



# **MIDTERM EVALUATION**

## **Conservation of Biodiversity in the Albertine Rift Forests of Uganda**

Final report

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## **Acronyms**

AIG	Alternative Income Generating activities
ARCOS	Albertine Rift Conservation Society
ARF	Conservation of Biodiversity in the Albertine Rift Forests of Uganda
AWP	Annual Work Plan
BD	Biological Diversity
CAO	Chief Administrative Officer
CBNRM	Community Based Natural Resource Management
CBO	Community Based Organization
CFM	Collaborative Forest Management
CFR	Central Forest Reserve
CO	County Office
CPAP	Country Programme Action Plan
CSWCT	Chimpanzee Sanctuary and Wildlife Conservation Trust
DDP	District Development Plan
DEAP	District Environment Action Plan
DEO	District Environment Officer
DFO	District Forestry Officer
DFS	District Forestry Services
DLG	District Local Government
ECOTRUST	Ecological Conservation Trust of Uganda
ENR	Environment and Natural Resources
EOP	End of Project
EU	European Union
FIEFOC	Farm Income Enhancement and Forest Conservation Project
FMP	Forest Management Plan
FRMCP	Forestry Resources Management and Conservation Project
GEF	Global Environmental Facility
GoU	Government of Uganda
IEC	Information, Education, Communication
JGI	Jane Goodal Institute
KICODA	Kapeka Integrated Conservation and Development Association
LUP	Land Use Plan
M&E	Monitoring and Evaluation
MAAIF	Ministry of Agriculture, Animal Industry and Fisheries
METT	Management Effectiveness Tracking Tool
MOLG	Ministry of Local Government
MoU	Memorandum of Understanding
MTE	Mid-Term Evaluation
MTTI	Ministry of Tourism, Trade and Industry
MWE	Ministry of Water and Environment
NAADS	National Agricultural Advisory Services
NaFORRI	National Forestry Resources Research Institute
NDP	National Development Plan
NEMA	National Environment Management Authority
NFA	National Forestry Authority
NFP	National Forest Plan
NGO	Non-Government Organization
NORAD	Norwegian Agency for International Development
NPC	National Project Coordinator
NPM	National Project Manager

NPSC	National Project Steering Committee
NRM	Natural Resource Management
NSA	Non State Actors
OECD	Organization for Economic Cooperation and Development
PA	Protected Area
PDF	Project Development Fund
PEAP	Poverty Eradication Action Plan
PES	Payment for Ecosystem Services
PFO	Private Forest Owners
PFOA	Private Forest Owners Association
PIMS	Project Information Management System
PIR	Project Implementation Report
PMU	Project Management Unit
PPG	Project Preparation Grant
PRODOC	Project Document
REPA	Rights Equity and Protected Areas (CARE project)
SEA	Strategic Environmental Assessment
SGP	Small Grant Projects
SMART	Specific – Measurable – Achievable and Attributable – Relevant and Realistic – Time-bound, Timely, Trackable and Targeted
SRF	Strategic Result Framework
TA	Technical Advisor
TOR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UWA	Uganda Wildlife Authority
WB	World Bank
WCS	Wildlife Conservation Society
WWF	World Wide Fund for Nature

# 1. EXECUTIVE SUMMARY

## Introduction, the project and its development context

The 'Conservation of Biodiversity in the Albertine Rift Forests in Uganda' (ARF) project started 1996 with its entry in the GEF pipeline. PDF – A and B studies were completed 2002/3. The project was approved in 2007, but implementation started in March 2008. The project was designed to address the threats to biodiversity in the Albertine Region, identified as: (i) forest conversion caused by encroachment for agricultural land, (ii) hunting for bush meat, (iii) charcoal burning, (iv) illegal timber harvesting and (v) mining. These threats, coupled with weak conservation agencies at decentralised levels, have resulted in considerable loss of forest cover, especially on private and public land. The project will contribute to the **goal** 'Conserve and manage rich biodiversity forests in the Albertine Rift, allowing Sustainable Development for all Stakeholders'. The long term **objective** (purpose) is 'to support conservation and management of nationally and globally important biodiversity resources in Albertine Rift forests in Uganda'. The expected outcomes are: A: Develop an overall conservation and management strategy for the Albertine Rift Forested Protected Area (PA) systems; B: Support Central Forest Reserves conservation and sustainable management; C: Secure and manage the Northern corridor to ensure connectivity of the Albertine Rift protected area systems; D: Strengthen linkages between forest conservation and sustainably improved livelihoods. The full-sized GEF project focuses on Planning Unit 1, the northern section of the Albertine rift in western Uganda and covering the districts of Buliisa, Masindi, Hoima, Kibaale, Kyegegwa and Kyenjojo. A mid-term evaluation was foreseen and initiated by UNDP to assess project achievements from its start April 2008 up to October 2010.

## Methodology

This evaluation has applied a mixed methods approach using multiple data sources and a participatory approach by conducting semi structured interviews and gathering data directly from individuals and focus groups at central but in particular at local level. Main evaluation methods were: documentation review; evaluation matrix to identify strengths and weaknesses, rating of each evaluation criteria, using the following qualitative performance indicators: highly satisfactory (HS), satisfactory (S), moderately satisfactory (MS), moderately unsatisfactory (MU), unsatisfactory (U), highly unsatisfactory (HU). An interview guide was developed for the semi-structured interviews with the different key informants and focus groups, using the participatory evaluation tool SWOT (Strengths – Weaknesses – Opportunities – Threats). A representative sample of field checks completed the data finding process. The findings have been linked to the nine key questions of the TOR and the five internationally accepted evaluation criteria: Relevance, Effectiveness, Efficiency, Impacts, Sustainability. The recommendations are prepared in agreement with the key stakeholders and have been validated during a presentation workshop.

## Evaluation findings

### (Q3) Project formulation:

The relevance of the initial project formulation is (S) in the context during the PDF- A and B studies (2001 – 2003). But the long period from formulation to project start-up (2008) reduced the performance and relevance of the PRODOC to (MS): several outputs had already been done or were not any longer possible in the original formulation, importance of some players became much higher, restoration instead of forest protection became more relevant, number of districts increased and potential co-financing partners (EU, IFAD, Mac Arthur, IGCP, FAO) had already gone. The global performance of the project formulation is (MS), due to decreasing relevance/feasibility and weaknesses in indicator/baseline formulation.

### Implementation:

- Planning, execution and implementation modalities (Effectiveness): The project had a very slow and ineffective start-up (MU), without strategic planning and dispersion of activities, often not respecting a logical order until the very late arrival of the TA in 8/2009. Significant management improvements have been made since AWP 2010, but are still in an early stage (MS). Challenges persist with extremely complicated procurement procedures, slowing down significantly sub-contracting and effective implementation (U). Financial planning, reporting and flux of funds are (MU). Delays in UNDP funds ability and slow internal control mechanisms are important challenges, often totally blocking the planned, sometimes time-bounded activities. Efficiency is the major challenge (U), arising from failure to realise the anticipated co-funding to meet management costs in particular, dispersed and poorly coordinated activity implementation in 2008/9, sometimes very expensive design of activities and procurement of cars for WWF CO and implementing partners, lead to diminution of funds that would otherwise be used for achieving expected outcomes. Significant improvements have been made concerning staff use, drop down of implementation costs and strategic concentration on relevant activities since the strategic planning in 12/2009, but it's impossible to recover the already spent funds. M&E is still (MU), due to inappropriate indicators and unrealistic targets since project formulation and several key baseline data are still under development. The M&E design is reasonable but has been developed much too late with insufficient budget allocations to M&E.
- (Q2): A sound and relevant adaptive management since the arrival of the TA (S) and the strategic planning 12/2009 have significantly improved the consistence of the project with the recent evolutions. Overall adaptive management is (MS), but implementation of changes has just started. Steps to address risks are undertaken by

proposed reformulation of some outputs and new complementary interventions and risk management is (MS).

- (Q4): Local relation- and partnerships (MS). Coordination mechanisms between the main implementation partners are -beside the AWP- informal and modified from the PRODOC, but effective. Problems exist with cooperation with actors outside the forestry/environment sector because coordination at district level is poor and the project supplies very limited support to ensure that environmental issues are taken into account by the local leaders. Local partners are mostly competent and produce useful products since contracts are clear (AWP 2010), but sub-contracting is a pre-condition for most of their assistance. Usual monitoring tasks are done by MWE, UNDP and WWF CO (MS), but concrete inputs, especially before the arrival of the TA, were very limited, like UNDP and MWE 'soft' assistance'. Delays in approval of AWPS by UNDP are more a challenge to project implementation than support. Further, WWF CO is successful to fill some gaps with other initiatives of their country portfolio, but as well creates another administrative layer between PMU and UNDP, likely to cause further bureaucratic delays.
  - (Q5): Local stakeholder participation is (MS). Local NSA and traditional authorities are successfully involved in awareness raising activities and PFOAs plays a leading role for local land use planning. However, District involvement and ownership of the project is still poor. All CBOs are very young, still learning organisations and implementation capacities of the involved local stakeholders are in general poor. The integration of the gender perspective is (S), women participate pro-active in several activities.
- Global performance of the project implementation is today (MS), due to persisting M&E challenges, delays in fund disbursements and unsatisfactory project efficiency.

#### **(Q1): Results:**

- The progress towards achieving the expected outputs and outcomes is (MS), but implementation on the ground is (MU). Important strategic outputs for the planning (corridor mapping, biological and socio-economic baseline data) have been realised very late, reducing effectiveness and relevance of activities implemented earlier. Good progress has been made with the outputs of outcome A (Strategic plan) and achievement until EOP seems to be possible (S). Several outputs of outcome B (CFR) have been partly realised (such as FMPs), but expected targets of boundary and restoration works are totally over-estimated and continuation of the recurrent works is not assured (MS). Achievement of outputs under outcome C (corridor) is a challenge (MU). The preparatory activities like awareness raising and organisation of PFO for local LUP have just started. Achievement of the outcome is very difficult and it's only potentially possible for a very small part of the corridor because important restoring work will be necessary. The achievement of outputs under outcome D (incentives) is another challenge (MU): Realised activities did not have expected impact due to dispersed implementation without clear links to forest conservation and insufficient assistance for the CBO. Until now no convincing short term strategy is visible to create attractive incentives and alternative livelihoods for sustainable use of forest resources. Deforestation is still increasing, especially outside CFR. An objective, measurable appreciation of target achievement is often not possible due to the weaknesses of PRODOC indicators. The project has not created major unexpected results (Q8). The global impact of ARF is (MS): Positive behaviour changes, improvement of the social relations between NFA and local population, first small steps towards improvement of legal conditions at local level and a slight CBO movement contrast with insignificant impact on socio-economic conditions and invisible environmental impact (U) up to date.
- (Q6) Sustainability is (MU). Relevant actions, such as Strategic planning, building of a common vision, support to DEAP, landscape approach, capacity building for CBO have been done, but convincing short term solutions for sustainable financing are unlikely, root causes of forest degradation are very difficult to be addressed and future ownership of project products, in particular of the 'Strategic plan' (A) is not yet assured.
- (Q7) Contribution to upgrading skills of the national staff is (MS). Awareness raising reaches the people effectively and theoretical skills are upgraded. But the communication strategy was formulated very lately and trained people have few opportunities to put new skills into practice due to their limited capacities (mainly financial) and limited facilitation by the project. External factors have been mostly negative; they slow down implementation, but didn't hamper the project work significantly at the actual stage.

#### **Conclusions**

The global performance of the project is evaluated as (MS) and the MTE mission recommends its continuation. This appreciation is justified by the fact that the project implementation has significantly improved since its difficult and unsatisfactory start-up, which was partly not the responsibility of the project team. The project has promoted stakeholder participation, and through strategic planning process understanding of concepts of forest conservation and the forest corridor connectivity has been enhanced. Useful information (such as maps and corridor analyses) has been generated and is being utilised by various stakeholders. The long period between the project formulation and the start-up, weaknesses in the PRODOC which is the base for implementation, and extreme administrative challenges and problems at higher level have significantly reduced the project performance. The project is still far from the expected results at this stage, but is now, due to satisfactory adaptive management, structured in an operational manner to progress towards the expected objectives. Nevertheless important challenges persist, in particular concerning finance management, efficiency, M&E, sustainability and global environmental impact, and can only partly be addressed by corrective measures.

### **(Q9) Lessons learnt**

- Implementation start of projects in a reasonable timeframe after the project formulation is very important, sometimes crucial for relevance, effectiveness and efficiency.
- Much attention should be given to a good project start-up. Sufficient technical/strategic competences have to be available in this critical phase to ensure strategic planning and effective implementation of project operational structures from the beginning. Later recovery is difficult and expensive.
- Financial/procurement procedures and management arrangements should be as simple as possible, without useless 'trickle down implementation', and with a certain implementation flexibility and in-time financial flux. This allows projects to operate effectively and avoids inefficient administration expenditures.
- Management planning and planning tools on global strategic levels change nothing if they are not directly combined with pragmatic implementation on the ground where every stakeholder can find his interest.
- Multi-stakeholder project implementation approach is difficult without a strong coordination and monitoring mechanism for quality assurance from the beginning
- Co-funding letters are not a guarantee for expected impacts and important contributions to a project.

**Key recommendations for corrective measures** (addressed to PMU(1), UNDP(2), WWF CO(3), MWE(4).

**Project formulation and M&E:** SRF needs some adaptation. Revision of indicators to actual situation and realistic targets and formulation of practicable indicators (SMART indicators) are required (1)

#### **Implementation:**

- Bring the project back to the ground, people have to understand the strategic objectives and outcomes and have to find their interest in the project (1)
- Ensure that studies for sustainable financing mechanisms (A1) include not only sophisticated hypothetical long term solutions but practical pragmatic short term solutions. Special attention has to be given to realistic financial and economic sustainability otherwise all forest outside CFR will have gone. (1)
- Internalise implementation process as much as possible in existing, mandated district structures. and intensify direct involvement of local government structures (DFO) (1)
- Shift as much as possible from the actual 'workshop approach' to 'training on the job' (1)
- Play a facilitator role to solve implementation problems of CBO. Train them in self-financing/ micro-project planning and proposal writing by 'Training on the job' (1) and link them to potential funding sources (2, 3)
- UNDP, MWE should provide more pro-active 'soft' assistance to facilitate the project implementation (alternative additional (co-)funding, lobbying for higher GoU funding for the sector). In particular NPC should support the project to speed up approval procedures for FMP, but PMU has to indicate their needs. (2, 4)

**Project Management/procedures/procurement:** Simplification of management/ implementation arrangements is highly recommended. Urgent need exists to find more practical solutions for procurements/procedures. PMU needs more flexibility/independence in financial planning/management. (2, 3)

### **Proposition of future project orientation to strength its contribution to objectives and the goal**

Correction measures can solve only a small part of the **low efficiency**. A total of 1,167,838 \$ is available until EOP, but the remaining budget for operational costs is only 251,110 \$. A complete revision of the SRF and budget allocations or reduced project duration are necessary if no new funding can be found until AWP 2011. The different other options are:

#### **A) Reducing project management costs and save not delivered funds**

- **Simplify implementation arrangements:** Started already. MTE mission recommendation: **continue**.
- **Staff and logistic:** There is **no realistic potential**.
- **Reducing project duration (54 months instead of 60 months):** Is a **valid option**. The potential reallocation to the operational budget would be 219,666 \$. Decision should be taken by the NPSC, UNDP and GEF.
- **Reallocate remaining UNDP direct costs funds:** Calculated at 267,347 \$, they are used only partly, MTE mission proposes to check the option to **reallocate the remaining 74,347 \$ to the operational budget**.

**B) Reallocation of budget and concentration on most important outcomes which can be achieved during project life.** The MTE mission proposes to **concentrate all possible resources on outcome C and D**. Reasons: Progress towards **outcome A** is (S) and reallocation of ARF funds will not stop the whole progress. Most outputs of **outcome B** have been realised or enter into daily routine of NFA. ARF can not make a significant contribution. NFA and MWE must find other solutions to finance recurrent costs. **Outcome C** is strategic for forest connectivity. Baseline studies (draft reports) and corridor mapping are done, first preparatory activities for local LUP in the strategic area are ongoing and continuation of the process up to the end of restoration in some pilot sites is essential to prove the feasibility of the approach. Lessons learnt have shown the unavoidable need to integrate the economic interests of the local population (**outcome D**). A lot of work can be done by the PMU in a restricted area of the strategic corridor, but financial resources are necessary for capacity building and start-up support to activities from CBO (PFOA, CFM).



## 2. INTRODUCTION, PROJECT DEVELOPMENT CONTEXT

### 2.1 Project start and its duration

Conservation and forestry projects and initiatives in the Albertine Rift region have a long history and the project identification started 1996 with its entry in the GEF pipeline. The project formulation process started with an inception workshop in 2002 and the PDF A and B studies completed in 2002 and 2003. The draft PRODOC was submitted 2004 and the project had been anticipated to run from 2006 – 2011. But the PRODOC had to be completed and revised and the approval process was finalized with the PRODOC signature on 8<sup>th</sup> May 2007, rescheduling the implementation for the period April 2008 – May 2013.

Implementation started with the signing of the contract (MoA) between UNDP and WWF in March 2008 and first recruitments in May 2008. An inception process characterised by several workshops was conducted in August and September 2008 and the first National Project Steering Committee was held on 30<sup>th</sup> April 2009.

### 2.2 Problems Statement

The project was designed to address threats to biodiversity in the Albertine Region which is globally and nationally important. These were identified as: (i) forest conversion caused by encroachment for agricultural land, (ii) hunting for bush meat, (iii) charcoal burning, (iv) illegal timber harvesting and (v) mining. These threats, coupled with weak conservation agencies at decentralised levels, have resulted in considerable loss of forest cover, especially on private and public land. The project seeks to address the barriers and underlying root causes of biodiversity loss.

### 2.3 Main stakeholders

The main stakeholders of the project were identified to include statutory conservation agencies (NFA, UWA, NEMA), MAAIF, Makerere University), international agencies (UNDP as executing agency of GEF and donors), Government bodies (e.g MWE, local governments), conservation NGOs (WWF, WCS, IUCN, ARCOS), private land owners, private investors (Kinyara Sugar Works Corporation, British American Tobacco, Rwenzori Highland Tea Company, community based organizations (CBOs), and local community forest user groups, resource users.

### 2.4 Goals, Objectives and expected Outcomes of the project

The 'Conservation of Biodiversity in the Albertine Rift Forests in Uganda' (ARF) project will contribute to the **goal** 'Conserve and manage rich biodiversity forests in the Albertine Rift, allowing Sustainable Development for all Stakeholders'.

The long term **objective** (purpose) of the project is 'to support conservation and management of nationally and globally important biodiversity resources in Albertine Rift forests in Uganda'.

The expected outcomes of the project are:

- **Expected outcome A** : Develop an overall conservation and management strategy for the Albertine Rift Forested Protected Area (PA) systems.
- **Expected outcome B** : Support Central Forest Reserves conservation and sustainable management
- **Expected outcome C** : Secure and manage the Northern corridor to ensure connectivity of the Albertine Rift protected area systems
- **Expected outcome D** : Strengthen linkages between forest conservation and sustainably improved livelihoods

The full-sized GEF project ARF focuses on Planning Unit 1, the northern section of the Albertine rift in western Uganda. This area extends from Murchison Falls National Park and Budongo Forest Reserve (FR) to forests within the Tooro-Semuliki Game Reserve at the foot of Rwenzori Mountain National Park and covers about

250,000 ha (including Central Forest Reserves) in six districts: Buliisa (formed in 2006), Masindi, Hoima, Kibaale, Kyegegwa (formed in early 2010) and Kyenjojo District. (cf. annex 6.8.4).

### **3. EVALUATION OBJECTIVES AND SCOPE**

#### **3.1 Purpose of the evaluation**

According to GEF/UNDP evaluation policies and the PRODOC of the project 'Conservation of Biodiversity in the Albertine Rift Forests of Uganda' a mid-term evaluation of the 5 year project was foreseen. Accordingly, this mid-term evaluation was initiated by UNDP to assess the achievements of the project from its start April 2008 up to October 2010. This mid-term evaluation is intended to identify potential project design problems, assess progress towards the achievement of objectives, identify and document lessons learnt (including lessons that might improve design and implementation of other UNDP/GEF projects), identify risks and counter-measures and to make recommendations regarding specific actions that might be taken to improve the project. The MTE had as objectives: (i) to monitor and evaluate results and impacts, (ii) to provide a basis for decision making on necessary amendments and improvements, (iii) to promote accountability for resource use; and (IV) to document, provide feedback on, and disseminate lessons learnt

Further, the mid-term evaluation aimed at assessing signs of project success or failure and prompt necessary adjustments, and identifying factors that have affected project implementation and facilitated or impeded the achievement of the objectives and attainment of results. The evaluation findings are expected to be used by UNDP, the GEF Secretariat, the Government of Uganda, World Wide Fund for Nature (WWF), implementing partners and local communities who are the main stakeholders of the project.

#### **3.2 Evaluation questions**

According to the TOR and as integral part of the project cycle, this mid-term evaluation focused on project design, implementation, results, relevancy, effectiveness, efficiency, sustainability, unexpected effects and lessons learnt to address/provide answers to the underlying key questions:

- Q1. What progress has been made towards achieving project national and global environment objectives and project results (outputs, outcomes and impact)? What can the project do better in future in order to improve on the achievement of results?
- Q2. How have project activities changed in response to new environment conditions, particularly the changing political agendas for forest and land ownership? Have the changes been appropriate in line with project objectives?
- Q3. How relevant, appropriate and strategic are the project results (outputs, outcomes and impact) to national goals and the UNDP mandate?
- Q4. What is the strength and weakness of current and likely relationships and partnership arrangements of the project with stakeholders (civil society and public) in delivering project objectives? What relationships and partnerships are effective in terms of delivering expected results?
- Q5. What is the level and appropriateness of project community engagement with community-based Collaborative Forest Management groups, Private Forest Owner associations, Private Forest Owners and the public in the project activities?
- Q6. What project sustainability measures exist and what factors are likely to negatively affect project sustainability? Which key factors require attention in order to improve prospects for sustainability of project results?
- Q7. How appropriate is the project knowledge transfer strategy?
- Q8. What are the unexpected positive and negative results that the project has registered to date?
- Q9. What lessons have been learnt from project implementation?

#### **3.3 Methodology and structure of the evaluation**

The evaluation was conducted in accordance with UNDP and GEF monitoring and evaluation policies and procedures, and in-line with United Nations Evaluation Group norms and standards. Referring to the nature of the

project and the TOR, this evaluation has applied a mixed methods approach using multiple data sources and a participatory approach by conducting semi structured interviews and gathering data directly from individuals and focus groups involved in the project. The information and data gathered by the different methods have been cross checked, analysed and independently evaluated by the mission team. Field data collection took place with all relevant stakeholders in 4 Districts (Kyenjojo, Kibaale, Hoima and Masindi), representing the initial and actual key intervention zone of the project.

Main evaluation methods were:

**Document Review:** a desk review of relevant project documentation and other documents obtained from UNDP, WWF (PMU, implementation structure) and all involved governmental structures and project partners (**Annex 6.5**)

**Evaluation matrix:** An evaluation matrix was developed in accordance with the TOR, “UNDP/GEF Monitoring and Evaluation Policy” and UNDP evaluation report guidance. This matrix includes the main elements of project formulation, project implementation and project results and presents the structure of the evaluation findings presentation (chapter 4 of the evaluation report). Evaluation aspects and criteria have been developed for each element as subchapters, and for each aspect/criterion, analysis of the **strengths** and **weaknesses** was undertaken. The review sought to answer the nine key questions of the TOR and linked them with the five internationally accepted evaluation criteria (Relevance, Effectiveness, Efficiency, Impacts, Sustainability) set out by the Development Assistance Committee of the OECD. The matrix is integrated in the table of content of the evaluation report.

**Achievement Rating:** The Evaluation Team proposed a qualitative performance indicator by rating the project achievements at the different levels according to the GEF guidance. These rating categories include:

<b>Highly satisfactory (HS)</b>	The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
<b>Satisfactory (S)</b>	The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
<b>Moderately satisfactory (MS)</b>	The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
<b>Moderately unsatisfactory (MU)</b>	The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
<b>Unsatisfactory (U)</b>	The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
<b>Highly unsatisfactory (HU)</b>	The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Each evaluation aspect is presented in a table form to ensure easy reading, clear structuring and limitation to most relevant findings.

**Semi – structured interviews with key project stakeholders and beneficiaries:** Based on the evaluation key questions formulated in the TOR, an interview guide was developed to solicit information from the different stakeholder groups (see annex 6.6). The semi-structured interviews were conducted using the interview guide, adapted to each interview with groups. To ensure the best possible evaluation participation of local stakeholders and final beneficiaries, the interviews were conducted with groups during the field visits. All interviews were conducted in person, using the participatory evaluation tool **SWOT (Strengths – Weaknesses – Opportunities – Threats**, see annex 6.6).

**Field Checks:** A representative sample of field realisations have been visited in the different districts to assure that the evaluation team had direct primary sources of information from the field and project end-users. (See summary in Annex 6.4)

**Stakeholder workshop:** A workshop with all key stakeholders (incl. beneficiary representatives) at the end of the field phase in the project region was conducted to present, discuss and validate the key findings and recommendation of the evaluation mission. The workshop ensured that key stakeholders agree with the evaluation results and take the ownership and responsibility to implement the recommendations after the

evaluation mission.

Chronologically, the evaluation followed the following steps:

- An **analysis of the project history**, the context and the definition of objectives and expected outcomes.
- An analysis of **the design of the project** and its **relevance** in the country and the local context, the adequacy with identified problems and needs in the intervention zone.
- An analysis of the **implementation**, and the **results** of the project.
- **Formulation of conclusions, lessons learnt and recommendations.**

The structure of the evaluation and the report correspond to the principal elements of the evaluation matrix and the chronological steps of this methodology.

## 4. EVALUATION FINDINGS

### 4.1 Project formulation/design

#### 4.1.1 Implementation approach

Q3. How relevant, appropriate and strategic are the project results (outputs, outcomes and impact) to national goals and the UNDP mandate?

