these sources of funding is very minimal. Projects are implemented as standalone and usually use their own financial frameworks and systems. In most cases, the project beneficiaries are almost the same as those benefiting from other development projects.

While responsibility for coordinating climate change activities rests with the Central Government, the local level is where implementation is meant to take place. However, in all the districts studied, it was evident that they have minimal capacity to implement adaptation activities due to limited funding and inadequate staffing. In fact at S/C level, there are no explicit adaptation projects.

6.2 Recommendations

In view of the analysis and evidence presented above, this study recommends the following:

6.2.1 Central Government

- a. There is need to streamline the coordination and reporting mechanisms to facilitate effective implementation of adaptation activities in Uganda. Climate change department (CCD) should be empowered to ensure that adaptation activities and funding both to government and CSOs are consolidated. A framework could be developed, such that, recipients of adaptation funds feed detailed project information to the CCD for stock taking and tracking progress.
- b. Local governments are largely incapacitated in their effort to appreciate and ensure community resilience. The limited funding from the central government does

not facilitate adoption and monitoring of meaningful interventions. The central government should increase funding to local governments to facilitate adoption and monitoring of meaningful interventions.

- c. Review the structure and expertise of local governments to cater for climate change mainstreaming capacity needs.
- d. Decentralize the National Climate Change Advisory Committee (NCCAC²²) to coordinate and harmonise CC funding at LG level.
- e. Greater capacity-building of local governments to enable them undertake vulnerability assessments, design projects with community participation and report on spending in a clear transparent way.
- f. Ensure adequate representation and effective participation by households or local communities in the decentralized governance system to increase sustainability of development initiatives.
- g. Ensure that gender mainstreaming is strengthened in all climate change programmes either funded nationally or by bilateral, multilateral and international non-governmental organizations. In addition, all these initiatives should monitor and report on gender mainstreaming.

6.2.2 Local Governments

- a. The role of sub county administration in the climate change framework has been largely marginal. There is need to increase participation of the sub counties both in planning at the local government level and project implementation by CSOs since they are closer to the people and are likely to be more responsive to their needs. This may entail building human resources, increase level of awareness on climate change issues

and mainstreaming adaptation to climate change strategies in development plans.

- b. The communities not only have the capacity to make decisions on the projects that could benefit them, but also can be effective in utilizing resources. Thus, communities should be empowered to enable faster delivery of adaptation projects.
- c. Community / beneficiary contribution or cost sharing is critical in ensuring ownership and sustainability. Activities that were implemented without beneficiary contribution did not perform well. Thus encourage community / beneficiary contribution or cost-sharing in ensuring ownership and sustainability of projects.
- d. To understand how much money is actually spent at sub-national level, local governments and other implementing agencies need to make financial information publically available. This can be done through publishing such information on websites, public notice boards, through press releases, monthly announcements on the radio among others. Financial disclosure should be encouraged through the Access to Information Act, 2005.
- e. Most Local Governments have not integrated climate change in their development plans. Facilitating them to consider these issues in the planning process could also fast-track efforts at the centre to increase funding.
- f. There is need to promote the use and sharing of vulnerability information in the design of adaptation activities at sub-national level. In Mbale, the TACC project carried out its ITCP based on a participatory vulnerability assessment. However, other partners are reluctant to use the ITCP to guide design of other projects / interventions. Much more can be done to share information and coordinate projects among

²² NCCAC is chaired by the Minister of Water and Environment with technical representatives from various government departments at national level, representatives from the private sector, civil society organizations, academia and district authorities. Its mandate is to provide technical input to the National Climate Change Policy Committee.

NGOs and local governments to ensure information from one vulnerability assessment can be used by other projects and to optimise resource allocation.

- g. Mainstreaming of environment issues in sector budgets should be based on a reasonable percentage. Alternatively the different funds from the sectors can be pooled and managed by the ENR sector.
- h. There is need to involve the beneficiaries in designing of projects; this enhances ownership since they (beneficiaries) are part and parcel of the project.
- i. There is need to ensure that gender is beyond just involving both women and men, but rather addressing the systematic hindrances to mainstreaming gender in all programmes and a deeper analysis of power relations.

