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Sida Decentralised Evaluation

Bernt Andersson  
Björn Ternström  
Gunilla Göransson  
Ian Christoplos

# External Evaluation of the Partnership Agreement for Sustainable Development of Lake Victoria Basin

Final Report



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**Final Report  
December 2012**

**Bernt Andersson  
Björn Ternström  
Gunilla Göransson  
Ian Christoplos, Quality Assurance**

**Authors:** Bernt Andersson, Björn Ternström, Gunilla Göransson and Ian Christoplos, Quality Assurance

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SWEDISH INTERNATIONAL DEVELOPMENT COOPERATION AGENCY

Address: S-105 25 Stockholm, Sweden. Office: Valhallavägen 199, Stockholm

Telephone: +46 (0)8-698 50 00. Telefax: +46 (0)8-20 88 64

Postgiro: 1 56 34-9. VAT. No. SE 202100-478901

E-mail: [info@sida.se](mailto:info@sida.se). Homepage: <http://www.sida.se>

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# Preface

This independent study was commissioned in June 2012 by the Embassy of Sweden in Nairobi through Sida's framework agreement for reviews and evaluations. Indevelop undertook this evaluation between July - November 2012 with a team of 3 evaluators.

Anna Liljelund Hedqvist was Project Manager at Indevelop with overall responsibility for managing the implementation of the Review, and quality assurance of the reports was done by Dr Ian Christoplos, Project Director. The independent review team included the following members:

- Gunilla Göransson, Team Leader
- Björn Ternström, Senior Evaluator
- Bernt Andersson, Senior Evaluator

The team wishes to express its sincere gratitude to the many persons who compiled and shared documentation, graciously welcomed them and gave their time for interviews and open discussions despite busy agendas. Special thanks are due to the staff of the LVBC and to the National Focal Points who hosted us and went out of their way to assist us during the data collection period.

# Abbreviations and Acronyms

|           |   |
|-----------|---|
| AfDB      | African Development Bank  |
| AU        | African Union   |
| COMESA    | Common Market for Eastern and Southern Africa   |
| EAC       | East African Community  |
| EAC PF    | Partnership Fund  |
| EACCCMP   | East African Community Climate Change Master Plan   |
| EACCCP    | EAC Climate Change Policy   |
| EALA      | East African Legislative Assembly   |
| EALP      | EAC-AMREF Lake Victoria Partnership   |
| EU        | European Union  |
| LVBC      | Lake Victoria Basin Commission  |
| LVEMP II  | Lake Victoria Environmental Management Project Phase Two  |
| LVRLAC    | Lake Victoria Regional Local Authority Cooperation  |
| LWATSAN   | Lake Victoria Water and Sanitation Project  |
| MARA/ARMA | Mapping Malaria Risk in Africa  |
| M&E       | Monitoring and Evaluation   |
| MEACA     | Ministry responsible for East African Community Affairs   |
| MERECAP   | Mount Elgon Regional Ecosystem Conservation Programme   |
| MTEF      | Medium Term Expenditure Framework   |
| NBI       | National Business Initiative  |
| NFP       | National Focal Point  |
| PA        | Partnership Agreement   |
| PF        | Partnership Fund  |
| PCC       | Partnership Consultative Committee  |
| PREPARED  | Planning for Resilience in East Africa through Policy, Adaptation, Research, and Economic Development |
| RBM       | Results-Based Management  |
| SADC      | Southern African Development Community  |
| SCPCC     | Sub Committee of PCC  |
| Sida      | Swedish International Development Cooperation Agency  |
| TWBHH-MRB | Trans-Boundary Water for Biodiversity and Human Health in the Mara River Basin Project                |
| USAID     | United States Agency for International Development  |
| USD       | United States Dollar  |

# Executive Summary

## **Introduction**

This is an evaluation of the Partnership Agreement (PA) for sustainable development of the Lake Victoria Basin and the Partnership Fund (PF) created to support activities under the Agreement.

Lake Victoria is the second largest fresh water lake in the world and its drainage basin area is found in the five East African countries of Tanzania, Kenya, Uganda Rwanda and Burundi. The Lake and its basin have a variety of natural resources that are of local, regional and global significance, but the area also suffers from overfishing and a decrease in fish biodiversity, destruction of catchments areas, discharge of agro-chemicals, waste and refuse, encroachment on wildlife resources, generalised poverty, gender inequalities and a high incidence of HIV/AIDS.

In April 2001 a Partnership Agreement (PA) on the sustainable development of the Lake Victoria Basin was signed by the East African Community (EAC) and the governments of Sweden (through Sida), France, Norway (through Norad), the World Bank and the East African Development Bank. Finland joined the Partnership Agreement (PA) in 2010.

A Partnership Fund (PF) was established to support the implementation of activities under the PA. The Government of Sweden and other partners contribute to the Partnership fund. The Partnership Fund (PF) finances Annual Work Plans to implement the purposes/objectives of the Partnership Agreement which will in turn contribute to the objectives of the Lake Victoria Basin Commission (LVBC) and the developmental objectives of the EAC.

## **The evaluation**

The purpose of the evaluation is to gather and analyse data on the effectiveness, efficiency and sustainability of the Partnership Agreement and the Partnership Fund, as well as lessons learned, in order to provide Lake Victoria Basin Commission (LVBC), and other stakeholders with guidance on the results. The intended primary users of the evaluation are the parties to the Partnership Agreement and institutions, and implementers actively involved in the PA. The Evaluation focuses on the time period 2006-2012, relating to Partnership history by referring to the findings and recommendations

from the Mid-Term Review 2001- 2005. The Evaluation should answer the following main questions<sup>1</sup>:

- Has the Partnership Fund been an effective and efficient mechanism to deliver on the objectives of the Partnership Agreement and the objectives and vision of LVBC?
- What is the comparative advantage of the Partnership Fund in relation to other support to LVBC?
- Has the Partnership Agreement been useful for coordination and harmonisation from the perspectives of LVBC as well as financing partners, or could any alternative funding modalities be considered in order to strengthen LVBC in carrying out its mandate?

The assignment required a comprehensive review of documentation and literature, interviews with stakeholders in Nairobi, Kisumu, EAC in Arusha, Dar es Salaam, Bujumbura, Kigali and Entebbe/Kampala, Key Informants' Meetings as well as Institutional Mapping and a Comparative Assessment of other funding mechanisms. Encountered limitations include the absence of a baseline study and some difficulties to obtain data and financial information needed.

### **Findings and conclusions**

The present evaluation can look back on nine years of implementing activities funded by the PF. Total contributions to the PF from 2003 to 2011 are about 7.4 M United States Dollars (USD).

#### ***Effectiveness***

The goal of the PA is “*To contribute to an equitable and sustainable development – economic, social and environmental – to the benefit of the people living in the Lake Victoria Basin area*”. This goal is foreseen to be reached over a 20-year period and is to be achieved through the implementation of the Shared Vision and Strategy Framework (SVSF) for management and development of LVB. Unfortunately, after the development of the SVSF and adoption of by the Council of Minister, it was never linked to the PF. However, most of the activities supported by the PF were by default aligned to the five policy areas defined the Strategic Framework namely: Environment, natural resources and ecosystem; production and income generation, living condition and quality of life, population and demography, and policy, institution and governance.

The evaluation has found that the PF has supported the Purposes of the PA. These are however not formulated in a way as to allow the evaluation to state if they have been achieved or not during the evaluated period. However, the conclusion is that the activi-

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<sup>1</sup> According to ToR, Annex 1.

ties financed by the PF have contributed in a significant way to the Purposes of the PA. The activities funded by the PF are in compliance with the Purposes of the PA. The studies that have been supported by the PF are generated from the Directives of the Council of Ministers; to support policy formulation. It is not always clear how priorities have been set and why the studies and coordination/harmonisation processes supported have been selected over alternatives. Focus has been on environmental constraints, rather than on issues related to economic growth and poverty alleviation.

As presented in Chapter 3, the evaluation has found that the PA, with PF funded activities, has made significant contributions to the development objectives of the LVBC. It has succeeded in establishing networks for coordination through the National Focal Points (NFPs) and its Investment and Stakeholder Forum. There has been a significant increase amongst the staff in knowledge in selected technical areas, and an increased awareness of the Lake Victoria Basin as a region with a potential for economic growth and development. A number of studies have a 'value added' and they have contributed to a better understanding of a particular problem including a number of recommendations. There is a need to follow up more systematically on the recommendations of the studies.

However, although the activities are directed towards the purposes of the PA, the lack of measurable indicators, availability of quantitative data and the contributions from other development partners make it impossible to measure to what extent the purposes have been achieved, or to attribute specific contributions to the PA/PF.

Despite the efforts undertaken to coordinate the development in the Basin and the elaboration of the Protocol and the Shared Vision, LVBC lacks a multi-sector instrument to undertake in-depth Diagnostics and planning of the issues in the LVB.

### ***Efficiency***

The evaluation has found several challenges to efficient management of the PF related to deficiencies in planning, budgeting, accounting, monitoring and managerial follow-up. Improvements are underway, indicating that the current leadership is taking efficiency challenges seriously. Indications of this include the introduction of computerised accounting, the introduction of Results-Based Management and improved management follow-up.

The overall cost of the PF funded activities is low but many of the intended outcomes are complex and based on the interaction between multiple stakeholders, and it is hence impossible to attribute to any single source. Cost efficiency of the LVBC would increase with more systematic prioritisation, better cohesion and improved management systems (planning, accounting, monitoring).

### ***Comparative analyses of three funds***

The evaluation has compared the LVBC Partnership Fund, the EAC Partnership Fund and the proposed LVEMP II Environmental Trust Fund. The EAC and the LVBC Regulations are very similar in structure and contents. Despite this, the management of

EAC's Partnership Fund has achieved better functioning administration of their fund. LVBC and the PF have contributed to harmonising policies in the Lake Victoria Basin and play a significant role in linking networks of relevant stakeholders, ranging from academic institutions, the overall government structures, lakeshore municipalities, private sector and civil society. The assessment indicates that it is not a question of either the PF or the Environmental Trust Fund – they have different objectives and they complement each other. LVEMP II documentation does not seem to take the existence of the PF into consideration in its analysis.

The comparative advantage of the LVBC PF fund has been its ability to sustain a long-term commitment, albeit with quite small funds, allowing stability to the institution and enabling the LVBC to make investments in staff capacity building, providing Stakeholder and Investment Forums where outcomes are difficult to measure, and providing seed money for research. Another comparative advantage is the flexibility of the mechanism in terms of allowing other funding agencies to join in the future.

#### *Alternative funding modalities*

The LVBC has graduated into a permanent and well recognised institution, and discussions may be initiated with EAC to identify the conditions for Budget Support<sup>2</sup> to LVBC. This would increase the efficiency for LVBC as well as predictability of funding, which would in turn improve planning and ability to coordinate activities. A precondition would likely be a well-functioning accounting system, and reporting and external annual audits of the current PF.

