

**CLIMATE
ADAPTATION
REPORT
UGANDA**

2020

**FINANCE
STUDY**



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Definitions:

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 Adaptation Principles: 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: financial flows supporting climate action (Authors)

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 (Authors).

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.

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 24 projects, between 2013-2016. 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

Within the Paris Agreement it was agreed that developed countries would deliver new and additional climate financing to developing countries of USD 100 billion per year by 2020. It was further agreed that the allocation of funds should be balanced between adaptation and mitigation, with funding prioritized for the most vulnerable developing countries, such as the least developed countries (LDCs), small island developing states (SIDS) and Africa. However, the most recent OECD data indicated that the target is far from being met. With public climate finance from developed to developing countries reaching USD 54.5 billion in 2017, of which only 24% targeted adaptation activities and only 15% targeted LDCs.

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.

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 of 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 relatively equal 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 2013-2016, 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 this adaptation finance lacks gender co-targets.

Key finding 1: *56% 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". Our analysis finds that 92 projects received by Uganda have been assigned "2" for both climate 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).

Based on the assessment, there is wide spread of adaptation relevance percentages (13-67%) for Rio marker 1 "significant" depicting the inaccuracy caused by the Rio marker method when estimating adaptation related finance.

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 20 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.

To do this the study followed a multi-step process adapted from the 3-step assessment developed by the 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 documents 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 characteristic 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 479 million USD of climate finance, 46% 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).

Key finding 5: *the team calculates that of the 221 million USD of adaptation finance reported by donors across the 20 assessed projects, 13.6 million USD can be considered as over-reported, or 6%. Highlighting that, in general, adaptation finance to Uganda has been reported accurately. However, there still exists some examples of inflated adaptation finance figures.*

The team also assessed 15 million USD of WB climate-related finance, which had not been reported with mitigation and adaptation budget breakdowns. The team found 2.5 million USD to be adaptation-relevant. The team does note, however, that the WB has provided detailed objective breakdowns for its 2017 projects. Due to the size of these WB provided adaptation projects, it is vital that increased project-level detail is also made public for their 2013-2016 projects, to allow for more accurate accounting.

Key finding 6: *climate finance commitments from the WB for 2013-2016 are not reported with mitigation and adaptation budget breakdowns to the OECD DAC. This makes it difficult to produce accurate mitigation and adaptation finance time series from the recipient perspective.*

The team also found that cross-cutting projects can target mitigation and adaptation co-targets to different extents, depending on the specific activities undertaken. This is at odds with current climate finance accounting methods which produce generic cross-cutting finance figures, without mitigation and adaptation breakdowns, or simply split a cross-cutting figure equally to attribute it to mitigation or adaptation finance figures.

Key finding 7: *The team also found that 75 million USD of adaptation finance (34% of total assessed adaptation finance) was under-reported, primarily resulting from cross-cutting projects with both mitigation and adaptation objectives. Evidencing that mitigation and adaptation finance in cross-cutting projects, as estimated using current climate finance accounting methods, is a significant source of inaccuracy.*

Although a portion of adaptation-relevant finance to Uganda is found to be under- and over-reported, the team determined that only 3 Rio markers were inaccurately allocated by donors. This indicates that the source of inaccurate adaptation finance reporting is primarily a consequence of current non-granular climate finance accounting methods.

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 areas i.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, similar to what was 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.

The analysis 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.

Some key recommendations from the findings include the following;

- i. 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;
- ii. Climate Change Department (CCD) should establish an online public registry of climate actions and MoFPED and MWE should institutionalize adaptation finance tracking and reporting.
- iii. 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.
- iv. 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.
- v. Civil society 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.
- vi. 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.

1.0 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, and therefore a guide will be developed, based on the experiences in the 6 countries.

The adaptation finance tracking guide and 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 and 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 in country provided guidance and leadership of the study 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.

2.0 Needs for adaptation finance

2.1 International Context

According to the UNFCCC, developed countries committed to mobilize jointly USD 100 billion a year in climate finance by 2020 to address the needs of developing countries, in the context of meaningful mitigation actions and transparency on implementation (UNFCCC, 2009). However, the OECD observes 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 MRV for 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 was re-confirmed with the adoption of the Paris Agreement which committed developed countries to continue their existing collective mobilization goal through 2025 and thereafter set a new collective quantified goal from a flow of USD 100 billion per year, 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.

UNEP (2018) estimated indicative adaptation financing needs in the period from 2020 to 2030 at USD 500 billion, equivalent to USD50 billion per year. These estimates were based on aggregate NDCs costs for adaptation for fifty non-Annex I countries.

According to Buchner et al. (2017), an estimated USD 22 billion was provided for adaptation in 2016. Over 97 per cent of adaptation finance was channeled to public sector institutions (UNFCCC, 2018).

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 awaits approval 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.

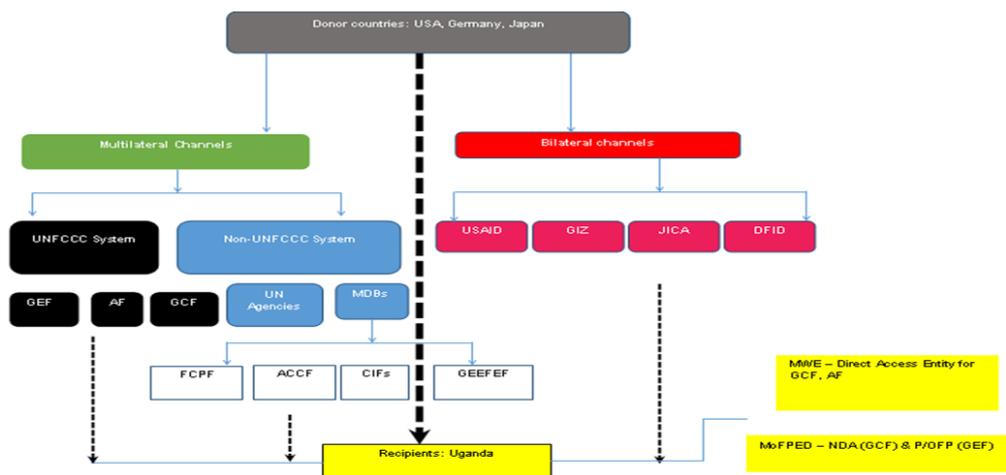


Fig 1. Overview of climate finance flow structure in Uganda Source: EMLI: Developed for purposes of this study

3.0 Overview on

climate finance

An analysis based on the OECD-DAC database revealed that a total of 538 climate-related projects were committed to Uganda from 2013-2016, with related total climate finance commitments summing to USD 934 million equivalent to USD 233.51 million per year.