#### Relevance and appropriateness to national goals

Criteria	Strengths	Weaknesses	Rating & Comment
Conformity with national and sectoral development plans	Aspects of the project including biodiversity conservation, watershed management, collaborative forest management are entrenched in the Forest policy, National Forest Plan, and ENR Sector plan	Limited financial commitment by national and local government does not permit implementation	S
Coherence with political environment and goals	Project conforms to the political agenda of sustainable management of the environment and natural resources	Political interference a hindrance of the environmental agenda	S
Coherence with national sector policies and development strategies	PEAP, and its successor NDP support project output and outcomes		S
<b>Performance indicator : S</b>			

#### Relevance and appropriateness of initial project formulation/design

Criteria	Strengths	Weaknesses	Rating & Comment
Coherence between objectives and environmental and socio-economic contexts	Objectives correspond to priority environmental and socio-economic problems and in line and complementary to the decentralisation process of Uganda		S
Process of the initial project formulation	Long participatory process, involving GoU structures, NSA, intern. NGO and local communities	Process was very long and expensive  The same intern. NGO who have been the leaders of formulation process are finally the main implementation structures	S Comment: Initially planned implementation by GoU has been changed to implementation by the formulation leaders.
Adequacy of the project strategy	By linking livelihoods and sustainable forest management through supporting community participation and partnership the strategy addressed in a holistic way clearly identified important gaps in the forestry/ environment sector.	Not all identified items of the PDF – B study are integrated in the project strategy of the final PRODOC (oil/gas, private sector estates, some stake holders at national level, e.g MTTI), final PRODOC is not consistent with its annex 6 (Project Brief: Detailed Analysis)	MS Comment: It is not clear for the MTE mission why relevant elements of the PDF – B study/project brief are not integrated in the final PRODOC
Outcome contribution to the objectives	The results are relevant and complementary to achieve the objective		S
Output contribution to the outcomes	Outputs are logical and relevant for the outcomes	Outputs under outcome D (Strengthen linkages between forest conservation and improved sustainable livelihoods) are less developed than the other outcomes, especially D 3 are not very clear in the PRODOC and PDF – B (Project Summary Report)	MS
Contribution to capacity building of national structures and actors	Capacity building of NSA and local governments is a major component of the project		S
Appropriate	Project concept is a replication		S

technologies	and adaptation of previous similar projects in this eco-region to the context in Albertine Rift in Uganda		
Coherence with guiding UNDP/GEF support policies	The project supports BD Strategic Priority 1 objectives by focusing on the sustainability of a major sub-set of Uganda's PA system  Project coincides with the UNDP CPAP		S
<b>Performance indicator : S</b>			

**Adequacy of the initial approach in the actual context at project start-up**

Criteria	Strengths	Weaknesses	Rating & Comment
Adequacy to socio-economic evolutions	Project addresses the social-economic needs	Pressure on natural resources has significantly increased since PRODOC due to population number increase with their economic needs.  Significant arrival of new important stakeholders (oil/gas companies) which are not addressed in the PRODOC  Aggressive extension policy of the private sector companies (tea, sugarcane, tobacco)	MU Comment: Short term economic needs of local communities are more and more the key challenge, which is not very clear and focused in the PRODOC  Private sector agricultural and oil/gas companies are not addressed as key stakeholders in the PRODOC. They are recently addressed by new initiatives, in particular the UNEP/GEF PES project, which operates in the northern part of the corridor
Adequacy to environmental evolutions		Deforestation has significantly increase since PRODOC, which means much more restoration instead of conservation of forests is needed	MU Comment: Budget not adequate for important restoration work
Adequacy to institutional evolutions	Project designed to work within the existing institutional frameworks	New Districts are born, increasing the number of local government stakeholders to be addressed  Several outputs under B , led by NFA have been already achieved pre-project (e.g. preparation of FMP)  Proposed co-financing partners had already gone	MS Comment: Budget not adequate to work with now 6 Districts instead of 4  Relevance of some outputs under B reduced, need for reformulation or exclusion
Adequacy to legal evolutions		A national land use planning policy or strategy has never been developed and is critical due to political resistance. This makes district LUP impossible	MS Comment: Relevance of outputs under outcome C reduced, need for reformulation
Adequacy to needs		Several planned outputs in particular for outcome B had already been realised by other interventions (FMP)	MS Comment: Results of the EU project 2002 - 2008
<b>Performance indicator : MS</b>			

The relevance of the initial project formulation is satisfactory (S) in the context during the PDF- A and PDF – B studies 2001 – 2003. The project conforms with the national planning frameworks (PEAP, and its successor the NDP, ENR SIP, national forest policy and the NFP. It is also conforms with the GEF/UNDP support policies. It's only not clear why some important elements of the Project Brief (annex 6 PRODOC) have been dropped in the PRODOC and why lead institutions of the project formulation process are the lead implementation structures. But the long period from the formulation (2001 – 2003) to project start-up reduced the performance and relevance of the initial PRODOC to moderately satisfactory (MS): several outputs had already been done by other players or were not any longer possible in the original formulation (expected co-financing, legal evolution), importance of some players became much higher (oil companies), restoration instead of forest protection (socio-economic and environmental evolution) became more relevant, number of districts increased and potential co-financing partners had already gone. The initial budget provisions were not sufficient for these evolutions.

#### 4.1.2 Country ownership

Criteria	Strengths	Weaknesses	Rating & Comment
Conformity with national and sectoral development plans	Aspects of the project including biodiversity conservation, watershed management, collaborative forest management are entrenched in the Forest policy, National Forest Plan, and ENR Sector plan	Limited financial commitment by national and local government does not permit implementation	S
Level of participation of relevant country representatives (e.g., governmental official, civil society, etc.) in project identification, planning and/or implementation	All stakeholders have been consulted in a long participatory process during PDF A and B  NFA is planned as leading implementation structure for outcome B	International NGO and donor community had the leading role for project identification, lower proactive participation level of GoU	MS
Level of financial commitment of GoU to the project		Limited to in-kind contribution of only 3,57% of the whole project (including co-financing). Forestry in national and local government budgets not a priority, less than 1%)	MS
Extent to which national policies, and/or regulatory frameworks support the project's objectives	Legal and regulatory environment and frameworks support project objectives	Favourable regulations, e.g. by-laws of local governments are not implemented in the field, due to low priority and insufficient budgets given to environment issues.	MU
Role of the implementing Ministry (MWE)		Lead implementation through an international NGO is a potential risk to reduce Governments ownership and sense of responsibility. GoU involvement mechanisms (NPC, NPSC, partial implementation through NFA as independent agency) are insufficient to create high responsibility of GoU.  Lack of capacity to coordinate, and mobilize resources	MS Recommendation: Develop and implement clear involvement mechanisms to ensure GoU commitments and responsibility
<b>Performance indicator : MS</b>			

Country ownership in the PRODOC is moderately satisfactory (MS), it's totally in line with national policies, plans, strategies and regulatory frameworks, but these are poorly implemented. Insufficient mechanism to ensure GoU responsibility and commitment reduces the national ownership of the project. Instead the international NGO is reflected as playing the leading roles in project formulation and implementation.

#### 4.1.3 Stakeholder involvement plan

##### Local stakeholder participation in project management and decisions

Criteria	Strengths	Weaknesses	Rating & Comment
Local benefits	PRODOC planned major effort on improving participation, incentives, co-management operations and local capacity building		S
Implementation and leadership	Co-management agreements between NSA and NFA and devolution of management to local CBO and NSA with clear definition of each stakeholder in NRM were planned  Local governments and CBO were foreseen as important stakeholder  Mainstreaming of biodiversity issues in District	Mechanisms for such partnerships and participation are not clearly spelled in the PRODOC	S

	Development Plans and work with DFO and local government was planned in the areas outside CFR		
Coordination and planning mechanisms	Coordination and planning mechanisms for all stakeholders planned at national and district level	Some initially identified stakeholders have been dropped in the PRODOC without explanation	MS
<b>Performance indicator : S</b>			

The stakeholder involvement plan of the PRODOC is satisfactory (S), including NSA, local governments and coordination mechanisms at national and local level.

#### 4.1.4 Replication approach

Criteria	Strengths	Weaknesses	Rating & Comment
Relevance of project elements for replicability	Holistic approach, combining conservation financing, capacity building, working with national and local government institutions, NGOs and the private sector and finally collaborative forest management in state forests and private forest management. Development of the watershed project from the process	Private sector not directly addressed in the final PRODOC	MS
Value of new lessons learnt for other regions	Problems of the Albertine Rift are generic to many other areas and experiences will be useful for new interventions.  GEF network will help for dissemination of lessons learnt.		S
<b>Performance indicator : S</b>			

The PRODOC presents a satisfactory (S), sound replication approach, building on and delivering lessons learnt for many other regions.

#### 4.1.5 Cost-effectiveness

Criteria	Strengths	Weaknesses	Rating & Comment
Consistence with criteria for additional GEF funds	PRODOC is in line with the criteria.	Not very realistic hypothesis that co-funding partners will finance project management costs (see CEO)	S
Co-financing	High amount of co-financing has been identified and mobilised (co-financing letters) at PRODOC stage	Initial co-financing letters are very broadly and real contribution to the outcomes is not clear. Several mentioned co-financing projects were not working in the ARF project region and budgets of nation wide programmes have been entirely been counted as co-financing to the limited ARF region  Planned co-financing partners have already gone at project start-up. Dependence on co-financing was a risk	MU Comment: Very long period between project formulation (2002) and implementation (2008) has create this situation
Initial cost-effectiveness analysis	Reasonable at PRODOC stage with 240 \$ per sq km per year	The cost effective approach 'conservation instead of rehabilitation' loses a lot of sense at project start-up because most of the forest outside CFR had already gone.	MS Comment: see above
<b>Performance indicator : MS</b>			

The cost-effectiveness in the PRODOC is moderately satisfactory (MS). Co-financing commitments were high, but very broad and not likely with the assumption that they will cover project management costs of the UNDP/GEF project. In perfect line with criteria for GEF additional funds, the cost effective approach 'conservation instead of rehabilitation' loses a lot of sense at project start-up because most of the forest outside CFR had been cleared.

#### 4.1.6 Linkages between project and other interventions

Criteria	Strengths	Weaknesses	Rating & Comment
Lessons learnt	Lessons learnt from similar former		S



from other projects	projects are integrated in the project design		
Cooperation and coordination	Coordination mechanisms have been planned at national (NPSC) and local level (DPSC)	Initially identified important involved Ministries at PDF-B stage (e.g. Mining, Tourism) are finally dropped off the NPSC in the PRODOC (?)  Co-financing partner representation was only planned at DPSC level, which makes coordination for strategic objectives and central interventions difficult.	MS
Synergies	Project was planned as a strategic, additional and complementary activity to other ongoing/planned interventions at PRODOC stage	Planned important synergies lost the relevance, partners had already gone and several outputs were realised before project start-up	MS
<b>Performance indicator : MS</b>			

Linkages between the project and other interventions in the PRODOC are moderately satisfactory (MS). Several in the PDF – B study identified stakeholders at national level were finally dropped out of the NSPC and coordination mechanisms with co-funding partners were only planned at local level, which makes coordination for strategic objectives and needed interventions at central level difficult. Planned synergies have lost their relevance with the late start-up of the project.,

#### 4.1.7 Indicators

Criteria	Strengths	Weaknesses	Rating & Comment
Indicator quality (SMART)	Most progress indicators are relevant and determinate in time and quantity (output level)	Most impact indicators are difficult and very expensive to measure, some are not objectively measurable  Some are not clear.  Socio-economic impact indicators at objective level are missing and not very convincing at lower level  A lot of expected targets are formulated without valid baseline data and they are not realistic (too ambiguous)  Some indicators are not any longer relevant at project start-up (realised or chances before project start-up)	MU Comment : Long period between PDF – B (2002) and Project start-up (2008) reduced initial indicator performance and relevance (see 4.2.3)  Recommendations : Revision and adaptation of indicators to actual situation and realistic targets is necessary.  Formulation of practicable indicators (simplification) is required
Baseline quality	Establishment of a valid baseline situation was planned as one of the first output of the project	Baseline situation is most of the time not determinate in the PRODOC.  Existing baseline data are often time-out (surveys in the early 90') or have not been verified	U
<b>Performance indicator : U</b>			

Indicators in the PRODOC are a major challenge and they are unsatisfactory (U). Often not or only with very expensive actions measurable and often unclear, they have been formulated and determinate without any valid baseline data, resulting in unrealistic targets.

#### 4.1.8 Management arrangements

##### Quality and relevance of the institutional framework of the project

Criteria	Strengths	Weaknesses	Rating & Comment
Relevance of the institutional framework	Framework liaises relevant technical sector competences	Some relevant ministries are not addressed (Ministries of agriculture and mining mentioned in	MS

		PDF – B, but not in PRODOC)	
Effectiveness of the institutional framework	Implementation mainly through professional international NGO ensures high professional standards, a certain flexibility and their international networks/structures facilitate response to unplanned urgent project needs (e.g. mobilisation of additional funds/projects for unplanned needs, coverage of certain unplanned items through their other projects)	Very complex framework, resulting in duplication of agency fees and difficult procedures and coordination  High risk of lacking national/ local ownership	MS
Roles and responsibilities of the different institutional actors	Clear responsibilities for sub-contracted implementation structures (NFA, international NGO) for specific outputs are determinate  Implementation through agreed annual plans which define institutional roles and responsibilities	Sometimes overlapping tasks  Limited participation of local governments in implementation	MS
<b>Performance indicator : MS</b>			

The management arrangements and the institutional framework in the PRODOC are moderately satisfactory (MS) with a relevant framework to liaise technical sector competences and clear responsibilities for each implementation structure, but important other influencing sectors (agriculture, mining) are not addressed. Lead implementation by international NGO can be effective to ensure high professional standards, flexibility and their international networks/structures might support project objectives. But this framework with several international and national NGO, government agencies, local government and donors is very complex, duplicates agency fees and procedures, procurement and coordination are very difficult. Furthermore the risk of poor national ownership is high as lead implementation is through an international NGO.

## 4.2 Implementation

### 4.2.1 Planning, execution and implementation modalities (Effectiveness)

#### Project management organisation and implementation strategy

Criteria	Strengths	Weaknesses	Rating & Comment
Staff number	Minimum of necessary PMU staff	Key team not completed until 8/2009 (TA) (+ unplanned communication officer, joining mid 2010)	MS
Staff qualification and team composition	Relevant back ground and experiences of technical officers with mixed educational back ground	Very slow completion of a sounding team, last relevant technical staff has been recruited 4/2010.  Certain instability of the team (1 <sup>st</sup> NPM has gone, administrator has changed)	MS
Implementation strategy	Sub-contracting with intern. NGO is effective to obtain expected scientific outputs  Recently the project tried to involve more NSA local actors in project execution (sub-contracting)  Significant relevant reorientation of the implementation strategy since 12/2009 (strategic planning workshop) and move towards work with key communities to address root causes of deforestation  Focus redressed to strategic areas  Shift from sub-contractor to	Slow and bad start-up of the project (lack of strategic planning and monitoring capacities) due to missing TA  Until TA arrival implementation was mainly done through sub-contracting NGO and NFA with variable results  Logical chain of activities (information – activity planning – implementation) often not respected 2008 +2009  Initially planned <u>business</u> plan approach (PRODOC) and other economic aspects are not/poorly involved.  Wrong local partner addressed for forests outside CFR (DFO is mandated for these areas, but is poorly involved as implementation	MU => MS Comment: Missing technical assistance is major reason.  Recommendation: Internalise implementation process as much as possible in existing, mandated district structures. This will create ownership, avoid parallel structures and can create some impacts outside the new strategic zones of the corridor

	PMU implementation in AWP 2010	partner)  No strategic planning until 12/2009  Districts are marginalised in the implementation compared to initial planning in the PRODOC  Target geographical impact zone will be considerable reduced with the new focus on strategic areas, reducing initially calculated GEF costs – effectiveness	
Internal organisation	Clear TOR and contracts since AWP 2010	Overloaded staff since implementation through PMU and actual vacancy of NPM position (will be filled in 11/2010)	S
Use of IT	All staff fully computer literate, no need for a secretary (a secretary was there until 4/2010, but has been replaced by the more needed communication officer)	Complicated, scientific software is used (MIRADI for mgt planning), which will always need specialised intern. TA  Modern communications sometimes under-used for information dissimulation  No own web-page, presentation by WWF regional office is poor)	MS Recommendation: Use practical management planning tools and methods to facilitate local over take  Ensure that all relevant stakeholders with internet access will be provided with studies, maps, etc produced by the project
Logistic	3 cars and 3 motor –bikes are adapted to PMU needs  Three motor-bikes for implementing local partners is reasonable	Total car pool with 5 cars and 7 motor-bikes is over - equipped compared to PMU needs (add. cars and motor-bikes for WWF CO, WCS) (see 4.2.2 )	U Comment: Logistic should be in line with direct project needs and not with these of the internal organisation of the implementation partner
Technical Assistance	Technical and managerial skills and strategic planning of PMU have significantly improved since AT arrival	Very late TA recruitment (8/2009) hampered effective support to project implementation and strategic mgt  Total TA too short (28 months) to produce sustainable impact	MU => S Comment: Under-estimated budget need for TA  Recommendation: WWF has to find a cost neutral solution to ensure needed TA support after contract (to avoid duplication/repeat of initial implementation errors). Post sharing with another WWF project might be a solution
Procurement	Sub-contracting by WWF country office facilitates communication (UNDP, sub-contractors) and could give time to PMU for implementation	It's difficult to make procurement procedures most complicated than in this project. PMU is nearly blocked to work (WWF required ratification of staff contracts and higher amount cheques by the WWF regional office (Nairobi) or Switzerland). And the situation slows down sub-contracting and implementation	U Comment: PMU needs more flexibility and independence to work effectively.  Recommendation: Urgent need to find more practical solutions
<b>Work planning</b>			
Use of the log frame (SRF)	SRF is used as basic planning tool and work plans are in line with SRF	Some SRF elements are not any longer relevant in the actual context	MS Recommendation: SRF needs some adaptation to actual situation
Coherence between planning and budget		Several budget needs are significantly underestimated in the PRODOC	MS Comment: Undelivered expected co-financing is an additional factor
Respect of work plans	AWP 2010 is down - scaled and more realistic	Overestimation of capacities 2009, not all activities have been realised, reflux of funds.  Important delays, but respect is often	MS Comment: Delays of UNDP funds hampered often execution of planned activities in time

		impossible due to delays of UNDP funding	
<b>Performance indicator : MU =&gt; MS (but still some U)</b>			

**Appreciation of activities**

Criteria	Strengths	Weaknesses	Rating & Comment
Relevance of activities	Significant improvement in AWP 2010	Several activities in 2008-2009 are not relevant for outputs and outcomes, in particular chicken, pigs keeping under outcome D are not convincing to avoid further deforestation  Support to NFA day - to - day work (2008/9) is not in line with UNDP/GEF guidance  Identified important local players (private sector estates: tobacco, sugar, oil/gas,..) are marginally addressed  Implemented incentives are not attractive enough for local population (ongoing /accelerated cutting of trees)	MU => S Recommendation: Formulate incentives and income generating activities which are <u>directly</u> linked to intact forest resources as a motivation for people to protect forests. (Learn from UNEP-GEF project)
Planning of activities	See above	Logical order of several activities is not always respected (information and awareness raising start too late)	MS
Project intervention zone	Project tries to focus down the intervention zone to most important strategic areas	Geographical environmental impact and per ha cost-effectiveness will be significantly reduced	MS
Design of activities	Feedback meetings/WS for consolidation and to inform stakeholders of study results	Project supports 'workshop culture' (= talking and per diems, already in place pre-project) with few concrete progress towards implementation in the field  Several activities are very sophisticated, expensive, time using and inadequate for future take over by national structures	MS Recommendation: Use as much as possible existing planning and coordination mechanisms to reduced number and expenses for additional WS and to incorporate the project in local structures (Districts)
Participatory dimension of the activities	Local communities are associated in some surveys, NFA control activities	Implementation structures (intern. NGO) are leading strategic outcomes and outputs, local communities/ governments are beneficiaries or executants but poorly involved in activity planning and development	MS Recommendation: Bring the project back to the ground, people have to understand the strategic objectives and outcomes and have to find their interest in the project
Quality of activity realisation	PMU moves to more direct implementation to improve quality, effectiveness and efficiency	The quality of several subcontracted activities in 2008/9 is poor with low contribution to the outputs/outcomes  PMU monitoring of sub-contracted activities has been insufficient in 2008/09	MS
<b>Performance indicator : MS</b>			

The project had a very slow and ineffective start-up without strategic planning for implementation and dispersion of activities, often not respecting a logical order. Implementation performance, including all aspects of work planning, execution of procurements and use of human resources have been moderately unsatisfactory (MU) until the very late arrival of the Technical Advisor in 8/2009. Significant management improvements have been made since the TA supports to project. Activity design should still be improved a bit to be more relevant to address root causes of deforestation, to facilitate wide spread dissimilation and the implementation strategy needs still some smaller corrections. But major challenges persist with extremely complicated procurement procedures, slowing down significantly sub-contracting and effective implementation (unsatisfactory). Global project effectiveness (Planning, management, activity execution, implementation modalities) has improved to moderately satisfactory (MS) since AWP 2010, but is still in an early stage.

#### 4.2.2 Financial planning and execution (including efficiency)

##### Planning, reporting and flux

Criteria	Strengths	Weaknesses	Rating & Comment
Internal finance controlling system	Financial documents are finalised and controlled by the WWF country office	Extremely slow process for financial reports and funds flux which nearly block project execution	MU
Financial reporting	Start-up problems are +/- solved and regularly delivered reports are accepted by UNDP today	WWF had important difficulties at the beginning to fulfil UNDP and WWF internal requirements, slowing down financial flux  Sub-contracting partners didn't respect procedures	MS
Financial planning*	Most of the time adequate to real expenses	Planning periods (quarterly) is too short to prepare and implement certain activities	MS Recommendations: A more practical system with more flexibility for the PMU is needed
Audit realisation and use of recommendations	Audits are regularly done, all qualified	Given delays for corrections are not always respected by WWF CO	S
Availability in time of funds from UNDP		Important delays, especially in the 2 <sup>nd</sup> quarter block project execution and leave insufficient time for implementation of certain activities	U Comment: Procedures to close the financial year in UNDP are highly complicated and use a lot of time  More practical solutions, allowing projects to do their work, would be highly appreciated
Availability in time of funds at the field sites	Quick transfer from WWF CO to the PMU, once procedures are finished  Capacities of the WWF CO allow pre-financing of a limited programme and running costs in case of UNDP funds delays.	See above  Very slow process until full WWF CO (mid 2009)  Too low cash amounts available for PMU	MU
Diligence in financial management and audits	Initial problems are more or less solved today	Several observation at the beginning because WWF has not been used to UNDP system	MS
<b>Performance indicator : MU</b>			

\* See annex 6.7 for details

Financial planning, reporting and flux of funds are moderately unsatisfactory (MU). Financial planning and reporting are more or less respected today, but important delays in UNDP funds ability in the field and slow internal control mechanisms at central level are very important challenges for project implementation, often totally blocking the planned, sometimes time-bounded activities.

##### Efficiency

Criteria	Strengths	Weaknesses	Rating & Comment
Logistic/ material		A total of 5 cars and 7 motor-bikes (+ running costs) is extremely expensive and more than the PMU needs  Relevance why ARF has to finance 1 car and 1 motor-bike (+ running costs) for WWF CO is not at all convincing, they have already 8% of the budget as agency fees.	U Comment: Logistic should be in line with direct project needs and not with these of the internal organisation of the implementation partner  Recommendation: Simplification and transparency of procedures and management/ implementation arrangements is highly recommended for this and similar projects

		Buying a car to provide WCS with the necessary logistic to fulfil their sub-contract is critical too. Real costs of the operation are hidden through accounting as project management costs (car) and operational costs (sub-contract).	in the future  Logistic needs of sub-contracting partners should be part of the contract to assure easy monitoring of the real total costs of the operation.  Needs of WWF CO should be covered by the 8% agency fees for management and support
Staff	PMU operates with a minimum of necessary staff	2008/2009 sub-optimal used due to unclear TOR and contracts	MS => S
Outputs	PMU is shifting today from subcontracting international NGO to implementation through PMU and local CBO/local government	Subcontracting with NGO and NFA for outputs needs a lot of time for monitoring, is expensive and expected results are not always delivered  Sometimes overlapping sub-contracts  The system to subcontract NGO who subcontract other NGO who subcontract consultants, ... use a high percentage of the budget for agency fees and double/ triple monitoring activities.	MU => MS
Activities	Strategic workshop was done 12/2009 and AWF 2010 focus on strategic activities	Several activities were not relevant or at the wrong place or to the wrong time due to quick implementation start without strategic planning (low contribution to outputs, but budget is used)  Several supplementary activities and expenses have been necessary due to the delay between project formulation and implementation (p. ex. Scoping study, strategic planning WS 12/2009)  'Workshop approach' is expensive, in particular if following steps are not clear determinate  Design of several activities is not the most efficient way to achieve the expected outputs (e.g. ground surveys/ inventories, household assessments)	MU => MS Comment: The long period between the PDF – B and the start-up of the project and missing baseline data in the PRODOC are important challenges  Implementation of different plans be still a mayor challenge  Recommendation: Shift from 'workshop approach' to 'training on the job'  Plan and implement as much as possible through existing mechanisms at district or sub-county level  Play a facilitator role to solve the implementation problem (i.e capacity building /support to micro-project proposal development and linkage to potential funding sources like UNDP-SGP,..)
Co-financing	WWF CO managed to formulate, implement and close a new project to fulfil part of the gap (Watershed mgt project)  Several new co-financing opportunities are identified by WWF and the implementation partners (WCS)	Co-financing is much lower as initially expected and planned contributions have already been implemented when the project starts. Planned complementarities and linkages are impossible with these different time schedules.  Missing co-financing for essential activities, which can not be financed by the project, are today a mayor risk to reach the expected outcomes	U Comments: See above  Recommendation: Link as fast as possible these arising initiatives to the project and create relationships to ensure that their activities are synergies and contribute to the expected outcomes of ARF. Signature of MoU is recommended to have clear commitments. MWE and UNDP should support the process.
Project management cost*	PMU proposed 11/2009 a budget revision, down scaling to strategic areas and activities	Extremely high with 47%* of the total budget (situation end 2010, after UNDP agency fees), and increasing with proposed budget revisions (8/2008, 11/2009)	U Comment: Expected co-financing of these cost (605.000\$) was not delivered, partners had already gone

		<p>Complicated management arrangements and procedures used a huge amount of the budget and slows down project field implementation</p> <p>Left budget is totally insufficient to achieve the objectives</p>	<p><b>Project can't achieve the outcomes, in particular the implementation, with the remaining budget</b></p> <p>Recommendation: Complete revision/reformulation of the SRF/project management arrangements or reduced project duration are necessary if no new co-financing agreements/ other funding (UNDP TRAC ?) can be found until AWP 2011.</p>
<b>Performance indicator : U</b>			

\*For details see annex 6.7

Efficiency is unsatisfactory (U) and is the major challenge of this project. Absence of expected important co-funding in particular of management costs, dispersed and poorly coordinated activity implementation in 2008/2009 with limited impact, sometimes very expensive design of activities (household surveys, inventories, 'workshop culture') to achieve outcomes and serious questions concerning the total car pool of the project (cars and motor-bikes for WWF CO and WCS as sub-contractor) present high financial inputs with very limited outputs especially in 2008/09. As consequence the **project can't achieve the outcomes, in particular the implementation, with the remaining budget**. Significant improvements of the effectiveness have been made concerning staff use, drop down of implementation costs and strategic concentration of relevant activities since the strategic planning in 12/2009 and AWP 2010, but it's impossible to recover the already spent funds.