#### *Relevance*

The PA and the PF have contributed to a significant increase in available knowledge related to the different problem areas and an increased awareness of the Lake Victoria Basin as an interdependent region. The PA and the PF are highly relevant from the perspective of the problems identified.

In relation to the strategies of the EAC, the evaluators have found that the PA and the PF are relevant and have made significant contributions to the implementation of the strategies. The evaluators have also found that the support is relevant in relation to priorities regarding regional cooperation and priority areas as expressed in the Swedish International Development Cooperation Agency (Sida) Strategy for Support for Regional Development Cooperation in Sub-Saharan Africa.

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<sup>2</sup> In compliance with the Paris declaration of harmonization and alignment, this would mean supporting the overall LVBC budget

***Sustainability***

The evaluation has found that the PA and the PF have contributed to sustainability through the capacity building of LVBC, to coordination and knowledge generation for coping with environmental threats, and for the development of the LVB natural resources, through a number of studies, informing policies, protocols and interventions. The likelihood that LVBC will continue to exist and thereby apply the skills that have been developed in the coming years is probably relatively high since LVBC as an institution will likely continue to be supported by the member countries. The policies that have been developed with the support of the PF are sustainable results of the co-operation. The LVBC will continue to be dependent on financial contributions from both partner states and donors to fulfill its mandate though at difference level of magnitude. The largest contribution comes from the donors. For sustainability, there is need to bridge the gap in the contribution.

**Lessons learned**

The National Focal Points (NFPs) are established in the Protocol for LVB and are part of the Institution Framework for the LVBC. They are funded by the Partner States. The challenge is that they do not have adequate capacity to coordinate activities at the national level. However this may be addressed when the roles of the NFPO and those of the MEAC Affairs are harmonised.

As LVBC is currently increasing its focus on addressing economic growth and poverty alleviation, other sector ministries than the Environment and Water will need to be involved. The Ministries of Environment or Natural resources do not have the mandate to coordinate other ministries at the national level, and this causes obstacles. Such coordination is currently undertaken through the Ministries of EAC Affairs (MEACAs). However, LVBC will need to liaise with the Ministries of Planning/Finance in order to be able to integrate into the national planning processes as well as to impact on/attract funds allocation in the State Budget.

Climate change is hardly visible in the PA and/or in the use of the Partnership Fund. Expertise on the subject is as yet absent from the management discussions on the PF. The EAC and LVBC Climate Change Strategies have not been mainstreamed.

**Recommendations - to be implemented in the medium term - during the next three-year period*****The PA and the PF***

1. The international community is increasingly providing Budget Support or Programme Support to the national governments and we recommend a discussion

on the opportunity to establish a Budget Support Mechanism to the LVBC. This would enable LVBC to integrate its recurrent costs within one budget<sup>3</sup> and the co-funding arrangements with EAC and the Partner States for future sustainability will be more transparent. Preconditions would include a solid and well functioning accounting and a results-based reporting system.

2. For more efficient management of the PF, we recommend the LVBC to create a smaller executive committee that meets more frequently and handles many short-term and urgent decisions, while the full Board focuses on larger and more strategic decisions, as well as approving the annual budget and work plans.
3. Another option for more efficient management of the PF is to establish an independent Board<sup>4</sup> charged with the governance of LVBC, appointed by the appropriate EAC mechanism and be mandated to govern LVBC within a strategic framework and set of regulations defined by the EAC.
4. It is recommended to update the PA and the PF Regulations, taking into account the changed context including the Protocol and Shared Vision, relations to other funds (EAC PF (East African Community Partnership Fund), LVEMP II Environmental Trust Fund, and Climate Change Funds) and relations with other donor-funded projects.
5. PA partners' efforts and PF funding should continue to focus on LVBC's role in knowledge development, pre-project work, coordination, capacity building and harmonisation.
6. In compliance with the Protocol (in particular Article 3 – the scope of cooperation), LVBC should be supported to develop a Multi-Sector Development plan for LVB.
7. The PF, LVBC and Partner States should explore ways of systematically assessing the capacity development needs of NFP-functions
8. LVBC should proceed with the introduction of Results-Based Management, which can contribute to greater transparency in LVBC Work plans.

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<sup>3</sup> Other donor-funded projects will still contribute towards LVBC's budget, for example temporary payment of staff salaries.

<sup>4</sup> This can only be feasible if the proposed LVBC bill can be enacted into an Act.

9. The accounting system should register costs related to the purposes of the PA or the objectives of the LVBC, in order to allow cost-efficiency analyses
10. The close links between the Monitoring & Evaluation (M&E) function and the introduction of Results-Based Monitoring need to be emphasised. Current M&E is activity/output focused. It is only with the introduction of the new system that the full quality-developing potential of M&E can be realised.
11. The investment in computerisation of the accounting system should continue, together with capacity building for its use and potential for project coordinators and managers. The aim should be for the system to be used for analysis of cost efficiency, cost comparisons across activities, rather than merely for budgetary tracking and expenditure-volume follow-up.
12. The quality of the studies funded by PF varies in quality and usefulness. Some are of very high quality and are adding value to issues and problems. However others have some weaknesses, such as that they do not use existing studies as a basis for the study, which will result in little value added.
13. The screening of project proposals preparation of terms of reference, selection of consultants, and ensuring quality of studies should be reinforced.
14. It is recommended to create an LVBC Unit in the Planning Ministries of member countries to provide a vehicle to address Multi-Sectoral Planning and access to funding through the State Budget. In the short term the most feasible options would be to have staff from Ministry of Planning seconded to the Ministry responsible for EAC Affairs who has focal points for LVBC.
15. LVBC is gaining momentum through the NFPs and an increased amount of funding is provided to the national efforts. It is recommended to elaborate further on the specific reporting by the NFPs in budgets and annual reports in order to make this work more visible.
16. Cross-cutting issues, such as gender and human rights must be mainstreamed in activities supported through the PA and the PF.

# 1 The Evaluated Intervention

## 1.1 THE VICTORIA LAKE BASIN

This is an evaluation of the Partnership Agreement (PA) for sustainable development of the Lake Victoria Basin and the Partnership Fund (PF) created to support activities under the Agreement.

Lake Victoria is the second largest freshwater lake in the world and its drainage basin area is found in the five East African countries of Tanzania, Kenya, Uganda, Rwanda and Burundi. Home to about 35 million people, or about a third of the population of East Africa, the Lake Victoria basin is one of the most densely populated parts of Africa. The Lake and its Basin have a variety of natural resources that are of local, regional and global significance, but the area also suffers from over-fishing and a decrease in fish biodiversity, destruction of catchments areas, discharge of agro-chemicals, waste and refuse, encroachment on wildlife resources, generalised poverty, gender inequalities and a high incidence of HIV/AIDS.

Sweden has a long legacy of providing support in LVB region through bilateral water and sanitation programs in Kenya and Uganda, the Health through Sanitation and Water (HESAWA) program in Tanzania, the Lake Victoria Basin Initiative (LVBI) and others. Currently, Sweden also provides support through the Lake Victoria Environmental Management Project Phase Two (LVEMP II)<sup>5</sup>, EALP (East African Lake Victoria Partnership)<sup>6</sup> and Mount Elgon Regional Ecosystem Conservation Program (MERECF)<sup>7</sup>.

## 1.2 THE PARTNERSHIP AGREEMENT

Following the re-establishment of the East African Community (EAC), the Lake Victoria Basin Commission (LVBC) was created in 2003 as an institution of the East African Community, with the mandate to promote, facilitate and coordinate programs and projects for the development of the Lake Victoria Basin. The “Shared Vision and Strategy Framework for Management and Development of LVB” and the “Protocol for Sustainable Development of Lake Victoria Basin” defines its interventions.

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<sup>5</sup> Lake Victoria Environmental Management Project, Phase II (World Bank, GEF and Sweden)

<sup>6</sup> Lake Victoria Basin HIV and AIDS Partnership (Sweden and Norway)

<sup>7</sup> Supported by Norway and Sweden

LVBC's recurrent costs and some of its development budget are shouldered by the Partner States. Additional funding for the LVB is provided by several development projects coordinated by LVBC.

In 2001 a PA on the sustainable development of the Lake Victoria basin was signed by the EAC and the governments of Sweden, France, Norway, the World Bank and the East African Development Bank. Finland joined the PA in 2010. The goal of the PA is *“To contribute to an equitable and sustainable development –economic, social and environmental– to the benefit of the people living in the Lake Victoria Basin area”*. This goal is foreseen to be reached within a 20-year period and the Partnership Agreement and Fund is merely *one* of the interventions that will contribute to the sustainable development in the Basin.

In the Partnership Consultative Committee (PCC), and its Sub Committee (SCPCC), representatives of the development partners meet to discuss common approaches, strategies and interventions concerning the development of the Lake Victoria Basin. Many of the formal decisions are taken at a higher level by the EAC Council of Ministers.

### 1.3 THE PARTNERSHIP FUND

A Partnership Fund (PF) was established to support the implementation of activities under the PA. The management of the Partnership Fund is guided by the Regulations of the Partnership Fund, while the overall supervision is the responsibility of the Partnership Consultative Committee.

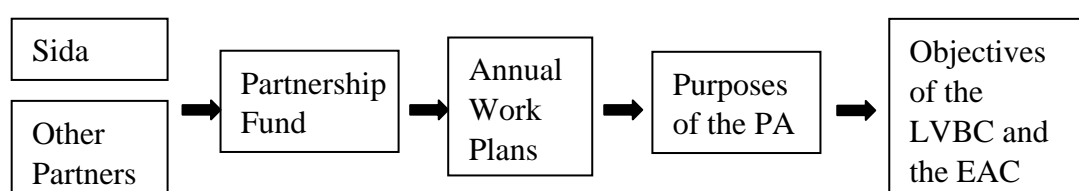


Figure 1: Structure of the intervention

Sida and other partners contribute to the Partnership Fund. The PF finances Annual Work Plans to implement the purposes/objectives of the Partnership Agreement, which will in turn support the objectives of the LVBC<sup>8</sup> and the development objectives of the EAC<sup>9</sup>.

<sup>8</sup> As expressed in the Operational Strategy of November 2007

<sup>9</sup> As expressed in the Third Development Strategy 2006-2010

A Mid-Term Review of the EAC Partnership Fund<sup>10</sup> was conducted in 2005. The review concluded that “Achievements” were ‘Satisfactory’, as well as “Efficiency” and “Effectiveness”. Comments were made that the governance structure in the form of the PCC are high in terms of opportunity costs. It was suggested that one meeting per year should be sufficient. (PCC meetings are currently held once a year with the possibility of an Extra Ordinary PCC). In terms of effectiveness, it was noted, that a prioritisation amongst activities and studies to be funded was lacking. Relevance was assessed as ‘Good’ both for the Agreement/Fund structure and for most projects. Specifically, the need to address harmonisation with the national planning and the LVBC planning processes was noted, as was a clearer definition of roles and responsibilities of the National Focal Points (NFPs) and the Ministries of EAC Affairs (MEACAs). The review noted that sustainability, in particular regarding governance structures, is unlikely without continued external support.