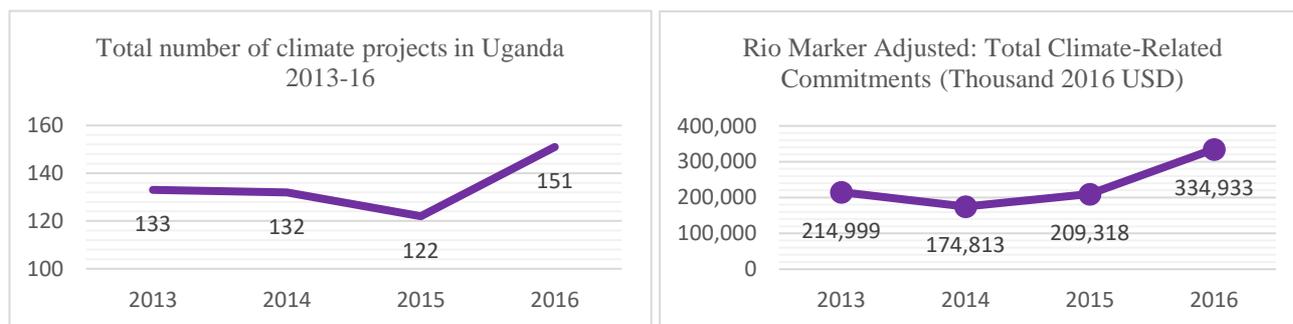


Figure 2: Climate related projects in Uganda and their values broken down by year

The largest top 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. USD 24 million 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 per cent of their total commitments to Uganda. One of the largest EU programme was the Development Initiative for Northern Uganda (DINU) whose committed value was USD 146.9 million, using a Rio marker coefficient of 40% for significant objectives, the climate finance value of the programme was USD 73.43 million.

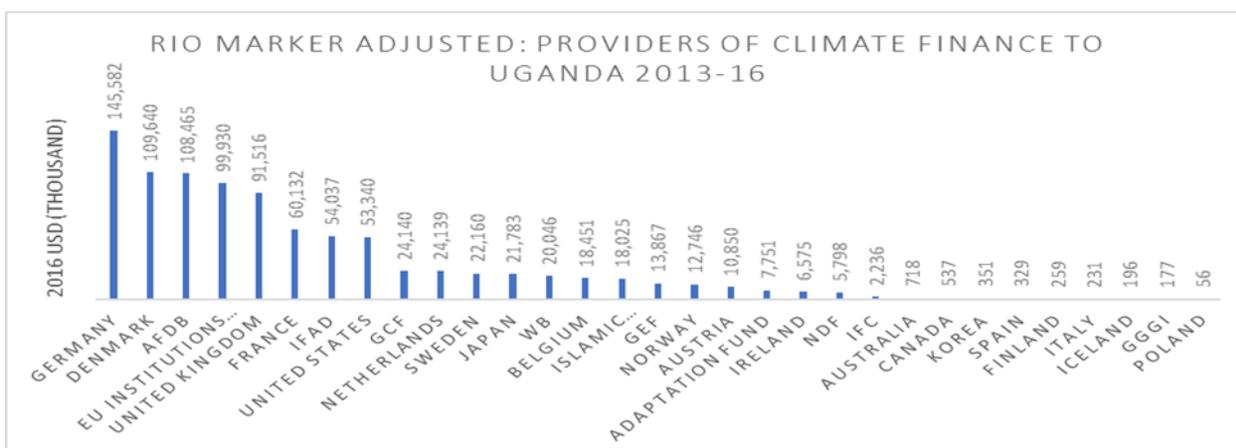


Figure 3: Providers of climate finance to Uganda. Source: OECD DAC development finance statistics database.

From the analysis of the 21 projects selected for further assessment in this report, for the period 2013-2016, the EU committed the largest volume of climate finance to Uganda estimated at USD 174.7m due to the large DINU project that was committed in 2016, followed by Denmark, IFAD and the GCF. Germany was in the 5th position 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 based on Committed Climate 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).

The ratio of adaptation and mitigation finance for Uganda during the period 2013-2016, 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 268,443 (44%)

Ratio of adaptation finance (including cross-cutting)	Ratio of mitigation finance (including cross-cutting)
44%	56%

and 345,129 thousand USD (56%) committed for adaptation and mitigation projects, respectively.

As shown by the graphs below (Figure 3), the trend for number of projects with Rio markers of 1 or 2 is similar for both adaptation and mitigation during these four years.