#### 4.2.3 Monitoring and evaluation

Criteria	Strengths	Weaknesses	Rating & Comment
M&E design (relevance and quality)	<p>The M&amp;E plan (first version 9/2009, final 8/2010) gives a detailed critical analysis of the initial indicators in the actual context with sound recommendations for improvement. PMU found a solution to handle M&amp;E (problems due to low performance of initial indicators)</p> <p>The design is consistent and include links to NDP and the new UNDP country programme (2010 – 2014)</p>	<p>Important delay of M&amp;E plan development (it was foreseen in the first quarter after start-up)</p> <p>Systematic baseline data (mainly at outcome level) for the monitoring system are still not available at MTE stage</p> <p>Several indicators in the M&amp;E plan are still very difficult/impossible to measure</p>	<p>MU =&gt; MS Comment: METT scorecards have not yet been developed at PRODOC stage (2002)</p> <p>Recommendation: GEF METT scorecards should be applied for the most relevant CFR and strategic areas in the corridor to facilitate the final evaluation</p> <p>Several indicators needs reformulation/realistic targets or are redundant or not any longer relevant</p>
M&E plan implementation	<p>Progress of output indicators (partly) and activities have been monitored through the reporting system (only monitoring tool until M&amp;E plan)</p>	<p>This criteria can not yet been evaluated, the M&amp;E plan exists only since 8/2010 and some baseline data are still missing</p>	<p>MU Comment: M&amp;E plan came much too late</p>
Use effectiveness of M&E mechanisms and tools		<p>See above</p>	<p>See above</p>
Key stakeholder implication in M&E activities	<p>14 village monitors trained and employed by sub-contracting partners for wildlife monitoring</p> <p>NFA and all implementation partners involved</p> <p>CDO involved at grass - root level</p>	<p>Monitor the monitoring creates a lot of work for the PMU</p>	<p>MS</p>
Harmonisation and coordination of monitoring mechanisms and tools with the key implementation partners (co-financing and	<p>Clear guidance set up in 2010 contracts concerning expected formats and contents</p>	<p>Report format not respected by most partners until clear guidance with the contracts in 2010, creating a lot of additional work for</p>	<p>MU Recommendation: Realise joint monitoring field visits with partners to avoid duplication and unnecessary expenses and agree on</p>

implementing partners)		the PMU Each structures do individual monitoring	common monitoring tools and criteria
M&E of activities	Some partner will do impact M&E for several aspects (WCS, JGI) as co-financing	Dispersed, and not impact orientated in 2008/9  Some important requested reports from NFA have not been delivered (outputs under B)	MU => MS
Budgeting and funding for M&E activities		M&E funds are totally insufficient for the prescribed indicators (already in PRODOC)  Costs for MTE and FE 'got somewhere lost' in the budget planning	U
Reporting (regularity and use of reports)	Report quality has significantly improved with clear contracts in 2010	Still not yet respected reporting system by all sub-contractors creates a lot of work for PMU	MU => MS
Documentation and use	Project created well documented Information bank about the project area which can be/is used for other purposes, (e.g. it helped in developing the "Fresh water Project" emanating from the information gathered).	Most reports are only used by PMU and main concerned stakeholders  No information dissemination strategy which provides all stakeholders in an adapted way	MS Comment : Under-valuation of existing knowledge and information  Recommendation: Present study results in an adapted way and ensure dissemination to potential users and concerned structures
<b>Performance indicator : MU</b>			

Monitoring and evaluation in the project is still moderately unsatisfactory (MU), because it's based on inappropriate indicators and unrealistic targets since project formulation and several key baseline data are still under development at MTE stage. The M&E design is reasonable but has been developed much too late (first version 9/2009, final 8/2010) and foreseen budget allocations to M&E are totally insufficient. Improvements have been made in reporting and recent monitoring of activities.

#### 4.2.4 Risk management

Criteria	Strengths	Weaknesses	Rating & Comment
Relevance of initially identified risks		No project risk has been formulated in the PRODOC or the log frame, although the project summary (PDF-B) mentioned already some items (oil). Only threats to biodiversity are mentioned as risks.	MU Comment: The PRODOC format at PRODOC stage (2002, GEF III) had not required a detailed risk analysis
Additional risks identified in the PIR	Four critical risk (oil, refugee, lack of co-financing, resistance against national land use planning) have been identified and are integrated in PIMS (UNDP system) since 7/2007	Possible consequences of the new Land Bill (2010) are not yet integrated	MS
Adequacy of risk management strategy	Four risk management response are formulated in PIMS  WWF and implementation partner WCS start negotiation with oil companies and new potential co-financing partners.  An adequate reformulation/adaptation of outputs under outcome 3 (land use planning issue) is proposed by the project.	Some PIMS management responses are not convincing (p. ex. secondary effects of oil drilling are not addressed) and problems resulting from the risks persist until MTE (lack of co-financing)	MS



<b>Performance indicator : MS</b>
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Detailed risk analysis was not a part of the PRODOC formulation process (following still GEF III format valid until 2006), only threats to biodiversity were initially mentioned as risks. Project risk and mitigation responses have been integrated in the UNDP PIMS since 7/2007, but some PIMS management responses are not very convincing and problems resulting from risks persist until MTE. Nevertheless steps to address adequately risks are undertaken by proposed reformulation of some outputs and new complementary interventions of some implementation partners, and risk management is evaluated moderately satisfactory (MS).

#### 4.2.5 Adaptive management

Q2. How have project activities changed in response to new environment conditions, particularly the changing political agendas for forest and land ownership? Have the changes been appropriate in line with project objectives?
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#### Adequacy of changed activities

Criteria	Strengths	Weaknesses	Rating & Comment
Adequacy to socio-economic evolutions	<p>Socio-economic studies have been conducted to create understanding of the needs</p> <p>Approach to conserve/restore strategic areas for connectivity between relatively protected large CFR and give up the rest of the land to agriculture conversion and other economic purposes seems to be realistic.</p> <p>Shift to PFO and PFOA as key stakeholders responses to the fact that most of the land is today private and not communal</p>	<p>Not convincing strategy to address root causes of increasing degradation</p> <p>Benefits of the project to communities not adequately addressed</p> <p>Economic and business dimension not addressed in a convincing, effective way.</p>	<p>MS</p> <p>Comment: Pressure on forests increased due to population increase and their needs of land and resources for economic purposes</p> <p>Recommendation: Key execution/ implementing agencies should link the project to more appropriated initiatives for sustainable socio-economic development (e.g. other UNDP, WB, GEF, EU programmes for poverty alleviation and /or agri-business)</p>
Adequacy to environmental evolutions	<p>Down scaling of the intervention zone to manageable strategic areas</p> <p>WWF has specific separate programme to look at oil and gas activities:</p> <ul style="list-style-type: none"> <li>• Capacity built for agencies,</li> <li>• Sensitivity atlas mapping developed</li> <li>• Overall SEA plan developed</li> <li>• Local advocacy groups (coalition civil society groups and civil society networks) established for oil activities and supported by the project</li> </ul>	<p>Environmental impact and GEF cost-effectiveness of the ARF decline significantly</p> <p>Necessary expensive restoration work is seen by PMU, but can not be addressed adequately (budget restrictions)</p> <p>Oil: Limited support from the line Ministry and central government agencies in developing strategies for interventions and limited skills to handle</p>	<p>MS</p> <p>Comment: Important increase of pressures and degradation since PRODOC</p> <p>Recommendation: Interested key stakeholders / donor agency should already start to identify and to formulate new projects that can take over implementation of the plans developed under ARF</p>
Adequacy to institutional evolutions	<p>PMU tries to get new partners on the boat (JGI, CARE, UNEP/GEF PES) and to shared Districts with new partners in the intervention zone</p> <p>Studies on innovative financial mechanisms (REDD) are ongoing</p> <p>Concentration of 2 Districts in the strategic and feasible geographical area</p> <p>New self created PFOA</p>	<p>Influence of the project on result performance in 4 not-priority Districts is very limited and impact monitoring is difficult</p> <p>ARF target zone decreases significantly.</p>	<p>MS</p> <p>Comment: Initially planed co-funding partner had gone</p> <p>Initial 4 Districts increased to 6 (2 old and 4 modified/new), need to bring on board the new district officials and politicians to understand the project</p> <p>Recommendation: Sign MoU with new partners to ensure their contribution to ARF objectives</p>

	integrated as key intermittent between project and local communities		
Adequacy to legal evolutions	Due to missing National LUP policy and strategy (and missing District LUP) LUP is scaled down to smaller units like watersheds etc, acceptable for the people	New land bill is a challenge in the management of private forests	MS Comment: District LUP can not be developed without a national policy
Relevance of changes to initial objectives	Important strategic adaptive changes without losing the biodiversity conservation objective of the project  A modified, more relevant SRF with revised/ reformulated more realistic indicators and targets, reformulated outputs (as an adaptation to the actual situation) is proposed by the PMU end of 2009	Economic aspect of sustainable development (goal level) and improved livelihoods (outcome D) are still addressed only at a very sophisticated hypothetical long term level (carbon trade, PES), time for forest conservation is running out	MS Comment: Studies indicate that other economically viable options (possibilities for certification, biochar, free-trade, NTFPs, ecotourism, etc.) are all very limited  Recommendation: Ensure that studies and research for sustainable financing mechanisms (A1) include not only sophisticated hypothetical long term solutions but practical pragmatic short term solutions
<b>Performance indicator : MS (S for PMU decisions in the frame of their mandate)</b>			

A sound and relevant adaptive management since the arrival of the TA and the strategic planning 12/2009 have significantly improved the consistence of the project with the recent evolutions. Overall adaptive management is moderately satisfactory (MS), but implementation of changes has just started and several socio-economic (oil drilling, increased land pressures and economic needs of the population) and environmental evolutions (forest restoration need instead of conservation) are largely out of the frame and the possibilities of the adaptive management of this project.

#### 4.2.6 Coordination and operational issues

Q4. What is the strength and weakness of current and likely relationships and partnership arrangements of the project with stakeholders (civil society and public) in delivering project objectives? What relationships and partnerships are effective in terms of delivering expected results?

#### Local relation- and partnerships

Criteria	Strengths	Weaknesses	Rating & Comment
Coordination mechanisms	Informal coordination (meetings/phone) between implementation partners is working quite well since contracts with implementation partners are clear and specific.  District planners have been involved in the strategic planning	No operational formal coordination mechanism in place,  In PRODOC planned DPSC or similar mechanism have never been implemented (not practical in the large area with today 6 Districts)  Coordination is mainly done between the international NGOs, local structures such as relevant District Technical Planning Committees are not always concerned and do not play a leading role.	MS Recommendation: Use existing planning mechanisms at district level to assure transparency and participation of <u>all</u> relevant stakeholders (incl. local government and NFA) and to avoid additional WS (=costs) for planning
Technical assistance of co-financing/ implementation partners	Partnership with specialised international NGO have provided high level professional outputs, such as scientific research, maps, and information about the Albertine Rift forests, which are being used by various stakeholders	Long time is needed for requested surveys, studies, mapping activities. Key strategic outputs (corridor map) to start other activities only available in the 3 <sup>rd</sup> year, rather late to effectively guide project implementation.  Scientific studies demand a lot of funds and their contributions to project implementation and expected	MU => MS Comment: PMU has pointed out the weaknesses and significant correction measures are implemented since AWP 2010

	<p>With AWP 2010 ARF is moving from complete sub-contracting system towards more effective and efficient implementation through PMU in collaboration with some local implementation partners (e.g. kingdom, district government)</p>	<p>outcomes are sometimes limited (e.g. detailed household surveys, studies on financing mechanisms which are unlikely implemented during project life).</p> <p>Some deliveries are not satisfactory and high resource need to monitor sub-contractors</p> <p>Overlapping sub-contracts 2008/2009</p> <p>Every implementation partner used his proper tools (report format, indicators,...), until 2010 when contracts provided more specific and detailed guidance.</p> <p>Partners, especially the international NGOs have their own agenda, and the Project outcomes are not necessarily their priorities. This reduces commitment and effectiveness in service delivery</p>	
Financial contribution of co-financing partners	<p>PMU has adapted the intervention to make the most of the existing project funds through refocusing project activities and down scaling</p>	<p>There is no viable co-financing commitment, all initially planned partners have gone and there is no partnership agreement with new ones that are just arriving (e.g. FIEFOC, PES, CARE)</p> <p>Initially planned co-financing projects (closure before ARF start-up) haven't created any impact. Only the EU financed forestry project (FRMCP) was successful with sustainable outcomes</p>	<p>U Comment: Counting only on co-funded activities to realise important elements for project success is an important risk</p>
Synergies/ harmonisation with other technical and financial partners (int. NGO, projects)	<p>Landscape strategic plan useful in harmonizing activities among partners</p> <p>Creation of a good relationship and potential synergies with a new raised CARE project, which will potentially fill some co-financing gaps</p>	<p>Very limited coordination at District level.</p> <p>Footprints of the project are in 2 DEAP (out of 6 districts), but final integration in DDP is not known by PMU and it is likely to be poor (see comment)</p> <p>Very few contacts/ coordination with representatives from other sector programmes</p>	<p>Comment: MU Coordination with initiatives outside the environment sector is difficult/ impossible. DFO is in a weak position at district level :(' The Sector planner who brings most of money to the District can do it wherever he wants').</p> <p>There are no other sector projects operating, only national agriculture extension programmes</p> <p>Recommendation: Better coordination with national programmes in other sectors (e.g. agriculture) should be ensured by MWE (NPC) to avoid contradictions and conflicts</p> <p>Intensify direct involvement of local government structures (DFO) who have the mandate to manage development outside the CFR (NFA is not the responsible agency for these strategic areas)</p>
Local government	<p>By-laws development or updating is supported by the project</p>	<p>Limited application of current institutional set-ups for effective environmental management, e.g. District or lower government technical</p>	<p>MU Comment: District and lower government commitment is a key success</p>

		<p>planning committees and the relevant Environmental Committees</p> <p>Limited ownership of the project</p> <p>Most existing by –laws are not enforced</p>	<p>factor to the success and sustainability of project products. Limited involvement as lead participants is a major constraint</p>
<p>Assistance from decentralized/ deconcentrated concerned extension services (NAADS, NFA, MWE, DFO)</p>	<p>Technical capacities sufficient to deliver requested services</p> <p>Verbal commitments to support the project from District services</p>	<p>Forestry conservation and related enterprises are not among the priority areas for funding under the decentralized National Agricultural Advisory Services (NAADS)</p> <p>NFA + DFO provide additional assistance (extending day – to – day work) only under sub-contract conditions.</p> <p>DFO is poorly staffed and under-resources to effectively reach out to communities</p>	<p>MS</p> <p>Comment: DFOs are important in the delivery of advisory / extension services, especially to PFOs. Weak capacity of the DFO is a constraint</p>
<b>Performance indicator : MS</b>			

**Role (responsibility and mandate) of MWE (Ministry of Water Environment), NEMA, NFA**

Criteria	Strengths	Weaknesses	Rating & Comment
Field visits	Are done	Field visits limited to meetings, rather than monitoring project performance	MS
Steering Committee/TOR follow up and analysis	NPC invites for NPSC	Only supervision role for TOR	MS
APR/PIR preparation and follow up		No input, only supervision. Is proper role of PMU	MS
Quarterly progress and financial reports		See above	MS
Work plans		See above	MS
'Soft' assistance' (policy advice & dialogue, advocacy etc.)		<p>Lobbying and support at national level (other Ministries, oil &amp; gas companies) is poor</p> <p>Weak at mobilizing resources for district forest services (DFS). No conditional grants for forestry in districts</p> <p>NEMA is invisible in project activities</p>	MU
<b>Performance indicator : MS</b>			

**Role (responsibility and mandate) of UNDP**

Criteria	Strengths	Weaknesses	Rating & Comment
<b>Support by the UNDP country office Uganda</b>			
Field visits	Regular	No technical advices to PMU	MS
Steering Committee/TOR follow up and analysis	Supervision is done	Weaknesses of first sub- contracts (overlapping, lack of clearance) have not been seen	MS
APR/PIR preparation and follow up	Monitoring/control is done	No input, only supervision. Is proper role of PMU	MS
GEF guidance			
Quarterly progress and financial reports			
Work plans	Reviews provides opportunity for UNDP to monitor progress and keep implementation on track	Slow approval process in UNDP is much more a challenge than a support for the project (PMU blocked until end April in 2010)	U
'Soft' assistance (policy advice & dialogue, advocacy, etc.)		<p>Not support to find solutions for co-financing problem.</p> <p>UNDP has not been pro-active in guiding the project on availability or possibilities for small grants to boost local interventions for</p>	MU

		sustainable natural forest management or support to PFOs	
<b>Support by the regional UNDP/GEF environment coordination unit</b>	Field visit in early 2010, very useful technical advices for future adaptation of the project		HS
<b>Performance indicator : MS</b>			

#### Role (responsibility and mandate) of WWF CO

Criteria	Strengths	Weaknesses	Rating & Comment
Field visits	Regular	Few technical assistance in particular before the arrival of the TA	MS
TOR follow up and analysis		Weaknesses of first sub-contracts (overlapping, lack of clearance) have not been seen	MS
APR/PIR preparation and follow up	Monitoring/control is done	Preparation is the proper role of the PMU.	MS
GEF guidance	WWF CO assures minimal project costs in case of delays in receiving UNDP funds	Mainly duplication of administrative work, which slows down implementation	
Quarterly progress and financial reports			
Work plans			
'Soft' assistance (policy advice & dialogue, advocacy, etc.)	Effective to raise new projects to fill gaps (e.g. watershed mgt project with NORAD) or to use other WWF project for ARF needs too (project on oil issues, ESA).		S
<b>Performance indicator : MS</b>			

Local relation- and partnerships are globally moderately satisfactory (MS). Coordination mechanisms between the main implementation partners are -beside the AWP- informal and modified from initial planning in the PRODOC, but effective. There is poor cooperation/coordination at district level with actors (who might be potential partners) outside the forestry/environment sector. The project provides very limited support to local governments to ensure that environmental issues are integrated in the DDP and taken into account by the leaders of the district governments (only support to DEAP development in 2 Districts). Local partners are mostly competent and produce useful products since contracts are clear (AWP 2010). But most of their assistance involves sub-contracting as a pre-condition, which often leads to increased administrative costs.

The fulfilment of the mandates and roles of the main execution and implementation stakeholders at central level (MWE, UNDP, WWF CO) is moderately satisfactory (MS). Usual monitoring task are done but concrete inputs and advices in particular before the arrival of the TA are very limited, like UNDP and MWE 'soft' assistance (policy advice & dialogue, advocacy, etc.). Internal complicated UNDP procedures for AWP approval is much more a challenge than a support for the project, which block project implementation usual in the first quarter each year (U). Only significant technical inputs came from the regional UNDP/GEF adviser. WWF CO creates mainly duplication of administrative work, which slows down implementation but is successful to fill some project gaps outside the competence of the PMU with other initiatives of their country portfolio.

#### 4.2.7 Local stakeholder participation

Q5. What is the level and appropriateness of project community engagement with community-based Collaborative Forest Management groups, Private Forest Owner associations, Private Forest Owners and the public in the project activities?

#### Local stakeholder participation in project management and decisions

Criteria	Strengths	Weaknesses	Rating & Comment
Project perception	Awareness about project is well built. Project is well known, well received and well accepted in the project area	Project raised a lot of expectations to the people, which are too high	S
Implication of local stakeholders in project mgt and decisions	Ideas from stakeholders understood and articulated in project	Process of consultations took very long and was very expensive. International NGO play leading role	MS

Engagement of beneficiaries in planning and implementation of activities	There is a willingness to participate in the implementation	Long period before project start has negatively affected commitment of most beneficiaries  Project has difficulties in satisfying all stakeholders and their needs  No/low capacities for implementation	MS Comment: Changing social and political environment such as amendment of the Land Act, migrations, and subdivision of districts since project formulation has negatively affected implementation
<b>Involvement of:</b>			
Resource users	Effectively addressed by communication and awareness raising activities	Expensive and time-demanding to consult all resource users (dispersion of project resources)  Lack of alternatives hampers more sustainable forest use	MS Comment: There is need to manage the diverse expectations of the resource users  Recommendation: Address and work directly for local LUP with the resource users in the identified most sensitive areas (for restoration of connectivity) in the corridor to ensure that project resources are channelled where they are most relevant to create physical impacts.
Private land/forest owners	Many private forest owners have been identified  Self –managed association creation shows engagement.  Some PFOs willing to manage their forests sustainably	Lack of concrete economic benefit is a discouragement to PFO  Many PFOs still look at their forests as potential land for agricultural expansion, which may limit participation	S Comment: The issue of incentives for natural forest management stands as a challenge
District governments	District officials responsible for planning and decision making were involved in the planning processes  Platform for the integration of project activities in the District Development Plans  Level of awareness of project activities within the districts increased  Project and district activities are complimentary, and offer opportunities for district officials to work with the project  District technical officers can support the project through information dissemination, monitoring and enforcement of laws	Poor capacities (human and financial) for implementation of plans  Limited ownership of some project activities by districts  Lack of/poor coordinating mechanism to integrate project activities into district planning and budgeting processes  Low value attached to project activities, and hence limiting participation and integration in DDPs in some districts	MS Recommendation: A holistic approach is needed while working with the district officials, who have a vast agenda  Project should make use of the Technical Planning Committees and environmental committees at district and sub-district levels
Decentralised technical extension services	NFA bears the responsibility for most outputs under B  Awareness created for extension serves needs and opportunities  Technical backstopping from district staff for CBO	DFO and DEO (responsible for forest and environment management outside CFR) participate, but are marginalised in project implementation compared to NFA  Other technical services (e.g.. agriculture) are very poorly addressed, are not visible in project	MS

		implementation	
CBO	<p>PFOA are active and identified as key player for local land use planning</p> <p>New environment related CBOs created in the region to support conservation</p> <p>Formation of new CBOs or NGOs as service providers promoted</p>	<p>PFOA are still (very) young organisations with limited capacities (financial, technical, organisational, etc)</p> <p>CFM groups only indirectly addressed through NFA since focussing on the strategic corridor areas</p> <p>Service provision is ad hoc, project based, and so far limited to awareness creation</p> <p>Often opportunistic initiatives</p>	<p>MS</p> <p>Recommendation: Continue to advise CBO (PFOA and CFM groups) in particular to find funding to implement their plans (support to proposal writing and linkages to potential donors)</p>
Traditional territorial authorities	<p>Bunyoro Kingdom (has forest land within the corridor, and hence is a PFO) willing to participate in project activities and actively involved in project activities (AWP 2010)</p> <p>Communities hold a lot of trust and respect for the kingdom officials</p>	Limited capacities	S
District local government	<p>Most local governments welcomes project support for DEAP, DDP and by laws</p>	<p>Play no active implementation role</p> <p>Masindi District poorly involved in by-laws elaboration and refused the proposals</p>	MS
Local private sector		<p>Poor attitude to conservation</p> <p>No special strategy to address charcoal producers, brick makers,....</p> <p>They are only addressed through the general sensitisation work at community and PFOA level.</p>	U
Private sector (international) estates	<p>PDF – B study recognises issues which have implications for the private sector interventions, e.g.. impact of oil and gas drilling, sugarcane/ tea/ tobacco plantation development</p> <p>This group will be addressed by a new UNEP/GEF PES project (2010 – 2014)</p>	<p>Participation is very limited, and hence limiting their input and views</p> <p>There is poor response and poor commitment from them</p> <p>No seriousness of big companies on payment for ecosystem services</p> <p>Poor attitude towards conservation, conservation is not profit making</p> <p>PRODOC and actual project activities address marginally this stakeholder group</p>	<p>U</p> <p>Comment: The political atmosphere of protecting “investors” does not foster private sector participation. This is seen in the poor response to conservation initiatives and the promotion of deforestation and forest degradation by these “investors”. Strong GoU measures are needed for the private investors to compliance to forestry and related laws and promote forest conservation</p>
<b>Performance indicator : MS</b>			

Local stakeholder participation is moderately satisfactory (MS). Local NSA and traditional authorities are successfully involved in awareness raising activities and PFOA will play a leading role for local land use planning, but District involvement is still poor and ownership for the project is missing. All CBOs (including PFOA and CFM groups) are very young, still learning organisations and implementation capacities of the involved local stakeholders is in general poor. The local private sector (like charcoal producers) is only addressed through the general sensitisation work at community and PFOA level and the agro-industrial and oil companies are not addressed by the project strategy. The political support that tends to protect private investors is often misconstrued and used as a prerogative for deforestation and forest degradation.

#### 4.2.8 Gender perspective

Criteria	Strengths	Weaknesses	Rating & Comment
Contribution to inequalities	One female technical officer in the PMU since 5/2010		S
Project response to different needs and interests		Adequate strategy to address particular needs of women and young people is not yet formulated	MS Recommendation: Identify with involved women their particular interests and integrate them into the communication and implementation strategy of the project.
Participation and roles of women and young people in the project	Several awareness raising activities (e.g. drama groups) are highly appreciated by women and show active participation of women  Very active participation of some women in smaller discussion groups like field work with PFOA	Active women participation in Workshops is low	S
Access to and control over services and deliveries of the project	Equal access for all  Several women groups have benefited from AIG in 2008 and 2009	Control of resources is largely by men	MS
<b>Performance indicator : S</b>			

Integration of the gender perspective is satisfactory (S). Women participate pro-active in several project activities, but the project can still improve to identify and to address more specifically interest of women, who are the main user of several forest resources.

### 4.3 Results

#### 4.3.1. Attainment of objectives (impact)

Q1. What progress has been made towards achieving project national and global environment objectives and project results (outputs, outcomes and impact)? What can the project do better in future in order to improve on the achievement of results?
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#### Achievement of outputs

Criteria	Strengths	Weaknesses	Rating & Comments
<b>Realisation of outputs of outcome A</b>			<b>S</b> Comment: Achievement likely until EOP
A1. Local sustainable financing mechanisms identified and promoted	Ongoing, achievement possible in the timeframe	Several results will be still hypothetical, not approved or implemented  Study approach does not address community-based sustainable financing mechanism	MS
A2. Stakeholders supported to develop an overall regional strategy for the Albertine Rift forested protected area system through sharing lessons, data and information	Realistic in the timeframe  Seen by partners as a good holistic approach that harmonizes the different plans	Delays in its finalization may make implementation obsolete	S
A3. Monitoring and evaluation frameworks for the Albertine Rift protected area system developed	Possible until EOP	Delay	S
<b>Realisation of outputs of outcome B</b>			<b>MS</b> Comment:



			Mainly achieved due to EU-FRMCP project (pre-project), but several targets are not realistic
B1. Biodiversity and forest resources in the CFRs inventoried	Possible in the timeframe, most work is done	Delay, an some targets have to be scaled down	MS
B2. Central Forest Reserve boundaries secured and demarcated	Partly achieved already pre-project	Targets are not realistic and have to be scaled down	MS
B3. Incidence of illegal activities in central forest reserves reduced and brought under control.	<p>Joint patrols have resulted in reduced illegal activities in CFRs of Budongo and Bugoma MTE mission assumes that NFA can manage it until EOP</p> <p>NFA patrol report (19/10/2010) indicate a certain decrease of illegal activities in CFR</p> <p>Project has initiated the process of developing bye-laws and ordinances in Masindi and Hoima Districts, and other partners are being identified (e.g. CARE, which is developing two others as a synergistic activity).</p>	<p>Can not totally be evaluated, NFA has submitted a short report of patrol results only the 19/10/2010, monitoring before this date was impossible</p> <p>Lack of sustained effort by NFA negates achievements</p> <p>Indicators are not/difficult measurable</p> <p>Local government participation in by-law formulation has been poor, especially in Masindi District</p> <p>Consultation process for by-law formulation is long and expensive</p>	<p>MS</p> <p>Local governments should take the lead in by-law formulation and implementation</p>
B4. Restoration of degraded areas in selected central forest reserves undertaken	4% of target realised Contribution made in Budongo, Bugoma	Cost of follow-up maintenance is high Impossible to achieve the targets (4% realised target have consumed 200% of the expenditure)	U
B5. Forest Management Plans for CFRs developed	Achieved pre-project under the EU-FRMCP	FMPs not yet approved by the Ministry	MS Recommendation: NPC should help to accelerate approval
B6. Management oriented studies carried out and results integrated in forest management	Output is not any longer relevant due to pre-project realisations (EU)		N/A
<b>Realisation of outputs of outcome C</b>			<b>MU</b>
C1. Northern biodiversity corridor assessed	Achieved mid 2010	Delay  Not yet understood by all stakeholders	MS
C2. Local land use plans developed and implementation initiated	Ongoing, LUP possible for small strategic area	LUP implementation is a mayor challenge (budget insufficient)	MU
C3. Conservation and management of forest resources in the corridor enhanced through awareness, conservation education and information dissemination	Effectively ongoing	Important delay  Impact of awareness raising on behaviour and practice change is still to prove	MS Comment: IEC alone is usually insufficient
C4. Local authorities, communities and private land owners supported to develop Private Forest Management Plans	Some LUP will be developed by EOP	Implementation is not realistic without additional funding	MU

C5. Undertake Forest landscape restoration in the northern corridor	Legal provisions support maintenance of fragile ecosystems and protection of river banks  Project and partners support bye-laws and ordinances development	Highly unlikely: important funding is needed for restoration (not in the budget of ARF) and most land is occupied by agriculture use	U Comment: Important increase of deforestation since PRODOC Bye-laws may be required to precede landscape restoration. Hence process should ensure that landscape protection and restoration are integrated in the by-laws
<b>Realisation of outputs of outcome D</b>			<b>MU</b>
D1. Community Based Natural Resources Management (CBNRM) approaches promoted for the maintenance of forest resources on private lands	Done in 2008 /2009	Implementation without a strategic planning, very few relevance for the strategic areas (budget used without significant impact)	MU
D2. Collaborative Forest management (CFM) approaches promoted in CFRs	Achieved pre-project	CFM groups are still young organisations which needs further advise and capacity building (learning organisations)	MS
D3. Incentives for sustainable use of forest resources explored and promoted.		Insufficient, deforestation still increasing	U
<b>Performance indicator : MS (MU for implementation)</b>			

For details see annex 6.8.1 (Summary of achievements of outputs)

**Progress toward the target objectives/outcomes (obtained results)**

<b>Objective / outcome</b>	<b>Rating</b>	<b>Comment</b>
<b>Long term Objective (Purpose):</b> To support conservation and management of nationally and globally important biodiversity resources in Albertine Rift forests in Uganda.	N/A	Mid – term evaluation
Outcome A: Develop an overall conservation and management strategy for the Albertine Rift Forested Protected Area (PA) systems.	S	Realistic in the timeframe and within the budget
Outcome B: Support Central Forest Reserves for conservation and sustainable management	MS	Possible for priority reserves, big challenge for smaller CFR (which are the key strategic CFR for the corridor), deforestation is increasing
Outcome C: Secure and manage the Northern corridor to ensure connectivity of the Albertine Rift protected area systems	MU	Very difficult, only potentially possible for a very small part of the corridor, where work with PFOA and already existing integrated watershed management plans facilitate implementation. A certain contribution in the northern part of the corridor can be expected from the new PES project (linked GEF funding). But important restoring work is necessary.
Outcome D: Strengthen linkages between forest conservation and sustainably improved livelihoods	MU	All incentives delivered, but mixed results and not in the identified strategic key area (limited impact), deforestation rate is increasing
<b>Performance indicator: MS (MU for implementation on the ground)</b>		

The progress towards achieving the expected outputs and outcomes is in general moderately satisfactory (MS), but implementation on the ground is moderately unsatisfactory (MU). Important strategic outputs for the planning of all following steps (corridor mapping, biological and socio-economic baseline data) have been realised,

providing useful information to raise awareness to stakeholders and guide project implementation. However, their very late realisation (mid – end 2010) reduce effectiveness and relevance of several project activities and outputs implemented or achieved before the availability of these information.

