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A Performance Evaluation of Planning for Resilience in East Africa through Policy, Adaptation, Research, and Economic Development (PREPARED) Project

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A Performance Evaluation of Planning for Resilience in East Africa through Policy, Adaptation, Research, and Economic Development (PREPARED) Project

Prepared for Ms. Jaynnie Mulle
United States Agency for International Development/Kenya
C/O American Embassy
Unite Nations Avenue, Gigiri
P.O. Box 629, Village Market 00621
Nairobi, Kenya

Prepared by
Dorice Agol and International Business & Technical Consultants, Inc.
8618 Westwood Center Drive, Suite 400
Vienna, Virginia 22182
United States

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The authors' views expressed in this report do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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ACRONYMS

AfDB	African Development Bank
APP	Anti-Poaching Partnership
ARCC	African and Latin American Resilience to Climate Change
BIMS	Biodiversity Information Management System
BSA	Biologically Significant Area
BTF	Biodiversity Task Force
CCATA	Climate Change Adaptation Technical Advisor
CCCU	Climate Change Coordination Unit
CFS	Climate Finance Specialist
CIP	Conservation Investment Plan
COP21	United Nations Framework Convention on Climate Change Conference of Parties 21st Session
CR4D	Climate Research for Development in Africa
C3A2	Community Climate Change Adaptation Assessment
CCTWG	Climate Change Technical Working Group
CIN	Climate Information Network
CIESIN	Center for International Earth Science Information Network at Columbia University
CIU&SP	Climate Information User, and Service Provider Assessment
CRM	Customer Relationship Management
CSO	Civil Society Organization
CWT	Combating Wildlife Trafficking
DARE	Data Rescue
EA	East Africa
EPA	Ecosystem Profile Assessment

EAC	East African Community
EADB	East African Development Bank
EAWLS	East African Wildlife Society
ECOWAS	Economic Community of West African States
ENR	Environment and Natural Resources
ESPS	Evaluation Services and Program Support
FEWS NET	Famine Early Warning System Network
GCAP	Global Climate Adaptation Partnership
GCF	Green Climate Fund
GIS	Geographic Information System
HWC	Human Wildlife Conflict
IBTCI	International Business and Technical Consultants, Inc.
ICPAC	IGAD Climate Prediction and Applications Center
ICT	Information and Communication Technology
IGAD	Intergovernmental Authority on Development
IWRM	Integrated Water Resources Management
IKMS	Information and Knowledge Management Specialist
KEA	Kenya East Africa
KII	Key Informant Interview
KMD	Kenya Meteorological Department
KWS	Kenya Wildlife Service
LTS Africa	Land, Trees and Sustainability
LVB	Lake Victoria Basin
LVBC	Lake Victoria Basin Commission
LVEMP	Lake Victoria Environmental Management Program

LVWATSAN	Lake Victoria Water and Sanitation Initiative
M&E	Monitoring and Evaluation
MDA	Ministries, Departments and Agencies
MET	Meteorological
MoU	Memorandum of Understanding
MRB	Mara River Basin
MTE	Mid-Term Evaluation
NGOs	Nongovernmental Organizations
NRW	Non-revenue Water
NRWRP	Non-revenue Water Reduction Partnership
NWSC	National Water and Sewerage Corporation
OCA	Organizational Capacity Assessment
ODW	Options Development Workshop
OKACOM	Permanent Okavango River Basin Water Commission
PCC	PREPARED Program Coordination Committee
PES	Payment for Ecosystem Services
PIC	Project Implementation Committee
PIN	Project Identification Note
PMP	Performance Management Plan
PPP	Public Private Partnership
PREPARED	Planning for Resilience in East Africa through Policy, Adaptation, Research, and Economic Development
QSIP	Quality Service Improvement Program
RCMRD	Regional Centre for Mapping of Resources for Development
RDCS	Regional Development Cooperation Strategy

REC	Review and Evaluation Committee
RFTOP	Request for Task Order Proposal
RIE	Regional Implementing Entity
RPSC	Regional Policy Steering Committee
RWASHTF	Regional Water and Sanitation & Hygiene Task Force
SADC	Southern Africa Development Community
SCENR	Sectoral Council on Environment and Natural Resources
SECOM	Sectorial Council for Ministers
SERVIR	Regional Visualization and Monitoring System
SOW	Scope of Work
SMART	Spatial Monitoring and Reporting Tool
TMA	Tanzania Meteorological Agency
TPW	Tanzania People and Wildlife
UCSD	Uganda Coalition for Sustainable Development
UNFCCC	United Nations Framework Convention on Climate Change
UN-HABITAT	United Nations Human Settlements Program
USAID	United States Agency for International Development
USG	United Nations Government
USAID/KEA	USAID/Kenya/East Africa
VIA	Vulnerability, Impacts, and Adaptation Assessment
VI	Vulnerability Index
WASAC	Rwandese Water and Sanitation Corporation
WASH	Water, Sanitation, and Hygiene
WEMA	Water and Environmental Management Consult
WII	Weather Indexed Insurance

WILD	Wildlife Information and Landscape Database
WIMS	Water Information Management Systems
WMO	World Meteorological Organization

GLOSSARY

GeoCLIM is a spatial analysis software tool designed for climatological analysis of historical rainfall and temperature data.

GeoCOF is a statistical software tool for seasonal forecasting of climatic variables, such as rainfall.

GeoMOD is a transparent model framework for climate and regional sea-level projections.

GeoWRSI is a geo-spatial, stand-alone implementation of the Water Requirements Satisfaction Index.

FEWS NET, the Famine Early Warning Systems Network is a leading provider of early warning and analysis on food insecurity. Created by USAID in 1985 to help decision makers plan for humanitarian crises, FEWS NET provides evidence-based analysis on some 35 countries.

PREPARED Project denotes the activities implemented by contractor Tetra Tech/ARD funded directly by USAID/KEA.

PREPARED Program denotes funding provided by USAID/KEA to the EAC, LVBC, ICPAC, and FEWSNET. RCMRD/SERVIR is also a PREPARED Program partner although SERVIR funding is funded by USAID/KEA separately.

EXECUTIVE SUMMARY

Introduction

Preserving the integrity of the environment is a cornerstone of sustainable economic growth. This is especially true for five East African Community (EAC) Partner States: Burundi, Kenya, Rwanda, Tanzania, and Uganda. The rich resource base is an essential platform for the public health and control of infectious diseases linked to a safe and efficiently operated transboundary freshwater supply. World-class wildlife is the backbone of tourism, generating a significant proportion of the region's gross domestic product. Adaptations to the effects of climate change across the agriculture sector are necessary to ensure adequate food security and expansion of trade in future decades. USAID/Kenya-East Africa (USAID/KEA) awarded a five-year, $23.249 million project 'Planning for Resilience in East Africa through Policy Adaptation, Research, and Economic Development (PREPARED)', to Tetra Tech in December, 2012. PREPARED is composed of five components three of which are technical: 1) transboundary freshwater biodiversity conservation; 2) improved access to drinking water supply, sanitation and wastewater treatment services; 3) increased resiliency to climate change; 4) cross-cutting program coordination; and 5) management. Separately and together, these issues have enormous social and economic implications for equitable development across the region. This mid-term performance evaluation was completed at the end of the fourth year of implementation. The overall objectives of the evaluation are to: 1) inform the mission on how the current PREPARED project may be adjusted for improved development results; 2) to inform future activities and current project design; and 3) to document challenges, opportunities, successes, and lessons learned that can be used to guide potential scale up of certain activities. The evaluation questions are:

1. To what degree have PREPARED activities increased the ability of regional institutions to carry out their mandate, particularly regarding climate change adaptation and transboundary biodiversity conservation, and water supply, sanitation, and wastewater treatment services?
2. What are some key lessons learned in the design and implementation of the regional activities for the PREPARED contract?
3. How has PREPARED ensured that activities and services are gradually tied specifically to sustainable, publicly managed arrangements and government processes beyond the life of the project? Specifically: a. Wildlife Information and Landscape Database (WILD) application for combating wildlife crime; b. the transboundary management of the Mara River Basin; and c. embedding non-revenue water practices in regional institutions.

It is important to note that it was not the intention of this evaluation to carry out a financial analysis of how the funding assigned for the PREPARED project was allocated to each activity and Partner States. For this reason, it was not possible to outline expenditure against each activity**.**

Project Goal, Objectives, and Development Hypothesis

PREPARED's goal is to strengthen the resiliency and sustainability of East African economies, transboundary freshwater ecosystems, and communities by targeting the following three key development areas of East Africa that are also of high priority for the United States Government (USG): (i) biodiversity conservation/natural resource management (NRM); (ii) sustainable access to water, sanitation, and hygiene (WASH); and (iii) climate change. These issues have socio-economic and environmental challenges which negatively affect the NRM and WASH sectors. In response, the PREPARED project aimed at mainstreaming climate-resilient development and planning in EAC and its Partner States' development agenda.

PREPARED works and coordinates closely with the EAC Secretariat through the EAC Climate Change Coordination Unit (CCCU), the Lake Victoria Basin Commission (LVBC) Secretariat, the Intergovernmental Authority on Development (IGAD), through the IGAD Climate Prediction and Application Center (ICPAC), the Famine Early Warning System Network (FEWS NET), the Regional Visualization and Monitoring System (SERVIR), the East Africa Regional Center for Mapping of Resources for Development (RCMRD) and other non-governmental organizations (NGOs) in the Lake Victoria Basin (LVB), communities, regional academic and research institutions, the private sector and local governments.

The three objectives for PREPARED are: 1) climate change adaptation technical capacity, policy leadership, and action readiness of regional institutions improved; 2) resilient and sustainable management of biologically significant transboundary freshwater ecosystems in the EAC region strengthened; and 3) resilient and sustainable water supply, sanitation, and wastewater treatment services in the LVB enhanced. The development hypothesis of the project asserts that if the project's objectives are achieved, then the legitimacy, confidence, and authority of the EAC and the LVBC to provide regional leadership and technical direction in climate change adaption and integrated water resources management (IWRM) programming will increase. If all of the above are achieved, then the PREPARED project will have strengthened the resiliency and sustainability of East African economies, transboundary freshwater ecosystems, and communities. This framework emphasizes the empowerment of the EAC, LVBC, and other regional institutions (ICPAC and RCMRD) to ensure continued change long after the PREPARED project ends.

Evaluation Methodology

This mid-term evaluation adopted a descriptive, external, retrospective performance evaluation approach using a multi-site participatory qualitative study design. An environmental specialist and a regional integration specialist conducted the evaluation with oversight provided by the Evaluation Services Program Support (ESPS) team. Each team member signed a non-disclosure agreement and non-conflict of interest statement. Primary evaluation data sources included background documentation provided to the team by USAID, the PREPARED team, and other stakeholders and key informants across respondents (regional, national, sub-national, and community).

Prior to the field work, the evaluation team conducted a five-day document review and finalized the work plan and data collection tools. USAID/KEA, PREPARED staff, and other stakeholders were briefed. The data collection period lasted about five weeks from October 31, 2016 to December 2, 2016. The team performed the data analysis between December 3, 2016 and December 14, 2016. Concurrent with data analysis, the evaluation team held two validation meetings, with USAID/KEA, the PREPARED chief of party, deputy chief of party, and ESPS staff. After complete data triangulation from these sources, the final result, interpretation, conclusions, and recommendations were drafted. Two dissemination seminars were also held—one with the USAID/KEA front office in Nairobi and another in Arusha with the EAC and LVBC.

Evaluation Questions: Findings, Conclusions, and Recommendations

The evaluation addressed three broad questions covering each individual project component and related activities. The findings, conclusions, and recommendations of the evaluation team are

summarized below; the text of this report elaborates on detailed findings, conclusions, and recommendations. The evaluation team also assessed and analyzed four thematic findings and recommendations that apply across all activities.

Evaluation Question 1: To what degree have PREPARED activities increased the ability of the regional institutions to carry out their mandate, particularly regarding climate change adaptation and transboundary biodiversity conservation and WASH?

Climate Change Adaptation has five core areas: technical capacity, community-based plans, research and monitoring, policy leadership and governance, and action readiness. Under this component PREPARED led a comprehensive program for the EAC and LVBC principals, EAC Partner States, and ministries and their departments to identify current climate risks and assess future climate trends. Trainees attended courses on global climate change adaptation and were trained to use software tools and sensory imaging. Completed vulnerability assessments were used to identify 17 regional geographic hotspots most vulnerable to climate change. The LVB Climate Change Adaptation Strategy and Action Plan is currently being finalized. Seventeen community-based action plans (CBAP) were developed: two in Burundi, five in Kenya, two in Rwanda, six in Tanzania, and two in Uganda. With PREPARED project's capacity building support, the EAC CCCU has the potential to become an effective player in regional policy and governance. The main conclusion is that PREPARED has contributed greatly to strengthening knowledge and institutional capacity on climate change adaptation and the provision of new tools to assist in assessing, planning, and fostering investment in climate change actions. All assisted entities are currently poised to move forward with enhanced skills and knowledge. It was noted that as the project reaches closure it will be important to ensure these new policies, procedures, systems, tools, and plans are fully vested in their respective institutions and departments.

Transboundary Biodiversity Conservation: The biodiversity conservation component has four major activities: supporting institutional governance, identifying priority interventions, implementing IWRM in the Mara River Basin, and developing regional biodiversity conservation plans. PREPARED collaborated with the EAC and LVBC, worked with stakeholders to prioritize interventions, conducted numerous assessments in the Lake Victoria Basin, facilitated training on wetlands conservation, organized the commencement of four conservation investment plans, and engaged with various institutions such as the East African Wildlife Society in biodiversity conservation activities. The program analyzed the impacts of tourism on wildlife reserve ecosystems, and successfully completed valuations of conservation programs. The evaluation concluded that training and planning activities were logically sequenced, built momentum, and were positively received by partners and beneficiaries. For example, the training began with identification of biologically significant areas (BSAs) followed by Ecosystem Profile Assessments (EPAs), Economic Valuations (EV) and then Conservation Investment Plans (CIPs). These key training outputs are appreciated by Partner States as important biodiversity conservation tools and methodologies in the region. PREPARED project also supported the negotiation and signing of a memorandum of understanding (MoU) between the Republic of Kenya and United Republic of Tanzania to jointly manage the water resources in MRB in September 2015. The team also examined the parts of the Performance Management Plan (PMP) associated with this component and concluded the PMP could be improved during the remaining life of the project by aligning its indicators with key biodiversity targets of the region. This is further addressed in the general recommendations at the end of this summary. In 2013, USAID/KEA asked PREPARED to undertake activities in support of President Obama's new Executive Order on combating wildlife

trafficking (CWT). PREPARED facilitated the organization of the Anti-Poaching Partnership (APP) comprised of 35 Tanzanian and Kenyan stakeholders from the government, civil society, and the private sector that led to the development of Wildlife Information and Landscape Database (WILD), an information and communication technology (ICT) tool aimed at deterring wildlife crime and human wildlife conflicts in community conservancies in East Africa. In 2014, the EAC, through its environment and natural resources department, developed a regional strategy to combat anti-poaching and illegal trade and trafficking in wildlife and wildlife products. PREPARED supported the Kenya Wildlife Service's awareness campaign against ivory trade during the ivory burn event held in April 2016 through multiple media outlets in Kenya. Evaluators found that significant time and resources were expended in this sector with many positive outcomes. The WILD tool in particular has generated considerable interest and shows promise for combating poaching in the region. The evaluators recommend that the WILD, which currently only stores and analyzes data, should be refined to improve its capacity to link socio-ecological factors that facilitate wildlife tracking.

Water Supply, Sanitation, and Wastewater Treatment: Focusing on the LVB, the Regional Water, Sanitation, & Hygiene Task Force (RWASHTF) was formed. Service providers throughout the LVB received training on water quality and service provision, systems management, and strategies for engaging stakeholders. The project completed a feasibility study to strengthen the legal and regulatory framework for WASH and explored remedies for reducing non-revenue water loss. The consensus of the team and key informants was that the non-revenue water was a critical element of resource management and that the momentum needed to be sustained if the desired outcomes were to be achieved in the future. Key informants acknowledged that the training was valuable, but were concerned that the project's lack of support for purchase and installation of infrastructure for water supply systems would limit results. Although this was outside the scope of the project, the evaluators recommend that PREPARED should focus on handing over these activities to relevant stakeholders.

Public-Private-Partnerships: The project supported the establishment and promotion of four notable **public-private partnerships (PPPs)** to address cross-cutting issues of its three components:

i) The Anti-Poaching Partnership (APP) comprising of 35 Tanzanian and Kenyan stakeholders from the government, civil society, and the private sector was established in 2013 which supported the Wildlife Information and Landscape Database (WILD) developed by Strathmore iLab Africa to deter anti-poaching and human-wildlife conflict incidences in East Africa ii) A Non-Revenue Water (NRW) Reduction Partnership was also a success in Uganda which comprised of the National Water and Sewerage Corporation (NWSC), Jinja, Uganda, ITRON, and MTN Uganda. iii) A Weather Index Insurance (WII) Partnership comprising of public and private entities[1] and utilizes climate information generated from the GeoCLIM tool to design crop insurance packages to cushion farmers against extreme weather and climate events and build their economic resilience and iv) A Resource Efficiency Partnership (REP) established in 2015 to promote sustainable tourism through improved waste water

[1] Agriculture and Climate Risk Enterprise (ACRE), Kenya Meteorological Department (KMD), State Department of Agriculture, Ministry of Agriculture, Livestock and Fisheries, Kenya, Famine Early Warning Systems Network (FEWS NET), Jubilee Insurance, Earth Networks, and the Trans-African Hydro-Meteorological Observatory (TAHMO), farmers' organizations, UTS Sacco, and fertilizer companies, SSG Advisors and PREPARED

management in the Maasai Mara-Serengeti ecosystem. The partnership comprised of the Mara-Serengeti Hoteliers Forum (MSHF), regional chemical production industries - BASF East Africa and Ecolab, LVBC, National Environmental Management Authorities and Water Resource Management Authorities of Kenya and Tanzania

Evaluation Question 2: What are some key lessons learned in the design and implementation of the regional activities for the PREPARED contract?

The evaluation determined that the complex nature of regional implementation was further constrained by interfaces between regional and national governments. Inequities in the distribution of development assistance across the Partner States exacerbated this situation. Similarly, key informants noted that PREPARED activities were unevenly distributed across the five countries. The PREPARED project design process was perceived not to have been inclusive. Communication about PREPARED, while initially inadequate, improved greatly with the creation of PREPARED's Program Coordination Committee (PCC). Respondent perceptions were that some project activities were implemented vertically without prior consultations with appropriate counterparts. The PREPARED key personnel could have benefited from a dedicated communication specialist from the start of the project who, in addition to undertaking the broader communications activity, may have been able to avert misunderstandings through a more open dialogue. Nevertheless, a strong achievement of PREPARED has been the numerous grants made to NGOs and national coalitions through subcontracts which allowed over 50[2] organizations to implement various activities within the project areas. This promoted a strong sense of participation and partnerships at the grassroots level.

The evaluation team recommends that future project designs consider the EAC governance structure and how individual Partner States could better manage subsequent implementation. The team further recommends designating a project coordinator in each country and conducting stakeholder mapping exercises prior to awarding sub-grants to limit perceptions of inequity. It also suggests that USAID/KEA build sustainability as an objective from the start, lead a donor coordination group around PREPARED and similar donor-financed programs, and encourage the USAID/KEA Contracting Officer's Representative to play a more active role in monitoring and documenting changes in project activities. The team recommends that the project focus on institutionalizing the RWASHTF, Biodiversity and Climate Change Technical Working Groups, and activities with the LVBC.

Evaluation Question 3: How has PREPARED ensured that activities and services are gradually tied to sustainable, publicly managed arrangements, and government processes beyond the life of the project?

The evaluation assessed the success of PREPARED relative to the promotion of demand and ownership so that activities would continue after the project ends, the ability of the project to nurture key institutions – governmental, civil society, and private sector – to implement, and evaluate activities in the relevant areas, and accomplishments in skills and capacity building of key stakeholders whose involvement will be critical for maintaining gains after the project ends. The team concluded that

[2] Examples include Uganda Wetlands, Uganda Coalition for Sustainable Development (UCSD), Birdlife International, Lands, Trees and Sustainability Africa (LTS Africa), Big Life Foundation, Mara Elephant Project, CAMCO Advisory Services, Global Climate Adaptation Partnership (GCAP), Eco-Finder Kenya Nature Kenya and Nature Uganda

capacity building for sustainability and progress across each program area was underway, but not yet complete. Stakeholders and beneficiaries at all levels appreciated PREPARED's technical assistance; however, the aforementioned lag in communications resulted in limited demand and ownership of project activities at the EAC Partner State level. Through the development of the various tools, the project has, however, successfully strengthened institutional capacities to analyze, implement, and evaluate activities, to inform the decision-making process, and to use the tools introduced through PREPARED. The demand for these tools is strong, but they are yet to be fully assimilated at the institutional level. The challenge remains to identify capable institutions to host the tools and methodologies, with skilled individuals who can train others after the project ends. To ensure institutional sustainability, these tools need to be mainstreamed within institution and its services.

The team recommends emphasizing the migration process of all modeling and analytical tools from technical assistance provided by the project to partnering intuitions. Further, continuing public-private partnerships, especially for human-wildlife conflict resolution is also recommended.

Key Findings & Recommendations

Five key findings with recommendations cut across all evaluation questions and project activities. First, the nature of the USAID design process coupled with EAC protocols often means that experienced line staff implementing projects at the EAC and within Partner States, are not included in the design phase of projects. It is recommended that USAID/KEA makes a concerted effort to facilitate a more inclusive project design process for regional programs. Secondly, M&E systems across most activities are perceived as inadequate, focusing on outputs rather than outcomes. It is recommended that an outcome-based M&E system be established. Third, PREPARED lacked an effective overall community strategy for engaging and communicating with stakeholders including EAC Partner States and regional organizations, on project matters. It is recommended that PREPARED should compile a living document to illustrate lessons learned throughout the project's life. Fourth, in several instances, custom indicators for the PREPARED M&E plan may have better reflected the project's strengths and weaknesses. Indicators reflected outputs rather than outcomes. It is recommended that USAID/KEA use such custom indicators for projects similar to PREPARED. Finally, the team found that most activities will require an accelerated effort to become sustainable after PREPARED support ends. It is recommended that this become the primary focus for the remaining life of the project.