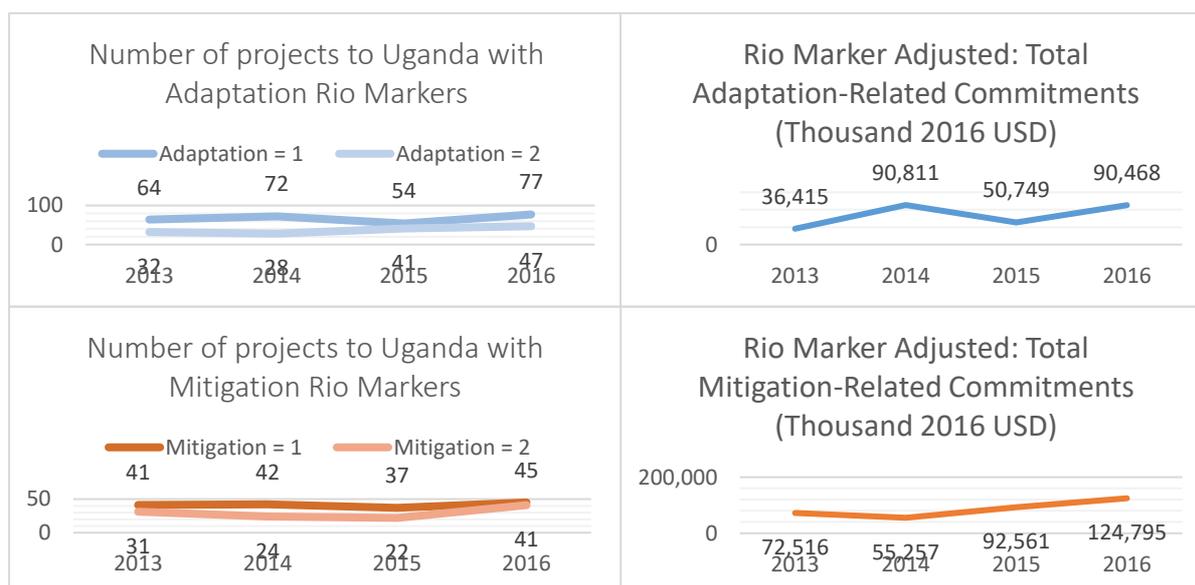


Figure 4: Number and values of projects related to Adaptation and Mitigation in Uganda broken down by year

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

4.0 Analysis based on project documents

4.1 Methodology

The study applied both quantitative and qualitative methods to allow for comparison across 6 countries using a multi-step process. These included; the 3-step approach, 1) Climate Vulnerability context, 2) Statement of purpose or intent, 3) and Link to project activities based on a 10 point rating scheme, to assess how the project performed against each of the three-step questions, based on the project documentation and on the assessment team's observations. 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 538 projects committed to Uganda in a period of 2013 to 2016, 21 were purposively selected and represent approx. 51 per cent 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., projects with large budgets were prioritized (see Table 1), projects which CSOs have knowledge and information about and projects which are not marked in the OECD database (especially those supported by Multilateral Development Banks (MDBs)). It is important to note that out of the 21 selected project only 18 were assessed using the multi-step approach. The 3 project committed by Germany were not assessed due to lack of access to project documents based on the confidential clause by the donor.

In addition, the team included another tier for prioritization through a focus on the climate definition of the project as reported to OECD, i.e. whether adaptation or cross cutting (as per the project's Rio markers). Below is a table showing the list of selected project.

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

No.	Provider & Project Name	Abbreviation	CRS Identification number	Climate related Commitment (Million USD)	Financial Instrument	Description
1	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
2	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.
3	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.
4	IFAD: Project for the Restoration of Livelihoods in the Northern Region	PRELNOR	2014000078	29.5	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.

5	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
6	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
7	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.
8	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.
9	Denmark: Recovery and Development in Northern Uganda NUC	NUC	2014001149a	20,935	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 the economic development of the country.
10	EU: Support to Developing A Market Oriented and Environmentally Sustainable Beef Meat Industry In Uganda Under the 11 th 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.
11	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.
12	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).
13	AfDB: Forest Development	FIEFOC II	20001300149 31	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
14	WB: Uganda Energy for Rural Transformation III	ERT	2015021791	15,157	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.
15	Japan: The Project for Provision of Improved Water Source for Resettled Internally Displaced Persons in Acholi Sub-Region	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, Nwoya, Gulu, Lamwo, Kitgum, Pader and Agago district: drilling approximately 110

						boreholes and establishing six piped water systems.
16	Germany: Project for the Restoration of Livelihoods In the Northern Region	PRELNOR	2014000080	8.8	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.
17	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.
18	UK: Enhancing Resilience in Karamoja Programme	EKRP	2015000630	7.9	Grant	The programme name changed from <i>Strengthening Livelihoods Programmes and Food Security in Karamoja to Enhancing Resilience in Karamoja Programm based on information in the project document</i> . The programme aimed to increase resilience of the population of Karamoja to climate extremes and weather events.

19	AF: Enhancing Resilience of Communities to Climate Change through Catchment-Based Integrated Management of Water and Related Resources In Uganda	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.
20	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
21	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 (thousand USD)			479.1			
Total climate related commitments 2013-2017 (thousand USD)			1,033,163			

Assessed finance as percentage of total climate-related commitments	46%	
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4.2 Assessment results from Step 1: Climate vulnerability context