6.2.3 Development Partners

- a. International finance flows are not easy to come by, either, providing commitments at best. The effort to make relevant information available to the public domain can ease the mapping of adaptation efforts. Through the Development Partner Working Group, funding agencies should document, consolidate and make accessible, their adaptation activities and funding both to government and CSOs.
- b. Most projects interventions were affected by delays and wrong timing in the release of funds. Ensure timely disbursement of adaptation funds to ensure effective implementation of programmes. Where funds are released on time, there is a need to ensure that the procurement process does not impede implementation.
- c. The study found that most partners (donors) implementing adaptation projects in the districts to by-pass the local government system especially in handling finances of the project. Donors should not bypass LG systems but involve local governments in the administration of the funds in order to increase the

availability of financial information on the projects and increase accountability of funds.

- d. Facilitate capacity building at local level to help local governments and other implementers of adaptation projects undertake vulnerability assessments, design projects with community participation and report on spending in a clear transparent way.
- e. Support implementation of long term programmes rather than one-off projects, since these tend to be insufficient and fail to address long term climate change challenges.

6.2.4 Civil Society Organization (CSOs)

- a. Greater capacity-building is needed at local level to help local governments and other implementers of adaptation projects undertake vulnerability assessments, design projects with community participation and report on spending in a clear transparent way.
- b. Improvement of popular participation in the decision-making process under a decentralized administration as enshrined in the Local Government Act (1997) is an entry point for adaptation. Ensure adequate representation and effective participation by households or local communities in the decentralized governance system to increase sustainability of development initiatives.
- c. CSOs should play an important role in tracking adaptation spending and in creating demand for public accountability. There is need to build their capacity in expenditure tracking and increasing advocacy towards accountability and transparency in the utilisation of these adaptation funds.
- d. There is need to change the attitude of people in the communities towards issues on climate change through sensitization and empowering people with information.

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APPENDIX 1: STAKEHOLDERS INVOLVED IN CLIMATE CHANGE ADAPTATION ACTIVITIES IN UGANDA

	Development Partner	Project	Duration	Budget USD eqv	Budget in Muyambi (2013) (USD)	Budget in Verheijen (2011) (USD)	Budget in MoFPED (2012) (USD)	CRS 2010-2012 Adaptation Rio Marker (Inclusion only)
1	World Bank	Second Environmental Management and Capacity Building Project	2001-2012	24.10M	24,100,000	14,000,000	Not included	Not included
2	Embassy of Ireland	Environmental Accountability in Uganda Initiative	2010 - 2012	310,000	310,000	Not included	Not included	Not included
3	Embassy of France	Strengthening Environmental Governance at Village-level in Kampala City	2011-2013	38,500	38,500	Not included	Not included	Not included
4	Embassy of France	Making Energy Efficiency Affordable through Carbon Credits	2011-2013	17900	17,900	Not included	Not included	Not included
5	European Union	Increased access to energy efficient stoves among rural households in Northern Uganda and enhance local reforestation efforts.	Nov 2011 to 2015	1,268,000	1,268,000	1,607,000	Not included	Included
6	European Union	Global Climate Change Alliance: Adaptation to climate change in Uganda	2012-2016	13,425,628	13,425,628	15,400,000	Not included	Included (15,294,772)
7	FAO	Transboundary Agro Ecosystem Management project in the Kagera Basin	2010-2014	1.05M	1,050,000	1,050,000	1,040,000	Not included

