CLIMATE FINANCE ADAPTATION STUDY REPORT

UGANDA

2020

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GLOSSARY

Climate Change: any significant change in measures of climate, such as temperature, precipitation or wind, lasting for an extended period usually a decade or longer.

Climate Change Adaptation: adjustments in practices, processes, or structures to take into account changing climate conditions, to moderate potential damages, or to benefit from opportunities associated with climate change.

Climate Change Mitigation: anthropogenic intervention to reduce the anthropogenic forcing of the climate system; it includes strategies to reduce greenhouse gas sources and emissions and enhancing greenhouse gas sinks.

Climate Risk: the probability of harmful consequences or expected losses resulting from the interaction of climate hazards with vulnerable conditions.

Vulnerability: the propensity or predisposition to be adversely affected.

Joint Principles for Adaptation: statement by civil society organizations from across the world on what they consider to be a benchmark for good adaptation planning and implementation.

Climate Finance: refers to new and additional financial flows above official development assistance for supporting climate actions.

Adaptation Finance: finance flows that aim at reducing vulnerability to climate shocks, maintaining and increasing the resilience of human and ecological systems to climate change impacts (EMLI).

Gender: Refers to the social attributes and opportunities associated with being male and female and the relationships between women and men and girls and boys, as well as the relations between women and those between men. These attributes, opportunities and relationships are socially constructed and are learned through socialization processes (Definitions from UN Women).

SUMMARY OF KEY FINDINGS AND RECOMMENDATIONS

Chapter 1: Introduction

This report is part of an international pilot project on climate adaptation finance tracking. The project engaged civil society organisations in 6 developing countries (Ghana, Uganda, Ethiopia, Nepal, Vietnam, and Philippines) to assess multilateral and bilateral international support for climate change adaptation. In Uganda the study was initiated by CARE and led and coordinated by Environmental Management for Livelihood Improvement Bwaise Facility.

The project aimed to assess if multilateral and bilateral donors' reporting of adaptation finance is reliable, in the sense that the amounts reported are reasonably accurate, through the assessment of 21 projects between 2013-2017 including the 10 largest received over the period. The project further investigated if the supported adaptation activities are targeting the poorest and most climate vulnerable parts of the population, and if the activities are gender sensitive.

Chapter 2: International and national needs for adaptation finance

Across the 15th and 16th sessions of the Conference of the Parties (COP) to the United Nations Framework Convention on Climate Change (UNFCCC) in Copenhagen and Cancun, respectively, developed countries committed to mobilise climate financing to developing countries of 100 billion USD per year by 2020, to address the needs of developing countries. At COP21 in Paris, it was urged that the allocation of funds strive to be balanced between adaptation and mitigation, recognizing the importance of adaptation finance. Yet, recent OECD (2019) reporting indicates that these targets and the stated balance are far from being met. With public climate finance from developed to developing countries reaching 54.5 billion USD in 2017, of which only 12.9 billion USD, or 23%, targeted adaptation activities and only 15% was channelled towards LDCs.

Uganda is a LDC and categorized with a low human development index of 0.516 (UNDP, 2018), and its vulnerability to climate change remains high (EMLI, 2016 and McIvor, Kajumba and Winthrop, 2018). The country's vulnerability has been attributed to the huge dependency on natural resources provided by primary sectors such as agriculture, water, energy and fisheries, yet such sectors are highly vulnerable to impacts of climate change. According to ND-GAIN matrix, Uganda is the 15th most vulnerable country and ranked 0.58.

Cognizant of the country's vulnerability to climate shocks, the Government of Uganda identified and communicated its urgent and immediate adaptation needs known as National Adaptation Programmes of Action (MWE, 2007) and established a national Climate Change Unit, currently, the Climate Change Department under the Ministry of Water and Environment with the financial support of the Government of Denmark. The implementation cost of the adaptation actions in the National Climate Change Policy was estimated at 194.5 million USD per year over the next 15 years (Bakiika, 2017). Despite adaptation being a priority climate action response in Uganda, the country is still at nascent stages of defining its adaptation needs and actions in the medium and long-term. Specifically, a national road map for the National Adaptation Plan (NAP) process has been communicated to the UNFCCC Secretariat and a proposal submitted to GCF for development of the country's overarching NAP.

The cost of implementation of the country's first NDC has been estimated at 5.5 billion USD of which 3.1 billion USD, equivalent to 56% of total implementation costs, are related to adaptation (MWE, 2018). However, limited qualitative analysis has been done to determine the characteristics of adaptation finance flows to the country. A study by EMLI (2016) revealed a widening adaptation gap characterized by donor

adaptation flows well below 194.5 million USD per year, the estimated adaptation costs of the national climate change policy.

Chapter 3: Overview on received climate finance in Uganda

A total of 701 climate-related projects were committed to Uganda in the period 2013-2017, with the related total climate commitments summing to 1 billion USD, with a significant low in received climate finance of 99 million USD in 2017. Climate finance is predominantly provided by five donors: Germany, Denmark, EU institutions (excluding the European Investment Bank), the United Kingdom (UK) and the African Development Bank (AfDB), providing around 15%, 11% (Denmark, EU institutions and the UK) and 10% of all climate-related finance flows over the period, respectively.

With cross-cutting finance split equally between objectives, the ratio of adaptation and mitigation finance received was 48% to 52%, with 476 million USD and 519 million USD committed for adaptation and mitigation projects, respectively. Representing a near balance between the objectives of climate finance received. However, cross-cutting finance accounted for 30% of total climate-related finance, therefore the extent to which such projects actually target both objectives could heavily influence more detailed climate finance figures.

Parties to the Paris Agreement have recognized the importance of incorporating gender equality aspects into adaptation flows. Between 2013-2017, on average, 56% of adaptation projects also reported gender equality objectives, and 57% of adaptation finance (140 million USD) is found to also target gender equality, thus 43% of adaptation finance received in Uganda lacks gender co-targets.

> **Key finding 1:** Over half of donor adaptation projects report gender co-targets, yet 43% of adaptation finance does not address gender equality. Identifying a large blind spot in the focus of adaptation projects in Uganda.

As noted in the OECD's Rio Marker Handbook (Annex 18), those projects which have been assigned "principal" Rio markers of "2" for both mitigation and adaptation objectives should "be considered only upon explicit justification".[1] Our analysis finds that 92 projects received by Uganda have been assigned "2" for both climate change Rio markers, accounting for 161 million USD, or 16% of total received climate finance, and is concentrated in projects reported by the United States (50), the UK (18) and Denmark (11).

> **Key finding 2:** 161 million USD, or 16% of total received climate finance in Uganda has been Rio marked "principal" for both mitigation and adaptation objectives. Considering the OECD's guidelines, this figure risks inflating climate finance figures.

Chapter 4: Analysis of adaptation relevance

Chapter 4 presents the results from the assessment of 21 adaptation-relevant climate finance commitments flowing to Uganda from 2013-2017. The assessment focuses on analysing the quality of the adaptation activities undertaken and the accuracy of donor adaptation finance reporting.

[1]Accessed at: https://www.oecd.org/dac/environment-development/Annex%2018.%20Rio%20markers.pdf

To do this, the study followed a multi-step process adapted from the 3-step assessment developed by the Multilateral Development Banks (MDBs), including assessments of: (1) the climate vulnerability context outlined by a project; (2) the stated intent of a project and its consideration of the identified risks, vulnerabilities and impacts; and (3) the demonstration of a direct link between these identified risks, vulnerabilities and impacts, and the financed activities.

An initial and important finding of this report concerns donor transparency. Accessing full project documentation for many of the adaptation-relevant development projects was extremely difficult, due to confidentiality clause by some donors. Project documents for 3 projects lead by Germany were not made fully available to the assessment team.

Key finding 3: Accurate and independent analyses of adaptation finance, and climate finance more generally, is hindered by a lack of willingness of donors to make project documentation public. This lack of transparency makes it difficult for recipients of climate finance to determine if it suitably meets national, regional and local needs and priorities.

Within the individual assessments, the 3-step process highlighted key characteristics of projects which effectively target adaptation. Most importantly it was found that a project's ability to adequately assess and outline the climate vulnerability context within the relevant implementation area or sector leads to more successful adaptation projects.

Key finding 4: Adaptation projects seen to address adaptation needs routinely produce vulnerability analyses relevant to the projects activities and impacted stakeholders. Furthermore, projects which are found to effectively consider the relevant context of climate vulnerabilities, are also found to develop activities addressing the identified risks, vulnerabilities and impacts. Similarly, projects which fail to outline an adequate vulnerability context, often fail to meet the adaptation needs of those affected by the project's activities.

In total the team assessed 495 million USD of climate finance, 48% of total climate-related commitments received between 2013-2017. Using the individual assessments, the team was able to produce adaptation-relevance coefficients for each project, which allowed the adaptation-relevant portion of a project's climate-relevant budget to be calculated. This enabled the team's adaptation finance figures to be compared to that which was reported by donors, who make use of the Rio marker method or a 3-step approach (utilised by the MDBs).

When dealing with cross-cutting projects with both mitigation and adaptation objectives, current donor climate finance accounting methods either consider the entire climate-related commitment as a generic cross-cutting finance figure, without mitigation and adaptation breakdowns, or split this figure in half to attribute it to mitigation and adaptation totals.

This report finds that three of the ten largest received adaptation-relevant projects (including the two outright largest) channelled to Uganda over the period, namely: the European Union's "Development Initiative for Northern Uganda" and Denmark's "Sector Budget Support for Rural Water Supply" and "Joint Partnership Fund" projects, have been inaccurately reported as cross-cutting projects. The team finds inadequate evidence to justify the mitigation Rio marker allocations to all of these projects, which has a significant knock-on effect on the reported adaptation (and mitigation) finance totals.

Our analysis finds that the mitigation markers given to the aforementioned EU and Danish projects should be amended to 0. Furthermore, due to the current cross-cutting climate finance accounting methods outlined above, these projects are found to have simultaneously over-reported mitigation finance and

> **Key finding 5:** The team finds that 57.4 million USD of adaptation finance found to be under-reported, occurs due to inaccurate donor Rio marker allocations across 3 projects provided by the EU (1) and Denmark (2). The knock on effects on adaptation finance totals evidence that mitigation and adaptation finance calculated from cross-cutting projects, as estimated using current climate finance accounting methods, can be a significant source of inaccuracy.

under-reported adaptation finance. The value of under-reported adaptation finance resulting from these three Rio marking errors is assessed to total 57.4 million USD, or 76% of the total under-reporting figure of 75 million USD.

Removing mitigation Rio markers from the EU and Danish projects discussed above, to redefine them as purely adaptation projects, and reducing the "Joint Partnership Fund" project's adaptation Rio marker from 2 to 1, as suggested in Table 3 of this report, allows adaptation finance totals to be re-calculated. After doing so and following each donor's Rio marker methodology, there is a reduction in these projects' contribution to under-reporting totals from 57.4 to 22.5 million USD. Furthermore, the recalcuation also produces an additional 4.9 million USD of over-reporting (from reduced adaptation specificity of the Danish "Joint Partnership Fund" project), on top of the 15.2 million USD already highlighted in our assessments.

> **Key finding 6:** The team calculates that of the 221 million USD of adaptation finance reported by donors across the 21 assessed projects, 15.2-28.1 million USD can be considered as over-reported. Highlighting that, in general, reporting of adaptation finance to Uganda has been relatively accurate.

Based on our assessment, we find a wide spread of adaptation-relevance (13-67% of total climate commitments can be seen to be adaptation-relevant) for projects with Rio makers of 1. Further highlighting the potential inaccuracy caused by a rigid Rio marker method, where most donors only apply a single coefficient to projects with such Rio marker allocations to calculate the adaptation related finance in their projects with multiple objectives.

Chapter 5: Analysis of poverty orientation, gender and the Joint Principles for Adaptation

Chapter 5 assesses whether the 21 projects adequately integrate gender concerns, poverty orientations, and the Joint Principles for Adaptation within their design.

Poverty reduction is key to the achievement of the Sustainable Development Goals, including Goal 13 on Climate Action. According to the existing information in the Uganda National Household Survey Report 2016/17, and the Uganda Poverty Map (UBOS, World Bank and UNICEF, 2018), all assessed projects/programmes were poverty oriented due to location of project/programme implementation areasi.e. North, Northeast, East and some Southern districts with high poverty rates. Additionally, projects/programme objectives or activities directly or indirectly aimed at poverty reduction through enhanced income and food security (see table 1).

All assessed projects were tending towards gender sensitivity and were awarded a gender equality marker of 1, generally similar to those reported by the donors to the OECD DAC database. However, some projects had no deliberate gender analysis to inform the overall goals and targets of the projects.

Project/programme activities tended to directly target women and men as primary beneficiaries based on ad-hoc analyses of gender differences for men and women and provided interventions promoting gender inclusion, and gender mainstreaming. Largely, gender matters were generalized under men and women and only one project from the Green Climate Fund (GCF) had a gender action plan informing the specific interventions for effective gender mainstreaming.