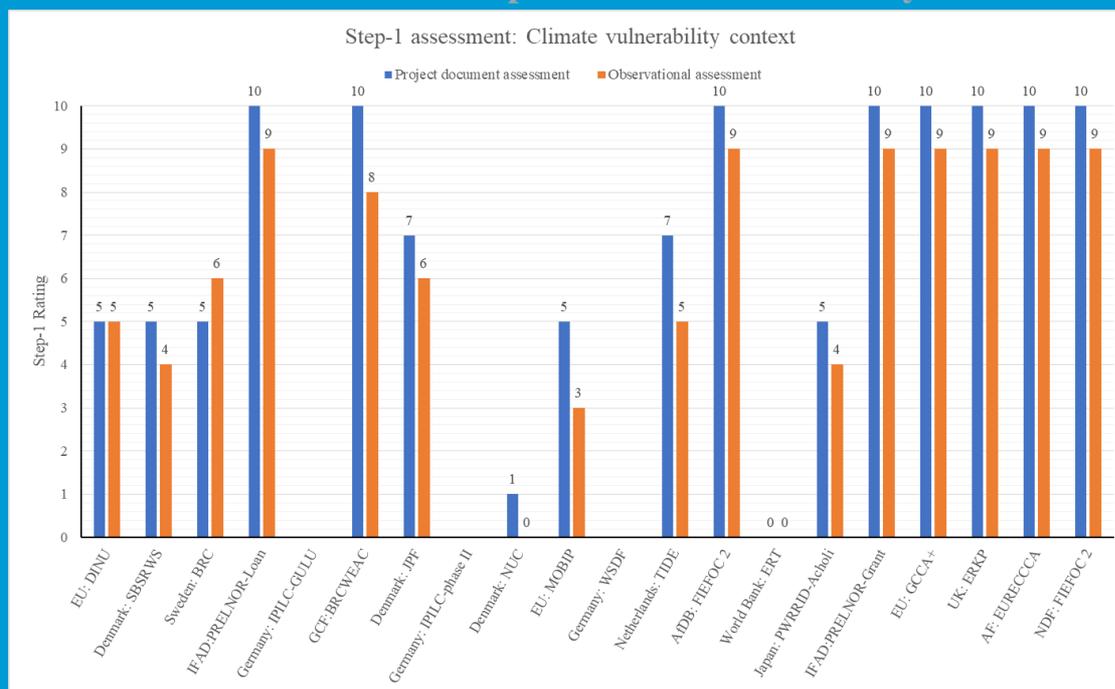


Figure 1: Analysis of climate vulnerability context - summary of project ratings

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 Table 2 below.

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 Assessment results from 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 Table 3 below.

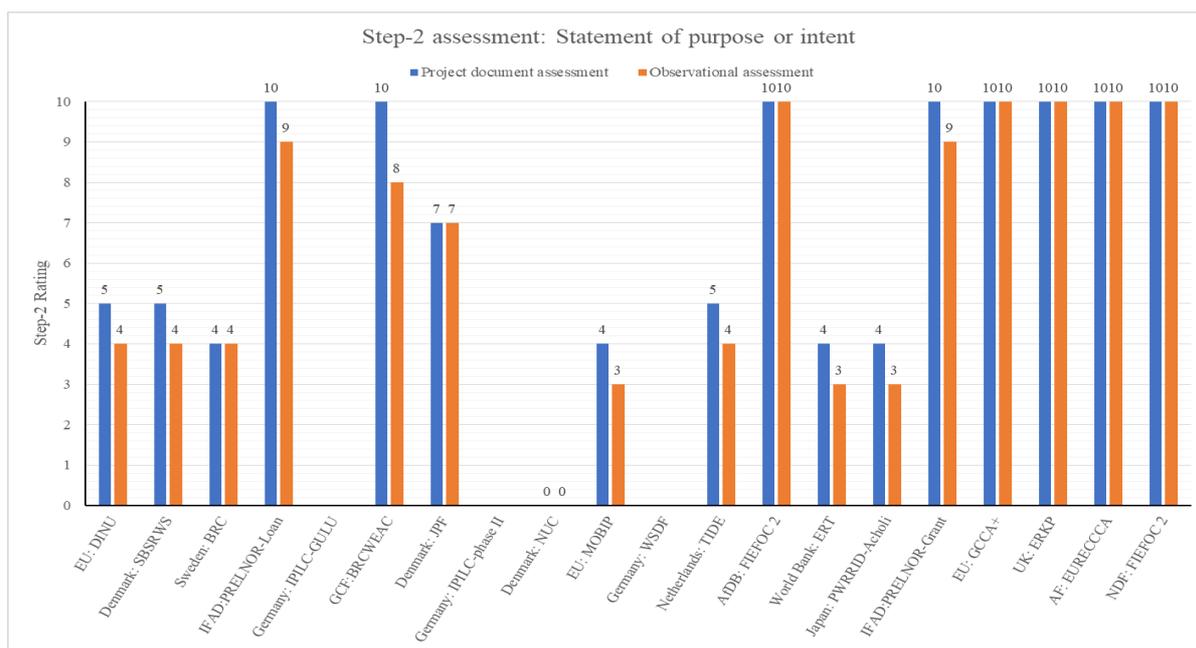


Figure 2: Analysis of statement of purpose or intent - summary of project ratings

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 marker 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 Assessment results from 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.

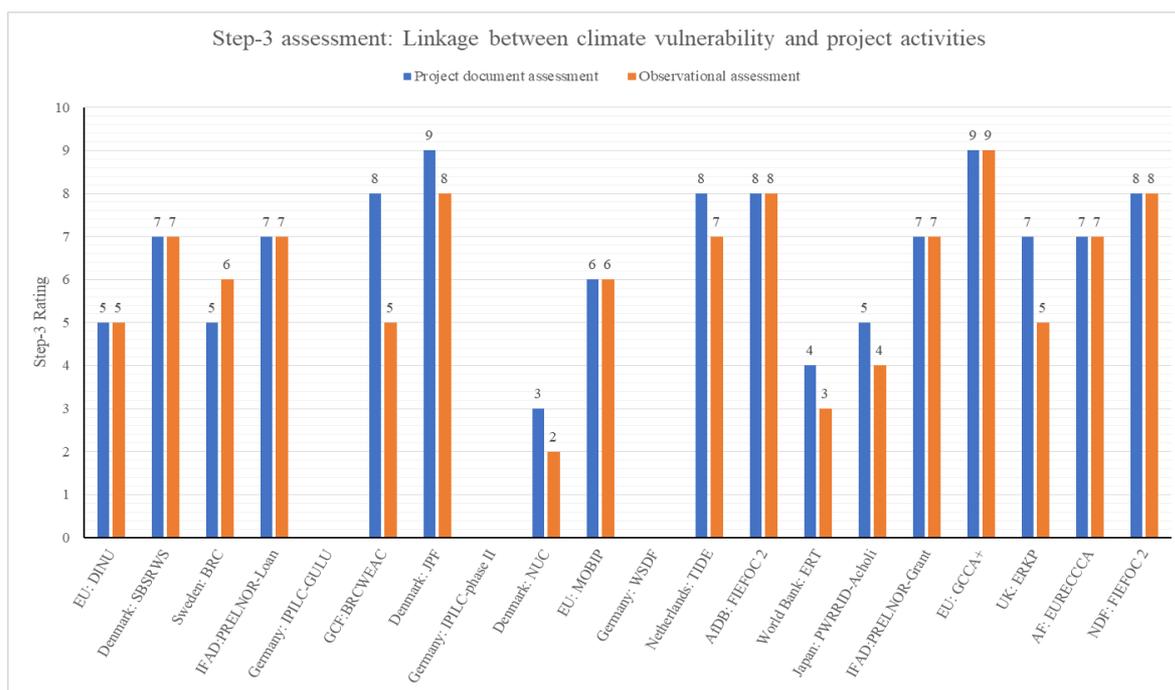


Figure 3: Analysis of the linkage between climate vulnerability and project activities - summary of project ratings

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.