	Development Partner	Project	Duration	Budget USD eqv	Budget in Muyambi (2013) (USD)	Budget in Verheijen (2011) (USD)	Budget in MoFPED (2012) (USD)	CRS 2010-2012 Adaptation Rio Marker (Inclusion only)
8	UNDP	Territorial Approach to Climate Change (TACC) for Mbale region	2010-2013	300,000	300,000	1,000,000	Not included	Not included
9	UNDP	Ecosystem-based Adaptation Programme for Mountain Ecosystems	2011-2014	1,731,733	1,731,733	2,600,000	Not included	Not included
10	UNDP	Strengthening Sustainable Environment and Natural Resource Management, Climate Change Adaptation, and Mitigation in Uganda	2011-2014	4,695,000	4,695,000	Not included	Not included	Not included
11	UNDP	Improving Policies and Strategies for Sustainable Environment, Natural Resources and Climate Risk Management Project	2011-2014	1,450,000	1,450,000	Not included	Not included	Not included
12	UNDP through WWF	Strengthening Sustainable Environment and Natural Resource Management, Climate Change Adaptation, and Mitigation in Uganda	Annual agreement until 2014	140,221	140,221	Not included	Not included	Not included
13	DFID	Territorial Approach to Climate Change (TACC) for Mbale region	2010-2013	450,000	450,000	480,000	Not included	Not included
14	DANIDA	Territorial Approach to Climate Change (TACC) for Mbale region	2010-2013	250,000	250,000	283,000	Not included	Included (275,712)

	Development Partner	Project	Duration	Budget USD eqv	Budget in Muyambi (2013) (USD)	Budget in Verheijen (2011) (USD)	Budget in MoFPED (2012) (USD)	CRS 2010-2012 Adaptation Rio Marker (Inclusion only)
15	German Embassy through GIZ	Reform of the Urban Water and Sanitation Sector in Uganda	2011-2014	6,000,000	6,000,000	4,000,000	10,940,000	Included (1,802,433)
16	German BMU	Ecosystems-based Adaptation in Mountain Ecosystems (EBA)	2011-2014	600,000	600,000	Not included	Not included	Not included
17	Austria Development Agency	Building Drought Resilience through Land and Water Management (2)	2012-2014	577,044	577,044	Not included	Not included	Not included
18	ECHO	Building Resilience to Drought in the Karamoja Region through Sustainable Natural Resources Management (NRM) in Catchment Areas	2012-2013	201,069	201,069	Not included	Not included	Not included
19	ILO and International Institute for Environment and Development	African Green Enterprises Development Project	2012-2013	200,000	200,000	Not included	Not included	Not included
20	Artists Project Earth (APE)	Promoting Awareness, Mitigation, and Adaptation Performance of a Waste-to-Energy	2012-2013	21,000	21,000	Not included	Not included	Not included

	Development Partner	Project	Duration	Budget USD eqv	Budget in Muyambi (2013) (USD)	Budget in Verheijen (2011) (USD)	Budget in MoFPED (2012) (USD)	CRS 2010-2012 Adaptation Rio Marker (Inclusion only)
21	Macarthur Foundation, The David and Lucile Packard Foundation, Usaid Global	HOPE Lake Victoria Basin	2011-2014	no budget	no budget	Not included	Not included	Not included
22	OXFAM GBU/ UKAID	Climate Change Advocacy	2012-2013	77,000	77,000	70,000	Not included	Not included
23	CORDAID Netherlands	Integrated Community Managed DRR, CCA, and EMR (ICMDCE)	2011-2015	266000	266,000	Not included	Not included	Not included
24	SIDA/WWF Sweden	Forests For People – Participatory Environmental Management in Uganda	3 years	1,644,106	1,644,106	Not included	Not included	Not included