Our analysis of climate finance revealed that 316 million USD of adaptation finance had gender co-targets according to the donor gender marker, yet 231 million USD from our assessment, indicated a discrepancy of 85 million USD, or 27%, between reported and assessed gender-integrated adaptation finance.

Recommendations

Some key recommendations from the findings include the following:

1. Government should establish a dedicated unit within MoFPED charged with the task of introduction of relevant financial mechanisms and tools to support financial resource mobilization; provision and tracking;

2. The Climate Change Department (CCD) should establish an online public registry of climate actions and MoFPED and MWE should institutionalize adaptation finance tracking and reporting.

3. MoFPED and MWE should establish a national fund to catalyze the mobilization, provision and transparent reporting of financial resources to support green interventions, low emission and climate resilient actions by public and private investments.

4. Development partners:
   a. Should facilitate transparency of information through web-based data sources at country level on matters related to commitments, disbursement and progress of implementation in order to ease access to project information by stakeholders;
   b. Enhance capacity development of civil society for transparent reporting under the Paris Agreement
   c. Should have gender action plans with gender responsive actions and indicators intended to close the equality gap. Projects should transition from only being gender responsive to gender transformation and gender equality should continue to be a deliberate objective in project design and implementation.

5. Civil society partners should:
   a. Regularly (biennially) track financial flows and lobby for public disclosure
   b. Initiate the application of the common tabular formats (CTFs) of the Rule Book to inform the electronic reporting of information on financial support received under Article 9 of the Paris Agreement.
   c. Pilot and independently analyze their organizational projects and programmes to ascertain level of responsiveness to adaptation with a gender lens.

6. Since the assessment was based on donor commitments, consultations with stakeholders revealed the need to undertake a deeper analysis on actual climate finance disbursements. This is to help countries ascertain the actual climate finance that has been received and its impact on improving adaptation to climate change.

1. INTRODUCTION

Climate change is a key concern in Uganda and its negative impacts compromise the realization of the Vision 2040 targets and transformation into a competitive upper middle income country (GoU, 2015a). Damages due to impacts of climate change in the agriculture, water, infrastructure and energy sectors collectively have been estimated at 2-4% of GDP between 2010 and 2050 (MWE, 2015). Despite receiving international finance flows for climate change adaptation, there is limited explicit reporting on whether funded adaptation activities in Uganda reflect reality on the ground.

This report is part of an international pilot project on adaptation finance tracking which builds on civil society assessments of international support for climate adaptation to 6 developing countries: Ghana, Uganda, Ethiopia, Nepal, Vietnam, and the Philippines.

The study aimed to assess if multilateral and bilateral donors' reporting of adaptation finance is reliable in the sense that the amounts reported are reasonably accurate. Earlier studies of international climate finance have indicated that donors have a tendency to report higher amounts spent on adaptation activities than what is in fact the case on the ground. The study also aims to investigate if the supported adaptation activities are targeting the poorest and most climate vulnerable parts of the population, and if the activities are gender sensitive.

The study is a pilot project in the sense that it aims to facilitate future adaptation finance tracking activities by others. All 7 reports from the project will be available at https://careclimatechange.org/.

The assessment was carried out by a team of researchers from the Environmental Management for Livelihood Improvement Bwaise Facility and CARE International in Uganda. The team conducted desk reviews of available project documents, key informant interviews and focus group discussions with project beneficiaries. EMLI and CARE International in Uganda provided guidance and leadership of the process and the CSO Advisory group (see Annex B) was co-opted as peer reviewers throughout the process. CARE Netherlands and Denmark provided global technical support to the 6 countries including Uganda.

The study was facilitated by a partnership between CARE Netherlands and CARE Denmark with financial support from Government of Denmark and the Netherlands Government's Ministry of Foreign Affairs through CARE Netherlands under the Partners for Resilience Strategic Partnership programme implemented in Uganda by CARE, Red Cross Red Crescent Climate Centre, Wetlands International, CORDAID and Uganda Red Cross Society.

2. NEEDS FOR ADAPTATION FINANCE

2.1. INTERNATIONAL CONTEXT

As part of the UNFCCC, developed countries committed in the Copenhagen Accord, 2009, to jointly mobilize 100 billion USD a year in climate finance by 2020, to address the needs of developing countries (UNFCCC, 2009). However, the OECD observe a wide disparity about what exactly constitutes mobilized climate finance and the levels of such flows (OECD, 2016a), despite the significant progress made on the measuring, reporting and verification (MRV) of climate finance. According to GIZ (2014) MRV of climate finance remains a challenging endeavor due to definitional issues and the reporting systems.

The joint mobilization commitment initially agreed upon in Copenhagen was re-confirmed in the decision texts resulting from COP21 in Paris. These decisions committed developed countries to continue their existing collective mobilization goal through to 2025 and strive to achieve balance between mitigation and

adaptation finance. The decision also comits developed country patries, post-2025, to set a new quantified collective goal above the USD 100 billion per year target, taking into account the needs and priorities of developing countries (UNFCCC, 2016). According to UNFCCC (2018) defining and identifying adaptation finance can be a challenge in addition to estimating adaptation finance due to adaptation being context specific and incremental.

In their Adaptation Gap Report, UNEP (2018), estimated that annual costs of adaptation could range from 140 to 300 billion USD from 2020 to 2030. The report further states that the adaptation needs expressed in the Nationally Determined Contributions (NDCs) of fifty non-Annex I countries from 2020 to 2030 totals 50 billion USD per year.

Yet current provisions of adaptation finance from developed to developing countries remains significantly short of stated needs. According to the OECD (2019) find that of the 54.5 billion USD of public climate finance committed in 2017, only 13.3 billion USD, or 19%, was towards adaptation objectives. Other estimates vary, but again remain below stated needs. For example, Buchner et al. (2017), estimate USD 22 billion was provided for adaptation in 2016, with the UNFCCC (2018) estimating that over 97% of adaptation finance was channeled to public sector institutions.

2.2. NATIONAL CONTEXT

Noting that Uganda is one of the least developed countries and categorized with low human development index—0.516 (UNDP, 2018), its vulnerability to climate change remains high (EMLI, 2016 and McIvor, Kajumba and Winthrop, 2018). The country's vulnerability has been attributed to the huge dependency on natural resources provided by primary sectors such as agriculture, water, energy and fisheries, yet such sectors are highly vulnerable to impacts of climate change. According to ND-GAIN matrix, Uganda is the 15th most vulnerable country and ranked 0.58. However, Echeverría, Terton and Crawford (2016) and MWE (2016) indicated that the country's vulnerability to climate change was decreasing and readiness to respond to climate change was increasing with adaptation as priority.

Cognizant of the country's vulnerability to climate shocks, the Government of Uganda identified and communicated its urgent and immediate adaptation needs known as National Adaptation Programmes of Action (MWE, 2007) and established a national Climate Change Unit, currently, the Climate Change Department under the Ministry of Water and Environment with the financial support of the Government of Denmark. Additionally, the government developed the National Climate Change Policy (GoU, 2015b) to ensure harmonized and coordinated approach towards a climate- resilient and low-carbon development path for sustainable development in Uganda. Implementation cost of the adaptation actions in the National Climate Change Policy was estimated at USD 194.5 million per year over the next 15 years (Bakiika, 2017).

Despite adaptation being a priority climate action response in Uganda, the country is still at nascent stages of defining its adaptation needs and actions in the medium and long-term. Specifically, a national road map for the National Adaptation Plan (NAP) process has been communicated to the UNFCCC Secretariat and a proposal submitted to GCF for development of the country's overarching NAP. Positively, the NAP for agriculture sector is in place and 5 investments of the Strategic Programme for Climate Resilience have been developed.

The cost of implementation of the country's first Nationally Determined Contribution (NDC) has been estimated at USD 5.523 billion of which USD 3.093 billion, equivalent to 56 percent of total cost of implementation are adaptation costs (MWE, 2018). However, limited qualitative analysis has been done to determine the characteristics of adaptation finance flows to the country. A study by EMLI (2016) revealed a widening adaptation gap characterized by donor adaptation flows well below USD 194.5 million per year, the estimated adaptation costs of the national climate change policy.

Although the country does not have an operational definition of climate finance and adaptation finance (Lukwago, 2015), a growing policy environment offers hope, for example, a draft climate finance strategy is in the making and national climate change bill was approved by cabinet.

Although climate finance continues to flow to Uganda, measuring its public flows is still insufficient (Tumushabe et al, 2013). According to Lukwago (2015), EMLI (2016) and Tumushabe et al (2013), the effectiveness of the climate finance delivery in Uganda is limited by low prioritization of climate change as a major public policy issue whose funding is largely provided by donors but difficult to estimate actual expenditure accurately due to the lack of information in the public domain regarding the specific disbursements. ACTADE and KAS (2017) underscored the low climate finance flows through the national budget. However, Tumushabe et al (2013) estimated total spending on climate change-relevant activities across sectors of agriculture, water and environment, energy, and transport at approximately 1% of government expenditure during financial years 2008/9 to 2011/12.

Positively, systems and procedures for coding and actual tracking climate related domestic expenditures such as the climate change budget tagging are being put in place by MoFPED. It is worth noting that MoFPED is tasked to facilitate the introduction of relevant financial mechanisms and tools to support financial resource mobilization and investment for the implementation of the climate actions (GoU, 2015).However, there is no dedicated secretariat within the ministry to handle the task as a routine activity. Currently, the ministry serves as the National Designated Authority (NDA) for the GCF with the Permanent Secretary/Secretary to Treasury (PS/ST) acting as the focal person and assisted by Directorate of Cash and Debt Policy (Bakiika, 2017). In addition, the ministry serves as the operational focal point for GEF. However, the few staff managing aspects related to climate finance take on such tasks as additional to their specific tasks assigned in the ministry. The Second National Communication (GoU, 2014) fell short of aggregating financial support received by the country. A report by CAN-U and Oxfam highlighted more than USD 264 million of adaptation funds reached Uganda between 2010 and 2012 (Lukwago, 2015).

The climate finance landscape in Uganda is evolving steadily with new institutions such as Ministry of Water and Environment playing a key role as the National Implementing Entity and Direct Access Entity for the AF and GCF. Below is an illustration of financial flows in Uganda.

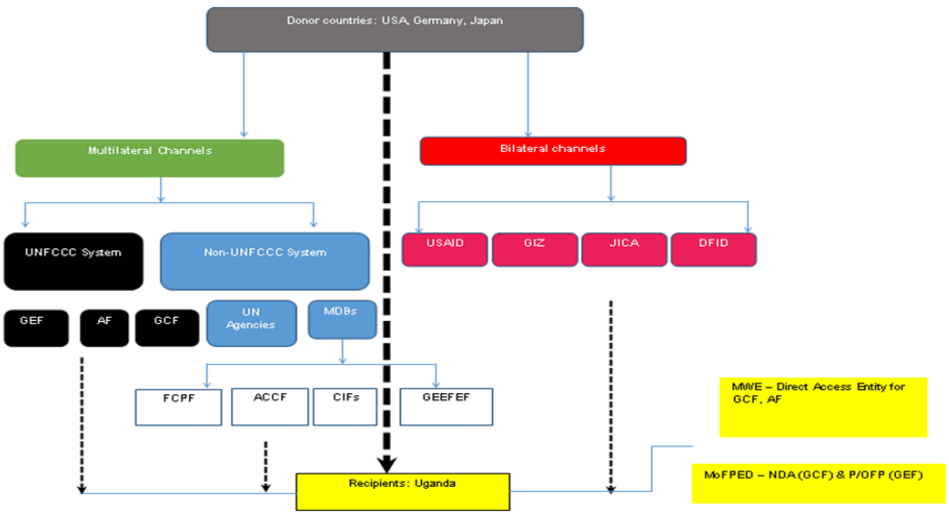

Figure 1: Overview of climate finance flow structure in UgandaSource: EMLI: Developed for purposes of this study

3. OVERVIEW ON CLIMATE FINANCE

An analysis based on the OECD-DAC climate-related development aid database revealed that a total of 701 climate-related projects were committed to Uganda from 2013-2017, with related total climate finance commitments summing to 1 billion USD.[2]

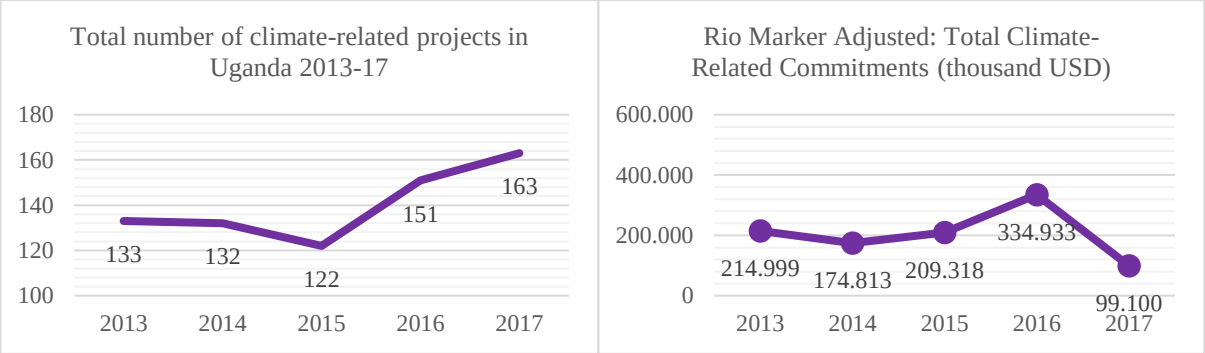

Figure 2: Climate related projects in Uganda and their values broken down by year. Source: OECD DAC climate-related development aid database.