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 rating from the three steps

A consolidated rating from the three steps (Figure 1) 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 climate 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 significantly relevant to adaptation while those that scored 97% to 80% from project document and 93% to 77% from observation were principally relevant to adaptation.

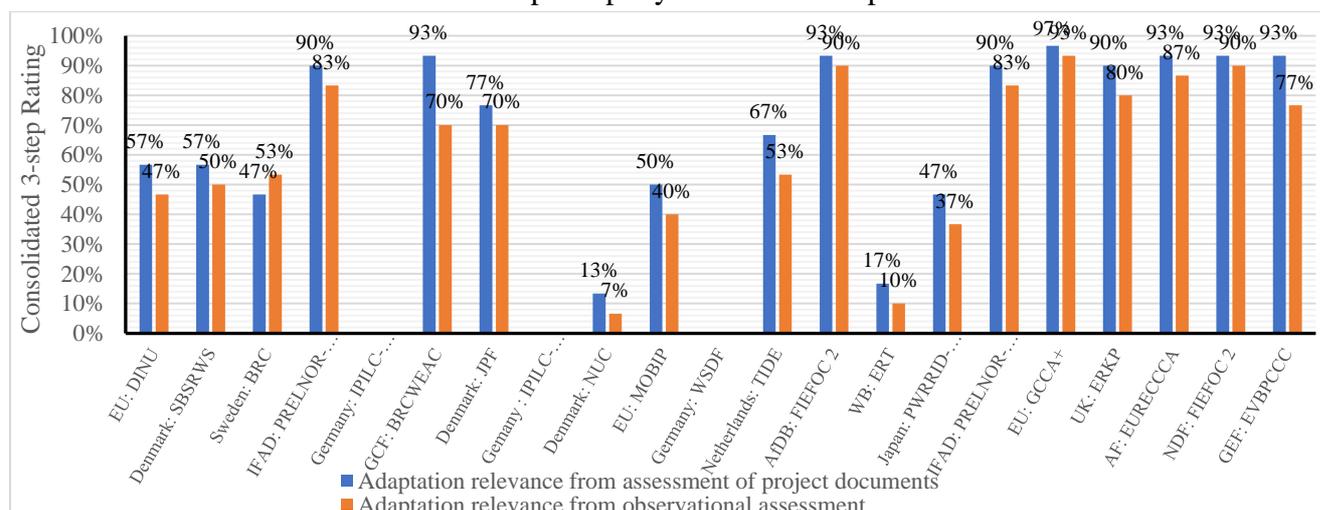


Figure 4: Assessed Adaptation relevance of projects-Consolidated 3-step results

4.5 Overview of adjusted Rio markers and budgets for Adaptation finance

The adaptation related finance has been calculated using a 40% coefficient for Rio markers of significant (1) (EU, Netherlands, Sweden, Norway) or 50% (Germany, Denmark, Ireland) and 100% for principal (2). The adaptation related finance from project/programme document assessment and observational assessment was calculated using the summation of ratings in the three step approach for each project/programme. The OECD's Annex 18 handbook on Rio Markers was used as qualification criteria for a particular project's Rio marker due to the extensive guidance it provided for adaptation markers, divided by sector found from pg. 11 to Pg. 32¹. Table 2 below; shows a comparison of reported and assessed adaptation figures.

Project Name	Adptatio n Rio marker	Climate commitments reported to OECD (Million USD)		Assessed adaptation- related finance (Million USD)	
		Climate- related finance	Adaptation- related finance	From project document assessment "Million" USD	From observational assessment Million USD
EU: DINU	1	146.8	73,427	78,322	68,532
Denmark: SBSRWS	2	43.9	43,891	24,872	21,946
Sweden: BRC	1	32.7	13.1	15.2	17.4
IFAD:PRELNOR- Loan	2	29.5	29.5	26.6	24.6
Germany: IPILC- GULU	1	25.8	10.3		
GCF:BRCWEAC	2	24.1	24.1	22.5	16.9
Denmark: JPF	2	20.8	20.8	15.9	14.5
Germany: IPILC- phase II	1	20	8		
Denmark: NUC	1	19.2	9.6	2.6	1.3
EU: MOBIP	1	16.6	8.3	8.3	6.6

¹ <https://www.oecd.org/dac/environment-development/Annex%2018.%20Rio%20markers.pdf>

Germany: WSDF	1	11.4	4.6		
Netherlands: TIDE	1	10.6	5.3	7	5.6
AfDB: FIEFOC 2	n/a	10.1	10.1	9.4	9.1
WB: ERT	n/a	9.7	9.7	1.6	0.97
Japan: PWRRID-Acholi	2	9.3	9.3	4.3	3.4
IFAD:PRELNOR-Grant	2	8.8	8.8	7.9	7.3
EU: GCCA+	2	8.8	8.8	8.5	8.2
UK: ERKP	2	7.9	7.9	7.1	6.4
AF: EURECCCA	2	7.8	7.8	7	6.7
NDF: FIEFOC 2	2	5.8	5.8	5.4	5.2
GEF:EVBPCCC	2	2.5	2.5	2.4	1.9
Totals		472	321	255	226,632
		Discrepancy (OECD vs. Assessment):		66	95

Table 2: Implication of adaptation Finance comparing reported and assessed adaptation figures. Donor Rio marker coefficients for policy makers of “significant” have been used as specified by each donor, where appropriate.

The total climate-relevant budget for the 21 assessed projects reported to the OECD was equivalent to USD 472. million USD, representing 51% of national climate finance commitment value for all projects in Uganda in the period 2013 -2016.

