



Republic of Uganda
MINISTRY OF WATER & ENVIRONMENT
CLIMATE CHANGE UNIT

RESULTS REPORT 2013

CDM CAPACITY DEVELOPMENT PROJECT

ACRONYMS	4
1 INTERVENTION AT A GLANCE (MAX. 2 PAGES).....	5
1.1 INTERVENTION FORM.....	5
1.2 BUDGET EXECUTION.....	5
1.3 SELF-ASSESSMENT PERFORMANCE.....	6
1.3.1 <i>Relevance</i>	6
1.3.2 <i>Effectiveness</i>	6
1.3.3 <i>Efficiency</i>	6
1.3.4 <i>Potential sustainability</i>	7
1.4 CONCLUSIONS.....	7
2 RESULTS MONITORING.....	9
2.1 EVOLUTION OF THE CONTEXT	9
2.1.1 <i>General context</i>	9
2.1.2 <i>Institutional context</i>	9
2.1.3 <i>Management context: execution modalities</i>	10
2.1.4 <i>Harmo context</i>	10
2.2 PERFORMANCE OUTCOME.....	11
2.2.1 <i>Progress of indicators</i>	11
2.2.2 <i>Analysis of progress made</i>	11
2.2.3 <i>Potential Impact</i>	14
2.3 PERFORMANCE OUTPUT 1	15
2.3.1 <i>Progress of indicators</i>	15
2.3.2 <i>Progress of main activities</i>	17
2.3.3 <i>Analysis of progress made</i>	17
2.4 PERFORMANCE OUTPUT 2	19
2.4.1 <i>Progress of indicators</i>	19
2.4.2 <i>Progress of main activities</i>	21
2.4.3 <i>Analysis of progress made</i>	21
2.5 PERFORMANCE OUTPUT 3.....	23
2.5.1 <i>Progress of indicators</i>	23
2.5.2 <i>Progress of main activities</i>	24
2.5.3 <i>Analysis of progress made</i>	25
2.6 TRANSVERSAL THEMES.....	26
2.6.1 <i>Gender</i>	26
2.6.2 <i>Environment</i>	26
2.6.3 <i>Other</i>	26
2.7 RISK MANAGEMENT	27
3 STEERING AND LEARNING.....	30
3.1 STRATEGIC RE-ORIENTATIONS	30
3.2 RECOMMENDATIONS.....	30
3.3 LESSONS LEARNED	31

4	ANNEXES.....	33
4.1	QUALITY CRITERIA.....	33
4.2	DECISIONS TAKEN BY THE STEERING COMMITTEE AND FOLLOW-UP	36
4.3	UPDATED LOGICAL FRAMEWORK	39
4.4	MORE RESULTS AT A GLANCE.....	43
4.5	“BUDGET VERSUS CURRENT (Y – M)” REPORT	44
4.6	COMMUNICATION RESOURCES.....	47

Acronyms

BTC	Belgian Development Agency
CCU	Climate Change Unit
CDM	Clean Development Mechanism
CERs	Certified Emission Reductions
CME	Coordinating and Managing Entity
COP	Conference of Parties
CPAs	Component Project Activities
DNA	Designated National Authority
DOE	Designated Operational Entity
EB	Executive Board
ERA	Electricity Regulatory Authority
ERPA	Emission Reduction Purchase Agreement
FIT	Financial Information Tool
FPS	Belgian Federal Public Service
GEF	Grid Emission Factor
GIZ	The Deutsche Gesellschaft für Internationale Zusammenarbeit
ICT	Information and Communications Technology
ITA	International Technical Advisor
KfW	Kreditanstalt für Wiederaufbau
LoA	Letter of Approval
LNO	Letter of No Objection
MEMD	Ministry of Energy and Mineral Development
MWE	Ministry of Water and Environment
M&E	Monitoring and Evaluation
MFPED	Ministry of Finance, Planning and Economic Development
MoICT	Ministry of Information and Communications Technology
MTR	Mid-Term Review
NAMAs	Nationally Appropriate Mitigation Actions
NDP	National Development Plan
NEMA	National Environment Management Authority
NPA	National Planning Authority
NWSC	National Water and Sewerage Corporation
NTA	National Technical Advisor
PDD	Project Design Document
PINs	Project Idea Notes
PoAs	Programme of Activities
SBL	Standardized Baseline
TA	Technical Advisors
TFF	Technical and Financial File
UETCL	Uganda Electricity Transmission Company Limited
UIA	Uganda Investment Authority
UNFCCC	United Nations Framework Convention on Climate Change

1 Intervention at a glance (max. 2 pages)

1.1 Intervention form

Intervention title	CDM CAPACITY DEVELOPMENT PROJECT
Intervention Code	UGA 09 021 11
Location	Republic of Uganda
Total budget	€ 2,000,000
Partner Institution	Climate Change Unit, Ministry of Water and Environment
Start date of Specific Agreement	24 th November 2010
Date of intervention start/Opening steering committee	1 st October 2011
Planned end date of execution period	24 th November 2014
End date of Specific Agreement	24 th November 2014
Target groups	Government and private institutions/individuals in the sectors of Environment, Climate, Industry
Impact¹	Uganda benefiting from the Clean Development Mechanism of the Kyoto Protocol
Outcome	Strengthened technical capacity in CDM project formulation and awareness of investment opportunities under the CDM among governmental institutions, project developers, including financing institutions
Outputs	<i>Output 1:</i> Strengthened capacity of the main stakeholders in CDM project formulation.
	<i>Output 2:</i> Improved accessibility to and quality of information on CDM possibilities in Uganda.
	<i>Output 3:</i> A supported process for registration of Ugandan CDM projects by the CDM EB.
Year covered by the report	2013

1.2 Budget execution

	Budget	Expenditure		Balance	Disbursement rate at the end of year n
		Previous years 2011/2012	Year covered by report (n)		
Total	€ 2,000,000	375,679	468,670	1,155,651	42%
Output 1	705,236	227,116	233,054	245,066	65.2%
Output 2	31,000	1,673	19,597	9,730	68.6%
Output 3	839,901	22,170	122,914	694,817	17.2%
Others	423,863	124,720	93,105	206,038	51.4%

¹ Impact is a synonym for global objective, Outcome is a synonym for specific objective, output is a synonym for result

1.3 Self-assessment performance

1.3.1 Relevance

	Performance
Relevance	B

The Intervention is still very relevant since it is in line with local and national policies and priorities. In particular, the National Development Plan I (NDP I) for Uganda to a good extent has climate change integrated in it and thus provides backing for climate change mitigation initiatives under this intervention which are in line with the NDP I. Furthermore, the National Planning Authority (NPA) is mobilising a number of relevant stakeholders to form a Technical Committee, which will work on the further integration of climate change in the coming NDP II. The intervention will therefore still be in line with the NDP II.

The intervention is also in line with the recently approved Climate Change Policy of Uganda that provides framework for harmonised and coordinated approach towards a climate change mitigation/adaptation and sustainable low carbon development plan for Uganda; and thus further supports mitigation effort under the Intervention. With the Climate

Intervention logic for the Project is also still considered adequate, with the outputs still contributing to the Outcome and the Outcome in turn, to the Impact. However, some improvements in indicators and risk management might still be required for some improvements.

1.3.2 Effectiveness

	Performance
Effectiveness	B

The targeted outcome of the project, of having strengthened technical capacity in CDM project formulation and awareness of investment opportunities under the CDM by various stakeholders, will be achieved, although with minor limitations which should not cause much harm.

By the end of 2013, the Project had made good progress with 6 trainees that had already received training in CDM project formulation, 4 workshops conducted on finance raising, the CDM, climate change and carbon markets in general,

The intervention has also been relatively successful in adapting strategies to changing external conditions in order to achieve its outcome. Notably was, together with BTC, the identification of best modalities for implementation of project support; the use of ultimatum letters to ensure timely signing of all MoUs; and the formulation of the Joint Task Force (JTF) to fast track progress to ensure project outputs and outcome will be achieved.

1.3.3 Efficiency

	Performance
Efficiency	B

The efficiency of implementation to date has so far been relatively good, with most inputs required for the project being available in reasonable time, without requiring substantial budget adjustments.

The project suffered significant delays resulting from delays in signing of MoUs and delays in establishing modalities for effecting financial support to beneficiary projects. The Project has, since the MTR, come up with a revised elaborate Project activities work plan, with specific measures which have ensured that the Project remains on track. Although some activities are still delayed, the Project is largely on track as per the revised project work plan. Although a few activities are still delayed, such as the development of Standardised Baselines, these are not expected to harm the delivery of outputs. However there is still room for improvement in terms of quality of outputs and the timely delivery.

1.3.4 Potential sustainability

	Performance
Potential sustainability	B

The financial/ economic sustainability of the supported beneficiary projects is likely to be good, but may be affected by changing external economic factors such as the continued erosion of the CER prices. The stringent selection criteria for supported projects should ensure that supported projects should generate sufficient CER revenue to cover their operational costs, thus ensuring long-term sustainability.

The existing Policy and that under development and the policy institutions, particularly CCU and MWE have generally been supportive of the intervention and are likely to continue with this support. Also embedding some of the support activities such as the Website in the partner institutions (CCU) will ensure long-term sustainability of capacity building of the general public, way beyond the life-time of the Intervention.

The embedding of the Intervention in the Institutional structure of the CCU, which acts as the DNA secretariat and is in charge of all mitigation activities as well as Project steering, has also contributed to improvement in the management capacity of the intervention. The training of some of the CCU staff under the CDM School will also ensure sustainability through the retaining of the built capacity within CCU/MWE.

1.4 Conclusions

The lack of established and thought through modalities for implementation of financial support to beneficiary projects; and bureaucracies in the signing of MoUs led to delays in the implementation of project activities. With this signing of MoUs, there are clear signs that most project indicators will be realized, even with all the hurdles gone through.

However, the Intervention team has done worked hard during 2013 to ensure that the delayed project activities gets back on track. The project is now largely on track, according to the revised Project Work Plan, with only a few delayed activities relating to the development of a standardised baseline; but which are not expected to impact on the overall outcome of the project.

The formation of the Joint Task Force (JTF) for the project and the appointment of a Focal person for CCU on the project, have also greatly aided the fast tracking of project

progress during Q3/Q4 2013. The continued collaboration of BTC and CCU in the implementation of the project is still considered crucial for the success of the Intervention.

There was only a marginal improvement in the financial expenditure of the project during 2013, increasing from 19% by the end of 2012, to 43% by the end of 2013. Further significant expenditure is expected in 2014 as the Project finalises various activities under implementation.