The review noted that planning is not done on a logical framework basis, which would be useful for future institutional development, but also that the absence of such a planning structure did not appear to have seriously impacted on implementation of the activities.

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<sup>10</sup>Mid-Term Review of the EAC Partnership Fund for Lake Victoria (2001-2005), Final Report, October 2005. This should not be confused with the EAC Partnership Fund which was initiated in 2006.

## 2 Evaluation, Background, Rationale, Methodology and Limitations

### 2.1 THE PURPOSE OF THE EVALUATION

The evaluation purpose is to gather and analyse data on the effectiveness, efficiency and sustainability of the Partnership Agreement and the Partnership Fund, as well as lessons learned, in order to provide Lake Victoria Basin Commission, Sweden and other interested partners with recommendations that would inform the preparation and design of a possible next phase of the evaluated intervention. The intended primary users of the results of the evaluation are the parties to the Partnership Agreement and institutions and implementers actively involved in the Partnership Agreement.

The Evaluation focus is on the time period 2006-2012, relating to Partnership history by referring to the findings and recommendations from the Mid-Term Review 2001-2005. The Evaluation should answer the following main questions<sup>11</sup>:

- Has the Partnership Fund been an effective and efficient mechanism to deliver on the objectives of the Partnership Agreement and the objectives and vision of LVBC?
- What is the comparative advantage of the Partnership Fund in relation to other support to LVBC?
- Has the Partnership Agreement been useful for coordination and harmonisation from the perspectives of LVBC and financing partners, or could any alternative funding modalities be considered in order to strengthen LVBC's ability to carry out its mandate?

### 2.2 METHODOLOGY

The complexity of the assignment required a combination of different activities:

- **A comprehensive review of documentation and literature** – The PF has financed a range of documents and studies, which were assessed. Furthermore, there are also other important project documents, which the team judged to have implications for the PF (see list of reference documents in Annex 5).

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<sup>11</sup> According to ToR, Annex 1.

- **Interviews with stakeholders** were held in Nairobi, Kisumu, EAC in Arusha, Dar es Salaam, Bujumbura, Kigali and Entebbe/Kampala (see Annex 3 for persons met).
- **Key Informants' Meetings** in Kisumu, Dar es Salaam and Entebbe proved to be a very useful tool for capturing observations and recommendations in an open and transparent way. In Burundi and Kigali, there was limited interest in group key informant meetings. Interviews were therefore held with key informants, individually or in pairs, in all partner countries.
- **Some of the instruments used for the analysis included:** Institutional Mapping and a Comparative Assessment of 3 selected funding mechanisms: the EAC Partnership Fund, the planned Lake Victoria Environmental Trust Fund and the currently evaluated LVBC Partnership Fund.

A broad spectrum of stakeholders, representing the LVBC and development partners have been selected and interviewed, as well as a large number of stakeholders in the five partner countries. A de-briefing meeting was held at the Swedish embassy in Nairobi and with representatives from the LVBC Secretariat. The Team Leader presented the main findings and preliminary recommendations and received constructive comments.

## 2.3 LIMITATIONS

Encountered limitations include the absence of a baseline study and some difficulties in obtaining data and financial information needed, particularly with regard to assessing the outcomes.

The accounting system does not register costs related to the purposes of the PA or the objectives of the LVBC, which made cost-efficiency analyses impossible.

# 3 Findings About Achievements

## 3.1 ACHIEVEMENTS OF ANNUAL WORK PLANS OF THE PARTNERSHIP AGREEMENT

At the time of the Mid-Term Review in 2005, the total contributions to the PF July 2003 to June 2005 amounted to about USD 700,000. Funds had been used for the capacity building of the LVBC staff, facilitation of meetings and approximately 10 projects/studies. The Mid-Term Review report concluded that the effectiveness was not fully optimal but was still ‘Satisfactory’.

The present evaluation can look back on nine years of implementation of activities funded by the PF. Sweden has provided annual contributions. In addition other development partners have made contributions, i.e. France with a minor contribution in 2008 and Finland with a larger amount of USD 1,080,000 in 2010. Total contributions to the PF from 2003 to 2011 are about 7.4 MUSD. Sweden is the only development partner that has been providing continuing and consistent funding to the PF and this has contributed to the necessary stability to the management of the Fund. This fact poses a big risk for PA/PF and LVBC.

The reports on Implementation Status of the Annual Work Plans and Budgets contain detailed information about the implementation of all activities, grouped under a number of key areas, like i.e.:

- Coordination capacity building of the LVBC
- Facilitation of PCC meetings and Partner meetings
- Support for the National Focal Points
- Cooperation with other EAC institutions and partners
- Policy development
- Management and development of LVB natural resources, including investment promotion
- Funding and management of projects

The reports are generally activity related and contain little, if any, analysis of the implementation, reasons for non-achievements of activities, challenges and opportunities. Achievements in relation to objectives/purposes of the PA and the LVBC are analysed in sections 3.2 and 3.3.

### Conclusions

As mentioned above, the logical framework approach was not introduced at the time of the Mid-Term Report. Current rolling three-year plans are based on rudimentary Logical Frameworks with objectives, planned activities/outputs and costs. Results-Based Management is now being introduced in order to move towards results at the

outcome level. The reporting is, with some exceptions<sup>12</sup>, at an activity level. The implementation rate of activities seems to be, on average, about 80% of planned activities with considerable variations between activities ranging from 0% to 100%.

## 3.2 ACHIEVEMENTS OF THE PURPOSES OF THE PARTNERSHIP AGREEMENT

This section analyses to what extent activities and studies funded under the PF have contributed to the fulfillment of each one of the defined purposes of the PA. The Purposes of the PA are:

- a) *Assist the Community and EAC Partner States in exploiting the opportunities for development in LVB in a sustainable manner and further address the socio-economic and environmental problems in the Basin.***

The PF contributed to the development of the Protocol for Sustainable Development of Lake Victoria Basin (2004) and to the elaboration and dissemination of the Shared Vision and Strategy Framework for Management and Development of LVB (2007). The issue of socioeconomic development and economic growth were pursued in the following studies:

- Potentials and Constraints of Developing LVB as an Economic Growth Zone, which was the first book of its kind to demonstrate the potential of economic development and growth in the Basin;
- Analysis of Trade in Lake Victoria Ports and Basin (2011);
- The study on Maritime and Safety of Lake Victoria that contributed to a private sector investment by GSMA that established a telecommunication ring around Lake Victoria;
- The enactment of the Lake Victoria Transport Act (2007).

Other activities to promote economic growth include the Investment Forum in the region.

- b) *Identify and investigate specific aspects of threats to sustainable economic, social and environmental development and propose relevant interventions.***

Several scientific studies have been funded by the PF:

- Vulnerability Assessment to Climate Change in Lake Victoria Basin (2011) that informed the formulation of the EAC Climate Change Policy and fur-

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<sup>12</sup> Status of the Implementation of the Annual Work Plan and Budget 2008-2009 as compared to current MTEF and reporting to the PCC.

ther motivated the IDRC to provide funding for the development of a LVB Climate Change Strategy,

- Identification and Mapping of Ecologically Sensitive Areas (ESAs) in Lake Victoria Basin (2011), which is a high quality study which provides for a solid foundation of future work in the LVB (the entire LVBC is categorised as an ESA),
- Succession and Dynamics of the Water Hyacinth on the Nyanza Gulf of Lake Victoria (2011), and
- Aquatic biodiversity for Lake Victoria Basin.

With funding from the PF, the Institute of Resource Assessment, University of Dar es Salaam under the Tanzanian Ministry of Water has produced two studies:

- Improving Agricultural Productivity in Response to Climate Change by Introduction of Alternative Crops and Innovative Technologies Suitable for the Lake Victoria Basin (May 2012), and
- Adaptation to Climate Change for Agricultural Stakeholders in the Lake Victoria Basin; Training Manual (May 2012).

Various studies have also been funded or co-funded by the PF through the National Focal Points in Tanzania. These studies are all of relevance to fulfilling the purposes of the PF, but they are not always visibly harmonised with other support.

***c) Assist in policy formulation to guide the various actors in sustainable development***

The PF is supporting the development of the Water Release and Abstraction Policy for Lake Victoria which is a significant contribution towards the sustainable management of this water source. The LV water is shared by several countries downstream and the policy is expected to provide a transparent mechanism for ensuring reasonable and equitable utilisation of the waters in Lake Victoria.

The enactment of the Lake Victoria Transport Act (2007) has been developed with the support by the PF.

***d) To build capacity through strengthening of local institutions and organisations concerned with sustainable development of LVB***

Capacity strengthening is a critical purpose of the PF. This purpose does not explicitly mention the strengthening of the LVBC itself, which is critical for sustainable development of the LVB. Each donor-funded project coordinated by LVBC also has components that address the capacity strengthening of LVBC. Such strengthening is done in an ad hoc fashion by each actor.

A number of studies have been financed by the PF and donor-funded projects to strengthen LVBC:

- Institutional Review of EAC, Organs and Institutions (March 2011), by East African Community Secretariat, Kigali, funded by EAC,

- Final Report on Institutional Capacity Needs Assessment for the LVBC (August 2010), by Alpex, funded by United States Agency for International Development (USAID) East Africa to support sustainable development of the Mara River Basin. One of the objectives is to build institutional capacity of the Lake Victoria Basin Commission to undertake its regional mandate. The study has not progressed and there is no additional capacity strengthening planned,
- Draft Report on Human Resources, Functional Analysis for Lake Victoria Commission Secretariat by Florence N. NMuinde, Kisumu, Kenya (March 2012) funded by the PF, and
- Preparation of National/Regional Management Framework: Institutional Component for the Lake Victoria Basin. SMEC-LVEMP II Final National Report (January 2007).

The studies are done irrespective of other existing studies and they do not contribute towards one single purpose. They do not constitute one single Institutional Diagnostic and/or one single Manpower Development Plan to be implemented. In addition, none of the studies addresses the need to strengthen the National Focal Points.

In addition, the strengthening of local institutions and organisations has taken place to a limited extent. Stakeholder Forums are held and the NFPs are establishing a CSO database for the LVB region. There are few actions to consolidate support at the local government level and/or with the Lake Victoria Regional Local Authority Cooperation (LVRLAC) and similar local government associations. The PF has to a limited extent been able to take the lead in coordinating these efforts strategically. To ‘build capacities’ also includes the need to capture the existence of documents and studies already elaborated at regional and national levels to avoid duplication and ensure that ‘value is added’ through new studies.