The adaptation-relevant finance reported by donors to the OECD was 321. million USD. In comparison, the estimated adaptation-relevant finance based on the assessment team’s analysis of project documents within the 3-step approach table, was estimated at USD 255. million USD.

According to this assessment, estimated adaptation-relevant finance received by Uganda decreased by 21% (66 million USD) and 29% (95 million USD) when comparing donor reported adaptation-relevant finance against assessed adaptation-relevant finance from the team’s analysis of project documentation and observations, respectively. .

However, the 54% of total climate adaptation finance commitment (934) revealed that adaptation finance flows to Uganda almost doubled (91% increment) in the period 2013-16

compared to the period 2010-12². The share of grant and instrument of the adaptation finance flows to Uganda accounted for 85% and 15% respectively with significant aggregate flows estimated at 72% through bilateral providers.

The assessment of project documents also revealed the issue of over and under reporting of donor reported adaptation-relevant commitments to the OECD compared to what was reported in project documents. For example EU reported a total budget of 146,854 thousand USD for DINU to the OECD compared to the 4,448 thousand USD in project document allocated for climate related activities, Sweden reported 32,651 thousand USD to OECD compared to the 2,414 thousand USD allocated to the two projects directly contributing to adaptation in the programme document while UK under reported to OECD (7,885 thousand USD) compared to 50,077 thousand USD in programme document.

Table 2 below summarizes the Rio markers for adaptation and policy makers for gender equality, while making a comparison between those that were reported and assessed.

Table 6: Policy marker assessment - comparison of reported and assessed Rio and gender equality markers

Project Name	Adaptation Rio marker		Mitigation Rio marker		Gender equality marker	
	Donor	Assessed	Donor	Assessed	Donor	Assessed
EU: DINU	1	1	1		1	1
Denmark: SBSRWS	2	1	2	0	1	1
Sweden: BRC	1	1	0		1	1
IFAD:PRELNOR-Loan	2	2				1
Germany: IPILC-GULU	1		0		1	
GCF:BRCWEAC	2	2			1	1
Denmark: JPF	2	2	2		1	1
Germany: IPILC-phase II	1		0		1	
Denmark: NUC	1	0	1		1	1

²CAN-U and Oxfam, 2015, the adaptation finance adaptation initiative accountability: Delivery of Adaptation Finance in Uganda: Assessing institutions at Local Government Levels.

EU: MOBIP	1	1	1		1	1
Germany: WSDF	1		0		1	
Netherlands: TIDE	1	1	1		1	1
AfDB: FIEFOC 2	n/a	2	n/a		n/a	1
WB: ERT	n/a	0	n/a		n/a	1
Japan: PWRRID-Acholi	2	1	0		1	1
IFAD:PRELNOR-Grant	2	2				1
EU: GCCA+	2	2	1		n/a	1
UK: ERKP	2	2	2		1	1
AF: EURECCCA	2	2				1
NDF: FIEFOC 2	2	2	1		1	1
GFF:EVBPCCC	2	2	0			1

From the assessment, 14 out of the 18 projects/programmes reported adaptation Rio markers by donors in OECD-DAC 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 time³. 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 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

³ 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>

access to electricity in rural areas of Uganda and reduce greenhouse gas emissions. Implemented in the rural areas of Uganda”

4.6 Poverty orientation of the projects

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 Based Rights Approach ranked on a scale of 0-40. Table 7 summarizes findings of the poverty orientation assessment.

Table 7: Poverty orientation - summary of project ratings

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 3 : Poverty orientation - summary of project ratings

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.

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.

4.7 Assessment of Gender

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 action should follow a country-driven, gender-responsive, participatory and fully transparent approach.

Based on the analysis from the OECD database, adaptation defined projects with a 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 139,708 thousand USD for the period, making up some 57% of total adaptation-related commitments for the

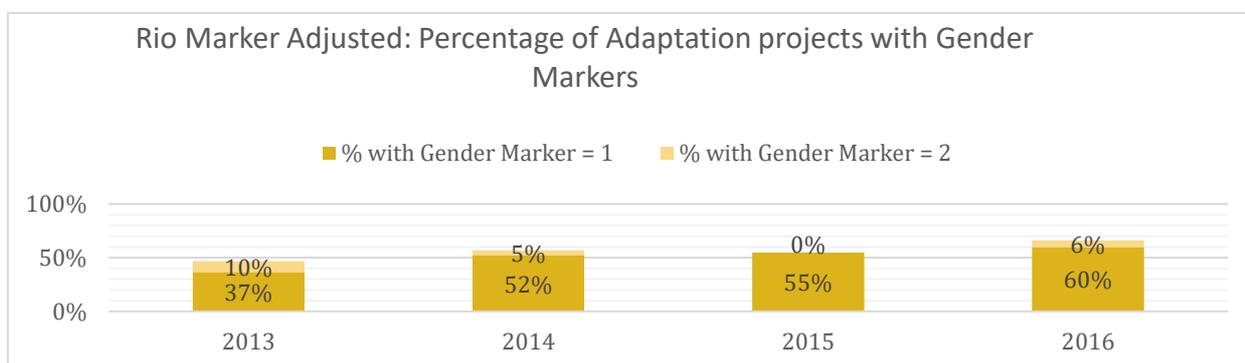


Figure 2: Percentage of projects with a Gender Equality marker of either 1 or 2 broken down by year

period. Figure 2 provides percentages of adaptation Projects with gender marker – Rio marker adjusted.

The assessment of Gender Equality in this report was informed by the OECD-DAC Gender Equality Policy marker Handbook⁴ together with CARE’s Gender Marker⁵ along the CARE Gender Continuum from harmful to transformative see below and figure 10 for information.