APPENDIX 2: MAJOR NAPA ACTIVITIES IMPLEMENTED PER DISTRICT

District	Project	Activities	Comments
Apac	Sanitation and improvement and deforestation in an arid ecosystem	1. Tree planting	<ul style="list-style-type: none"> - Planted 37,000 seedlings targeting individuals and institutions - Challenges of getting more seedlings
		2. Energy-saving cooking stoves demonstration	<ul style="list-style-type: none"> - Done as a demonstration – provided to the interested households at discounted prices
		3. Construction of a water purification plant in Kayoi	<ul style="list-style-type: none"> - The project is not yet completed due to delayed funding - The interconnection with the biomass project under the World Bank might affect the functioning of the plant
		4. Media campaigns on climate change through radio spots / jingles	<ul style="list-style-type: none"> - Noted by the district officials as having made a lot of impact since it covered the entire district
		5. Vulnerability assessment study	
Bundibugyo	Soil erosion and deforestation in mountain ecosystems	1. Vulnerability assessment study	Supported by ACCRA
		2. Tree planting	Directly benefited approximately 1,500 people
		3. Improved cook stoves	Directly benefited approximately 75 households
		4. Soil and water conservation	Done in 10 groups each having 10 people
		5. Agricultural components	Approximately 80 people received improved seeds
		6. Community sensitization and awareness raising through radio talk shows	Targeted the entire district
		7. Training of communities in climate change	
		8. Exchange visits	Selected beneficiaries visited farmers in the Kabale district to learn from them

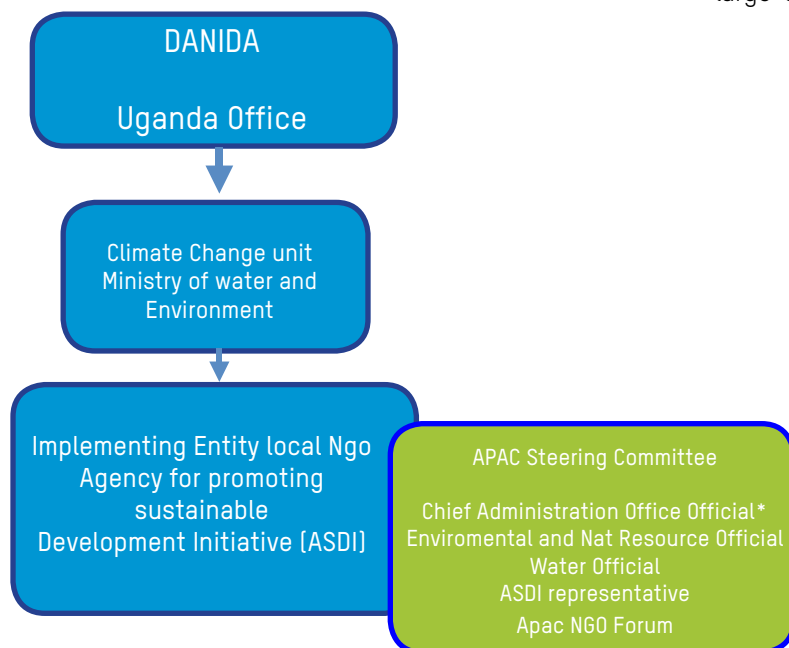
Nakasongola	Food security and drought management in semi-arid ecosystems in the cattle corridor	1. Construction of a valley dam	This was completed in Kyangololo. Ndaiga was awaiting the last disbursement to construct it.
		2. Tree planting	
		3. Exposure visits	
		4. Procurement and construction of a drip irrigation system	This was to be used for collective farming, as a demonstration.
		5. Livestock distribution	This was in Ndaiga community. It involved the distribution of goats and pigs, and the purchase of oxen.
		6. Training of communities	This was handled by the district local government.
Pallisa	Food security in drought management in lowland ecosystems	1. Exposure visits	
		2. Procurement and construction of irrigation system	The activity encountered implementation challenges. It is not yet complete.
		3. Training and promotion of energy saving stoves	Construction of the stoves involved some cost sharing.
		4. Awareness raising on climate change	
		5. Promotion of micro-irrigation	
		6. Procurement of fodder banks	
		7. Construction of water harvesting tanks	This activity was conducted on a cost sharing basis.
		8. Tree planting	

Source: NAPA district coordinators

APPENDIX 3: IMPLEMENTATION MODALITIES OF NAPA PILOT PROJECTS

In Apac, the pilot was implemented by the Agency for Promoting Sustainable Development Initiatives (ASDI). The district did not provide funding but provided the project site, political support, technical back stopping, monitoring, outreach through radio talk shows. There was a NAPA pilot steering committee composed of the local government officials (CAO, ENR, and Water), ASDI, and Apac NGO Forum). ASDI controlled the finances. However, the CAO was a signatory to the finances. The beneficiaries were selected by ASDI in collaboration with the district local government.