Moving forward, the success of the Project will be largely determined by the efficiency and effectiveness of implementation of the on-going project activities to ensure quality project outputs/ milestones are achieved within the remaining Project duration.

The CDM markets have continued to suffer from drastic CER price declines; however there are new mechanisms under development at the international level. There is thus still a need for the Project to retain some flexibility in the capacity building programme, to be able to adjust to changing circumstances and enable the trainees to benefit from emerging mechanisms. However the CDM capacity building initiative is still considered relevant to Uganda since future market mechanisms will have a similar architecture to the CDM.

National execution official	BTC execution official
Paul Isabirye Signature	Martha Ntabadde Signature

2 Results Monitoring²

2.1 Evolution of the context

2.1.1 General context

Right at the end of the reporting period, in December 2013, the Uganda National Climate Change Policy was approved by the Uganda Cabinet, through the National Environment Policy Committee (NEPC) on 20th December 2013. The policy document's main aim is to ensure and provide a framework for harmonised and coordinated approach towards a climate resilient and sustainable low carbon development plan for Uganda, as well as provide the policy and institutional framework to support national CDM capacity development. The Policy was developed through a highly consultative multi-stakeholder process. Following the approval by the NEPC, the policy awaits final approval by the Cabinet of Uganda, most likely before end of Q2 2014.

At the international level, the 'Doha Amendment to the Kyoto Protocol' was adopted during CMP 8 in Doha, held in December 2012. The amendment includes new commitments for Annex I Parties to the Kyoto Protocol that agreed to taken on commitments in the second commitment period from 1 January 2013- 31 December 2020. During the second commitment period, parties committed to reduce GHG emissions by at least 18% (5% in first commitment period) below the 1990 levels. The amendment will enter into force for those Parties having accepted it on the ninetieth day after the date of receipt by the Depository of an instrument of acceptance by at least $\frac{3}{4}$ (144) of the Parties to the Kyoto Protocol.

Although it is not entered into force, there is certainty of the continuation of the CDM as one of the market-based mechanisms for parties to meet their targets.

There has been a slight improvement in the CER price in 2013, with a CER price just below 1 Euro increasing to Euro 1.5 by the end of the year. Although this means slightly improved prospects for potential CDM developers, the price is still very low and the support from the Project is still necessary to promote development of CDM projects.

Apart from these events, no other major events could be identified that had or would have an important influence on the intervention.

2.1.2 Institutional context

The project is anchored in the Climate Change Unit (CCU), which is under the Ministry of Water and Environment. The institutional anchorage of the project is considered very appropriate since the CCU acts as the UNFCCC Focal Point for Uganda and serves as the secretariat for the Designated National Authority (DNA) of Uganda. As the UNFCCC focal point, the CCU coordinates all climate change adaptation and mitigation activities, including the CDM where activities under the Project fall. The CCU is also responsible for both national and international reporting on the progress of implementation and results achieved under the Project would be easily communicated nationally and globally by CCU. The lessons learnt from CDM Capacity Development Project were presented by the Co-ordinator of the CCU at the 2nd meeting of the Durban Forum on Capacity-building - DF2 : working session 'Capacity-building for the implementation of the Kyoto Protocol', that was held on 6 June 2013 in Bonn, Germany.

The location of the Project offices at the CCU office block has also provided additional

² Impact refers to global objective, Outcome refers to specific objective, output refers to expected result

benefits, by the project being updated on the progress by all projects hosted by the CCU and identifying how synergies can be built with the CDM capacity development project.

The appointment of a permanent CCU representative on the Project, Mr. Henry Bosa who also represents CCU on the Joint Task Force (JTF) of the Project, has further facilitated smooth implementation of the project and improved relations with the hosting institution-the CCU.

2.1.3 Management context: execution modalities

The execution modalities of the project are considered to be only partly appropriate. At the start of the project, no modalities were in place for the recruitment and contracting of Trainees, the signing MoUs with beneficiary CDM projects (both private and public) to and identification of the best modalities for provision of financial support to the projects. These modalities needed to be developed during the Project formulation rather than during implementation, which has caused significant delays.

Following the recommendation of the Mid-Term Review, the NTA took on the day-to-day management of the project activities, leaving the Project Manager based in Nairobi to make big decisions relating to the management of the Project and its implementation. This change has also led to significant improvements in management and led to improved efficiency of implementation of activities, without delays that could be caused by small management decisions, which the NTA can now make in consultation with the JTF.

The closer collaboration between CCU, BTC and the project team has also been crucial in the recent successes in the project.

The constitution of the Project Steering Committee with members from various government and non-governmental organisations has ensured that the Project gets useful multi-faceted guidance on how best to steer the Project forward. The implementation of the various recommendations/ decisions of the PSC regarding project implementation, has further assisted the Project to move forward more smoothly.

2.1.4 Harmo context

The Project management has improved the harmonization of its activities with other similar development initiatives by other key actors within the carbon market in Uganda.

The Project has been working along-side GIZ in the development of Standardised Baselines (SBLs), which are to help further support CDM project development by reducing the CDM transaction costs. The Project co-organised with GIZ a stakeholder SBL validation workshop that decided on the most important SBLs to be developed to benefit Ugandan projects. The Project and GIZ are subsequently each working on developing an SBL as decided at the SBL validation workshop held in August. The Project team has consulted with the UNDP Low Emissions Capacity Development Project (LECB) to ensure that the SBLs developed could potentially applied in the NAMAs to be developed under the LECB project is planning to develop.

The Project has also had several discussions with the UNFCCC-Regional Collaboration Centre –Kampala, since initiating operations in May 2013, to identify possible common support areas for CDM projects, specifically those with a potential for synergies.

The Project provided financial logistical support to a NEMA Workshop on PoA monitoring and operations, while the RCC provided technical support in terms of resource training persons from Bonn to facilitate the training workshop. During this workshop, the Project also secured the support of GIZ in supporting other East African participants to share their experiences in PoA implementation.

Collaboration with the various actors in the market ensures there is no duplication of efforts and provides an opportunity to share lessons and learn from other Initiatives.

2.2 Performance outcome: To strengthen technical capacity on CDM project formulation and create awareness of investment opportunities under the CDM



2.2.1 Progress of indicators³

Outcome⁴: To strengthen technical capacity on CDM project formulation and create awareness of investment opportunities under the CDM among governmental institutions, project developers, including financing institutions						
Indicators ⁵	Baseline value ⁶	Progress year 2012	Progress year 2013	Target year N ⁷	End Target ⁸	Comments ⁹
6 additional Ugandan CDM projects appear on the www.unfccc.int as registered CDM projects at the end of the Project	0	0	0 Working progress	N/A	6 registered projects	The baseline value was set at zero, signifying that only those projects identified under the project are considered. This is because information on potential CDM projects is not readily available. No projects registered yet but 3 projects are under Validation for registration/ inclusion, totalling 5 project activities.
CCU promotion capacity as illustrated on website	0	6	12	N/A	CCU promotional capacity improved	There is significant improvement in the amount and quality of information available on the CCU website to promote climate change in general and
At least 5 National CDM consultants registered on CCU website and/ engaged in relevant professional activities at the end of the project	0	0	5	N/A	5 National CDM consultants trained and practicing	The baseline value has been set as zero, considering only Consultants trained under the Project and not existing ones.

2.2.2 Analysis of progress made

Analysis of progress made towards outcome: Analyse the dynamics between the outputs achieved and the likely achievement of the Outcome (see Results Report Guide):	
<i>Relation between outputs and the</i>	Progress has been made towards the achievement of the Project outcome. The

³ You can use the table provided, or you can replace it by your own monitoring matrix format. Add/delete columns according to the context (some interventions will need to add columns for previous years while other – new - interventions will not have a value for the previous year).

⁴ Use the formulation of the outcome as mentioned in the logical framework (DTF) or the last version of the logical framework that was validated by the JLCB.

⁵ Use the indicators as shown in the logical framework

⁶ The value of the indicator at time 0. Refers to the value of the indicators at the beginning of the intervention

⁷ The target value at the end of year N

⁸ The target value at the end of the intervention

⁹ Comments about progress realised, namely assessment of the achieved value of the indicator at the end of year N compared to the "baseline" values (time 0) and/or the value of the preceding year, and compared to the expected intermediate value for year N. If the intermediate value is not available, the end target will be the reference. Comments should be limited to a minimum.

<p><i>Outcome. (How) Are outputs (still) contributing to the achievement of the outcome:</i></p>	<p>progress on each of the outputs continues to contribute to the outcome of the Project , that is, <i>strengthening the technical capacity on CDM project formulation and creating awareness of investment opportunities under the CDM among government institutions, project developers and financial institutions.</i> This is demonstrated by an assessment below of each of the outputs below and how they contribute (or not) to the Project outcome:</p> <p><i>Output 1: The capacity of main stakeholders on CDM project formulation strengthened</i></p> <p>During 2013, the 6 CDM trainees have been undergoing training is CDM project formulation and development. The focus of the training has been on hand-on instruction for the trainees in QA/PIN writing, PDD writing, report writing and preparation of feasibility studies. Although 3 of the first trainees dropped out of the training programme for other jobs during 2013, it is still felt that the output above was achieved. It was mostly due to their built capacity in CDM and climate change mitigation in general, that they secured CDM or climate change-related jobs. Hence it can still be argued that the output was achieved by building the capacity of these Ugandans who have been employed on other projects. The 3 trainees were also immediately replaced by 3 new trainees to ensure that the opportunity for training is not wasted, and ensure that the Project still contributes to building the capacity of Ugandans in CDM project formulation.</p> <p>The project also currently has two (2) CDM-Hub associates who are under instruction, fronted by the supported projects. They have been attending most of the training sessions together with the CDM Trainees and have been working hand –in-hand on the supported projects, thus further contributing to capacity building of various stakeholders in CDM project formulation.</p> <p>In addition to the above, during 2013, 3 CDM training workshops were conducted under the Project. Following the inaugural workshop in 2012 that focussed on introducing the stakeholders to CDM and the carbon markets in general, the workshops in 2013 further built capacity by providing information on how to raise finance for clean-tech projects, the Calculation of the GEF; and practical aspects of PoA operations and monitoring. All were well-attended by a wide range of stakeholders, including financial institutions, government institutions and project developers. The participants have shown increasing awareness of CDM issues.</p> <p><i>Output 2: Accessibility and quality of information on CDM possibilities and procedures in Uganda improved.</i></p> <p>The CCU website was launched in the second quarter of 2012 and has undergone improvements in 2013 on the layout and ease of access to information. The information posted on the CCU website relevant to CDM includes briefing notes on the CDM, DNA procedures for obtaining Letters of Approval (LoAs), the sustainable development criteria, information adaptation and news items about CDM. Other information on the website includes information about CCU, the various sections under CCU and information about the different projects hosted at CCU supported by other development partners.</p> <p>The establishment of a functional CCU website has made information readily available to project developers and other stakeholders thus directly contributing to the outcome of raising awareness about Climate Change in general and CDM and other on-going mitigation/ adaptation initiatives in particular. The first and second call for applications for technical and financial support under the Project, were also posted on the CCU website, thus reaching a wider audience. Announcements and information relevant to the general public including upcoming workshops and outcomes has always been posted on the website. However, challenges still</p>
--	---