Good progresses have been made with the outputs of outcome A (Strategic plan) and achievement of the outcome until EOP seems to be possible. But the delays in output achievement can be a challenge for implementation of new financing mechanisms until EOP. (S = satisfactory)

Several outputs of outcome B (CFR) had been partly or completely achieved pre – project under EU-FRMCP. Boundary demarcation, joint patrols and restoration works have been partly realised, but expected targets are totally over-estimated and continuation of these recurrent works and activities (and related costs) is not assured. (MS = moderately satisfactory)

Achievement of outputs under outcome C (corridor) is a challenge (MU = moderately unsatisfactory). The important baseline collection (corridor mapping, studies) is realised much too late (final reports still under preparation) and only first preparatory activities like awareness raising and organisation of PFO for local LUP have just started. Achievement of the outcome is very difficult and unlikely. It's only potentially possible for a very small part of the corridor because important restoring work will be necessary in the corridor. The project can't implement them on the ground and realistic alternatives for implementation are lacking. (MU = moderately unsatisfactory). However, refocusing on workable priority interventions such as a combination of working with PFOAs and implementing the Nkusi Integrated Watershed Management Plan already done for that key riverine stretch of the corridor, gives a fairly good chance of achieving a part of the corridor through Kibaale district. In addition, the GEF/NEMA PES project is likely to meet some of the targets within the corridor in the northern section

The achievement of outputs under outcome D (incentives) is another challenge (MU = moderately unsatisfactory). Realised activities had not the expected impact due to dispersed implementation during 2008/09 without clear links to forest conservation and insufficient assistance for the CBOs. Until now no convincing strategy or response is visible for the near future to create attractive incentives and alternative livelihoods to promote sustainable use of forest resources. Deforestation is still increasing, particularly outside CFR.

## Achievement of targets of impact indicators

An objective, measurable appreciation of the target achievement of the impact indicators is often not possible due to the weaknesses already mentioned and elaborated under 4.1.7. and 4.2.3. Major challenges are: missing baseline data (often still missing at MTE stage), unclear or not/very difficult measurable indicators and output realisations pre-project, where the indicators can show the general situation but not the impact of project activities. The following table summarises the situation, but rating is limited to the appreciation of tendencies. Red colour indicates missing baseline data and yellow shows pre-project realisations. Revised indicators and targets have already been elaborated by the PMU in 8/2010 and will be presented in the proposed revised SRF for the remaining project duration (see annex 6.8.3).

SRF narrative summary	Indicators	Baseline at project start-up	Achievements 10/2010	Rating & Comment
<b>Goal: “ Conserve and manage rich biodiversity forests in the Albertine Rift, allowing Sustainable Development for all Stakeholders ”</b>	N/A	N/A	N/A mid-term evaluation	N/A
<b>Long term Objective (Purpose):</b> To support conservation and management of nationally and globally important biodiversity resources in Albertine Rift forests in Uganda.	1. Rates of deforestation in the Albertine Rift have decreased to less than 6% by the end of the project	The annual rate of deforestation was 1.9% between 1990 and 2005, and estimates range from 1.0-1.9% by 2008	<b>Exact data not yet available</b> , but rate is very likely increasing  Satellite photo interpretation planned by JGI (co-financing)	U
	2. Populations of key indicator species are maintained or increase in the Albertine Rift forest reserves by the end of the project	Only old , pré-project Baseline data on mammals, birds and trees in large CFRs in place from late 1990s (EU funded surveys). Additional data on chimpanzees from 1999 (Bugoma, Kasato, Kagombe) and 2000 (Budongo). Highest density of 1.90 individuals/km2 in Bugoma, lowest of 0.71 individuals/km2 in Kagombe. Some comparative data on multiple CFRs from surveys by WCS-JGI in early-mid 2000s; numbers in Budongo monitored constantly by the Budongo Conservation Project.	Survey studies on 12 small CFR for which no baselines exist finished, report writing ongoing, expected for End Oct/Nov 2010. Key findings: Smaller CFRs have been heavily encroached and all are highly degraded, with little mature forest remaining. Several reserves have signs of some key species, notably chimpanzees, turacos and hornbills, but forest raptors (one of the species groups that would benefit from the corridor) are at very low density.  Re-surveys of the larger CFRs, Bugoma and Kagombe, for which baseline data already exist, are planned to assess changes since the last surveys in the early 2000s.	? Can not be evaluated during MTE

	3. Eleven forest reserves have revised management plans under implementation by the end of the project	All CFRs in the region have been covered by 5 FMPs, which are still in draft form (pre-project realisation, achieved)	FMP not yet approved by the Minister, but NFA continues to implement the FMPs and their re-survey of boundaries of 5 small CFRs solves some issues of land conflict.  But forest encroachment in the small reserves of Kibaale district and the larger Kagombe CFR in Kibaale and Kyenjoj districts is increasing not decreasing and has reached crisis levels in Kagombe. .	S for existence of FMP (pre-project)  U for implementation effectiveness
	4. Area of Albertine Rift under conservation management is increased by 82,916 Ha	Baseline of the surface is established: Total area of CFRs in the project area: 9,585 km <sup>2</sup> . Approximately 968 km <sup>2</sup> ha of forest on private land (not subject to NFA control)	Some (< 10%) loss of CFR area through encroachment.  Few CFR are actually under effective conservation management due to low capacity of the NFA,  No information available concerning management of forest on private land	MU Comment: Judgement as to which CFR are and are not effectively managed is subjective as no SMART indicators exist  Recommendation: apply METT scorecards for larger CFR to facilitate future evaluation
Outcome A: Develop an overall conservation and management strategy for the Albertine Rift Forested Protected Area (PA)	5. Integrated conservation strategy for the Albertine Rift forests developed and under implementation by the end of the project	The Albertine Rift Strategic Planning Framework developed (pre-project realisation). Strategic planning framework 2004-2030 drafted (in 2003) but no subsequent action in Planning Unit 1	The strategic planning process (starting 2009) has reached the point of development of a conceptual model, including agreement on a common vision, targets, threats assesment, strategies and objectives., but is not yet adopted.	MS

systems.	6. 50% of key stakeholders are actively involved in managing the Albertine Rift forests by year 5	The key stakeholders have been identified, but there was no coordination between stakeholders in managing the forests of the northern Albertine rift	Key stakeholders are identified and addressed during stakeholder meetings, strategy development is ongoing with remarkable participation in the first strategic planning stakeholder Workshop.	MS Comment : Active involvement in management beside participation in planning workshops can not be measured
	7. Independent monitoring confirms that, by year 3, monitoring systems for both biodiversity and the socio-economic situation are fully established and collected data is being fed into management decisions.	No systematic socio-economic or biodiversity monitoring information available	M &E strategy and baseline are under development as part of the strategic plan. 14 conservation targets and 6 strategic objectives are identified, biodiversity and socio-économic data are collected. This will create the baseline in the future	? Can not be evaluated during MTE
Outcome B: Support Central Forest Reserves for conservation and sustainable management	8. Area of CFR under sustainable management increases by 80% by end of the project	FMPs for the CFRs in the project area had been prepared and submitted for approval (pre-project realisation).	FMPs were still awaiting approval of the Minister  Project supported some priority actions, but totally insufficient budget for the needs	S for existence of FMPs (pre-project)  Comment: Judgement as to which CFR are and are not effectively managed is subjective as no SMART indicators exist  Recommendation: apply METT scorecards for larger CFR to facilitate future evaluation

	9. Biodiversity monitoring indicates numbers of key species in CFR remain the same or increase by year 5	Only old , pré-project Baseline data on mammals, birds and trees in large CFRs in place from late 1990s (EU funded surveys). Additional data on chimpanzees from 1999 (Bugoma, Kasato, Kagombe) and 2000 (Budongo). Highest density of 1.90 individuals/km2 in Bugoma, lowest of 0.71 individuals/km2 in Kagombe. Some comparative data on multiple CFRs from surveys by WCS-JGI in early-mid 2000s; numbers in Budongo monitored constantly by the Budongo Conservation Project.	Survey studies on 12 small CFR (for which no baselines exist) finished, report writing ongoing, expected for End Oct/Nov 2010. Key findings: Smaller CFRs have been heavily encroached and all are highly degraded, with little mature forest remaining, such that carbon stock assessments were very low. Several reserves have signs of some key species, notably chimpanzees, turacos and hornbills, but forest raptors (one of the species groups that would benefit from the corridor) are at very low density.  Re-surveys of the larger CFRs, Bugoma and Kagombe, for which baseline data already exist, are planned will be undertaken early in the next FY to assess changes since the last surveys in the early 2000s.	? Can not be evaluated during MTE
	10. Eleven participatory forest management plans for CFRs with areas greater than or equal to 3,000ha developed and under implementation by the end of the project	All CFRs in the project area had their FMPs in place as part of five general FMPs and 9 participatory management agreements (CFM) are in place (pre-project realisation)	11 CFM (2 CFM added through co-financing at project inception), covering 27,740 ha (84% of target)  CFM as part of FMP are not yet approved by the Ministry, but NFA does already implementation	S (pre-project)
Outcome C: Secure and manage the Northern corridor to ensure connectivity of the Albertine Rift protected area systems	11. 6,400 ha approximately 10% of the total degraded area of land out side protected areas in the project sites is demarcated for conservation purposes and recognized by stakeholders by year 2	6,200 ha of forests on private lands being lost annually	Potential corridors identified and mapped No new statistics available for forests on private land pending a new forest cover survey using 2010 images.	MS
	12. Incidences of wildlife passing through the corridor increases by 30 % by year 5	Corridor not determinate and baseline data not available	Corridor determinate and mapped Baselines data (population densities or occurrences) are in place for four areas of private forests in Hoima district, and in the forest matrix between CFRs in Kibaale district.  No data available on the role of the corridor in facilitating movements of wildlife at MTE	? Can not be evaluated during MTE

	13. More than 40% of the communities are aware of the value of the northern corridor for conservation purposes by the end of the project	The concept of a 'corridor' is new to the communities in the project area and a baseline could thus be interpreted as 0% of the community aware of the value of the corridor.	<p>Awareness surveys indicate that &gt;50% of respondents support the corridor concept; &gt;50% of respondents can name at least two potential benefits accruing from the management of the corridor. (Achieved at start of project unless there is disillusionment.)</p> <p>A baseline awareness survey (2010) with ~100 households indicates that 88% support corridor idea and only 9% are against the idea.</p> <p>Despite the result, forest degradation is continuing.</p>	MS
	14. Four land use plans under implementation by year 5	Large scale LUP processes have been established in 4 districts (IFAD pre-project realisation with very limited result), but no LUPs and/or conservation-related land use management in key areas of connectivity	First preparatory activities for local land use plans ongoing	MS
Outcome D: Strengthen linkages between forest conservation and sustainably improved livelihoods	15. 2 fold increase in income being generated for local communities from non timber forest resources by year five	Baseline data not available	<p>Baseline data not yet available at MTE, under construction</p> <p>Socio-economic surveys conducted in Kibaale and Kyenjojo districts in 2010 provide baseline data on household income, including the contribution of forest resources. Data analysis is ongoing</p> <p>A baseline socio-economic report conducted for Masindi and Hoima (2009) does not contain sufficient detail to make an objective assessment</p>	? Can not be evaluated during MTE
	16. At least 10 forest management agreements are made with community groups and are being effectively implemented by year 5	All CFRs in the project area had their FMPs in place as part of five general FMPs and 9 participatory management agreements (CFM) are in place (pre-project realisation)	<p>11 CFM in place (pre-project and co-financing before project inception)</p> <p>FMP not yet approved by the Ministry</p>	S (pre-project)



	<p>17. An increase in at least 40 % of community groups benefiting from conservation</p>	<p>Precise baseline data not available Moderate number of community groups already benefiting from conservation processes due to co-funded activities undertaken pre-project (9 CFM,)</p>	<p>40 -50 initiatives of 11 CFM and 4 PFOA outside the strategic area were supported by the project and implemented by NFA with variable results, No impact monitoring were done by NFA</p> <p>3 new PFOA have just been created and have until now no benefits</p> <p>New opportunities might arrive in the future (UNEP-GEF PES, redistribution from UWA), but</p>	<p>? Appreciation is impossible, assessment of AIG impact is ongoing</p>
<p><b>Performance indicator: U (not measurable)</b></p>				

## Global project impact

Criteria	Strengths	Weaknesses	Rating & Comment
Behaviour changes (perception of local stakeholder)	Successful awareness raising and start of local dynamics towards forest protection/rehabilitation in some areas (PFOA)	No/few means for the CBO to implement their plans in the field	MS Comment: A good start but still in a very early stage
Environmental conditions		No environmental impact until now, accelerate deforestation is ongoing	U Comment: assumption 'Government commitment to forest conservation' in poor in reality
Economic conditions	Some AIG around CFR (financed in 2008/2009) are successful	No significant economic incentives exist for forest protection in the identified strategic areas and few people targeted	MU
Social conditions	Relation between local communities and NFA has improved	Failure of NFA to honour its contractual obligations is likely to erode community trust	MS
Legal context	Improved by- laws and ordinances finalised in 2 districts (pre-project and co-funding), ongoing in 2 districts	FMP still not approved  Very limited capacities for implementation	MS Recommendation: NPC should support the project to speed up approval procedures for FMP including CFM (but PMU has to indicate the need)
Institutional framework/ governance	First start of a slight CBO movement Local governments feel involved	Local governments feels not responsible, very limited ownership	MS Comment: A good start but still in a very early stage,
<b>Performance indicator : MS (but of U for environmental conditions, objective of the project)</b>			

The global impact of the project is moderately satisfactory (MS) but unsatisfactory for environmental conditions, which are the main objectives of the project. Positive behaviour changes, improvement of the social relations between NFA and the local population, first small steps towards improvement of legal conditions at local level and a slight CBO movement contrast with insignificant impact on socio-economic conditions and in particular no environmental impact of the project up to date.

## Unexpected results

Q8. What are the unexpected positive and negative results that the project has registered to date?

Unexpected positive results	Unexpected negative results
Private forests owners decided to create PFOA with an official recognition	Project creates high funding expectation for implementation of field activities, resulting in certain frustration of local actors  The "shift to the south" has had negative connotation among different actors in the northern districts "being abandoned"
<b>Performance indicator : neutral, no major unexpected results</b>	

The project has not created major unexpected results. High funding expectation of local stakeholders is a recurrent impact of the project approach and local dynamic (the positive creation of PFOA) is often linked to these expectations. Peoples feeling to 'be abandoned' outside the new strategic area is pre-visible too, but the project has to handle these feelings very carefully to avoid frustration and opposition against environment protection projects in the future.

### 4.3.2 Sustainability

Q6. What project sustainability measures exist and what factors are likely to negatively affect project sustainability? Which key factors require attention in order to improve prospects for sustainability of project results?

Criteria	Strengths	Weaknesses	Rating & Comment
Project measures for sustainability	Strategic planning, building of a common vision, support to DEAP and DDP, landscape approach and capacity building for CBO are relevant ARF activities to increase prospect for sustainability.	Not all aspects of sustainability are addressed by the project.	MS Recommendation: Special attention has to be given to realistic financial and economic sustainability in a relative short time frame. Otherwise all forest outside CFR will have gone.
Financial sustainability	Lessons learnt from the local financing mechanisms on mobilization of funds	No convincing viable short term financial mechanism is identified. The actual studies focus only on hypothetical or very uncertain medium to long term solutions.  Central and local government subvention too meagre to sustain project activities; Self-financing of NFA covers only 40-50% of CFR costs.  Locally generated benefits are rare (eco-tourism) and trickle only insignificantly down to the protected areas	U Comment: There is high dependency on donor funding for forestry activities. Unless there is another Project to continue on these activities, it likely that all the achievements so far will die with the project
Socio-economical sustainability	Few measures, directly addressing population short term needs and interests, are identified (e.g. watershed mgt)  Knowledge and skills built among the partners and communities contribute to a social asset  Some successful AIG, managed by partners in the northern part (outside the new strategic corridor for ARF)	No economic compensation measures for forest protection in the new strategic corridor area. Political interference – a social confusion?	MU
Institutional sustainability, governance	Work with CBO, traditional structures (kingdom) and local government has a potential for sustainability  Intern. environment NGO presence is very likely for the Albertine Rift for the next decades	Ownership and capacities for implementation of local stakeholders are still very weak.  Future ownership of the 'Strategic plan' (outcome A) is not at all clear	MS
Environmental sustainability	Strategic plan might guide future interventions	No convincing response to root causes of deforestation exists.	MU
<b>Performance indicator : MU</b>			

Project sustainability or potential sustainability is moderately unsatisfactory (MU). Adapted relevant measures (Strategic planning, building of a common vision, support to DEAP, landscape approach, capacity building for CBO) have been done to increase prospect for sustainability. But convincing short term solutions for sustainable financing are unlikely, root causes of forest degradation are very difficult to be addressed in an effective way and future ownership (institutional sustainability) of project products, in particular the 'Strategic plan' (outcome A) is not yet ensured.

#### 4.3.3 Contribution to upgrading skills of the national staff

Q7. How appropriate is the project knowledge transfer strategy?

Criteria	Strengths	Weaknesses	Rating & Comment
Awareness	Effective awareness	Lack of practical follow-up interventions to	S

raising	<p>raising</p> <p>Consultative processes increased biodiversity awareness of the people</p> <p>Opportunity for information sharing and networking among stakeholders</p> <p>Many different organisations involved in environmental education and awareness activities</p>	<p>promote behavioural change</p> <p>The “for the project” attitude among the communities remains strong and influences ownership of especially IGAs (“<u>your</u> chicken are dying”) , and hinders practical application of skills acquired</p> <p>Political decision makers are poorly targeted by the awareness raising measures</p>	<p>Recommendation: Develop special tools to address policy decision makers and involve them as much as possible in the project to avoid contra-productive decisions</p>
Adequacy of transferred knowledge (technical)	Mostly consistent with reliable best practises	<p>Limited practical skills for sustainable forest mgt on private land</p> <p>Some AIGAs failed due to non-adapted technologies (bees, chicken, piggery)</p>	MS
Compatibility of training themes to local needs (relevance)	Availability of knowledgeable personnel for all mayor issues of the project	<p>Limited skills transferred to handle emerging challenges such as oil/gas impact on conservation strategies</p> <p>Redundancy of some NFA trainings</p> <p>Managerial capacity needs of CBO insufficiently served to take a pro-active role to solve their implementation problems</p>	<p>MS</p> <p>Recommendation: Train CBO in self-financing and micro-project proposal writing by ‘Training on the job’</p>
Adequacy of themes to local customs	No challenges, themes are appreciated		S
Knowledge and competence transfer (effectiveness)	Technical capacity effectively built for local partners	Lack of opportunities to take new skills into practice	MS
Information dissemination	<p>Project communication strategy developed and under implementation (since 5/2010)</p> <p>Several WS to present results of studies in an adapted form</p>	<p>Delayed implementation of the communication strategy – it should have been done as start-up activity</p> <p>Very few follow-up actions planned during the WS how to use/incorporate these information</p> <p>Clear dissemination plan is missing and most reports are only used by PMU and key implementation partners for adaptive mgt</p> <p>Under-valuation of existing information</p>	<p>MS</p> <p>Recommendation: Elaborate a clear dissemination plan and provide all potential user with information and suggestions how these can be of value for them</p>
Use/valorisation of new competences by beneficiaries		Limited facilitation impedes putting skills into practice	MU
Use/valorisation of local knowledge		<p>Existing capacities of the Makerere university and NaFORRI are not used</p> <p>Valorisation of traditional values and customs (e.g. tree planting at special events in life) not taken into consideration by the project.</p>	<p>MS</p> <p>Recommendation: Cooperate with the university for research activities and imbed useful traditional values and customs in the communication strategy</p>
<b>Performance indicator : MS</b>			

Knowledge transfer of the project is moderately satisfactory (MS). Awareness raising measures reach the people effectively and theoretical technical skills are upgraded. But the communication strategy was formulated very lately (5/2010), some potential local knowledge is under-used and trained people have few

opportunities to put new skills into practice due to their limited capacities (mainly financial) and limited facilitation by the project.

#### 4.4 External factors

##### Factors out of control of the project

External factors strengthening the effectiveness of the project	External factors hampering the effectiveness of the project
Recently arrived UNEP/GEF PES project (2010 – 2014) addresses private sector companies, neglected in the ARF (although identified in PDF – B), and will help to create sustainable financing mechanisms	New Land Bill (2010) promotes private land ownership, which makes work of NFA difficult
	National elections 2011 slow down approval process (no important signatures for FMP is possible before the new GoU will be established)
	Resettlement area for refugees from Congo near to the Bugoma CFR creates important problems for sustainable CFR management (firewood needs etc.)
	Immigrants from other districts, sometimes encouraged by a political agenda
<b>Performance indicator : MS</b>	

External factors have been mostly negative (New Land Bill, near national elections slowing down approval processes, high pressure on natural resources by a resettlement area in a sensitive project region) for project effectiveness. They slow down the implementation process, but didn't hamper the project work significantly at the actual stage.

## 5. CONCLUSIONS, LESSONS LEARNT AND RECOMMENDATIONS

### 5.1 Global performance of the project and conclusions

#### Global appreciation of the project performance

Criteria	Rating
Project formulation (Relevance)	MS
Effectiveness and efficiency of implementation	MS (MU for finance mgt / efficiency and M&E)
Progress toward the target objectives/outcomes (obtained results)	MS (MU for implementation on the ground)
Global project impact	MS (U for environment)
Sustainability	MU
Capacity building	MS
<b>Global performance of the project: MS</b>	
<b>But: MU/U for biodiversity threat issues which are the main objectives of the project and finance management/efficiency, M&amp;E and sustainability which are key elements of project management/implementation</b>	

#### Conclusions

Major strengths of the project	Major weaknesses of the project
	Long period between project formulation (2002) and start – up (2008) have significantly reduced relevance, effectiveness, efficiency and the resulting potential impact of the project
Late, but finally the project is now structured to be operational for strategic implementation.	Extremely complicated management structures and procedures at central level and slow budget flux hampers implementation and use a lot of the budget
Good adaptive management and strategic reorientation since AWP 2010 (in the frame of possibilities) with reviewed focus on feasible strategic geographical areas and a solution to handle M&E (problems due to low performance of initial indicators)	Project had a bad and late start-up due to missing strategic planning, late arrival of the Technical Advisor and not always chronologically logical activity implementation. This is now very difficult/impossible to recover (budget is spent)
Successful awareness raising and capacity building for technical aspects	<b>Efficiency is the major challenge of the project, the budget balance is totally insufficient to achieve expected targets/outputs/outcomes and in particular to support adequately implementation *</b>
Support to District local governments to develop/improve DEAP and by-laws	Impact monitoring and evaluation is nearly impossible due to low performance of indicators and missing baseline data
CBO (PFOA, CFM groups) and traditional leaders (kingdom) are on board and will have a pro-active role in LUP and implementation (creation of a sound local network)	No convincing response to root causes of deforestation, economic/ business approach is only addressed at a sophisticated level for still hypothetical long term solutions. It's insufficiently integrated in the project, in particular at field site level.
Planned strategy to use the already understood watershed protection approach to start LUP and protection/ restoring in the corridor	Key implementation partners give a high ranking to planning and strategic objectives but marginalise implementation.
Good progress towards the development of the 'Conservation and management strategy for the Albertine Rift Forested Protected Area (PA) systems'.	Environmental impacts and sustainability are unsatisfactory and can not be obtained in a short 5 year project.

\* This is the most critical point of the project and will be discussed in detail below in chapter 5.2 (recommendations, future orientation of the project).

The global performance of the project is evaluated as moderately satisfactory (MS) and the MTE mission

recommends its continuation. This appreciation and recommendation is justified by the fact that the project implementation has significantly improved since its difficult and unsatisfactory start-up, which was partly not the responsibility of the project team. The project has promoted stakeholder participation, and through strategic planning process understanding of concepts of forest conservation and the forest corridor connectivity has been enhanced. Useful information (such as maps and corridor analyses) has been generated and is being utilized by various stakeholders. The long period between the project formulation and the start-up, weaknesses in the PRODOC which is the base for implementation, and extreme administrative challenges and problems at higher level have significantly reduced the project performance. The project is far away from the expected results at this stage (MTE), but is now, due to satisfactory adaptive management, structured in an operational manner to progress towards the expected objectives. Nevertheless important challenges persist, in particular concerning finance management, efficiency, M&E, sustainability and global environmental impact, and can only partly be addressed by corrective measures.

## 5.2 Lessons learnt

Q9. What lessons have been learnt from project implementation?

Following lessons have been learnt from the implementation process of the ARF project:

- Implementation start of projects in a reasonable timeframe after the project formulation is very important, sometimes crucial for relevance, effectiveness and efficiency.
- Much attention should be given to a good project start-up phase. Sufficient technical and strategic competences have to be available in this critical phase to ensure strategic planning and effective implementation of project operational structures from the beginning. Later recovery is difficult and expensive.
- Financial/procurement procedures and management arrangements should be as simple as possible, without useless 'trickle down implementation', and with a certain implementation flexibility and in-time financial flux. This can allow projects to operate effectively and will avoid inefficient expenditures for project administration.
- Management planning and planning tools alone on global strategic levels change nothing if they are not directly combined with pragmatic implementation on the ground where every stakeholder can find his interest.
- Multi-stakeholder project implementation approach is difficult without a strong coordination and monitoring mechanism for quality assurance from the beginning
- Co-funding letters are not a guarantee for expected impacts and important contributions to a project.