Structure of NAPA pilot in Apac



*The CAO was a signatory to the MoU, but the administration of the funds was done exclusively by the ASDI.

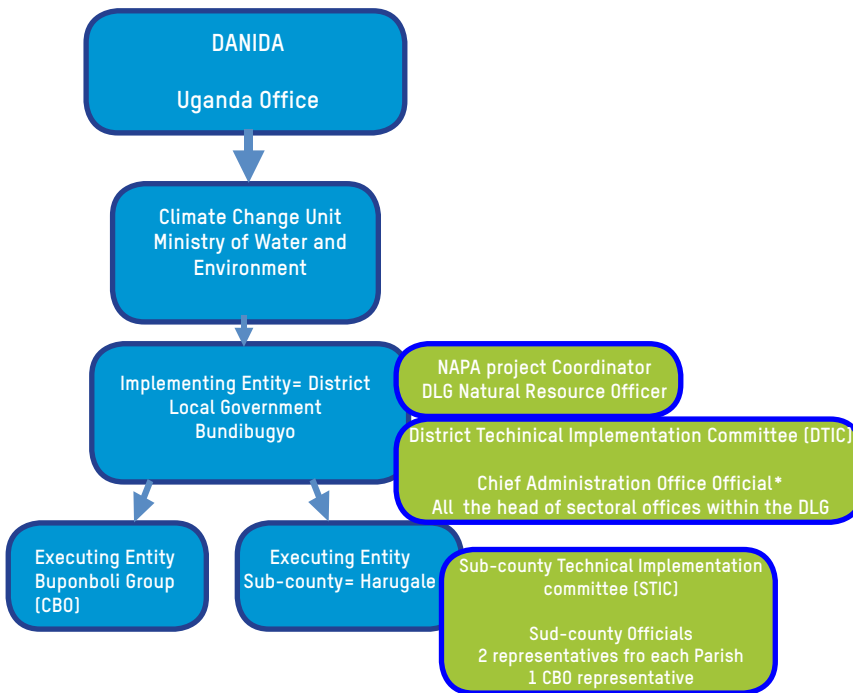
In Bundibugyo, the pilot was implemented directly by the sub-county government of Harugale. The Bundibugyo district set up a technical implementation committee, chaired by the CAO and composed of all sector/department heads. The committee allocated the funds according to the funding proposal. The Harugale sub-county was selected on the basis of a vulnerability study conducted by the Africa Climate Change Resilience Alliance (ACCRA), which found that the region was heavily deforested (due to large-scale cultivation and charcoal burning), susceptible to potential landslides (due to poor agricultural practices), and faced water scarcity issues.

A sub-county technical implementation committee was also established in Harugale. It was composed of 15 people (2 from each parish), a CBO (Bukombole Tree Management), and sub-county officials. In addition, the tree planting sub-project was implemented by a local CBO, Bupomboli Group.

Beneficiaries were selected by the sub-county staff, community-based facilitators, and local council officials, based on the following criteria: willingness to participate; having a permanent crop (i.e., coffee, cocoa); willingness to cost-share cook stoves; ability to sustain the activity (i.e., maintaining the stoves); possession of at least one acre of land; inclusion of women; not being a beneficiary of other programs such as National Agriculture Advisory Services (NAADS);

being active community members; being known by the community as trustworthy; and having at least a semi-permanent house with a kitchen (shelter) for improved cook stoves.

Structure of NAPA pilot in Bundibugyo



In Nakasongola, there were two main partners in the implementation framework; the district local government and two communities. The district local government received funds from the CCD. At the district level, a core team comprised of the district's technical staff was set up to provide technical assistance and oversight to the project. The district environment officer was designated to

coordinate NAPA project activities. He was required to make frequent field visits, interface directly with the communities, and provide technical guidance on procurement, needs assessments, and quality assurance. Two communities; Ndaiga and Kyangogolo established elected committees to oversee implementation at the community level. The

committees managed the procurement process, selected beneficiaries and activities distribution, and provided overall accountability. Decisions were arrived at in a highly consultative manner.