	<p>remain with regards to regular updates and the project team and CCU are devising means to overcome this.</p> <p>Output 3: The process for registration by the CDM EB of Ugandan CDM projects has been supported.</p> <p>Most core activities under this output have only commenced in 2013. From the first and Second call for proposals for CDM projects to support, ten (10) projects were selected, of which 8 have signed MoUs with BTC. The support will be both technical and financial to see them through the pre-registration and the registration process.</p> <p>During 2013, the Uganda GEF was updated and is expected to be beneficial to renewable energy CDM projects that would require the establishment of the the GEF in the determination of baseline emissions of their projects, thereby reducing the transaction costs.</p> <p>Also during 2013, a DOE was procured for the Whave water purification project; while bidders were invited for two other validation tenders for CDM projects under development i.e. the NWSC project for methane recovery from wastewater treatment] and NEMA Municipal waste compost program. The Project team has supported these projects in the preparation of PINs, TORs for procurement of DOEs for Validation/Inclusion; the preparation of PDDs and is providing support through the validation process.</p> <p>All the technical and financial support provided to CDM projects will therefore contribute to facilitating the process of registration of the supported projects with the CDM Executive Board. Output (3) therefore contributes directly to the outcome of the project, specifically building capacity in CDM project formulation as the Trainees and project developers work together on the CDM or potential CDM projects.</p> <p>The above assessment demonstrates that all three outputs (result areas) still contribute directly to the outcome of <i>strengthening the technical capacity on CDM project formulation and creating awareness of investment opportunities under the CDM among government institutions, project developers and financial institutions</i>; and therefore the output-to-outcome dynamic of the intervention logic is still valid for the CDM Capacity Development Project.</p>
<p><i>Progress made towards the achievement of the outcome (on the basis of indicators):</i></p>	<p>On the basis of the indicators, the project has made significant progress during 2013, and is mostly on schedule to meet the targets for most by the end of the Project. However there are some indicators where It might be difficult to meet the targets within the remaining project duration, mostly due to factors out of control of the Project. Specifically, the number of Projects registered, although we may have sufficient number of projects in the pipeline for registration, their registration before the project end cannot be guaranteed. Also the due to the limited interest in ERPAs attributed to the poor market conditions, the target number of projects supported in ERPA negotiations may not be met. Other than that, the Project is likely to meet all other targets and is largely on schedule to deliver the expected outputs.</p>
<p><i>Issues that arose, influencing factors (positive or negative):</i></p>	<p>The resignation of three of the trainees and the need for replacement led to some minimal delays in activity execution. The resignation of the ITA in Q4 however, did not have a significant impact on the project, since at the time of his resignation, most of the activities crucial for the ITAs support under the project had been completed. Also a replacement ITA was contracted in Q4 2013, thus minimising the negative impacts.</p> <p>The lack of well thought-through modalities for effecting support to projects led to</p>

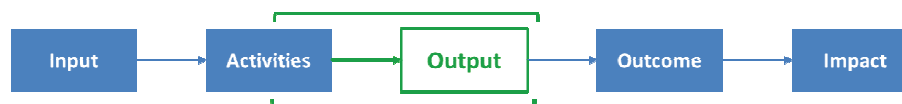
	unforeseen delays in the implementation of project support activities.
<i>Unexpected results:</i>	There are no unexpected results to report on the project

2.2.3 Potential Impact

The outcome of the project which is, *strengthened technical capacity on CDM project formulation and awareness of investment opportunities under the CDM*, will directly contribute to the sectoral objectives, particularly relating to climate change mitigation actions. The environment sector of Uganda, through the proposed Climate Change Policy that received cabinet approval through the NEPC, aims to promote mitigation initiatives that would ensure a low-carbon development pathway for Uganda. The CDM Capacity Development Project directly contributes to this objective through increased CDM project development that reduce carbon emissions.

The outcome of the project, can and will contribute to the impact that the project is aiming at, of *enabling Uganda to benefit from the CDM* both during the lifetime of the project and beyond. Post the Project period, the contribution to the impact will be as result of stakeholders trained in CDM project development and the use of established standardised baselines which should help to reduce the transaction costs of CDM project development in the future. The outcome- impact logic of the project is therefore still valid.

2.3 Performance output 1: The capacity of the main stakeholders on CDM project formulation strengthened



2.3.1 Progress of indicators

Output 1: The capacity of the main stakeholders on CDM project formulation strengthened						
Indicators	Baseline value	Progress year 2012	Progress year 2013	Target year N	End Target	Comments
CCU staff able to promote CDM in Uganda.	CCU not engaged in promotion of CDM	Same as baseline	Minimal progress.	N/A	CCU able to effectively promote CDM in Uganda	Some Improvement, further improvement necessary.. The CCU has made presentations at CDM workshops on DNA procedures and at the Durban Forum for capacity Building, held in June 2013, in Bonn.
Public, private and civil society stakeholders engaged in identification of potential CDM projects.	Both public and private stakeholders involved in identification of potential CDM projects	Stakeholders involved in the identification of CDM projects especially through the 1 st and 2 nd call for proposals	N/A	N/A	Public, private and civil society stakeholders are fully engaged in identification of potential CDM projects.	Applications for support under the 1 st and 2 nd call for proposals are testament to this.
Public, private and civil society stakeholders engaged in drafting PINs, PDDs, ERPAs and monitoring reports.	Public, private and civil society stakeholders engaged in drafting PINs, PDDs, ERPAs and monitoring reports	Same as baseline	Continued involvement in drafting of PINs and PDDs by the project team, CDM trainees, CCU trainees and CDM-hub Associates attached to supported projects.	N/A	Public, private and civil society stakeholders are fully engaged in drafting PINs, PDDs, ERPAs and monitoring reports.	
Number of Ugandan consultants trained in PIN writing	0	0	6+3	N/A	6	The trainees have been trained in drafting of PINs. So far 12 PINs have been completed. Each trainee has written at least 1 PIN. Also the trainees that left were already trained in PIN writing.
Number of Ugandan consultants	0	0	6	N/A	6	Baseline considers consultants trained under the Project

Output 1: The capacity of the main stakeholders on CDM project formulation strengthened

Indicators	Baseline value	Progress year 2012	Progress year 2013	Target year N	End Target	Comments
trained in PDD writing						Trainees have participated in the preparation of 4CPA_DDs, 1PoA_DD and 1 PDD
Number of training courses for Ugandan CDM stakeholders	0	1	4	N/A	5	Three CDM training workshops for stakeholders were conducted in 2013.
Number of Ugandan consultants trained in ERPA negotiations writing increased	0	0	6	N/A	6	The 6 trainees were trained in ERPA negotiation during 2013, in two training sessions. This included a training in the preparation of a sales term sheet.
Capacity building undertaken in diversity of sectors and at all stages of the CDM project cycle.	0 No projects selected yet	0 Projects submitted for application fall under a number of sectors	The 8 projects supported under the Project cover a wide range of sectors.	N/A	Capacity building undertaken in diversity of sectors and at all stages of the CDM project cycle	The supported projects, at the back of which capacity building takes place, fall in the energy/energy efficiency , waster (solid and wastewater), and agricultural efficiency sectors
Supporting the Ugandan Government, as well as other stakeholders develop standardised baselines.	0	0 No progress	TORs developed for Consultants to assist the DNA with the development of SBLs	N/A	Ugandan DNA supported in the Development of at least (2) SBLs	SBLs not yet developed but Project is making progress. Project has participated in an SBL validation workshop with GIZ, MEMD and MWE. Also TORs for GEF SBL consultants completed in 2013. Execution of the assignments to start Q1 2014 and be completed in Q3 or Q4 2014.

2.3.2 Progress of main activities

Progress of <u>main</u> activities ¹⁰	Progress:				Comments
	A	B	C	D	Comments (only if the value is C or D)
1. Support capacity building on all stages of the CDM project cycle in the CCU, UIA and at project proponents and Ugandan CDM consultants through contracting of business oriented, managerial/financial TA		x			
2. Support programme management and all stages of CDM project development through own and short term inputs as well as managing other consultancy services provided by the project.		x			Most consultancies started in 2013. The few remaining ones scheduled to commence Q1 2014.
3. Create a de facto CDM 'School' through capacity development of Ugandan experts to be involved in drafting of PINs and PDDs and participating in negotiations of carbon credit sales contract, the so-called Emission Reduction Purchase Agreement (ERPA) and create a potential for expanding activities to other East African countries as potential market.	x				
4. Include monitoring capacity development for existing and new CDM projects in Uganda to increase CER value and enhance subsidy basis for the Ugandan CDM consultants, who have received capacity building, with the purpose of building skills that will be needed in CDM projects after the PINs and PDDs have been drafted and the projects have been registered.		x			Monitoring Capacity development relevant only for one supported project, NEMA, and has been completed.

2.3.3 Analysis of progress made

Analysis of progress made towards output: <i>Analyse the dynamics between the activities and the probable achievement of the Output (see Results Report Guide).</i>	
<p><i>Relation between activities and the Output. (how) Are activities contributing (still) to the achievement of the output (do not discuss activities as such?):</i></p>	<p>The progress on each of the activities outlined above under output 1 still directly contributes to <i>building or strengthening capacity of the main stakeholders on CDM project formulation and development</i>. The probable achievement of output 1 is therefore very high, since the project has already made significant progress as shown in the subsequent paragraphs.</p> <p>During this reporting period, 6 CDM trainees have been undergoing structured training in CDM project formulation with hands-on experience in preparation of PINs and PDDs, reports and other documentation. This directly contributes to the outcome by building capacity of Ugandans in CDM project formulation.</p> <p>In addition, during 2013 three (3) CDM training workshop were held. These were attended by a wide range of stakeholders, including financial institutions, government institutions and project developers, thus building capacity and raising awareness of opportunities that the CDM market offers. The activity thus directly contributes to the expected outcome of the Project.</p> <p>The discussion on the progress made on the activities above shows that these are still contributing directly to the achievement of output 1 - <i>capacity development of</i></p>

¹⁰ A: The activities are ahead of schedule
 B: The activities are on schedule
 C: The activities are delayed, corrective measures are required.
 D: The activities are seriously delayed (more than 6 months). Substantial corrective measures are required.