## 5.3 Recommendations

A code (1, 2, 3 or 4) is attached to each recommendation to separate the recommendations addressed to the PMU (Project Management Unit) (code 1), UNDP (code 2), WWF CO (code 3) and MWE as implementation structures (code 4). Other target actors like NFA are directly mentioned. Key recommendations are indicated in bold.

### Corrective measures for:

#### Project formulation, implementation, M & E and project management/procurement/procedures

##### **Project formulation:**

- SRF needs some adaptation to actual situation. Revision and adaptation of indicators to actual situation and realistic targets is necessary and formulation of practicable indicators (simplification) is required (1)
- Reformulation of certain outputs which are not any longer adapted to the actual context (1)

##### **Implementation:**

- **Bring the project back to the ground, people have to understand the strategic objectives and outcomes and have to find their interest in the project (1)**

- **Ensure that studies and research for sustainable financing mechanisms (A1) include not only sophisticated hypothetical long term solutions but practical pragmatic short term solutions. Special attention has to be given to realistic financial and economic sustainability in a relative short time frame otherwise all forest outside CFR will have gone. (1)**
- **Internalise implementation process as much as possible in existing, mandated district structures (in particular DFO). This will create ownership, avoid parallel structures and can create some impacts outside the new strategic zones of the corridor. Use as much as possible existing planning and coordination mechanisms to ensure transparency and participation of all local stakeholders, to reduced number and expenses for additional WS and to incorporate the project in local structures (Districts). A holistic approach is needed while working with the district officials, who have a vast agenda. (1)**
- **Shift from as much as possible from the actual 'workshop approach' to 'training on the job' (1)**
- **Play a facilitator role to solve the plan implementation problems in particular of CBO (PFOA and CFM groups). Train them in self-financing and micro-project planning and proposal writing by 'Training on the job' (1) and link them to potential funding sources like UNDP-SGP (2, 3))**
- Continue to monitor the CFM groups and provide further capacity building in case of need. These are young, still learning organisations (NFA, 1)
- Use practical management planning tools and methods to facilitate local take-over (1)
- Address and work directly for local LUP with the resource users in the identified most sensitive areas in the corridor to ensure that project resources are channelled where they are most relevant to create physical impacts. (1)
- Identify with involved women their particular interests and integrate them into the communication and implementation strategy of the project. (1)
- Formulate incentives and income generating activities which are directly linked to intact forest resources as a motivation for people to protect forests. (1)
- Elaborate a clear dissemination plan and provide all potential users with information and suggestions how these information can be of value for them. Present study results in an adapted way and ensure dissemination to potential users and concerned structures. Ensure that all relevant stakeholders with internet access will be provided with studies, maps, etc produced by the project. (1)
- Develop special tools to address policy decision markers and involve them as much as possible in the project to avoid contra-productive decisions (1)
- Cooperate with the university and other research institutions for research activities and imbed useful traditional values and customs in the communication strategy (1)
- Continue concentration on the key strategic areas, but ensure that started processes in the other districts continue to be supported by other implementation partners to save already reached results and to avoid a feeling of local communities and stakeholders to be 'abandoned'. (1)
- Link as fast as possible arising initiatives to the project and create relationships to ensure that their activities are synergies and contribute to the expected outcomes of ARF. Signature of MoU is recommended to have clear commitments. MWE and UNDP should support the process. (1, 2, 3, 4)
- Better coordination with national programmes in the forestry sector and other sectors (e.g. agriculture) should be ensured by the MWE (NPC) to avoid contradictions (4)
- Develop and implement clear involvement mechanisms to ensure GoU commitments and responsibility (2, 3, 4)
- Key executing/ implementing agencies should link the project to more appropriated initiatives for sustainable socio-economic development (e.g. programmes for poverty alleviation) (2, 3, 4)
- **UNDP, MWE should provide more pro-active 'soft' assistance to facilitate the project implementation (approval procedures, identifying alternative additional (co-)funding, lobbying for higher GoU funding for the sector,..). In particular NPC should support the project to speed up approval procedures for FMP including CFM, but PMU has to indicate their needs. (2, 4)**
- Interested key stakeholders/donor agency should already start to identify and to formulate new projects/ mechanisms that can take over implementation of the management plans developed under ARF (2, 3, 4)



- Project planners and GEF should find more assuring solutions for partner contributions in the future or adapt project design to realistic existing resources.(GEF 5)

### **Monitoring & Evaluation**

- **Reformulate and simplify impact indicators so that they are SMART and scale down unrealistic targets (1)**
- Apply GEF METT scorecards for the most relevant CFR and strategic areas in the corridor to facilitate the final evaluation (NFA)
- Realise joint monitoring field visits with partners and in particular with sub-contractors to avoid duplication and unnecessary expenses and agree on common monitoring tools and criteria (1)

### **Project Management/ procedures/procurement**

- **Simplification and transparency of procedures and management/ implementation arrangements is highly recommended for this and similar projects in the future. Urgent need exists to find more practical solutions for procurement / procedures. PMU needs more flexibility and independence in financial planning and management to work effectively. (2, 3)**
- Logistic needs of sub-contracting partners should be part of the contract to ensure easy monitoring of the real total costs of the operation. (2, 3)
- Logistic should be in line with direct project needs and not with these of the internal organisation of the implementation partner. Needs of WWF CO should be covered by the 8% agency fees for management and support (2, 3)
- Procedures to close the financial year in UNDP are highly complicated and use a lot of time, more practical solutions with in-time fund flux, allowing projects to do their work, would be highly appreciated (2)
- WWF has to find a cost neutral solution to ensure needed TA support after contract (to avoid duplication of initial implementation errors). Post sharing with another WWF project might be a solution (3)

### **Proposition of future project orientation to strength its contribution to objectives and the goal**

The low efficiency of the project due to lack of expected co-financing and several factors discussed above is the most critical point of the project. The proposed correction measures can solve a small part of the problem, but the challenge **'the budget balance is totally insufficient to achieve expected targets/outputs/outcomes and in particular to support adequately implementation'** persists. A total of 1,167,838 \$ is available for the period 1/2011 – 5/2013, but project management costs (staff, recurrent logistic and administrative costs) for this period are calculated in the last budget revision 11/2009 at 916,728 \$. The remaining budget for operational costs is only 251,110 \$ and affects seriously field activities to achieve outputs. A complete revision/reformulation of the SRF/project management arrangements/budget allocations or reduced project duration are necessary if no new important co-financing agreements/ other funding (UNDP TRAC ?) can be found until elaboration of AWP 2011. Important new co-financing and additional funding from UNDP TRAC would be highly appreciated, but are not very likely in the short remaining time. The different other options are discussed below:

#### **A) Reducing project management costs and save not delivered funds**

- Simplify implementation arrangements: PMU has already started to shift to direct implementation by the PMU and subcontracting local structures (CBO) instead of sub-contracting system with international partner NGO. Savings are possible, but not significant enough, existing contracts can not be changed. MTE mission recommendation: **continue**.
- Staff and logistic: PMU staff is already reduced to the minimum for implementation and their logistic is needed. There is **no potential**. Selling of 1 car and 1 motor-bike used by the WWF CO and after the contract the car used by WCS: It seems to be **not possible due to existing contracts**. Direct reporting of PMU to UNDP to avoid administrative costs in the WWF CO: **is not possible due to WWF procedures and implementation contract WWF – UNDP**. MTE mission comment: **There is no realistic potential**.
- Reducing project duration (54 months instead of 60 months): Is a **valid option** to allocate more funds to the operational budget. The challenge is that the project started late and participatory processes take time. The

MTE mission is not sure if expected results can be achieved in remaining 24 months instead of 30 months. The potential reallocation from project management costs to the operational budget would be 219,666 \$. Annex 6.8.2 gives the detailed calculation to appreciate the potential savings, but this decision should be taken by the NPSC, UNDP and GEF.

- Reallocate remaining UNDP direct costs funds: UNDP direct costs, calculated at 267,347 \$, are used only partly (193,000 \$). The MTE mission propose to check the option to **reallocate the remaining 74,347 \$ to the operational budget.**

#### **B) Reallocation of budget and concentration on most important outcomes which can be achieved during project life (reformulation of SRF and budget)**

The operational budget is limited but reallocation and concentration on achievable outcomes in project life help to made funds available for necessary strategic on the ground realisations for protection and sustainable forest management. The MTE mission proposes to **concentrate all possible remaining resources (human and financial) on the outcomes C and D.** Following reasons guide this recommendation:

- The progress towards outcome A is satisfactory, most studies are undertaken (only reports are not yet available) and several other partners and projects with their proper financial resources are active in the field (UNEP/GEF PES, WWF project on oil/gas issues, ARCOS, WCS). Reallocation of ARF funds from this outcome to C and D will not stop the whole progress toward the outcome and is acceptable.
- Most outputs of outcome B have been realised pre-project due to the EU project (FMP for CFR) and implementation and surveillance of FMP enter into daily routine of NFA. Biodiversity and forests inventory studies are finished (reports will be available soon).The challenges are the very expensive boundaries demarcation and restoration work on degraded areas. The remaining low budget of ARF can not make a significant contribution to solve these problems and dispersion of resources should be avoided if potential impact is not likely. Future ARF contribution should be limited to advices and direct interventions of the PMU staff without using the operational budget. NFA and MWE must find other solutions with GoU and ODA to finance these high recurrent costs and should stay in contact with the PES, REDD and carbon trade initiatives.
- Outcome C is strategic to protect -but mainly to restore- forest connectivity. Baseline studies (reports will be finalised soon) and corridor mapping are done, first preparatory activities for local LUP in the strategic area are ongoing and continuation of the process up to the end of restoration in some pilot sites is essential to prove the feasibility of the approach. Lacking co-financing and at PRODOC stage unexpected high costs for forest restoration instead of much cheaper conservation justify the budget reallocations.
- Lessons learnt from several projects in the field of sustainable forest and natural resource management projects and in particular from the precedent EU project, have shown the unavoidable need to integrate the economic interests of the local population (addressed under outcome D) in an attractive way into forest conservation and sustainable management strategies. Otherwise all efforts for restoring and conservation will be destroyed by ongoing destruction and conversion of forests. A lot of work, using participatory approaches, can be done by the PMU in a restricted area of the strategic corridor, but financial resources from the operational budget are necessary for capacity building measures and start-up support to activities from these CBO (PFOA, CFM).

Annex 6.8.3 shows the MTE proposition of a reviewed, reduced SRF until end of the project (based on the already by PMU proposed modifications of the SRF during the strategic workshop 12/2009).

## **6. ANNEXES**

### **6.1 Terms of reference**

for Midterm Evaluation of Conservation of Biodiversity in the Albertine Rift Forests of Uganda Project

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#### **1.0 Purpose of the Evaluation**

*This Mid-term evaluation is intended to identify potential project design problems, assess progress towards the achievement of objectives, identify and document lessons learnt (including lessons that might improve design and implementation of other UNDP/ Global Environmental Facility-GEF projects), identify risks and counter-measure and to make recommendations regarding specific actions that might be taken to improve the project. The mid-term evaluation provides an opportunity to assess early signs of project success or failure and prompt necessary adjustments.*

As an integral part of the project cycle, the evaluation will analyze effectiveness, efficiency, relevance, impact and potential for sustainability of the project. It will also identify factors that have affected project implementation and facilitated or impeded the achievement of the objectives and attainment of results. The evaluation findings are expected to be used by UNDP, the GEF Secretariat, the Government of Uganda, World Wide Fund for Nature (WWF) and local communities who are the main stakeholders of the project.

#### **2.0 Development Context of the Project**

The GEF project 'Conservation of Biodiversity in the Albertine Rift Forests of Uganda' focuses on the northern section of the Albertine rift in western Uganda. The Albertine Rift Eco-Region is the most important forest system in Africa for biodiversity, extending across the Great Lakes Region of East and Central Africa (Democratic Republic of Congo, Uganda, Tanzania, Rwanda, and Burundi). The regional level conservation planning process (2001-2003) developed a Strategic Planning Framework for the Albertine Rift Forests, recognizing six planning units at landscape level. Planning processes have now started up for all six of these units. This GEF project focuses on Planning Unit 1, the northern section of the Albertine rift in western Uganda. This area extends from Murchison Falls National Park and Budongo Forest Reserve to forests within the Tooro-Semuliki Game Reserve at the foot of Rwenzori Mountain National Park and covers six districts: Buliisa (formed in 2006), Masindi, Hoima, Kibaale, Kyegegwa (formed in early 2010) and Kyenjojo District.

The forests in the northern rift have been under increasing threat from growing commercial demands and from rural communities whose high levels of poverty make them dependent on forest resources for their livelihoods. A new Land Bill, approved in early 2010, appears to strengthen the legal rights of forest encroachers. The development of the large deposits of oil and natural gas recently discovered in the rift valley is likely also to increase demands for land. Pressures on land and forest resources, coupled with weak conservation agencies at decentralized levels, and as yet unproven collaborative management strategies with local people, have led to considerable loss of forest cover on both private and public land.

#### **3.0 Subject of the Evaluation**

The subject of the evaluation is the project outcomes, outputs and impact. The evaluation coverage will include the logic and underlying assumptions upon which the strategy was originally developed,

and the implementation strategy that has actually been adopted. Any major divergences between the two should be stated and explained. The evaluation will specifically assess the following specific aspects of the project:

### **3.1 Project Concept and Design**

The evaluation will assess the project concept and design. The evaluation will review the problem addressed by the project and the project strategy, encompassing an assessment of the appropriateness of the objectives, planned outputs, activities and inputs as compared to cost-effective alternatives.

### **3.2 Implementation**

The evaluation will assess the implementation of the project in terms of quality and timeliness of inputs and efficiency and effectiveness of activities carried out. Also, the effectiveness of management as well as the quality and timeliness of monitoring and backstopping by all parties to the project should be evaluated. In particular, the evaluation will assess the project coordination unit's use of adaptive management in project implementation.

### **3.3 Project Outputs, Outcomes and Impact**

The evaluation will assess the outputs, outcomes and impact achieved by the project as well as the likely sustainability of project results. This will encompass an assessment of the achievement of the immediate objectives and the contribution to attaining the overall objective of the project. The evaluation will assess the extent to which the implementation of the project has been inclusive of relevant stakeholders and to which it has been able to create collaboration between different partners. The evaluation will also examine if the project has had significant unexpected effects, whether of beneficial or detrimental in character.

The evaluation is expected to provide to UNDP/the GEF Secretariat complete and convincing evidence to support its findings/ratings. The consultant should prepare specific ratings on several aspects of the project. Particular emphasis should be placed on the current project results and the possibility of achieving all objectives in the established timeframe, taking into consideration the speed at which the project is proceeding.

## **4.0 Evaluation Objectives and Scope**

The focus of the evaluation will be on project design, implementation, results, relevancy, effectiveness, efficiency, sustainability, unexpected effects and lessons. The information from this evaluation will be used where necessary to improve on design, implementation and management of the project to facilitate achievement of project objectives. Geographically the evaluation will cover Murchison Falls National Park, Budongo Forest Reserve and forests within the Tooro-Semuliki Game Reserve at the foot of Rwenzori Mountain National Park. The breadth and depth of the evaluation is detailed in the evaluation questions as indicated below.

## **5.0 Evaluation Questions**

The evaluation should address/provide answers to questions below in order to achieve the purpose/objectives of this evaluation

Q1. What progress has been made towards achieving project national and global environment objectives and project results (outputs, outcomes and impact)? What can the project do better in future in order to improve on the achievement of results?

Q2. How have project activities changed in response to new environment conditions, particularly the changing political agendas for forest and land ownership? Have the changes been appropriate in line with project objectives?

Q3. How relevant, appropriate and strategic are the project results (outputs, outcomes and impact) to national goals and the UNDP mandate?

Q4. What is the strength and weakness of current and likely relationships and partnership arrangements of the project with stakeholders (civil society and public) in delivering project objectives? What relationships and partnerships are effective in terms of delivering expected results?

Q5. What is the level and appropriateness of project community engagement with community-based Collaborative Forest Management groups, Private Forest Owner associations, Private Forest Owners and the public in the project activities?

Q6. What project sustainability measures exist and what factors are likely to negatively affect project sustainability? Which key factors require attention in order to improve prospects for sustainability of project results?

Q7. How appropriate is the project knowledge transfer strategy?

Q8. What are the unexpected positive and negative results that the project has registered to date?

Q9. What lessons have been learnt from project implementation?

## **6.0 Elements of Approach/ Methodology**

In general, the evaluation approach will constitute documentary review, field work, qualitative and quantitative data analysis among others. The consultants will provide elaborate methodology. The evaluation approach to be taken will depend, among other things, on the purpose, objectives and questions of the evaluation. It will also depend on the nature of information available to the evaluator(s), such as indicators, baseline information, and specific targets.

The consultants will develop a detailed appropriate approach/ evaluation methodology to address the above evaluation questions. The evaluation methodology will be agreed upon with the UNDP/WWF during the inception report.

The detailed methodology will include:

- Research methodology
- Data collection approach
- Data collection tools
- Data analysis techniques

- A table indicating how to get to answers for all evaluation questions.

### **7.0 Expected Products**

The products that are expected from the evaluation are (inception report, field work debrief, draft evaluation report and final report). The expected format of the draft and final reports will be based on the structure of UNDP evaluation report guidance (annex 1).

The following key products are expected from the evaluation team:

- Inception Report including detailed methodology
- Field work debriefing before draft report writing
- Draft Evaluation Report
- PowerPoint Presentation for UNDP and stakeholders
- Final Evaluation Report

### **8.0 Composition, Skills and Experience of the Evaluation Team**

The evaluation will be undertaken by a team consisting of both international and local evaluators with experience in natural resources/forest management, protected area management in Africa. The detailed skills, experiences and qualifications are presented below.

#### **8.1 Duties and Responsibilities of Team Leader**

*The International Consultant / Team Leader will have overall responsibility for the work and operation of the evaluation team, including the coordination of inputs from different team members. The Team Leader is responsible and overall accountable for the production of the agreed products.*

*In addition to the above the Team Leader is responsible for the following:*

- Review of documentation to be provided by the project (implementation/evaluation reports)
- Conduct fieldwork together with the national consultant and interview stakeholders, national and local Government officials, and communities (especially private forest owners) to generate authentic information and opinions.
- Write and compile the information and reports as needed.
- Responsible for presentation of key findings highlighting achievements, constraints, and make practical recommendations to decision makers and stakeholders.
- Finalize the Mid-term Evaluation Report.

#### **8.2 Required Skills and Experience for International Consultant (Team Leader)**

- *PhD or MSc degree and at least 10 years experience in natural resources/forest management, protected area management, or related fields.*
- Familiarity with integrated conservation development projects in developing countries, particularly in sub-Saharan Africa, either through managing or evaluating donor-funded projects.
- Substantive knowledge of participatory monitoring & evaluation processes is essential, and experience with CBOs/community development processes and country experience in Uganda is an advantage.

- Experience in the evaluation of technical assistance projects, if possible with UNDP or other UN development agencies and major donors. A demonstrated understanding of GEF principles and expected impacts in terms of global benefits is essential.
- Excellent English writing and communication skills. Demonstrated ability to assess complex situations in order to screen succinctly and clearly critical issues and draw forward-looking conclusions.
- Experience in leading small multi-disciplinary, multi-national teams to deliver quality products in high stress, short deadline situations.

### **8.3 Duties and Responsibilities of National Consultant**

The national consultant will assist and collaborate with the Team Leader in all the tasks relating to the Mid-term Review including fieldwork, interpretation in meetings/interviews held in local language, and report writing as agreed with Team Leader.

### **8.4 Required Skills and Experience of National Consultant (Community Forestry)**

- *MSc degree background and at least 10 years experience in forestry and natural resource management, community-based forestry, or related fields.*
- Knowledge of monitoring and evaluation, and working experiences in evaluating conservation and development projects.
- Demonstrable understanding of both conservation and development decision-making processes at national and district level is essential.
- Knowledge of community participation processes.
- Proficient English writing and communication skills; local language skills are an advantage.
- Experience with GEF, the United Nations or other development agencies is an advantage.

### **9.0 Plan for Evaluation Implementation**

The timetable for the evaluation, including when different deliverables or products – such as briefs, draft report, final report is provided in the table below:

The timing and duration for the assignment will be 21 working days effective from the date of signing of the contract. The work schedule should run as follows

<b>Deliverable</b>	<b>Timeline</b>	<b>Tentative due date(s)</b>
Inception Report (home-based)	2 days	25 August
Travel for international consultant	1 day	12 September
Presentation of Inception Report	1 day	13 September
Fieldwork	10 days	14-23 September
Power point presentation of field work findings to UNDP and WWF	1 day	24 September
Draft Report	3 days	27 September
Power point presentation of draft report to stakeholders		27 September
Stakeholders' workshop to validate draft report findings		27 September

<b>Deliverable</b>	<b>Timeline</b>	<b>Tentative due date(s)</b>
Travel for international consultant	1 day	28 September
Final Report (home-based)	4 days	05 October
TOTAL	21 days + 2 travel days	

The Evaluation team shall present an Inception report within one week of signing the contract.

The team shall work closely with the relevant UNDP Programme Analyst and report weekly on the progress of the consultancy to the UNDP Assistant Resident Representative in charge of Growth Poverty Reduction Programme or any designated officer.

The draft evaluation report shall be presented to UNDP and other stakeholders for review not later than 36 days after start of the assignment. Comments and feedback from all stakeholders should be incorporated into the final version of the report.

The consultants shall submit the final evaluation report to the UNDP Assistant Resident Representative in charge of Growth Poverty Reduction Programme.

#### **10.0 Responsibilities and Logistics**

The evaluation team leader will have the overall responsibility for the quality and timely submission of the deliverables to the UNDP country office.

UNDP, WWF and local governments will review and provide feedback on the evaluation TORs and evaluation reports.

UNDP will be responsible for quality control.

UNDP will be responsible for organizing the stakeholders' workshop to review the draft and eventually share final evaluation report with WWF, local governments and the beneficiaries.

UNDP will provide logistical support to the evaluators in form of a vehicle for up-country project visits and work space in the UNDP building.

#### **11.0 Reference Materials**

- Conservation of Biodiversity in the Albertine Rift Forests of Uganda Project Document
- Project performance reports
- Evaluation Report Format
- UNDP Quality Criteria for Evaluation Report
- Ethical Code of Conduct for Evaluation in UNDP
- The Evaluation Policy of UNDP
- United Nations Evaluation Group Standards for Evaluation in the UN (2005)
- Norms of Evaluation in the UN system



## 6.2 Itinerary

DATE (2010)	ACTIVITES
Tue 05.10.	Travel international consultant France - Uganda
Wed 06.10.	Kick - off briefing UNDP, first contact evaluation team and organisation of the mission
Thu 07.10.	9 a.m. meeting WWF liaison office, 11.30 a.m. meeting NFA, 3p.m. meeting UNDC (TL)
Fri 08.10.	8.30 a.m. meeting NPC (MWE), 11 a.m. meeting WCS, 3 p.m. meeting ACROS
Sat 09.10.	Document review and inception report writing
Sun 010.10.	Document review
Mon 11.10	11 a.m. Presentation inception report
Tue 12.10.	Travel to Kyenjojo, project presentation and discussions PMU
Wed 13.10.	Meeting local government Kyenjojo (DFO, DEO, CAO), TL: work session PMU, 2 <sup>nd</sup> expert: local stakeholder consultations Kibale
Thu 14.10.	Meeting 3 PFOA in Kibale District, visit of strategic places in the corridor for reestablishment of connectivity
Fri 15.10.	TL: Work session TA and administrator (activities and outputs), analysis first findings, 2 <sup>nd</sup> expert: local stakeholder consultations Hoima
Sat 16.10.	TL: 10 a.m. Meeting former NPM, 12 a.m. brainstorming session with former NPM and TA, 2 <sup>nd</sup> expert: local stakeholder consultations Hoima
Sun 17.10.	TL: Analysis of first findings, 2 <sup>nd</sup> expert: local stakeholder consultations Hoima
Mon 18.10.	TL: Meeting CARE REPA II project, Kyenjojo, 2 <sup>nd</sup> expert: local stakeholder consultations Massindi
Tue 19.10.	TL: work session PMU (project finances, administration), 2 <sup>nd</sup> expert: local stakeholder consultations Massindi, evening exchange MTE experts
Wed 20.10.	Work session PMU (recommendations, different options)
Thu 21.10.	MTE expert work session (conclusions, lessons learnt, recommendations)
Fri 22.10.	Analysis of findings, preparation presentation for debriefing UNDP and WWF
Sat 23.10.	Travel to Hoima, debriefing mission findings with UNDP and WWF
Sun 24.10.	Preparation stakeholder workshop presentation
Mon 25.10.	Stakeholder workshop in Hoima, presentation MTE mission findings, travel to Kampala
Tue 26.10.	Report writing
Wed 27.10.	Report writing, meeting UNDP Country Director
Thu 28.10.	Report writing, Travel international consultant Uganda – France
Fri 29.10.	Travel international consultant Uganda – France

**6.3 LIST OF PERSONS MET**

<b>Name</b>	<b>Organisation</b>	<b>Designation</b>	<b>Tel contact</b>
Mukite Rebecca	WWF Uganda Country Office	Admin. Officer	0772 435 036
David Duli	WWF Uganda Country Office	Country Director	0772 506 204
Habaasa Callist	WWF Uganda Country Office	Fin/Admin Manager	0777 792 600
Thomas Otim	WWF Uganda Country Office	Conservation Manager	0772 488 560
Gershom Onyango	MWE	Director Env. Affairs	0772 491 807
Godfrey Acaye	NFA	Ag. Director Natural Forest	0782 073 919
Andy Plumptre	WCS		0702 509 754 e-mail : aplumptre@wcs.org
Cecily Kabagumya	ARCOS		0772 527 700
Hellena Nambogwe	WWF/PMU	Envir. Education / Communication Officer	0782 469 979
Wamudhu David	WWF/PMU	Project Field Assistant	0772 681 441
Otiti Michael Obbo	WWF/PMU	Accounts/Admin Assistant	0772 409 084
George Kacha Kaija	WWF/PMU	Project Field Officer	0772 421 638
Andrew Grieser Johns	WWF/PMU	Technical Advisor	0783999361 e-mail: ajgrieser@wwfuganda.org
Kizza - Wandia	WWF/PMU (until 2010)	NPM until 2010	0772516093
Kanyarutokye Moses	Kyenjojo LG	CAO	0772 658 275
Mugume Isaac	Kyenjojo LG	District Planner	0772 854 345
Mugisha M. Charles	Kyenjojo LG	District Natural Resources Officer	Cel : 0782300062
Sanyu Joseph	Kabuga Primary School	Head teacher	0782 831 626
Byamukama Cyprian	Kasoga Primary School	Head teacher	0782 920 032
Birungi Joseph	St. Joseph Buhororo BCS Primary School	Head teacher	0772 309 352
Mukyalya Charles	Kasoga Village	Opinion leader	0779 528 879
Alifunsi Bagambe	Kasoga Village	Opinion leader	0783 636 733
Byarugaba Teodoro	Muhoro subcounty	Councillor	0772 672 164
Asaba Aheebwa C.	Muhoro subcounty	GISO	0773 004 842
Turyagumanawe S.	Muhoro subcounty	Parish Chief	0785 670 451
Mugenyi Idi	Muhoro subcounty	For Subcounty chief	0772 363 959
Rukaijakare Stephen	Muhoro subcounty	LC 3 Chairman	
Mugenzi Sam	District Forestry Services	Forest Ranger	0772 967 671
Byaruhanga Diadon	Kiryanga PFO Association	Chairperson	0777 347 310
Ssenkubuge Vincent	Kyebando PFOA		0782 593 210
Bigirwenkya Peter	Kyebando PFOA	Chairperson	0787 305 417
Kyomuhendo JohnBosco	Kiryanga PFOA		0782 324 502
Kaahwa Annet	Kiryanga PFOA		0783 035 739
Kamanyire Julius	Kiryanga PFOA		0772 472 813
Alimda Violet	CARE REPA II	Coordinator	
Kandole Annet Balewa	CARE REPA II	Technical Manager CBNRM	
Tracy C. Kajumba	CARE REPA II	Advisor herder conflicts, HIV-Aids	
Bagonza Hannington	Mugarama PFOA		0782 867 396
Nabukenya Madrene	Mugarama PFOA		0774 462 123
Musinguzi Serevest	Mugarama PFOA	Chairperson	0774 332 699
Jane Kabatasingwa	Kiryanga PFOA		