***e) Promote coordination of development efforts undertaken by various actors within the Community***

There are number of activities of the LVBC that may be described to contribute to the achievement of this goal. Such activities are the organisation of various Stakeholders’ Forums, supporting municipal interaction between lakeshore municipalities, the maritime safety work and include work intended to support the harmonisation of legal frameworks of the Partner States. Interviewees in Burundi and Rwanda strongly emphasised the importance of the LVBC, supported by the Fund, in allowing the inclusion of these two states in the practical preparations for LVEMP II. They were firm in their belief that without such support the two new member states of the EAC would not have managed to access the resources of this project.

LVBC has been successful in attracting donor-funded projects to be coordinated by LVBC and this has increased LVBC’s responsibilities. This has subsequently resulted in an inadequate mix of staff and competencies. Several of the key positions are temporarily funded by donor-funded projects. Very few positions are funded by resources from the Partner States.

Currently the following projects are either already functional or in the pipeline:

- Lake Victoria Environmental Management Project Phase Two (LVEMP II) – World Bank, GEF, Sida
- EAC-AMREF Lake Victoria Partnership (EALP) – Sida, Zambia office
- Mt Elgon Regional Ecosystem Conservation Program (MERECF) – Norway and Sida
- Lake Victoria Water and Sanitation Project (LWATSAN) – African Development Bank (AfDB)
- Trans-boundary Water for Biodiversity and Human Health in the Mara River Basin Project (TWBHH-MRB) – USAID
- Planning for Resilience in East Africa through Policy, Adaptation, Research, and Economic Development (PREPARED) – new project with USAID

Despite the efforts undertaken to coordinate development in the Basin and the elaboration of the Protocol and the Shared Vision, LVBC lacks a more practical and holistic multi-sector instrument to undertake the in-depth Diagnostics of the issues and ongoing efforts at the EAC and Partner State Levels and to holistically address these with a Multi-Sector Development Plan. Such an instrument would enable the LVBC to take the lead in coordination and planning to become more instrumental in the development of the Basin. A strategic partner would be LVRLAC and similar associations for more effective coordination at the local government level.

**f) *Provide consultative forums and focal points for various actors in the LVB***

One of the key mandates of the LBVC and an important purpose of the PA is to create linkages with and between the stakeholders in the Basin. Institutionalisation of the Lake Victoria Basin Stakeholders Forum has been a major achievement and the first Forum was held in 2002, the second in October 2009 and the third Stakeholders' Forum was held recently in Entebbe (June 27 – 28, 2012).

At the second forum, the “Kisumu Declaration” was agreed, committing to “continued regional cooperation with respect to harnessing synergies for sustainable utilisation of the Lake Victoria Basin and its resources”.

**g) *Broaden cooperation between the Community; EAC Partner States and Development Partners***

The PF has been instrumental in institutionalising the National Focal Points' (NFPs) activities in each country and this has been instrumental in strengthening LVBC's presence generally at the Ministries where the NFPs are located, most often the Ministries of Environment and Water in each country. The LVBC/NFPs channel all their communication through the MEACAs and if the NFP intends to call a meeting with another Ministry, this is organised by the MEACA. This was seen as a serious constraint by some stakeholders. Particularly if LVBC wants to move into a multi-sector approach of addressing economic growth and poverty alleviation, there is a need to coordinate with other national ministries, not the least Ministry of Planning and Finance. The institutionalisation of National Focal Points has facilitated cooperation and coordination between the countries and LVBC. Support was provided to Rwanda and Burundi in sustainable land use management before they joined the EAC in 2007.

The PF is a flexible instrument that adjusts to the specific conditions in each Partner State. Several important activities have been undertaken at the NFP:

- National project documents to pave the way for LVEMP II and LWATSAN
- National processes with respect to the Water Release and Abstraction policy
- Stakeholder coordination and mapping of CBOs
- Operational linkage with LVEMP II<sup>13</sup>

This contributed to fast-tracking the accession of Rwanda and Burundi into EAC. The interventions in the upper catchments of Kagera River, which originate from the two countries, addressed strategies of declining water quality in Lake Victoria.

***h) Identify investment opportunities and work to create a conducive environment to investment***

The identification of Investment Opportunities is covered under a) above. This has been addressed by LVBC/PF, but it requires further emphasis in the future. The creation of an environment conducive to investment, i.e. the creation of an “enabling environment”, has been addressed to a very limited extent. This would include analysis of economic instruments, such as taxes and levies, as well as the identification of economic incentives if they are needed in order to promote investments. This has been addressed by LVBC to a limited extent.

EAC is supporting the EAC Common Market with a number of policies<sup>14</sup> as well as large-scale investments. Several activities in the PF overlap with activities undertaken by EAC as well as the EAC PF. In addition, it is the national sector ministries, including the Ministry of Finance through the state budget, that will undertake national regional prioritisation of development.

***i) Assist in mobilisation of resources for the implementation of identified programs***

This was an area emphasised by several of the LVBC management as well as respondents in all partner states. As mentioned above, appreciation was expressed for the assistance in accessing LVEMP II resources. Particularly in Rwanda and Burundi,

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<sup>13</sup>The consultant was not able to get copies of these document, although they were mentioned in the Focal Points' reports to the PCC

<sup>14</sup> The following are some of the studies and strategies led by EAC:

- Review and Development of the EAC Industrialization Policy and Strategy 2010/11
- Promotion of EAC as a Single Investment Destination
- Study to develop an EAC Result Based Monitoring and Evaluation System
- Comprehensive Review of the Transformation into a Fully Fledged EAC Customs Union
- Developing a Strategy for Marketing East Africa as a Single Tourist Destination

frustration was expressed that the LVBC was research focused, and did not lead to practical consequences in terms of resource flows.

EAC PF has a Resource Mobilisation Unit to identify resources for investments; in the EAC and LVBC is also pursuing this issue. The institutions are different, with different legal and institutional frameworks each with clear mandates, and EAC PF—contrary to LVBC PF—has managed to mobilise a substantial number of donors as well as amount of resources for its Partnership Fund.

***j) Promote the involvement of broad spectrum of actors in development process***

Investment and Stakeholder Forums have provided platforms for private and public sector participation in the promotion of investment in LVB. However, LVBC would need to liaise closer with central as well as local governments in order to capture on-going activities at each country level, as well as at the municipalities and the LVRLAC that could be linked to investment promotion efforts.<sup>15</sup>

***k) Cross-cutting issues including climate change are included in the PA and the PF***

Cross-cutting issues, such as Gender, HIV/AIDS, and climate change are not explicitly addressed by the PA and the PF and they are not mainstreamed into studies and activities. This reflects the priorities during the time of signing of the Agreement in 2001, as well as in the Protocol and the Shared Vision and Strategy Framework for Management and Development of LVB.

## Conclusions

The activities in the presented budgets and reports are in compliance with the Purposes of the PA. The studies that have been supported by the PA are generated by the Directives of the Council of Ministers to support policy formulation. It is not always clear how priorities have been set and why the studies and coordination/harmonisation processes supported have been selected over alternatives. Focus has been on environmental constraints, rather than issues related to economic growth and poverty alleviation. This is reflected in the staffing mix and competencies of LVBC, and in the selection of the NPFs in the Ministry of Environment.

However, although the activities/studies are directed towards the purposes of the PA, the lack of measurable indicators, availability of quantitative data and the contributions from other development partners make it impossible to measure the to what extent the purposes have been achieved or attribute specific contributions from the PA/PF.

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<sup>15</sup> The Earth Institute, Millennium Cities Initiative Columbia University, May 10, 2007 MCI: Attracting Investment to Kisumu: Opportunities and Challenges

The PA and PF have been instrumental in providing support and funding to critical activities to enable LVBC to fulfil its mandate from a very early start up of activities. LVBC has acquired recognition and credibility as a regional institution amongst stakeholders, regionally and internationally. It has succeeded in establishing networks for coordination through the NFPs and its Investment and Stakeholder Forum. LVBC's linkage to EAC contributes to harmonisation of policies at the LVB level. There is a significant increase amongst the staff in knowledge in selected technical areas and an increased awareness of the Lake Victoria Basin as a region with a potential for economic growth and development. All stakeholders express their appreciation of this.

Existing studies elaborated by the coordinated donor-funded projects, as well as relevant studies, already elaborated in each one of the Partner States are not optimally recognised when developing terms of reference/screening proposals and identifying studies/activities to be funded by the PF. However, a number of studies have a 'value added' and they have contributed to a better understanding of particular problems, and they include a number of recommendations. However, there is a need to follow up more systematically on the recommendations and some will require investments on the ground designed to address the issue.

The assessment above highlights a selection of activities and studies undertaken with respect to each Purpose as well as some weaknesses in the current use of the PF and potential use in the future. The Purposes are not formulated in such a way as to allow the evaluation to state the extent that they have been achieved during the evaluated period. However, the evaluators' conclusion is that the activities have contributed in a significant way to the Purposes of the PA.

Despite the efforts undertaken to coordinate the development in the Basin and the elaboration of the Protocol and the Shared Vision, LVBC lacks a multi-sector instrument to undertake in-depth Diagnostics of the issues and to holistically address planning and implementation through the elaboration of a Multi-Sector Development Plan. Such an instrument would enable the LVBC to take the lead in the coordination of stakeholders and to become instrumental in the sustainable development of the Basin.

### 3.3 CONTRIBUTION TO ACHIEVEMENT OF THE OBJECTIVES OF THE LVBC

The work of LVBC is guided by the provisions of the Protocol for Sustainable Development of LVB signed in (2003 and ratified in 2004) and the Decisions and Directives of the both the Council and the Sectoral Council of Ministers that are issued from time to time. The activities under the LVBC are formulated and implemented under the framework of the Shared Vision and Strategy Framework for Management and Development of LVB. Strategically, the LVBC's programmes are aligned to the 5-year EAC Development Strategy which defines the strategic interventions of the