OECD Gender marker

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

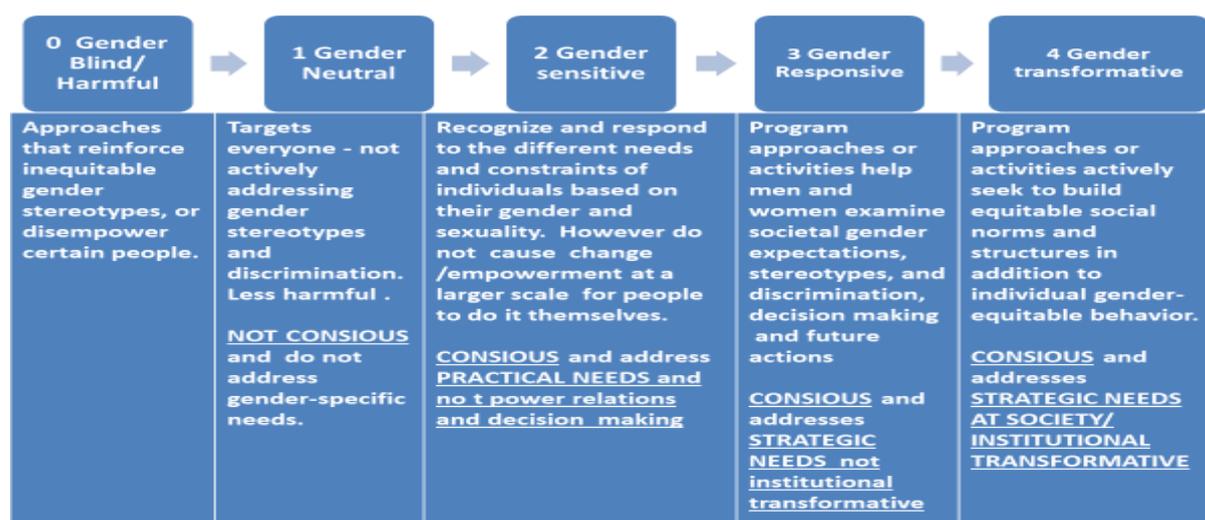


Figure 3: CARE’s Gender marker continuum

⁴ <https://www.oecd.org/dac/gender-development/Handbook-OECD-DAC-Gender-Equality-Policy-Marker.pdf>

⁵ https://insights.careinternational.org.uk/images/in-practice/Gender-marker/CARE_Gender-Marker-Guidance_new-colors1.pdf

The grading of the projects was based on the OECD Gender Marker scores and the 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 Marker 1 (significant) and Projects that were responsive leaning to transformative would score Gender Marker 2 (principal). A summary of ratings is shown in Table 4.

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: EURECCA	31
NDF: FIEFOC 2	36
GFF:EVBPCCC	36

Table 4: Gender integration - summary of project ratings

Accordingly, all assessed projects were leaning towards gender sensitive and were rewarded rescored 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 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 at USD 165,525. 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.

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 are 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 business. 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 ERK 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.

4.8 Joint Principles for Adaptation (JPA) result

	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 fulfill 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	33	68
	Not good (Max = 140)	Middle (Max = 140)	Good (Max = 140)

Table 5: Project Rating against JPAs

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 EURECCA, GCCA+, ERK, 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.

It is important to note that the assessment did not analyze the principle related to efficiency of funds utilization due to lack of granular information related to levels of disbursement and expenditure.

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

© Photo by EMLI.



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 were 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 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 dominated in

decision making structures of the water user committee, who paid 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 by-laws encouraging 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)

Annex B: List of Assessment Team and CSO Advisory Group

Number	Name	Institution	Function
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3	Ms. Jaliah Namubiru	EMLI	Research Assistant
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5	Dr. Joshua Zake	Environmental Alert	Adaptation and sector Specialist
6	Mr. Gaster Kiyingi	Tree Talk Plus	Stakeholder Engagement Specialist
7	Ms. Margaret Barihaihi	Consultant	Policy and gender specialist
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10	Robert otim	CARE	Monitoring and Evaluation
11	Emmanuel Musa Kyeyune	EMLI	Communication
Steering Committee members			
1	Mr. James Kaweesi	MWE/PPD	Direct Access entity to GCF and Adaptation
2	Mr. Bob Natifu	CCD/MWE	Assistant Commissioner Climate Change D
3	Mr. Muhammad Semambo	CCD/MWE	Senior Climate Change Officer Adaptation
5	Mr. Andrew Masaba	MoFPED	Representative Ministry of Finance
7	Mr. Ronald Kaggwa	National Planning Authority (NPA)	Representative NPA
8	Mr. David Kyeyune Sengozi	Global Green Growth Institute	Representative of the Development partner
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3	Jackson Muhindo	OXFAM
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6	Anthony Wolimbwa	Climate Action Network Uganda
7	Philip Eric Bakalikwira	PACJA-Uganda
8	Patriciah Roy Akullo	ACT Alliance Uganda
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10	Gerald Kairu	Global Water Partnership Eastern Africa
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12	Rogers Damba	Buddu and Sanyu FM
13	Shaban Mawanda	RCC
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16	Patrick Byakagaba (Ph.D)	Makerere University
17	Jane Nakiranda	World Vision Uganda
18	Ogola Laster Stoney	Uganda Wildlife Society
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20	Steven Luyimbazi	CAN-U

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Annex D: List of documents (utilized for the analysis)/ References

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Annex E: Table with the detailed assessment of 21 selected projects (with key data), starting with an overview of the 21 projects with main reason/criteria for selection of each project.