Name	Organisation	Designation	Tel contact
Kisembo Prisca	NFA	Forest Supervisor Kiryanga beat	0774 436 592
Paul Hatega	CSWCT	Project Manager/PES	0772 870 761
John Williams Byakagaba	Hoima DLG	District Planner	0772 437 940
Phillip Kihumuro	CSWCT	Assist. Conservation Officer	0781 413 057
Akuha Evelyn	Kyabigambire subcounty	Subcounty chief	0782 918 245
Barughara Geoffrey	Kyabigambire subcounty	Chairman LC3	
Kairagura G.	Kyabigambire Rural integrated Development Association	Chairperson	0774 598 870
Galuhambabi	KRIDA	Treasurer	0782 337 285
Isingoma Jolly	Kyabigambire subcounty	Speaker	0773 344 793
Hambere William	Kyabigambire subcounty	Councillor	0782 775 393
Kunt Simon	Kyabigambire subcounty	ACDO	0782 486 856
Birungi Margaret	Kyabigambire subcounty	SC Accountant	0782 901 943
Mwesigwa Ketty	Kyabigambire subcounty	Youth Councillor	0774 801 136
Mbeta Sunny	Bulindi PFO Association		0782 784 465
Kasungula Julius	Bulindi PFO Association	PFO	0774 459 023
Isingoma W.B. Peter	Bulindi PFO Association		0772 543 276
Christopher Koojo	Bulindi PFO Association		0774 005 271
Semerehensi Nyakojo	Bulindi PFO Association		0777 076 681
Kibarugaha Yemima	Bulindi PFO Association		0781 432 264
Docus Musinguzi	Bulindi PFO Association		0781 432 269
Alice Byambazaire	Bulindi PFO Association		
Barungi Deo	Bulindi PFO Association		0775 235 679
Baruzalire Patrick	Bulindi PFO Association		0779 711 187
Boniface R. Byakagaba	Bulindi PFO Association		0782 888 399
Rev. Elisha Kyomya	Bunyoro Kitara Kingdom	Ass. Minister of Environment and Tree Planting	0773 269 985
David Galimaka	Bunyoro Kitara Kingdom	Forest Supervisor	0782 782 752
Kato Matidi	Kiziranfumbi PFOA	Member	0773 482 790
Bansigarho Moses	Kiziranfumbi PFOA	Member	0782 954 096
Omuhereza Bahenuka	Kiziranfumbi PFOA	Member	0774 474 371
Nsekanabo Dalisy	Kiziranfumbi PFOA	Treasurer	0772 352 343
Tabaro Joseph	Kiziranfumbi PFOA	Chairperson	0782 196 762
Byenkya Yose	Kiziranfumbi PFOA	Member	0775 696 911
Pastor Byakagaba Christopher	Kiziranfumbi PFOA	Member	0784 814 128
Levi Etwodu	NFA	Range Manager Budongo systems	0772 581 494
J. B. Odoi	NFA	Sector Manager Budongo	0782 568 822
Nsiimire William	Masindi District Local Government	Senior Environment Officer	0772 380 840
Apai Gasi Leah	Kapeka Integrated Community Development Association	Secretary	0775 211 262
Opio Donato	KICODA		0775 310 405
Nansubuga Aminah	KICODA		
Deka Hadija	KICODA		
Penjunga Moses	KICODA		0774 991 992
Alima Kajoina	KICODA		
Acema Mansuru	KICODA	Chairperson	0774 266 770

<b>Name</b>	<b>Organisation</b>	<b>Designation</b>	<b>Tel contact</b>
Toroma Siliveri	KICODA		
Onukuru John	KICODA		0783 242 721
Mange Moris	KICODA		
Ojakara Godfrey	KICODA		
Nyangoma Joseline	Hoima LG	District Environment Officer	0772 628 153
Kihiika James	Hoima LG	District Forestry Officer	0772 643 037

## 6.4 Summary of field visits

### Summary meetings Kampala from 6/10/2010 to 11/10/2010

Organisation	General comments	Strengths	Weaknesses
WWF Country Office	<ul style="list-style-type: none"> <li>• WWF facilitated the process of project design, funded by GEF (2001 – 2003). Project document ready in 2006, but was reviewed in 2007</li> <li>• GoU and UNDP leading agencies in the implementation of the Project. MWE and WWF responsible for the actual project implementation                             <ul style="list-style-type: none"> <li>• There is need to revisit the logframe and refocus priorities in accordance with available funds, emerging issues, and areas that provide impact</li> <li>• Project now placing emphasis on strategic issues that provide impact, rather than giving direct incentives to communities</li> <li>• Short-term incentives for local communities were the focus at project inception. With the limited resources available, the project is now focusing on facilitating processes rather than providing hard cash to communities</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Key stakeholders have been identified, including their roles and responsibilities</li> <li>• Biological surveys providing useful information</li> <li>• Specific studies have been undertaken to inform project design and implementation</li> <li>• Decision making centre has been decentralized from Regional office in Nairobi to Uganda Country Office</li> <li>• Partnerships with local governments and other stakeholders has been strengthened</li> <li>• Strategic plan being developed, with the participation of key stakeholders</li> <li>• High stakeholder participation has helped in generating information that has been used in developing other project proposals</li> <li>• Capacity for local partners has been built</li> <li>• WWF has specific programmes to look at oil and gas issues, including building capacity for relevant agencies, sensitization of stakeholders, development of SEA, support to civil society initiatives</li> </ul>	<ul style="list-style-type: none"> <li>• Delays in Project approved (2007), and actual start-up (March 2008).</li> <li>• Recruitment of a TA delayed, but has now helped to guide project implementation</li> <li>• Delays in approval of AWP and disbursement of funds by UNDP affects implementation of project activities</li> <li>• The anticipated co-funding sources ended before actual start of Project; co-funds are much less than planned which affects implementation of the project</li> </ul>
MWE	<ul style="list-style-type: none"> <li>• MWE and WWF are the main agencies responsible for the implementation of the project.</li> <li>• MWE coordinates the implementing partners, including NFA, LG, NGOs, etc to see that the activities are properly implemented – through regular meetings of the National Project Steering</li> </ul>	<ul style="list-style-type: none"> <li>• The implementation structure helps in creating ownership of the project by GoU, while WWF facilitates faster processes and in building local capacities</li> <li>• The project has provided resources to implementing partners to contribute to management of the forests</li> <li>• The project has helped to build capacity within</li> </ul>	<ul style="list-style-type: none"> <li>• Project implementation delayed, including the recruitment of project staff. Because of this, the intent of protecting the forest corridor has been jeopardized as the forests have been cut down</li> <li>• Conservation activities in Uganda depend a lot on donor funding. There are attempts to lobby Government for resource allocation, but</li> </ul>

Organisation	General comments	Strengths	Weaknesses
	<p>Committee and reports</p>	<p>various implementing partners and communities</p> <ul style="list-style-type: none"> <li>• Studies undertaken have provided useful information about the Albertine region</li> <li>• Participation of NGOs (international and local) taps the available expertise, flexibility in functionality (compared to Government's bureaucracies), and helps in linking with the donor community</li> </ul>	<p>this is often with poor response</p> <ul style="list-style-type: none"> <li>• Lack of funds for the actual implementation of the conservation strategy</li> <li>• Handling PFOs – unless some form of incentives are provided, the PFOs will continue to destroy these forests. They expect something tangible</li> <li>• Conflict between conservation and development. Communities look at immediate economic benefits rather than the long-term conservation issue. There are competing interests over land-use</li> <li>• The unanticipated problems such as the discovery of the oil and gas may have serious social, economic and environmental impacts on the success of the project</li> <li>• There is limited capacity among stakeholders to handle or lobby on conservation concerns that jeopardize the management of the fragile ecosystems of the Albertine Rift</li> <li>• MTTI is omitted on the NPSC, and yet it is a very important stakeholder for the Project</li> <li>• There are many people migrating to the region contributing to deforestation and forest degradation</li> <li>• Creation of new districts may be a setback that requires fresh efforts for project awareness campaigns</li> <li>• Participation of the NGOs in project implementation may diminish Government ownership. Lack of allegiance to Government may lead to conflicts</li> </ul>
<p>NFA Headquarters</p>	<ul style="list-style-type: none"> <li>• NFA responsible for management of the central forest reserve activities of the Project</li> <li>• Routine reporting takes the format of</li> </ul>	<ul style="list-style-type: none"> <li>• WWF important in providing additional funds for the management of forests in the Albertine Rift</li> <li>• The money is sent directly to the field where activities are conducted</li> </ul>	<ul style="list-style-type: none"> <li>• The anticipated co-funding through FRMCP not available since it ended before start of CBARF</li> <li>• Disbursement of funds by the project is slow</li> </ul>

Organisation	General comments	Strengths	Weaknesses
	<p>NFA, but there is specific mention of the progress of WWF Project activities</p>	<ul style="list-style-type: none"> <li>• NFA staff in the field are fully involved in planning and execution of AWP's and development of the Strategic Plan. Headquarter taking on supervisory role</li> <li>• Co-financing is basically through staff time</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Funds provided for boundary opening is very little compared to the need</li> <li>• Project has sometimes been erratic in changing the focus on activities or setting priorities, which affects development of AWP's</li> <li>• The project is not being effective at addressing the socio-economic needs of the communities. There is also need for more awareness creation, training for the communities</li> <li>•</li> </ul>
WCS	<ul style="list-style-type: none"> <li>• Implementation partner for long term financing mechanisms, corridor mapping and baseline studies/inventories</li> <li>• Already lead role in PDF A + B</li> </ul>	<ul style="list-style-type: none"> <li>• WCS have additional programmes working on PES with companies</li> <li>• First results from REDD studies show that there might be a possibility for this region to use REDD</li> <li>• WWF work: Districts and local stakeholders understand landscape approach better</li> <li>• Concentration of the strategic corridor part in the southern part will focus resources, a new project from JGI can cover the northern part in the future</li> </ul>	<ul style="list-style-type: none"> <li>• Budget is insufficient for a veritable participatory approach</li> <li>• Lobbying for environment issues at central level is poor, MWE is not in a strong position (pour 'soft' assistance)</li> <li>• Future ownership of the strategic plan is not clear</li> <li>• Lack of finances for implementation plans creates frustrations</li> <li>• Late start of the project and most of the forest have gone outside CFR</li> <li>• Only co-financing from WCS are costs at central level</li> <li>• Timeframe of the project is too short for implementation</li> </ul>
ARCOS	<ul style="list-style-type: none"> <li>• Responsible for coordinating and facilitating the development of the Strategic plan for the project area</li> </ul>	<ul style="list-style-type: none"> <li>• Participatory approaches are used, and involve key stakeholders. The process promotes integration into, and harmonization of the Strategy with individual institutional plans, and hence fosters ownership by these key institutions</li> <li>• District LG Planners are part and parcel of the strategic planning process, and hence an opportunity for mainstreaming the Project into District Development Plans and budget processes</li> </ul>	<ul style="list-style-type: none"> <li>• Participatory approach is a long process and expensive</li> <li>• Some stakeholders such as NEMA have not shown any interest in the project, and have never participated in planning meetings</li> <li>• Studies such as financing mechanisms and REDD are to feed into the Strategic Plan, but have not yet been finalized. This slows down the planning process</li> <li>• The process of strategic planning is driven largely by WWF and ARCOS, which are</li> </ul>

Organisation	General comments	Strengths	Weaknesses
		<ul style="list-style-type: none"> <li>• WWF has facilitated the development of DEAP in Kibale</li> <li>• The Strategic Plan is a good output which integrates the aspirations of various stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• NGOs. This may affect the ownership of the product</li> <li>• The participation of the private sector (international investors, e.g. oil and gas companies, Sugar works, Tobacco Company, etc) is very limited. Hence their views are not integrated into plan</li> <li>• There has been poor response and poor attitude towards conservation, which is considered non-profit making</li> <li>• Delays in the release of funds by the Project will result in delayed delivery of output, beyond the anticipated date of Dec 2010</li> <li>• Many changes have taken place even before the implementation of the Strategic Plan, e.g. increased rate of deforestation, creation of new districts. These will adversely affect the implementation of the Strategic Plan</li> <li>• Political interference and poor forest law enforcement and governance</li> </ul>



**Summary field visits: District Kyenjojo from 12/10/2010 to 13/10/2010**

Organisation	General comments	Strengths	Weaknesses
WWF/PMU	<p>Main project implementation stakeholder</p> <p>Results of work sessions with PMU are presented in the annexes: 6.7, 6.8.1, 6.8.2, 6.8.3</p>	<ul style="list-style-type: none"> <li>• TA recruited and is guiding project implementation.</li> <li>• All staff recruited, with required skills</li> <li>• Biological survey reports have been useful in guiding management decisions and understanding of the forest corridor</li> <li>• Development of the conservation Strategic \plan has been holistic and a complementary process for local government and sectoral plans</li> <li>• Project has provided technical backstopping for local government staff and other partners</li> <li>• Project staff participate in technical planning meetings for local governments</li> <li>• WWF has tried to link up with alternative funding agencies to fill the financing gaps</li> <li>• Priority setting for activities to enable the project to operate within the available budget. Focusing on strategic level activities that create impact</li> </ul>	<ul style="list-style-type: none"> <li>• Delays in project start -</li> <li>• Delays in the recruitment of TA affected the focusing of project activities</li> <li>• Gap created by lack of the anticipated co-funding for the implementation of activities</li> <li>• Discovery of oil in the region may divert stakeholders away from the conservation objectives of the project</li> <li>• High expectations of the stakeholders, including the PFOs and communities,</li> </ul>
Kyenjojo District Local government		<ul style="list-style-type: none"> <li>• The district is aware and has been participating in project activities, including planning</li> <li>• ENR is one of the functions of the district, with activities mainstreamed within the District Development Plan and budget</li> <li>• WWF project is welcome to the district because it provides the funding for ENR management</li> <li>• District promoting tree planting and rehabilitation of degraded ecosystems</li> </ul>	<ul style="list-style-type: none"> <li>• District funding for environment and natural resources is very small, which constrains implementation of planned activities</li> </ul>
Kyenjojo District Forestry Service	<p>Work with WWF since 3/2010, before they have attained only one information workshop in 2008</p>	<ul style="list-style-type: none"> <li>• WWF have supported the development of the DEAP (draft 9/2010), work highly appreciated by the DFO</li> <li>• WWF support to create a common vision was very useful</li> </ul>	<ul style="list-style-type: none"> <li>• Corridor is interesting, but difficult to achieve, people cut everywhere</li> <li>• PFOA is a good thing, but people have to understand why to create associations (people are afraid that GoU will gazette their forests)</li> <li>• People want personal incentives, no carbon trade</li> <li>• More must be done for implementation</li> <li>• DFO has a difficult role in coordination with other sector at District level ('who brings the money to the district can do it where he like')</li> <li>• District Land Use Plans are not possible, because there's no national Land use planning policy, districts have to follow national policies</li> </ul>

**Summary field visits: District Kibale from 13/10/2010 to 14/10/2010**

Organisation	General comments	Strengths	Weaknesses
Primary Schools	Aimed at sensitizing pupils, teachers, parents about conservation and project activities through formation of clubs, drama, teaching and awareness workshops. The expectation is that the young will develop a positive attitude towards conservation and will help in forest resources conservation. Environmental conservation is being integrated while teaching all subjects.	<ul style="list-style-type: none"> <li>• Increasing knowledge and awareness on conservation by pupils, teachers and communities</li> <li>• Learning by doing approach for the children is an effective tool, and transfer of knowledge to households through children</li> <li>• WWF funding some of the activities</li> <li>• Active involvement of teachers</li> <li>• District Forest Services have contributed technical support and seedlings for planting at schools</li> <li>• Education Service Agency (ESA) appreciates the participation of clubs and the health environment created</li> </ul>	<ul style="list-style-type: none"> <li>• limited funds for implementation of activities</li> <li>• the parents of the children are the ones involved in clearing forests,</li> <li>• limited relevant skills and knowledge among the teachers</li> <li>• lack of facilities to conduct demonstrative learning, e.g. tree nurseries</li> <li>• congested timetables leave limited time for conservation education</li> </ul>
Muhororo Subcounty Local Government, Kibale District	Environmental education has been operational for three months following the recruitment of the Environmental Education and Communication officer. Initial meetings held with local leaders and to sensitize the communities about the project and conservation issues	<ul style="list-style-type: none"> <li>• communities are generally receptive to the projects</li> <li>• community based work plans for environmental education and communication being developed as a means to implement the communication strategy</li> <li>• local government staff recognize their role in community mobilization and sensitization, and are taking lead in the exercise</li> <li>• village environment committees are being mobilized to take part in the sensitization exercise</li> </ul>	<ul style="list-style-type: none"> <li>• Political interference and propaganda that is creating confusion among the communities on the issue of encroachment</li> <li>• Limited funds for the mobilization and facilitation of community meetings. Local government allocation very small – UGX 380,000 for FY 2009/10</li> </ul>
Community opinion leaders	Representatives of communities living near the CFRs affected by encroachment	<ul style="list-style-type: none"> <li>• project has sensitized the communities on the importance of forests and forest conservation</li> </ul>	<ul style="list-style-type: none"> <li>• The communities have fear that the project aims at evicting them from the forests. The communities think WWF should plead with Government to leave them in the forest.</li> <li>• High expectation of the communities that the project will compensate encroachers, and that those near the forest will be able to sell their land to the project at high rates</li> <li>• Lack of forest extension services at community level</li> </ul>

<p>CARE REPA II</p>	<p>New project in the new strategic region of the ARF since end 2009, working through local CBO as intermediaries in the field CBNRM, CFM, local government of natural resources, civil society network, wetland systems</p> <p>Is a potential new co-financing partner, but exchange between CARE and ARF has just started</p>	<ul style="list-style-type: none"> <li>• Their support: by-law development for LG, negotiations of CFM agreements</li> <li>• General agreement CARE/WWF exist at high level</li> <li>• Possible synergies: joint trainings/capacity building activities; joint strategy for cooperation with NFA, data /information sharing</li> <li>• Important part of CARE budget is used as sub-grants for actually 19 CBO</li> </ul>	<ul style="list-style-type: none"> <li>• Strategic plan implementation will be a challenge, nobody is the owner and nobody has the funding</li> <li>• Actual there's no harmonisation between the NGO (different per diems for participants, approaches, overlapping geographical and thematic areas</li> <li>• NGO forum at district level exist, but not all are operational and district administration is not very interested in these platforms</li> <li>• Actual no contact ARF to CODECA (CARE supported CBO for working with PFOA in Kibale district)</li> </ul>
<p>Kibale District Forestry Service</p>	<p>Participates through environmental education in Muhororo, Mugarama and Kiryanga, facilitates sensitization workshops, collects data for mapping corridors.</p>	<ul style="list-style-type: none"> <li>• Awareness raising as a strategy is appropriate and accepted by the communities</li> <li>• Project has helped to finance DFS activities. Hence it has enhanced the capacity of NFS to carry out its mandate</li> <li>• Attendance and participation of the community members in the workshops is very high</li> </ul>	<ul style="list-style-type: none"> <li>• Population increase is putting pressure on forest resources. Forests are at a risk of being cleared for agricultural expansion</li> <li>• .lack of incentives to private forest owners</li> <li>• Sensitization so far is targeting local leaders who often do not pass on the information to the rest of the communities</li> <li>• Limited pro-active efforts for the project staff to participate in District Technical Planning Committee meetings or meeting with the District local councils</li> <li>• Districts have limited funds to finance environment and natural resources budgets</li> <li>• DFS is highly understaffed and unable to provide the needed forest advisory services</li> </ul>

**Summary field visits: District Hoima from 15/10/2010 to 17/10/2010**

Organisation	General comments	Strengths	Weaknesses
CSWCT	<p>Support the management of private forests. There is very limited effort directed to support the management of private natural forests, and yet these are habitats for chimps and other primates of importance. Building on earlier work with JGI on rescuing chimpanzees, CSWCT focused on supporting sustainable management of private forests, through establishment of private forest owners associations, promoting conservation education, and providing alternative income generating activities as an incentive package</p> <p>Other activities include training of local leaders in land-use planning, school outreach programme, community-based habitat monitoring</p> <p>Ecotourism study showed that ecotourism is viable for specific packages: a private forest with at least 40 chimps and several other primates, forest walks, possible linkage with Ngamba Island, etc. the remaining timeframe for WWF project is not sufficient to develop ecotourism sufficiently for economic benefits</p>	<ul style="list-style-type: none"> <li>• Project has brought together different partners working within the Albertine Rift landscape</li> <li>• Strategic plan being developed will help in harmonization of activities among the various stakeholders and partners</li> <li>• Strategic reviews workshop helped in harmonizing project implementation and reduced duplication of activities among partners</li> <li>• WWF project brought in additional resources to complement implementation of activities</li> <li>• Production of corridor maps has helped in envisioning all participating partners. They now understand the corridor concept better, and are better guided to prioritize their geographic scope of their operations</li> <li>• Project has facilitated good information sharing among the stakeholders</li> <li>• PFO associations established are useful fora for engaging private forest owners, creation of awareness, and identifying their responsibilities in forest conservation</li> <li>• Introduction of incentives has created a positive change of community attitudes towards forest conservation, tree planting and increased incidences of reporting illegal practices</li> <li>• Development of skills among communities for tree planting, nursery management, chimpanzee/habitat monitoring, conflict management, collection of scientific data, etc</li> <li>• Habitat / chimp monitoring has created</li> </ul>	<ul style="list-style-type: none"> <li>• Very high rate of forest clearing. People still look at forests as redundant land which can be used for agriculture.</li> <li>• Delayed release of funds by the project adversely affects implementation of activities</li> <li>• During the initial stages of project implementation (before the recruitment of the TA), there was duplication of activities among the implementing partners. A lot of money was wasted through duplications.</li> <li>• With the refocusing on strategic priorities, the project is far from achieving real community incentives.</li> <li>• Identification of the forest corridor came after the project activities had begun; it should have come before in order to determine the priority project areas. The current shift in the geographical focus of the project is not well received, especially by those areas which had already started on implementation</li> <li>• Shifting of project activities to the south will affect the achievement of expected outcomes. It entails stalling activities which had started, and starting on anew in the new focus areas.</li> <li>• There is limited availability and participation of local government officials in project activities, coupled with their lack of seriousness to own project activities – “for the project” attitude</li> </ul>

		<p>jobs for 14 youths engaged as “ambassadors of conservation”</p> <ul style="list-style-type: none"> <li>• CSWCT participates in District and subcounty Technical Planning meetings, and advocates for integration of project activities and resource allocation. For the first time Kyabigambire S/c allocated UGX 800,000 for tree planting in 2009/10</li> </ul>	
Kyabigambire Subcounty local government	<p>Kyabigambire lower local government is a member of Kyamalera Wildlife Education Centre (KWEC). Other members are Bulindi PFO Association, KRIDA and Educate Uganda. The roles of local government are:</p> <ul style="list-style-type: none"> <li>• Technical guidance in planning and budgeting</li> <li>• Staff of the s/c provide technical services for the management of the IGAs under the project’s incentive scheme</li> <li>• Integration of the project activities into the subcounty plans</li> <li>• Budget allocation for forestry activities – about UGX 100,000 was allocated for tree planting in 2009/10</li> </ul>	<ul style="list-style-type: none"> <li>• Local government is involved in project activities</li> <li>• Integration of project activities in the subcounty development plans.</li> <li>• Project has created awareness among the communities. Tree cutting had become too rampant in the subcounty, but has now reduced. Communities are also aware about watershed conservation and the protection of riverine forests</li> <li>• A number of environment-related CBOs working within the District</li> <li>• IGA were a source of occupation for community members, hence reducing redundancy and unproductiveness</li> <li>• Community members were equipped with skills</li> <li>• Development of infrastructure (hall) for the community, which is used for meetings</li> </ul>	<ul style="list-style-type: none"> <li>• IGAs are profitable, but the community members lacked personal commitment and ownership to manage them effectively and profitably</li> <li>• Limited extension services and follow-up on the management of IGAs.</li> <li>• The IGAs did not yield the anticipated economic and social benefits that had been anticipated because of they were not successful ventures</li> <li>• Poor participation of the youth and women in the project activities</li> <li>• The community attitude towards conservation is still poor</li> <li>• Sharing of information among stakeholders is still low</li> <li>•</li> </ul>
Bulindi Private Forest Owners Association	<p>The PFOA was registered by 2008. The project supported IGAs: piggery, poultry, bee-keeping and tree planting. The IGAs were selected by the community members themselves in a participatory manner. Similarly, the selection of beneficiaries was done in an open and participatory manner</p>	<ul style="list-style-type: none"> <li>• Participation fostered unity of the communities</li> <li>• Training and capacity building activities conducted to enhance various skills among the communities</li> <li>• Some households were able to sell their products (especially for piggery), to earn incomes</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• The management of the income generating initiatives by the beneficiaries was poor, resulting in heavy losses</li> <li>• Lack of linkage between IGAs and relevant technical services</li> <li>• Lack of follow-up and monitoring of the performance of IGAs</li> <li>•</li> </ul>
Bunyoro Kingdom	<p>The Kingdom has been responsible for environmental education through community meetings and radio programmes. The key messages include protection of the environment, keeping the</p>	<ul style="list-style-type: none"> <li>• There is good participation of the communities in the sensitization meetings, including women</li> <li>• The kingdom has benefited from</li> </ul>	<ul style="list-style-type: none"> <li>• Limited funding to cover a wider scope of communities within the district</li> <li>• Limited materials for environmental education</li> </ul>

	natural habitats, private forests, forest corridor, tree planting, oil and gas concerns, agriculture, health, etc.	<p>training workshops organized by the project</p> <ul style="list-style-type: none"> <li>• The demand for tree seedlings has increasing, indicating interest in tree planting initiatives</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of seedlings to meet demand</li> <li>• Limited personnel to implement environmental education activities</li> </ul>
Kiziranfumbi PFO Association	<p>The motivation for the establishment of the PFOA included:</p> <ul style="list-style-type: none"> <li>• Protection of the environment</li> <li>• Direct economic benefits from the well-managed forests</li> <li>• Financial assistance from Government and other development agencies as short-term benefits</li> <li>• Access to seedlings</li> </ul>	<ul style="list-style-type: none"> <li>• The communities have been sensitized on forestry issues</li> <li>• Members of the association have been keen on tree planting. The planting materials are obtained from a central nursery established by the project</li> <li>• Project provided training to members of the PFOA in sustainable forest management practices</li> </ul>	<ul style="list-style-type: none"> <li>• Poverty as a driving force to forest clearance. The rate of forest clearance is still high</li> <li>• Lack of tangible incentives to encourage forest conservation</li> <li>• Limited understanding of the value of forests among the forest owners</li> <li>• Limited technical support, follow-up and monitoring of activities in the field</li> <li>• Economic benefits from the forests not yet realized. Many of the planted seedlings are still young</li> <li>• Political confusion that is fuelling forest clearing</li> <li>• The custodians of forest resources are the ones promoting rampant tree cutting in the region</li> <li>• Limited interest by the youth to conserve the forests. Most of those interested are above 45 years</li> <li>• A lot of household responsibilities that compete with PFOs for time</li> </ul>
Hoima District Environment Office		<ul style="list-style-type: none"> <li>• The strategic planning process for the Conservation Strategy has been an opportunity for streamlining plans.</li> <li>• The project has sensitized communities on conservation issues</li> <li>• Women have been participating in sensitization meetings</li> </ul>	<ul style="list-style-type: none"> <li>• The forests that are part of the identified corridor are disappearing, especially in Hoima</li> <li>• The NGO approach may affect the sustainability of project activities</li> <li>• The project design was that NGOs and local governments work together. However, there has been little involvement of LGs during project implementation. This affects ownership of the project by LGs</li> <li>• The shift to Kyenjojo did not please the Hoima LG, which had supported the project during project design.</li> <li>• NFA is weak at dealing with communities, and hence there is need for it to work with</li> </ul>