Compared to a CAN-U and Oxfam analysis from 2015 adaptation finance flows to Uganda can be seen to be significantly larger in the period 2013-17, as compared to the period 2010-12[3].

The largest providers of climate finance to Uganda in the period were: Germany, Denmark and the African Development Bank, followed by EU institutions (EC and EDF excluding the European Investment Bank), United Kingdom, France, IFAD, United States, GCF and the Netherlands in the 10th position(see figure 3). Germany's commitments were spread over 50 projects, which are relatively evenly spread across each year of the period. Denmark and the EU institutions feature fewer projects, 19 and 6 respectively, though significantly larger in terms of financial commitment value on average. The total commitment by the Netherlands stands at approx. 24 million USD and focus primarily on adaptation. The AfDB and EU institutions, projects were spread far less evenly through the years, with 4 of the EU institutions' projects in 2016 making up over 90% of their total commitments to Uganda. One of the largest EU programme was the Development Initiative for Northern Uganda (DINU) whose committed value was 146.9 million USD, using a Rio marker coefficient of 40% for significant objectives, the climate finance value of the programme was 73.43 million USD.

[2] Data on received climate finance in Uganda was accessed from the OECD in 2018 and subsequently analysed to produce the figures in this report. Therefore, later updates to the data, such as to the mitigation and adaptation breakdown of climate-related finance from the multilateral development banks are not included.

[3]CAN-U and Oxfam, 2015, the adaptation finance adaptation initiative accountability: Delivery of Adaptation Finance in Uganda: Assessing institutions at Local Government Levels.

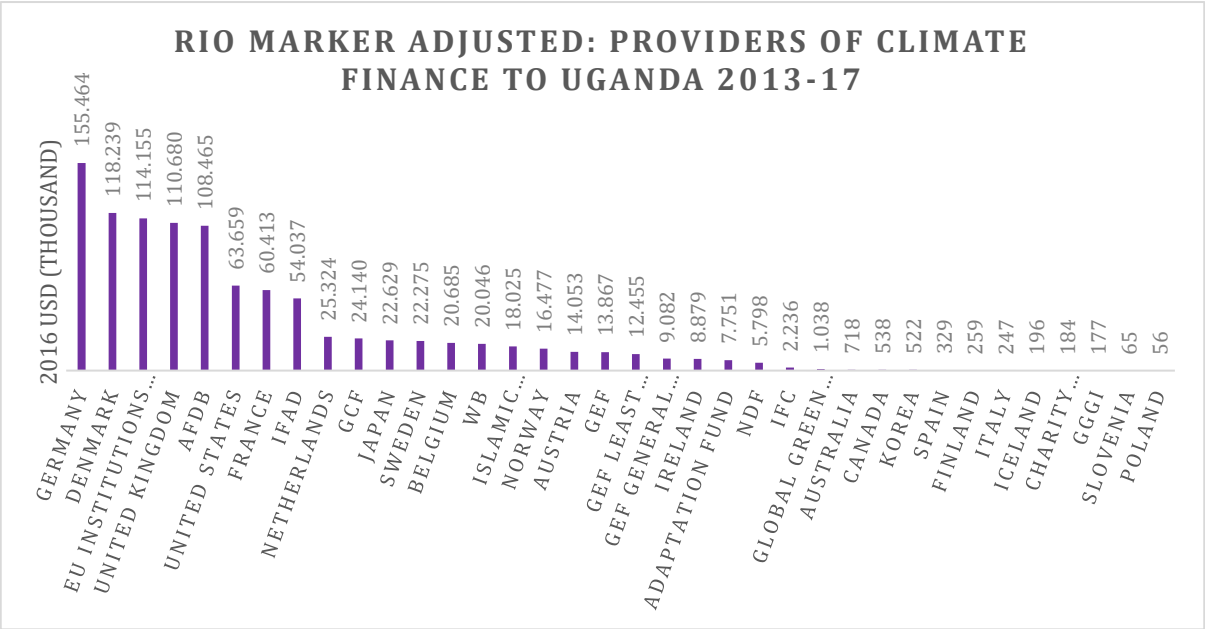

Figure 3: Providers of climate finance to Uganda. Source: OECD DAC climate-related development aid database.

Of the 21 projects selected for analysis in this report the EU committed the largest volume of climate finance to Uganda estimated at 174.7 million USD due to the large DINU project that was committed in 2016, followed by Denmark, IFAD and the GCF. Germany was the 5th largest due to the small projects but spread through the years and the smallest provider was the Nordic Development Fund.

3.1. RATIO OF ADAPTATION AND MITIGATION FINANCE

The Paris Agreement calls for striking a balance between climate finance for mitigation and for adaptation, addressing conditions and capacity constraints in the poorest and most vulnerable developing countries (Article 9.4).

Ratio of **adaptation** finance (*including cross-cutting*)	Ratio of **mitigation** finance (*including cross-cutting*)
48%	52%

The ratio of adaptation and mitigation finance for Uganda during the period 2013-2017, as per the OECD-DAC statistics, show a relatively well balanced picture overall (when taken in the context of the other countries analyzed in this study), with 322 (48%) and 366 million USD (52%) committed for adaptation and mitigation projects, respectively.

As shown by the graphs below (Figure 4), the trend for number of projects with Rio markers of 1 or 2 is similar for both adaptation and mitigation during these four years.

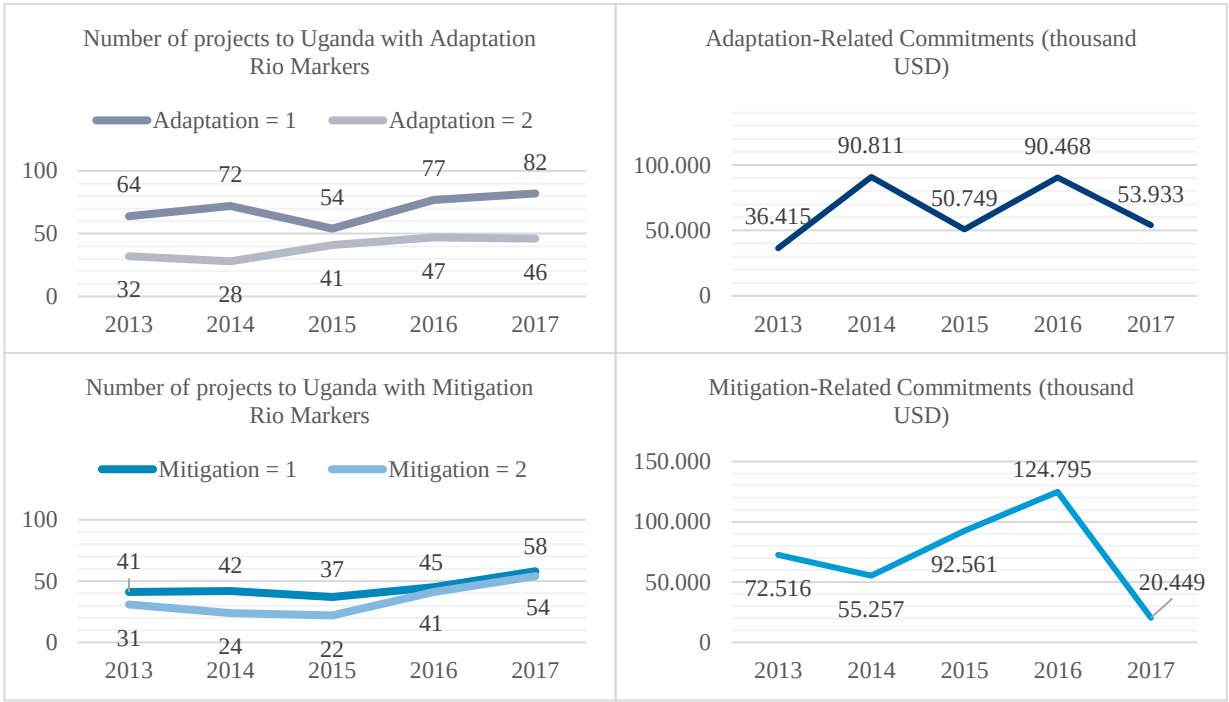

Figure 4: Number and value of projects related to Adaptation and Mitigation in Uganda, broken down by year (values are constant 2016 prices). Source: OECD DAC climate-related development aid database.

Over 282 million USD, equivalent to 30% of the reported climate-relevant commitment to Uganda, was considered as cross-cutting and therefore addressing both mitigation and adaptation.

4. ANALYSIS BASED ON PROJECT DOCUMENTS AND OBSERVATIONS

4.1. METHODOLOGY

The study applied both quantitative and qualitative methods to allow an analysis of adaptation, gender and poverty aspects of each project, and also to allow for comparison across the 6 countries using a multi-step process. The study assessed the relevance of the different projects towards adaptation by using an assessment process adapted from the "three-step approach" of the MDBs. The project performance was assessed based on how well it is able to integrate climate change in the following:

I. Setting out the context of risks, vulnerabilities and impacts related to climate variability and climate change a project or program seeks to address;
II. Stating the intent to address the identified risks, vulnerabilities and impacts in project documentation; and
III. Demonstrating a direct link between the identified risks, vulnerabilities and impacts, and the actual activities financed by that project or program.

A 10-point granular scale was used to assess each of these above steps, to establish a relationship between project design and actual implementation. The resulting 30-point rating was used to produce a coefficient to estimate how much of a project's total climate-related commitment value could be considered as adaptation finance contributing to the adaptation needs of Uganda. The assessment was complemented by the CSO Advisory group who conducted independent assessments for comparisons and validation with the Assessment teams' findings.

The project constituted a steering committee composed of representatives from the Climate Change Department of the Ministry of Water and Environment, National Planning Authority, Ministry of Finance Planning and Economic Development and the development partner group to provide strategic guidance and enhance coherence with on-going similar interventions on tracking climate finance.

The study involved three phases of working approach. The first being desk review of documents by EMLI, second was peer review by CSOs on available project documents third was key informant interviews and focus group discussions with project beneficiaries in the field.

Criterion for project selection:

Out of the 701 projects committed to Uganda in a period of 2013 to 2017, 21 were purposively selected and represent approximately 48% of the total climate-related commitment value to Uganda, across all projects and years. The selection was based on: size of the budget i.e., to include the 10 largest adaptation-relevant projects by budget (see Table 1); projects which CSOs have knowledge and information about; and a mixture of projects provided by both bilateral multilateral donors . It is important to note that out of the 21 selected projects only 18 were assessed using this multi-step approach. The 3 project committed by Germany were not assessed due to lack of access to project documents based on the confidentiality clause of the donor.

In addition, the team included another tier of prioritization, through a focus on the climate definition of the project as reported to OECD, i.e. including a mixture of both adaptation and cross cutting projects (as per the project's Rio markers). The list of selected project can be seen in Table 1 below.

The share of adaptation finance received as grants in Uganda across the assessed projects was 85%, with 15% provided as loans by multilateral providers.

Provider & Project Name	Abbreviation	CRS Identification number	Climate-related Commitment (Million USD)	Financial Instrument	Description
EU: Development Initiative for Northern Uganda-	DINU	2016000541	146.9	Grant	The general objective of the programme is to consolidate stability in Northern Uganda, eradicate poverty and under-nutrition and strengthen the foundations for sustainable and inclusive socio-economic development
Denmark: Sector Budget Support for Rural Water Supply	SBSRWS	2013001184	43.9	Grant	The project is a component of the Joint Water and Environment programme in Uganda, intended to contribute to the coverage of rural water supply and sanitation in the rural areas.
Sweden: Bilateral Research Cooperation Uganda	BRC	2015061515	32.7	Grant	This is a programme with 17 projects aimed at capacity development specifically to train a critical mass of independently thinking researchers based on basic, applied and multi-disciplinary research, covering natural science, social science and humans.