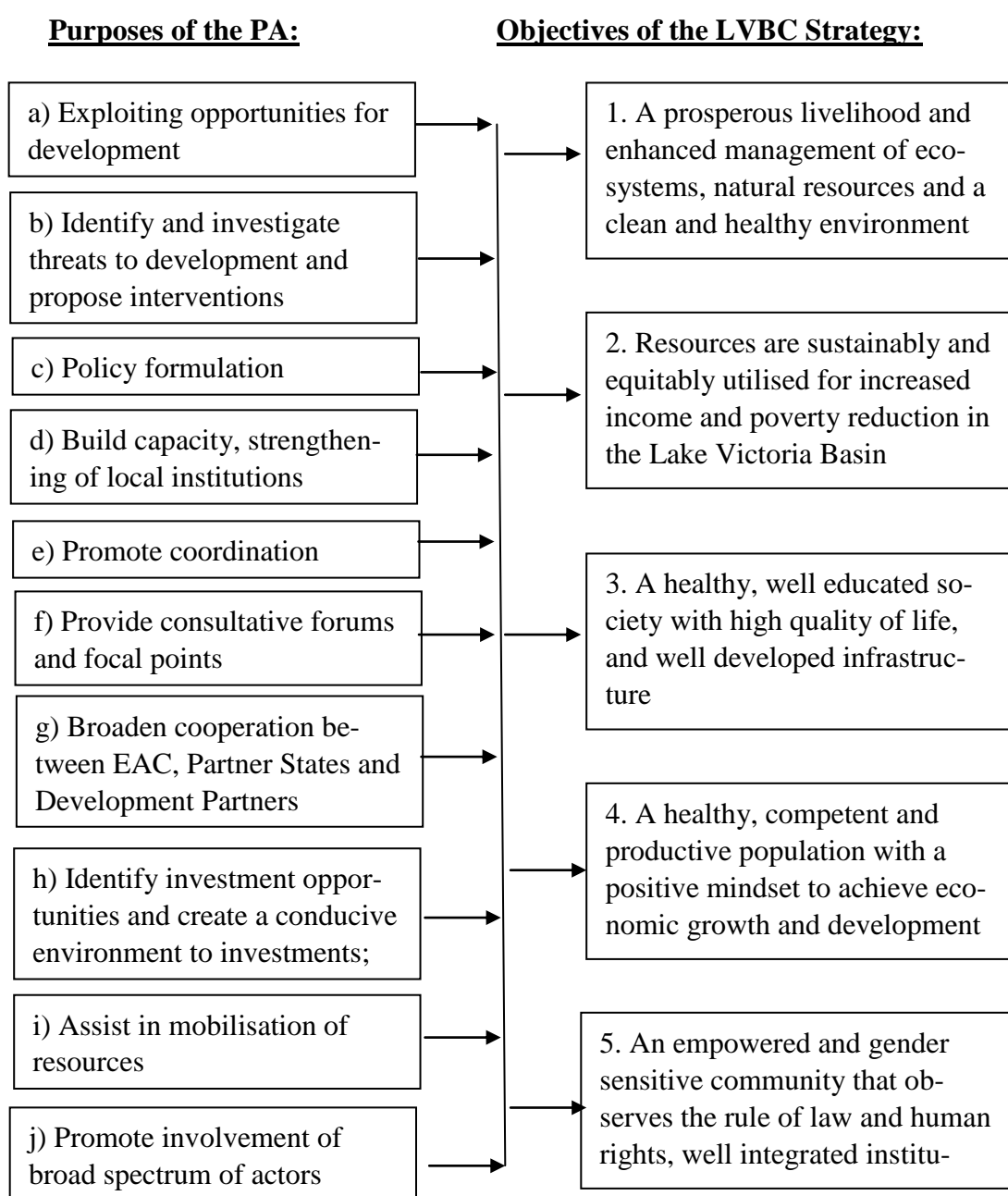
EAC Secretariat, its organs and institutions. Currently the EAC is implementing its 4<sup>th</sup> EAC Development Strategy (2011 – 2016). In order to operationalise the strategic intervention areas in the EAC Development Strategy, the LVBC has developed a Strategic Plan (2011 – 2016) with ten key result areas with support from the PF.

The Vision of the Lake Victoria Basin Commission is to have: *“a prosperous population living in a healthy and sustainably managed environment providing equitable opportunities and benefits”*, while the Mission is to: *“promote, facilitate and coordinate activities of different actors towards sustainable development and poverty eradication of the Lake Victoria Basin”*.

The Strategy Framework is clustered into five Policy Areas, each with a defined development objective:

- **Policy Area 1-** Ecosystems, Natural Resources and Environment: Its ultimate development objective is attainment of *“a prosperous livelihood and enhanced management of ecosystems, natural resources and a clean and healthy environment”*.
- **Policy Area 2-** Production and Income Generation: Its ultimate objective of this policy is to ensure that *“Resources are sustainably and equitably utilised for increased income and poverty reduction in the Lake Victoria Basin”*.
- **Policy Area 3-** Living Conditions, Poverty and Quality of Life; the ultimate objective is the attainment of *“A healthy, well educated society with high quality of life, and well developed infrastructure”*.
- **Policy Area 4-** Population and Demography; the aim is to achieve in the region *“A healthy, competent and productive population with a positive mindset to achieve economic growth and development”*.
- **Policy Area 5-** Governance, Institutions and Policies: its ultimate objective the attainment of *“An empowered and gender sensitive community that observes the rule of law and human rights, well integrated institutional framework enabled by a policy environment that facilitates their involvement in the management of resources”*.

The links between the objectives/purposes of the Partnership Agreement and the development objectives of LVBC as expressed in the Operational Strategy is illustrated by the following figure:



As seen in the Figure above, the activities, financed from the PF, to achieve the Purposes of the PA will, at the same time, contribute to one or several Policy Areas and its/their respective Development Objective(s). A brief analysis of the contributions funded by the PF to each of the Development Objectives of the Operational Strategy follows below.

### 3.3.1 Policy Area 1- Ecosystems, Natural Resources and Environment: Its ultimate developmental objective is attainment of “a prosperous livelihood and enhanced management of ecosystems, natural resources and a clean and healthy environment”

This suggests a holistic approach to economic growth, poverty alleviation and a sustainably managed environment. Focus of the PF has so far been on environmental issues, and less on economic growth and poverty alleviation.

There is recognition among stakeholders that LVBC, supported by the PF, has contributed to building knowledge concerning the LVB environmental situation, identifying "burning issues", raising awareness and sponsoring research. There is also a sense among LVBC management and interviewed persons at the country level that there is a need to increasingly follow up on the recommendations of the studies. Interviewees at times mentioned the need for practical action and that the LVBC could be more active in attracting resources for the actual implementation of development work.

In order to address issues related to economic growth and multi-sector planning, additional ministries to the Ministry of Environment/Water need to get involved, such as Ministries of Planning, Economy and Finance. This structural constraint needs to be discussed and resolved. The recommended Multi-Sector Development Plan, under the auspices of Ministry of Planning may be a big step forward in addressing issues in a holistic fashion.

**3.3.2 Policy Area 2- Production and Income Generation: Its ultimate objective of this policy is to ensure that “Resources are sustainably and equitably utilised for increased income and poverty reduction in the Lake Victoria Basin”.**

LVBC management and other stakeholders felt that LVBC now needs to increasingly focus on the issues of creating an enabling environment for economic growth and sustainable development, and that activities should be included in the PF budgets. Others emphasised that the LVBC’s institutional success was related to its clear focus on knowledge generation, harmonisation, support for collaboration and technical assistance in the environmental area; in fact, these are the areas where the PF has focused so far. LVBC, through the NFPs and by using the PF, is already providing support to some small projects/grants with the aim of improving living conditions.

However, this policy area would involve linking with ministries and agencies which do not typically address the environmental sector. LVBC would also need professional staff in this area.

**3.3.3 Policy Area 3- Living Conditions, Poverty and Quality of Life; the ultimate objective is the attainment of “A healthy, well educated society with high quality of life, and well developed infrastructure”.**

Development of the social infrastructure, i.e. health and education systems, has not played any significant role in the plans and activities of the PA or the PF so far, although it is part of the PA Purposes. Such efforts are, however, an important part of the respective countries’ national development plans and State Budgets. There is also emphasis on ‘well developed infrastructure’ in this policy area. The PA and the PF have not contributed to infrastructure investment and would rather take on the role of facilitator in compliance with its mandate.

**3.3.4 Policy Area 4- Population and Demography; the aim is to achieve in the region “A healthy, competent and productive population with a positive mindset to achieve economic growth and development”.**

This policy area is linked to the previous ones – several ministries are involved in this, such as health, education and vocational training. It should be noted that each country already has policies and programmes at the national level to address these issues. LVBC will need to network with these – the recommended Multi-sectoral Development Plan would be ideal for this. There are also a number of donor-funded projects that support these areas at the Partner State level. The PA and the PF has not contributed to this policy area.

**3.3.5 Policy Area 5- Governance, Institutions and Policies: its ultimate objective is the attainment of “An empowered and gender sensitive community that observes the rule of law and human rights, well integrated institutional framework enabled by a policy environment that facilitates their involvement in the management of resources”.**

Together with the environment, this is the area in which the PA and the PF have focused most of their activities. The LVBC is well integrated into the EAC frameworks and structures. It has developed good relations with the Partner States and is cited as contributing to a harmonisation of the legal framework for development within the Basin.

Gender has not been mainstreamed as yet, although EALP has made good progress. However, this important area is not yet institutionalised into LVBC. To sensitise the population to the Rule of Law and Human Rights would require legal expertise that the LVBC does not currently have.

## **Conclusions**

The LVBC has a very wide mandate as defined in the Protocol for the Sustainable Development of LVB and guided by the Shared Vision and Strategy Framework for Management and Development of LVB. LVBC, however, lacks adequate staff capacity to address all 14 areas defined in Article 3 of the Protocol (Scope of Cooperation). LVBC started out focusing on environmental issues. However, issues related to poverty alleviation and economic growth have not been addressed to the extent envisaged in the documents. The institutional setup does not reflect the requirements to fulfill these responsibilities.

The PA with PF funded activities have made significant contributions to objectives 1 and 5 of the LVBC but have contributed little to the other policy areas. This of course reflects that the focus of LVBC has also been on policy areas 1 and 5. The lack of measurable indicators, availability of quantitative data and the contributions from other development partners make it impossible to measure achievements of the PA Purposes or the LVBC Objectives, or to attribute specific contributions to them from the PA/PF.

# 4 Findings About Efficiency

## 4.1 EFFICIENT COORDINATION

LVBC has been given the mandate to coordinate the development of the Lake Victoria Basin. One of the Purposes of the Partnership Agreement is to promote coordination among the partners and with other actors. LVBC applies different mechanisms to achieve this coordination, such as the effective coordination with EAC, the institutionalisation of the National Focal Points in each Partner State, the undertaking of the Stakeholder and Investment Forum as mentioned above, as well as the effective coordination of donor-funded projects.

While LVBC could be described as a “spider in the web”, it is clear that the National Focal Point function in the Partner States’ government structures is key to coordination efforts at the national and sub-national levels in each country.

As the Partnership Agreement came into existence prior to the establishment of the Ministries for East African Community Affairs (MEACAs), the National Focal Points were established in the technical Ministries most closely related to the activities of the LVDP, i.e. the Ministries of Environment and Water.

LVBC management has recently initiated more frequent coordination meetings with the donor project coordinators of the donor-funded projects<sup>16</sup>. The evaluators have found that these projects often produce technically excellent reports, lessons learned and experiences. However at this time, it is not always clear how these reports add value and complement the studies funded by PF. As mentioned above, the PF has provided bridge funding of LVEMP II and LWATSAN. A process of Medium-Term Expenditure Framework (MTEF) planning has been initiated where activities funded by the PF and different projects are synchronised. This is a useful mechanism for planning in a more integrated fashion.