	<i>stakeholders in CDM project formulation and development.</i>
<i>Progress made towards the achievement of the output (on the basis of indicators):</i>	On the basis of the indicators, the progress made towards the achievement of the output 1-capacity building of stakeholders in CDM project formulation, is good and the project is largely on track . Although capacity is difficult to measure, it is expected that the output 1 (building capacity in CMD project formulation) will be achieved by the end of the project.
<i>Issues that arose, influencing factors (positive or negative):</i>	.
<i>Unexpected results (positive or negative):</i>	There are no unexpected results to report on the project

2.4 Performance output 2: Accessibility and quality of information on CDM possibilities in Uganda improved

2.4.1 Progress of indicators

Output 2: Accessibility and quality of information on CDM possibilities in Uganda improved						
Indicators	Baseline value	Progress year 2012	Progress year 2013	Target year N	End Target	Comments
Web site established with uptime above 90%	CCU website in place but with limited usability and technical capability	A new website launched and is up and running	Website redesigned with new look and more user-friendly Staff received first training in website update	N/A	Availability of a fully operational website. -Access to required information on the website. -CCU IT staff trained on website maintenance.	100% achieved. Before change of service provider, uptime was below 90%, but currently above 90% since introduction of new service provider.
Staff able to design, update and maintain a website	CCU and project staff unable to update or maintain the website	Nil	Staff trained in update of website and upload of information. Follow-up trainings to be conducted in 2014	N/A	CCU and Project staff including trainees, able to design, update and maintain a website	New website based on a Content Management System (CMS) to allow easy editing by CCU staff after the training.
Website used (number of hits)	Previous CCU website had no counter to establish number of visits.	Nil	New launched website has a counter to establish how many visitors the site has had.	N/A	A website with an embedded tool to establish the number of clicks and increased traffic to the CCU website	Hits are monitored periodically in order to monitor the improvement in the website visits.
Interested stakeholders use website to communicate	No communication by the stakeholders via the CCU website	A section included under the new website design 'contact us' where stakeholders can submit their queries or comments	Still limited communication through the website.	N/A	Interested stakeholders are able to communicate through the website	The communication through the website is still limited.
Website positively evaluated during ATR	No evaluation of website previously	0 ATR evaluation yet to be conducted	0 ATR evaluation yet to be conducted	N/A	An effectively designed website, user-friendly and populated with all the necessary information about CCU, their procedures and projects, plus information on the CDM	Only a well-designed and easy to use website and with the relevant information to attract visitors can be positively evaluated.

Output 2: Accessibility and quality of information on CDM possibilities in Uganda improved						
Indicators	Baseline value	Progress year 2012	Progress year 2013	Target year N	End Target	Comments
Uploading the second national communication	Second national communication not yet prepared, hence not uploaded	0	0	N/A	Second National Communication uploaded on the CCU website	There's been delays in the preparation of the SNC. Results expected at in Q2 of 2014.
Eligibility criteria for LOA	Existing criteria which need revision	0	0	N/A	Improved eligibility criteria of LoA	Parallel work is happening between CCU as secretariat of DNA, supported by GIZ and the South African DNA on improvement of these procedure hence activity put on hold so as not to run parallel initiatives targeting the same objectives
Procedures for application of LON/LOA	Existing procedures which need revision	0	0	N/A	Improved standard procedures for obtaining a LNO or LoA	
Report on screening of Uganda for potential CDM projects	No relevant screening information on various sectors to help with identification of potential CDM projects.	0 Report being drafted.	1 Screening report completed.	N/A	A Screening report of CDM Potential in Uganda completed	Screening report awaiting final approval by the partner CCU.
Support project staff, CCU staff and UIA staff in Carbon Expo and/or other international carbon market exhibitions/conferences with a national stand for Uganda	Ineffective representation of Uganda at the carbon expo or other carbon market conferences- sometimes lacking a national stand for Uganda	0 No support provided	Done. CCU, UIA and project staff supported to attend the African Carbon Forum and the Carbon Expo 2013.	N/A	Uganda, through CCU and UIA, with support from the project, effectively represented at international carbon market conferences or exhibitions	Support activities executed in Q2/Q3 2013.

2.4.2 Progress of main activities

Progress of <u>main</u> activities ¹¹	Progress:				Comments (only if the value is C or D)
	A	B	C	D	
1. Establish Website on the Designated National Authority as a sub page of the website of the Ministry of Water and Environment with state-of-the-art front page and links.	x				Activity completed
2. Describe and upload information on national institutional setup, procedures and eligibility criteria for issuing of Letters of No Objection and Letters of Approval to inform buyers and project developers hereof		x			
3. Uploading Second National Communication of Uganda to the UNFCCC on emissions of greenhouse gases to supplement the present communication which is based on figures from 1993/96 when it is available from the on-going UNEP-GEF project on this issue		x			2 nd National Communication won't be available until Q2 2014
4. Uploading of screening report on CDM potential in Uganda			x		Report awaiting final approval by CCU before it can be uploaded.
5. Uploading of latest Grid Emission Factor for the Ugandan National Power Grid.			x		GEF to be ready in Q4 2013, upload to be carried out in Q1 2014.
6. Support participation by project staff, CCU staff and UIA staff in Carbon Expo trade show and/or other international carbon market exhibitions/conferences with a national stand for Uganda.	x				Project Staff, CCU and UIA supported

2.4.3 Analysis of progress made

Analysis of progress made towards output: <i>Analyse the dynamics between the activities and the probable achievement of the Output (see Results Report Guide).</i>	
<p><i>Relation between activities and the Output. (how) Are activities contributing (still) to the achievement of the output (do not discuss activities as such?):</i></p>	<p>The progress made so far, on each of the activities outlined still contributes to output 2 – <i>improvement of the accessibility to and the quality of information on CDM possibilities and procedures in Uganda</i>. The probable achievement of output 2 is therefore high, since the project has already made significant progress under output 2 during 2013.</p> <p>The CCU website was launched in the second quarter of 2012 and further improvements to the website have been carried out in 2013. The information posted on the CCU website includes briefing notes on the Clean Development Mechanism, DNA procedures for obtaining LoAs, the sustainable development criteria and news items that relate to exciting new or upcoming events within CCU, various CCU activities and about the various projects hosted at the CCU</p> <p>The re-launch of the CCU website and its further design improvement have made information readily available to project developers and other stakeholders thus directly contributing to the output 2. The first and second call for applications for support under the Project, were also posted on the CCU website, as well as announcements and outcomes of all workshops conducted under the project, thus reaching a wider audience.</p>

¹¹ A: The activities are ahead of schedule
B: The activities are on schedule
C: The activities are delayed, corrective measures are required.
D: The activities are seriously delayed (more than 6 months). Substantial corrective measures are required.

	<p>The progress made on the different activities thus shows that these are still contributing directly to the achievement of output 2 – <i>improving accessibility and quality of information on CDM possibilities and procedures in Uganda</i>.</p>
<p><i>Progress made towards the achievement of the output (on the basis of indicators):</i></p>	<p>On the basis of the indicators, the progress made towards the achievement of the output 2- improving accessibility and quality of information on CDM possibilities and procedures in Uganda, is good and the project is on track except for those activities that are out of control of the project. Output 2 - <i>improving accessibility and quality of information on CDM possibilities and procedures in Uganda</i>, is expected to be achieved by the end of the project primarily through the CCU website.</p>
<p><i>Issues that arose, influencing factors (positive or negative):</i></p>	<p>The delay in the finalisation of the Second National Communication has meant that the SNC could not be uploaded.</p> <p>Also earlier delays in the finalisation of the Screening report have meant that it has still not been uploaded, pending final approval by the CCU.</p> <p>It is considered crucial that moving forward, CCU takes full ownership and responsibility of the website considering the rationale behind this particular intervention. Some progress has been made in this regard, but further improvements would be necessary for smooth future operation of the CCU website, especially after completion of this Project.</p> <p>The down-time of the CCU website during 2013 reduced significantly, almost to elimination.</p>
<p><i>Unexpected results (positive or negative):</i></p>	<p>There are no unexpected results to report on the project</p>

2.5 Performance output 3: The process for registration by the CDM EB of Ugandan CDM projects has been supported.

2.5.1 Progress of indicators

Output 3: The process for registration by the EB CDM of Ugandan CDM projects has been supported						
Indicators	Baseline value	Progress year 2012	Progress 2013	Target year N	End Target	Comments
Number of potential projects identified	0	8	21	N/A	20	The baseline value was set at zero, signifying that only those projects identified under the project are considered. This is because information on potential CDM projects is not readily available. By the end of 2013, up to 21 potential CDM projects were identified from the first and second call for proposals and through liaison with Project developers. However the number of projects with PINs are less since a number of these had not reached financial closure or were not bankable.
Number of PINs developed	0	6	12	N/A	20	Similarly, the baseline is restricted to those project PINs developed under the Project, hence set at zero. By the end of 2013, 12 PINs or Quick Assessments (QAs) have been prepared, with 2 more under preparation.
Number PDDs developed	0	0	5	N/A	6 (5 stand alone +, 1 PoA)	The baseline value has been set as zero, considering only those PDDs prepared under the project. Data obtained from the UNFCCC website and the CCU was not used to set the baseline since if these are used, the target value would depend on both the existing numbers and the projects joining the pipeline during the course of the Project. By the end of 2013, 5 PDDs had been developed including 1 PDD for NWSC project for validation, 3 CPA_DDs for the NEMA project sites for inclusion into the PoA and 1 PoA_DD together with its CPA_DD for validation.
Number of ERPAs signed or negotiations supported for project developers and potential buyers identified	0	0	0	N/A	6	Due to the erosion of the CER prices on the carbon market, currently averaging at € 0.5, and less than € 1 for the whole of 2013, ERPAs have not been an attractive venture during 2013. This is mostly because the negotiated price for an ERPA is normally a fraction of the going CER market price at the time of signing the ERPA. However the Project will support at least 2 projects in ERPA negotiations during 2014.
Number of CDM projects registered	0	0	0	N/A	6	No projects have been registered as yet. But 1 Project, Whave Solutions Ltd, started validation in Q4 2013, with 2 more expected to start validation in Q1 2014.