In Pallisa, the pilot was implemented by non-governmental organizations. Funds from the CCD were received by DENIVA, which had full accounting responsibility for all project funds, including those retained for monitoring and funds disbursed to the Pallisa Civil Society Network (PACONET). At the district level, PACONET was responsible for accounting for all resources spent at the project level, including money sent by the Gogonyo Reflect Development Organization (GORED0) a community-based organization contracted to directly interface with the community and select beneficiary households in the Gongoyo sub-county. The original approach was to disburse funds to both PACONET and GORED0. However, GORED0 was slow at

reporting and a decision was made to transfer resources only to PACONET, who would oversee all activities in collaboration with GORED0.

APPENDIX 4: COMPARISON OF NAPA PILOT IMPLEMENTATION MECHANISMS

District	Mechanism	Strengths	Weaknesses
Apac	CSO - Agency for Promoting Sustainable Development (ASDI)	<ul style="list-style-type: none"> - Proposal development was highly participatory, involving the Apac District Climate Change Action Forum and local government officials - NAPA steering committee composed of local government officials (CAO, ENR, and Water), ASDI, and the Apac NGO Forum - Some degree of public/private partnership - CAO was a signatory to the finances. - NAPA funds were supplementing on-going projects in Akakol S/C (Biogas plant) 	<ul style="list-style-type: none"> - Low levels involvement of local government officials (technical advice, M&E etc) - The steering committee was not effective during implementation. - Minimal ownership by beneficiaries - The water purification plant was not fully community-owned due to poor attitude of local fishermen. - Most institutions that were given tree seedlings are unable to manage them. - Poor documentation of financial accountability
Bundibugyo	Local government (district and sub-county)	<ul style="list-style-type: none"> - High-level involvement of local government officials - Use of local government finance and accountability system - Multilateral approach (DTIC, STIC, and CBO-Bukombole Tree Management) - Involved beneficiaries in implementation - Some level of gender consideration - Used local resources (cook stove materials) 	<ul style="list-style-type: none"> - Centralized procurement at the district level - Less involvement of beneficiaries in accountability of funds - Beneficiaries may not be the poorest and marginalized due to stringent selection criteria - Poor documentation of financial accountability

District	Mechanism	Strengths	Weaknesses
Nakasongola	District local government through community groups (Ndaiga in Rwabiyata S/C, and Kyangogolo in Nabisweera S/C)	<ul style="list-style-type: none"> - High level of community involvement in implementation - High degree of ownership due to democratic decision making and cost sharing - High level of transparency in project selection and accounting at community levels - Less interference of local government officials in community activities - Limited procurement delays 	<ul style="list-style-type: none"> - Community dynamics affected effective implementation - Sub-county officials did not show commitment to the project - Community committees had limited capacity to account for the funds. - Poor documentation of financial accountability
Pallisa	CSO- DENIVA through PACONET	<ul style="list-style-type: none"> - Community involvement in vulnerability assessment and project selection, which was pivotal in project ownership - Working with local CBO provided the capacity for implementation of activities at the grassroots level. 	<ul style="list-style-type: none"> - Selection of beneficiaries was less democratic. At times it was left to the discretion of the implementing CBO. - Poor documentation of financial accountability

APPENDIX 5: SLM GEF BUDGET (REVISED IN 2013)