PREPARED can be credited for making a significant contribution toward reaching an important milestone to preserve the ecology and the environment of the East Africa region. It is expected that the project will gather momentum in its last phase and leave a footprint of resilience and sustainable economic growth.

INTRODUCTION

The EAC is a regional inter-governmental organization of six Partner States: The Republics of Burundi, Kenya, Rwanda and Uganda, the United Republic of Tanzania and, its newest Partner State, the Republic of South Sudan. Headquartered in Arusha, Tanzania, the EAC's mission is to widen and deepen economic, political, social, and cultural integration to improve the quality of people's lives in East Africa through increased competitiveness, value-added production, trade, and investments. Key opportunities lie at the nexus of three priority areas of development for both the EAC and USAID/KEA. These include transboundary freshwater biodiversity conservation, improved access to drinking water supply and sanitation services, and increased resiliency to climate change. Separately and together, these issues have enormous social and economic implications for sustainable development across the region. They also provide a unique opportunity for USAID/KEA to take a truly innovative approach that simultaneously addresses all these issues through the lens of ecosystem based adaptation, IWRM, WASH services delivery, and climate change adaptation in ways that will lead to long-term transformative change and resiliency. In December 2012, USAID/KEA awarded a five-year contract to Tetra Tech to implement the 'Planning for Resilience in East Africa through Policy Adaptation, Research, and Economic Development (PREPARED)' project in five EAC Partner States.

Through its ESPS activity, USAID/KEA commissioned a mid-term evaluation to assess the effectiveness and sustainability of USAID/KEA's PREPARED project. An environmental specialist and a regional integration specialist conducted the evaluation with oversight provided by the ESPS team. Both team members signed a non-disclosure agreement and a non-conflict of interest statement.

The overall objectives of this mid-term evaluation are to: 1) inform the Mission on how the current PREPARED project may be adjusted for improved development results; 2) to inform future activities and current project design; and 3) to document challenges, opportunities, successes, and lessons learned that can be used to guide potential scale up of certain activities.

The evaluation questions below are:

1. To what degree have PREPARED activities increased the ability of the regional institutions to carry out their mandate, particularly related to climate change adaptation, transboundary biodiversity conservation and WASH?
2. What are the key lessons learned in designing and implementing the regional activities for the PREPARED contract?
3. How has PREPARED ensured that activities and services are gradually tied specifically to sustainable, publicly managed arrangements and government processes beyond the life of the project? Specifically:
    a) Wildlife Information and Landscape Database (WILD) for combating wildlife crime,
    b) The transboundary management of the Mara River Basin, and
    c) Embedding non-revenue water practices in a regional institutional level.

As noted in the scope of work (Annex 1), this evaluation is intended for a broad audience. The primary audience is the PREPARED Contracting Officer's Representative and USAID/KEA Mission staff involved in designing future regional activities and implementing USAID/KEA's new Regional Development Cooperation Strategy (RDCS). The secondary audience includes the activity's implementing partner, Tetra Tech/ARD and its partners, civil society organizations that received grants under the PREPARED project and regional organizations that coordinate and interact with PREPARED on a regular basis. Additional audiences include various regional inter-governmental organizations such as the EAC Secretariat, the Lake Victoria Basin Commission (LVBC) and Partner

States (Burundi, Kenya, Rwanda, Tanzania, and Uganda);, the IGAD's Climate Prediction and Applications Center (ICPAC); the Regional Center for Mapping of Resources for Development (RCMRD) and the USAID bilateral missions in East Africa.

BACKGROUND

The EAC was established in 2000 when a treaty was ratified between the three original Partner States; Kenya, Tanzania, and Uganda. The Republics of Rwanda and Burundi became full members of the Community in 2007. The Republic of South Sudan became a member in 2016 and therefore is not covered under the PREPARED project activities. The broad objective of the EAC is to develop policies and programs aimed at widening and deepening cooperation among the Partner States in political, social, and cultural fields; research and technology, defense, security, and legal and judicial affairs. Home to 150 million citizens, a successful EAC bears great strategic and geopolitical significance.

In December 2012, Tetra Tech/ARD was awarded a five-year, $23.249 million ceiling contract to implement the PREPARED project in five EAC countries (Burundi, Kenya, Rwanda, Tanzania, and Uganda). The project's goal is to strengthen the resiliency and sustainability of the EAC and LVBC to provide regional leadership and technical direction in climate change adaptation, biodiversity conservation, and WASH through initiatives such as transboundary ecosystem management and increased IWRM programming. PREPARED's goal is aligned with the EAC's mandate as stipulated in Article 5 of the treaty. PREPARED coordinates closely with the EAC Secretariat, through its CCCU, the LVBC Secretariat, as well as ICPAC, FEWS NET, RCMRD that is implementing the SERVIR- East Africa Program at and other NGOs in LVB, communities, regional academic and research institutions, and businesses and local governments that use and manage the resources of the LVB.

Realizing project objectives have local, national, regional, and global implications that make these evaluation findings important. For example, climate change adaptation can propel growth in the agriculture sector to achieve household, national, and regional food security. The sector is also a driver of economic growth through employment, trade, and income generation both regionally and in global markets. Clean, potable water is essential to the public health and the control of infectious diseases, and the transboundary management of this natural resource is critical across the region. Many countries within the EAC rely heavily on revenues from tourism in the national parks, thus wildlife is a national treasure.

The PREPARED project is composed of five components, which include three technical components (climate change adaptation, biodiversity conservation, and WASH) and two components that focus on cross-cutting policy and program coordination and management. The project's technical components have three integrated objectives:

- Objective 1. Climate change adaptation technical capacity, policy leadership, and action readiness of regional institutions improved.
- Objective 2. Resilient and sustainable management of biologically significant transboundary freshwater ecosystems in the EAC region strengthened.
- Objective 3. Resilient and sustainable water supply, sanitation, and wastewater treatment services in the Lake Victoria Basin enhanced.

The development hypothesis of this project asserts that if project objectives are achieved, then the legitimacy, confidence, and authority of the EAC and LVBC to provide regional leadership and technical direction in climate change adaption and IWRM programming will increase, and if all of the above are achieved, then the PREPARED project will have strengthened the resiliency and sustainability of East African economies, transboundary freshwater ecosystems, and communities. This framework emphasizes the empowerment of the EAC, LVBC, and other regional institutions (ICPAC and RCMRD) to ensure sustainable and continued change long after the PREPARED project ends.[1] The

underlying assumption of PREPARED is that 'creating economic and environmental resilience within the EAC region can be achieved by reaching consensus on policies and programs across the three key project areas, establishing a knowledge platform, and applying this information through research, dissemination, and collaboration'.

Discussion of the project's components can be found in Annex 3.

METHODOLOGY

This section discusses the methodology with respect to evaluation design, data analysis and triangulation, and limitations.

Evaluation Design

This mid-term evaluation adopted a descriptive, external retrospective performance evaluation approach that used a multi-site participatory qualitative study design. The multi-site participatory approach provided the ability to review and hear different inputs for the same questions and triangulate data from multiple sites and types of stakeholders.

Sampling Strategy and Selection Criteria

The evaluation used a purposeful sample selection technique based on the PREPARED project's partners, subcontractors, grantees, and EAC Partner State governments. The respondents were selected in consultation with PREPARED partners to ensure that actors most informed about PREPARED activities were included to provide meaningful and reliable data for the evaluation exercise. The evaluation sites were chosen to ensure data collection in all five target countries Table 1 lists respondent categories and the number of respondents interviewed within each category. See Annex 5 for a complete listing of key informant interviews (KIIs).

Table 1: KIIs categories, number of KIIs sessions and number of participants

KII categories	No. of KII sessions	No. of KII participants
PREPARED staff	6	6
EAC EAC Secretariat LVBC Secretariat	14	15
Regional organizations (RCMRD, ICPAC, FEWS NET)	6	7
Partner State ministries, departments, and agencies in the following focal sectors: Agriculture and Food Security Environment and Natural Resources Water Infrastructure Energy	24	32
Subcontractors involved in the following activities: Climate Change Adaptation Transboundary Biodiversity Conservation Water Supply, Sanitation, and Hygiene	6	8
PREPARED grantees involved in the following activities: Climate Change Adaptation Transboundary Biodiversity Conservation	7	11

KII categories	No. of KII sessions	No. of KII participants
Water Supply, Sanitation, and Hygiene		
7. Other development partners	2	2
USAID	5	5
Community beneficiary groups	2	2
TOTAL	**72**	**88**

Data Collection Methods

A summary table linking evaluation questions with corresponding information on data source and data collection and analysis methods is presented in Annex 6, Evaluation Plan Matrix. The evaluation team primarily used document review and key informant interviews to collect data to address the evaluation objectives and questions.

Document Review

The team analyzed the content of project reports and other relevant documents to assess the appropriateness of the technical approach, to understand inputs, outputs, and synergies among various interventions, and to determine the extent of their contributions in achieving the objectives of PREPARED activities. This content analysis identified themes for triangulation with other data collected and analyzed as part of the evaluation. A complete list of these documents is attached to the report as Annex 7 – List of Documents.

Key Informant Interviews (KII)

A total of 79 KIIs were conducted. The interview was conducted one-on-one or in a group setting (with 2 or 3 participants), resulting in almost 90 key informants participating. The KIIs were face-to-face meetings except for informants based in Burundi and USA who were interviewed by phone. Semi-structured KII guides (Annex 8 – KII Guide) were used to obtain: I) key informants perspectives on the effectiveness of technical and management, approaches, contributions, gaps, and overlaps with related interventions; 2) insights into the achievements, challenges, and sustainability of PREPARED activities; 3) the extent to which cross-cutting interventions influence activity progress and outcomes; and 4) the extent to which PREPARED activities/results supported the EAC to become more credible, and build their confidence and ability to make informed decisions.

Data Management

The Content-Data Abstraction and KII Templates were used to organize the data and information obtained during the desk review and KIIs respectively. The KII transcripts were tracked in a transcript log indicating interviewer's name, respondent details, date conducted, and date transcript was received. The evaluation team protected data confidentiality by only submitting summaries of KII transcripts to USAID as part of the raw data and presenting data in this report without linking any personal identification details of respondents. All tools were submitted to USAID/KEA for approval prior to deployment.

Data Analysis and Triangulation

The data analysis was summarized using a data matrix. Thematic content and analysis triangulation were applied across all qualitative data sets. Primary data sources included notes taken during the interviews and interview transcripts. Content analysis of background documentation was used to triangulate data. Categories and sub-categories were developed, modified, and extended on the basis of emergent themes. The qualitative information was then coded, compared, and re-categorized as new themes or issues emerged. An additional valuable source of triangulation was done by comparing findings across data sources (documents and interviews) and across respondents (regional, national, sub-national, and community). After complete data triangulation and the final result interpretation, the subsequent conclusion and recommendations were drafted.

Evaluation Activities and Timelines

3.3.1 Team Planning Meetings

Prior to the field work, the evaluation team conducted a five-day team-planning phase (October 24-28, 2016) during which it finalized the inception report including, the evaluation methodology, data collection tools, data analysis plan, and work plan.

3.3.2 USAID/Stakeholder Workshop

After developing the inception report, the evaluation team presented it to USAID/KEA and Tetra Tech/ARD in a half-day stakeholder workshop in Nairobi October 28, 2016. The objective was to review the KII respondent list, work plan, data collection tools, analysis plan, and to finalize the field visit plan.

3.3.3 Field Data Collection and Analysis

The data collection period lasted about five weeks from October 31, 2016 to December 2, 2016. The team performed the data analysis between December 3, 2016 and December 14, 2016.

3.3.4 Data Validation Meetings

Following the data collection, the evaluation team met with USAID/KEA, the PREPARED chief of party, deputy chief of party, and ESPS staff to review the preliminary findings objectively and to seek contextual insights into the evaluation team's observations. The team also met with PIC members to present and validate preliminary findings on January 27, 2017.

Limitations

Some limitations to the evaluation design must be acknowledged. First, because purposive sampling methods were used for selecting KII participants, the analysis does not make inferences or generalizations of issues about the general population of stakeholders. Second, because the key informants constituted the primary source of information, the interview data were subject to personal biases, opinions, and recollection (respondent bias). Interviewer bias was mitigated by daily team debriefs where the team members compared their transcripts. Rigor and validity of findings in the methodology was ensured through triangulation of interview and document sources, appropriate sampling of KII participants, and by validating both the data collected and their interpretation throughout the data collection and analysis process. These methods collectively reduced bias due to the subjective nature of qualitative methods. Due to time and resource constraints, the team was not able to visit project activities to review progress reported.

FINDINGS AND CONCLUSIONS

EVALUATION QUESTION: To what degree have PREPARED activities increased the ability of the regional institutions to carry out their mandates, particularly regarding climate change adaptation, transboundary biodiversity conservation, WASH?

To answer this question, the evaluation team reviewed key background documents and triangulated the responses from key informants related to three technical components of PREPARED: climate change adaptation, transboundary biodiversity conservation, and resilient and sustainable WASH in LVB. The team also reviewed documents and KIIs related to combating wildlife trafficking because, while not found in the original contract, evaluation question three specifically addresses this last sector. In reviewing PREPARED's performance monitoring plan, the evaluation team found that the project's indicators are primarily output indicators, while this question is directed to outcomes. As a result, we focused on demonstrated outcomes rather than the outputs. Annex 9: Progress Towards PREPARED Indicators provides quantitative data addressing the outcome indicators.

Component I: Climate Change Adaptation

This section summarizes the findings related to PREPARED's objectives for climate change and the extent to which the project supported the EAC, LVBC and regional organizations (FEWS NET, RCMRD and ICPAC) to address climate change with respect to: a) technical capacity, b) policy leadership, and c) action readiness.

Technical Capacity

To build the capacity of target institutions, PREPARED facilitated training and workshop sessions that focused on three key competence areas including: 1) basic knowledge on climate change adaptations and tools to assist in assessing, planning, and investing in climate change adaptation actions; 2) mainstreaming climate change strategies; and 3) research and monitoring activities on climate change adaptation.

Basic Knowledge on Climate Change Adaptation and Tools to Assist in Assessing, Planning, and Investing in Climate Change Actions

PREPARED trained staff within the EAC, LVBC, regional organizations and Partner States' ministries, departments and agencies on knowledge and skills for identifying current climate risks and how to assess likely future climate trends at the regional, national, and local levels. Overall, the key informants indicated the training and assessment planning received and tools developed to be extremely helpful. However, almost all respondents who had attended the trainings noted that designing training is only the first step in capacity building. Important next steps are ensuring the right people attend the training and on-the-job mentoring, and creating bridges from training to implementation and from implementation to institutionalization. This combination of activities is needed at both the national and regional levels.[2] PREPARED assisted the ICPAC, by providing climate modeling software and training[3] making ICPAC a leader in selected and important capabilities, such as downscaling of climate predictions to specific areas.[4] This ability is in high demand by Partner States and instrumental in assisting them to identify potential pockets of vulnerability.[5] The following is an overview of project-provided trainings and workshops:

East Africa Climate Change Adaptation Course

The University of Oxford's Global Climate Adaptation Partnership designed and facilitated a two-week course on climate change adaptation. It was developed using information from a training needs assessment of the EAC/CCCU and EAC Partner States.[6] The course objectives were to equip learners with knowledge and skills to mainstream climate change, climate resilience, and adaptive management into their policies, planning, and implementation activities.[7] Over 40 trainees attended this foundational course with all five EAC Partner States represented, as well as participants from the EAC Secretariat, representatives from the EAC/CCCU, the University of Nairobi, Care International, and PREPARED sub-grantees.[8]

GeoCLIM Software

GeoCLIM is a spatial analysis software tool designed for climatological analysis of historical rainfall and temperature data providing non-scientists with an array of accessible analytical tools for such application areas as climate-smart agricultural development.[9,10] PREPARED supported FEWS NET and ICPAC to provide regional and national meteorological staff in EAC Partner States on-going training in the use of this software, supporting the development of national and regional climate databases, and using the GeoCLIM software to build gridded climate datasets by combining remotely sensed imagery with observed station data since 2013.[11] Following the training in the five EAC countries where gridded data sets were created for precipitation and temperature covering the period 1981–2010, an integration workshop was held in June 2014 where the five national GeoCLIM databases were merged into one East Africa regional climate information database.[12] The World Meteorological Organization has taken the lead to standardize the gridded datasets, with ICPAC developing procedures and protocols for maintaining and updating the databases at national and regional levels.[13] Staff in EAC Partner States who will use GeoCLIM, LVBC, universities, and a variety of local organizations[14] will also benefit from GeoCLIM training.

Vulnerability, Impacts, and Adaptation Assessment (VIA)

An important aspect of the project has been the VIA assessments conducted in partnership with RCMRD, FEWS NET and CAMCO.[15] The purpose of the VIA is to support decision makers in EAC Partner States to improve their understanding and assessments of impacts, vulnerability, and adaptation leading to "informed decisions on practical adaptation actions, policies, and programs that consider current and future climate change variability."[16] The VIA addressed five sectors: 1) agriculture and food security; 2) aquatic ecosystems and water; 3) health, sanitation, and human settlements; 4) terrestrial ecosystems, forestry, wildlife, and tourism; and 5) energy.[17] Upon completion of the VIA, PREPARED convened a VIA options development workshop in partnership with the LVBC at which the outputs from the five elements noted above were reviewed and discussed. Over 80 participants representing government members, civil society, and the private sector from the five EAC Partner States attended the options development workshop. A total of 25 adaptation options (five from each VIA sector) were developed. The LVB Climate Change Adaptation Strategy and Action Plan is currently being written using data gathered during the VIA and options development workshop.[18] VIA methodology is now being applied in other landscapes: a USAID/Tanzania-funded water resources integration development initiative, and two USAID/KEA-funded activities to conduct a vulnerability assessment using the VI mapping tool.[19]

Vulnerability Index (VI) Mapping

Climate hotspot maps are critical in identifying areas of particular vulnerability by analyzing past trends or predicting future events.[20] PREPARED, through a subcontract with Columbia University's Center for International Earth Science Information Network (CIESIN), and in collaboration with the RCMRD, conducted multiple trainings on VI Mapping for institutions and focal ministries in all EAC Partner States. Climate vulnerability indices and climate vulnerability index maps were created using GeoCLIM datasets from 1981 to 2012 and statistical software ArcGIS.[21] Training led to the production of regional and national vulnerability maps for each EAC Partner State and a merged regional map. VI maps were used in the analysis of climate baselines and future impacts of climate change for the VIA, for identifying community vulnerability "hotspots" for conducting a Community Climate Change Adaptation Assessment (C3A2) and piloting community climate change adaptation pilot projects in 17 communities in the region. Both the LVBC and EAC validated their climate vulnerability hotspots.[22] These data and techniques can be used to analyze regional annual and seasonal climate trends associated with current and emerging hotspots, which will be triangulated with livelihoods and vulnerability indexed maps to determine national and regional areas of concern.[23]

Climate Information Network (CIN)

Improving access to and sharing climate change information within the region among Partner States is a critical step in mainstreaming climate change strategies. In collaboration with CIESIN and Measure Africa, PREPARED successfully completed a climate information user and service provider assessment (CIU&SP) in 2014 which identified what information was available and what was needed. The CIU&SP form the basis for developing a Climate Information Network (CIN) to help to "build and sustain two-way communication flows between climate information service providers in the EAC region and decision makers operating at regional, national, and local levels."[24]. The Project ensured that the CIU&SP was validated by the climate change technical working group (CCTWG) in 2015.[25] To facilitate stakeholder buy-in, the project made further efforts by engaging 62 participants including climate information service providers and key national and regional data information management institutions staff in designing an action plan for the CIN.[26] Successful validation of the CIU&SP 30-page technical summary report in Year Four of the project enabled PREPARED to start developing a roadmap for implementing CIN in collaboration with the meteorological services in Partner States.[27] This stepwise approach has given PREPARED hope that the CIN framework will be agreed upon and established by the end of the project.[28]

Community Climate Change Adaptation Assessment (C3A2)

PREPARED took a strategic approach by supporting processes of building on the data obtained from the VIA mapping to be used in local contexts. Three PREPARED sub-grantees; Ecofinder, Sustainability Watch, and E-Link were successfully trained to conduct C3A2 assessments in 17 hotspot communities identified in the region.[29] The results of these assessments have been integrated into the VIA sector baseline reports.[30] Using both random and purposive sampling, ten communities (two from each of EAC Partner State) were selected in three stages.[31] In addition, seven communities were assessed in Kenya and Tanzania by Ecofinder and E-Link respectively. By using the C3A2 approach, communities' opinions and perceptions regarding climate change were documented which helped PREPARED and their sub-grantees to develop community-based adaptation action plans (CBAPs) and implement pilot adaptation projects in each of the communities.[32]

Community-based Adaptation Plans (CBAPs)

The results of the C3A2 were used to inform the design and implementation of CBAPs. A total of 17 CBAPs were developed; 6 in Tanzania, 2 in Uganda, 2 in Burundi, 2 in Rwanda and 5 in Kenya.[33] Working with sub-grantee Sustainable Watch, the project analyzed the results of ten C3A2's and selected eight pilot adaptation activities to fund.[34] The project also gave Ecofinder a grant to host a training of trainers' workshop for community members in the Yala wetlands.[35] The workshop focused on providing participants theoretical and practical skills in three climate-smart livelihoods: sustainable farming, agro-forestry, and water harvesting.[36] In Tanzania's Musoma region, sub-grantee E-Link implemented a dialogue activity among stakeholders to enhance the adaptive capacity of communities to climate change and variability through capacity building, livelihood diversification, and conservation techniques.[37] However, the real outcomes of the CBAPs will depend on availability of resources within these communities.