			<ul style="list-style-type: none"> <li>• local governments</li> <li>• Lack of funds hinders implementation of activities</li> <li>• Little effort has been given to support the management of private forests, and yet these are fast disappearing</li> <li>• Limited project coordination does not foster ownership, participation and sustainability</li> <li>• Lack of dissemination of information from project activities</li> <li>• Women have increased access to resources, but no control over them</li> </ul>
Hoima District Forestry Services	The District Forestry Service is responsible for the management of local forest reserves and forests outside the protected areas. Hoima District is also implementing the Farm Income Enhancement and Forest Conservation (FIEFOC) Project funded by ADB. FIEFOC activities include promoting afforestation and watershed management, and were sited in subcounties outside WWF target areas to avoid duplication.		<ul style="list-style-type: none"> <li>• The DFS has not been involved in the ARF project</li> <li>• PFOs are highly degraded and disappearing very fast, largely through agricultural expansion and charcoal burning</li> <li>• Some PFOs are cutting their degraded natural forests and planting pine or Eucalyptus</li> <li>• DFS is understaffed and not facilitated enough to provide technical support to the PFOs</li> </ul>

**Summary field visits: District Masindi from 18/10/2010 to 19/10/2010**

Organisation	General comments	Strengths	Weaknesses
National Forestry Authority, Budongo Systems	<p>The project activities are in line with the strategic objectives of NFA, namely enhancing the management of the CFRs, strengthening partnerships, and promoting sustainability of the organization. The activities include:</p> <ul style="list-style-type: none"> <li>• Improving the integrity and biological diversity of the CFRs through boundary opening and maintenance, joint patrols against illegal activities, and demarcation of the strict nature reserve (SNR)</li> <li>• Sensitization and awareness creation for communities, NGOs, central and local government agencies and the private sector</li> <li>• Supporting income generating activities (IGAs) to benefit local communities</li> <li>• Training and other capacity building initiatives for communities,</li> </ul> <p>The performance of NFA has recently been affected by the political atmosphere in the region, which has increased encroachment and left the staff helpless</p>	<ul style="list-style-type: none"> <li>• Assured availability of funds from WWF</li> <li>• Project helped in bringing down illegal activities in Budongo and Bugoma through joint patrols</li> <li>• Local communities equipped with knowledge and skills in apiary, sustainable local financing mechanisms, tree growing, participatory resource mapping, etc</li> <li>• The target for boundary opening was fully achieved</li> <li>• Improved relationships between the communities and NFA staff, including mechanism for conflict management</li> <li>• Easy communication and information exchange between NFA and Project</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Delays in approval on AWP and release of funds</li> <li>• Duplication of some activities to the various stakeholders was a waste of resources and time, e.g. development of ordinances (Ecotrust, NFA, AAH)</li> <li>• Sudden change in geographical focus for the project does not foster sustainability of the activities already began in other districts, and crates a feeling of "being abandoned"</li> <li>• Limited funds from NFA for co-funding</li> <li>• Delays in the development of the Conservation Strategy poses implementation problems in the face of rapidly changing environments</li> <li>• FMPs have not been approved by the Minister</li> <li>• One-off maintenance of boundaries is not effective in keeping them clear, hence a routine recurrent cost</li> <li>• Failed to undertake ordinance development in partnership with Masindi LG, and money was returned</li> <li>• The financial needs of the PFOs is higher than what the IGAs can yield</li> </ul>
Masindi District Environment Office	<p>Masindi local government was supposed to develop an environment ordinance. However, this was not well conducted, resulting in the rejection of the draft document by the District</p>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Participation of the district officials was very minimal</li> <li>• Process was conducted by Eco-Trust as an outsider, rather than by the LG, who are mandated</li> </ul>



			<ul style="list-style-type: none"> <li>• Lack of transparency on how the process was conducted</li> </ul>
<p>Kapeka Integrated Community Development Association</p>	<p>KICODA is a CBO implementing a CFM agreement with NFA. Through NFA and other partners, it has received inputs in support of IGAs. They have also been allowed to access Budongo CFR for boundary tree planting and harvesting of non-timber products for domestic use. They also participate in the protection of the CFR. They have been trained and equipped with skills in various aspects.</p>	<ul style="list-style-type: none"> <li>• Members benefited from the bee-hives, tree planting materials, access to land in CFR for tree planting, access to forest products in the CFR</li> <li>• Some members have realised incomes from their IGAs. One member sold poles and got UGX 400,000, and bought land in Kafu</li> <li>• Boundary planting by the communities will contribute to reduced pressure on the CFR for forest products</li> <li>• Improved relationship with NFA</li> <li>• Skills development to communities</li> <li>• Increased interest in tree planting on-farm compared to previous years</li> <li>• Available markets for the IGAs</li> </ul>	<ul style="list-style-type: none"> <li>• Very many members, but few inputs</li> <li>• NFA has failed to fulfil their contractual obligations</li> <li>• Lack of incentives for the communities to participate in joint patrol work</li> <li>• Lack of office accommodation and store for tools and implements</li> <li>• Poor maintenance of trees planted by members</li> <li>• Late delivery of tools and materials by partners</li> <li>• Lack of technical support for the IGAs</li> </ul>

## 6.5 List of documents reviewed

Author	Year	Title
GoU/UNDP	2007	Conservation of Biodiversity in Albertine Rift Forests in Uganda, Updated Project Document, Feb 2007
GEF	2007	Request for CEO endorsement: Conservation of Biodiversity in the Albertine Rift Forest Areas of Uganda
LG Kyenjojo	2010	DEAP Kyenjojo
WWF	2010	Albertine Rift Annual Work Plan 2010
WWF	2008	Albertine Rift Annual Work Plan 2008
WWF	2009	Albertine Rift Annual Work Plan 2009
WWF	2008	Conservation of biodiversity in the Albertine Rift forests of Uganda: .Scoping for Project Inception Report 2008
WWF	2010	Albertine Rift Monitoring and Evaluation Framework. Amendment August 2010
WCS	2009	An Assessment of Sustainable Financing Options to support conservation of the Northern Forest corridor of the Albertine
WCS	2010	Assessment f corridors in the Murchison – Semliki landscape, Feb 2010
WCS	2010	Quarterly (April-June 2010) Technical Report of implementation of forest corridor conservation activities in Murchison-Semliki landscape
WCS	2010	Quarterly (July-Sept 2010) Technical Report of implementation of forest corridor conservation activities in Murchison-Semliki landscape
WCS	2009	Project implementation Interim report Dec 2009
UNDP	2007	Minutes of LPAC meeting on the project “Conservation of Biodiversity in the Albertine forests of Uganda held on 12 <sup>th</sup> Dec 2005
UNDP	2009	2009 Annual Performance Report (APR), Project Implementation Report (PIR)
WCS	2010	Potential Wildlife Corridors
WWF	2008	Conservation of biodiversity in the Albertine Rift forests of Uganda. Annual Progress Report, 2008
WWF	2009	Conservation of biodiversity in the Albertine Rift forests of Uganda January-April 2009 Quarterly Progress Report
WWF	2009	Conservation of biodiversity in the Albertine Rift forests of Uganda Quarterly Progress Report May-June 2009
WWF	2009	Conservation of Biodiversity in the Albertine Rift Forests of Uganda Quarterly Progress Report 3 <sup>rd</sup> Quarter 2009
WWF	2010	Conservation of biodiversity in the Albertine Rift forests of Uganda January-June 2010 Quarterly Progress Report (1+2)
WWF	2010	Conservation of Biodiversity in the Albertine Rift Forests of Uganda Quarterly Progress Report 3 <sup>rd</sup> Quarter 2009
WWF	2009	Minutes of the first NPSC meeting, April 30 2009
UNDP	2009	Minutes of WWF/UNDP meeting 27 <sup>th</sup> August 2009
WWF	2009	Proposed revision of project logframe (version 19.11.09
UNEG	2010	UNEG Quality checklist for Evaluation report
UNDP	2002	Guidelines for outcome evaluators : monitoring and evaluation companion series No. 1
UNEG	2005	Standards for evaluation in the UN system
UNDP	2006	The evaluation policy of UNDP
UNDP	2009	HANDBOOK ON PLANNING, MONITORING AND EVALUATING FOR DEVELOPMENT RESULTS
UNEG	2005	Norms for evaluation in the UN system
WWF	2010	Brief analysis of co-financing contributions to the project
NEMA	2006/2007	State of the environment report for Uganda, 2006/2007
Jacovelli Paul (EU)	2006	Forestry Resources Management and Conservation Programme Final Report 2002-2006

Steve Amooti Nsita (EU)	2008	Forestry Resources Management and Conservation Programme (FRMCP), Final Report for October 2006 to December 2008
WWF	2009	Report of the Strategic Planning Workshop held at Kijungu Hill Hotel 03-04 Dec 2009
WWF	2010	Project Communication Strategy
		<a href="http://www.undp.org/gef/05/monitoring/policies.html">http://www.undp.org/gef/05/monitoring/policies.html</a>

## 6.6 Used participatory analysis methods

### Tool 1: MTR – Guiding Questions

Target respondents:

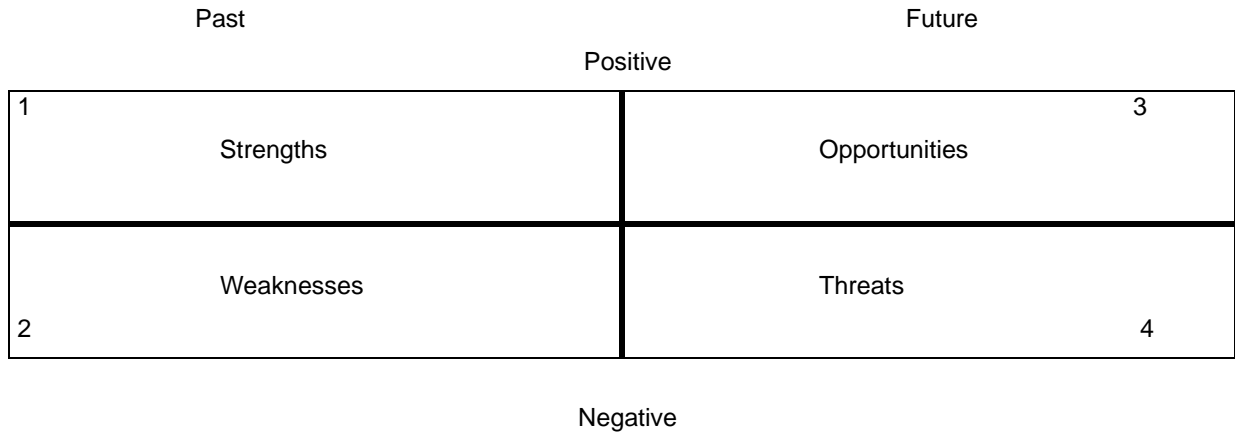
- Key informants
- Focus Group Discussions
- Local communities

1. What was your role in the design and formulation of the Project?
2. What were your expectations during the project formulation?
3. To what extent is the Project addressing priority needs of the Project area?
4. What is your role in the implementation of the Project?
5. What are the most important achievements that the Project has made so far?
6. What are the key success factors that have contributed to the performance of the Project?
7. What are the challenges that have been experienced during the implementation of the Project?
8. Suggest the measures that should be undertaken to improve the performance of the Project in future
9. What benefits have been realized or are likely to be realized from the Project so far?
10. What economic impact has the Project created or is likely to create in the District and local communities?
11. What the social impact has the Project created or is likely to create in the District and local communities?
12. What environmental impact (on forests, land, water supply, soils, and wetlands) has the Project created or is likely to create in the District and local communities?
13. To what extent are the project technologies and best practices being adopted or replicated by the local governments, NGOs, private sector? Sustainability
14. How effective have been the partnership arrangement been in implementing the Project activities?
15. What is your general impression about the level of success of the Project so far?
16. How will the activities continue after the project end?

Tool 2: **S-W-O-T a method of self - evaluation**

S-W-O-T = Strengths - Weaknesses - Opportunities - Threats

The method:

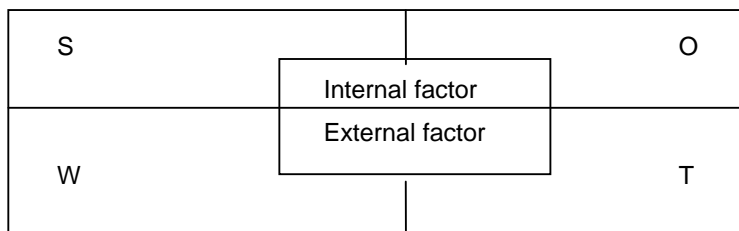


SWOT is a very easy and flexible method to identify the actual position of a group. The group compares the action plan with the actual reality. Important: Start always with the positive aspects !

The method can be used for more detailed analyses too:

- agreements / disagreements
- internal / external factors
- can be influenced / can not be influenced

Example:



The board can be filled by pictures or written words. You don't need any material which is not available at village level. The method doesn't give solutions, but help to structure the analysis and to evaluate the obtained results. Very often the analysis indicates already some solutions to solve the problems.

## 6.7 Budget sold, co-financing and Leveraged Resources, and sub-contracts

### A) GEF funds sold

	Budget Planning			Budget status until end 2010		Balance available 1/2011 – 10/2013, referring to:			Co-financing
	Initial PRODOC/CEO planning	Revised budget 9/2008	Requested budget revision 11/2009	Total spent 2008 +2009	Budgeted for 2010	Initial budget	Revised budget 2008	Requested budget revision 11/2009	Proposed, but <u>not existing</u> co-financing (partners have already gone)
<b>Operational costs</b>	<b>2,257,893</b>	<b>1,438,778</b>	<b>1,288,778</b>	<b>728,501</b>	<b>309,167</b>	<b>1,220,225</b>	<b>401,110</b>	<b>251,110</b>	
Outcome A	401,221	300,000	240,000	49,883	110,500	240,838	139,617	79,617	858,500
Outcome B	819,380	483,100	433,100	317,700	97,742	403,938	67,658	17,658	747,300
Outcome C	492,347	337,228	428,078	196,743	77,500	218,104	62,985	153,835	1,549,489
Outcome D	433,982	187,600	187,600	164,175	23,425	246,382	0.00	0.00	4,192,900
<b>Project management</b>	<b>869,760</b>	<b>1,688,875</b>	<b>1,838,875</b>	<b>511,294</b>	<b>410,853</b>	<b>- 52,387</b>	<b>766,728</b>	<b>916,728</b>	605,000
<b>TOTAL</b>	<b>3,127,653*</b>	<b>3,127,653*</b>	<b>3,127,653*</b>	<b>1,239,795</b>	<b>720,020</b>	<b>1,167,838</b>	<b>1,167,838</b>	<b>1,167,838</b>	<b>7,953,189</b>

\* Project budget of \$3,395,000 less \$267,347 UNDP direct costs

### B) Co-financing and Leveraged Resources (end 2010)

Co financing (Type/ Source)	IA own Financing (US\$)		Multi-lateral Agencies (Non-GEF) (US\$)*		Central Government (US\$)		Local Government (US\$)		Private Sector (US\$)		NGOs (US\$)*		Total Financing (US\$)		Total Disbursement (US\$)	
	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual	Proposed	Actual
Grant	3,395,000	1,959,815	5,547,090	0							1,988,000	0	10,930,090	1,959,815	10,930,090	1,959,815
In-kind					418,099	209,000							418,099	209,000	418,099	209,000
<b>TOTAL</b>													11,348,189	2,168,815	11,348,189	2,168,815

\* slightly modified from PRODOC, the evaluation mission placed former bi-lateral co-financing (FAO-DFID, WWF-DANIDA) referring to the implementation structure and not referring to the donor.

All identified co-financing partners had already gone at project start-up. Recently new identified potential partners (JGI, CARE) just start or will start (UNEP PES field activities after elections 2011) their operations. Contributions will concern satellite image interpretation, district environment plans and work with the private sector industries for PES (Payment for Environment Services) as a mean for sustainable financing mechanisms for biodiversity conservation and support to local communities for CBNRM (CARE REPA II).

## C) LIST OF PROJECT SUB-CONTRACTS (major sub-contracts until 10/2010))

Year	Recipient	Amount	Line item and brief content
2008	NFA Muzizi Range	UGX 76,480,000	A1. Sustainable financing study and dissemination of SF options B2, Boundary surveys and mapping, planting boundary lines and tending (Itwara and Kagombe)
	NFA Budongo range	UGX 258,118,400	A1. Sustainable financing study and dissemination of SF options B2, Boundary surveys and mapping, planting boundary lines and tending (Budongo and Bugoma) B3 Joint patrolling with UWA
2009	AAH	UGX 370,500,000	B3 Workshops on ordinances B4 Restoration of degraded areas C2 Training in LUP C4 Training and development of pilot FMPs D1 Sensitisation on CBNRM, hiring of extension staff D2 Incentives for forest protection D3 Workshop on promotion of viable incentives
	JGI	UGX 128,344,400	C3 Awareness workshops D1 Sensitisation on CBNRM options D2 Identify technologies for harvesting and processing of agro-based products
	CSWCT	UGX 152,000,000	C2 Training in LUP C3 Community awareness and education programme D1 Identified CBNRM approaches supported D3 Identified incentives supported
	NFA Budongo range	UGX 285,000,000	A1 Consultations to identify SF mechanisms, promotion of SF mechanisms (A2 Reconnaissance survey and demarcation of Strict Nature Reserves in Budongo and Bugoma) B2 Validate boundary plans and re-demarcation for Budongo and Bugoma B3 Develop ordinances, undertake joint patrolling B4 Planting of degraded areas, tending and protection
	EcoTrust	UGX 123,500,000	B3 Develop environmental ordinances for Hoima and Masindi districts C3 Community awareness programme D3 Define and promote viable incentives for retaining forest
	NFA Muzizi range	UGX 103,435,500	B2. Boundary mapping and demarcation for Itwara, Kagombe and Matiri B3 Patrolling B4 Restoration of degraded areas in Itwara and Matiri D2 Initiate CFM processes in selected sites
	WCS	\$ 54,203	A1 Assessment of sustainable financing mechanisms (REDD, biodiversity offsets...) B1 Initiate biodiversity surveys C1 Map northern AR corridors
2010	Bunyoro-Kitara Kingdom	UGX 7,725,000	C2 Participate in delivery of Communications Strategy
	ARCOS	\$ 8,000	A2 Support development of the northern AR Strategic Plan
	Ministry of Water and Environment	\$ 4,000	Admin. Fulfil mandate for monitoring of project and reporting to Ministry
	NFA Budongo range	UGX 40,200,000	B2 Boundary surveys, replanting and associated patrolling (small CFRs in Kibaale)
	Kyenjojo DLG	UGX 3,710,000	A2 Preparation of DEAP
	Kyegegwa DLG	UGX 3,325,000	A2 Preparation of DEAP
	WCS	\$ 118,000	A1 Complete sustainable financing studies A3 Complete M&E framework for Strategic Plan B1 Complete biodiversity and socio-economic surveys C1 Complete corridor mapping and reasibility assessments
	WCS (rider)	\$ 40,000	A1 REDD feasibility study
	CSWCT	UGX 39,150,000	B1 Community-based monitoring in corridor areas
2010	<b>Pending:</b>		
	Hoima DLG	UGX 14,914,000	B3 Finalisation of environmental ordinance for Hoima district
	ACODE	UGX ca. 7,000,000	B3 Backstopping for finalisation of Hoima ordinance
	Masindi DLG	?	A2 State of the Environment assessment (input to strategic plan and ordinance)

## 6.8 Other technical annexes

### 6.8.1 Summary of achievements of outputs

Outcome A: Develop an overall conservation and management strategy for the Albertine Rift forested PA system							
SRF narrative summary	Indicator	Baseline	Achievements 10/2010	Strengths	Weaknesses	Comment	
A1. Local sustainable financing mechanisms identified and promoted	Three funding opportunities identified by year 4	No sustainable financing mechanisms in place	Opportunities identified (SF report): REDD feasibility study, PES study, and biodiversity offset being pursued		Feasibility studies of REDD and PES will take some time. REDD funds, if feasible, won't flow for some years.		
	External funding secured for Five micro-projects by year 4	No requirement or engagement by external sources in funding pilots	Potential contribution of private sector companies (oil industry, commercial growers – tea, sugarcane, tobacco, financial industry, timber companies) and public sector (municipalities, utility companies, communities) under investigation, report in November.			External funding is providing some tree-planting projects, for example (e.g. Tullow Oil funds), expect to expand this to power company-supported projects	
	Number of stakeholders supporting the financing strategy increases by the end of the project	No financing strategy	Key stakeholders identified and engaged in the process of developing the strategy		Project working on the assumption that if they own the process they will support it	See 2010 PIR for list of key stakeholders	
A2. Stakeholders supported to develop an overall regional strategy for the Albertine Rift forested protected area system through sharing lessons, data and information	Guidelines, frameworks and action plans for the implementation of the strategy in place and being used by the end of the project	Needs for regional strategy identified (pre-project), but strategy not in place	Strategic plan under development, got as far as the conceptual model (framework), actions now being worked on	Process highly consultative and ownership by districts and agencies is clear.	Funds will need to be sourced for implementation: GOU will not be likely to cover more than 40-50%.		
	Number of stakeholders involved in developing the strategy increases by 50% from baseline situation by the end of the project	No strategy so no stakeholders involved: individual districts, agencies all with separate non-integrated planning processes	Common vision, targets and objectives agreed across multiple stakeholders. >80% of identified key stakeholders involved in the process to date.	Common vision building is an important starting point	Common vision building started late	Comment: See 2010 PIR for details.	
A3. Monitoring and evaluation frameworks for the Albertine Rift protected area system	M&E guidelines and manual in place and in use by year 3	Individual agencies with some monitoring protocols: no integrated M&E	M&E system under development based on the targets and strategies identified in the strategic plan (so late). Monitoring systems in place	Coordinated across stakeholders so a better guide to	Final M&E guidelines and manuals until end of y 3 is unrealistic		



Outcome A: Develop an overall conservation and management strategy for the Albertine Rift forested PA system						
SRF narrative summary	Indicator	Baseline	Achievements 10/2010	Strengths	Weaknesses	Comment
developed		system	among various agencies to be taken into account	overall planning		
	Completed data base for biological and socio-economic indicators completed by end of year 3	No such database; MUIENR has a National Biodiversity Database (NBDB) and districts have socio-e information but these do not relate to the strategic plan	Biodiversity and socio-e information in place (data analysis being completed now – late), report expected for end Oct/Nov 2010		This baseline, important for a strategic formulation of following activities and even outputs is realised too late (only available after MTE)  Some of the indicators given in PRODOC will be difficult to monitor; meaningful trends in biodiversity not likely to be apparent during project lifetime	

Outcome B: Support Central Forest Reserves conservation and sustainable management						
SRF narrative summary	Indicator	Baseline	Achievements 10/2010	Strengths	Weaknesses	Comment
B1. Biodiversity and forest resources in the CFRs inventoried	Mapping of northern corridor completed by year 2	No concept or maps for corridor	Mapping completed mid 2010		This Mapping, important for a strategic formulation of following activities of most outputs is too late realised	
	30 members of community trained to participate in biodiversity inventory techniques	No community members trained	14 community members at seven sites under training for community-based monitoring.		Not likely this number (14) will be expanded	Recommendation: No point in training community members to undertake biodiversity inventory, which is a very specialised task – better to train them in simple monitoring of key species. Biodiversity inventory always has to be contracted out – even by national agencies such as NFA.
	National biodiversity data bank incorporates inventory data for national and local use by year 3	NBDB has some inventory data from PAs in project area, not up-to-date	No inputs into NBDB as yet – awaiting analysis of biodiversity surveys by WCS (late realisation)			

Outcome B: Support Central Forest Reserves conservation and sustainable management						
SRF narrative summary	Indicator	Baseline	Achievements 10/2010	Strengths	Weaknesses	Comment
B2. Central Forest Reserve boundaries secured and demarcated	Eleven (11) forest reserves have their boundaries demarcated by year 2	All CFRs have had boundaries demarcated in the past (pre-project); but some boundary conflicts since and some in need of re-demarcation	Support provided to NFA for re-demarcation of five priority CFRs; re-demarcation of four smaller CFRs underway		Demarcation is a never-ending task and NFA does not have sufficient recurring funds for keeping boundaries open	Comment: Boundary uncertainties are in many cases promulgated by local politicians, making re-demarcation difficult.
	Incidence of forest encroachment reduced by 25%	Baseline data available from Landsat images for 2005-6	Analysis of 2010 images underway (funded by JGI) – this will allow measurement of forest loss since 2006. It does not measure 'incidence of encroachment'		Difficult indicator to measure as no records of numbers of encroachers. NFA will have field reports which no incidences of encroachment, but only for incidental patrols not for the area as a whole – and NFA has no presence in some of the CFRs.  Incidence of forest encroachment is certainly not reducing – probably increasing, fuelled by political issues and uncertainties of land ownership, and also by 'give-aways' of CFR land (e.g. 10 km <sup>2</sup> of Kasato CFR).	Recommendation: Reformulation of the indicator
B3. Incidence of illegal activities in central forest reserves reduced and brought under control.	Rate of illegal timber and charcoal burning in the reserves decreases by 20%	NFA reports on incidence of illegal activities	? NFA was contracted to conduct patrolling to monitor this indicator during 2008-09, but has not reported.		Poor monitoring documentation by NFA. Range Managers have been requested to rectify this but still no reports.	Comment: Not easy to measure – NFA staff understandably avoid intervening in areas with large gangs of charcoal burners or timber poachers.  Recommendation: Reformulation of the indicator
	Incidence of agricultural and settlement encroachment in the reserves declines to zero	Baseline data available from Landsat images for 2005-6	? Analysis of 2010 images underway (funded by JGI) – this will allow measurement of forest loss since 2006. It does not measure 'incidence of encroachment'		Indicator entirely unrealistic	Recommendation: Reformulation/adaptation of the indicator
	Joint protection	Joint patrolling	Joint patrolling		Joint patrolling not fully	Comment:

Outcome B: Support Central Forest Reserves conservation and sustainable management						
SRF narrative summary	Indicator	Baseline	Achievements 10/2010	Strengths	Weaknesses	Comment
	patrol and monitoring systems established by FD/UWA and other stakeholders and in use	rare or not at all	instituted in key CFRs with project funding during 2008-09, some patrolling continuing since then but number of agencies involved dropped when no external funding support		institutionalised: Government makes few funds available to NFA and UWA for patrolling.  NFA always requests funding for patrolling, which should not really be provided by the project as it is difficult to show how it is sustainable. NFAs counterargument is that patrolling has to be paid for to support other interventions such as boundary demarcation and replanting.	Financing routine daily task for NFA can not be funded by GEF
B4. Restoration of degraded areas in selected central forest reserves undertaken	4,900 ha of degraded forest planted	4,900 ha of CFRs, or more, unrestored	240 ha of indigenous tree species restored (4% target) with almost 200% expenditure of allocated funds.	Communities involved in replanting and maintaining seedlings as an income generating exercise	The project is expected to catalyse the process of restoration in selecting sites and working with communities, with actual on-the-ground restoration costs covered from elsewhere and not directly by the project. Direct funding of restoration is clearly not an efficient way of reaching the target. Further, diversion of funds towards crisis control activities has put the target further out of reach.	Recommendation: NFA needs to find other funding opportunities for restoration costs. Help from central government would be highly appreciated
	Forest cover increases by 22%	Baseline forest cover stats available from 2005-6.	? 2010 re-analysis of forest cover underway.		Likely to show large forest loss since 2006 since trend is for a 1.0-1.9% annual forest loss.  Unrealistic indicator	Recommendation: Reformulate/adapt the indicator
B5. Forest Management Plans for CFRs developed	Seven CFRs established with new Management Plans by year 4	Achieved pre-project			FMPs prepared pre-project by NFA still not approved by the Minister: NFA is implementing them anyway	Recommendation: Reallocation of reminding funds to under-budgeted outputs
	30 forest officers, rangers, environment officers, planners and community members trained by year 5	Trained in what? If FMPs then this was Delivered pre-project by EU.	Scoping report pointed out no further training on FMPs needed.		Project nonetheless conducted a FMP training for these staff during 2009, which presents an un-efficient budget use.	Support by NPC to accelerate FMP approval would be highly appreciated
B6. Management	Three research		Dropped from budget			Comment:

Outcome B: Support Central Forest Reserves conservation and sustainable management						
SRF narrative summary	Indicator	Baseline	Achievements 10/2010	Strengths	Weaknesses	Comment
oriented studies carried out and results integrated in forest management	projects undertaken by year 3		in November 2009: not viewed as a priority.			Output is not any longer relevant due to successful finalisation of a EU funded project (initially planned as co-financing)  Recommendation: re-allocation of funds
	Two pilot projects under implementation based on research projects by year 4		Dropped from budget.			