Output 3: The process for registration by the EB CDM of Ugandan CDM projects has been supported						
Indicators	Baseline value	Progress year 2012	Progress 2013	Target year N	End Target	Comments
Number of CERs for all registered CDM projects supported by the project (2,000,000 CERs over crediting time)	0	0	0	N/A	2,000,000 CERs	No projects registered yet, hence no CERs generated yet. However ex-ante estimation of CERs from projects in pipeline for registration give an average of 975,000 CERs over a 7 year crediting period and 2,902,027 CERs over a 21 year crediting period.
Number of projects that have received financial advisory services from the project	0	0	2	N/A	5	Two projects have so far received financial advisory services: Nutrimix and Eco-Group Ltd. These services are only provided at the request of the projects.
Update the national Grid Emission Factor (GEF) for the Uganda electricity grid	-	-	Completed GEF update	N/A	Updated GEF for Uganda	The update of the Uganda GEF and its Validation were completed in Q4 2013.
Attempt to diversify CDM project development amongst different industrial sectors in Uganda	N/A	-	Achieved	N/A		Selected projects from a range of sectors

2.5.2 Progress of main activities

Progress of main activities ¹²	Progress:				Comments (only if the value is C or D)
	A	B	C	D	
1. Screening Report on CDM potential in Uganda including list of project proponents with name, address, telephone number, resume of contacts made of at least 50+ potential CDM projects deemed financially viable and totaling not less than yearly total of 500.000 tons CO ₂ -e, or document that this is not possible using existing methodologies (excl. Afforestation/Reforestation projects but including PoA)		x			Report completed. Awaiting final approval by CCU.
2. Update existing national grid emissions factor for the Ugandan national grid.		x			Activity completed in 2013 in line with the schedule
3. Establish funding mechanism for CDM project support (capacity issues, all stages of transaction and other capacity)			x		Though initially planned for 2013, tender was moved due to other urgent project activities and tenders. Tender preparation and publication planned for Q1 2014.
4. Funding of all steps of CDM project development (PIN, PDD; validation; support to ERPA negotiations and monitoring).		x			Support activities underway, including support for validation of 2 CDM projects and Inclusion of 3CPAs to a registered PoAs.

¹² A: The activities are ahead of schedule
B: The activities are on schedule
C: The activities are delayed, corrective measures are required.
D: The activities are seriously delayed (more than 6 months). Substantial corrective measures are required.

2.5.3 Analysis of progress made

<p>Analysis of progress made towards output: <i>Analyse the dynamics between the activities and the probable achievement of the Output (see Results Report Guide).</i></p>	
<p><i>Relation between activities and the Output. (how) Are activities contributing (still) to the achievement of the output (do not discuss activities as such?):</i></p>	<p>The progress made on the activities above contributes to output 3- <i>the process for registration by the CDM EB of Ugandan CDM projects supported</i>. Given the remaining duration of the project, the probable achievement of output 3 is high; project activities in 2014 will be focussed on finalising on-going activities.</p> <p>The activities are still leading to the intended output. The screening report will assist future CDM project developers in identifying the sectors with the highest emissions reduction potential and thus most viable for the development of CDM projects. The updated GEF will be useful in supporting the development of renewable energy projects since the baseline is already established, which should significantly lower the CDM transaction costs of these projects.</p> <p>Also to support the registration process of CDM projects, from the 1st and 2nd call for proposals, the Project selected 8 CDM projects to receive support. The projects are already receiving varying levels of technical and financial support. Four of the projects, in addition to technical support for preparation of PDDs, will receive financial support for the Validation of their projects for eventual registration with the EB, thus contributing directly to Output 3 of facilitating the process of registration of the various projects with the CDM Executive Board. Output (3) therefore contributes directly to the outcome of the project, specifically building capacity in CDM project formulation as the Trainees and project developers work together on the CDM or potential CDM projects.</p> <p>The progress made on the different activities and the analysis above show that the activities are still contributing directly to the achievement of output 3 by supporting <i>the registration of CDM projects by the CDM EB of Ugandan CDM</i>. The activities are also largely on schedule except for those activities that are not under the control of the Project.</p>
<p><i>Progress made towards the achievement of the output (on the basis of indicators):</i></p>	<p>On the basis of the indicators, the progress made towards the achievement of the output 3- <i>supported process for registration by the CDM EB of Ugandan CDM projects</i>, is good with most activities back on track in 2013. Output 3 is expected to be achieved by the end of the project.</p>
<p><i>Issues that arose, influencing factors (positive or negative):</i></p>	<p>The bureaucracies in beneficiary institutions led to delays in signing of MoUs and subsequently delays in commencement of the provision of support to beneficiary projects. However the Project management came up with innovative ways to address this risk by using ultimatum letters, which paid off with good results.</p>
<p><i>Unexpected results (positive or negative):</i></p>	<p>There are no unexpected results to report on the project</p>

2.6 Transversal Themes

2.6.1 Gender

The gender dimension of CDM and climate change in general is linked to how climate change affects women and children and in particular the effect of climate change on the gender roles of women in households, which are particularly relevant in the agriculture, health and in household water and energy management.

A study done by Makerere University concluded that “*The effects of climate change have led to changes in gender roles, consequently making some men and women take on non-traditionally prescribed roles. These include women’s engagement in income generating activities to provide for their families and men’s involvement in fetching water from distant places during the dry season for domestic use.*” This study concludes that there is scope to promote gender sensitive climate adaptation and mitigation strategies such as: □ increasing women’s access to land and other productive resources; increasing communal access to water; and promoting the use of fuel efficient stoves.

The intervention in the selection of projects to be supported has tried to ensure that gender sensitive mitigation projects are supported, specifically those with potential to minimize the impacts of climate change on women and children. The project has thus supported the Nutrimix project, which is aimed at increasing agricultural yields on top of methane avoidance; the Eco-Group project for efficient cook stoves and the Whave Safe water purification project that is also aimed at increasing access to clean water in rural areas.

The Project has thus put into consideration the gender aspects of climate change in the selection of mitigation projects to be supported.

2.6.2 Environment

The successful implementation of this intervention will result in a reduction of greenhouse gas emissions thus contributing to the global fight against climate change through mitigation initiatives. The average emissions reductions from all the supported projects in the pipeline are estimated at 139,000 tCO₂/yr and 975,000t CO₂ over a 7 year crediting cycle.

In addition, each of the CDM projects implemented is required to demonstrate compliance with the sustainable development criteria for the Ugandan DNA, which includes a requirement to demonstrate contribution to environmental sustainability by the project. Therefore all the supported projects that are under preparation for registration with the CDM EB are expected to contribute positively to environmental sustainability.

The intervention has also contributed indirectly to environmental conservation through building the capacity of various stakeholders and raising awareness about the benefits of the environment and tree planting in climate change mitigation.

2.6.3 Other

N/A

2.7 Risk management

Risk Identification			Risk analysis		Risk Treatment			Follow-up of risks		
Description of Risk	Period of identification	Risk category	Probability	Potential Impact	Total	Action(s)	Resp.	Deadline	Progress	Status
Out of 21 projects identified some of them may not be feasible as a CDM project and of the 12, they may not all be bankable	2013	Development	Medium	Low	A	Proactive sourcing of potential CDM projects through liaison with the relevant potential CDM project developers	NTA ITA	February 2013	Completed	Completed
						Proactive advertisement of the second call for proposals and through direct invitations to stakeholders through emails and telephone calls.	NTA ITA	February 2013	Completed	
The CDM is very dynamic field and, in the absence of a successor agreement to the Kyoto Protocol, some uncertainties exist regarding the future of the CDM within the international climate change context. At the same time, new mechanisms are being negotiated that could complement, and in some cases partly replace the CDM.	2011	Development	High	Medium	A	N/A	N/A	N/A	N/A	Doha Amendment to the Kyoto Protocol' was adopted during CMP 8 in Doha but has not yet come into force. Awaiting acceptance of ¾ of member states.
There is a risk that CDM school trainees will not complete the training due to other job opportunities that may arise during the course of the training	2011	Development	High	Medium	C	Recruiting recent graduate with little prior experience and thus harder to be offered other jobs	NTA/ ITA	August 2012	Done	Completed
						Provide the trainees with incentives that would make them want to complete the training programme and define operational	BTC	March 2013	In progress.	A Project Operations Manual was designed and is in use

Risk Identification			Risk analysis			Risk Treatment			Follow-up of risks	
Description of Risk	Period of identification	Risk category	Probability	Potential Impact	Total	Action(s)	Resp.	Deadline	Progress	Status
						modalities Provide a lock-in clause in the contract of the new trainees that are to replace the resigned trainees	BTC/ CCU	September 2013	Completed. New trainees have a clause in their contract mandating their commitment for 12 months.	
The Project team members may not deliver on their targets due to a lack of commitment of or due to staff drop out thus affecting project outputs.	2013	Development	Medium	High	C	Provide each team member with a scope of work with deliverables clearly outlined.	BTC/ CCU	April 2014	Scope of work provided to the trainees, NTA and PO	On-going So far improved commitment of trainees producing the required deliverables
The DNA not being fast enough in approving CDM projects supported under the project.	2011	Development	Medium	High	B	Close follow up with CCU to ensure the process of approval is expedited.	NTA/ ITA	December 2013	N/A	Procedures yet to be reviewed. Lead exercise by GIZ/CCU; not the Project
Competing with other climate finance initiatives with a possibility of negative publicity about the Project and conflicting terms of support as is the case with GET-FIT.	2011	Development/reputational	Low	Medium	A	Providing good terms under the project that outcompete existing initiatives. Providing ultimatum letters to ensure that projects that can potentially benefit from conflicting support initiatives can decide fast as to which one to opt for.	NTA/ ITA	August 2012	Risk reduced from B to A Only 1 project lost due to support from GET-FIT	Done
Supported projects that are in the process of validation and subsequent registration with the project may not be	2013	Development	High	Medium	B	Ensure proper planning and speedy implementation of all project activities to ensure completion within project duration.	NTA/ BTC	December 2014	N/A	N/A

Risk Identification			Risk analysis			Risk Treatment			Follow-up of risks	
Description of Risk	Period of identification	Risk category	Probability	Potential Impact	Total	Action(s)	Resp.	Deadline	Progress	Status
registered by the scheduled end of the Intervention						Look into possibility of extending the intervention by 6 months to allow completion of the registration process and other tenders				
ERPA negotiations not being attractive due to low market price of CERs.	2013	Development	Medium	High	C	Look for niche offers for ERPA with prices higher than the general carbon markets	NTA/ITA	December 2014	Project provided info on facilities such as NEFCO and SEA, call for proposals for CDM projects	
The erosion of CER prices on the carbon market may discourage potential CDM project developers from undertaking or continuation of the development of CDM projects.	2013	Development	Medium	High	B	Largely out of the control of the Project Supporting the development of Standardised Baselines (SBLs), which should further reduce the transaction costs of CDM project development	NTA/CCU	December 2014	SBLs under development.	On-going
Premature termination of MoUs.	2013	Development	Low	Medium	A	Provision of attractive terms of support under the MoU, to make termination unattractive	BTC	December 2014	N/A	N/A
Lack of sufficient capacity within the beneficiary projects to ensure sustainability of CDM projects post-intervention	2013	Development	High	Medium	C	Build the beneficiary projects capacity through training of CDM Hub Associates	Project team	December 2014	Some associates have started training	Training on-going

3 Steering and Learning

3.1 Strategic re-orientations

The year 2014 being the closing year of the intervention, the proposals for strategic-reorientations are limited as there is limited time in which to implement them.