Mainstreaming Climate Change Strategies

The project supported the Vulnerability, Impact and Adaptation Assessment (VIA) process which involved the assessment of climate change vulnerability and its impacts and designing practical adaptation strategies that take into account climate variability. During Year Four of the project, a consultant was hired to synthesize the VIA baseline reports, scenario reports, and future impacts and adaptation options into the LVBC Climate Change Adaptation Strategy and Action Plan, which will be ready during the first quarter of Year Five.[38] In addition, the project also supported vulnerability Index (VI) mapping training that involved identifying climate hotspots using gridded data set, which in turn enabled the production of vulnerability index maps. The RCMRD benefited from VI mapping training and has mainstreamed its methodology and tools within its services. As a result, the RCMRD has in-house capacity to support other institutions to replicate the VI mapping and is now considered as a center of excellence in the region.[39]

Research and Monitoring Activities on Climate Change Adaptation

In 2014, at the annual USAID climate change meeting in Nairobi, a member of USAID's Africa Bureau and African and Latin American Resilience to Climate Change (ARCC) project reviewed PREPARED's VIA approach, methodology, and work plan.[40] The approach and methodology was determined to be "credible, salient, and legitimate, in large part due to the sustained involvement of the EAC Secretariat and Partner States, through the CCTWG and other regional bodies."[41] However, according to the LVBC, there is neither a monitoring framework in place nor staff dedicated to M&E at either the LVBC or the EAC Secretariat specifically to monitor the efficiency and effectiveness of the Project's contribution towards research and monitoring activities on climate change adaptation. Without a monitoring system at these institutions dedicated to PREPARED, it was further noted that no one can say with assurance that the project has contributed quantitatively or qualitatively to the current strategy framework.[42]

Conclusion: PREPARED has contributed greatly in providing important knowledge on climate change adaptations and tools to assist in assessing, planning, and investing in climate change actions. What was reported has been verified by multiple key informants who have almost uniformly spoken highly of this aspect of the project. Activities were structured such that, where applicable, each activity was designed around the outcomes of and lessons learned from the previous activity. Successful adoption of the VI methodology and tools within the RCMRD is an important step towards mainstreaming climate change adaptation strategies at the regional and national levels. The CBAPs show particular

promise at the grassroots level. However, the evaluation team noted that at this point in the project's life not all strategies have been mainstreamed.

Policy Leadership

At the start of the PREPARED project, the EAC had already done a considerable amount of work on climate change at the policy level in its role as the regional coordinator, however, it had not yet formalized its role by establishing a climate change unit with the technical and organizational capacity to address significant policy issues at the regional and bilateral levels.[43] To address this gap, PREPARED supports EAC governance by providing capacity building on transboundary climate change adaptation policy making, investment planning, and implementation strategies; and knowledge management platforms.

Transboundary Climate Change Adaptation Policy Making, Investment Planning, and Implementation Strategies

Support to the EAC-Climate Change Coordination Unit (CCCU)

One of PREPARED's entry points in working with the EAC is through the CCCU, which was nascent at the start of the project.[44] In December 2013, PREPARED designed and facilitated an organizational capacity assessment (OCA) of the CCCU. Using the OCA results, the project designed a framework for CCCU capacity building and shared this with the EAC Secretariat and USAID/KEA.[45] During the PCC meeting in July 2014, it was agreed that the EAC would focus its efforts on building the technical skills of staff, while the PREPARED project would support broader institutional development; strengthening information and knowledge management at the EAC Secretariat and providing technical training to Partner States. In September 2015, the EAC Secretariat, USAID/KEA, and PREPARED reviewed the OCA baseline results from 2013 and agreed that the OCA tool was not specific to the CCCU mandate. As a result, PREPARED and secretariat representatives restructured the tool to reflect the CCCU's functionality and mandate more clearly, reducing the major OCA categories from seven to four, and updating the baseline assessment. Using the updated OCA results and the EAC Secretariat's priorities, PREPARED developed a CCCU capacity building strategy that identified the following key activities that would be completed in Year 4: 1) conduct a regional climate change adaptation training course; 2) recruit and hire an information knowledge management system (IKMS) specialist and a climate finance specialist; 3) prepare an IKMS strategy for the CCCU; and 4) design an IKMS portal for the CCCU. All these activities were completed, except the design of the IKMS portal, which is ongoing.[46]

The project facilitated two major capacity building efforts to support the CCCU: 1) the regional Climate Change Adaptation Training designed and conducted by the Global Climate Adaptation Partnership; and 2) a training on application process and requirements to become a Regional Implementing Entity (RIE) for multilateral specialized climate change funds(see section 4.1.1.3 below) facilitated by the PREPARED climate change adaption technical advisor (CCATA), the EAC Secretariat, and East African Development Bank (EADB). Successful applications for RIE accreditation to the Adaptation Fund and the Green Climate Fund will allow the EAC to access global climate funds.

> *"Partner States have to review their existing national policing strategy to be aligned to accommodate the emerging issues from the global climate policy discourse. This ongoing review will be greatly informed by the VIA."*
>
> *-EAC*

Support for Developing Coordination Structures and EAC Policy Documents

In Year Two, the EAC mandated the CCTWG as the PREPARED oversight body for the climate change adaptation component. The CCTWG has played an important role in providing technical guidance and support during the development of key documents such as the EAC climate change policy, strategy, and master plan. During its January 2014 meeting in Bujumbura, the EAC Environment and Natural Resources Sectoral Council (ENR SECOM) approved the project and its work plan, and re-established the CCTWG as an institutional mechanism for the EAC Secretariat in engaging on climate change adaptation activities. The CCTWG was also instructed to establish technical sub-groups, as necessary to inform Partner States on implementation of climate change component and to assist the EAC Secretariat to develop and implement other relevant climate change activities. PREPARED has worked closely with the CCTWG in planning and approving the project's activities.[47]

During the course of implementation, a variety of working groups were established to oversee the activities and provide technical guidance to the project in all the three Components. These working groups are comprised of technical experts from Partner States. In addition to the CCTWG, a biodiversity task force and a Regional WASH Task Force (RWASH TF) were formed.[48] Management structures have also been established to enhance coordination among all implementing partners and Partner States. The PCC, which meets bi-annually, was established as a forum through which PREPARED Program partners submit current and future work plans, review implementation progress, and address any challenges faced in joint program implementation.[49] The Project Implementation Committee (PIC) is co-chaired by the EAC Secretariat deputy general secretary in charge of productive social sector and USAID. The LVBC executive secretary is the deputy chair.[50] This committee was designed to address the Partner States' complaint that this project was not designed collaboratively.[51] The PIC meets quarterly to address challenges and policy issues.[52] The Regional Policy Steering Committee (RPSC), composed of senior officials and permanent/principal secretaries from EAC Partner States, advises on policy-related issues regarding PREPARED. For example, an issue or policy first addressed in the PCC will be referred to the PIC for further discussion. The PIC may decide a particular issue needs to be discussed by the RPSC members so that the permanent secretaries can review and make recommendations to their ministers for a final decision.[53] As one key informant noted: *"We now have all the necessary governance structures to guide the program and to provide oversight to the project's implementation."*[54]

According to EAC respondents, the project is contributing to regional policies by establishing and implementing structures such as task forces and regional steering committees that can be used to influence policy.[55] The respondents highlighted that working across multiple countries adds a layer of complexity and understanding the perspectives of each country, its policies, and its priorities is important. Each country has its own policies and instruments, which have not been harmonized at the regional level. Instead Partner States have agreed on areas of cooperation. If, however, a country has an issue with the cooperation protocol, it might not be ratified and politics can hinder the harmonization of policies at the transboundary level.[56] The studies, research findings, and data introduced by the project have been valuable, used, and will continue to be used to develop policies, strategies and action plans.[57] A key informant highlighted that: "*Policy makers have to have good, sound data on which to make decisions and PREPARED has provided this."*[58]

The project assisted the EAC Secretariat and Partner States to prepare for the United Nations Framework Convention on Climate Change Conference of Parties 21st Session (COP21) which took place in December 2015 and COP22 in Marrakech. Each Partner State held national climate change

roundtable consultations facilitated by the CCATA to identify both national and regional priorities in climate change and to prepare the delegation for the COP21. The results of these meetings contributed to the overall African Group position.[59]

Information and Knowledge Management Platform at the EAC

The CCCU is responsible for "developing climate change communication tools and materials and ensuring effective dissemination of evidenced-based policy options to all relevant stakeholders." The EAC worked closely with ICPAC, FEWS NET, and RCMRD to develop the CIN roadmap and the IKMS strategic plan for the EAC in collaboration with the project-supported knowledge management specialist working within the CCCU.[60] The strategic plan is designed to improve the CCCU's capacity for learning and sharing knowledge on climate change so as to achieve EAC's overall goal of sustainable development for the community.[61] Based on EAC feedback, the strategic plan (2016-2021)[62] was revised to extend beyond the life of the PREPARED project. The IKM portal, currently being developed, is envisioned as a self-service portal for climate scientists and others to access information on climate change, climate change adaptation, and other related issues.[63] While the goal is to partner with regional and national climate-focused institutions to make climate information available through indexing and categorizing, gaining access to this information has been challenging.[64] During the Climate Research for Development in Africa Partnership workshop held in Nairobi in March 2016, the Partnership agreed to work with the project to use the CIN and IKMS to operationalize its platform in East Africa.[65]

Conclusion: Using the technical working groups and the CCCU, PREPARED has worked diligently to inform and/or design strategies and policies in climate change adaptation that are almost universally appreciated by the stakeholders. Successful development of key documents such as the climate change policy, strategy and master plan has improved knowledge and understanding among policy makers in the EAC region, particularly for the ENR SECOM members, to take into account climate change vulnerability when designing future policies and programs. The various committees established during the life of project as noted, provide necessary governance structures for the EAC leadership. The IKMS is still in early stages of development and it is unlikely that it will be operational prior to the end of the project given the difficulties in gathering information from Partner States and organizations.

Action Readiness

PREPARED planned to support two areas of climate adaptation readiness that include: 1) functional and replicable science-based geospatial decision-making and management tool; and 2) capacity to access and manage future climate change adaptation funds.

Climate Change Adaptation Decision Tools

PREPARED has built the capacities of ICPAC by providing climate modeling software (noted below) and training and making ICPAC a leader in certain areas, such as downscaling climate predictions to specific areas.[66] National meteorological agencies have been heavily involved in "data-resourcing" of ICPAC since its inception as the organization's abilities are in high demand by Partner States.[67,3]

3 The evaluation team wanted to note that though not a widely-held view, one LVBC key informant noted that these tools should be linked to partner states.

The project spent time and effort in developing and/or supporting several climate change decision-making tools and providing extensive training in using and applying these tools across the region. PREPARED worked closely with FEWS NET and ICPAC to develop and apply a variety of additional climate forecasting decision-making support tools. GeoCLIM is designed for climatological analysis of rainfall, temperature, and evapotranspiration data. It is an accessible analysis tool for climate-smart agricultural development.[68] ICPAC is working to standardize climate modeling/prediction applications like GeoCLIM.[69] All Partner States have been trained and understand the relevance of GeoCLIM and are using it to varying degrees.[70] Partner States are now sending on-the-ground data every ten days to ICPAC; once received, ICPAC blends these data with satellite data and gives Partner States improved data sets. ICPAC has adopted these tools and uses them to provide climate change scenarios; drought analysis, baseline maps, analysis of growing periods, analysis of onset and cessation of rainfall and seasonal forecasting. Partner States can use these reports in making decisions.[71]

PRERARED also offered Geospatial Climate Outlook Forecasting Tool (GeoCOF) training, a statistical software tool for seasonal forecasting of climatic variables, using evolving atmospheric-oceanic conditions. Participants included scientists from the EAC, Partner States and universities. GeoCOF tools were used by ICPAC to improve the last seasonal forecast.[72] GeoMOD, a tool to support statistical future climate change scenario projections for identified climate "hot spots," and the Water Requirements Satisfaction Index (GeoWRSI), a geo-spatial, stand-alone crop-specific water balance model will be introduced soon.[73] In Year Five, the project plans to work closely with WMO, ICPAC, and FEWS NET to train staff from the East African National Meteorological and Hydrological Services (NMHS), climate scientists from the EAC and Partner States and representatives of regional universities.[74] Currently, Partner States use different tools and may require convincing to make changes.[75]

PREPARED and its partners have spent significant time in training and working with Partner States and organizations on the Vulnerability, Impacts and Adaptation (VIA) assessment methodology and tools, VI index hotspot mapping (section 4.1.1.1). These methodologies and tools are available for use.[76]

In Year 4, the project's focus shifted to institutionalizing the tools with organizations that requested them.[77] At the time of this evaluation, the decision on where to house most of the tools for the long term had not yet been made.[78] This is mainly because it is important to identify a host institution with the capacity as well as willingness to sustain the roles and functions of the tools.

Climate Data Rescue (DARE)

Most historical data on climate are archived in multiple formats (paper, cards, and tapes), which makes these data difficult to use to provide climate information services. A baseline conducted by the project in the five Partner States showed different levels of effort in rescuing their historic climate datasets. Partner States ranked Burundi and Tanzania as the neediest countries. With the consent of the five Directors of the Partner States meteorological services, PREPARED opted to start with Tanzania given the security situation in Burundi. The project, in coordination with ICPAC and the Tanzania Meteorological agency (TMA), completed a six-month DARE pilot in Tanzania, where 30-years rainfall data from 90 stations and temperature data from 12 stations were digitized and saved into the TMA Climate Data Management System (CDMS). Although TMA uses CDMS software, training was provided on the installation and use of WMO standardized CLIMSOFT software. In addition, best practices and lessons learned were documented for replication in other meteorological institutions in the region.[79] The WMO is projected to use this model for the Uganda DARE initiative in Year Five.

PREPARED is working with the WMO to institutionalize this model in the EAC Partner States and will use the results of the TMA DARE pilot to promote guidelines and best practices.[80]

Capacity to Access and Manage Future Climate Change Adaptation Funds

In Year 2, PREPARED was ready to begin the assessment and accreditation process for the EAC to become a RIE. However, the EAC requested to delay the process. In April 2015, the project's CCATA met with the EAC's deputy secretary general and the managing director of the EADB to agree on a roadmap for RIE accreditation. Also in April 2015, the CCATA trained representatives from the EADB and the EAC Secretariat on accreditation requirements for the Adaptation Fund (AF) and the Green Climate Fund[81]. The EAC Sectoral Council on Environment and Natural Resources (SCENR) met in Kigali in June 2016 and approved activities to support the EAC's RIE accreditation application. The project recruited a climate finance specialist and together with the CCATA, they held a series of meetings with various groups at the EAC Secretariat including the agricultural and food security team and members of EAC AF accreditation application committee. The team introduced AF accreditation application requirements to the committee members and collected required documents for accreditation. In Year Four the climate finance specialist worked with the EAC Secretariat to develop a roadmap for RIE accreditation and has begun implementation. The AF has provided the EAC with the accreditation credentials and the CFS has started uploading documents on the AF work flow.[82]

Conclusion: The tools and methodologies are in place and Partner States have been trained in using them, however, it is not clear whether they are being used for decision-making and action readiness. The EAC, with strong assistance from PREPARED, is moving forward to apply for and manage future climate change adaptation funds.

Component II: Transboundary Biodiversity Conservation

This section summarizes the findings related to PREPARED's objective to provide technical assistance to the EAC and LVBC to drive transboundary biodiversity conservation.

Governance and Institutional Support

Biodiversity Task Force

In October 2013, the LVBC Sectoral Council approved PREPARED's major terms of reference for key Component Two activities.[83] In addition, the Sectoral Council approved establishing and supporting a biodiversity task force (BTF) to oversee and monitor the project's work plan activities. The BTF developed and approved criteria for selecting biologically significant areas (BSAs) and an action plan for completing the project-supported ecosystem profile assessment. The BTF also developed project idea note (PIN) teams for each Partner State.[84] A key informant noted, *"PREPARED has a very good way of dealing with the region because they bring the BTF together from all five countries where we can discuss the issues together that are of concern but at the end of the day we harmonize whatever activities we want to do."*[85]

Project Idea Note (PIN) Team Formation

PIN teams were established in all five Partner States to identify priority interventions in the selected BSAs and to develop investment packages to guide the project and other interested actors in activities to improve biodiversity conservation in the sites. The PIN teams are comprised of technically and

academically qualified professionals from relevant ministries or institutions and have helped identify biodiversity conservation interventions in each BSA. The PIN teams established project objectives, rationale, biodiversity importance, accordance with national and international priorities and guidelines, scope and extent, and investment opportunities, in line with site-level conservation best practices. Country PIN teams are also guiding conservation investment plans and management plan development.[86]

Integrated Water Resource Management in the Mara River Basin (MRB)
The Republic of Kenya and United Republic of Tanzania signed a memorandum of understanding (MoU) to manage the MRB sustainably in September 2015. The final MoU outlines the institutional framework and responsibilities for managing the MRB that includes establishing joint management committees: The Joint Steering Committee (which is the decision-making body, composed of permanent/principal secretaries), the Joint Technical Committee and Joint Implementation Committee (both of which are, implementation bodies composed of technical personnel.[87]

Regional Biodiversity Conservation Strategy and Action Plan
EAC is developing a regional biodiversity conservation strategy and action plan in consultation with the South African Development Community and the Economic Community of West African States.[88] Additionally, PREPARED's Biodiversity Conservation Technical Advisor assisted in reviewing the EAC's strategy to combat poaching, illegal trade and trafficking of wildlife and wildlife products for the period 2017-2021, which outlines broad strategic goals and specific targets to be reached. The strategy, which includes a costed action plan, was finalized and submitted to the EAC Natural Resource Management Sectoral Council for approval.[89]

Mara Day Celebrations
The project supported LVBC's Mara Day activities in Butiama, Tanzania in 2015 and Bomet, Kenya in 2013, 2014 and 2016 as a platform to raise the profile of the Mara-Serengeti ecosystem as an important area for biodiversity conservation and livelihoods.[90]

Conclusion: PREPARED has been actively involved with government and institutional entities. The task force teams providing expert guidance have been an integral part of the project's success in meeting its contractual obligations. While capacity building will be addressed in the next section, it is heartening to see that the EAC, nascent at the beginning of the project, has worked successfully with numerous stakeholders to develop a biodiversity action plan and a regional anti-poaching strategy.

Capacity Building Support: Training, Assessments, and Tools

Ecosystem Profile Assessment (EPA)
The EPA and BTF launch workshop was held in November 2013 with members from all EAC LVBC Partner States and freshwater biodiversity research institutions. The workshop participants approved the BTF composition, endorsed the EPA methodology, and reached consensus on threats-based criteria for selecting biologically significant areas (BSAs)[91] The process used to identify EPA sites was informed by USAID criteria that require USG funds to be used in areas that qualify as biologically significant and are under threat.[92]

"The EPA acts as a baseline on what is going on in the region to inform policies and institutions. The transparent process of capacity building of the BTF by PREPARED, and the understanding of the methodology, with verified findings resulted in an EPA report that was finalized and adopted by the BTF. This is a success story."

-LVBC

During the workshop, an EPA action plan was prepared and the desired level of BTF involvement and consultation was defined.[93] Based on the recommendations of the BTF, the EPA team used agreed-upon criteria to identify areas where significant biodiversity exists in various conditions and under different levels of threat within the LVB. From a list of over 100 sites that were scored and ranked in terms of criteria used, 10 BSAs were selected.[94] After fact-finding missions to the ten sites, it was decided that due to their underlying ecological similarities and functional connectivity, the two largest sites would be combined resulting in nine total BSAs that have been approved by the RPSC.[95] The site visits provided an important opportunity for the PREPARED team to engage both governmental and non-governmental stakeholders in substantive discussions on the project, the EPA, and the potential for future collaboration. Based on EPA results from the socioeconomic and livelihoods assessment, initial opportunities for natural resources-based income generation within the BSAs were determined. The EPA policy brief highlighting the EPA approach and emphasizing key takeaways from the EPA report was produced and disseminated to key stakeholders.[96]

Biodiversity Information Management System (BIMS)

During Year One of project implementation, the LVBC requested a "go-to" institution for data on biodiversity in the LVB. The project conducted formal, informal, and secondary assessments of the LVBC's capacity and resources to manage and maintain a BIMS (and a water information management systems, WIMS) and concluded that the LVBC does not currently have the capacity to host a database with raw data.[97] PREPARED agreed with LVBC to hire a consultant to identify existing databases at the LVBC, EAC, IGAD and other relevant institutions; to assess each institution's capacity to host a BIMS (and a WIMS) database; and to make recommendations on how PREPARED can most effectively support the development or refinement of a biodiversity conservation related database. Consultations with the LVBC, EAC, IGAD and other stakeholders are complete and a final draft report is under review. The assessment examines existing BIMS in the EAC and Partner States; the respective institutional capacity to manage the BIMS; and recommends viable options for establishing a BIMS to serve the region.[98]

Wetland Biodiversity and Ecosystem Services Training

To assist in developing PIN for the wetland BSA sites, a freshwater expert trained PIN teams in Entebbe, Uganda in September 2014 on the characterization, identification, rapid assessment, values, and wise use of wetland biodiversity and their biological/physical ecosystem services and values.[99] One BTF member noted, *"We have really been exposed to the different ways of evaluating the ecosystem and the biodiversity in general. The training was excellent."*

Stakeholder Assessment and Profiling

The project facilitated the East African Wildlife Society to assess the status of accommodation facilities in the Maasai Mara National Reserve through mapping and profiling all hoteliers and camp owners with reference to their current legal status and operating capacities within the reserve. This built a strong evidence base on the potential impacts of tourism related activities on biodiversity conservation.[100]

Economic Valuations and Payment for Ecosystem Services (PES)

After identifying the BSAs, the project determined that an economic valuation was needed, as little information is available on the economic value of biodiversity and ecosystem services in East Africa. Further, the technical capacity of most conservation planners and managers in the region to undertake a rigorous biodiversity and ecosystem valuation is under-developed.[101] A team of economists proposed by Land, Trees and Sustainability-Africa conducted a rapid total economic valuation using

simplified guidelines for completing economic valuations that focus on how to ascribe a monetary value to biodiversity and ecosystem services. The team assessed the capacity and resources that exist in the region and generated information pertinent to decision makers and planners, rather than academics.[102] This approach trained people and got stakeholders involved.[103] To date, total economic valuations have been conducted in the Nabugabo Wetlands in Uganda, Sango Bay-Minziro (Uganda/Tanzania), the Mara wetlands in Tanzania and Kibira National Park in Burundi.[104] The BTF members and Partner States were pleased with the results of the economic valuations. Many did not know how to value ecosystem services especially in terms of losses related to reduced biodiversity and the value gained from preventing degradation within transboundary ecosystems and beyond.[105]

Conservation Investment Plans (CIPs)

CIPs are concise documents that prioritize and cost-out conservation interventions.[106] PREPARED facilitated a meeting of regional experts from Partner States to develop the methodology, structure, outline, and work plan for completing CIPs in February 2016. The participants defined specific criteria for developing a CIP; this included requiring an existing management plan/framework and existing governance structure/framework for the landscape.[107] PREPARED then trained participants on how to identify projects. One participant noted that the training empowered the officers to learn to chart out and design concrete projects, which was a very useful exercise.[108] Participants agreed that PREPARED would develop four CIPs: Nabugabo Wetlands in Uganda, Sango Bay in Uganda, Minziro Forest National Reserve in Tanzania, and Mara Wetlands in Tanzania. All but the last are underway. PREPARED has tried to integrate the CIPs with the conservation management plans by identifying priority areas that require action.[109] The CIPs will be used for fundraising, particularly at donor conferences.[110]

Conclusion: As in Component One, the project used a logical, linear approach when developing the work plan related to training, assessments, and tools. The outcomes from one activity were used in following activities, each one building on the next. EAC Partner States and the LVBC appreciated these activities and capacities have been built. However, the degree to which follow-on activities have or will succeed is unclear without donor support. Little if any coordination seems to exist between the EPA and the VIA, which assessed five sectors: aquatic ecosystems and water; health, sanitation and human settlements; terrestrial ecosystems; forestry, wildlife and tourism; and energy. Using economies of scale when conducting both assessments would likely have been a more efficient use of resources.