Outcome	Output	Responsible partner	Year 1 2011	Year 2 2012	Year 3 2013	Year 4: 2014	Year 5: 2015	Total (USD)
Outcome 1: The policy, regulatory, and institutional environment support sustainable land management in the cattle corridor. In particular, policy and legislation for sustainable charcoal and tenure security was strengthened.	1.1: Policies/ legislative, and institutional reviewed	MEMD	5,280	6,632	10,653	40,000	2,000	64,565
	1.2: Security of tenure for land and resources increased as an incentive for investing in SLM.	MoLHUD	14,876	26,570	23,632	92,000	46,000	203,078
	1.3: National policy for regulating sustainable production, processing, and marketing of charcoal in place	MEMD	0	0	24,032	18,000	15,000	57,032
	Outcome Total		20,156	33,202	58,317	150,000	63,000	324,675
Outcome 2: Knowledge- based land use planning forms the basis for improving drylands sustainable economic development.	2.1: Biophysical and socio-economic assessments undertaken and information analyzed	NARO	0	0	42,868	43,600	53,000	139,468
	2.2: Capacity for land use planning and adoption of improved practices in place	MLHUD	8,327	31,570	3,286	41,000	13,000	97,183
	2.3: Particularly degraded lands rehabilitated	GRANTEES	0	5,000	6,056	72,000	24,000	107,056
	2.4: A participatory M&E system designed and used to monitor ecosystem health and improvements in livelihoods.	MAAIF	0	10,368	12,823	32,000	12,000	67,191
	Outcome Total		8,327	46,938	65,033	188,600	102,000	410,898

Outcome 3: Local economic development was strengthened through diversification and improved access to finance and insurance.	3.1: Agricultural productivity increased sustainably (Co-finance)-Grants		0	0	0	0	0	0
	3.2: (a) Viability of the production system increased via access to micro-finance, credits, and insurance.	MTIC	-	1,610	26,090	28,000	19,000	74,700
	(b) Support adoption of proven sustainable agricultural practices and technologies based on biophysical assessments undertaken and new findings	GRANTEES	0	9,458	119,696	70,000	50,000	249,154
	3.3: Support to sustainable charcoal production delivered	MWE and MEMD	0	47,386	16,287	59,000	5,571	128,244
	3.4: Livestock mobility supported as an adaptation technology		0	0	9,090	24,000	3,000	36,090
	Outcome Total		0	58,454	171,163	181,000	77,571	488,188
Outcome 4: Project Management	Learning, Adaptive Management, Monitoring & Evaluation		15,472	7,697	18,954	21,498	30,000	93,621
	Project Management Unit		101,769	64,352	106,226	167,000	74,000	513,348
	Outcome Total		117,242	72,049	125,181	188,498	104,000	606,969
Grant Total			145,725	210,642	419,694	708,098	346,571	1,830,730

APPENDIX 6: OTHER PROJECTS IMPLEMENTED IN THE DISTRICTS

District	Project	Funder/s	Implementing agency	Comments
Mbale	MERECF	Norwegian government		<ul style="list-style-type: none"> Implemented in Budwale and Bubyangu S/Cs. The project is involved in tree planting mainly at the boundaries of the park. It also promotes bee keeping.
	FIEFOC	AfDB	MWE	<ul style="list-style-type: none"> Implemented in the Nyondo and Busoba S/Cs. The project supported afforestation.
	1 million and 10 million tree project	<ul style="list-style-type: none"> Waterloo Foundation Welsh government 	Mbale CAP	<p>The activities were implemented by four organizations of:</p> <ul style="list-style-type: none"> Share an Opportunity (Busiyu sub-county) Gumutindo Coffee Cooperative (across the districts) Salem Brotherhood (across the districts) Bunghoko Rural Development Center (mainly in Bunghoko)
			ECO-Trust	<ul style="list-style-type: none"> Carbon trading in Wanale and Nyondo S/Cs
	<ul style="list-style-type: none"> Mt Elgon Zone DRR River Manafwa Basin project Reducing Risk and Strengthening Resilience 	<ul style="list-style-type: none"> Norwegian Embassy DFID 	Red Cross	<ul style="list-style-type: none"> Focused on reducing risk in the community and enhancing resilience. It's implemented in Mbale, Bududa, Bukwo, and Kapchorwa districts Implemented in Mbale, Sironko, Bududa, and Kapchorwa districts and focused on strengthening institutional and community capacity.
			Salem Brotherhood	<ul style="list-style-type: none"> Tree planting projects started as forest department, and have been implemented over the years. The aim was to create a green belt around the Nakaloke area.
			Uganda Concerned Women Ministries	<ul style="list-style-type: none"> Involved in tree planting, promotion of dairy production, and biogas promotion
			World Vision Namanyonyi S/C	<ul style="list-style-type: none"> Implementing a bio-gas project under their food security project
		<ul style="list-style-type: none"> Mbale CAP Tukolerewamu partners in Germany 	Heifer International	<ul style="list-style-type: none"> Promoting the use of biogas by subsidizing the cost of the construction of a biogas system
			Coffee a Cup	<ul style="list-style-type: none"> Involved in coffee and tree planting as well as promoting the use of improved stoves
			IUCN	<ul style="list-style-type: none"> Tree planting along the Manafa river catchment area