However, it will be important for the main partner (CCU) to continue to be involved in the project implementation activities for the success of the project.

Also moving forward, the JTF needs to continue tracking project progress, however there might be added value in periodically having the entire project team review the project progress and identify the best way forward. This close monitoring of progress on two levels will ensure the project remains on track.

The Project can still make further progress in building public awareness on climate change in general and CDM in particular, by more effective presentation and dissemination of information to the public and other stakeholders.

3.2 Recommendations

Recommendations	Actor	Deadline
More Involvement of CCU, other government entities and private sector. Find ways to motivate CCU to be more involved in the project	CCU/JTF	Q2 2014
There is need for monthly tracking of progress as a project team in addition to the JTF.	JTF/BTC	Q2 2014
Mid-year results evaluation would be a good idea-6months from now	JTF/PSC	Q2 2014
There is need to further improve public awareness through the information on the CCU website and ensure that the information is sustainable beyond the lifetime of the intervention. Other information dissemination approaches beyond workshops e.g website, brochures, media (radio, tv, newspapers, etc)	CCU/ Project team	Q3 2014
There is need for interventions to ensure activities remain on track and outputs delivered within project duration e.g. use of external consultants.	JTF/ PSC/BTC	Q2 2014

Recommendations	Actor	Deadline
Monthly or quarterly review of risks to identify and manage the risk. There is also a need to identify the risk influencers and involve them in risk management	JTF	Q2 2014
CCU should take lead in the website maintenance / update. The CCU communications officer should take a lead role on the CCU website activities to ensure continuity after the end of the Intervention	CCU/BTC/Project Team	Q2 2014
There is need for close follow up with CCU to ensure the process of DNA approval of supported projects is expedited.	BTC/JTF	Q2 2014

3.3 Lessons Learned

Lessons learned	Target audience
<p>The active involvement of the main project partner (CCU) in steering the project and decisions about the implementation of project activities is essential for the overall success of the project and good will of government towards the project.</p> <p>The appointment of a principle contact person for CCU on the project in 2013 t has greatly aided the improvement of relations between the Project and CCU, and assisted in expediting of various project activities, particularly those where CCU input is required.</p>	Project team BTC
<p>Collaboration with existing climate finance initiatives (both public and private) is important for effective financing and implementation of CDM project support activities. This provides an opportunity to build synergies to ensure delivery of optimum project outputs.</p> <p>The PoA training support activity co-organised with GIZ and the UNFCCC- RCC was a great success, with each development partner drawing on their strengths to ensure the best results for the training. Similarly, the collaboration with GIZ in the development of Standardised Baselines has ensured that there is no overlap in the exercise, and that the relevant stakeholders are involved in the validation of the SBLs to develop. Stakeholder consultation ensures that the outputs are useful to the beneficiaries and are most relevant.</p>	Project team BTC
<p>In the formulation of an intervention any intervention that is meant to provide financial support to beneficiaries, it is important that the modalities of implementation in light of the applicable procurement procedures are thought through beforehand. This would ensure that time is not lost in identifying the best procedure to use during implementation, as has been the case for this project.</p>	BTC

Lessons learned	Target audience
<p>For outputs that are meant to be used by the partner institution beyond the lifetime of the project, the partner should be encouraged to take a lead role to ensure sustainability of the output or activities beyond the lifespan of the project.</p> <p>It is therefore necessary for CCU to take a lead role in the management of the CCU website since this is an instrument supported for the benefit of CCU, and its involvement is crucial to ensure continuity after the CDM capacity development project has come to an end.</p>	<p>BTC GoU/MWE</p>
<p>The commitment of the entire project team is crucial if the project is to meet its objectives and deliverables. It is thus imperative for stakeholders to come up with means to ensure that each project team member, including the trainees to fulfil their obligations and within an agreed time frame.</p>	<p>BTC Project team</p>
<p>The CDM trainees are part of the project team and it is thus necessary to involve them in all project activities beyond CDM capacity development. This will ease the burden of work on the project team and facilitate horizontal capacity development for the CDM trainees.</p>	<p>Project team</p>

4 Annexes

4.1 Quality criteria

1. RELEVANCE: The degree to which the intervention is in line with local and national policies and priorities as well as with the expectations of the beneficiaries				
<i>In order to calculate the total score for this quality criterion, proceed as follows: 'At least one 'A', no 'C' or 'D' = A; Two times 'B' = B; At least one 'C'; no 'D' = C; at least one 'D' = D</i>				
Assessment RELEVANCE: total score	A	B	C	D
		X		
1.1 What is the present level of relevance of the intervention?				
	A	Clearly still embedded in national policies and Belgian strategy, responds to aid effectiveness commitments, highly relevant to needs of target group.		
X	B	Still fits well in national policies and Belgian strategy (without always being explicit), reasonably compatible with aid effectiveness commitments, relevant to target group's needs.		
...	C	Some issues regarding consistency with national policies and Belgian strategy, aid effectiveness or relevance.		
...	D	Contradictions with national policies and Belgian strategy, aid efficiency commitments; relevance to needs is questionable. Major adaptations needed.		
1.2 As presently designed, is the intervention logic still holding true?				
	A	Clear and well-structured intervention logic; feasible and consistent vertical logic of objectives; adequate indicators; Risks and Assumptions clearly identified and managed; exit strategy in place (if applicable).		
x	B	Adequate intervention logic although it might need some improvements regarding hierarchy of objectives, indicators, Risk and Assumptions.		
	C	Problems with intervention logic may affect performance of intervention and capacity to monitor and evaluate progress; improvements necessary.		
	D	Intervention logic is faulty and requires major revision for the intervention to have a chance of success.		

2. EFFICIENCY OF IMPLEMENTATION TO DATE: Degree to which the resources of the intervention (funds, expertise, time, etc.) have been converted into results in an economical way				
<i>In order to calculate the total score for this quality criterion, proceed as follows: 'At least two 'A', no 'C' or 'D' = A; Two times 'B', no 'C' or 'D' = B; at least one 'C'; no 'D' = C; at least one 'D' = D</i>				
Assessment EFFICIENCY : total score	A	B	C	D
		X		
2.1 How well are inputs (financial, HR, goods & equipment) managed?				
	A	All inputs are available on time and within budget.		
x	B	Most inputs are available in reasonable time and do not require substantial budget adjustments. However there is room for improvement.		
	C	Availability and usage of inputs face problems, which need to be addressed; otherwise results may be at risk.		
	D	Availability and management of inputs have serious deficiencies, which threaten the achievement of results. Substantial change is needed.		

2.2 How well is the implementation of activities managed?		
	A	Activities implemented on schedule
x	B	Most activities are on schedule. Delays exist, but do not harm the delivery of outputs
	C	Activities are delayed. Corrections are necessary to deliver without too much delay.
	D	Serious delay. Outputs will not be delivered unless major changes in planning.
2.3 How well are outputs achieved?		
	A	All outputs have been and most likely will be delivered as scheduled with good quality contributing to outcomes as planned.
x	B	Output delivery is and will most likely be according to plan, but there is room for improvement in terms of quality, coverage and timing.
	C	Some output are/will be not delivered on time or with good quality. Adjustments are necessary.
	D	Quality and delivery of outputs has and most likely will have serious deficiencies. Major adjustments are needed to ensure that at least the key outputs are delivered on time.

3. EFFECTIVENESS TO DATE: Degree to which the outcome (Specific Objective) is achieved as planned at the end of year N				
<i>In order to calculate the total score for this quality criterion, proceed as follows: 'At least one 'A', no 'C' or 'D' = A; Two times 'B' = B; At least one 'C', no 'D' = C; at least one 'D' = D</i>				
Assessment EFFECTIVENESS : total score	A	B	C	D
		X		
3.1 As presently implemented what is the likelihood of the outcome to be achieved?				
	A	Full achievement of the outcome is likely in terms of quality and coverage. Negative effects (if any) have been mitigated.		
x	B	Outcome will be achieved with minor limitations; negative effects (if any) have not caused much harm.		
	C	Outcome will be achieved only partially among others because of negative effects to which management was not able to fully adapt. Corrective measures have to be taken to improve ability to achieve outcome.		
	D	The intervention will not achieve its outcome unless major, fundamental measures are taken.		
3.2 Are activities and outputs adapted (when needed), in order to achieve the outcome?				
	A	The intervention is successful in adapting its strategies / activities and outputs to changing external conditions in order to achieve the outcome. Risks and assumptions are managed in a proactive manner.		
x	B	The intervention is relatively successful in adapting its strategies to changing external conditions in order to achieve its outcome. Risks management is rather passive.		
	C	The intervention has not entirely succeeded in adapting its strategies to changing external conditions in a timely or adequate manner. Risk management has been rather static. An important change in strategies is necessary in order to ensure the intervention can achieve its outcome.		
	D	The intervention has failed to respond to changing external conditions, risks were insufficiently managed. Major changes are needed to attain the outcome.		