Component III: Water Supply, Sanitation, and Wastewater Treatment Services

The project contracted Water and Environmental Management (WEMA) consultants to assess the level of service delivery for water and sanitation in the region by country and provide regional and country geographic information system (GIS) maps showing WASH coverage.[111] The assessment was conducted in two phases; a baseline and pre-feasibility study (below). In coordination with the LVBC Secretariat, targeted interviews were conducted with utilities and municipalities in areas that contain both WASH underserved areas and EPA hotspots. Using developed questionnaires, WEMA collected data on the operational, institutional, and policy/programmatic situation for each utility in four Partner States.[112] These assessments used each country's definitions for services, types of services delivered, and what constitutes improved water supply and sanitation services.[113] The LVBC Secretariat received a baseline report and project background paper to distribute to the RWASHTF focal points in the five Partner States.[114]

Pre-feasibility Study and Improved Design of WASH Programming
PREPARED supported an assessment of the WASH situation in LVB including key constraints of WASH provision and the status of the enabling environment of policy and legislative frameworks.[115] WEMA, working through the Lake Victoria South Water Services Board (LVSWSB), conducted pre-feasibility studies for water and wastewater systems in three Kenyan WASH sites: Bomet, Kilgoris-Lolgorian, and Nandi Hills.[116] Completed in 2015, LVBC, LVSWSB and the respective county governments approved the designs.[117] Budget constraints forced the project to complete the detailed designs using a phased approach: Bomet was the first area addressed because of need and urgency, Kilgoris and Nandi Hills will follow contingent upon available resources.[118]

Governance and Institutional Support

Launch of the Regional WASH Task Force (RWASHTF) and Workshop
PREPARED collaborated with the LVBC Secretariat to prepare the RWASHTF workshop held in 2014 and attended by more than 40-Partner State stakeholders. The meeting finalized and adopted the RWASHTF Terms of Reference; developed a regional vision and strategies linked to the EAC water vision; created the WASH action plan; and developed and finalized criteria for selecting WASH intervention sites. In close collaboration with the Lake Victoria Water Service Board three priority WASH intervention sites in each EAC Partner State were identified and proposed using the approved selection criteria.[119]

Capacity Building in WASH Service Provision

Exchange Visits to Okavango River Basin
PREPARED facilitated RWASHTF members to visit the Permanent Okavango River Basin Water Commission (OKACOM) to learn about WASH issues within the framework of integrated river basin management. Task force members gained practical experiences of IWRM programming.[120]

Training on Quality Service Improvement Program (QSIP)
PREPARED supported capacity building initiatives through the QSIP with the aim to improve customer service in the delivery of water and sanitation services. Several instruments and strategies have been developed through the QSIP including customer feedback instruments, NRW, stakeholder engagement strategies and customer satisfactory surveys. Uganda in particular has benefitted from the QSIP outputs specifically in Jinja and Iganga districts where several customer service feedback instruments were developed and validated by the NWSC, a customer survey was successfully completed and implemented and the results formed the basis for the development of Customer Engagement Framework.

As noted by two respondents:

"A significant amount of training on QSIP has taken place to build the capacities of Partner States and is considered critical in improving customer service."[121]

"QSIP is an inter-locking series of activities within an organization to move it toward a more service and customer-focused culture. Sometimes called an "organizational culture change" campaign, it attempts to change attitudes, behaviors, and the actual practices within an organization."[122]

The Uganda National Water and Sewerage Corporation (NWSC) found this training to be particularly helpful. One NWSC staff member noted that they are gaining on average 120 customers/month in Jinja.[123] Based on the Jinja experiences, QSIP has been mainstreamed in the Kenya Meteorological Departments and senior managers are using it for action planning to develop strategies and build customers services skills.[124] Rwanda has requested QSIP and customer engagement and PREPARED plans to take members of the Rwandese Water and Sanitation Corporation to Jinja to learn from NWSC.[125]

Stakeholder Engagement Strategy

In Uganda, the NWSC personnel was trained to engage strategically with stakeholders at different levels including local council, local leaders, faith-based organizations, and the media in WASH and supported non-revenue water. Support was provided to NWSC's focus areas of operations; Bugembe, Iganga, Jinja, and Njeru.[126]

Customer Satisfaction Survey

The project supported the development and implementation of a NWSC baseline customer satisfaction survey, reaching over 300 customers, facilitated by the Uganda Coalition for Sustainable Development (UCSD) for Jinja and Iganga districts. The survey helped the NWSC to assess its level of customer service and identify areas for improvement. The project also trained NWSC staff on improved communication so that staff members are more equipped and competent in customer care, community mobilization, and efficient billing.[127]

Non-revenue Water (NRW)

During a RWASHTF meeting, PREPARED sponsored ITRON to present on how to manage and monitor meters and target interventions that can reduce NRW levels. Key informants noted that the training helped NRW succeed because it raised awareness on water loss involving the communities and provided concrete and actionable information leading to significant NRW reduction.[128] Following the presentation, a RWASHTF member from Uganda created a partnership with ITRON (see public-private partnership section). With input from the regional steering committee, Jinja, Uganda was selected as the first NRW activity.[129] One NWSC key informant noted that in 2014, average billing was about 989 million Uganda Shillings and while he realizes other factors have contributed, revenues in 2016 are now 1.6 billion Uganda Shillings.[130] Additionally, the NWSC has reported a reduction in NRW from 45 percent to 25 percent.[131]

Conclusion: The project has contributed to WASH sector throughout the region particularly in improving the quality of services through the QSIP activity and in NRW, most significantly in Uganda, which has demonstrated evidence-based success. Partner States and organizations have seen these successes and believe they are replicable.

Cross-Cutting Activities

Public-Private Partnerships (PPP)

During Year Two, PREPARED conducted a two-day training for 22 participants from the EAC and LVBC Secretariats and EAC Partner States. Participants learned about shared interests as a means for establishing a PPP and developed real PPPs using the concept. They also applied tools to evaluate the validity, feasibility, and sustainability of these proposals. The participants finalized and mapped a portfolio of potential partnership opportunities across program areas and specific localities that will be presented to senior management at the EAC and LVBC for consideration.[132]

Climate Change Information Applications and Weather Indexed Insurance (WII) Kinga Kilimo Partnership

PREPARED received a request from Jubilee Insurance to develop a weather index crop insurance program using GeoClim, because crop insurers need data that can be validated to determine insurance products and premiums.[133] The 'Kinga Kilimo' partnership provides affordable weather indexed crop insurance to small-holder farmers in Kenya. The partnership includes both public and private entities: PREPARED, KMD, FEWS NET, Jubilee Insurance, Earth Networks, and the Trans-African Hydro-Meteorological Observatory (TAHMO), farmers' organizations, UTS Sacco, and fertilizer companies. The WII initiative uses climate information derived from GeoCLIM to design insurance packages to cushion farmers against the vagaries of weather and climate and enhance their economic capacity in times of extreme climate events.[134]

NRW Reduction Partnership

PREPARED used the Phase II results of the baseline conducted by WEMA to develop a NRW reduction proposal for Jinja that NWSC, the Uganda Ministry of Water and Environment, ITRON and ICT consultants developed into a final strategy and work plan. With help from the Uganda Coalition of Sustainable Development, the NWSC identified critical areas of water wastage during transmission.[135] This model is being expanded to Mwanza, Tanzania and PREPARED anticipates adding a third NRW site during Year Five.[136] Best practices from Jinja/Iganga will be prepared as a case study with policy recommendations, particularly to EAC and LVBC.[137]

Mara Serengeti Hoteliers Forum (MSHF)

In response to a request from the Mara Serengeti Hoteliers Forum, the project organized and facilitated a two-day strategic planning meeting in Mugumu, Tanzania. Through this event, hoteliers, conservation groups, and community coordinators prepared a strategy to empower the forum to promote sustainable tourism and support community-based conservation and environmental management efforts, including establishing the Mara Private Sector Forum. PREPARED engaged a law firm to facilitate the registration process of the MSHF in Kenya and Tanzania as an INGO. The Kenyan NGO Coordination Board approved the MSHF name and the registration documentation was submitted to the NGO Registration board.[138,139]

Conclusion: While the PPP training was conducted in Year Two, establishing PPPs has been slow, with the exception of the NRW reduction partnership (NRWRP) that has demonstrated significant success in a relatively short period of time. The success of the NRWRP shows that PPPs can work if public bodies can demonstrate to private companies that revenues accrued from service provision will increase.

Monitoring and Evaluation

Monthly progress, quarterly, and annual reports all contribute to monitoring the project's success in achieving its objectives. PREPARED has a fully dedicated M&E officer who works closely with the technical advisors for climate change, biodiversity, and RWASH TF. The project submits reports via an electronic platform (E-Port) and tracks their status using an indicator tracking tool. Project staff visit field sites to monitor activities. Three data quality assessments have been conducted and PREPARED has addressed the recommendations. According to project staff, the M&E system is effective because technical officers submit reports on time.

Communicating the project's accomplishments and alignment with national priorities for biodiversity conservation has been weak due to the relative lack of communication between BTF members and their respective governments. Relying on technical officers from relevant departments to share project results at the national level has not kept stakeholders informed and with project activities and how they fit with the larger context of national frameworks. To mitigate this lack of communication, PREPARED established national consultative meetings with stakeholders to keep them informed of the project's contributions and appointed national coordinators in each Partner State.

Conclusion: PREPARED is a large and complex project and communication among stakeholders has been challenging. The project's M&E system is primarily limited to reviewing reports from partners, sub-grantees and sub-contractors as a means to measure outputs. However, PREPARED's team is involved with activities being implemented on a continual basis, which has provided on-site monitoring of the project's activities.

Additional Activities Undertaken

Combating Wildlife Trafficking (CWT)

While not in the original project design, USAID/KEA asked PREPARED to contribute to President Obama's Executive Order on CWT in 2013. The Anti-Poaching Partnership (APP) comprised of 35 Tanzanian and Kenyan stakeholders from governmental, non-governmental, and private organizations was developed following discussions with key stakeholders and a series of facilitated workshops. The APP developed a concept note and identified ICT tools most effective and helpful in strengthening anti-poaching and human-wildlife conflict deterrent efforts in East Africa. In response to the concept note, the project awarded a grant to Strathmore University to develop the Wildlife Information Landscape Database (WILD).[140] Five APP organizations provided technical assistance and advice on the design: Big Life Foundation, Mara Elephant Project, and Save the Elephants in Kenya, and Honeyguide Foundation and Tanzania People and Wildlife (TPW) in Tanzania.[141] WILD is a "*cloud-based database designed to improve collection, sharing, management, and analysis of biodiversity information and data in East Africa.*"[142] Uganda would like to use it in Lake Mburo and Rwanda is also interested.[143] It is currently being used in Amboseli-Kilimanjaro ecosystem and the Maasai Mara and community-based organizations (South Rift Association of Land Owners and the Northern Rangelands) plan to use it in the Mara-Serengeti ecosystem. Concerns were raised that while WILD is portable and great for tracking, it is not designed to provide analysis of the data captured. The Spatial Monitoring and Reporting Tool (SMART) does provide data analysis, however, multiple respondents noted that SMART operated using computers, which is not field-friendly for collecting data.[144] In response to these concerns, the project also issued a grant to the Wildlife Conservation Society/partnership to

develop SMART Connect, to enable the information collected via WILD to be fed directly into SMART.[145]

Mitigating Elephant-Human Conflicts and Poaching

With support from project partners, efforts exist to increase security of elephants in the national parks and reserves including the Maasai Mara Game Reserve. For example, the Escape Foundation successfully collared four elephants to monitor their movements and better understand their ecosystems and needs.[146] Through collaring, the foundation has monitored elephant movements across the Kenya-Tanzania boundary and data collected have been analyzed and will be used to inform decision-making processes.[147] Furthermore, farmers from both Tanzania and Kenya were successfully assisted to build chili fences to keep elephants away from their crops.[148] In Tanzania, PREPARED has supported an anti-poaching manual that gives guidance on dealing with human-wildlife conflicts and poaching activities.[149]

"*PREPARED has done pretty well in implementing so many activities. The task forces helped shape the project and the fact that the project partnered with grantees and subcontractors was huge and helped in implementing specific activities especially on the ground. Community involvement has been key for example working with Honeyguide to address issues of human-wildlife conflicts."*[150]

Regional Strategy to Combat Poaching and Illegal Wildlife Trafficking

In 2014, the EAC led Partner States in developing a regional strategy to combat poaching and illegal wildlife trafficking. In October 2015, the draft went to the Partner States for national validation. In June 2016, it was returned to the region and is now waiting to be submitted to the sixth Sectoral Council on Wildlife and Tourism.[151]

Campaign against Ivory Trade

Responding to a request by USAID/KEA, PREPARED supported the Kenya Wildlife Service's awareness campaign against ivory trade through multiple media outlets in Kenya. With technical assistance from a third party (SCANAD PR Services), the Kenya Wildlife Service packaged information on the ivory trade which was broadcast via various media houses to various stakeholders at both national and international levels. Social media were key in spreading the word across the world.[152]

Conclusion: While not part of the original scope of work for the project, a significant amount of time and resources have been expended in this sector with many positive outcomes. WILD in particular has generated considerable interest and shows promise in combating poaching in the region.

EVALUATION QUESTION 2: What are some key lessons learned in the design and implementation of the regional activities for the PREPARED contract?

Lessons Learned in Project Design

This section focuses on seven key project design issues and their implications for the PREPARED project's success: 1) legal frameworks, governance structures, and bureaucracies within EAC/LVBC; 2) the role of non-state actors and foreign entities in regional projects; 3) Partner State priorities; 4) project coordination/partnerships; 5) the role of USAID/KEA and USAID bilateral in regional programming; 6) communication strategy; and 7) PREPARED contractual requirements.

Legal Frameworks, Governance Structures, and Bureaucracies within EAC/LVBC

The EAC and Partner States both have important roles in influencing the successful implementation of regional and national development assistance projects. Specifically, the EAC has an overall coordination mandate for regional projects.[153] However, this mandate is limited to the framework treaty provisions and subsequent resolutions on collective decisions and actions of Partner States. The latter are in turn influenced by the political will of Partner States based on how relevant and responsive a development assistance project is to each Partner State's development goals and priorities, those often being shaped by national circumstances.

"…there is a … protocol from the EAC but it has not been ratified because it has not been accepted by all countries so we can't quote it. If you quote the protocol that has not been ratified, for example… (the Partner State) will resist it. It's very contentious. …. (The Partner State) finds itself in a challenging position because it borders all of the EAC countries. But they have to be sensitive. …. (The Partner State) was chairing the meeting we were in but we had to be sensitive because political decisions override technical decisions." [154]

Thus, PREPARED, being a regional project, operated within a complex supranational governance regime that is constrained at times by sovereign governments and regional inequities in the distribution of development assistance.

Conclusion: The implications of such a complex governance structure are that any regional project must, in its design stage, build sufficient political goodwill to improve the legitimacy of subsequent project activities. This could have been achieved through prior and informed consultations, and in some instances, consent and engagements with the relevant legitimate institutions and would have fostered a better understanding of the operational context of regional and subsidiary governance bodies.

The Role of Non-Regional Entities in Regional Projects

The role and dynamics of the various development actors within the region needs to be understood. Specifically, the role of non-regional entities, especially private companies and the level of their involvement needs to be negotiated and agreed upon at the time of project design.

"*…the entry of Tetra Tech/ARD, a foreign company, to implement regional activities was perceived as odd. It took us time to absorb that.*"[155]

This has a great bearing on how accommodating governments and inter-governmental authorities are in working with non-regional entities, including civil society organizations and the private sector.

Conclusion: The lack of negotiation about the role of non-regional entities led to resistance, lack of recognition, and delays in approval of the project's activities even within the EAC Sectoral Councils.

Partner States Priorities

Partner States must be fully consulted and engaged in the design and development phases of any proposed development assistance project. Findings indicate that relevant ministries and departments

were not fully involved in the project design, but only came on board after the contract was awarded to Tetra Tech/ARD.

"…you know for WASH projects, we normally look at water supply, installation of sanitation facilities; our priorities are mainly on hardware installations. We were surprised to be informed after we had set our regional priorities that the project would only provide software interventions."[156]

"*PREPARED was negotiated at the EAC Secretariat, not LVBC; and that was an issue because the countries were not fully involved in the negotiation of the project.*"[157]

"…It's very different when you are involved in the design of the project versus when you are just invited to participate after…"

" Member state representative

When designing projects, a participatory approach is needed at all working levels of regional and national partners, as well as a comprehensive and elaborate coordination framework that defines each actor's level of engagement (including state actors). This would ensure that national development priorities and circumstances of each Partner State, which are likely to influence the uptake of subsequent project activities, are captured and integrated into the project design. This would in turn promote the sense of ownership and sustainability of project activities.

Noting that a regional project has the potential to evoke and raise expectations beyond its substantive scope and capacity, the Partner States need to be engaged in implementing relevant activities within the project's scope. In Year Four, the project and LVBC started supporting PREPARED National Coordinators, one for each of the five EAC countries.[158] Coordinator KIIs note that they are already stretched thin with other responsibilities and have little time to devote to coordinating PREPARED activities.

Conclusion: PREPARED found itself torn between a contractual scope of work with USAID and expectations/priorities of the EAC Partner States that were not involved in the project's design. Had Partner States been brought into the design process through the EAC's governance structures prior to signing the Agreement, some of the implementation issues PREPARED faced might have been mitigated.

Project Coordination/Partnership

Governance and institutional support through regional coordination of partners

Contractually, PREPARED is supposed to work with other partners; however, it is unclear whether partners were obligated to work with each other.[159]

"When someone gives you a contract and then you're told to work with another person and you have no control over their work and they are not obligated to work with you, then it doesn't work…We needed that baseline information for us to build on but we had no influence over them so we had to develop our own."[160]

PREPARED formed and supported the PCC whose role is to improve coordination among partners, through interactive planning, monitoring, and reporting on PREPARED program activities.[161] The project, in collaboration with USAID and the EAC Secretariat also established a Project Implementation Committee (PIC) to help coordinate USAID's investment in the EAC—through both

USAID/East Africa's Assistance Agreement with USAID and the USAID/East Africa-funded PREPARED project.[162]

Conclusion: The PCC was a critical step towards partner coordination and support of institutional development. The PCC strengthened information and knowledge management at the EAC Secretariat, provided technical training to Partner States; reviewed PREPARED's progress; updated PREPARED partners' work plans, and discussed PREPARED program events.

Other donors/developmental partners

A variety other active development agencies work with the EAC, LVBC, and regional organizations. Some of these include: the African Development Bank (AfDB) supporting WASH and climate change; The World Bank, supporting the Lake Victoria Environmental Management Program within the LVBC region, the KfW Development Bank, supporting WASH and energy; and the United Nations Human Settlements Program supporting Lake Victoria Water and Sanitation Initiative. However, PREPARED had very minimal interactions with these development partners despite the fact they were working in the same sectors within the same geographical areas.[163]

Conclusion: USAID could potentially be funding the same projects as other donors in the region. Opportunities for mutual learning might have been missed and the project could have suffered the challenges of parallelism and duplication of efforts.

Consultations/Coordination with Ministries, Departments and Agencies

Consultations with the relevant ministries/authorities prior to implementing project activities is critical to the success/uptake of a regional project within Partner States.