Provider & Project Name	Abbreviation	CRS Identification number	Climate-related Commitment (Million USD)	Financial Instrument	Description
IFAD: Project for the Restoration of Livelihoods in the Northern Region	PRELNOR	2014000078	45.1	Loan	The project development objective is to increase sustainable production, productivity and climate resilience of small holder farmers with increased and profitable access to domestic and export markets. Implemented in the nine districts in Northern Uganda.
Germany: :Integrated Programme to Improve the Living Conditions in Gulu	IPILC-Gulu	201365790	25.8	Grant	Integrated Programm to improve the living conditions (IPILC) in Gulu. Unable to access the document due to the confidential clause by the donors
GCF: Building Resilient Communities, Wetlands Ecosystems and Associated Catchments in Uganda	BRCWEAC	2016000041	24.1	Grant	The project objective is to restore and sustainably manage wetlands and support target communities in wetland areas of Uganda to reduce the risks of climate change posed to agricultural-based livelihoods in south western and Eastern districts of Uganda
Denmark: Joint Partnership Fund	JPF	2013001353	20.8	Grant	JPF is a component of the Joint Water and Environment programme, intended to support capacity development across the ministry structures in addition to studies, piloting of new approaches and oversight of climate and sector performance. The fund could be used to improve on actions which could lead to better performance, results and efficiency of the Sector Budget Support.
Germany: Integrated Program to Improve Living Conditions In Gulu.	IPILC Phase II	2016136060	19.9	Grant	Integrated Program to Improve Living Conditions in Gulu, Phase II. Unable to access the document due to the confidential clause by the donors.
Denmark: Recovery and Development in Northern Uganda NUC	NUC	2014001149aa	20.9	Grant	The NUC is an agricultural livelihoods improvement component under U Growth II Programme, aimed at increasing resilience and equitable participation of Northern Uganda in

Provider & Project Name	Abbreviation	CRS Identification number	Climate-related Commitment (Million USD)	Financial Instrument	Description
					the economic development of the country.
EU: Support to Developing A Market Oriented and Environmentally Sustainable Beef Meat Industry In Uganda Under the 11th EDF	MOBIP	2016000599	16.6	Grant	The project intended to contribute to a competitive, profitable, job-intensive, gender-responsive and environmentally-sustainable agricultural sector in Uganda, in order to alleviate poverty and improve food and nutrition security in the Central and South-Western part of the Cattle Corridor.
Germany: Support to the Water and Sanitation Development Facilities	WSDF	2014001055	11.4	Grant	Support to the Water and Sanitation Development Facilities (WSDF) in North and East Uganda Phase II. Unable to access the document due to the confidential clause by the donors.
Netherlands: The Inclusive Dairy Enterprise	TIDE	2015000301	10.6	Grant	The project aimed to improve dairy farm productivity, milk quality/safety, proactive and regulation and dairy household nutrition. Implemented in South Western Uganda (Kiruhura, Mbarara, Ntungamo,Bushenyi, Isingiro and Sheema districts).
AfDB: Forest Development	FIEFOC II	2000130014931	10.1	Loan	The project aimed to improve household incomes, food security and climate resilience through sustainable natural resources management and agricultural enterprise development in the five districts of Nebbi, Oyam, Butaleja, Kween and Kasese
WB: Uganda Energy for Rural Transformation III	ERT	2015021791	15.2	Loan	The Project Development Objective was to increase access to electricity in rural areas of Uganda, with a Global Environmental Objective to increase access to electricity in rural areas of Uganda and reduce greenhouse gas emissions.
Japan: The Project for Provision of Improved	PWRRID-Acholi	2013010631	9.3	Grant	The project intended to facilitate the return and resettlement of internally displaced persons (IDPs) through improved water provision in Amuru,

Provider & Project Name	Abbreviation	CRS Identification number	Climate-related Commitment (Million USD)	Financial Instrument	Description
Water Source for Resettled Internally Displaced Persons in Acholi Sub-Region					Nwoya, Gulu, Lamwo, Kitgum, Pader and Agago district: drilling approximately 110 boreholes and establishing six piped water systems.
IFAD: Project for the Restoration of Livelihoods In the Northern Region	PRELNOR	2014000080	9.0	Grant	The project development objective was to increase sustainable production, productivity and climate resilience of small holder farmers with increased and profitable access to domestic and export markets. Implemented in the nine districts in Northern Uganda.
EU: Global Climate Change Alliance (GCCA+): Scaling up Agriculture Adaptation to Climate Change in Uganda	GCCA+	2017000733	8.8	Grant	The objective of the project was to contribute to the sustainable and gender transformative improvement of livelihoods of rural populations in the 9 districts in the central cattle corridor in Uganda.
UK: Enhancing Resilience in Karamoja Programme	EKRP	2015000630	7.9	Grant	The programme name changed from ***Strengthening Livelihoods Programmes and Food Security in Karamoja to Enhancing Resilience in Karamoja Programm based on information in the project document.*** The programme aimed to increase resilience of the population of Karamoja to climate extremes and weather events.
AF: Enhancing Resilience of Communities to Climate Change through Catchment-Based Integrated Management of Water and	EURECCCA	2016000009	7.8	Grant	The objective was to increase the resilience of communities to the risk of floods and landslides in Awoja, Maziba and Aswa Catchments through promoting catchment based integrated, equitable and sustainable management of water and related resources.

Provider & Project Name	Abbreviation	CRS Identification number	Climate-related Commitment (Million USD)	Financial Instrument	Description
Related Resources In Uganda					
NDF: Farm Income Enhancement and Forest Conservation Project 2	FIEFOC II	2015000012	5.8	Grant	The project aimed to improve household incomes, food security and climate resilience through sustainable natural resources management and agricultural enterprise development in the five districts of Nebbi, Oyam, Butaleja, Kween and Kasese
GEF: Reducing Vulnerability of Banana Producing Communities to Climate Change through Banana Value Added Activities	EVBPCCC	2014000129	2.5	Grant	The project aimed to support vulnerable communities in Western Uganda to better adapt to the effects of climate change by providing greater opportunities for income generation, poverty reduction and food security, through banana value addition activities.
Assessed climate related commitment (million USD)					**495**
Total climate related commitments 2013-2017 (million USD)					**1,033**
Assessed finance as percentage of total climate-related commitments					**48%**

Table 1: List of selected projects (from large to small). Source: OECD DAC climate-related development finance database.

The total climate-relevant budget for the 21 assessed projects reported to the OECD was equivalent to 495 million USD, representing 48% of received national climate finance commitments over all projects in Uganda, in the period 2013-2017. 4.2.

4.2. STEP 1: CLIMATE VULNERABILITY CONTEXT

This step was analyzed to assess how well the project set out the local context in the area for project interventions and the context of risks, vulnerabilities and impacts related to climate variability and climate change. The analysis of climate vulnerability context and summary of project ratings is presented in figure 5 below.

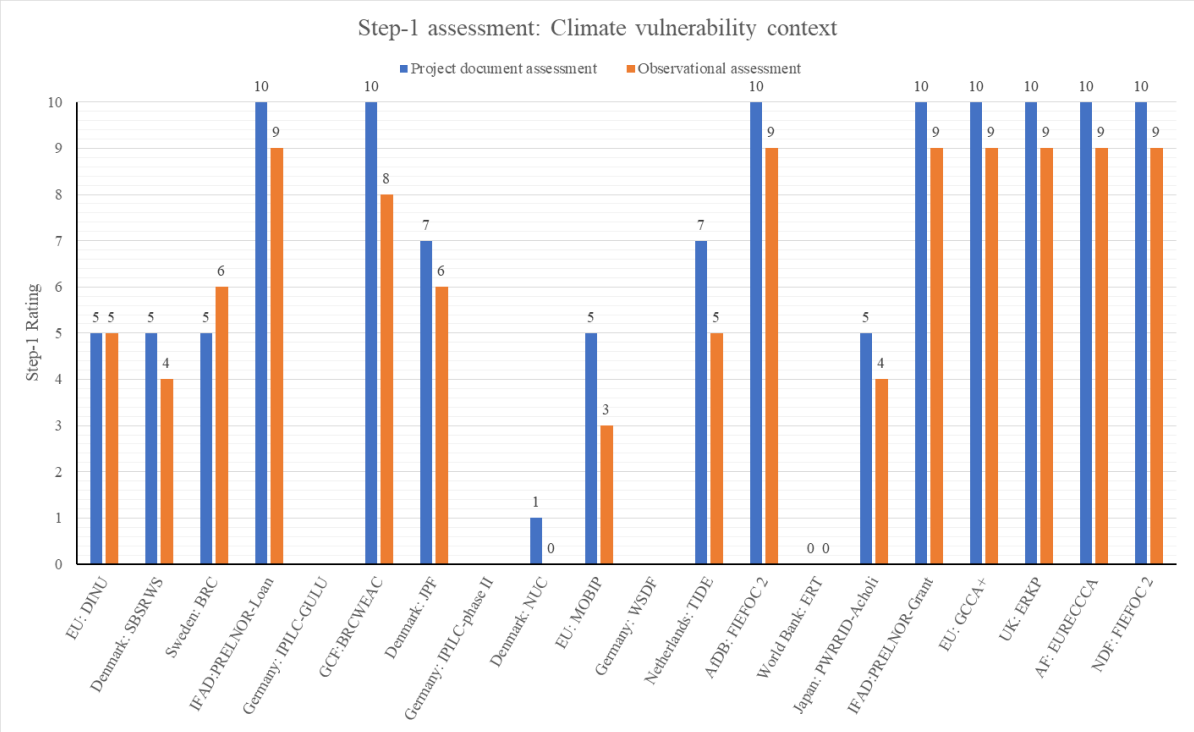

Figure 5: Analysis of climate vulnerability context - summary of project ratings

From the above results, half of the assessed projects (PRELNOR-loan and grant, BRCWEAC, GCCA+, ERKP, EURECCA, FIEFOC 2 loan and grant and EVBPCCC) largely contextualized climate change vulnerability as indicated by the high scores between 10 and 8 from both project document and observation. The project document assessed and observational results indicate that the projects clearly set the climate vulnerability context using evidence from existing literature such as the NAPA, 2007. For instance the EURECCCA project clearly contextualized climate risks such as floods, and landslides, PRELNOR, GCCA+, ERKP, and EVBPCCC contextualized risks such as drought while FIEFOC 2 contextualized floods and drought.

The DINU, JPF and TIDE project addressed nearly all aspects of the guiding questions though the local context was responding to another secondary objective such as food security and farm income, institutional capacity development and household nutrition respectively.

The PWRRID-Acholi and SBERWS projects scored 5 and 4 from the project document and observation respectively because they had another objective (water management and increased water supply in the rural areas respectively) that was largely informing their vulnerability context.

For the NUC, a score of 1 from the project document highlights that the project focused on minor elements of climate vulnerability context and the 0 rating from observation indicates that the project context did not consider the climate vulnerability in the area. The project mainly contextualized issues related to leveraging Northern Uganda's participation in economic development, poverty reduction, and other economic and development risks such as; regional insecurity. These issues do not have a direct correlation to the vulnerability context as desired by this category of assessment.

The Energy for Rural Transformation Phase III (ERT) was rated 0 because it contextualized issues of social economic transformation where access to electricity was critical to realize the shift as opposed to climate change vulnerability.

The Integrated Program to Improve Living Conditions in Gulu (IPILC), the Integrated Program to Improve Living Conditions in Gulu phase II (IPILC-Phase II) and Support to the Water and Sanitation Development Facilities projects (WDSF) were not assessed due to the confidentiality clause of the donor whose project documents were not in the public domain.

A primary finding that can be drawn from Step 1 analysis is that projects with high assessment ratings in the project document also have high assessment rating from observation indicating that the project clearly established the climate vulnerability context in the project area. Similarly, low assessment rating of the projects based on both project document and observation shows that climate vulnerability was not clearly contextualized. Small projects had higher scores in comparison to large projects because most of them were located in climate hotspots such as cattle corridor, Northern Uganda and Mountain ranges.

4.3. STEP 2: STATEMENT OF PURPOSE OR INTENT

The analysis for Step 2 was to assess whether climate change adaptation or resilience was a fundamental driver of the project's objective and whether the project objective and main strategy was in line with the government's climate change strategy/policy. The analysis of statement of purpose or intent and summary of project ratings is presented in figure 6 below.