EAC is also managing a PF, which has similar modalities to the LVBC PF, but there is no clear coordination or lesson learning between these funds.

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<sup>16</sup> Lake Victoria Environmental Management Project Phase Two (LVEMP II) – World Bank, GEF, Sida, EAC-AMREF Lake Victoria Partnership (EALP) – Sida, Zambia office, Mt Elgon Regional Ecosystem Conservation Program (MERCEP) – Norway and Sida, Lake Victoria Water and Sanitation Project (LWATSAN) – AfDB, Trans-boundary Water for Biodiversity and Human Health in the Mara River Basin Project (TWBHH-MRB) – USAID, Planning for Resilience in East Africa through Policy, Adaptation, Research, and Economic Development (PREPARED) – new project with USAID.

Currently the project coordinators of other donor-funded projects do not participate in the preparation process of the PF. This results in a non-optimum harmonisation between the studies and support provided by them and the project proposals developed for the PF. Inputs from the Project Coordinators on other donor-funded projects are essential for the PF to become efficient and optimally useful.

It should also be noted that Sida provides support to various projects: EALP, LVEM-P II, MERCEP, and to LVRLAC on climate change and other support to districts in the basin. There has been little – if any – effective coordination between these projects and the LVBCPF, LVEMP II exempted. Synergies are not explored and the activities are generally not institutionalised in the LVBC (and other agencies). Such projects could perhaps be coordinated under the PF.

### **Conclusions**

Supported by the PF, LVBC has been able to improve the coordination of actors and projects in the LVB, although some weaknesses remain and there is scope for improvements in the coordination of studies and activities.

## **4.2 INSTITUTIONAL EFFICIENCY**

### **4.2.1 Context**

The institutional context has improved considerably since the signing of the PA and the development of the Partnership Fund Regulations. There are a number of important protocols, strategies, etc. at different levels that have potential implications for the PA and the PF such as: the EAC's 4<sup>th</sup> Development Strategy, the Climate Change Master Plan (EACCCMP), the EAC Climate Change Policy (EACCCP), the EAC Common Market mechanisms, the Shared Vision and Strategy Framework for Management and Development of LVB, the Protocol for Sustainable Development of Lake Victoria Basin, and the LVBC: Climate Change Strategy and the LVBC Strategic Plan 2011-2016.

There are also various funding mechanisms at the regional level, such as in EAC (EAC Partnership Fund, EAC Development Fund and the new Climate Change Fund) as well as at the Nile Basin Initiative (NBI). At the LVBC level, different options are discussed in parallel to the Partnership Fund, particularly the Environmental Trust Fund under LVEMP II. At the national level of the Partner States there are various mechanisms, such as the State Budget, specific “joint Partnership Funding”, i.e. ‘basket’ funding mechanisms from the international community, a number of other specific funding mechanisms for specific purposes, as well as a number of projects funded by the international community, that at times have potential synergies with the LVBC's need for financing.

There are a number of donor-funded projects coordinated by LVBC, providing funding mechanisms that do not have their interfaces with the PF clearly defined:

- Lake Victoria Environmental Management Project Phase Two (LVEMP II) – World Bank, GEF, Sida
- EAC-AMREF Lake Victoria Partnership (EALP) – Sida, Zambia office
- Mt Elgon Regional Ecosystem Conservation Program (MERCEP) – Norway and Sida
- Lake Victoria Water and Sanitation Project (LWATSAN) – AfDB
- Trans-boundary Water for Biodiversity and Human Health in the Mara River Basin Project (TWBHH-MRB) – USAID
- Planning for Resilience in East Africa through Policy, Adaptation, Research, and Economic Development (PREPARED) – new project with USAID

This suggests the existence of a considerably broader and more complex context, not reflected in the PF regulations.

#### **4.2.2 Management of the PA and the PF**

The PA is supported by the PF, which is implemented by the LVBC; hence the institutional efficiency of LVBC is crucial for the efficient planning, execution and monitoring of the PF activities and the achievement of the purposes of the PA.

The day-to-day management of the PF is the responsibility of the LVBC Secretariat. The Partnership Agreement and the management of the Partnership Fund is the responsibility of the Project and Program Development Manager of LVBC. The use of resources provided by the Fund is governed by PF Regulations.

Some constraints to efficient management include the adherence to EAC's rule on Geographical Quota, according to which every Partner State should have a fair share of EAC staff. This was often brought up by LVBC management as a constraint that limits LVBC's ability to recruit the most qualified candidate for important positions. Instead, the Partner Countries may appoint their candidates.

The role of the NFPs is generally technical in nature, while the MEACAs are responsible for political/formal communication with the LVBC. All (formal) communication between LVBC and the (National Focal Points) NFPs is therefore channelled through the MEACAs who then forward the communication to the appropriate technical Ministry, for example, reports, studies or invitations to meetings. The NFPs do not have a mandate to coordinate with other ministries. This is therefore done by the MEACAs. Communication from the LVBC to the MEACAs is not always shared with the

NFPs<sup>17</sup>. There are occurrences where government officers may take part in LVBC activities without the NFPs' knowledge and it is therefore not possible for that officer to follow up and ensure that meeting reports and recommendations are acted upon.

## Conclusions

The LVBC has grown very rapidly, often in an ad hoc manner where new staff, at times, is initially funded by donor-funded projects, later to be taken over by the general budget. The LVBC now has over 48 staff including those paid by projects. The complexity of EAC's governance structure may have contributed to certain inefficiencies.

The system of National Focal Point Ministries in the riparian states' structures is established and functioning. They feel a significant sense of ownership. The National Focal Points have been instrumental in addressing issues related to environmental and water management in the Partner States. However, constraints have been recognised in their ability to address multi-sector issues and coordination, which go beyond the environment and water sectors.

### 4.2.3 Planning, budgeting and accounting

As described by LVBC staff<sup>18</sup>, the annual planning process includes the following phases (Budget year runs from first July till last June).

The financial planning starts in August/September with the MTEF. Based on the experience of the past year, project coordinators give their priorities for the years 2 and 3. These priorities are to include a) unfinished business to be carried forward, and b) priorities and relevant changes. Proposals from Project Coordinators are checked for cohesion and structure, and alignment with overall plans. A budget planning meeting takes place in September/October where questions regarding priorities and realism are discussed. This meeting is chaired by the Executive Secretary. The plans are revised and the Executive Secretary signs the proposed plans and these are sent on to the East African Community for revision and alignment with EAC priorities. A draft Medium-Term Expenditure Framework (MTEF) is sent to the Partner States in December, and after comments from the states. The MTEF is finalised in a meeting in February/March and submitted to Partner States in preparation of the Council of Ministers meeting, and finally sent to the East Africa Legislative Assembly (EALA) for debate and approval.

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<sup>17</sup> Mentioned in interviews in Rwanda and Burundi

<sup>18</sup> Finance and Administration deputy executive secretary and Monitoring and evaluation officer

The budget execution has at times suffered from delays and low execution. This may be due to staff constraints within the LVBC organisation and/or inefficiencies in the decision-making processes at various levels of EAC's/LVBC's structure and organisational setup.

LVBC staff noted that there is another pattern to implementation delays related to the type of activity. Core activity costs (e.g. salaries) are generally correctly budgeted and disbursed on time. Established projects (more than three years old) have more realistic goals and spend 70-80% of their budgets. New projects on the other hand tend to be managed by recent recruits and developed by enthusiastic staff (both donor and in-house), resulting in some lack of realism and budget expenditure levels that are sometimes less than 50%.

Furthermore, it was only in the fall of 2011 that the accounting system was computerised. The system structure that was introduced was based on "Type of Costs", not the "Activity" to which it was related, and was therefore of limited use as an input to the Management Information System. The cost centers are now being restructured to simplify management follow-up of results. It must be recognised that these delays relate to the inflexibility of the organisational structure within which LVBC exists, where the EAC's conditions on the Geographical Quota have to be followed and minor management decisions need to be made at Council of Ministers level.

The quality of the accounting system to deliver timely and correct information on the PF is the prime instrument for assessing cost efficiency. The system has not been adequate, including its ability to develop benchmarking of costs and cost efficiencies within the administrative system – this includes obtaining high quality products for best price. The weakness of the accounting system was explained by senior management as being related to EAC's requirement to comply with the Geographical quota, and posed an obstacle to staff performance.

The agreed annual internal audits to be forthcoming from the EAC Audit Commission are not prepared in a timely fashion and at times not at all. Internal audits funded by the PF are also not timely.

The planning, budgeting and monitoring are expected to be considerably improved by the current process of introducing a Results-Based Management (RBM) system for planning, budgeting and follow-up. The budget year 2012 to 2013 is the first year it is being implemented, and significant portions of the staff have yet to understand and accept it. There is a clear shift away from activities towards results in the planning being undertaken for 2012-2013. However, suggested indicators generally remain activity based.

## Conclusions

The difficulty of responding to necessary changes is illustrated by the late action on the Mid-Term Review's recommendation to introduce Results-Based Planning and budgeting, and late action on comments from the auditors, leading to repeated observations from the auditors on the same matters over several years. Most importantly, there was a lack of action to quickly address the financial and accounting systems and to enhance capacity. The capacity of the internal audit function has been weak enough to be commented on by the EAC Audit Commission.

The accounting system was only recently computerised and the introduced system does not yet meet the criteria necessary for effective internal control and proactive management. The PF does not prescribe follow-up on the EAC internal audit functions or contracting of external audits.

Audit reports<sup>19</sup> identify the internal audit function as under-resourced. It is unclear whether the introduction of computerised accounting will sufficiently address this problem.

### 4.2.4 Monitoring and reporting

The monitoring system is based on the planning and budgeting cycle described above. Traditionally it has been Activity-Based but a more Results-Based Orientation is being introduced in 2012/2013. The current monitoring and evaluation officer follows up activities by combining field visits with participation in the planning and budgeting process along with on-the-job training of staff and, when practically feasible, the National Focal Points.

Monitoring is based on the work plans summarised in the Mid-Term Expenditure Framework. Currently the quarterly management group meetings are being upgraded from information exchange to prioritisation and work plan revision meetings.

The reporting system includes monthly reporting within units, quarterly reporting to the management group, as well as mid-year and annual reports. The reporting on the Partnership Fund was done at the two annual meetings (one focused on reporting, while the second focused on planning for the coming budget period). The SC PCC and the PCC meet once a year.

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<sup>19</sup> East African Community, Lake Victoria Basin Commission: Audited Consolidated Financial Statements for the year ended 30<sup>th</sup> June 2011;

The National Focal Points expressed appreciation for the technical assistance rendered in connection with monitoring visits from the LVBC. They also expressed the need for more such visits.

The LVBC is currently in the process of active transformation of its planning, monitoring and reporting system. While the process is being undertaken with the help of an external consultant - supported by top management - it was not apparent to the evaluation team that any internal resources had been reserved to support the development of this process. The introduction of Results-Based Management is as yet not fully understood by all staff. Meanwhile, key informants indicate growing enthusiasm among staff as the system is contributing to greater managerial clarity in terms of prioritisations and follow-up.