An example of a successful coordination effort was the entry of the PREPARED project into Uganda to implement WASH activities; stakeholders viewed it as a partnership between the NWSC and PREPARED. The project engaged the Ministry of Water and Environment, which then authorized the partnership between NWSC and PREPARED.[164]

Conclusion: The lack of or inadequate coordination of activities with the relevant ministries slowed implementation, and the project received resistance from the various stakeholders. The project succeeded where the relevant ministry was involved, as in the case of Uganda.

USAID/KEA and USAID Bilateral Role in Regional Programming

Within the East African region, USAID country missions are present in each EAC Partner State and are responsible for bilateral development aid and engagements. USAID/East Africa promotes economic integration and coordination throughout the EA region. During the life of the project, the USAID Kenya and East Africa Missions were reorganized from two separate entities into a single Mission that is now called USAID/KEA. Traditionally, USAID/EA worked with regional intergovernmental organizations such as the EAC, IGAD, and Common Market for Eastern and Southern Africa, as well as regional organizations such as FEWSNET, ICPAC, RCMRD, and regional private sector and civil society groups to implement effective solutions to regional development challenges, while USAID Kenya focused on activities in Kenya alone.[165]

An example of successful synergies is the project's technical assistance (developing vulnerability hotspot maps and training TMA in the VI mapping methodology) to the Water Resources Integration Development Initiative (WARIDI project – funded by USAID/Tanzania) to conduct a vulnerability assessment.[166] On the flip side, PREPARED faced challenges such as delays in authorization (e.g., acquiring work permits and tax exemption status), which slowed implementation in Tanzania, while waiting for USAID/Tanzania to issue the original Strategic Objective Grant Agreement signed by USAID/Tanzania and the Government of Tanzania.[167]

Conclusion: Coordination within the USAID system and the dual roles and dynamics between its national and regional portfolios can affect implementation of regional projects.

Communication Strategy

PREPARED lacked an effective overall community strategy for engaging and communicating with stakeholders including EAC Partner States and regional organizations, on project matters.[168] While the PCC (see section 4.2.1.4) provided a platform for communication and coordination, it had minimal impact on Partner States. Initially, Partner State representation at PREPARED meetings was inconsistent, which was disruptive because the project had to re-introduce/recap what had been discussed in previous meetings.[169] To date, confusion still exists between the PREPARED program and PREPARED project (see glossary). In Year Four, the LVBC Sectoral Council directed the project to hold national consultation meetings with each Partner State to improve their understanding about the project.[170]

PREPARED initially assumed that each stakeholder would have its own communication strategies however, this mid-term evaluation indicates that PREPARED did not provide an overall communication framework on matters regarding the project.[171] The various regional project sensitization and awareness campaigns were not guided and informed by a communication strategy. In Year Three, a dedicated effort was made to improve communication within PREPARED and all stakeholders. For example, a Stakeholder Engagement and a Communications and Outreach Strategy was developed for VIA.[172]

Conclusion: Prior to Year 2014, little was known about PREPARED project operations in the EAC region; this slowed implementation of activities.

PREPARED Contractual Requirements

Subcontracting Clause and Grants under Contract

PREPARED implemented its activities through direct support or indirectly through subcontracts and grants to both foreign and local partners working within the EAC region.[173] For instance, engaging sub-grantees (e.g. Nature Kenya, Nature Uganda, Birdlife International, Escape Elephant and Big Life) through partnership arrangements was useful as they have long-term experience in specific conservation areas. This facilitated efficiency in implementing Component Two activities particularly at the grassroots level. Building partnerships with sub-grantees such as the Ugandan National Coalition for Sustainable Development, facilitated efficiency in capacity building activities such as QSIP and stakeholder engagement for WASH related activities. The use of subcontractors such as CAMCO

facilitated building an evidence base on VIA knowledge gaps in the region. Birdlife International is now able to reach a larger population and also to cover the whole Mara wetland.

Conclusion: The subcontractors and grantees provided capacities that were either rare or lacking, within the region. The project also enabled grantees to expand their work.

Human Resource Management

PREPARED's design envisioned five key personnel positions; chief of party, deputy chief of party, climate change adaptation technical advisor, biodiversity conservation technical advisor and WASH technical advisor. However, the position of a project coordinator/communication specialist with clear terms of reference on PREPARED coordination and communication matters was not considered as part of the project's key personnel.

"…PREPARED does not have a regional coordinator so what they are using is some staff at the LVBC secretariat, to coordinate their activities."[174]

It took PREPARED personnel four months to establish an office in Arusha yet they expected this to occur after only a few weeks. Then they had to relocate from Arusha, to Kisumu and then to Nairobi. Consequently, the team were behind schedule with at least four months.

Conclusion: The lack of a dedicated communication staff member had an adverse effect on the project from the start. (See section above on 4.2.1.3 Partner States Priorities).

Project Monitoring and Evaluation Strategy (Performance Management Plan)

The PREPARED project adopted a predominately output-based rather than outcome-based M&E plan.[175] For instance, several climate forecast/climate impact tools (such as GeoClim, GeoMoD, and VIA) have been developed and are currently in use in the EAC region. However, it is not clear how these tools will improve the livelihood of the population in the Lake Victoria Basin in making informed decisions on how to adjust, say, their farming practices to take advantage of the various climate scenarios predicted.[176] PREPARED fell short of its target for Custom Indicator 1.2 (Increase in institutional capacity score, as measured by OCA) in each of the four years.

"…very many ad hoc things happening in PREPARED; lots of outputs but we cannot measure outcomes. Change has to be planned deliberately." [177]

Various stakeholders within the EAC Partner States argued that this mid-term evaluation exercise should have been conducted much earlier, rather than toward the end of the fourth year of a five-year project. They further noted that it was more a review exercise than a mid-term evaluation. Other key informants indicated that the terms of reference for the mid-term evaluation exercise were neither informed by, nor accessible to, the EAC Partner States.[178]

Conclusion: Due to the project's heavy weight on output rather than outcome indicators, it is difficult to assess the success of activities other than what has been provided anecdotally through the KIIs. Mid-term course corrections are unlikely to be implemented, due to the timing of this mid-term evaluation term evaluation, unless plans exist to extend the project considerably to see the impact of the proposed recommendations.

Equitable Distribution of Benefits

One objective of the LVBC is to promote equitable economic development;[179] and the USAID Contract AID-623-C-013-00003 Section C.4.4.3 Geographic Scope clearly describes the target for support under PREPARED. However, the statement "…*the PREPARED program will include cross-cutting elements that yield benefits for the entire East African region, and which do not have a specific site-based geographic focus*" does not mandate equitable distribution of benefits across Partner States.[180] There were several factors that contributed to an uneven distribution of funding sub-grantees across the region such as the quality of grantee not meeting the requirement for an award and lack of approval by USAID and political instability in Burundi which hampered the development of CIP in Nyungwe-Kibira in Rwanda and Burundi.[181]

It is worth noting, however, that the project made commendable efforts in ensuring fair distribution of project activities, although there are perceptions that Kenya and Tanzania have benefited more from the project.[182] Under Component Two, CIPs were conducted across the five EA countries and joint management plan meetings were held with stakeholders from various countries. In addition, a MoU between the Republic of Kenya and United Republic of Tanzania was signed for the sustainable management of the MRB in September 2015.

Conclusion: The lack of a clear mandate to ensure equity in the region did not affect project implementation per se; however, without a clear mandate, stakeholders perceived that some countries have benefited more from the project than others.

Contract Modification: At the time of this evaluation, seven modifications had been made to USAID Contract AID-623-C-013-00003. Of the seven, only one, Amendment # 7 (signed on September 17, 2016), provided for a change in the scope of work; that is, narrowing the focus of Components One, Two, and Three to sustain best practices during the extension period January through September, 2018. However, this mid-term evaluation identifies other amendments that could have been made to the contract, for instance:

- An amendment deleting the first expected result under Component One "The contractor shall *"Establish an EAC Climate Change Coordination Unit that plays a key role in coordinating climate change knowledge management and transboundary climate change adaptation policy making and investment planning within the EAC and LVBC".*[183] Note, a Climate Change Coordination Unit was already in existence before PREPARED was awarded.
- An amendment adding activities related to President Obama's Executive Order on Combating Wildlife Trafficking (the Executive Order was issued in July, 2013, after the project was awarded) and revising the scope of Component Two to cover regions, such as Amboseli, that are outside the LVB.[184]
- An amendment adding the position of a regional coordinator as one of the key personnel.[185]

Conclusion: Lack of these amendments did not affect the implementation of the project activities; however, documentation on the evolution of the project's contractual requirements/project expected deliverables and targets is missing.

Lessons Learned in Project Implementation

Climate Change Adaptation

PREPARED used a "regional collaborative approach" to build the capacity of the EAC Secretariat, regional organizations, and Partner State focal sectors to address climate change concerns within the region. The collaborative approach meant supporting joint capacity development activities such as training sessions and workshops.

Establishing the Climate Change Technical Working Group

The project assisted the EAC Secretariat to establish and develop the CCTWG, comprised of experts from Partner States. The CCTWG is an official organ of the EAC Secretariat and has been involved in providing approvals for climate change related activities (e.g. harmonizing partner state adaptation plans), providing feedback on reports and VIA activities, and establishing a CIN.[186]

Conclusion: PREPARED has a platform for working with the EAC Secretariat and Partner States on climate change adaptation in the region.

Creating Synergies Around Shared Regional Challenges

Some key synergies created include: harmonizing understanding on climate change risks, assessment methodologies, and tools for understand trends, creating scenarios, and predicting future trends, exploring intervention options, and planning for investments.[187] For instance, RCMRD was able to facilitate learning between the PREPARED team and SERVIR, both funded by USG/USAID, thereby allowing learning across related activities.

Mutual Learning and Linkages

Joint training/mutual learning sessions for the EAC Partner States' focal sectors were cost effective ways of building capacity.[188,189] Joint trainings provided actors with an opportunity for mutual learning and sharing as well as creating grounds and momentum for replication. For instance, RCMRD staff who received training on VI were able to replicate the VI hotspot mapping, and provide VI maps to areas outside the LVBC that face the same challenges such as Laikipia and Samburu, to inform conservation planning. Sustainability Watch Kenya (SusWatch), Eco-Finder and E-Link hired and trained their respective field researchers in the C3A2 and carried out the assessment in 17 climate vulnerable communities within the five EAC Partner States. RCMRD were also able to produce C3A2 hotspots maps that was used to set up the pilot community project.[190]

Conclusion: The joint training sessions provided regional actors including inter-government, government, civil societies, private sector, and universities, an opportunity to create and strengthen the established intra-regional linkages, partnerships, and collaborative working arrangements to address commonly shared development challenges.

Data Sharing Protocols

Different country-specific protocols for accessing data and information led to delays in project implementation. The DARE exercise for example, dealt with proprietary meteorological datasets and external support was met with apprehension since exporting data to other countries carry the perceived risk of

> *"We had people there who are well versed in historical events and when we linked their input to climatic events in scientific literature, it was really telling."*
>
> *- PREPARED sub-grantee*

misuse and eventual exploitation of the country of origin.[191] The Tanzanian Meteorological Agency (TMA) has strict policies concerning data sharing across borders and to ensure the DARE exercise was successful, some data handling modalities were developed: 1) defining the appropriate resolution at which datasets should be rescued; 2) creating an ethical work culture that is sufficient to build confidence among meteorological entities in handling proprietary datasets; and 3) supporting meteorological services (technical support including access to equipment).

Conclusion: Sharing data across the different countries, regional climate-related institutions, and targeted sectoral entities is a critical need for which the EAC must build trust between Partner States to ensure its continuance.

Engaging Local Communities for Climate Change Adaptation

Implementing C3A2 provided historical knowledge about climate within communities that was directly linked to available current scientific knowledge, especially on the trends in temperatures and rainfall.

Sub-grantees working with communities facilitated community meetings to share best practices, experiences, and networking related to the climate variability and the livelihood diversification within the region.[192]

Conclusion: Working at the grassroots level provides a strong forum for participating community groups to discuss the best ways to improve productivity and strengthen adaptation.

Transboundary Biodiversity Conservation

Establishing the Biodiversity Task Force

The project facilitated the establishment of the BTF to oversee the implementation of PREPARED's activities (LVBC Sectoral Council approved the BTF in October 2013) at the regional level.[193] However, the task force has been challenged because membership has been inconsistent. This issue is beyond the project's control. The BTF was an important vehicle for facilitating training sessions and implementing biodiversity conservation activities under Component Two. It also was instrumental in developing and approving the selection of BSAs, supporting the EPA and forming PIN teams.

Coordination Role of PIN Teams with Partner States Agencies and Other Actors

PREPARED collaborated with multiple actors in implementing various biodiversity conservation activities. These activities included forming PIN teams comprised of key government and civil society representatives. PIN teams developed proposals for activities in priority BSAs and developed transboundary landscapes for Nabugabo (Uganda) and Nyungwe-Kibira (Burundi/Rwanda).[194]

Conclusion: PREPARED and BTF role in coordinating efforts of PIN teams with relevant government representatives resulted in successful biodiversity conservation activities such as identifying priority BSAs.

Developing a Biodiversity Information Management System

In Year Two, PREPARED conducted a geospatial and information management capacity assessment of regional institutions, including the EAC and LVBC. The proposal to collect biodiversity metadata initially encountered some resistance from LVBC. A BIMS assessment (approved by USAID/KEA) was

finalized in Year Three; with LVBC set to host the BIMS. However, no consensus exists on the components of the biodiversity database.[195]

Conclusion: Assessing the viability of a BIMS was a good step because it will inform the project of capacity gaps, potential information sources, and the willingness of Partner States to contribute. The lack of consensus on who will host the BIMS has slowed its implementation, but established a basis for ownership.

Public-Private Partnership in Biodiversity Conservation

The project, in collaboration with Strathmore University's iLabAfrica, facilitated developing the innovative WILD tool in response to President Obama's Executive Order on Combating Wildlife Trafficking. PREPARED partnered with key stakeholders (government, conservancy, and private sector stakeholders) in Kenya and Tanzania on using ICT to improve the fight against poaching in East Africa.[196]

Conclusion: With successful development of the WILD, PREPARED built a successful platform for PPP in developing an ICT tools for biodiversity conservation. WILD is an attractive tool for private and public entities, particularly wildlife conservancies and national parks/game reserves in the region.

Water Supply and Waste Water Treatment

Establishing a Regional WASH Task Force (RWASHTF)

PREPARED and the LVBC Secretariat developed the RWASHTF to guide project activities and ensure adequate Partner State participation and support.[197] The RWASHTF facilitated a regional vision and developed strategies linked to the EAC Water Vision; developed a regional WASH Action Plan; created criteria for selecting WASH intervention sites; and identified 15 priority WASH intervention sites (3 in each EAC Partner State). In collaboration with the LVBC Secretariat, the project planned and facilitated RWASHTF meetings, in Bujumbura (2014), Mwanza (2015), Nairobi (2015), and Entebbe (2016).

Conclusion: Establishing RWASHTF helped bring together various WASH stakeholders from the EAC region.

Public-Private Partnership in NRW

The PREPARED project developed formal partnerships with NWSC and ITRON to establish a service delivery improvement program to support the reduction of NRW in Jinja, Uganda. The NWSC/Uganda and Uganda Coalition for Sustainable Development developed 15 radio programs in local languages to inform communities about WASH issues, NWSC operations, and how individuals can contribute to reducing NRW. The NWSC, with support from PREPARED, also developed the Customer Relationship Management database, which links NWSC's billing system with other platforms such as mobile applications and social media sites.

In Tanzania, the PREPARED project is facilitating a partnership between ITRON and Mwanza Urban Water Supply and Sewerage Authority to develop a specific NRW reduction program.[198]

Conclusion: The Customer Relationship Management system has enabled corrective measures on pipe bursts and other problems to reduce water losses in the intervention areas in Uganda. The success in NRW in Jinja has incentivized public and private companies such as the Ugandan Ministry of Water and Environment, the NWSC and Itron because they have seen its benefits such as improved service provision and increased revenue. By continuing to support the NRW program, Itron can market their tools which is an added value.

Other Lessons

Activity Implementation at Country Level

Lack of project staff/offices at the country level makes implementing activities difficult.

"…the project has one more year remaining; and except for some training nothing has been, really, going forward concerning the eco system management and the WASH component. This is one of the key issues we have with the project. The second one, is that the project is expected to deliver on some interventions in the Partner States, yet it does not have staff in those Partner States which makes it very difficult (KII Ministry of Natural Resources, Rwanda)."[199]

Complexities around work permits for EAC nationals seconded to work in another country other than the country of origin further complicated attempts to have a diverse, integrated staff.[200]

Conclusion: Lack of field/country offices slowed implementation of project activities. It's unlikely, that with the remaining time any joint work plan on Nyungwe Kibira eco system management will be completed.

Engaging Local Communities

Stakeholder/customer engagement is a necessary prerequisite for improving quality service in WASH; this was evident in Uganda within the NWSC where the company engaged with local water users in advocating for the need to save water.[201] Another example is that local community rangers used the WILD tool to report wildlife trafficking.

Conclusion: PREPARED successfully facilitated a platform for community engagement in project activities.

Implementation Involving Multi-Country Stakeholders

The timing of project's activities/meetings needed to consider the availability of the relevant stakeholders and schedules of other stakeholder meetings. In addition, implementation should have been scheduled appropriately with key stakeholders so the time between training and implementation was not too great. Finally, a set protocol on allowances such as per diem rates should have been established and harmonized at the start of the project.

"…I remember the training on economic valuation was done about two years ago; the valuation, we did it toward the end of last year. So, you can see the impact cannot be really recognized because of the timing of the activity."[202]

"If there is another phase, it would be very important to bring together all the stakeholders, with no doubt the EAC; so, that all of us are clear on what the donor; the devolvement partners and national/regional partners have an understanding of what the project is all about and to understand what we want to accomplish."

-Member state ministry official

Conclusion: Some stakeholders in the region were demotivated by short notice, holding concurrent meetings, delays in implementing project activities, and different protocols on allowances.

EVALUATION QUESTION 3: How has PREPARED ensured that activities and services are gradually tied to sustainable, publicly managed arrangements and government processes beyond the life of the project?

The findings presented below are the results of an analysis of qualitative data collected through key informant interviews in the five countries. These qualitative results were triangulated with the available PREPARED annual and quarterly reports from 2013 to 2016. The evaluation team analyzed the evaluation data and considered key sustainability issues and a host of factors including institutional, political, technical, and environmental capacity that define the degree of sustainability that is considered essential for the long-term success of PREPARED. The following analytical domains were studied:

1. Promoting demand and ownership so that activities continue after the project ends;
2. Nurturing of key institutions – governmental, civil society, and private sector – to implement, and evaluate activities in relevant areas;
3. Building skills and capacity of key stakeholders whose involvement will be critical for maintaining gains after the project ends.

Promotion of Demand and Ownership

All KII respondents at the Partner State level said they had very limited understanding of PREPARED at the beginning of the project because country leadership was not consulted in the project's design. They did not get an opportunity to communicate key issues and priorities needing assistance and support from the project with the donor.[203]

A review of the PREPARED Year Two Annual Report indicates that the Life of Project Work Plan including its objectives and activities was endorsed by the EAC and LVBC in the second quarter of Year Two. PREPARED established technical task forces at the LVBC Secretariat and assisted in developing the Climate Change Technical Working Group at EAC Secretariat to improve understanding and coordination of the project's activities.[204] Until early 2015, PREPARED did not receive permission to attend the RPSC and Senior Officials meetings and provide information on project implementation and scope of work. In the beginning of 2016, LVBC decided to institute a PREPARED national coordinator for each Partner State to ensure better coordination and communication with the project. PREAPRED started to convene national consultations in Year Four. National consultative meetings were conducted in Uganda, Kenya, Tanzania, and Rwanda Partner States.[205]

The respondents said that those activities that had become integrated into institutions and in communities were more likely to be sustainable. The major factors highlighted for successful integration was raising awareness of key issues, availability of tools and methodologies for solving these issues, and capacity building in their use. Some evidence exists, especially with the WILD tool, that the participatory and collaborative approach in tools implementation has promoted demand and ownership among regional and local stakeholders.[206] However, there is no evidence of tools being

demand-driven initially as there was limited consultation with partners during project planning phase. The demand or request for tools improved gradually by training and observation of their utility.

'WILD is already being used and is helping in building capacities of the local rangers who will have a great sense of ownership.'[207]

Evidence suggests that some of the tools and methodologies promoted by PREPARED are being adopted among regional and local institutions. For example, the Uganda National Meteorology Authority has conducted an in-house VIA training. The trained team replicated the VI mapping (by downscaling the regional VIA outputs to the national level VI map) and are currently updating it. VI mapping is now mainstreamed within the RCMRD programming of services and RCMRD has in-house capacity to support other institutions to replicate the VI mapping.[208]

Supporting local communities through grantees with established, long-term relationships with communities successfully promoted ownership.[209]

"*We have been lucky to involve local community groups, government officials, for example, in understanding key conservation issues and in the identification of priority areas for actions. We are facilitating a participatory development of management plans."*[210]

Conclusion: It does not appear that the EAC worked through its governance structures to gain input and buy-in from Partner States prior to signing the agreement with USAID. As a result, Partner States did not understand PREPARED's design, which led to limited demand and ownership of the project's activities. This lack of coordination and communication also delayed activity implementation.