4. POTENTIAL SUSTAINABILITY: The degree of likelihood to maintain and reproduce the benefits of an intervention in the long run (beyond the implementation period of the intervention).				
<i>In order to calculate the total score for this quality criterion, proceed as follows: At least 3 'A's, no 'C' or 'D' = A ; Maximum two 'C's, no 'D' = B; At least three 'C's, no 'D' = C ; At least one 'D' = D</i>				
Assessment POTENTIAL SUSTAINABILITY : total score	A	B	C	D
		X		
4.1 Financial/economic viability?				
	A	Financial/economic sustainability is potentially very good: costs for services and maintenance are covered or affordable; external factors will not change that.		
x	B	Financial/economic sustainability is likely to be good, but problems might arise namely from changing external economic factors.		
	C	Problems need to be addressed regarding financial sustainability either in terms of institutional or target groups costs or changing economic context.		
	D	Financial/economic sustainability is very questionable unless major changes are made.		
4.2 What is the level of ownership of the intervention by target groups and will it continue after the end of external support?				
	A	The steering committee and other relevant local structures are strongly involved in all stages of implementation and are committed to continue producing and using results.		
x	B	Implementation is based in a good part on the steering committee and other relevant local structures, which are also somewhat involved in decision-making. Likelihood of sustainability is good, but there is room for improvement.		
	C	The intervention uses mainly ad-hoc arrangements and the steering committee and other relevant local structures to ensure sustainability. Continued results are not guaranteed. Corrective measures are needed.		
	D	The intervention depends completely on ad-hoc structures with no prospect of sustainability. Fundamental changes are needed to enable sustainability.		
4.3 What is the level of policy support provided and the degree of interaction between intervention and policy level?				
	A	Policy and institutions have been highly supportive of intervention and will continue to be so.		
x	B	Policy and policy enforcing institutions have been generally supportive, or at least have not hindered the intervention, and are likely to continue to be so.		
	C	Intervention sustainability is limited due to lack of policy support. Corrective measures are needed.		
	D	Policies have been and likely will be in contradiction with the intervention. Fundamental changes needed to make intervention sustainable.		
4.4 How well is the intervention contributing to institutional and management capacity?				
x	A	Intervention is embedded in institutional structures and has contributed to improve the institutional and management capacity (even if this is not an explicit goal).		
	B	Intervention management is well embedded in institutional structures and has somewhat contributed to capacity building. Additional expertise might be required. Improvements in order to guarantee sustainability are possible.		
	C	Intervention relies too much on ad-hoc structures instead of institutions; capacity building has not been sufficient to fully ensure sustainability. Corrective measures are needed.		
	D	Intervention is relying on ad hoc and capacity transfer to existing institutions, which could guarantee sustainability, is unlikely unless fundamental changes are undertaken.		

4.2 Decisions taken by the steering committee and follow-up

Decision to take				Action				Follow-up	
Decision to take	Period of identification	Timing	Source	Actor	Action(s)	Resp.	Deadline	Progress	Status
Joint Task Force (JTF) to discuss Indicators in TFF Vs those proposed during the MTR and provide recommendations to the PSC.	Q2 2013		59/PSC/13	JTF	JTF to discuss indicators Then provide recommendations to PSC	JTF	March 2014	Pending	Pending
Future Results Report to include a discussion on the challenges faced by the Project during implementation.	Q2 2013		59/PSC/13	NTA	Discussion to be included in 2013 results report	NTA	February 2014	Completed	Completed
Project team to recruit CDM-Hub Associates and update the Project Steering Committee.	Q2 2013		59/PSC/13	Project team	Project team to recruit CDM-hub associates	Project Team/ITA	March 2014	On-going	On-going 2 CDM hub associates under training.
CCU to prepare recommendation letter for the acting NTA, for the Permanent Secretary MWE to sign.	Q3 2013		66/PSC/13.	CCU	CCU to prepare letter	CCU coordinator	October 2013	Completed	Completed

Decision to take		Period of identification		Timing	Source	Actor	Action	Resp.	Deadline	Follow-up Progress	Status
Decision to take	Task force with members from CCU, CAMCO and BTC to be established and start meeting to ensure proper project management and operational decision making	Q3 2013			67/PSC/13	Project Team	JTF to be set up. Backstopping mission to compile TORs for JTF	CCU/BTC/Project team	October 2013	JTF constituted	JTF operational
	Task force to review the work plan on monthly basis	Q3 2013			67/PSC/13	JTF	JTF review work plan monthly	JTF	monthly	Under implementation	On-going
	Organogram to be revised to include the Project Steering Committee	Q3 2013			70/PSC/13	Project Team	Project team to revise organogram	NTA /PM	October 2013	Completed	Completed
	Project team to consider options for a site visit, which should coincide with the next PSC meeting and communicate this to the PSC members.	Q3 2013			72/PSC/13	Project team	PSC to be organized in Q1 2014 to coincide with site visits	NTA	March 2014	Dates and sites agreed upon	Preparation stage

4.3 Updated Logical framework

There has been some reviews to the Logical Framework, mostly following the Mid-term review as shown below.

Results and Activities	Indicators	Target	Source of Verification	Assumptions
<p>Overall Objective: To enable Uganda to benefit from the Clean Development Mechanism of the Kyoto Protocol.</p> <p>Specific Objective: To strengthen technical capacity on CDM project formulation and create awareness of investment opportunities under the CDM among governmental institutions, project developers, including financing institutions.</p> <p>Result 1: The capacity of the main stakeholders on CDM project formulation strengthened</p>	<p>Final Report referring to and elaborating on project achievements approved by Steering Committee</p> <p>A number of Ugandan CDM project appear on www.unfccc.int as registered CDM projects</p> <p>CCU promotion capacity as illustrated on website</p> <p>National CDM consultants registered on CCU website and/ engaged in relevant professional activities at the end of the project</p> <ul style="list-style-type: none"> CCU staff able to promote CDM in Uganda Public, private and civil society stakeholders engaged in identification of potential CDM projects Public, private and civil society stakeholders engaged in drafting PINs, PDDs, ERPA and monitoring reports 	<p>6 additional registered projects</p> <p>Promotional capacity illustrated</p> <p>5 Consultants trained</p> <ul style="list-style-type: none"> Capacity of at least one staff member (1) of CCU sufficiently developed to promote CDM and transfer of CDM skills to CCU through attachment of trainees to CCU. Support CCU staff in Carbon Expos and other international carbon market exhibitions Capacity building undertaken in a range of sectors Number of training Courses for Ugandan CDM stakeholders (5) Number of Ugandan Consultants trained in ERPA negotiations (6) Number of CDM-Hub Associates trained (depending on the level of interest from stakeholders (2-4) Number of Ugandan Consultants trained in ERPA negotiations (6) 	<p>Final Report</p> <p>www.unfccc.int</p> <p>Final Report</p> <ul style="list-style-type: none"> Execution reports Evaluation reports Meeting minutes Interviews Results report or Annual reports 	<ul style="list-style-type: none"> Registration regime for CDM projects at CDM EB is in place also after 2012. Modalities for project management and disbursement of funds are implemented according to the agreement with MWE Approval by the top and senior management of the MoWE to conduct the activities required and the placement of trainees within CCU Availability and interest and willingness by MoWE top managers and assigned staff to participate and cooperate Availability of adequate office facilities and staff to participate in the project Availability and willingness trainees to be trained in PIN and PDD writing and ERPA negotiations A reliable or efficient website host that would
<p>Result 2: Accessibility and quality of information on</p>	<ul style="list-style-type: none"> Web site established with uptime above 90% 	<ul style="list-style-type: none"> Website established including the following information or documents 	<ul style="list-style-type: none"> Functional website with necessary information 	<ul style="list-style-type: none"> A reliable or efficient website host that would

<p>CDM possibilities and procedures in Uganda improved</p>	<ul style="list-style-type: none"> • Staff able to design, update and maintain a website • Satisfaction of users • Website used (number of hits) • Interested stakeholders use website to communicate • Website positively evaluated during ATR. 	<p>uploaded:</p> <ul style="list-style-type: none"> o Second National Communication o Eligibility criteria for LNO o Eligibility criteria for LoA o DNA sustainable development criteria o Procedures for application for an LNO/LoA o Report on screening of Uganda for potential CDM projects <ul style="list-style-type: none"> • Fully functional website with over 90% uptime. 	<ul style="list-style-type: none"> • Evaluation reports • Execution reports 	<p>ensure the target uptime for the website.</p> <ul style="list-style-type: none"> • Needed information to be included on the website to attract stakeholders looking for that information. • Cooperation from IT staff of MWE concerning establishment of a DNA part of the website • Cooperation from CCU staff of MWE concerning establishment of a DNA part of the website
<p>Result 3: The process for registration by the EB CDM of Ugandan CDM projects has been supported</p>	<ul style="list-style-type: none"> • A number of potential CDM projects in Uganda identified • Number of PINs, PDDs, ERPAs on CDM projects supported • Number of CDM projects registered • Number of ERPAs signed with buyers • Number of monitoring reports verified by DOEs • Number of Certified Emission Reductions (CER) issued • Number of projects that have received financial advisory services from the project • Updated National GEF • Standardised baselines developed under the project 	<ul style="list-style-type: none"> • Number of CDM project identified and PINs drafted (20) • Number of PDDs developed (6-5standalone, 1 PoA) • Number of CDM projects registered (6) • ERPAs signed with buyers (6) • Monitoring reports verified by DOEs (2) • CERs issued over the entire crediting period (2,000,000) • Projects that have received financial advisory services (5) • No quantitative GEF indicator • Standardised baselines developed (2) 	<ul style="list-style-type: none"> • Project Progress reports • Evaluation reports • Minutes of meetings • PINs submitted for issuing of LNO • LNO issued by DNA • PDDs submitted for LOA • LoA issued by DNA • PDD submitted for validation • Validation reports available • ERPAs signed with buyers • Registration by EB CDM and projects are listed in UNFCCC website for registered CDM projects • Final GEF reports 	<ul style="list-style-type: none"> • Cooperation of CCU, UJA on project implementation when participating in the management of the project • Physical availability of CDM potential in Uganda • Financing available for CDM project implementation • Finance available for the beneficiary project implementation' (non-CDM) • Project developers will require support in financial advisory services.