### Conclusions

The monitoring and evaluation function is under-dimensioned in relation to the need of the National Focal Points and projects as well as the internal functions of the Commission. LVBC, through the PF, has provided capacity support to build monitoring and evaluation skills in all partner states. This support was appreciated and further support was requested by all NPFs.

Sufficiently close links between the M&E function and the introduction of Results-Based Management have yet to be established. Current M&E is by necessity activity/output focused. It is only with the introduction of the new system that the full quality-developing potential of M&E can be realised. While it is unlikely that impact will ever be measurable for an institution with LVBC's mandate, there is reasonable potential to be able to monitor results at output and outcome levels.

## 4.3 COST-EFFICIENCY

Total expenditures for the PF for the period 2003-2011 have been estimated to be about 7 MUS\$D. There is some uncertainty about the estimate since the accounting system had difficulties providing accurate annual expenses for all of the years.

It has been concluded that the PA with PF-funded activities has made significant contributions to the Purposes of the PA and the Objectives of the LVBC. The lack of measurable indicators, availability of quantitative data and the contributions from other development partners make it impossible to measure or attribute specific contributions from the PA/PF.

Although the PA provides specific areas for intervention, which have been assessed, the output that has been delivered consists of a great number of studies, financed wholly or in part by the PF, participation in a number of regional/international relevant conferences, organisation of Stakeholder and Investment Forums, contributions by the NFPs, capacity building of the LVBC and support to small project development. However, the outputs cannot be quantified, and summarised in order to be assessed, in rela-

tion to the expenditures as is done in standard cost-efficiency analyses. The accounting system does not relate the registered costs to the Purposes of the PA or the Objectives of the LVBC, which made standard cost-efficiency analysis impossible.

### Conclusions

The overall cost of the PF-funded activities is low but many of the intended outcomes are complex and based on the interaction of multiple stakeholders, and hence impossible to attribute to any single source.

A standard cost-efficiency analysis, comparing results with the cost of producing them, could not be done, since the results could not be easily summarised and the accounting system does not relate the registered costs to specific results, Purposes or Objectives.

Cost efficiency of the LVBC would increase with more systematic prioritisation, better cohesion, improved management systems (planning, accounting, monitoring).

## 4.4 COMPARATIVE ASSESSMENT OF LVBC PARTNERSHIP FUND, EAC PARTNERSHIP FUND AND THE PROPOSED LAKE VICTORIA ENVIRONMENTAL TRUST FUND

To illustrate the potential for duplication and/or synergies, and for cross-learning, the evaluation has compared the LVBC Partnership Fund, the EAC Partnership Fund and the proposed LVEMP II Environmental Trust Fund.

LVBC's governance structure for its PF is elaborate. In addition to the LVBC Secretariat, it consists of the Sub Committee to the Partnership Consultative Committee (SC PCC), the Coordination Committee (PCC), the Sector Committees and the Council of Ministers. The governance structure of the PF sometimes results in slow processes and is inflexible, often requiring high-level approval for even minor changes of budgets and work plans. This sometimes delays the implementation of activities. By contrast, the EAC governance structure for its PF consists of a Steering Committee – this seems to be more efficient than the LVBC structure.

Sida has been providing funding on an annual rolling basis; World Bank made a one-time contribution and then intended LVEMP II to replace this funding. Sida has effectively linked Finland to the PF and Finland is now a partner in the PA.

EAC has been progressing with its EAC Partnership Fund, which is governed by a Steering Committee. From the review it appears to be complying with all the best practices for the management of a Fund including: a transparent accounting system;

annual financial reports, which are audited by both an internal and an external auditor; and publishing an Annual Report on the previous year's accomplishments and the future plans. The selection of financed activities complies fully with EAC's mandate and appears to make sense to the public and the international community. In addition, EAC already has developed the documentation for a Climate Change Fund as well.

LVEMP II, which is still in the design phase, has set up a 'parallel' institutional arrangement— which could have significant consequences if and when work starts on LVBC's multi-sector coordination at national<sup>20</sup> and district levels, which will include additional sectors for coordination and application of sustainable lake basin management. LVEMP II is highly integrated into the state partners' structures and is coordinated by the LVBC. It has a Community Driven Development (CDD) approach working directly with the communities, with some coordination with the Districts/ Municipalities. In Tanzania there is also a World Bank funding project TASAF that also works directly with communities. Linkages and synergies with these existing mechanisms would be more efficient than using the PF's small amounts to try to create visibility at the community level.

The three funds are conceptualised independent of each other with no visible coordination or synergies between them. The objective of the LVBC PF is to support to LVBC in development of all sectors of LVB through studies, policy development, capacity building, co-operation and coordination; while the objective of the EAC PF is to support to EAC common market negotiations, trade facilitation, communication, integrating Rwanda and Burundi, capacity building of EAC, studies and cross-cutting issues like gender mainstreaming.

The complementarities between the EAC PF and LVBC PF are very important – there are several areas where coordination and mutual collaboration may be very useful. For example, the EAC PF and the LVBC PF Regulations are similar in structure and contents. Despite this, the management of EAC's Partnership Fund has achieved better-functioning administration of their fund. The LVBCPF has contributed to harmonising policies in the Lake Victoria Basin and plays a significant role in linking networks of relevant stakeholders ranging from academic institutions, the overall government structures, lakeshore municipalities, private sector and civil society. It has attracted several additional donors and a substantial increase in annual funding during very few years of existence.

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<sup>20</sup> For example, in Rwanda: MINELA, MINAGRI, MINALOC, MINECOFIN, MININFRA, MINIFOM, MINICOM).

## Conclusions

The comparative advantage of the LVBC PF fund has been its ability to sustain a long-term commitment, although with quite minimal funds, providing stability to the institution and enabling the LVBC to make investments in staff capacity building, providing Stakeholder and Investment Forums and providing seed money for research. Another comparative advantage is the flexibility of the mechanism in terms of allowing other funding agencies to join in the future. From the perspective of the partner states, a significant comparative advantage is the Fund's regulation to allow partner states to manage the contribution from the Fund through its ordinary government structures (contributions to the National Focal Point budgets).

A more systematic dialogue between the EAC PF and the LVBC PF managements could result in synergies and increase efficiency between the two. In addition, a stronger interface and collaborative planning between LVBC PF management and the existing basket fund arrangements at the national level might also contribute to synergies.

The EAC PF and the LVBC PF Regulations are very similar in structure and contents. Despite this, the management of EAC's Partnership Fund has achieved considerably better administration of their fund.

There is still time to ensure coordination between the future LVETF and the LVBC Partnership Fund.

The above assessment indicates that it is not a question of either the PF or the Environmental Trust Fund – they have different objectives and they complement each other. LVEMP II documentation does not seem to take the existence of the PF into consideration in its analysis, despite the fact that the PF provided substantive support for the project preparation, in particular to Rwanda and Burundi, which would seem to be a precondition for identifying possible redundancies and synergies.

## 5 Findings About Relevance

Lake Victoria and its basin have a variety of natural resources that are of local, regional and global significance, but it also suffers from overfishing, destruction of catchments areas, discharge of agro-chemicals, waste and refuse, decrease in fish biodiversity, encroachment on wildlife resources, poverty, gender inequality and a high incidence of HIV/AIDS. The evaluators have found that the Purposes of the PA are derived from the problems in and around the lake. The PF has contributed to a significant increase in available knowledge, primarily related to the environmental problem areas, but less to poverty, gender and HIV/AIDS. The work undertaken by LVBC has also contributed to an increased awareness of the Lake Victoria Basin as an interdependent region. The PA and the PF are relevant from the perspective of the problems identified although activities funded by the PF have been more limited than the Purposes of the PA would indicate.

The relevance of the PA is also within the global framework of international conventions and agreements, including the Millennium Development Goals (MDGs), such as MDG 1 on eradication of extreme poverty and hunger, MDG 7 on environmental sustainability and MDG 8 on global partnerships for development programmes. As commented on above, the PF-funded activities relate mostly to MDG 7.

In relation to the strategies of the EAC<sup>21</sup>, the evaluators have found that the PA and the PF are relevant and have made significant contributions to the implementation of the strategies.

The evaluators have also found that the support is relevant in relation to the priorities regarding regional cooperation and priority areas as expressed in the Sida strategies<sup>22</sup>. The strategies identify environment and climate change as key sectors that need to be addressed. It furthermore emphasises the need for increased regional cooperation aimed at promoting an environmentally sustainable use of natural resources, and mitigating as well as adapting to the impacts of climate change. The strategies also highlight that the support should include issues related to food security based on long-

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<sup>21</sup> Operational Strategy, Lake Victoria basin commission 2007-2010, November 2007; Protocol for Sustainable Development of Lake Victoria Basin, EAC 2004; Vision and Strategy Framework for the Management and Development of Lake Victoria Basin, EAC 2004; The third EAC Development Strategy 2006-2010, EAC November 2006.

<sup>22</sup> Sida Strategy for Support for Regional Development Cooperation in Sub-Saharan Africa (January 2002 - December 2006 extended to December 2009) and the Strategy for the Lake Victoria Basin (September 2004 – December 2006 extended to December 2009).

term sustainability, low-carbon solutions, equitable and sustainable use and protection of water resources, and democratic management and protection of resources (both oceans and fresh waters) shared by two or more countries.

The overall objective for regional cooperation, according to the new Cooperation Strategy for Africa South of Sahara<sup>23</sup> is to increase the ability and political consensus to handle stability, trade, economic integration and sustainable development, which is in line with the purposes of the PA. The Strategy explicitly mentions that the Lake Victoria cooperation shall be continued. For the EAC, the ambition is to support capacity development and to assess the possibilities for programme support.

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<sup>23</sup> Cooperation Strategy for Development Cooperation for Africa South of Sahara, January 2010 - December 2015. Ministry of Foreign Affairs Sweden.

## 6 Findings About Sustainability

Chapter 3 discusses the difficulties of measuring and attributing the contributions from the PF since there are also a number of other partners that have contributed to the same results, and no indicators are identified. It can however be concluded that the PA and the PF have contributed to the capacity building of LVBC, to coordination and knowledge generation for coping with environmental threats and for the development of the LVB natural resources, through a number of studies, informing policies, protocols and interventions.

LVBC is a permanent semi-autonomous institution of the EAC. Activities of the Commission are funded by equal contribution from the Partner States. The Protocol defines two sources of funding for the Commission, namely the contribution from Partner States and support from Development Partners. However it does leave an opening for any other source of funding that the Council may deem appropriate. The likelihood that LVBC will continue to exist, and thereby apply the skills that have been developed in the coming years, is relatively high since LVBC as an institution will likely continue to be supported by the Partner States. It is highly improbable that, in the near future, LVBC will be left without support. The sustainability of knowledge generation depends on whether it is being used or not. The evaluation has seen that the knowledge generated in studies is not used to the full extent, and proposals and recommendations are often not implemented. This hampers sustainability because studies may become out-dated over time.