Nurturing of Key Institutions

The PREPARED project worked through the LVBC and the EAC and its implementation organs the EAC Environment and Natural Resources Sectoral Council, the EAC CCTWG, the LVBC Sectoral Council, the RPSC, the BTF, and the RWASHTF. The PREPARED project adjusted its technical approaches based on the needs and in consultation with stakeholders. PREPARED conducted an initial organizational capacity assessment of EAC CCCU in December 2013. While this baseline provided a comprehensive overview of the EAC's organizational capacity, and could be used to inform future institution building activities for the EAC as a whole, the assessment was not specific enough to establish a baseline for CCCU's capacity needs to complete its mandate. The PREPARED project, EAC CCCU, and USAID jointly revised the organizational capacity assessment to focus on the CCCUs core mandate and functionalities. The baseline was re-established in November 2015. A number of national organizations in the EAC region, particularly those involved in developing policies and decision-making, identified the need for accessible, accurate and readily-available climate knowledge and information. Based on this need, PREPARED's sub-contractor CIESIN conducted Climate Information Users and Service Providers assessments to understand end-user needs. In Year Four, PREPARED started developing the IKMS. PREPARED gave the EAC technical assistance on climate change financing readiness activities and enhanced climate change resource mobilization efforts including initiating the accreditation process to be a RIE. This activity is expected to enhance

> *"The fact that the project is reaching out to local community groups is a good sign that some of its success will continue in the longer term."*
>
> *-USAID*

EAC's ability to obtain external funds.[211]

PREPARED project activities included linking community based organizations and the private sector with Partner States' agencies.[212] During Year Two, PREPARED launched the grants program and has issued grants to NGOs and universities in Kenya, Tanzania, and Uganda. PREPARED trained each grantee to improve its capacity to effectively manage and report on donor funding and provided structured feedback to improve the quality of technical deliverables.

In Year Four, PREPARED supported the Kenya Meteorological Department's integrated approach to improve service delivery. This included supporting QSIP and launching WII, which brought together organizations such as the Kenya Meteorological Department, FEWS NET, Jubilee Insurance, Earth Networks, TAHMO, UTS Sacco, farmer organizations, and fertilizer companies. The WII uses climate information derived from GeoCLIM to design packages to insure farmers against extreme weather and enhance their economic capacity in times of extreme climate events. However, there were challenges in nurturing key institutions. The project's support to partner states in terms of activity implementation was not consistent across the five targeted countries.[213] This was caused by lack of communication or lack of mutual understanding of activity goals and objectives that resulted in delays or no support at all. Burundi had the smallest number of activities implemented due to insecurity.

"This kind of project can be scaled up because they did some significantly good work, but there are some countries that are still way behind."[214]

Conclusion: PREPARED's approach of working with relevant regional, local government, non-government, and private institutions is appropriate and a necessary factor to ensure sustainability of activities and services beyond life of the project. Technical assistance from PREPARED is well appreciated by all levels of stakeholders. Lack of communication and other factors beyond the direct control of PREPARED led to inconsistent implementation of activities.

Skills Building and Capacity of Regional and Local Stakeholders

"'It is unclear how regional and national institutions will sustain their roles and responsibilities without being facilitated by the project's resources when it exits. Questions around the sustained capacities of institutions to continue with for example updating the tools and applying them."

-PREPARED subcontractor, Biodiversity Conservation

The PREPARED project focused on building the technical capacity of regional and local stakeholders to ensure continuity in using new tools and methodologies**.** The PREPARED project identified eight potential 'legacy' activities to have sustained and institutionalized within the region when the project ends. These eight activities are: 1) VI mapping, 2) GeoCLIM, 3) DARE model, 4) VIA methodology, 5) HWC best practice toolkit, 6) WILD, 7) QSIP approach, and 8) NRW model.[215] To carry on the 'legacy' activities, the project targets existing regional and local governments, civil society, and private sector partners working in collaboration with regional partners, such as ICPAC, FEWS NET, RCMRD, LVBC, and EAC CCCU. The methodologies and tools are being implemented through a process that builds staff capacity and links it to their day-to-day activities. PREPARED trained individuals from these institutions to ensure that capacity is mainstreamed within institutions, that work is continued without the need to hire an external agency, and that government funding mechanisms (salaries and training benefits) are used and

optimized.[216]

For example, PREPARED worked closely with RCMRD to conduct climate VI mapping for the LVBC and EAC. These maps were used to select community climate change hotspots, and implement climate adaptation pilot interventions. In addition, PREPARED cultivated an approach where partner states identified the development problems, proposed feasible solutions, and implemented the solutions through sustainable institutional frameworks. An example is the DARE initiative that trained TMA staff to undertake DARE tasks. The activity design was informed by TMA experience and lessons learned from a similar task by a non-USAID development partner that hired a consulting firm rather than train TMA staff. Because institutional capacity was not built, the activity could not continue once the contract ended. Thus, PREPARED, with inputs from Partner States, hired a consultant expert to train TMA staff to implement the DARE pilot and cement capacity within the TMA who can in turn assist other partner states. In addition, best practices and lessons learned have been documented for replication in other meteorological institutions in the region.

The project introduced new tools and methodologies to build institutional capacity to analyze, implement, and evaluate development activities, however, it is still unclear who will champion or host/these tools and methodologies without PREPARED's support.[217] For example, QSIP has been well received and both the EAC and LVBC consider it a useful instrument to improve WASH service provision. National actors in Kenya and Uganda have expressed their desire to apply QSIP. However, it not clear that LVBC will own and legitimize it. Individuals trained on QSIP have benefited, however, their institutions may not have the capacity to sustain such initiatives. According to the Year 4 Annual Report, PREPARED learned that FEWS NET may not receive USAID/KEA funding in Year 5 under the PREPARED Program.[218] This could challenge the sustainability of those tools that rely on FEWS NET technical expertise. Another challenge is building capacity among the appropriate cadre of staff. At times the desired staff members are not available or not informed in time to participate in capacity building activities and the staff that may attend the training activities may not have the appropriate skills or position to use these skills.[219] Multiple respondents noted that while good tools exist, they do not yet have homes.

Conclusion: The project has, to some extent, enhanced institutional capacities to analyze, implement, and evaluate development activities and improve informed decision-making processes using tools. Interest and demand exists for the tools and some evidence shows they have been used, but most tools and methods are not fully assimilated within one or more institutions. Thus, securing the uptake of tools and methodologies, which rely heavily on continuous updating and technical expertise, is not yet sustainable. The challenge is to identify capable institutions that can responsibly host the tools and methodologies and support capable individuals to train others after the project ends. Individuals trained by PREPARED are not necessarily linked with the institutions targeted to house the tools. Thus, it remains unclear exactly how assuring sustainability will unfold. There is no evidence to show whether enough trained individuals exist to sustain the level of capacity building achieved in the targeted institutions. Unless these tools and methodologies are mainstreamed one cannot be sure of institutional sustainability especially if the trained staff member leaves that institution.

Below are the findings from three specific PREPARED activities studied by the evaluation team, including: 1) WILD application for combating wildlife crime; 2) the transboundary management of the Mara River Basin; and 3) embedding NRW practices in a regional institution.

WILD Application for Combating Wildlife Crime

The WILD application was developed in response to the needs identified by conservancies in Kenya and Tanzania to collect, analyze, and manage data on poaching and human-wildlife conflicts. The tool was launched and piloted in the Amboseli-Kilimanjaro ecosystem. Multiple software versions were developed based on the feedback received from community rangers who are already using the tools to report any incidences of human-wildlife conflicts.[220] Currently WILD version 4.2 is being used in the Amboseli ecosystem and expected to roll-out across Maasai Mara through local conservation organizations by January 2017.[221] Efforts are ongoing to link the WILD application with the SMART application for easier reporting and analysis of wildlife crimes.

Conclusion: WILD is currently being used by conservancies in the EAC region to collect, analyze, and manage data on poaching and human-wildlife conflicts. Further modifications to the application have the potential for improving its use across the region.

The Transboundary Management of the Mara River Basin (MRB)

The project supported the LVBC Secretariat's efforts to coordinate and facilitate IWRM of the MRB by signing a MoU (September 15, 2015) between Kenya and Tanzania.[222] The final MoU outlines the institutional framework and responsibilities for managing the MRB. In Year Four, PREPARED and the LVBC Secretariat sponsored an exchange visit between the MRB Joint Steering Committee, comprised of delegates from Kenya and Tanzania, and the Permanent Okavango River Basin Water Commission, with its Secretariat in Maun, Botswana, and comprised of representatives from Angola, Botswana, and Namibia. The lessons learned from the exchange visit are being applied to develop a strong institution to manage the MRB. The PREPARED project has offered to provide interim-secretariat services to the MRB Joint Steering Committee during its early development stages.[223]

Conclusion: Efforts are ongoing to develop strong regional institutions to manage the MRB, however, it is too early to determine the capacity of the MRB Joint Steering Committee to function effectively as a transboundary river basin organization.

Embedding NRW Practices in Regional Institutions

At the end of Year Two, PREPARED, ITRON, and the NWSC formed a public private partnership aimed at reducing NRW levels in Jinja and Iganga, Uganda. Key components include improving NWSC's service delivery, developing and supporting a customer engagement framework, and providing innovative engineering and ICT solutions for reducing water losses and optimizing revenues. Each partner agreed to commit resources to ensure the successful implementation of the NRW strategy. The NWSC perceives itself as the lead agency in NRW. But sustaining its capacity to provide better custom service in water supplies and maintain efficient sewage is uncertain due to foreseeable budgetary constraints. Despite these shortcomings, the Uganda NWSC is planning to replicate the concept in other parts of the country.[224]

In Year Four, the project in collaboration with NWSC and Uganda Coalition for Sustainable Development established 15 Water Community Communication Clubs: ten in Jinja and five in Iganga. The club members report leakages, sewage overflows, and pipe bursts while soliciting feedback on NWSC services.

Conclusion: The NRW initiatives have the potential to promote innovative tools and move through market pathways that would generate funds to continually update and further refine these tools.

SUMMARY CONCLUSION

As evidenced in this report, PREPARED is a large and complex project that found itself torn between a contractual scope of work with USAID/KEA and the expectations and priorities of the EAC and its Partner States. The implications of such a complex structure are that any regional project must build sufficient political goodwill in the initial design stage to improve the legitimacy of subsequent project activities. A resounding theme with key informants, particularly among Partner States, is that their lack of involvement in the design stage did not initially build the good will needed to implement the project successfully. The lack of input to the project's design and the choice of implementing partner led the EAC Sectoral Councils to resist and delay approvals. Given that the EAC was involved in designing the project, the evaluation team queries the extent to which Partner States have confidence in the EAC to determine priorities on their behalf. While this made the first year of implementation particularly difficult, PREPARED worked diligently to build consensus among stakeholders through technical working groups and the CCCU to inform and/or design strategies and policies that are almost universally appreciated. The task force teams provided expert guidance and have been an integral part of the project's success overall in meeting their contractual obligations.

PREPARED contributed greatly in providing basic knowledge and tools on climate change adaptation to assist in planning and investing in climate change actions. The project also contributed to transboundary biodiversity conservation and WASH throughout the region. And while not part of the original scope of work, PREPARED has successfully implemented activities related to human/wildlife conflict. Activities across all components were structured such that where applicable, each activity was used as a building block for the following activity. The joint training sessions allowed regional actors—including inter-government, government, civil society, private sector, and universities—an opportunity to create and strengthen the established intra-regional linkages, partnerships, and collaborative working arrangements to address commonly shared development challenges. The project successfully facilitated a platform for community engagement in project activities. Working at the grassroots level has provided a strong forum for participating community groups to discuss best ways to improve productivity and strengthen adaptation. These activities have been noted by Partner States and organizations and are replicable.

Significant anecdotal evidence exists regarding the success of the project however, due to the project's heavy weight on output rather than outcome indicators, it was difficult to assess the success of activities against PREPARED's indicators and through the lens of the development hypothesis that asserts that "*if project objectives are achieved, then the legitimacy, confidence, and authority of the EAC and LVBC to provide regional leadership and technical direction in climate change adaption and IWRM programming will increase. And further, if all of the above are achieved, then PREPARED would have strengthened the resiliency and sustainability of East African economies, transboundary freshwater ecosystems, and communities.*" This framework emphasizes the empowerment of the EAC, LVBC, and other regional institutions (ICPAC and RCMRD) to ensure sustainable and continued change long after the end of the PREPARED project.225 Evidence shows that the project met its objectives: 1) Climate change adaptation technical capacity, policy leadership, and action readiness of regional institutions improved; 2) Resilient and sustainable management of biologically significant transboundary freshwater ecosystems in the EAC region strengthened; and 3) Resilient and sustainable water supply, sanitation,

and wastewater treatment services in the Lake Victoria Basin enhanced. What is less clear is whether or not meeting these objectives fulfilled the development hypothesis on which the project is based.

No indication exists that the EAC has embraced the project's outputs, in terms of tools, training, and assessments. The EAC does not appear to be leading the way to find homes for the tools, but rather is waiting for PREPARED to do so. In addition, the EAC requested the IKMS platform and in response, the project has paid for a full time IKMS specialist. However, key informants note that it is uncertain whether Partner States will provide the necessary data to populate the IKMS since no data sharing protocol exists. As the IKMS was demand driven, the evaluators would have expected the EAC to provide robust support for this endeavor. In terms of data sharing, the EAC has secured Partner States' commitment to share their data in a regional platform. The team understands that each Partner State is sovereign and has its own policies, strategies, and priorities, however, as a governing body, the EAC should be able to navigate the various governance structures (i.e. council of ministers, sectoral councils) to facilitate an agreement around this subject; if, in fact, it is a priority among Partner States.

Mid-term course corrections are unlikely to be implemented, due to the timing of this mid-term evaluation unless USAID plans to extend the LOP considerably. Sustainability is an issue particularly regarding the uptake of tools and methodologies, which rely heavily on continuous updating and technical expertise. The challenge is to identify capable institutions that will host the tools and methodologies and support capable individuals who can train others after the project ends. Unless these tools and methodologies are mainstreamed, institutional sustainability cannot be assured, especially if trained staff members leave the institution.

The overall recommendation is for PREPARED to work with USAID/KEA and the EAC/LVBC to develop an exit plan that determines which activities have gained traction, can be mainstreamed, find a "home," and be funded independently, paying close attention to maintaining the momentum of the gains made during the project's tenure.

RECOMMENDATIONS

Recommendations for Future Project Design and Implementation

USAID/KEA

1. Ensure that the design of future regional projects/activities are designed with a more collaborative approach where the EAC is able to take full ownership of the activities as the regional organization mandated to coordinate the regional economic integration agenda.

2. Conduct a stakeholders' mapping before every award and design a communication framework, to improve activity coordination that considers the various stakeholders on the ground, their concerns and sensitivity to the project/activity in relation to Partner States' priorities and their expected involvement in implementation.

3. Coordinate future activities by designated personnel at the LVBC. The current project coordinator at the LVBC is expected to facilitate coordination and communication among various stakeholders to promote a common goal in the EAC. In addition, regional projects should support a full time, designated coordinator in each country (preferably third country nationals from the EAC region) from the start to facilitate communication and collaboration among stakeholders. USAID should explore the possibility of having in-country offices/establishing the project's presence in each target country. Through such arrangements, the LVBC coordinator would ensure that pending activities in each country are completed efficiently.

4. Hold USAID/KEA coordination meetings with other development agencies to discuss and harmonize regional activities in the LVB to minimize the risk of duplication, parallelism, and double funding. For example, there is need to recognize past projects such as LVEMP II and LVWATSAN as important lesson learning platforms. While the development agencies are often located outside the region, bilateral missions typically have representation within their embassies in each host country.

5. Hold USAID/KEA's regional office and bilateral mission consultative meetings to agree on the scope of each regional activity and each office's level of involvement/contribution and reporting requirements.

6. Adopt outcome-based indicators for future activities.

7. Consider a phased-implementation approach for future designs that factors in transition timelines, so as each project ends, local stakeholders are driving the process with USAID/KEA's implementing partner taking an advisory role on technical matters.

8. Include an official amendment to the scope of work prior to the start of implementation and preferably in consultation with relevant bilateral missions in the region for all requests for implementation of activities not included in the original scope of work.

EAC

1. Participate fully in the design of regional projects/activities and ensure that regional priorities take into consideration the common priorities of the Partner States agreed upon the EAC Development Strategy and other regional sectoral strategies. This will ensure that the project is inclusive so that all Partner states can move forward together towards a common goal of a prospectus healthy population in the region.

2. Consider developing outcome indicators in its PMP as part of its development objectives.

3. Consider a participatory needs assessment of each Partner State to better inform the activity's design. Tools and methodologies should be well designed in consultation with end-users to promote ownership and facilitate their use.

4. Ensure project/program personnel are hosted at EAC HQ for effective coordination.

Recommendations for Improving Current Project Implementation

For the remaining project duration, PREPARED in collaboration with EAC/LVBC should:

1. Work urgently with all stakeholders to develop an exit strategy including a timeline to ensure sustainability of these accomplishments. The team recommends that the PIC, in close collaboration with stakeholders, assess each activity's viability for the long term, identify priorities, and focus on those that show the most promise for sustainability and support by the EAC and LVBC and individual Partner States. As part of this exit strategy, PREPARED should consider stepping back and allowing the EAC to take on all technical and leadership roles.

2. Continue support to the three task forces/technical working groups (Climate Change Technical Working Group; Biodiversity Taskforce and WASH Taskforce) to consolidate the project's gains and ensure sustainability of these activities. Specifically, PREPARED should:
    i. support both EAC and LVBC to develop data/information sharing protocols,
    ii. Ensure the EAC fully supports developing a full-fledged CCCU including adequate staffing, staff development, resource allocation and the IKMS,
    iii. determine immediately whether BIMS and WIMS are viable

3. Work in close collaboration with the PCC to determine which tools have gained traction, can be mainstreamed, find a "home," and be implemented without donor funding, in addition to the considerable resources, time, and effort which have already been expended on developing tools and training. Climate modeling tools and DARE could be housed by ICPAC, and promoted to the various EAC Partner States' meteorological entities. The VIA and VI hotspot mapping could be housed by RCMRD and promoted among EAC Partner States' focal sectors. The Weather Vulnerability Index could be housed by ICPAC and promoted for use by ministries of agriculture and private insurance firms to insure farmers' crops as per demand within the EAC Partner States.

4. Consider focusing on replicating activities such as QSIP and NRW that have had the best uptake and outcomes over the project's life, while at the same time instituting an exit strategy with timelines in collaboration with all stakeholders.

5. Encourage and promote the current PPP initiatives to become fully functional. Within the time left on the project, the evaluation team suggests that the project build on the success of the NRWRP and hand over any other PPPs in progress to a stakeholder within the PPP to sustain momentum and move the process forward. These initiatives have the potential to promote tool use and move through market pathways that might generate funds for the continued updating and further refinement of these tools.

6. Explore whether data and information generated through the project can be migrated into the IKMS and CIN clearinghouse content. If applicable, the existing information pool and materials covering training on climate change adaptation, VIA studies, and other documentation on tools for climate trends analysis and predictions. These climate information products can be the initial data entered into the IKMS and CIN clearinghouses.

7. Complete the SMART Connect application. Work with stakeholders to determine which department within the EAC is best placed to house this system and begin the handover process.

8. Synthesize key project reports and lessons learned into briefers for national and regional stakeholders who can benefit from PREPARED's systematic collection and analyses of multiple data streams.

ANNEXES

Annex 1: Statement of Work

Annex 2: Map of EAC Partner States

Annex 3: Overview of Project Components

Annex 4: Linkages between Evaluation Objectives and Questions

Annex 5: Complete List of KIIs

Annex 6: Evaluation Plan Matrix

Annex 7: Bibliography

Annex 8: KII Guide

Annex 9: Progress against PREPARED Indicators

ANNEX 1: STATEMENT OF WORK

SECTION C – STATEMENT OF WORK

1. Purpose:

The purpose of this Statement of Work (SOW) is to seek services from IBTCI to evaluate the effectiveness and sustainability of USAID/EA Planning for Resilience in East Africa through Policy, Adaptation, Research, and Economic Development (PREPARED) activity.

2. Background Goal and Objectives

The overall goal of PREPARED is to strengthen the resiliency and sustainability of East African economies, transboundary freshwater ecosystems, and communities, targeting three key development challenges of East Africa that are likewise high priority areas for the U.S. Government (USG). The first two are biodiversity conservation and sustainable access to water, sanitation, and hygiene (WASH). The third development challenge is climate change, which is not a sector in and of itself, but rather a set of environmental stressors that impact economic and social development and potentially exacerbate existing problems within the biodiversity, conservation and WASH sectors.

In fact, biodiversity and water resources/services, along with agriculture, are considered to be particularly vulnerable to the impacts of climate change in the region. Lack of economic diversity and inadequate institutional capacity suggest that East African countries are among the most vulnerable to the impacts of climate variability and change, whose shocks can further impede economic and livelihood advancement.

PREPARED has three integrated objectives:

1. Objective 1: Climate change adaptation technical capacity, policy leadership, and action readiness of regional institutions improved;
2. Objective 2: Resilient and sustainable management of biologically significant transboundary freshwater ecosystems in the East African Community region strengthened; and
3. Objective 3: Resilient and sustainable water supply, sanitation, and wastewater treatment services in the Lake Victoria Basin enhanced.

3. Context

Key opportunities lie at the nexus of three areas of development priority for both East African Community (EAC) and the United States Agency of International Development (USAID), i.e., transboundary freshwater biodiversity conservation, improved access to drinking water supply and sanitation services, and increased resiliency to climate change. Separately and together, these issues have enormous implications for the long-term sustainable development and economic growth of the region. They also provide an opportunity for USAID/Kenya and East Africa (USAID/KEA) to take a truly innovative development approach that simultaneously addresses these issues through the lens of ecosystem based adaptation, integrated water resources management (IWRM), sustainable WASH services delivery, and climate change adaptation in ways that will lead to long-term transformative change and resiliency.

The state of affairs for each development challenge and the principal intersections of these challenges are elaborated upon in the PREPARED Scope of Work provided with the RFTOP.

3.1. Evaluation Purpose and Objectives

The PREPARED contract is a set of integrated, ambitious, complex regional activities covering various sectors, including biodiversity conservation, WASH, and climate change adaptation. The evaluation is being conducted to better inform the Mission on how this contract may be adjusted for improved development results and to inform future activities and current project design.

Challenges, opportunities, and successes learned from this evaluation will be used to guide potential emphasis on certain activities to scale up.