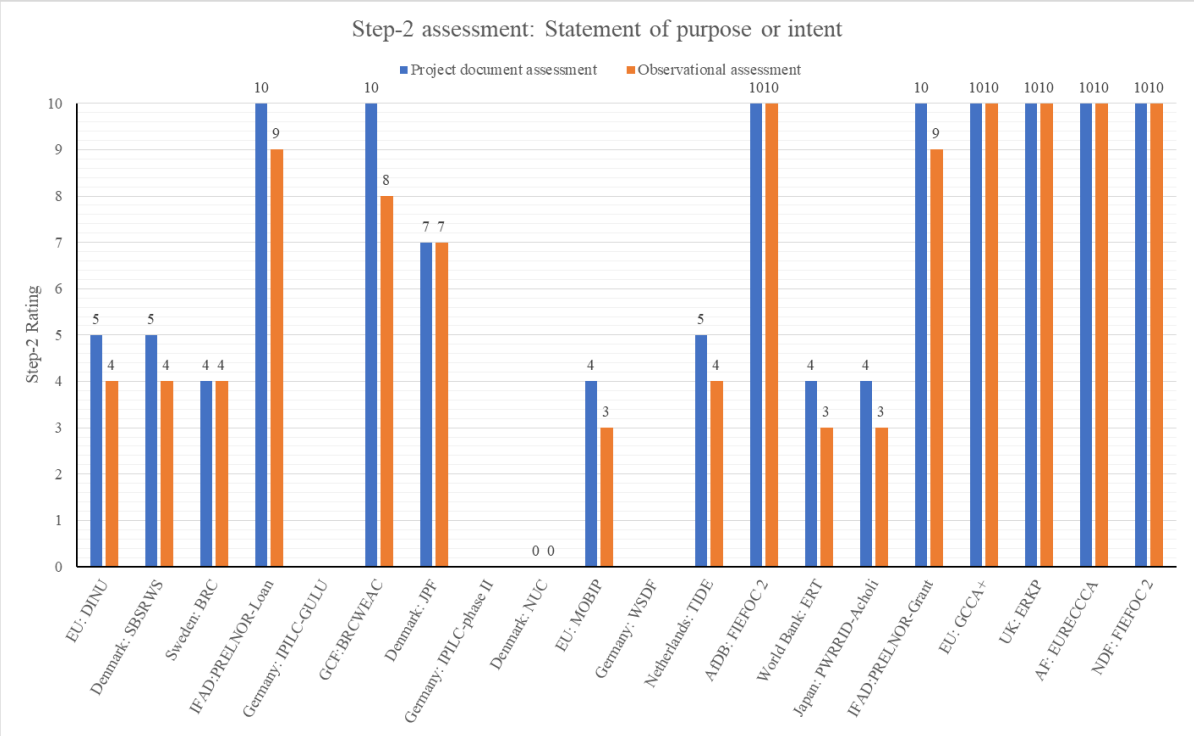

Figure 6: Analysis of statement of purpose or intent - summary of project ratings

From the above analysis, nearly half of the assessed projects (9) scored highly for both project document and observation assessment i.e. from 8 to 10, implying that climate change adaptation or resilience was the fundamental driver of the projects' objective. In addition, the projects maintained the Rio maker 2 for adaptation and the projects interventions were in line with the National Climate Change Policy 2015 whose objective is to ensure a harmonized approach towards a climate resilient and low carbon development path for sustainable development.

The Joint Partnership Fund (JPF) was rated 7 for both the project document and observation because it addressed nearly all aspects of the guiding questions but had a secondary objective on capacity development across the ministry structure which was indirectly contributing to climate change adaptation by providing an oversight role in policy formulation and implementation.

For DINU, SBSRWS, and TIDE there were similar rating of 5 and 4 from the project document and observation respectively because they only partly contributed to adaptation. The design for these projects was informed by another objective such as increased food security and nutrition for DINU and TIDE, and increased water coverage in rural areas and sanitation for SBSRWS though some of the strategies were in line with the National Climate Change Policy, 2015. This reflects the significant contribution of the projects to adaptation.

The ERT, BRC and PWRRID-Acholi projects/programmes were rated 4 for project document and 3 from observation because some of their main strategies were in line with the National Climate Change Policy and Strategy, though the projects had another principal objective such as mitigation for ERT project, capacity development for researchers in natural resources, social sciences and humanities for BRC project and improved water resource management for PWRRID-Acholi project.

The NUC was rated 0 for both project document and observation because its principal objective was anchored on poverty reduction "to increase resilience and equitable participation of Northern Uganda in the economic development of the country but not directly responsive to the goals of the National Climate change Policy 2015" as opposed to climate change adaptation hence the lack of relationship to adaptation.

Based on the analysis, projects with a clear climate vulnerability context also featured clear and fundamental objectives targeting climate adaptation or resilience, especially for the small projects.

4.4. STEP 3: CLEAR AND DIRECT LINK BETWEEN CLIMATE VULNERABILITY AND PROJECT ACTIVITIES

The analysis of Step 3 was to assess how well the implemented project activities were aligned to vulnerability and adaptation needs, how the interventions helped to improve the situation related to adaptation and whether the project was collaborating well with local institutions and other organizations working with adaptation efforts in the area. The analysis in Table 4 shows a summary of project ratings on the linkage between climate vulnerability and project activities.

The projects (BRCWEAC, EURECCA, FIEFOC 2 –Grant and loan, EVBPCCC, and TIDE) have the highest assessment rating score of 8 from project document, indicating that activities in the project document directly linked to the adaptation needs in the areas of project implementation. However, the slight difference in the assessment scores for BRCWEAC and EURECCCA is due to the delayed project implementation process due to the slow procurement process exacerbated by bureaucracy. For instance consultations on the EURECCCA project revealed that some of the major activities such as afforestation, distribution of energy cook stoves and establishment of the revolving fund had not been implemented. However the implementation is still at the early stages to justify the impact of the project in improving the situation of adaptation to climate change in the area.

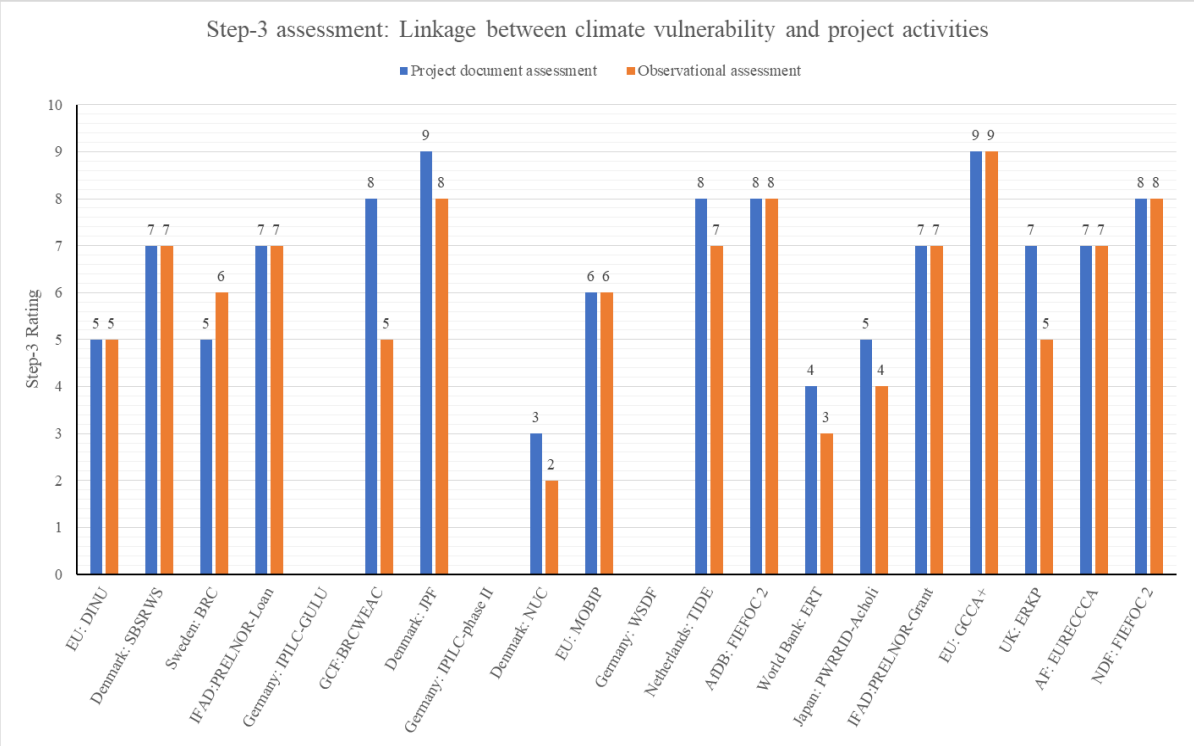

Figure 7: Analysis of the linkage between climate vulnerability and project activities - summary of project ratings

The PRELNOR projects introduced varieties of resistant crops to drought and diseases and also collaborated with other local institution working on adaptation in the area such as the Uganda National Farmers Federation and the National Agricultural Research Organization (NARO) hence a score of 7, however mission reports indicated issues of the slow procurement processes delaying actual implementation of all project activities.

The ERT project was rated 1 from project document and 0 from observation because very few activities were linked to adaptation, among which included; putting in place solar water pumping stations in the drought prone areas to access to water during drought. The project NUC was rated 3 from the project document and 2 from observation because it featured few activities contributing to adaptation such as training in resource efficient and climate resilient agriculture which would indirectly contribute to enhancing climate change adaptation.

4.5. CONSOLIDATED 3-STEP RATINGS

A consolidated rating from the three steps (figure 8) was generated to provide a picture on the degree of relevance of the project/programme to adaptation. This metric of relevance can be used as a coefficient, as with Rio markers, to adjust a project's climate-relevant budget to produce adaptation finance figures for each project/programme. From the assessment there was no significant difference between results based on the project document analysis and on observations by CSO Advisory group, highlighting some degree of consistence in what was presented in the project documents and on ground despite the implementation challenges.

The projects that scored 67% to 13% from project document and 57% to 7% from observation were those with Rio markers of 1 or "significant" adaptation objectives, while those that scored 97% to 80% from project document analysis and 93% to 77% from observational analysis were Rio marked 2 or principally

relevant to adaptation. Highlighting the large potential range of adaptation-relevance (and resulting adaptation finance figures) amongst projects with the same Rio marker allocations.

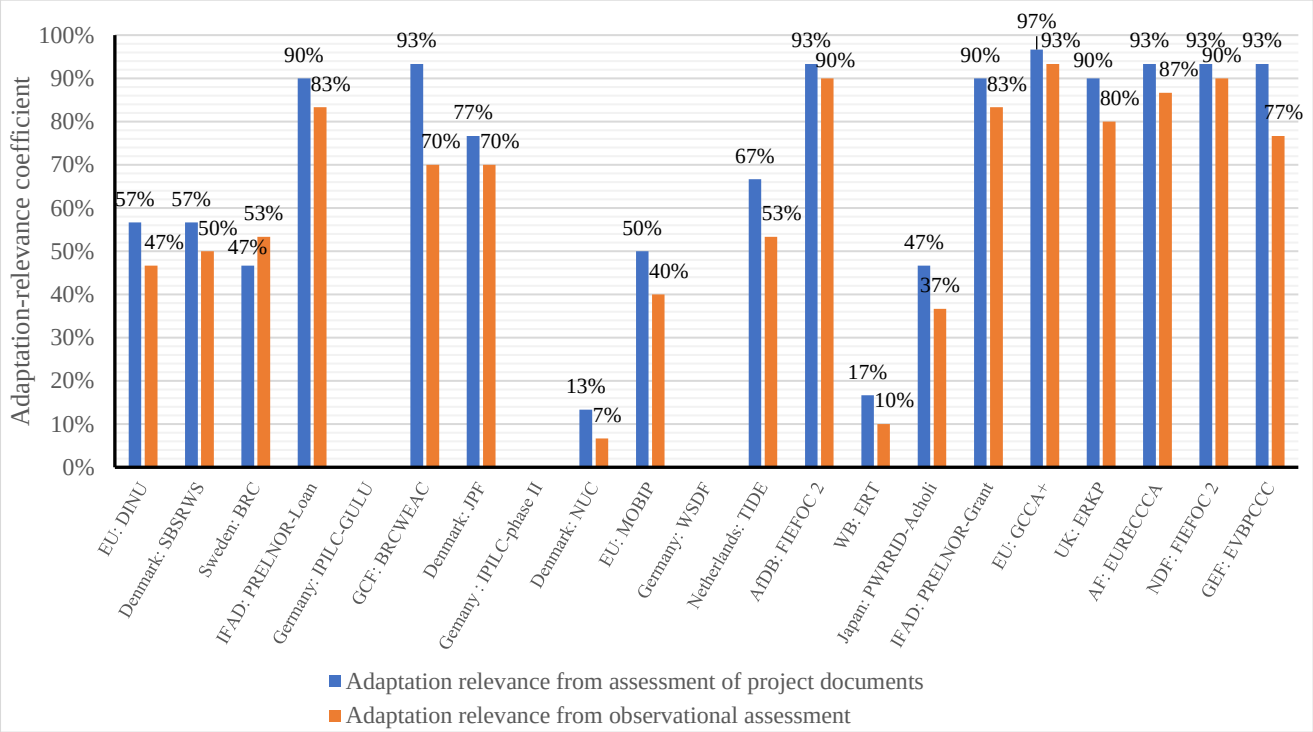

Figure 8: Assessed adaptation-relevance coefficients of projects - Consolidated 3-step rating results

4.6. COMPARISON OF DONOR AND ASSESSED ADAPTATION FINANCE TOTALS AND RIO MARKER ALLOCATIONS

Adaptation finance figures for donors using the Rio marker methodology have been calculated using their specific Rio marker 1 coefficients where possible, for donors without publicized coefficients a value of 40% has been applied. Resulting in a 40% coefficient for Rio markers of significant (1) for projects provided by the EU, Netherlands, Sweden and Norway, or 50% for projects provided by Germany, Denmark and Ireland, with a 100% coefficient consistently applied for adaptation projects with principal Rio markers of 2. The adaptation related finance from project/programme project document assessment and observational assessment were calculated using the consolidated 3-step ratings resulting from the 3-step approach outlined in figure 8 above.