Nakasongola	Adaptation to the Impact of Climate Change and Variability project	IDRC	Africa Innovation Institute (AFRII)	<ul style="list-style-type: none"> Created innovation platforms for three farmer categories
	FIEFOC	AfDB	MWE	
	CHAI using ICT			<ul style="list-style-type: none"> Project was piloted in the districts of Nakasongola, Soroti, and Sembabule. Project involves weather forecasting using ICT.
	<ul style="list-style-type: none"> FMNR LIFE 	DFAT (Austria) and WV Austria	World Vision	<ul style="list-style-type: none"> This is a five-year project in the Nakitooma sub county. It is mainly focused on technology; regeneration of tree stamps Partners with the district (district officials train farmers)

The Climate Action Network Uganda (**CAN-U**) is a registered civil society coalition comprising of Non Governmental Organizations, Academia, and private sector players working on actions to combat climate change in Uganda. CAN-U has more than 180 members based in all the regions of Uganda and is affiliated to the Climate Action Network International (CAN-I).

Our vision is 'A leading network advancing climate change action in Uganda. Our vision is supported by a mission to actively promote positive climate change action through advocacy, networking and programme development'

CAN-U has a secretariat managed by a technical team who are supervised by an Executive Committee. The General Assembly is the overall governing body.

CAN-U's core work is on climate change policy and advocacy that is based on solid evidence gathered through cutting edge research. We mainly work through collaborative partnerships at local and international levels where we draw on a highly experienced human resource to support our research. This report is a clear evidence of this high level of collaboration where **CAN-U** collaborated with the Overseas Development Institute, **OXFAM** and the World Resources Institute. We value both international and local content in all our work. We believe that cooperation enhances synergies that lead to efficiency and accountability. For more info. See: www.can.ug



Oxfam is an international confederation of **17 organizations** working together with partners and local communities in more than 90 countries to find lasting solutions to poverty and injustice. In Uganda, Oxfam started work in the **1960s** and since then it has continued working to implement both development and humanitarian programs to support practical innovative ways for people to lift themselves out of poverty.

Whereas our program footprint is currently focused in the greater north of Uganda, i.e West Nile, Acholiland, Lango, Teso, and Karamoja, we have a vision of a Uganda free of extreme inequality and injustice; a society where citizens (and particularly women) across all age groups claim and exercise their rights and responsibilities and are able to influence decisions that affect their lives. We work nationally through policy advocacy and campaigns anchored on our development and humanitarian programs.

In a world rich in resources, Oxfam believes that poverty is not a fact of life but **an injustice to be overcome**. We therefore work with poor communities, local organizations, volunteers and supporters to make this a reality.

As we strive to achieve lasting solutions to poverty and injustice, we lead by example through our values of empowerment, accountability, inclusiveness. We put women's rights at the centre of our work.

In Uganda, our program is anchored on three broad themes deliberately focused on women's rights:

Resilient livelihoods: (focusing on land rights for women and pastoralists, engendered value chains and markets, climate change adaptation, youth unemployment and unpaid care work for women including gender based violence)

Governance and accountability: (Focusing on active citizenship around taxes and budget allocation, extractives and women leadership. Key focus is on facilitating citizens and especially women voices)

Humanitarian work: (Focusing on Preparedness, humanitarian capacity building and emergency response particularly on WASH, EFSVL and protection of women and children).

For more info. See www.oxfam.org