This evaluation is intended to have a broad audience, starting with the CORs for the contract, Tetra Tech ARD, Mission leadership, and regional organizations that coordinate and interact with the PREPARED contract on a regular basis. As the Mission shifts towards a mature relationship with numerous regional inter-governmental organizations, this evaluation will provide an additional tool to help inform activities for USAID and other donors that provide institutional strengthening to those organizations.

3.2 Dissemination and Utilization Plan

The evaluation report will be shared with the following stakeholders to inform them of the progress, successes and challenges of the PREPARED contract. This will also provide the various stakeholders and opportunity to provide feedback and suggestions to inform new regional programming and to improve the performance on the remainder of the contract. The evaluation will be a guiding document for new activities, adapt the current Tetra Tech contract for any possible modifications, and guide the current activities for the remaining time of the contract.

1. EAC Secretariat and Partner States (Kenya, Uganda, Burundi, Rwanda, and Tanzania
2. Lake Victoria Basin Commission (LVBC)
3. Intergovernmental Authority on Development (IGAD) Climate Prediction and Application Center (ICPAC)
4. Regional Centre of Monitoring for Regional Development (RCMRD)
5. USAID/KEA Bilateral Missions
6. The evaluation will be uploaded to the Development Experience Clearinghouse (DEC)

I. EVALUATION QUESTIONS

1. To what degree have PREPARED activities increased the ability of the regional institutions to carry out their mandate, particularly in regards to climate change adaptation and transboundary biodiversity conservation?
2. What are some of the key lessons learned in the design and implementation of the regional activities for the PREPARED contract?
3. How has PREPARED ensured that activities and services are gradually tied to sustainable, publicly managed arrangements and government processes beyond the life of the project?

Suggested specific activities are the following:

a) Wildlife Information and Landscape Database (WILD) application for combating wildlife crime;
b) The transboundary management of the Mara River Basin; and
c) Embedding non-revenue water practices in a regional institutional level

3.3 Evaluation Design and Methodology

USAID seeks the most robust evaluation design and methodological approach that is appropriate for the scope of the project, resources, and audience. A non-experimental evaluation design is preferred for the evaluation although the contractor may propose an alternative design of choice.
A pre-proposal meeting may be held with IBTCI to review the Statement of Work, clarify any questions that may arise, discuss and agree on the evaluation questions.
Evidence gathered must be from both primary and secondary sources. Both qualitative and quantitative data must be collected and analyzed for this evaluation. Methodological triangulation is required in this evaluation. An illustrative set of possible methods include the following:

1. ***Secondary data***:

2. A desk review of key relevant documents (see list below). For example, review of information from Joint Border Posts will be undertaken to understand the impacts of the project on reduction in trade barriers. Content analysis of all available secondary data relevant to the evaluation will also be undertaken. Key Documents to be reviewed will include but are not limited to:

- Partner Instruments (Contract, Cooperative Agreements, etc. including modifications)
- Partner Annual Work Plans
- Partner Annual and Quarterly Reports
- Environmental Studies and Reviews
- Past Analysis, Assessments and Evaluations

3. ***Primary data***:

4. There are no particular operational constraints regarding the implementation of the evaluation. The contractor must conduct key informant interviews in Nairobi, Kenya with additional site visits within Kenya including, but not limited to Kisumu and Mara County. Site visits and interviews must be conducted for by the contractor in Jinja and Kampala, Uganda. Site visits will be conducted in Tanzania for Arusha, the Serengeti landscape, and Dar es Salaam. In addition, a trip to Kigali to meet with officials and potential WASH partners must be planned.

Site visits and interviews with key informants will be held in Kenya, Uganda, Tanzania, and Rwanda. Key informant interviews will be carried out by phone with participants from Burundi. The security situation in Burundi may not be conducive to travel.
Key informant interviews must be held with but not limited to the following:

- Tetra Tech ARD (PREPARED project) Staff
- USAID/KEA personnel
- Relevant bilateral missions (USAID/Uganda, USAID/Tanzania, USAID/Burundi and USAID/Rwanda)
- USAID Washington Staff
- Other development organizations, stakeholders and donors
- Civil society organizations in the East Africa region.
- Beneficiary community representatives
- PREPARED project staff

Participation
Key personnel from Tetra Tech ARD working on the PREPARED project will support this evaluation dependent upon needs identified during the planning stage. Tetra Tech ARD will provide documentation, provide input in site selection, and make introductions for the contractor to sub-contractors and grant awardees. USAID/KEA staff will also support the evaluation by providing documentation, making introductions, and facilitating interviews with regional organizations.
4. Data Analysis Methods
All conclusions made by the evaluation team must be supported by clear, verified evidence. Anecdotal evidence will not be considered sufficient for drawing conclusions.

3.4 Reporting

The final evaluation report will conform to the standards set forth in the 2011 USAID Evaluation Policy: https://www.usaid.gov/sites/default/files/documents/1868/USAIDEvaluationPolicy.pdf
In addition, a one page ABSTRACT of the findings/recommendations considered most important for USAID senior managers to be aware of will be submitted with the final report. If the report contains any potentially procurement sensitive information, a second version report excluding this information shall be submitted (also electronically, in English).
All primary source data, both quantitative and qualitative, generated during the course of evaluation shall be provided to USAID in an electronic file in an easily readable format; organized and fully documented for use by those not fully familiar with the activity or the evaluation. In addition, all background documents collected for this evaluation shall be provided to USAID on CDs, organized by implementing mechanism, along with the final report.
USAID Evaluation Policy standards must be met by the contractor throughout the contract.
[End of Section C]

ANNEX 2: MAP OF EAC PARTNER STATES

ANNEX 3: OVERVIEW OF PROJECT COMPONENTS

Description of Project Components

Climate Change Adaptation

Developmental Problem

1. **Knowledge gaps in climate prediction:** The scientific understanding of many climate impacts is evolving. There is confidence in climate system predictions: high confidence in temperature rise but low in rainfall timing and amounts. Global Circulation Models (GCM) have low projections precision and inconsistent intra-annual and seasonal resolution. Thus, there are challenges in interpreting GCM projections and their use in guiding resources management decisions. Consequently, *there is eminent tension between scientists and policy makers attributed to the perceived uncertainty of climate science and the subsequent need and urgency for action.*

2. **Lack of tools and low technical capacity for climate prediction:** Planning for adaptation planning requires localized and place specific long-period climate projections. Currently, climate models meant for Inter-Governmental Panel for Climate Change (IPCC) reporting cannot provide the desired localized (less than 50 km), long-term (20-30 years or longer), and consistent projection outputs. Consequently, there is gap in knowledge and tools that can assist policy makers to come up with more flexible policy approaches to cope with the varied climate futures.

Developmental Need

Build the capacity, among policy makers. (i) Need to generate credible climate information; (ii) knowledge and skills for effective use of information at all scales, to understand vulnerabilities, and impacts across all relevant sectors; (iii) investment in building adaptive institutions and decision making processes to the ever-changing context (new information, techniques and conditions). These will assist to anticipate and cope with uncertainties rather than being reactive to specific climatic impacts.

Expected Results

1. **Coordination:** Establish an EAC Climate Change Coordination Unit (CCCU) with full capacity;
2. **Database/Clearinghouse:** Develop a regional-level database or clearing house mechanism with the capacity to gather and share climate change and key sector data, impacts, assessments, best practices on climate adaptation;
3. **Tools:** Develop a set of functional and replicable climate-based geospatial decision making and management tools;
4. **Train** regional and bilateral government officers and partners on climate change impact on key development challenges in the region;
5. Enhance **technical capacity to identify current climate risks and assess likely future trends** at the regional scale;

6. Improve the **availability and quality of climate science and information** relevant to decision makers in the region;
7. Improve the **inclusion of acquired knowledge about current and future climate risks and adaptive policy making in decision-**making within the EAC and LVBC;
8. **Mainstream adaptation strategies** into EAC and LVBC regional development plans and policies incorporation state-of-the-art climate science and knowledge;
9. Establish and foster **new collaborative relationship with the private sector** to reduce climate risk to productive processes in Agriculture or industry through enhanced engagement in natural resources governance and joint management actions.

Transboundary Biodiversity Conservation

Development challenges in biodiversity and PREPARED's response

Climate change, poor water quality, pollution, invasive species, habitat destruction, and fragmentation inhibit socio-economic development in the region are threats to terrestrial and aquatic landscapes within the East African (EA) region. At the same time, these rich and diverse transboundary natural resources are the mainstay of critical ecosystems that are vital to the livelihoods and the regional economy. PREPARED recognized critical development challenges within the region within the context of transboundary biodiversity including:

1. Limited capacities of regional institutions (EAC, LVBC) and Partner States to undertake an integrated landscape approach to biodiversity conservation including interconnectedness between aquatic ecosystem, climate change and WASH;
2. Weak biodiversity conservation and management functions which are inherent with the broader environment and natural resources sectors due to their limited financial and human capital to take an integrated approach;
3. Limited economic valuation of the ecosystem services within the national and regional development context;
4. Lack of a regional platform for amassing and managing biodiversity information in the basin for evidence-based decision making.

Expected results and key performance indicators for transboundary conservation

In recognizing these challenges PREPARED supports the EAC through its institutions to take a comprehensive and multi-dimensional approach, which integrates biophysical and socio-economic aspects of biodiversity conservation and management. PREPARED set out to achieve a number of results for strengthening resilient and sustainable management of biologically significant transboundary freshwater ecosystems in the EAC region. *(Source: Contractual Agreement between USAID and TETRATECH Signed Dec, 2012)*.

Significant transboundary freshwater ecosystems in the East African Community Region are:

1. Number of days of USG funded technical assistance in biodiversity provided to counterparts or stakeholders;
2. Number of person hours of training in biodiversity conservation supported to by USG assistance;

3. Number of laws, policies, strategies, plans, agreements or regulations addressing biodiversity conservation officially proposed, adopted or implemented as a result of USG assistance;
4. Number of hectares in areas of biological significance and/or natural resources management under improved natural resources management as a result of USG (disaggregated by areas of "biologically significant" and "other areas").

Water Supply, Sanitation & Waste Water Treatment

Development challenges in WSSWWT and PREPARED's response

Poor and inadequate potable water supplies and wastewater systems is a common problem throughout rural a, peri-urban and poor urban settings, and is a key constraint to development in the EA region. In response, PREPARED focused on small towns and peri-urban contexts in the five EAC Partner States (Burundi, Kenya, Rwanda, Tanzania and Uganda) PREPARED planned to develop tools and knowledge for sustainable service delivery paying attention to provision of water supplies, small-scale wastewater pollution, climate change resiliency of source of water, and water sanitation and hygiene infrastructure. Integration of WASH service delivery within the broader basin scale water resources management was also an area of focus.

ANNEX 4: LINKAGES BETWEEN EVALUATION OBJECTIVES & QUESTIONS

Evaluation objective	Evaluation question
Objective 1: Inform the Mission on how current PREPARED activity may be adjusted for improved development results: The USAID/KEA mission through the PREPARED activities set out to strengthen the capacities of the EAC and LVBC and other regional entities such as ICPAC, RCMRD and FEWS NET to provide regional leadership and technical direction in climate change adaptation, biodiversity conservation and WASH. It is therefore critical to assess the extent to which this happened in order to identify gaps and make any adjustments to improve results within the development context in the region.	To what degree has PREPARED activities increased the ability of the regional institutions to carry out their mandate, particularly in regards to climate change adaptation and transboundary biodiversity conservation and water supply, sanitation and waste water treatment (WASH)?
Objective: 2 Inform future activities and current project design: It is important USAID/KEA funded projects such as PREPARED be designed to ensure that the proposed activities can be sustained even after the project exits. The evaluation therefore set out to find ways to improve the sustainability and replication potential of the PREPARED project's activities and outcomes.	How has PREPARED ensured that activities and services are gradually tied to sustainable, publicly managed arrangements and government process beyond the life of the project?
Objective 3: Document challenges, opportunities, and successes learned that can be used to guide potential scale up of certain activities. Lessons learned such as challenges, opportunities and successes form a critical part of projects like PREPARED. The set out to document key lessons learnt to inform the design and implementation of PREPARED in order to scale up certain activities and optimize results.	What are some of the key lessons learned in the design and implementation of the regional activities for the PREPARED contract?

ANNEX 5: LIST OF KEY INFORMANTS

	KII Name	Position & Institution/ Department	Category	Type	City	Country
1	Samuel Kamara	Principal Country Program Officer, Kenya, East Africa Regional Resource Centre /AfDB	Regional	Development Partner	Nairobi	Kenya
2	Scott Geller	Managing Director, Lands, Trees and Sustainability Africa (LTS Africa)	Regional	Subcontractor (Component 2)	Nairobi	Kenya
3	Irene Karani	Director, LTS-Africa	Regional	Subcontractor (Component 2)	Nairobi	Kenya
4	Michael Gachanja	Principal Consultant, LTS-Africa	Regional	Subcontractor (Component 2)	Nairobi	Kenya
5	Denis Macharia Muthike	RCMRD - SERVIR East Africa	Regional	Program Partner (Component 1)	Nairobi	Kenya
6	Gideon Galu	Regional Scientist, Famine Early Warning System Network (FEWS Net)	Regional	PREPARED Partner (Component 1)	Nairobi	Kenya
7	Jeremy Goss	Big Life Foundation	National	Grantee (Component 2)	Amboseli	*Kenya*
8	Marc Goss	Mara Elephant Project	National	Grantee (Component 2)	*Maasai Mara*	*Kenya*
9	Joseph Mungere	Assistant Director, Productive and Services, Ministry of East African Affairs Kenya	National	Kenya EAC Focal Point	Nairobi	Kenya
10	Julius Mwabu	Deputy Director, Productive and Services, Ministry of East African Affairs	National	Kenya EAC Focal Point	Nairobi	Kenya
11	Stephen Mutimba	Project Director, CAMCO Advisory Services	Regional	Subcontractor (Component11)	*Nairobi*	*Kenya*
12	Wycliffe Mutero	Kenya Wildlife Services (KWS)	National	Biodiversity Task Force (BTF)	*Nairobi*	*Kenya*
13	Edwin Wanyonyi	Kenya Wildlife Services (KWS)	National	Biodiversity Task Force (BTF)	*Nairobi*	*Kenya*
14	Chris Magero	Birdlife International Africa Partnership Secretariat	Regional	Grantee (Component 2)	Nairobi	Kenya
15	Julius Arinaitwe	Birdlife International Africa Partnership Secretariat	Regional	Grantee (Component 2)	Nairobi	Kenya
16	Abebe Tadege for Zachary Atheru	Climate Change Officer, ICPAC	Regional	PREPARED Partner (Component 1)	Nairobi	Kenya
17	Ms. Agnes C. Yobterik	Ministry of Environment and Natural Resources (MENR	National	BTF & WASH TF	Nairobi	Kenya
18	Peter Ambenje	Director, Kenya Meteorological Department	National	Key Beneficiary	Nairobi	Kenya

	KII Name	Position & Institution/ Department	Category	Type	City	Country
19	Elisabeth Folkunger	Senior Programme Manager Water and Resilience, Embassy of Sweden	National	Donor	Nairobi	Kenya
20	Elijah Mukhala, PhD	World Meteorological Organization (WMO)	National	Beneficiary (Component 1)	Nairobi	Kenya
21	Evans Mulokwole	MET Consultant: DARE	National			Kenya
22	Guleid Artan	IGAD Climate Prediction and Application Centre (ICPAC)	Regional	Program Partner (Component 1)	Nairobi	Kenya
23	Adnan Kareem	Global Climate Adaptation Partnership (GCAP) Kenya	Regional	Subcontractor (Component 1)	Nairobi	Kenya
24	David Thiongo	Programme Officer, Ministry of Water and Irrigation	National	Regional WASH Task Force (WASH TF)	Nairobi	Kenya
25	Thomas Lerenten Lelekoitien	Deputy Director, Climate Change Adaptation; Climate Change Directorate	Regional	Kenya National Coordinator	Nairobi	Kenya
26	Polycarp Ngoje	PREPARED Partnership specialist - SSG	Global	Subcontractor (Cross Cutting/ Partnerships)	Nairobi	Kenya
27	Thomas Buck	Director, SSG Advisors, LLC 1 Mill Street Suite 20 Burlington, VT 05401, USA	Global	Subcontractor (Cross Cutting/ Partnerships)	Burlington, VT	USA
28	Paul Chaulo,	Chairman, Mara- Serengeti Hoteliers Forum (MSHF)	National	Beneficiary (Cross Cutting)	Maasai Mara	Kenya
29	Maurice Ogoma	Eco-Finder Kenya (Siaya -Yala Wetlands)	National	Grantee (Component 1)	Kisumu	Kenya
30	Scott McCormick, Ph.D.	Chief of Party, PREPARED Project	Regional	Program Partner (All Components)	Nairobi	Kenya
31	Chelsea Keyser	Deputy Chief of Party, PREPARED Project	Regional	Program Partner (All Components)	Nairobi	Kenya
32	Matayo Indeje, Ph.D.	Climate Change Specialist, PREPARED Project	Regional	Program Partner (Component 1)	Nairobi	Kenya
33	Evans Mwangi	Biodiversity Technical Advisor	Regional	Program Partner (Component 2)	Nairobi	Kenya
34	Stanley Matowo	WASH Technical Advisor	Regional	Program Partner (Component 3)	Mwanza	Tanzania
35	Praxides Nekesa	M&E Specialist Information and Knowledge Management	Regional	PRERARED Partner	Nairobi	Kenya
36	Mathias Chemonges	PREPARED LVBC Coordinator	Regional	PREPARED Partner	Nairobi	Kenya
37	Brad Arsenault	USAID/Kenya and East Africa	Regional	USAID	Nairobi	Kenya

	KII Name	Position & Institution/ Department	Category	Type	City	Country
38	Brian Otiende	USAID/Kenya and East Africa	Regional	USAID	Nairobi	Kenya
39	Daniel Fred NZASABIMANA	Environment Expert/ LVBC Desk Officer/ Rwanda PHE Network Coordinator	National	Rwanda National Coordinator/EAC Focal Point	Kigali	Rwanda
40	Mr. Remy Norbert Duhuze	LVBC Regional Policy Steering Committee (RPSC) representative (Min of Natural resources)	Regional		Kigali	Rwanda
41	Eng. James Sano	CEO of WASAC	National	Beneficiary (Component 3)	Kigali	Rwanda
42	Mr. Lucien Ruterana	Rwanda Water and Sanitation Utility (WASAC)	National	WASH TF	Kigali	Rwanda
43	Mr. Jean Berchmas Bahige	Rwanda Water and Sanitation Utility (WASAC) - NRW Manager	National	Beneficiary (Component 3)	Kigali	Rwanda
44	Mugabo, Fabrice	PREPARED Climate Finance Specialist	Program Partner	Implementing Partner	Kigali	Rwanda
45	Hussein NDAGIJE	LVBC Desk Officer and Advisor in the Dept. of Productive Sectors	Regional	BTF. WASH TF: EAC Focal Point	Bujumbura	Burundi
46	Eng. Joseph NIMFASHA	Ministry of Water, Environment, Lands Management and Urban Planning	National	Burundi National Coordinator	Bujumbura	Burundi
47	Richard Kimbowa	Programme Manager, Uganda Coalition for Sustainable Development (UCSD)	National	Grantee (Component 3)	Kampala	Uganda
48	David Mwayafu	Project Officer, UCSD	National	Grantee (Component 3)	Kampala	Uganda
49	Emily Arayo	Communication UCSD	National	Grantee (Component 3)	Kampala	Uganda
50	Rebecca A	Administrator	National	Grantee (Component 3)	Kampala	Uganda
51	Achilles Byaruhanga	Executive Director, Nature Uganda	National	Grantee (Component 3)	Kampala	Uganda
52	Michael Opige	Nature Uganda	National	Grantee (Component 3)	Kampala	Uganda
53	Wilson Behwera	Nature Uganda	National	Grantee (Component 3)	Kampala	Uganda
54	Vincent Barugahare	Uganda Wetlands Department	National	BTF	Kampala	Uganda
55	Michael Mugarura	Climate Change Secretariat	National	CCTWG	Kampala	Uganda

	KII Name	Position & Institution/ Department	Category	Type	City	Country
56	Charles Okuonzi	General Manager, Uganda National Water and Sewerage Corporation (NWSC)	National	Beneficiary (Component 3)	Jinja	Uganda
57	Titus Niwamanya	Senior Commercial Officer, NWSC	National	Beneficiary (Component 3)	Jinja	Uganda
58	James Tumkiesigye	Engineer, NWSC	National	Beneficiary (Component 3)	Jinja	Uganda
59	Shawna Hirsh	USAID/Uganda	National	USAID	Kampala	Uganda
60	Eng. Steven Ogwete	Senior Water Officer, Ministry of Water and Environment, P.O. Box 20026 Kampala	National	Uganda National Coordinator	Kampala	Uganda
61	David B. Adegu	GHG Inventory Coordinator, CC Secretariat, MENR	National	CCTWG	Nairobi	Kenya
62	Dr. Ally Said Matano	Executive Secretary, LVBC	Regional	PREPARED Partner	Kisumu	Kenya
63	Fred Mngube	Environment and Natural Resource Officer	Regional	PREPARED Partner	Kisumu	Kenya
64	Alex de Sherbinin/	Centre for International Earth Science Information Network (CIESIN)	Global	Sub-Contractor (Component 1)	New York	USA
65	Hon Christopher Bazivamo	EAC Deputy Sec General	Regional	PREPARED Partner (Component 1)	Arusha	Tanzania
66	Mr. Ruta Kakoki	EAC Senior Project Accountant Officers (Principals)	Regional	Program Partner (Component 1)	Arusha	Tanzania
67	Mr. Julius Birungi	EAC Monitoring and Evaluation Focal Point	Regional	Program Partner (Component 1)	Arusha	Tanzania
68	Ladislasus Kyaruzi	Principal Environment Officer	Regional	Program Partner (Component 1)	Arusha	Tanzania
69	Dismas L. Mwikila	Climate Change Adaptation Specialist	Regional	Program Partner (Component 1)	Arusha	Tanzania
70	David Mwayi	PREPARED IKMS Specialist	Regional	Program Partner (Component 1)	Arusha	Tanzania
71	Beata Mukabaranga	EAC USAID Liaison Officers	Regional	Program Partner (Component 1)	Arusha	Tanzania
72	Mr. Elphas Mussa	EAC	Regional	Beneficiary (Cross Cutting)	Butiama, Mara	Tanzania
73	Leonard Mayeta	Ministry of Natural Resources and Tourism	National	BTF	Dar es Salaam	Tanzania
74	John Kaaya	Ministry of Natural Resources and Tourism	National	BTF	Dar es Salaam	Tanzania
75	Jeremy Swanson	USAID/Tanzania	National	USAID	Dar es	Tanzania