Table 2 below; shows a comparison of reported and assessed adaptation figures.

The adaptation-relevant finance reported by donors to the OECD was 236.4 million USD. In comparison, the estimated adaptation-relevant finance based on the assessment team's observational analysis and analysis of project documents ranges from 240.0 to 270.1 million USD, representing 48% and 55% respectively. Indicating relatively strong agreement between reported and assessed totals.

Our analysis initially indicates that the majority of the discrepancy between reported and assessed adaptation finance is being caused by donor under-reporting, with a smaller degree of over-reporting also occurring. However, these figures are primarily a result of innacurate Rio marker allocations assigned to three large projects: the EU's DINU project and Denmark's SBSRWS and JPF projects.

Project Name	Rio markers		Financial commitments reported to OECD (million USD)		Assessed adaptation-related commitments (million USD)	
	Adaptation	Migiation	Climate-related finance	Adaptation-related finance	From project document assessment	From observational assessment
EU: DINU	1	1	146.9	29.4	78.3	68.5
Denmark: SBSRWS	2	2	43.9	21.9	24.9	21.9
Sweden: BRC	1	0	32.7	13.1	15.2	17.4
IFAD:PRELNOR-Loan	2	0	45.1	45.1	40.6	37.6
Germany: IPILC-GULU	1	0	25.8	12.9	not assessed	not assessed
GCF:BRCWEAC	2	0	24.1	24.1	22.5	16.9
Denmark: JPF	2	2	20.8	10.4	15.9	14.5
Germany: IPILC-phase II	1	0	19.9	10.0	not assessed	not assessed
Denmark: NUC	1	1	20.9	4.2	2.6	1.3
EU: MOBIP	1	1	16.6	3.3	8.3	6.6
Germany: WSDF	1	0	11.4	5.7	not assessed	not assessed
Netherlands: TIDE	1	1	10.6	2.1	7.0	5.6
AfDB: FIEFOC 2	n/a	n/a	10.1	7.1	9.4	9.0
WB: ERT	n/a	n/a	15.2	0	2.6	1.5
Japan: PWRRID-Acholi	2	0	9.3	9.3	4.3	3.4
IFAD:PRELNOR-Grant	2	0	9.0	9.0	8.1	7.5
EU: GCCA+	2	1	8.8	8.8	8.5	8.2
UK: ERKP	2	2	7.9	3.9	7.1	6.3
AF: EURECCCA	2	0	7.8	7.8	7.0	6.7
NDF: FIEFOC 2	2	1	5.8	5.8	5.4	5.2
GEF:EVBPCCC	2	0	2.5	2.5	2.4	1.9
Totals			**495.1**	**236.4**	**270.1**	**240.0**
			Over-reporting		**15.2**	**27.9**
			Under-reporting		**75.0**	**59.2**

Table 2: Comparing reported and assessed adaptation finance figures. Donor Rio marker coefficients for policy makers of "significant" have been used as specified by each donor, where appropriate. Assessed adaptation-relevant commitments are calculated by multiplying reported total climate-related commitment values by the adaptation relevant coefficients presented in Figure 8.

These commitments were reported with equal mitigation and adaptation Rio markers, resulting in them being defined as cross-cutting projects, where half of the total climate-related commitment is reported as adaptation finance, and the other half mitigation finance. Our analysis shows no evidence of adequate mitigation objectives in these projects to warrant these half of the budget being considered as mitigation finance, and also down-grades the Danish project's adaptation objective from being the project's primary ("principal") objective, to one of many ("significant"), i.e. it reduced the adaptation Rio marker from 2 to 1.

As original donor reporting for these two projects essentially reduces the level of reported adaptation finance by allocating some of the commitment value to mitigation objectives, when comparing against our assessed figures we initially show large under-reporting amounts.

The EU's DINU project has Rio marker allocations of "significant" (1) for both mitigation and adaptation objectives. Under the EU's methodology, such Rio marker allocations would results in 20% of the total climate-related commitment value being reported as both adaptation and mitigation finance. Our analysis finds little evidence, apart from limited and single reference to the potential benefits of emissions mitigation through inter-cropping, to suggest that this project significantly targets climate change mitigation. If the mitigation Rio marker is removed as we suggest here, the project is redefined as purely an adaptation, rather than cross-cutting, project. This would increase the adaptation finance reported by the EU from 20% of the total climate-related commitment to 40% (and reduce the mitigation-relevant portion from 20% to 0%). Ultimately, this simple change reduces our analysis' under-reporting figure by 9.8-29.4 million USD, in observational and project document analysis, respectively, and creates more parity between reported and assessed finance totals.

Similarly, the Danish SBSRWS and JPF projects were also reported as cross-cutting with "principal" Rio markers of 2 for both mitigation and adaptation objectives. Our assessment again shows that these Rio marker allocations are unjustified and result in a significant miss-reporting of the climate-related commitment as 50% adaptation and 50% mitigation. The assessment team's observational analysis and analysis of project documentation indicates that adaptation is one of multiple objectives in the SBSRWS project, meaning the adaptation marker should be reduced from 2 to 1, with the main objective of the project being rural community access to water resources. As outlined above, the team finds no evidence that climate change mitigation is an objective of this project. The JPF adaptation Rio marker can be considered accurate.

Our analysis finds that the mitigation markers given to the aforementioned EU and Danish projects should be amended to 0. Furthermore, due to the current cross-cutting climate finance accounting methods outlined above, these projects are found to have simultaneously over-reported mitigation finance and under-reported adaptation finance. The value of under-reported adaptation finance resulting from these three Rio marking errors is assessed to total 57.4 million USD, or 76% of the total under-reporting figure of 75 million USD.

In table 3 below, the team suggests that the mitigation Rio markers from these projects be removed, redefining them as purely adaptation, rather than cross-cutting projects. Furthermore, the team suggests reducing the SBSRWS Rio marker from 2 to 1. After making these changes and re-calculating the adaptation finance totals, following each donor's Rio marker methodology, their contribution to under-reporting totals is reduced to 22.5 million USD. Furthermore, the recalcuation also produces an additional 4.9 million USD of over-reporting – arising from the Danish JPF project.

Ultimately our assessment revealed that Rio marker methods to calculate climate finance figures often over and under report the adaptation-relevant portion of a climate commitment due to the rigidity of the calculations. However, in aggregate, our analysis shows that adaptation finance received in Uganda is not significantly inaccurate. Sweden reported 13.1 million USD of adaptation finance to the OECD for its compared to the 2.4 million USD allocated to the two projects directly contributing to adaptation in the programme document.

Table 3 below summarizes the Rio markers for adaptation and policy makers for gender equality, while making a comparison between those that were reported and assessed. The OECD's Annex 18 handbook on

Rio Markers was used to determine qualification criteria for a particular project's Rio markers due to the extensive guidance it provides by sector[4].

Project Name	Adaptation Rio marker		Mitigation Rio marker		Gender equality marker	
	Donor	Assessed	Donor	Assessed	Donor	Assessed
EU: DINU	1	1	1	0	1	1
Denmark: SBSRWS	2	1	2	0	1	1
Sweden: BRC	1	1	0	Not assessed	1	1
IFAD:PRELNOR-Loan	2	2	0	Not assessed		1
Germany: IPILC-GULU	1	Not assessed	0	Not assessed	1	Not assessed
GCF:BRCWEAC	2	2		Not assessed	1	1
Denmark: JPF	2	2	2	0	1	1
Germany: IPILC-phase II	1	Not assessed	0	Not assessed	1	Not assessed
Denmark: NUC	1	0	1	Not assessed	1	1
EU: MOBIP	1	1	1	1	1	1
Germany: WSDF	1	Not assessed	0	Not assessed	1	Not assessed
Netherlands: TIDE	1	1	1	Not assessed	1	1
AfDB: FIEFOC 2	n/a	n/a	n/a	n/a	n/a	1
WB: ERT	n/a	n/a	n/a	n/a	n/a	1
Japan: PWRRID-Acholi	2	1	0	Not assessed	1	1
IFAD:PRELNOR-Grant	2	2	0	Not assessed		1
EU: GCCA+	2	2	1	Not assessed	n/a	1
UK: ERKP	2	2	2	Not assessed	1	1
AF: EURECCCA	2	2		Not assessed		1
NDF: FIEFOC 2	2	2	1	Not assessed	1	1
GFF:EVBPCCC	2	2	0	Not assessed		1

Table 3: Policy marker assessment - comparison of reported and assessed Rio and gender equality markers

From the assessment, 14 out of the 18 projects/programmes reported adaptation Rio markers by donors to the OECD-DAC that were consistent with the assessed adaptation markers, and only 3 projects/programmes adaptation markers were re-classified. This shows that finance providers policy guidance in context of application of Rio markers has improved over time[5]. However, Rio makers are still arguably unsuited to calculate climate finance totals.

The projects/programmes whose adaptation markers were reclassified included: (1) the Sector Budget Support for Rural Water Supply (SBSRWS) from 2 (Principal) to 1 (Significant); (2) Provision of Water Resource for Resettled Internally Displaced Persons in Acholi Sub-Region (PWRRID-Acholi) from 2 (Principal) to 1 (Significant); and (3) Recovery and Development in Northern Uganda (NUC) from 1 (Significant) to 0 (Not relevant). Using the examples from DCD/DAC(2016) Annex 18: Rio Markers, the

[4] *https://www.oecd.org/dac/environment-development/Annex%2018.%20Rio%20markers.pdf - pages 11-32*

[5] Donor countries use the Rio markers as a basis for calculating the amount of climate finance; Annex 18 about Rio markers; available at: *https://www.oecd.org/dac/environment-development/Annex%2018.%20Rio%20markers.pdf*

SBSRWS project was reclassified because the fundamental driver of its objective was to increase water coverage in the rural areas as opposed to promoting resilience or adaptation; this was also similar for the PWRRID-Acholi project. The NUC was reclassified to 0 because its primary objective was not related to adaptation but rather to economic transformation of the Northern Region. The ERT though unmarked, it was found not be related to adaptation but rather to mitigation as seen from its objective "to increase access to electricity in rural areas of Uganda and reduce greenhouse gas emissions. Implemented in the rural areas of Uganda"

5. ANALYSIS OF POVERTY ORIENTATION, GENDER AND THE JOINT PRINCIPLES FOR ADAPTATION

5.1. POVERTY ORIENTATION

This next section of the assessment aims to determine the performance of the selected projects with regards to poor communities, and levels of project orientation towards poverty reduction within their design and implementation. Four guiding questions directed the poverty assessment, each measured using the 10-point scale utilized in the 3-step adaptation assessment for consistency. The scores for each assessment variable were summed, with a highest possible score of 40. The guiding questions looked to determine the levels of: i) poverty orientation within the project design; ii) prioritization of poor communities, regions, or ethnic groups; iii) the application of Human Rights Based approaches; and iv) evidence of poverty orientation in project implementation.

Poverty assessment was conducted using information contained in the project document and supported by the existing poverty maps and National Household survey reports to check and establish the extent to which the project targeted poor communities. This was based on the extent of poverty analysis in the project document and at observation, orientation to poor communities, and application of the Human Rights Based Approach ranked on a scale of 0-40. Table 4 summarizes findings of the poverty orientation assessment.

All the assessed projects/programmes were found to be poverty oriented, mainly because they were implemented in the poorest regions of the country and either their objectives or activities directly or indirectly aimed at reducing poverty and increasing the incomes of the population in the project/programme areas (see table 1). The assessed projects were located in the poorest regions of the country i.e. North, North East, East and Southern parts which according to the Uganda National Household Survey Report 2016/17 and the Poverty map (UBOS, World Bank and UNICEF, 2018) have the highest poverty rates while others like SBSRWS targeted the rural areas. From field observations and consultations, it was indicated that projects such as the EURECCCA would directly contribute to poverty reduction through enhanced crop production resulting from water and soil conservation, leading to increased income. The GCCA project activities such as construction of the water dam in Luwero district facilitated irrigation activities and provided water for both consumption and production hence enhancing the community livelihoods while the NUC and PRELNOR had particular components on promoting market access through infrastructure development like roads.

Project Name	Poverty orientation assessment rating (0-40)
EU: DINU	35
Denmark: SBSRWS	31
Sweden: BRC	38
IFAD:PRELNOR-Loan	38
Germany: IPILC-GULU	
GCF:BRCWEAC	37
Denmark: JPF	31
Germany: IPILC-phase II	
Denmark: NUC	37
EU: MOBIP	38
Germany: WSDF	
Netherlands: TIDE	38
AfDB: FIEFOC 2	37
WB: ERT	35
Japan: PWRRID-Acholi	34
IFAD:PRELNOR-Grant	38
EU: GCCA+	38
UK: ERKP	35
AF: EURECCCA	30
NDF: FIEFOC 2	37
GFF:EVBPCCC	37

Table 4 : Poverty orientation - summary of project ratings

From the above analysis, the ratings indicate that all projects/programmes were poverty orientated due to location, objectives and interventions that were directly or indirectly targeting the poor people, while other projects/programmes (ERKP, DINU etc.) targeted ethnic minorities in Karamoja, vulnerable and disadvantaged communities in Uganda. Additionally most of the projects were responsive to some of the HRBA principles, for example, accountability and rule of law, equality and non-discrimination, participation and inclusion. Projects provided for engagement of project beneficiaries - men and women through common platforms that facilitated information sharing on the project/programme. For example under catchment management committees by the EURECCCA project among others.