N°	Activities	Means	Costs (Euro) See 4.3
<p>Result 1: The capacity of the main stakeholders on CDM project formulation strengthened</p>	<p>1. Support capacity building on all stages of the CDM project cycle in the CCU, IJA, financial institutions and at project proponents and Ugandan CDM consultants through contracting of business oriented, managerial/financial ITA.</p> <p>2. Support program management and all stages of CDM project development through own and ST inputs as well as managing other consultancy services provided by the project.</p> <p>3. Create de facto CDM "School" through cap. dev. of Ugandan experts to be involved in drafting of PINs and PDDs and participating in ERPA negotiations and a potential for expanding activities to other EA countries as potential market.</p> <p>4. Include monitoring capacity development for existing and new CDM projects in Uganda to increase CER value and enhance subsidy basis for developed experts over beyond PDD writing and create confidence among buyers that monitoring will be according to requirements.</p>	<p>International and national consultants CCU Staff IJA Staff Ugandan consultants/academia Transport Stationeries</p>	
<p>Result 2: Accessibility and quality of information on CDM possibilities and procedures in Uganda improved</p>	<p>1. Establish Website on the Designated National Authority as a sub page of the website of the Ministry of Water and Environment with state-of-the-art front page and links.</p> <p>2. Describe and upload information on national institutional setup, procedures and eligibility criteria for issuing of Letters of No Objection and Letters of Approval to inform buyers and project developers hereof.</p> <p>3. Uploading 2.nd National Communication of Uganda to the UNFCCC on emissions of greenhouse gases to supplement the present communication which is based on figures from 1993/96 when it is available from the ongoing UNEP-GEF project on this issue.</p> <p>4. Uploading of screening report on CDM potential in Uganda</p> <p>5. Uploading of latest Grid Emission Factor for the Ugandan National Power Grid</p> <p>6. Support participation by project staff, CCU staff and IJA staff in Carbon expo and/or other international carbon market exhibitions/conferences with a national stand for Uganda.</p>	<p>International and national consultants CCU Staff IJA Staff Transport 4 years hosting fee for website of MWE Stationeries Carbon Expo logistics e.g. Travel, accommodation, entrance fees, exhibition fees etc.</p>	
<p>Result 3: The process for registration by the EB CDM of Ugandan CDM projects has been supported</p>	<p>1. Screening Report on CDM potential in Uganda incl. list of project proponents with name, address, telephone number, resume of contacts made of at least 50+ potential CDM projects deemed financially viable and totalling not less than yearly total of 500.000 tons CO₂-e, or document that this is not possible using existing methodologies,(excl. AF, but incl. PoA)</p> <p>2. Update existing national grid emissions factor for the Ugandan national grid</p> <p>3. Establish funding mechanism for CDM project support (capacity issues, all stages of transaction + other capacity)</p> <p>4. Funding of all steps of CDM project development (PIN, PDD; validation; support to ERPA negotiations and monitoring).</p>	<p>International and national consultants CCU Staff, IJA Staff, MEMD Ugandan consultants/academia Project proponents Financial Institutions Transport, Stationeries Funding of CDM project development</p>	

4.4 MoRe Results at a glance

Logical framework's results or indicators modified in last 12 months?	YES
Baseline Report registered on PIT?	NO
Planning MTR	01/06/2013
Planning ETR	30/12/2014
Backstopping missions since 01/01/2013	09-16 March 2013 and 24 September-01 October 2013

4.5 “Budget versus current (y – m)” Report

The status is as follows:

Budget vs Actuals (Year to Date, Last 5 years) of UGA0902111

Project Title : Clean Development Mechanism Capacity Development Project

Budget Version : C3
Currency : EUR

YTD : Report includes all valid transactions, registered up to today

	Status	Fin Mode	Amount	Start to 2010	Expenses					Total	Balance	% Exec
					2011	2012	2013	2014	2015			
A To STRENGTHEN TECHNICAL CAPACITY ON			1,515,875.00		250,555.95	375,955.00	6,106.65	632,403.13	983,474.87	42%		
01 The capacity of the main stakeholders on			625,735.00		327,115.51	335,054.01	6,012.83	465,182.25	363,553.75	58%		
01 Support capacity building on all stages of the	REGIE		715,335.00		325,033.47	322,525.42	1,781.42	445,723.31	355,612.69	52%		
02 CDM school	REGIE		113,400.00		3,082.14	10,125.59	4,261.21	15,455.94	95,941.06	15%		
02 Accessibility and quality of information on			27,000.00		1,573.20	15,596.94	89.42	21,363.47	5,636.53	78%		
01 Establish Website on the Designated	REGIE		11,000.00		1,441.77	2,855.54	89.42	4,334.03	6,665.97	40%		
02 Support participation in Caroon expo, etc	REGIE		16,000.00		231.43	15,738.01	0.00	16,969.44	-963.44	105%		
03 The process for registration by the EB CDM			655,142.00		22,170.14	125,914.15	0.00	144,857.41	514,284.59	22%		
01 Update existing national grid emissions factor	REGIE		35,000.00		283.53	35,575.10	0.00	35,575.10	-1,575.10	105%		
02 Establish funding mechanism for CDM	REGIE		30,000.00		2,821.02	1,121.02	0.00	1,403.55	18,596.45	7%		
03 Funding of all steps of CDM project	REGIE		454,142.00		21,887.61	85,217.03	0.00	105,977.75	347,264.24	24%		
04 Developing Standardised baseline & Policy	REGIE		150,000.00		0.00	0.00	0.00	0.00	150,000.00	0%		
X BUDGETARY RESERVE (MAX 5% * TOTAL			25,655.00		2.08	0.00	0.00	2.08	25,652.92	9%		
01 Budgetary reserve			25,655.00		2.08	0.00	0.00	2.08	25,652.92	9%		
01 Budgetary reserve COGESTION	COGES		0.00		0.00	0.00	0.00	0.00	0.00	7%		
02 Budgetary reserve REGIE	REGIE		25,655.00		2.08	0.00	0.00	2.08	25,652.92	9%		
Z GENERAL MEANS			459,467.00		10,870.38	53,104.65	1,443.34	213,355.47	239,075.53	48%		
01 Human resources			66,160.00		5,545.93	22,615.09	940.79	38,171.84	29,988.16	59%		
01 Technical assistance	REGIE		46,560.00		5,372.34	14,545.48	0.00	22,355.22	24,204.78	45%		
02 Other staff costs	REGIE		21,600.00		575.49	7,770.51	940.79	15,905.62	5,693.38	74%		
02 Investments			97,557.00		63,455.82	23,232.15	-269.58	85,434.40	11,222.60	89%		
01 Vehicles	REGIE		42,500.00		43,251.59	0.00	0.00	43,254.59	-754.59	102%		
REGIE			3,000,000.00		10,872.46	455,655.59	7,648.38	851,793.68	1,148,205.32	43%		
COGEST			0.00		0.00	0.00	0.00	0.00	0.00	7%		
TOTAL			3,000,000.00		10,872.46	455,655.59	7,648.38	851,793.68	1,148,205.32	43%		



Budget vs Actuals (Year to Date, Last 5 years) of UGA0902111

Project Title : Clean Development Mechanism Capacity Development Project

Budget Version : C3

Currency : EUR

YTD :

Report includes all valid transactions, registered up to today

	Status	Fin Mode	Amount	Start to 2010	2011	2012	2013	Expenses		Total	Balance	% Exec
								2014	% Exec			
02 Office equipment	REGIE		14,487.00			8,693.68		0.00		8,693.68	5,803.32	60%
03 IT equipment	REGIE		14,660.00			11,487.48		-868.88		11,243.88	3,416.12	77%
04 Solar system for Climate Change Unit	REGIE		26,000.00				23,232.16	0.00		23,232.16	2,767.85	89%
03 Recurrent costs (fonctionnement)			172,660.00		3,333.81	26,244.88	17,938.65	1,866.18		50,082.46	121,787.54	28%
01 Office maintenance	REGIE		2,640.00			4,021.61	390.99	0.00		4,412.59	-1,772.59	187%
02 IT maintenance	REGIE		4,320.00		123.91	1,262.50	14.97	0.00		1,400.98	2,919.02	32%
03 Functioning vehicles & maintenance	REGIE		21,500.00		2,347.27	6,643.59	3,791.28	86.24		13,057.38	8,522.62	60%
04 Telecommunications	REGIE		9,600.00		89.64	783.38	1,330.10	117.71		2,320.83	7,279.17	24%
05 Internet	REGIE		24,000.00			8,050.88	6,791.33	16.28		14,842.29	9,157.72	52%
06 Stationary	REGIE		26,640.00		63.69	1,483.59	30.61	873.48		2,521.37	24,118.63	9%
07 Missions in Uganda	REGIE		11,260.00					0.00		0.00	11,260.00	0%
08 International Missions	REGIE		21,000.00		0.00			0.00		0.00	21,000.00	0%
09 Representation & communication costs	REGIE		38,400.00		369.78	1,673.98	4,887.84	137.01		6,967.38	31,432.72	18%
10 Financial costs	REGIE		1,200.00		139.96	396.86	739.79	26.83		1,292.23	-92.23	106%
11 Other functioning	REGIE		12,000.00			4,019.47	2.05	0.00		4,021.52	7,978.48	34%
04 Audit & monitoring			120,000.00		1,343.84	12,623.51	29,324.80	0.00		43,284.15	76,715.85	36%
01 Monitoring & evaluation	REGIE		60,000.00			6,968.00	25,480.89	0.00		31,668.89	28,331.11	53%
02 Financial audits	REGIE		30,000.00		25.15			0.00		25.15	29,974.85	0%
03 Backstopping	REGIE		30,000.00		1,320.68	6,635.51	3,443.92	0.00		11,400.11	18,599.89	38%
99 Conversion rate adjustment			0.00		342.90	251.27		0.00		623.62	-623.62	0%
99 Conversion rate adjustment	REGIE		0.00		342.90	251.27		0.00		623.62	-623.62	0%
	REGIE		2,000,000.00		10,872.46	364,807.53	458,669.69	7,648.38		851,793.68	1,148,206.32	43%
	COGEST		0.00					0.00		0.00	0.00	0%
TOTAL			2,000,000.00		10,872.46	364,807.53	458,669.69	7,648.38		851,793.68	1,148,206.32	43%



Budget vs Actuals (Year to Date, Last 5 years) of UGA0902111 Displayed on 11/03/2014

Page 7

4.6 Communication resources

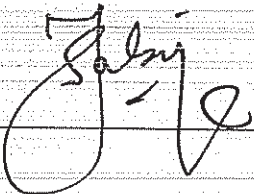
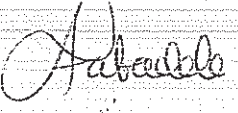
Not applicable for the CDM Capacity Development Project

progress during Q3/Q4 2013. The continued collaboration of BTC and CCU in the implementation of the project is still considered crucial for the success of the Intervention.

There was only a marginal improvement in the financial expenditure of the project during 2013, increasing from 19% by the end of 2012, to 43% by the end of 2013. Further significant expenditure is expected in 2014 as the Project finalises various activities under implementation.

Moving forward, the success of the Project will be largely determined by the efficiency and effectiveness of implementation of the on-going project activities to ensure quality project outputs/ milestones are achieved within the remaining Project duration.

The CDM markets have continued to suffer from drastic CER price declines; however there are new mechanisms under development at the international level. There is thus still a need for the Project to retain some flexibility in the capacity building programme, to be able to adjust to changing circumstances and enable the trainees to benefit from emerging mechanisms. However the CDM capacity building initiative is still considered relevant to Uganda since future market mechanisms will have a similar architecture to the CDM.

National execution official	BTC execution official
Paul Isabiryé  Signature	Martha Ntabadde  Signature