No	Project Name and overview	Criteria for selection
1	Development Initiative for Northern Uganda (DINU) Integrated programme cutting across the three focal sectors of the NIP implemented in West Nile, Acholi, Lango, Teso and Karamoja. 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	Largest budget
2	Sector Budget Support for Rural Water Supply The objective of the project is to contribute materially to the coverage of rural water supply and sanitation and to build capacity amongst all stakeholders so that the National Development Plan and sector goals and policies can be reached. Implemented in the rural areas of Uganda. This a component of the joint water and environment programme in Uganda.	Large budget
3	Project for the Restoration of Livelihoods in the Northern Region - Loan The project goal is to increased income, food security and reduced vulnerability of poor rural households in the project area. 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.	Large budget

	The project area covers nine districts in Northern Uganda, i.e. Adjumani, Agago, Amuru, Gulu, Kitgum, Lamwo, Nwoya, Omoro and Pader.	
4	<p>Building Resilient Communities, Wetlands Ecosystems and Associated Catchments in Uganda</p> <p>Located in South Western Uganda (6 districts of Kabale, Kisoro, Kanungu, Rukungiri, Greater Bushenyi and Ntungamo) and Eastern Uganda (10 Districts of Pallisa, Kibuku, Bukedea, Namutumba, Butaleja, Budaka, Tororo, Kaliro, Ngora and Mbale). The objective of the project 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.</p>	Geographical local and knowledge by CSO
5	<p>Joint Partnership Fund-Basket</p> <p>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</p>	Large budget
6	<p>Bilateral Research Cooperation Uganda 2015-2020 – Makerere</p> <p>This a programme with 17 projects aimed at capacity development i.e. train a critical mass of independently thinking researchers based on basic, applied and multi-disciplinary research, covering natural science, social science and humans.</p>	Large budget
7	<p>Integrated Programme to Improve The Living Conditions (IPILC) in Gulu.</p>	Large budget and supported by a Bilateral Donor
8	<p>Recovery And Development In Northern Uganda</p> <p>The NUC is an agricultural livelihoods improvement programme with the objective “to increase resilience and equitable participation of Northern Uganda in the economic development of the country”. Located in Northern Uganda (six districts in West-Nile and Acholi sub-regions)-districts not specified in the project document.</p>	Completed project
9	<p>The Project for Provision of Improved Water Source for Resettled Internally Displaced Persons in Acholi Sub-Region</p> <p>To facilitate the return and resettlement of internally displaced persons (IDPs) through improved water provision in Amuru, Nwoya, Gulu,</p>	Large budget

	Lamwo, Kitgum, Pader and Agago district: drilling approximately 110 boreholes and establishing six piped water systems. Over 30,000 IDPs were expected to benefit from the project.	
10	<p>Project for the Restoration of Livelihoods in the Northern Region-Grant</p> <p>The project area covers nine districts in Northern Uganda, i.e. Adjumani, Agago, Amuru, Gulu, Kitgum, Lamwo, Nwoya, Omoro and Pader.</p> <p>The project goal is to increased income, food security and reduced vulnerability of poor rural households in the project area. 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.</p>	Large budget
11	<p>Global Climate Change Alliance (GCCA+): Scaling Up Agriculture Adaptation to Climate Change in Uganda</p> <p>The Overall Objective of the project is to contribute to the sustainable and gender transformative improvement of livelihoods of rural populations in Uganda. Located in 9 districts in the central cattle corridor: (a) 6 former GCCA districts (Nakasongola, Luwero, Nakaseke, Mubende, Kiboga and Sembabule) and (b) 3 new adjacent vulnerable districts (Kalungu, Gomba, Lyantonde).</p>	Knowledge by CSO members
12	<p>Support to Developing a Market Oriented and Environmentally Sustainable Beef Meat Industry in Uganda under the 11th EDF</p> <p>The overall objective of the project is 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. The Project is implemented in the Central and South-Western part of the Cattle Corridor, in two areas formerly defined by MAAIF as “Disease Control Zones” (DCZ 1 & 2).</p>	Multilateral
13	Integrated Program to Improve Living Conditions in Gulu, Phase II	Supported By a Bilateral donor
14	<p>Enhancing Resilience in Karamoja Project</p> <p>To increase resilience of the population of Karamoja to climate extremes and weather events. Located in Karamoja (Abim, Kaabong, Kotido, Moroto, Nakapiripirit, Napak and Amudat districts)</p>	Completed

15	<p>Enhancing Resilience of Communities to Climate Change through Catchment-Based Integrated Management of Water and Related Resources in Uganda</p> <p>The overall goal of the project is 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. The project is located in three catchment areas i.e. 1.) Awoja found in Kyoga Basin in the Eastern Part of Uganda in the districts of Sironko, Bulambuli, Kapchorwa, Kween, Kumi, Bukedea, Serere, Soroti and among other districts;</p> <p>2.) Aswa found in Aswa Basin in Northern Uganda and;</p> <p>3.) Maziba found in Kagera Basin in South Western Part of Uganda in the districts of Kisoro, Kabale and Ntungamo.</p>	Knowledge by CSOs
16	<p>Farm Income Enhancement And Forest Conservation Project 2 (FIEFOC 2)-Loan</p> <p>To improve household incomes, food security and climate resilience through sustainable natural resources management and agricultural enterprise development. Located in the five irrigation schemes spread in the five districts of Nebbi, Oyam, Butaleja, Kween and Kasese</p>	Knowledge by CSOs
17	<p>Uganda Energy for Rural Transformation III</p> <p>The Project Development Objective is to increase access to electricity in rural areas of Uganda. The Global Environmental Objective is to increase access to electricity in rural areas of Uganda and reduce greenhouse gas emissions. Implemented in the Rural areas of Uganda</p>	UNMARKED
18	<p>The Inclusive Dairy Enterprise</p> <p>To improve dairy farm productivity, milk quality/safety, proactive and regulation and dairy household nutrition. Located in South Western Uganda (Kiruhura, Mbarara, Ntungamo, Bushenyi, Isingiro and Sheema districts).</p>	Bilateral Donor
19	<p>Support to the Water And Sanitation Development Facilities (WSDF)</p>	Bilateral Donor
20	<p>Farm Income Enhancement And Forest Conservation Project 2 (FIEFOC 2)-Grant</p> <p>To improve household incomes, food security and climate resilience through sustainable natural resources management and agricultural enterprise development. Located in the five irrigation schemes spread in the five districts of Nebbi, Oyam, Butaleja, Kween and Kasese</p>	Knowledge by CSO

21	<p>Reducing Vulnerability of Banana Producing Communities to CC through Banana VA Activities - Enhancing Food Security and Employment Generation</p> <p>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. Located in Isingiro, Mbarara, Ntungamo, Bushenyi, Sheema, Rubirizi, Mitooma and Buhweju districts in Western Uganda</p>	Multilateral
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