5.2. ASSESSMENT OF GENDER

This section presents the results from the assessment of gender within the selected projects, and aims to assess a project's effectiveness in mainstreaming gender into its design and implementation, or successfully involving transformative activities regarding gender equality within its design and implementation. As with the poverty analysis, there were four guiding questions leading the assessment, each measured using the 10-point scale. The scores for each assessment variable was summed, with a highest possible score of 40. The guiding questions sought to determine the project's orientation towards gender sensitivity by determining whether: i) the project was informed by an anlysis of gender differences; ii) the project was planned with indicators that imply the collection and analysis of both sex and age disaggregated data; iii) the project attempts to meet the distinct needs of different genders; and iv) the

project's interventions ensure the meaningful participation of different genders. CARE's gender analysis framework has been applied to assess the projects which critically appraises the degree of gender equality in the projects.

Men, boys, girls and women in society play different roles, their distinct needs and capacities in society are different, hence their exposure to risks and vulnerabilities to climate is also different. Parties to the United Nations Framework Convention on Climate Change and the Paris Agreement recognize the importance of incorporating gender equality aspects into adaptation flows. Furthermore, Parties acknowledged that adaptation actions should follow a country-driven, gender-responsive, participatory and fully transparent approach.

Based on the analysis of the OECD-DAC data, adaptation defined projects with an accompanying gender equality marker increased throughout the period analyzed, to a peak in 2016 with 66%, compared to an initial low of 47%. On average 56% of adaptation projects in the period have a gender equality marker of 1 or 2. However, the proportion of adaptation projects with a gender marker of 2 ("principal" objective) did not reach the initial high of 10% in 2013 over the study period while 2015 saw no adaptation projects with a gender marker of 2.

The value of adaptation-related commitments with a gender marker totals 139.7 million USD for the period, making up some 57% of total adaptation-related commitments received in Uganda.

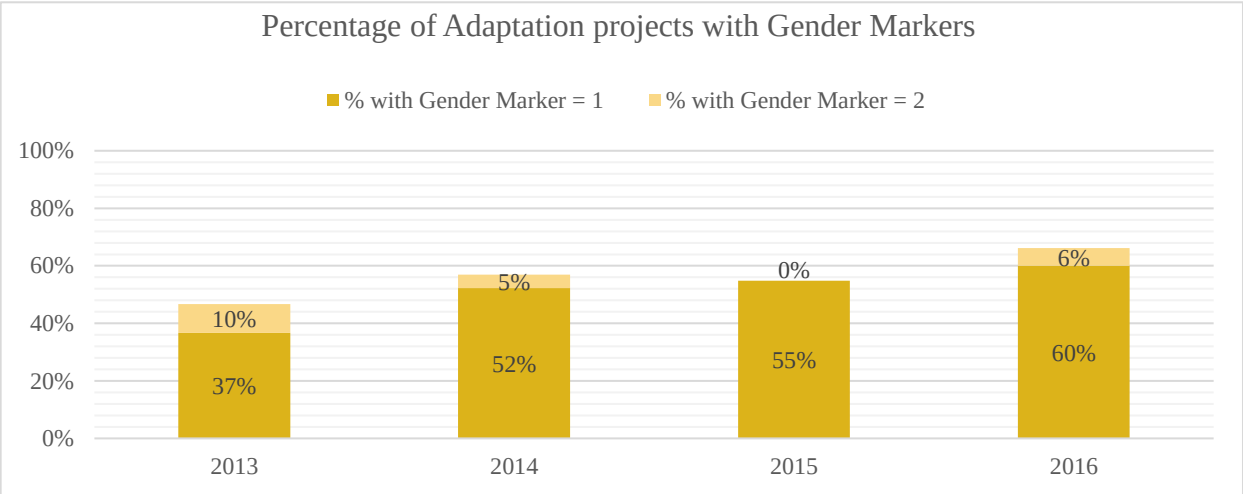

Figure 9: Percentage of projects with a Gender Equality marker of either 1 or 2 broken down by year

The assessment of Gender Equality in this report was informed by the OECD-DAC Gender Equality Policy marker Handbook[6] together with CARE's Gender Marker[7] along the CARE Gender Continuum from harmful to transformative, see below and figure 10 for information.

[6] https://www.oecd.org/dac/gender-development/Handbook-OECD-DAC-Gender-Equality-Policy-Marker.pdf

[7] https://insights.careinternational.org.uk/images/in-practice/Gender-marker/CARE_Gender-Marker-Guidance_new-colors1.pdf

NOT TARGETED (SCORE 0):	The project/programme has been screened against the marker but has not been found to target gender equality.
SIGNIFICANT (SCORE 1):	Gender equality is an important and deliberate objective, but not the principal reason for undertaking the project/ programme.
PRINCIPAL (SCORE 2):	Gender equality is the main objective of the project/ programme and is fundamental in its design and expected results. The project/programme would not have been undertaken without this gender equality objective.

Source: Gender Marker Handbook

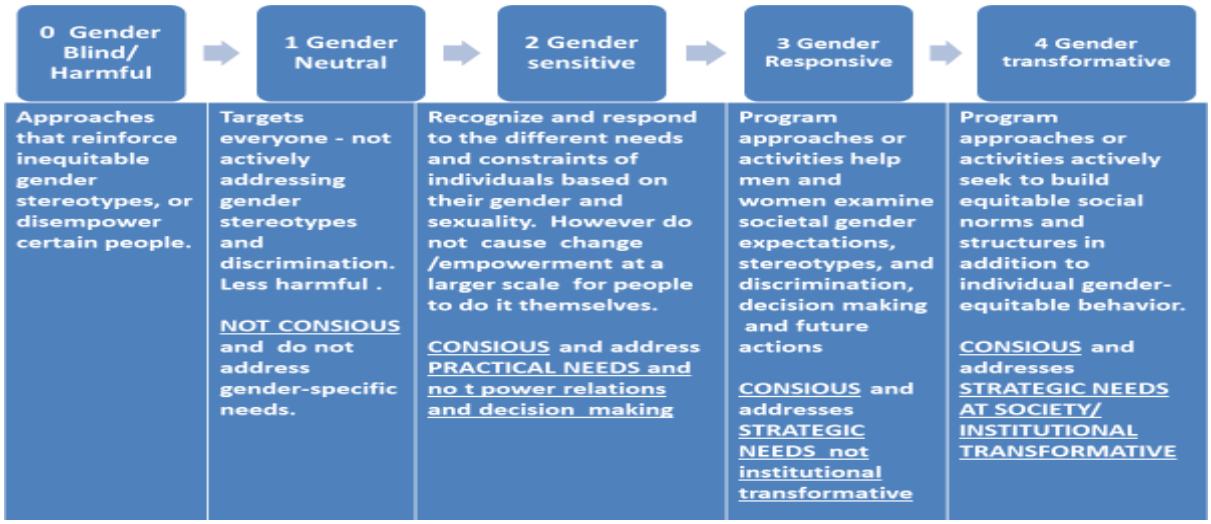

Figure 10: CARE's Gender marker continuum

The grading of the projects was based on the OECD Gender Marker scores, whilst the CARE gender continuum informed the reason for the score. For example, Projects that were gender harmful and neutral would fall in Gender Marker 0 (not targeted), projects in the category of gender sensitive would score gender equality markers of 1 (significant) and projects that were responsive and/or transformative would score gender equality markers of 2 (principal). A summary of ratings is shown in Table 5.

Accordingly, all assessed projects were leaning towards gender sensitive and were rewarded Gender Marker 1. Most of them were gender conscious, although some had no deliberate gender analysis to inform the overall goals and targets of the projects, despite project activities tending to target directly women, children as primary beneficiaries based on some adhoc analyses of gender differences for men and women and provided interventions promoting gender inclusion, and gender mainstreaming. These projects made huge impacts on people's lives through provision of gender practical basic needs to women, children and men with clear performance indicators to track number of women benefiting and other disaggregated data by sex. Evidence was seen in some progress reports with results of disaggregated data by sex of beneficiaries. For instance the FIEFOC project targeted a specific fraction of participation of men, women and youths in project implementation; development of gender guidelines to support women participation community committees on micro financing and gender mainstreaming in the project was of 165,525 USD. The DINU project provided a gender criterion to actively engage women and contribute to their economic and social empowerment by focusing thematically on various challenges to women's empowerment and through their direct participation. The GCCA+ listed indicators to inform the collection and analysis of both sex and age disaggregated data.

Project Name	Gender integration assessment rating (0-40)
EU: DINU	35
Denmark: SBSRWS	28
Sweden: BRC	20
IFAD:PRELNOR-Loan	33
Germany: IPILC-GULU	
GCF:BRCWEAC	35
Denmark: JPF	28
Germany: IPILC-phase II	
Denmark: NUC	23
EU: MOBIP	16
Germany: WSDF	
Netherlands: TIDE	30
AfDB: FIEFOC 2	36
WB: ERT	20
Japan: PWRRID-Acholi	13
IFAD:PRELNOR-Grant	33
EU: GCCA+	36
UK: ERKP	23
AF: EURECCCA	31
NDF: FIEFOC 2	36
GFF:EVBPCCC	36

Table 5: Gender integration - summary of project ratings

The BRCWEAC project by GCF contained a proposed gender action plan for responsive gender actions in order to close the gaps in equality. This is a good criterion that can be adopted by project developers and financiers to effectively close the gender equality gap.

According to the assessed EURECCCA project document, the project considered women participation in the catchment management committees which was also justified by observational assessments. For instance one of the Women representatives in Rukiga was appointed to serve on the Water Catchment Management Committee, in addition to the District Natural Resources Officer of Ntungamo who was also a female. EURECCCA Parish committee had two women representatives in leadership positions i.e. chairperson and treasurer while TIDE had new cooperative managers and accounts positions occupied by women/girls (5-women treasurers, 4- deputy chairpersons, 6 female managers and 4 female accountants) and promoted family farm business to include women and children in the farming busines. However it was indicated that there was an imbalance of men and women representation in the committees, largely due to the limited capacity by women to influence decisions.

The ERKP project highlighted having equal access to food and right to nutrition by lactating women, children and pregnant women. The NUC project stressed the need to reduce the disparities through the youth and women participation in the formation of farmer groups, with a minimum of 50%. Much as these activities improved women's status economically, and eased access to resources, targeting women in

isolation of men, may not reduce gender inequalities. Such approaches do little to change the larger contextual issues and root causes of gender inequalities.

Despite the projects being gender responsive, there is inadequate understanding of gender in relation to climate change adaptation and how far gender analysis should go into adaptation planning, implementation and tracking progress. Projects are limited to number of women, children and men participating. The core aspects of gender dynamics are not analyzed like the long term and systemic structural entrenched discriminatory structural constraints /cultural/gender norms and attitudes that hinder women´s access and ownership to resources especially production assets, unequal division of labour and inequitable decision-making, that inhibit adaptation technologies.

The analysis revealed 316,483 thousand USD adaptation finance that was gender integrated according to the donor gender marker and 231,130 thousand USD according to the assessment, indicating a discrepancy of 85,354 thousand USD (27%). The minimal discrepancy of 27% indicates that the projects/programmes were gender responsive and their budgets were gender focused.

5.3. JOINT PRINCIPLES FOR ADAPTATION (JPA)

The Joint Principles for Adaptation (JPAs) are a statement by civil society organizations from Africa, Asia and Latin America on what to consider to be benchmark for good adaptation planning and implementation. They were developed between 2014-2015 under the project Southern Voices on Adaptation. Each of the 7 principles has separate criteria to determine its responsiveness.

The assessed projects/programmes responded to at least one of the JPAs except for ERT (not an adaptation project) thus indicating the relationship of the projects/programmes with JPAs. The projects were strong on principle F – appropriate investment in building skills and capacities for adaptation, as well as in physical infrastructure. Over 13 projects responded to all the 4 criteria under principle F – adequate resources are made available to: improve institutional effectiveness, and raise public awareness and education; empowerment of individuals and communities and investment plans contains targets for developing human capacities, natural capital, and physical infrastructure. Projects aimed at development of capacities for adaptation and investment in the development of infrastructures such as dams, bench terraces, boreholes, and water conservation channels among others. The projects included PRELNOR-Loan and grant, BRCWEAC, and EURECCCA, GCCA+, ERKP, and FIEFOC 2, grant and loan, DINU and PWRRID-Acholi. Projects such as the NUC were found to be weak in relation to the JPAs.