Outcome C. Secure and manage the Northern corridor to ensure connectivity of the Albertine Rift protected area system						
SRF narrative summary	Indicator	Baseline	Achievements 10/2010	Strengths	Weaknesses	Comment
C1 Northern biodiversity corridor assessed	Boundaries of the corridor are identified and agreed with stakeholder participation by year 2	No corridor	Boundaries identified, results discussed with stakeholders and to be integrated into Strategic Plan which will be approved by Government.	>80% of stakeholders agree with the idea when explained	Concept of a corridor is not clear to most stakeholders especially at field level.  Information/explanation came late, no active participation possible during planning and development of the concept	
	Ecological, socio-economic and cultural values and services of corridor assessed by year 3	No corridor	Analysis complete, report due (late)		Very late realisation of this basic data collection for further planning	
C2. Local land use plans developed and implementation initiated	Three local land use plans developed with the participation of local stakeholders by year 4	No LUP guidelines in place on which to base LUP (this was expected to be an IFAD contribution)	(Unofficial) LUP guidelines developed by the project. Some LUP training done in 2009 but not focussed on priority areas. Areas now targeted for LUP within the priority corridor areas but LUP not yet underway.  LUP at local level to be undertaken using the PFOAs as focal points.	Good adaptive management by the project: down scaling to acceptable units within the priority area	Geographical impact zone of the project is significantly reduced	Comment: No legal basis exists for District land use plans because no national land use plan and policies exist
	Six community groups involved in	No LUP.	Not yet.			

Outcome C. Secure and manage the Northern corridor to ensure connectivity of the Albertine Rift protected area system						
SRF narrative summary	Indicator	Baseline	Achievements 10/2010	Strengths	Weaknesses	Comment
	land use plans					
	10 incidences of inter district cooperation	In what? If LUP there is no legal basis for LUP at district or regional level.	Districts are coordinating in planning at the strategic level in Outcome A.			
C3 Conservation and management of forest resources in the corridor enhanced through awareness, conservation education and information dissemination	Three community groups using sustainable approaches in the management of natural resources by year 4	No focused community groups	Three PFOAs established at local level and one national CBO with constitutions based on sustainable forest management	PFOAs self-generated (facilitated by the project) and thus owned by the members	Capacity to implement the expected work of the PFOAs to ensure sustainable forest management is limited.	Comment: Project start was difficult, often not respecting a logical order of 'information - action preparation - implementation'
	Annual increase in dissemination of information about conserving and managing the northern corridor is demonstrated from baseline situation	No corridor or information dissemination	Multi-partner communications strategy developed 2010 and under implementation. Information being disseminated through the implementation process (meetings, materials, documentary under development).		Minimal involvement of District Education Officers at present: this needs to be improved for sustainability.  Structured information communication dissemination started very late  An issue in some areas that DEOs request large allowances to be involved in the activities.	
C4 Local authorities, communities and private land owners supported to develop Private Forest Management Plans	Three management plans for private forest reserves developed and under implementation by year 5	No guidelines for FMP or private FMPs in place.	FMP training for private owners undertaken during 2009 – assumption that they would then go off and implement their own FMPs. No proactive FMP development for PFOs by the project as yet.		Very low capacity for FMP on private land, although capacity building can be targeted by the project  Maintaining forest on private land not a cost-effective option for PFOs; if they do it is not a decision based on business principles	Comment : Crucial issue of the whole project  Recommendation: The project must develop urgently a strategy for short term economic incentives for PFO. Most realistic option would be to support PFOA to develop their LUP, business plans and micro-project proposals for submission to potential donors like UNDP –SGP (ARF as facilitator)
C5. Undertake Forest landscape restoration in the northern corridor	19,200 ha of degraded landscape under afforestation programs such as tree planting, agro-forestry wood lots and commercial fuel		Pending development of FMPs.		The project does not have resources to support restoration of 19,000 ha, at a unit cost of around \$430/ha just for preparation and planting (not including tending), but will attempt to leverage support from Government tree planting	

Outcome C. Secure and manage the Northern corridor to ensure connectivity of the Albertine Rift protected area system						
SRF narrative summary	Indicator	Baseline	Achievements 10/2010	Strengths	Weaknesses	Comment
	wood plantations by year 4				programmes and other sources.  The project focus is on the establishment of a 44,700 ha corridor in Kibaale and Kyenjojo districts. Realistically however, the project will only be able to develop LUP, FMPs and support on-the-ground forest restoration in a small part of this area - the emphasis will be on key areas of connectivity.	
	Forest cover increases by 22%	See above.				

Outcome D: Strengthen linkages between forest conservation and improved sustainable livelihoods						
SRF narrative summary	Indicator	Baseline	Achievements 10/2010	Strengths	Weaknesses	Comment
D1 Community Based Natural Resources Management (CBNRM) approaches promoted for the maintenance of forest resources on private lands	At least five alternative livelihood initiatives in place by the end of the project	No AIGs in place	Numerous pilot projects (40-50) delivered by implementing partners during 2008-09.		AIG not clearly linked to sustainable forest use (chicken, pigs,..)  AIG delivery not focussed on priority areas of the project in terms of location of corridors, etc.  Variable success rates of different AIGs among different recipient groups.	Comment: AIG delivery was all contracted prior to identification of project priority areas as a means of quickly delivering benefits to people around CFRs (assuming that this would take the pressure of key CFRs). (Also since AIGs were mostly delivered by NFA to CFM groups, this supported NFA to meet their commitments to the CFM groups.)
D2 Collaborative Forest management (CFM) approaches promoted in CFRs	Five community groups participating in CFM by year five	Achieved pre-project			AFR is not working any longer with these groups (is the task of NFA)	Recommendation: Project should continue to monitor these groups and provide further capacity building in case of need. These are young, still learning organisations
	Two agreements negotiated and signed by year five	Achieved pre-project				
D3 Incentives for sustainable use of forest	Three best practice technologies piloted by	Nothing in place	Overlaps with A1			Recommendation: See C 4 + C 5

Outcome D: Strengthen linkages between forest conservation and improved sustainable livelihoods						
SRF narrative summary	Indicator	Baseline	Achievements 10/2010	Strengths	Weaknesses	Comment
resources explored and promoted.	year five					ARF have to bring the project back to the ground with realistic short term economic incentives. Achievement of outcomes and objective is very unlikely if only very hypothetical financing options (REDD,..) are taken into account
	Framework for incentives that promote conservation of forests on private land developed and implemented by year five	Nothing in place	Overlaps with Ai			
	Problem Animal Control strategy developed and under implementation by year 4		Dropped from the project budget in November 2009. Remains a key issue, but is being addressed by UWA and other projects			

*Annex 6.8.2: Actual project budget balance (planned closure 5/2013) and alternative (early closure 10/2012) (elaborated during MTR 18/10/2010)*

A) Budget balance with planned closure 5/12013

	<b>BUDGET (Nov-09 revision)</b>	<b>TOTAL 2008</b>	<b>TOTAL 2009</b>	<b>TOTAL SPENT end 2009</b>	<b>BUDGETED for 2010</b>	<b>SPENT AT 30 SEPT 2010</b>	<b>TOTAL SPENT AT 30 SEPT 2010</b>	<b>BALANCE OCT 2010</b>
<b>Total project expenditure</b>	<b>3,127,653*</b>	<b>378,086</b>	<b>861,709</b>	<b>1,239,795</b>	<b>720,020</b>	<b>261,946</b>	<b>1,501,741</b>	<b>1,625,912</b>
<b>Operational expenditure</b>	<b>1,288,778</b>	<b>184,769</b>	<b>543,732</b>	<b>728,501</b>	<b>309,167</b>	<b>166,129</b>	<b>894,630</b>	<b>394,148</b>
Outcome A	240,000	0	49,883	49,883	110,500	59,743	109,626	130,374
Outcome B	433,100	118,052	199,648	317,700	97,742	38,887	356,587	76,513
Outcome C	428,078	66,717	130,026	196,743	77,500	64,747	261,490	166,588
Outcome D	187,600	0	164,175	164,175	23,425	2,752	166,927	20,673

B) Budget balance with suggested early closure 10/2012

	<b>BUDGET (Nov-09 revision)</b>	<b>TOTAL 2008</b>	<b>TOTAL 2009</b>	<b>TOTAL SPENT end 2009</b>	<b>BUDGETED for 2010</b>	<b>SPENT AT 30 SEPT 2010</b>	<b>TOTAL SPENT AT 30 SEPT 2010</b>	<b>BALANCE OCT 2010 (according to Nov 09 revision)</b>	<b>REVISION suggested at MTR (with early closure 10/2012)</b>	<b>BALANCE OCT 2010 (suggested budget shift with early closure 10/2012)</b>
<b>Total project</b>	<b>3,127,653*</b>	<b>378,086</b>	<b>861,709</b>	<b>1,239,795</b>	<b>720,020</b>	<b>261,946</b>	<b>1,501,741</b>	<b>1,625,912</b>	<b>0</b>	<b>1,625,912</b>
<b>Operational expenditure</b>	<b>1,288,778</b>	<b>184,769</b>	<b>543,732</b>	<b>728,501</b>	<b>309,167</b>	<b>166,129</b>	<b>894,630</b>	<b>394,148</b>	<b>+ 219,666</b>	<b>613,814</b>
Outcome A	240,000	0	49,883	49,883	110,500	59,743	109,626	130,374	- 40,000	90,374
Outcome B	433,100	118,052	199,648	317,700	97,742	38,887	356,587	76,513	+ 40,000	116,513
Outcome C	428,078	66,717	130,026	196,743	77,500	64,747	261,490	166,588	+ 100,000	266,588
Outcome D	187,600	0	164,175	164,175	23,425	2,752	166,927	20,673	+ 119,666	140,333

=> Early closure (6 months earlier) can allow reallocation of 219,666 \$ from project management costs to operational expenditure.



*Annex 6.8.3 Proposition of a modified SRF for the rest of the project duration (based on Logical Framework revised version: proposition November 2009)*

**Note:** MTE mission propositions concern only reformulations/add-on (in red) and propositions which activities should continue with the budget constraints in the future. Already achieved activities and activities to be done only by PMU (no sub-contracted partners, not targeting the operational budget of ARF) are indicate in grey. The determination of new realistic targets should be done by the PMU when the needed baseline data are available.

**Project performance indicators (impact and outcome indicators)**

Proposed changes to the indicators given in the original Prodoc logframe (reduction in number) are explained in footnotes.

Narrative summary	Objectively verifiable indicators	Means of Verification	Risks and Assumptions
<b>Goal. The diversity of the Albertine rift forest resources is conserved and provides sustainable benefits to all stakeholders</b>			Government is committed to forest conservation Political stability and law maintained PRSP / PEAP process supports forest sector for rural livelihoods. Macro-economics remain positive Policies continue to be pro-poor with adequate rural dimension
<b>Long term Objective (Purpose).</b> The system of protected areas in the north Albertine Rift forests is strengthened and consolidated, effectively conserving globally significant biodiversity	1. Rates of deforestation in the Albertine Rift have decreased by 50% of baseline levels by EOP	Satellite images Ground truthing	No occurrence of a natural disaster such as hurricane, disease affecting forest and biodiversity No trans-boundary wars
	2. Populations of key indicator species are maintained or increase in the Albertine Rift forest reserves by EOP	Biodiversity inventories (baseline and EOP)	
<b>Outcome A.</b> An overall conservation and management strategy for the Albertine Rift forested protected area system in place and functioning	3. Integrated conservation and management strategy for the Albertine Rift forests developed and under implementation by EOP	Minutes of meetings Strategic Plan document Project reports	Stakeholders remain willing to cooperate
	4. Independent evaluation confirms that by EOP, monitoring systems for biodiversity and socio-economic situations are fully established in the AR forests and collected data is being fed into management decisions	Participatory M&E manual Annual monitoring reports	
<b>Outcome B.</b> CFRs are strengthened and provide conservation and sustainable management of forest resources	5. 80% of the prescriptions in the FMPs are being implemented effectively by EOP <b>Alternative:</b> Performance of METT scorecards for CFRs increases between end 2010 and EOP	Annual reports of NFA Ranges Project reports dealing with FMP implementation Field verification visits Stakeholder meeting minutes	Dedicated champions can be recruited from the community to participate

Narrative summary	Objectively verifiable indicators	Means of Verification	Risks and Assumptions
	6. Biodiversity monitoring indicates numbers of key species in CFRs remains the same or increases by EOP	METT scorecards Diagnostic assessment reports	
<b>Outcome C.</b> Forest connectivity maintained within the northern corridor	7. Biodiversity corridor established in a participatory manner by EOY3 and partly under active management by EOP	Field reports and maps Field verification visits Stakeholder meeting minutes and workshop proceedings	Landowners accept corridor in their land. Stakeholders willing to collaborate in land use planning and forest management
	8. Wildlife incidences in corridor increases by 30% by EOP	M&E surveys	
	9. More than 50% of the communities are aware of the value of the northern corridor for conservation purposes by EOP	Awareness surveys	
	10. Forests along five of the major river courses in the corridor zoned and being managed by the land owners by EOP	Field reports and maps Minutes of meetings FMPs for forests in riverine areas	
<b>Outcome D.</b> Incentives for community based forest conservation initiatives in place and functioning	11. Formal partnership arrangements for implementation of various forest related activities in at least 50% of the existing CFM groups and PFOA agreed and being implemented by EOP	Partnership documents/agreements Reports of activities carried out within the partnership arrangements	Livelihood initiatives acceptable to the community
	12. Increase in at least 40% of community groups benefiting from conservation processes by EOP <b>Alternative:</b> At least 5 community groups get external funding or generate economic benefit from sustainable forest management, allowing self-financing of implementation of their local LUP in strategic areas of the corridor by EOP.	Project reports Socio-economic survey reports <b>Alternative:</b> Micro-project contracts CBO reports Field verification mission	

## Project implementation targets (outputs)

Narrative summary (Outcomes, output and activities)	Targets	Means of Verification	Risks and Assumptions
<b>Outcome A. An overall conservation and management strategy for the Albertine Rift forested protected area system in place and functioning</b>			
<p><b>A1. Local sustainable financing mechanisms identified and promoted</b>                      A1.1 Identify current sources of funding for forest conservation in the Albertine Rift of Uganda as well as potential, innovative sources of support                      A1.2 Strengthen local government capacity to develop business plans for financing forest conservation and management, including funding strategies in 2 Districts                      A1.3 Identify options for partnerships with institutions including local financing institutions with interests in natural resources to support conservation funds</p>	<p>Three funding opportunities identified by EOP (e.g. increased revenue collection e.g. from oil offset funding, carbon, water marketing through certification, trust funds)                      External funding secured for forest conservation/restoration in 2 Districts by EOP five micro-projects by EOY4                      Number of supporters to the financing strategy increases by 50% at EOP</p>	<p>Financial commitments                      Surveys                      Project reports</p>	<p>Global and national economic/finance environment conducive                      Locally identified financing mechanisms available</p>
<p><b>A2. Stakeholders supported to develop an overall regional strategy for the Albertine Rift forested PA system through sharing lessons, data and information</b>                      A2.1 Support stakeholder consultation to formulate a biodiversity vision, objectives and action plans for the AR forested protected area system                      A2.2 Support partners to undertake studies through lessons, data and information sharing to understand factors and threats affecting conservation targets and identify conservation priorities to be addressed by the overall AR Conservation strategy                      A2.3 Support the development of the Albertine Rift Conservation Strategy</p>	<p>Guidelines, frameworks and action plans for the implementation of the strategy in place and being used by EOP.                      Number of stakeholders involved in developing the strategy increases by 50% from baseline situation by EOP.</p>	<p>Guidelines, framework and action plan documents                      Minutes of meetings and records of attendance</p>	<p>Stakeholders willing to support Albertine Rift strategy initiatives and share data and experiences</p>
<p><b>A3. Monitoring and evaluation frameworks for the Albertine Rift protected area system developed</b>                      A3.1 Establish socio-economic monitoring indicators and evaluation systems at central and district levels                      A3.2 Develop resource monitoring and evaluation indicators (forest cover, biodiversity, poaching and other human uses)</p>	<p>M&amp;E guidelines and manual in place and in use by EOY3                      Completed database for biological and socio-economic indicators completed by EOY2</p>	<p>Guideline and framework documents                      Database</p>	<p>Stakeholders accept to use the M&amp;E framework.</p>
<b>Outcome B. CFRs are strengthened and provide conservation and sustainable management of forest resources</b>			
<p><b>B1. Biodiversity and forest resources in the CFRs inventoried<sup>1</sup></b>                      B1.1 Conduct training in biodiversity inventory techniques                      B1.2 Conduct biodiversity inventories/surveys                      B1.3 Support the national biodiversity databank to incorporate the inventory data generated for national and local use</p>	<p>30 members of the community trained to participate in resource inventory                      National biodiversity databank incorporates inventory data for national and local use by EOY3</p>	<p>Assessment reports                      Databank</p>	<p>Skilled manpower not available.                      Security prevailing in the project area.</p>

<sup>1</sup> The activity proposed in the ProDoc 'Map the northern corridor landscape' is carried out under activity C1.

Narrative summary (Outcomes, output and activities)	Targets	Means of Verification	Risks and Assumptions
<p><b>B2. Central Forest Reserve boundaries secured and demarcated</b>                      B2.1 Conduct boundary re-surveys and produce boundary plan maps for Itwara <sup>(2)</sup>, Kagombe, Matiri complexes and small forest reserves in Kibaale district                      B2.2 Demarcate the boundaries with standard recommended NFA mark stones at major and intermediate cairns                      B2.3 Identify degraded areas and select target sites for regeneration</p>	<p>Eleven forest reserves have their boundaries demarcated by EOY2.                      Forest encroachment reduced by 25%                      4,900 ha of degraded forest regenerated                      Forest cover increases by 25%</p>	<p>Project reports                      Maps                      Field reports                      Satellite image analysis</p>	<p>Stakeholders recognize and respect reserve boundaries                      No natural disaster affects restored land</p>
<p><b>B3. Incidence of illegal activities in Central Forest Reserves reduced and brought under control through improved capacity and partnership<sup>3</sup></b>                      B3.1 Support the process to develop ordinances and bye-laws with local government and build this into effective partnership in 2 Districts                      B3.2 Support the process to enforce ordinances and bye-laws                      B3.3 Support capacity of NFA, UWA and local authorities to undertake joint protection patrols and monitoring of illegal activities                      B3.4 Increase broad base awareness of the value of forest resources through public awareness campaigns</p>	<p>Incidences of illegal timber and charcoal burning in CFRs decreases by 20%                      Incidences of agricultural and settlement encroachment in the CFRs declines to zero by EOP                      Joint protection patrol and monitoring systems established by NFA/UWA and other stakeholders and in use</p>	<p>Surveys and field reports                      Number of patrols documented and impacts monitored through the reduction of forest pressure</p>	<p>Positive political support from the local authority                      Communities participate and report illegal activities</p>
<p><b>B4. Forest management plans for CFRs developed with applied scientific information<sup>4</sup></b>                      B4.1 Develop and support focused research to help in the selection of suitable forest practices for specific target sites (e.g. corridor design, human wildlife conflicts and buffer zone management)                      B 4.2 Develop and pilot mechanisms to integrate results of such studies into natural resource management plans</p>	<p>Three applied studies completed by EOP, and feeding into management planning processes.</p>	<p>Reports from projects                      Technical operation manuals reports</p>	<p>Stakeholders willing to adopt study findings</p>
<b>Outcome C. Forest connectivity maintained within the northern corridor</b>			
<p><b>C1. Northern biodiversity corridor assessed</b>                      C1.1 Map the northern corridor landscape (identify and confirm potential components of the corridor)                      C1.2 Document ecological, socio-economic and cultural values and services of the northern corridor</p>	<p>Boundaries of the corridor are identified and agreed with stakeholder participation by EOY2                      Ecological, socio-economic and cultural values/services of the corridor assessed by EOY3</p>	<p>Maps of the northern corridor (map of proposed boundaries)                      Minutes from meetings                      Surveys (Field verification visits)                      Maps                      Database</p>	<p>Legislation and policy will favour implementation of the concept                      Land owners accept corridor on their land</p>
<p><b>C2. Local land use plans developed and implementation initiated with</b></p>	<p>Three local land use plans developed</p>	<p>Plans (documents)</p>	<p>National Land Act (land</p>

<sup>2</sup> Itwara CFR is in Kabarole district and thus not included within the project area, although a border of the CFR abuts Kyenjojo district and forms the southern end of the proposed corridor.

<sup>3</sup> The activity proposed in the ProDoc 'Translate and simplify ordinances and regulations for natural resource management in local languages' is dropped on recommendation of the Scoping Report.

<sup>4</sup> Since FMPs for the CFRs are were completed before project start-up, the activities under this line are restricted to management-oriented studies.

Narrative summary (Outcomes, output and activities)	Targets	Means of Verification	Risks and Assumptions
<p><b>increased awareness of planning values</b>                      C2.1 Develop local land use plans in <b>selected strategic pilot areas</b> that support the maintenance of the northern corridor<sup>5</sup>                      C2.2 Pilot implementation of local land-use plans in <b>three</b> areas                      C2.3 Promote and undertake community awareness and education on values, opportunities, benefits, incentives and threats to forest resources                      C 2.4 Educate stakeholders on rights and obligations on forest resources in terms of access, ownership, decision making, roles, responsibilities; <b>habitats, key species and community monitoring in strategic areas of the corridor, and basic managerial skills and micro-project development</b>                      C2.5 Disseminate relevant information to various stakeholders through e-mails, internet, and other communication technologies<sup>6</sup></p>	<p>with the participation of stakeholders by EOY4.                      Six communities involved in land use plans                      Ten incidences of inter-district cooperation                      Three community groups <sup>7</sup> using sustainable approaches in management of natural resources by EOY4                      Annual increase in dissemination of information about conserving and managing the northern corridor as demonstrated from baseline situation</p>	<p>District reports                      Surveys (Field verification visits)</p>	<p>use plan) in place</p>
<p><b>C3. Local authorities, communities and private land owners supported to develop private Forest Management Plans</b>                      C3.1 Train stakeholders to enhance their skills in participatory forest management planning, design and implementation                      C3.2 Mobilize and facilitate stakeholders to develop participatory forest management plans <b>and facilitate implementation through linking to potential donors for micro-projects (UNDP-SGP)</b></p>	<p>Three management plans for private forest reserves developed and under implementation by year 5</p>	<p>Surveys (Field verification visits)                      Reports                      Numbers of e-mails, articles, etc., disseminated</p>	<p>Communities, NGOs, CBOs, private sector and Government agencies willing to participate in forest conservation initiatives</p>
<p><b>C4. Forest landscape restoration is undertaken in the northern corridor to improve connectivity</b>                      C4.1 Identify degraded areas and select target <b>pilot</b> sites for restoration cover, through regeneration or enrichment planting                      C4.2 Mobilize <b>and encourage by incentives</b> communities to undertake regeneration/ restoration planting and <b>maintenance</b> in the target sites</p>	<p>19,200 ha of degraded landscape under afforestation programmes such as tree planting, agro-forestry wood lots and commercial fuel wood plantations by EOY4                      Forest cover increases by 22%</p>	<p>Reports                      Surveys (Field verification visits)</p>	<p>Stakeholders see the need for restoration and actively participate in the exercise</p>
<p><b>Outcome D. Incentives for community based forest conservation initiatives in place and functioning</b></p>			
<p><b>D1. Community-based Natural Resources Management approaches promoted for the maintenance of forest resources on private lands</b>                      D1.1 Analyze relevant baseline data on potential community-based projects                      D1.2 Design and pilot CBNRM initiatives using participatory <b>and business</b> approaches that integrate CBNRM in parish, sub-county and district</p>	<p>At least five alternative livelihood initiatives in place by EOP</p>	<p>Reports                      Minutes of meetings                      Surveys (Field verification visits)</p>	<p>Political support forthcoming at local levels</p>

<sup>5</sup> On recommendation of the Scoping Report, the LUP exercise will focus on zoning of riverine forests on private land that are key areas of connectivity within the northern corridor.

<sup>6</sup> As pointed out by the Scoping Report, information dissemination is cross-cutting and a communications strategy should be developed to coordinate these activities (this will be done under line C2).

<sup>7</sup> The project will focus on private forest owners' associations and potentially a private forest owners' forum.

Narrative summary (Outcomes, output and activities)	Targets	Means of Verification	Risks and Assumptions
development plans			
<b>D2. Collaborative Forest Management approaches promoted in CFRs</b> D2.1 Initiate and support CFM processes at selected sites <sup>8</sup> Alternative: Deliver demand driven capacity building measures to existing CFM groups	The number of effective CFM groups doubled by EOP Alternative: The 11 CFM groups are still existing and active by EOP	Reports Minutes of meetings Surveys (Field verification visits)	Good response from stakeholders Political support forthcoming at local levels
<b>D3. Incentives for sustainable use of forest resources explored and promoted<sup>9</sup></b> D3.1 Promote technologies for efficient harvesting and processing of forest and agro-based products D3.2 Identify and develop frameworks for economic incentives that promote conservation of forests on private land	Three best practice technologies by EOP Framework for economic incentives that promote conservation of forests on private land developed and implemented by EOP	Reports Incentives framework	Incentives available Alternatives acceptable to society

<sup>8</sup> Due to considerable progress made with developing CFM agreements prior to project start-up (11 already established in the project area) the activities and targets have been revised as suggested by the Scoping Report.

<sup>9</sup> Activities are re-worded slightly to conform with the recommendations given in the Scoping Report. An activity suggested in the ProDoc 'D3.3 Support local authority and communities to implement Problem Animal Control strategy developed by UWA and strengthen district vermin control units' is dropped as this is a complex issue and beyond the scope of the project to address directly.

Mid-term evaluation ARF, final report, 19<sup>th</sup> November 2010

#### *6.8.4 Map of the project intervention zone*

- See separate files for tif files -