	KII Name	Position & Institution/ Department	Category	Type	City	Country
					Salaam	
76	Ms Aikande Shoo Natai	Head if Environment Section, Ministry of Agric Livestock & Fisheries	National	CCTWG	Dar es Salaam	Tanzania
77	Jane Marwa	Environment Section, Ministry of Agric Livestock	National	CCTWG	Dar es Salaam	Tanzania
78	Mwanamkuu Mwanyika	Hydrogeologist Ministry of Water	National	WASH TF	Dar es Salaam	Tanzania
79	Lynnette Wood	Blue Madrona	Global	Subcontractor (Component 1)	Seattle, WA 98104	USA
80	Dr. Machibya Magayane	Water and Environmental Management Consultants (WEMA Consult)	Regional	Subcontractor (Component 1)	Dar es Salaam	Tanzania
81	Shukuru Nyangawa	E-Link - Butiama/Mara Catchment	National	Grantee (Component 1)	Dar es Salaam	Tanzania
82	Albert Dede Sylvester	Principal Economist; Ministry of Natural Resources and Tourism	National	Tanzania National Coordinator	Dar es Salaam	Tanzania
83	Joseph Nyansiro	Head of ICT, Ministry of Natural Resources and Tourism	National	Beneficiary/ WILD	Dar es Salaam	Tanzania
84	Judith Ngoda	Senior Economist, Ministry of Foreign Affairs and East African Cooperation	Regional	EAC Focal Point	Dar es Salaam	Tanzania

ANNEX 6: EVALUATION PLAN MATRIX

Evaluation Question	Indicator/Measure	Data Source/ Collection Method	Sampling Methodology	Data Analysis Methodology
1. To what degree have PREPARED activities increased the ability of the regional institutions to carry out their mandate, particularly in regards to climate change adaptation and transboundary biodiversity conservation and WASH?	Outcome and output at the Results Framework, indicators and targets [4] Analysis on the EAC Climate Change Coordination Unit and LVBC's ability on the following parameters of organizational capacity development: Technical capacity: to identify current climate risks and assess likely future climatic trends at the regional scale; mainstream climate change adaptation strategies; and conduct research, monitoring and evaluation activities Policy leadership: climate change knowledge management and transboundary climate change adaptation policy making, investment planning, and implementation strategies development capacity Action readiness: develop	KII: Key USAID management, implementing partner, and EAC, LVBC, and other regional institutions (such as IGAD Climate Prediction and Applications Centre (ICPAC) and Regional Center for Mapping of Resources for Development (RCMRD) staff, other donors Direct observations of biodiversity conservation sites Beneficiaries KII Document review: Annual Work Plans and Reports, Performance Management Plans (PMPs), Capacity assessment reports	All intervention countries and selection of one or more districts in each country Purposive sampling of KII respondents and program sites	Qualitative analysis; content analysis, themes Quantitative analysis of key outcome, output indicators trends overtime, comparison with baseline, if available or obtained from secondary data sources and performance targets Data triangulation Correlations with implemented activities and budget inputs

4 **PREPARED Indicators:** 1) Number of climate adaptation tools, technologies and methodologies developed, tested and/or adopted as a result of USG assistance; 2) Percentage increase in institutional capacity score, as measured by OCAT. (Disaggregated by: institution, key capacity area); 3) Number of institutions with improved capacity to address climate change adaptation issues as a result of USG assistance (Disaggregated by: institution); 4) Number of hectares of biological significance under improved natural resource management as a result of USG assistance (disaggregated by Country), new maintained /previously maintained)

Evaluation Question	Indicator/Measure	Data Source/ Collection Method	Sampling Methodology	Data Analysis Methodology
	functional and replicable climate science-based geospatial decision-making and management tools; capacity to access to and manage future climate change adaptation funds Analysis of each institution's ability to promote the following aspects of effective transboundary conservation: Political buy-in – through promotion of values of biodiversity and its conservation; Promote inter-institutional coordination for improved management; Application of technological tools that promote an integrated ecosystem-based approach across international boundaries; Equitable distribution of costs and benefits of transboundary conservation, including restoration of freshwater biodiversity of the Lake Victoria Basin; Monitoring and evaluation/assessment of biodiversity conservation initiatives; Establish a knowledge management platform; Establish a mechanism for dispute resolution			
2. What are some of the key	Stakeholders' perception on challenges, opportunities and	KII: Key USAID management,	All intervention countries and	Qualitative analysis: content analysis,

Evaluation Question	Indicator/Measure	Data Source/ Collection Method	Sampling Methodology	Data Analysis Methodology
lessons learned in the design and implementation of the regional activities for the PREPARED contract?	best practices in program implementation. The lesson learnt will be classified along the following analytical domains: Program design and management; Coordination of multiple partners; Climate change adaptation initiatives; Transboundary biodiversity conservation interventions; Water supply, sanitation and wastewater treatment services; Community involvement; PPP development; Other emerging themes	implementing partner, and EAC, LVBC, and other regional institutions (such as IGAD Climate Prediction and Applications Centre (ICPAC) and Regional Center for Mapping of Resources for Development (RCMRD) staff, other donors Beneficiaries KII; local implementing partners	selection of one or more districts in each country Purposive sampling of KII respondents and program sites	themes Data triangulation
3. How has PREPARED ensured that activities and services are gradually tied to sustainable, publicly managed arrangements and government processes	Outcome and output at the Results Framework, indicators and targets[5] Analysis of the several parameters that collectively aim at achieving sustainability of PREPARED activities after the life of the project. These parameters include but are	KII: Key USAID management, implementing partner, and EAC, LVBC, and other regional institutions (such as IGAD Climate Prediction and Applications Centre (ICPAC) and Regional Center for	All intervention countries and selection of one or more districts in each country Purposive sampling of KII respondents and program	Qualitative analysis: content analysis, themes Quantitative analysis of key outcome, output indicators trends overtime, comparison with baseline, if available or obtained from

5 **PREPARED Indicators:** 1) Number of climate adaptation tools, technologies and methodologies developed, tested and/or adopted as a result of USG assistance Number of laws, policies, strategies, plans, agreements, or regulations addressing climate change adaptation officially proposed, adopted, or implemented as a result of USG assistance; 2) Number of laws, policies, strategies, plans, agreements, or regulations addressing biodiversity conservation officially proposed, adopted, or implemented as a result of USG assistance; 3) Number of new policies, laws, agreements, regulations, or investment agreements (public or private) implemented that promote access to improved water supply and sanitation

Evaluation Question	Indicator/Measure	Data Source/ Collection Method	Sampling Methodology	Data Analysis Methodology
beyond the life of the project? Specifically, a. WILD application for combating wildlife crime; b. The transboundary management of the Mara River Basin; and c. Embedding non-revenue water practices in a regional institutional level	not limited to the following: Regional and local demand and ownership of climate adaptation/biodiversity conservation initiatives Capacity building of local stakeholders with the aim of equipping them with skills to maintain development gains Nurturing effective institutions – governmental, civil society, and private sector – to analyze, implement, and evaluate activities in the relevant development areas and improve their decision making based on project results Legislations in each Partner States and at the regional level Regional policies proposed, adopted, implemented by Partner States on climate change and biodiversity conservation	Mapping of Resources for Development (RCMRD) staff, other donors Direct observations of biodiversity conservation sites Beneficiaries KII; local implementing partners Document review: Annual Work Plans and Reports, Performance Management Plans (PMPs), Capacity assessment reports, policy documents	sites	secondary data sources and performance targets Data triangulation and correlation with quantitative PMP data

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29. Scanad Reports
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34. Eco-Finder Reports
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ANNEX 8: KEY INFORMANT INTERVIEW GUIDE

Key Informant Interview Guide and Questionnaire

Evaluation Question and Sub-questions	KII
Evaluation Question # 1: To what degree have PREPARED activities increased the ability of the regional institutions to carry out their mandate, particularly in regards to climate change adaptation, transboundary biodiversity conservation and WASH?	
climate change adaptation	
1. In what ways has the project influenced the organizational/ institutional capacities to carry out evidence-based research on climate e.g. through 1. Personnel training on new research methodologies 2. Application of social sciences (community perceptions) 3. Action and demand driven research (collaboration with development practitioners to understand research gaps in practice)	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF Dev. Actors Sub-National Actors
4. In what ways and to what extent has the project increased the capacities to mainstream climate change adaptation strategies at the various levels (e.g. policies, plans and programmes at: 1. Regional and transboundary (regional/transboundary policies and programmes) 2. National (national policies and programmes 3. Local/municipal/county (climate-smart livelihoods, renewable energy)	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
5. Is the technical capacity of the institutions increased in identifying current climate risks and vulnerability? If yes to what extent, if no why?	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF RCMRD, ICAPC, FEWS-NET MET DPT, & FOCAL MDA's Sub-National Actors[6]

6 Include: municipalities and utilities, local communities (sub-basins and biodiversity conservation areas etc.)

Evaluation Question and Sub-questions		KII
6.	How effective and efficient has the project been in supporting the development, testing and adopting climate change adaptation tools, technologies and methodologies?	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF RCMRD, ICAPC, FEWS-NET MET DPT, & FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
7.	What are the evidences of increased capacities? key outputs (e.g. training, climate assessment methodologies) and outcomes (e.g. tools like vulnerability impacts index maps)	PREPARED /Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF RCMRD, ICAPC, FEWS-NET MET DPT, & FOCAL MDA's Sub-National Actors
8.	In what ways are these outcomes of increased capacities likely to help in the assessment of future climatic trends at the regional level? (climate change predictions)	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF RCMRD, ICAPC, FEWS-NET MET DPT, & FOCAL MDA's
9.	Is there evidence on practical use of these tools and methodologies at present and in future (functionality, level of adoption and implementation)	PREPARED MET DPT, & FOCAL MDA's Sub-National Actors
10.	Is there evidence that such evidence-based research outcomes arising from the project is being used or will be used for decision-making in future? Please elaborate?	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF RCMRD, ICAPC, FEWS-NET

Evaluation Question and Sub-questions		KII
		MET DPT, & FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
11.	To what extent has the project strengthened the capacities of regional institutions and their partners to carry out systematic, effective and robust monitoring and evaluation activities?	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF Dev. Actors Sub-National Actors
Transboundary biodiversity conservation		
1.	To what extent has the project promoted biodiversity conservation values among the relevant stakeholders (policy makes, private sectors, NGOs, CBOs etc.) at all levels?	PREPARED/Sub-contractor EAC, LVBC (CCTWG, BTF, RWASH TF) FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
2.	How effective has the project been in promoting institutional coordination in biodiversity conservation at all levels and transboundary?	PREPARED/Sub-contractor EAC, LVBC (CCTWG, BTF, RWASH TF) RCMRD, ICAPC, FEWS-NET MET DPT, & FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
3.	How successful has the project been in supporting/promoting the application of technological tools that promote an integrated ecosystem-based approach across international boundaries?	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF

Evaluation Question and Sub-questions		KII
		RCMRD, ICAPC, FEWS-NET MET DPT, & FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
4.	To what extent has the project promoted equitable distribution of costs and benefits of transboundary conservation, including restoration of freshwater biodiversity of the Lake Victoria Basin and at all levels?	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
5.	Has the project effectively supported the monitoring and evaluation/assessment of biodiversity conservation initiatives?	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
6.	To what extent has the project supported the establishment and utilization of knowledge management platform at all levels?	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
Water supply, sanitation, and wastewater treatment services in the Lake Victoria Basin		
1.	To what extent has the project supported the relevant institutions in strengthening their capacities to integrate climate	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF,

Evaluation Question and Sub-questions	KII
change into WASH programming?	RWASH TF FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
2. How successful has the project been in supporting WASH service providers to provide improved customer services in drinking water and sanitation?	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
3. How effective has the project been in promoting public-private partnerships?	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
Evaluation Question # 2: What are some of the key lessons learned in the design and implementation of the regional activities for the PREPARED contract?	
1. What key lessons can be derived from engaging or involving multiple partners/actors with different roles and responsibilities?	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF
2. What key lessons can be derived from coordinating multiple partners at different levels? *Probe: community involvement, public private partnerships*	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF

Evaluation Question and Sub-questions	KII
	Sub-National Actors
3. What key lessons can be derived from harmonizing different policies and regulations at different levels and at transboundary levels	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF
4. What key lessons can be derived from managing multi-sectoral programme (climate change, biodiversity conservation and WASH)? *Probe: challenges, opportunities and best practices*	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF RCMRD, ICAPC, FEWS-NET MET DPT, & FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
Evaluation Question # 3: How has PREPARED ensured that activities and services are gradually tied to sustainable, publicly managed arrangements and government processes beyond the life of the project? Specifically: WILD application, transboundary management of Mara Basin, embedding non-revenue water practices at regional institutional level	
1. To what extent has the project promoted participation and ownership of relevant stakeholders in activities and services? *Probe: nurturing government, civil society and private sector*	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF RCMRD, ICAPC, FEWS-NET MET DPT, & FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
2. How effective has the project been in strengthening institutional capacities to sustain their roles and responsibilities? *Probe: policies, legislations, fundraising*	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF

Evaluation Question and Sub-questions	KII
	RCMRD, ICAPC, FEWS-NET MET DPT, & FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors
3. Has the project established an effective exit strategy	PREPARED/Sub-contractor EAC, LVBC, CCTWG, BTF, RWASH TF RCMRD, ICAPC, FEWS-NET MET DPT, & FOCAL MDA's Dev. Actors /Research Inst. Sub-National Actors

ANNEX 9: PROGRESS AGAINST PREPARED INDICATORS

PREPARED Project Performance Indicators	YR 1-3 Target	YR 1-3 Actual	YR4 Target	YR 4 Actual	YR 1-4 Target	YR 1-4 Actual
	A	*B*	*C*	*D*	*E=A+C*	*F=B+D*
1.1 (FACTS 4.8.2-8) Number of climate adaptation tools, technologies and methodologies developed, tested and/or adopted as a result of USG assistance	13	13	4	9	17	22
1.2 (Custom) Percentage increase in institutional capacity score, as measured by OCA. (Disaggregated by: institution, key capacity area)	10% above baseline	0	20% above baseline	10% above baseline	20% above baseline	10% above baseline
1.3 (FACTS 4.8.2-14/3.1.8-29) Number of institutions with improved capacity to address climate change adaptation issues as a result of USG assistance (Disaggregated by: institution)	10	19	7	1	17	20
1.4 (FACTS 4.8.2-4) Number of laws, policies, strategies, plans, agreements, or regulations addressing climate change adaptation officially proposed, adopted, or implemented as a result of USG assistance (Disaggregated by: stage; implementing institution; scale)	8	2	7	20	15	22
1.5 (FACTS 4.8.2-6) Person hours of training completed in climate change adaptation supported by USG assistance (Disaggregated by: nationality; gender)	5,000	7,018	2,000	7880	7000	14,898

PREPARED Project Performance Indicators	YR 1-3 Target	YR 1-3 Actual	YR4 Target	YR 4 Actual	YR 1-4 Target	YR 1-4 Actual
	A	*B*	*C*	*D*	*E=A+C*	*F=B+D*
1.6 (FACTS 4.8.1-28) Number of days of USG funded technical assistance in climate change adaptation provided to counterparts or stakeholders (Disaggregated by:	65	30	36	56	101	86

ANNEX 10: ENDNOTES

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63 KII IKMS specialist

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166 PREPARED Year 4 Annual Report page 18

167 KII USAID East Africa Regional Office; EAC and LVBC (2016); PREPARED Annual Report PY 2012/13; SOAG

168 Ministry of Water & Environment, Uganda; Ministry of EAC Affairs, Kenya; Ministry of Natural Resources & Tourism, Kenya; CIESIN; LVBC;

169 KII PREPARED; EAC;

170 PREPARED Year 4 Annual Report page 52

171 The evaluation team assessed diagrammatic illustration on the expected communication lines, one page, which was considered inadequate for guiding such as complex project.

172 KII PREPARED; LVBC; LTS; Blue Madrona; Ministry of EAC Affairs, Burundi, Kenya; Ministry of Natural Resources and Tourism, Tanzania; Ministry of Natural Resources, Rwanda (2016); PREPARED Annual Report PY 2013/14; PY 2014/15; PY 2015/16;

173 KII PREPARED (2016); USAID/KEA-Tetra Tech ARD Contract No. AID-623-C-013-00003 – Clause B.10; PREPARED Grant Summary

174 KII Ministry of EAC Affairs, Kenya; CAMCO; NWSC, Uganda (2016); USAID/KEA-Tetra Tech ARD Contract No. AID-623-C-013-00003 – Section C.9)

175 PREPARED PMP; KII CAMCO

176 KII CAMCO; GCAK; LTS-Africa; USAID

177 KII CAMCO

178 KII EAC Secretariat, Ministry of East African Community Affairs (MINEAC); Member state Ministry of Water, Environment, Lands Management and Urban Planning; Ministry of Water, Environment

179 KII LVBC

180 Contract AID-623-C-013-00003 page 25 of 75; KII with PREPARED

181 Contract AID-623-C-013-00003; KII with PREPARED, LVBC/Ministry of EAC Affairs, Burundi (2016); Annual Reports PY 2014/15)

182 KII Ministry of Water & Environment EAC

183 Contract AID-623-C-013-00003

184 Executive Order – Combating Wildlife Trafficking, The White House, Office of Press Secretary (July, 2013); US National Strategy for Combating Wildlife Trafficking – Annual Assessment Report (2015); Contract AID-623-C-013-00003; KII with PREPARED, Ministry of Natural Resources & Tourism, Tanzania; Ministry of EAC Affairs, Kenya (2016); PREPARED Annual Reports PY 2013/14; PY 2014/15; PY 2015/16

185 KII LVBC; PREPARED; Ministry of EAC Affairs, Kenya (2016);

186 KIIs EAC; PREPARED; CIESIN; Ministry of Water & Environment, Climate Change Division, USAID; FEWS NET; CAMCO; PREPARED Annual Reports PY 2013/14; PY 2014/15; PY 2015/16

187 KII PREPARED; EAC; ICPAK (2016)

188 KII RCMRD; GCAP; ICPAK; CIESIN; Ministry of Water & Environment, Climate Change Division, EAC; World Meteorological Organization; PREPARED Team; FEWSNET; PREPARED Annual Reports PY 2013/14; PY 2014/15; PY 2015/16).

189 A single training would reach out to 50 participants.

190 PREPARED Year 4 Annual Report, page 23; KII with Eco Finder; E-Link; RCMRD

191 KII EAC; PREPARED; RCMRD; FEWS NET; ICPAC; World Meteorological Organization; Kenya Meteorological Organization

192 KII Eco Finder, E-Link; PREPARED Annual Report PY 2014/15; E-Link Final Technical Report, 2016

193 KII PREPARED; LVBC; EAC; USAID; LTS Africa (2016); PREPARED Annual Reports PY 2013/14; PY 2014/15; PY 2015/16)

194 KII PREPARED (2016) PREPARED Annual Report PY 2014/15

195 KII PREPARED; LVBC

196 PREPARED Year 4 Annual Reports page 29

197 PREPARED Annual Reports PY 2013/14; PY 2014/15

198 PREPARED Annual Reports PY 2015/16

199 KII LVBC, member state Ministry of Natural Resources

200 KII PREPARED; LTS, Africa; LVBC

201 KII NWSC, Uganda; PREPARED Annual Report PY 2014/15, PY 2015/16

202 KII ICPAC; member state Ministry of Natural Resources & Tourism

203 KII: Ministry of East African Affairs, member state Ministry of Environment

204 PREPARED Annual Reports PY 2013/14; PY 2014/15; PY 2015/16

205 PREPARED Annual Reports PY 2014/15; PY 2015/16

206 KII: Tetra Tech; USAID; PREPARED subcontractor, biodiversity conservation

207 KII: USAID

208 KII: PREPARED subcontractor RCMRD, climate change adaptation

209 KII: PREPARED Grant under contract, Biodiversity conservation; PREPARED Annual Report FY 2015/16

210 KII: *PREPARED Grant under contract, Biodiversity conservation*

211 PREPARED Annual Reports PY 2013/14, 2014/15; PY 2015/16

212 PREPARED Annual Reports PY 2014/15; PY 2015/16; KII: KMD, Kenya; FEWSNET, RCMRC, LVBC

213 KIIs: Grants under contract partner, climate change adaptation; Ministry of East African Community, LVBC RPSC representative, Rwanda; World Meteorological Organization (WMO) Nairobi Ministry of Environment and Natural resources, Kenya

214 KII: Development partner

215 PREPARED Annual Report FY 2015/16; KII; Tetra Tech; member state Ministry of Environment and Natural resources

216 KII: member state Ministry of Water, Biodiversity Task Force Members

217 KII: Tetra Tech; USAID

218 PREPARED Annual Report; FY 2015/2016

219 KII: Member state Ministry of Foreign Affairs and EA cooperation

220 KII: Member state Ministry of Natural Resources and Tourism

221 PREPARED Annual Report; FY 2014/2015; KII: Tetra Tech

222 PREPARED Annual Report; FY 2014/2015

223 PREPARED Annual report 2015/2016

224 KII: NWSC; PREPARED Annual report 2015/2016

225 Performance Management Plan and Monitoring & Evaluation Plan, PREPARED, Updated Feb 2014