	Not good	Moderate	Good
A. The formulation, implementation and monitoring of the (selected) adaptation project is participatory and inclusive.	3	6	9
B. Funds for the adaptation project are utilized efficiently, and managed transparently and with integrity.		2	3
C. Government sectors and levels of administration (related to the adaptation project) have defined responsibilities and appropriate resources to fulfil them.		7	12
D. The adaptation project is developed through approaches that build resilience of communities and/or ecosystems.	2	4	11

E. The resilience of target groups who are most vulnerable to climate change is promoted.	1	7	9
F. The adaptation project has an appropriate investment in the building of skills and capacities for adaptation, as well as in physical infrastructure.	2	2	13
G. The adaptation project responds to evidence of the current and future manifestations and impacts of climate change.	1	5	11
Total	**9** **Not good (Max = 126)**	**33** **Moderate (Max = 126)**	**68** **Good (Max = 126)**

Table 6: Project ratings against the JPAs

It is important to note that the assessment did not analyze all projects with regards to the principle related to efficiency of funds utilization due to lack of granular information related to levels of disbursements and expenditures.

6. STORIES ABOUT ADAPTATION PROJECTS

Field visits to Kabale, Ntungamo – representing highland areas and Luweero district local governments – representing cattle corridor/semi-arid areas were conducted.

Bench terraces in Kanyante village, Kabale District

Water Percolation pit in Kanyante village, Kabale District

Water harvesting channels in Kanyante village, Kabale district

A Cross section of a water supply system in Kavule village, Kikyusa Sub County in Luweero District, left is the dam and right is the water tank. © Photo by EMLI

Based on feedback from beneficiaries from Kanyante village, Kibuga Parish, Rubaya sub-county in Kabale district in the Upper Maziba sub Catchment area and Sulakomo in Namanoga zone, Kikyusa Sub-county

and Kittanswa Kaswa parish Kamira sub-county in Luweero district, the projects were found to be responsive to the climate vulnerabilities of the respective locations.

"Farmers are confident that they can yield results from their crop harvests due to reduced crop losses." Said Rev Ruben Byomuhangi, the Programme Coordinator Water and Sanitation Programme, Kigezi Diocese.

"The project has reduced the effects of climate change leading to increased crop yield, reduced water scarcity, and reduced death of cattle during the dry spell" said Mr. Posiano Lubadde, Chairperson Water Management Committee – Sulakomo dam in Kikyusa.

Based on the Participatory Assessment on Climate Change and Disaster Risk Reduction approach, beneficiaries informed that the projects actively engaged communities. Specifically in Kabale district, communities identified and actively practiced adaptation mechanisms such as excavation, construction of bench terraces, rehabilitation of ridge rows and planting multipurpose trees to reduce the effects of floods and soil erosion. The involvement of faith based organizations, for example, Kigezi Diocese, catalyzed community acceptance and in-kind contribution during the implementation of resilient agricultural landscapes to floods. Other actions where communities actively contributed included; construction of bench terraces, water harvesting and conservation channels and percolations pits. Such actions reduced the force of water surface run off, promoted water retention, and improved crop productivity whilst collectively controlled soil erosion and degradation.

In Luweero district, a water supply system (dam and water tank) in Kavule Village to serve Wankanya Parish was constructed to mitigate effects during dry spells, though intended for the community of less than 500 people, the system currently serves beyond its capacity - whole Sub-county of over 1500 people are collecting water from the tank. Innovatively, a sustainability plan was put in place, and water users pay a monthly fee of Uganda shillings 1000 equivalent to USD 27 cents to cater for maintenance. However, it is very small to meet the costs of maintenance and repairs. Positively, women engage in vegetable growing – egg plants, sour tomatoes and bitter greens and consequently increasing their income and diversifying livelihoods.

However, some challenges were encountered, for example in Kabale and Ntungamo districts, delays in procurement of supplies and services have not only affected the impact of the interventions but also the level of in-kind commitment by communities. Specifically, the limited facilitation for community members in terms of meals has affected their involvement in the construction of bench terraces. Generally, interventions have significantly contributed to awareness raising and thus enabled wetland restoration through voluntary relocation of communities that used to settle in wetlands such as Nyakahita wetland and consequently leading to improved water quality.

For Luweero, the project investments such as dams and valley tanks were not regularly maintained due to limited follow-up by the district local government and male domination in decision making structures of the water user committee, thus limited attention of keeping under review the investments due to competing demands.

Among the key follow-up actions to be effected were; expedition of procurement of project supplies and services to avoid missing planting seasons, scaling- up project interventions such as soil and water conservation measures to the neighboring communities, development of bye-laws to encourage proper utilization and management of investment and ensuring women and youth representation in project management structures.

7. LIST OF ANNEXES

ANNEX A: METHODOLOGY FOR THE RESEARCH (BRIEF VERSION)

The methodology for this research study builds on the initial research guidelines produced by INKA Consult together with CARE for the purpose of tracking adaptation finance. It is only related to tracking adaptation finance from international donors and not domestic finance relating to climate change expenditures.

Based on the guidelines an assessment team and advisory group were formed to conduct the research. The advisory group consisted of individuals and experts working on climate change, and those familiar with climate finance. It also consisted of member organizations to draw on the widespread experiences of the CSO network organizations from varying sectors.

The adaptation (and mitigation) relevance of a development project is assigned by most donors by allocating a 'Rio marker' to a project of 0, 1 or 2 to indicate an objective was "not targeted", a "significant" objective, or a "principal" objective, respectively. A "significant" marker would indicate adaptation and/or mitigation objectives are explicitly stated but not the fundamental driver or motivation for undertaking and designing the activity. Whereas a "principal" marker shows that the objectives are explicitly stated as fundamental in the design of, or the motivation for, the activity. Additionally, donor countries have the obligation to inform at project level about policy markers for gender equality.

Rio markers are applied to relevant projects by all developed country providers of ODA and climate finance, and also by multilateral organisations other than the MDBs. Importantly these Rio markers are the basis for the calculation of international flows of climate finance using the so-called 'Rio marker method' of climate finance accounting – which is utilized by all providers excluding the US, UK and MDBs. Through the Rio marker method, Rio markers of 2 result in 100% of a project's developmental budget being considered as climate finance, whilst Rio markers of 1 result in lower coefficients being used by almost all donors to report only a portion of the project's budget as climate finance. Where projects are assigned both mitigation and adaptation markers, i.e. cross-cutting projects, a variety of climate finance accounting methods are used by different donors to determine levels of provided climate finance going to each objective.

Whilst bilateral and some multilateral donors report Rio markers to the OECD, this is not the case with the MDBs who have their own "climate components" method of calculating the climate finance resulting from their projects. The method is published, in part, in their annual Joint Report on Multilateral Development Banks' Climate Finance and Common Principles for Climate Change Adaptation Finance Tracking documents. The method results in a granular percent figure indicating the climate-relevance of a given project, and the portions of its budget going towards adaptation and mitigation budgets. For adaptation finance, the amounts reported by the MDBs are only the incremental cost of adaptation within the project.

Due to the limitations of international estimates of climate finance when calculated using a simple and limited set of coefficients relating to combinations of Rio markers, our approach, outlined below, builds on and adapts existing methodologies such as the MDBs. Allowing assessments to produce adaptation finance figures and assess the relevance and quality of an adaptation project's activities.

To assess a selection of adaptation projects, the quality of their activities and resulting accuracy of their reporting the team selected 21 projects for assessment, including the 10 largest reviewed over the period in Uganda. The team then followed a multi-step process, which drew on a compilation and analysis of international climate finance flows to Uganda. The methodology follows a 3-step approach analysis informed by the MDB's jointly agreed "Common Principles for Climate Change Adaptation/Mitigation Finance Tracking" to assess the adaptation-relevance of development projects, which includes 3 guiding strands, or steps:

1. Climate vulnerability context: How well does the project set out the context of risks, vulnerabilities and impacts related to climate variability and climate change?
2. Statement of Purpose or Intent: Is the intent of the project to address the identified risks, vulnerabilities and impacts related to climate variability and climate change?
3. Link to Project activities: Is there a demonstrated direct link between the identified risk, vulnerabilities and impacts, and the financed activities?

Project activities were rated based firstly on the project documentation, and, where possible, also by the collective observations of the Assessment Team and collaborating CSO networks. These two sources of evidence resulted in two strains of analysis. In this way, a comparison between the planned and actual initiatives can be established and used to inform our analysis of the quality of adaptation activities.

A rating scale of 0-10 was applied to assess how strongly the project performs against each of the three analysis steps. With 0 being the lowest rating, indicating the project does not at all address the guiding questions and 10 being the highest rating which indicates the project fully address all aspects of the guiding questions. The resulting project rating after the 3-step analysis was then used to produce an adaptation-relevance coeffient, as pesented in Section 4.5, which allows the calculation of adaptation finance figures from a project's total climate finance figure. Allowing the comparison of this report's assessed adaptation finance figures with those reported by the donors themselves to the OECD-DAC.

The assessment team then selected 21 projects for analysis using this method. The following criteria were used to select the projects:

i. The ten largest adaptation projects by budget (including any of the top-ten largest adaptation projects chosen within the initial 3-project assessment), with the inclusion of multilateral development bank (MDB) funded projects.
ii. Ten other complementary adaptation projects (including the two chosen for the initial assessment). When choosing complementary projects, it is important to include:
    - Projects that reflect the knowledge base within the CSO networks (member organisations) and the Assessment Teams
    - One or two projects having both Rio markers as principal objectives ("2,2")
    - Projects with a large budget and no gender marker were especially relevant
    - Projects that member organisations of the CSO network considered important to examine

The assessment of each project was completed by undertaking the following exercises to assess the selected projects:

1. Project assessment using the 3-step approach, assigning a granular 0-10 score for each.
2. Consolidating the 3-step ratings to produce an adaptation-relevance coefficient for each project, allowing the adjustment of total climate-related commitment values to produce adaptation finance figures.
3. Comparison of assessed and donor allocated Rio markers and donor and assessed adaptation finance figures.
4. Assessment of Poverty orientation in the project
5. Assessment of Gender in the project
6. Assessment using Joint Principles for Adaptation (JPA)

A rating scale of 0 – 10 was applied to assess how strongly the project performs against each of the three-step questions. Assessment ratings were produced using two-separate sources of evidence, a project's documentation and also observational evidence.

Project's document evidence was based on assessment of information in the project/programme document while observational evidence was based on field observations by the assessment team and also from CSO knowledge on project/programme area. The assessment team undertook field visits to project sites representing cattle corridor and semi-arid areas where they observed and also collected views of community members/beneficiaries and project/programme implementers to determine; the climate vulnerability context, purpose of project, check whether activities implemented on ground were addressing the climate vulnerabilities in the area and whether they were poverty and gender ariented. This also guided in the generation of stories about adaptation projects. Below is a table showing the field assessment checklist.

Field Assessment Checklist

For Project/Programme Contact	For Beneficiaries and Target communities
1. Name and title of respondent? 2. Talk about the project/programme under analysis: purpose, goal, objectives and its interventions. 3. Does the project/programme interventions directly address the climate risks, impacts and vulnerabilities? 4. How have the interventions helped to improve the situation related to adaptation in the area? 5. How have women, men, children and disabled persons benefited? How has the project transformed them? 6. Are interventions addressing poverty and income of beneficiaries, if yes, how? 7. What lessons and key messages can you share about the project/programme?	1. How is change in weather and climate affecting you and the community at large? 2. What are you and the community doing to manage climate change? 3.Do you get external support from Government, District Local Governments, Civil Society Organizations, and Community Based Organizations? 4.What is the impact of the project interventions on your community livelihoods and or environment/Eco-systems? 5. How have women, men, children and disabled persons benefited? 6. How do you view the interventions being carried out in regard to responding to climate change risks, impacts and vulnerabilities? Choose one of the rating. (a) Most important (b) Important (c) Not sure (d) Not important (e) Not related 7. Any lessons?

ANNEX B: LIST OF ASSESSMENT TEAM AND CSO ADVISORY GROUP

Name	Institution	Function
Assessment team		
Mr. Robert Bakiika	EMLI	Team leader
Ms. Christine Mbatuusa	EMLI	Finance Analyst
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Mr. Gaster Kiyingi	Tree Talk Plus	Stakeholder Engagement Specialist
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Mr. Bob Natifu	CCD/MWE	Assistant Commissioner Climate Change Department
Mr. Muhammad Semambo	CCD/MWE	Senior Climate Change Officer Adaptation
Mr. Andrew Masaba	MoFPED	Representative Ministry of Finance
Mr. Ronald Kaggwa	National Planning Authority (NPA)	Representative NPA
Mr. David Kyeyune Sengozi	Global Green Growth Institute	Representative of the Development partner
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Anthony Mugeere	Advocates Coalition for Development and Environment (ACODE)	Inform and provide technical input in complementing the work of the assessment team
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ANNEX D: REFERENCES

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