The policies that have been developed with the support of the PF are sustainable results of the co-operation.

The Partnership Fund has had limited success in attracting new development partners. The global, regional and national contexts in terms of funding mechanisms have changed and evolved considerably since the PA and the PF were conceptualised. Some stakeholders felt the necessity to review the PF regulations' project selection criteria, to allow smaller projects in addition to bigger projects. According to interviewees, smaller projects and studies might be limited by the fact that the PF has had limited success in attracting new development partners or sustaining DP's support. To be sustainable, the PF should not be considered as a stand-alone fund that does not recognise other funds and/or which does not explore synergies and lessons learned.

# 7 Evaluative Conclusions

## 7.1 HAS THE PARTNERSHIP FUND BEEN AN EFFECTIVE AND EFFICIENT MECHANISM?

### *Effectiveness*

The goal of the PA is “*To contribute to an equitable and sustainable development – economic, social and environmental– to the benefit of the people living in the Lake Victoria Basin area*”. This goal is foreseen to be reached in a within a 20-year period. This was to be achieved through the development of a Shared Vision and Strategy Framework (SVSF) for the management and development of LVB. Unfortunately, after the development of the SVSF, it was never linked to the PF. The Partnership Agreement and Fund is merely *one* of all the interventions that will contribute to the sustainable development in the Basin.

The PF has supported the Purposes of the PA. The Purposes are, however, not formulated in such a way as to allow the evaluation to state if they have been achieved or not during the evaluated period. However, the conclusion is that the activities financed by the PF have contributed in a significant, but uneven way to the Purposes of the PA. Activities in the presented budgets and reports are in compliance with the Purposes of the PA. The studies that have been supported by the PF are generated by the Directives of the Council of Ministers, to support policy formulation. It is not always clear how priorities have been set and why the studies and supported coordination/harmonisation processes have been selected over alternatives (Recommendation 12 and 13). Focus has been on environmental constraints, rather than issues related to economic growth and poverty alleviation and the gender dimension has been ignored.

The Vision of the Lake Victoria Basin Commission is to have: “*a prosperous population living in a healthy and sustainably managed environment providing equitable opportunities and benefits*”, while the Mission is to “*promote, facilitate and coordinate activities of different actors towards sustainable development and poverty eradication of the Lake Victoria Basin*”. The LVBC has a very wide mandate but does not have the staff mix or competencies needed to address these complex issues in a satisfactory way. LVBC started out focusing on environmental issues. However, issues related to poverty alleviation and economic growth have not been addressed to the extent envisaged in the documents. As mentioned above, the institutional setup does not reflect the requirements to fulfill these responsibilities (Recommendation 5).

The LVBC Strategy Framework is clustered into five Policy Areas, each with a defined development objective. The evaluation has found that the PA with PF-funded activities has made significant contributions to the Development Objectives of the

LVBC. However, the lack of measurable indicators, availability of quantitative data and the contributions from other development partners make it impossible to measure the achievements of the PA Purposes or the LVBC Objectives, or attribute specific contributions from the PA/PF (Recommendation 8).

### *Efficiency*

The institutional context has improved considerably in the Basin with the institutionalisation of LVBC and its National Focal Points with the assistance of the PF. The LVBC and the PF are providing important interfaces between the EAC level and the national levels of the Partner States. Neither LVBC nor the PF have, however, been very successful in contributing to effective coordination between the PF and the different donor-funded projects.

Recent changes in planning, budgeting, accounting, monitoring and managerial follow-up indicate that current executive leadership is taking efficiency challenges seriously. Indications of this include the introduction of computerised accounting, the introduction of Results-Based planning and budgeting and improved quarterly management follow-up (Recommendation 8, 9, 10 and 11).

The system of National Focal Point Ministries in the riparian states' structures is established and functioning, and there is a significant sense of ownership on their part. The National Focal Points have been instrumental in addressing issues related to environmental and water management in the Partner States. However, constraints have been recognised regarding their ability to address multi-sector issues and coordination, which go beyond the environment and water sectors, as well as with regard to their ability to address gender and emerging climate change issues (Recommendation 7 and 14). LVBC is gaining momentum through the NFPs and an increased amount of funding is being provided to the national efforts. The specific reporting by the NFPs in budgets and annual reports could be further elaborated in order to make this work more visible.

The complexity of EAC's governance structure may have contributed to certain inefficiencies. If an appropriately accountable, yet more autonomous, institutional structure could be defined for LVBC, it would be easier to ensure efficient management of the institution. One option used by some funds is to have a smaller executive committee that meets more frequently and handles many short-term and urgent decisions, while the full Board focuses on larger and more strategic decisions, as along with approving the annual budget, work plan and grants programme (Recommendation 2).

The PA has proven to provide a modicum of flexibility for adapting to changing circumstances. However, stakeholders feel that the PF Agreement and Regulations need to be updated in order to take into account that the institutional context has improved considerably, including the current existence of various funding mechanisms, since the signing of the PA and the development of the Partnership Fund Regulations (Recommendation 4).

Another option to make the management of the PF more efficient would be to establish an independent Board charged with the governance of LVBC and the PF. Such a Board would be appointed by the appropriate EAC mechanism and be mandated to govern LVBC within a strategic framework and set of regulations defined by the EAC (Recommendation 3). The Board would guide management towards the achievement of the Vision and Strategy and would be held accountable by the EAC. The Board would appoint the Executive Secretary, decide on LVBC management policies and ensure that these contribute to the effective and efficient running of the institution. The Executive Secretary would be held accountable by the Board and would be mandated to manage the institution, including staffing and reallocations within the budget.

The outputs cannot be quantified and summarised in order to be assessed in relation to the expenditures as is done in standard cost-efficiency analyses. The accounting system does not relate the registered costs to the Purposes of the PA or the Objectives of the LVBC, which has made standard cost-efficiency analysis impossible (Recommendation 8 and 9).

The overall cost of the PF-funded activities is low, but many of the intended outcomes are complex and based on the interaction of multiple stakeholders, and are hence impossible to attribute to any single source. The cost efficiency of the LVBC would increase with more systematic prioritisation, better cohesion, and improved management systems (planning, accounting, monitoring).

## 7.2 COMPARATIVE ADVANTAGE OF THE PARTNERSHIP FUND

A comparative assessment between the LVBC PF and EAC's Partnership Fund and the Lake Victoria Environmental Trust Fund suggested by LVEMP II. The EAC and the LVBC Regulations are similar in structure and contents. Despite this, the management of EAC's Partnership Fund has achieved considerably better administration of their fund. As mentioned above, whereas LVBC PF suffers from some weaknesses, the EAC PF has succeeded in attracting several additional funders and it has increased its funding resources extremely well after a few years of operations. A lesson is that each can learn from the other. LVBC and the LVBC PF have contributed to harmonising policies in the Lake Victoria Basin and play a significant role in linking networks of relevant stakeholders ranging from academic institutions, the national government, lakeshore municipalities, private sector and civil society.

The assessment indicates that it is not a question of either the PF or the Environmental Trust Fund – they have different objectives and they complement each other. LVEMP II documentation doesn't seem to take the existence of the PF into consideration in its analysis, despite the fact that the PF has provided substantive support to project preparation, in particular to Rwanda and Burundi.

The comparative advantage of the LVBC PF has been its ability to sustain a long-term commitment, although with minimal funds, providing stability to the institution and enabling the LVBC to make investments in staff capacity building, organising and conducting Stakeholder and Investment Forums, and providing seed money for research (Recommendation 5). Another comparative advantage is the flexibility of the mechanism in terms of allowing other funding agencies to join in the future. From the perspective of the Partner States, a significant comparative advantage is the Fund's regulation to allow partner states to manage the contribution from the Fund through its ordinary government structures, as is done for the contributions to the National Focal Points.

### 7.3 COORDINATION AND HARMONISATION AND/OR ALTERNATIVE FUNDING MODALITIES

LVBC has the mandate to coordinate the development of the Lake Victoria Basin. One of the Purposes of the Partnership Agreement is to promote the coordination among the Partner States and with other actors. LVBC applies different mechanisms to achieve this coordination, such as its adherence to EAC norms and directives, the institutionalisation of the National Focal Points in each Partner State, the undertaking of Stakeholder and Investment Forum as mentioned above, and the coordination of donor-funded projects. LVBC management has recently initiated more frequent coordination meetings with the donor project coordinators of other donor-funded projects.

Currently, the project coordinators of other donor-funded projects do not participate in the project preparation process of the PF. The result is a situation with a sub-optimal harmonisation between the studies and support provided by them and the project proposals elaborated for the PF. Inputs from the project coordinators from other donor-funded projects are essential for the PF to become efficient and optimally useful.

It should also be noted that Sida provides support to various projects: EALP, LVEM-P II, MERCEP, LVRLAC on climate change and other support to districts in the basin. There has been little – if any – effective coordination between these projects and the LVBCPF. Synergies are not developed and the activities are not institutionalised in the LVBC (and other agencies). Such projects may be coordinated under the PF. The challenges often go back to an inadequate mix of competences of staff at LVBC.

While LVBC could be described as a “spider in the web”, it is clear that the National Focal Point function in the Partner States’ government structures is key to the coordination efforts at the national and sub-national levels in each country.

As mentioned earlier, the PF has provided bridge funding of LVEMP II and LWAT-SAN. A process of MTEF planning has been initiated where activities funded by different projects are synchronised. This is a useful mechanism for planning in a more integrated fashion.

*Alternative funding*

As mentioned above, the LVBC has graduated into a permanent and well-recognised institution, and discussions between the partners to the PA and the EAC could be initiated with EAC to identify the conditions for Budget Support to LVBC (Recommendation 1). This would increase the efficiency for LVBC as well as the predictability of funding, which would improve planning and the ability to coordinate activities. A precondition would likely be a well-functioning accounting system, reporting and external annual audits of the current PF. Budget Support would strengthen LVBC's ability to manage its recurrent costs more consistently and the sources of such funding would be more transparently discussed and managed. The accounting system is the same for LVBC's fund management and the PF funding, so that only one set of budgets, work plans, end-of-the-year and periodic financial reporting would be necessary.

## 7.4 RELEVANCE OF THE PARTNERSHIP AGREEMENT AND THE PARTNERSHIP FUND

The evaluators have found that the Purposes of the PA are derived from the problems in and around the lake. The PF has contributed to a significant increase in available knowledge, primarily related to the environmental problem areas, but less to economic growth, reduction of poverty and the mainstreaming of gender and HIV/AIDS (Recommendation 16). The PA and the PF are relevant from the perspective of the problems identified, although activities funded by the PF have been more limited than the purposes of the PA would indicate (Recommendation 6).

The relevance of the PA is also within the global framework of international conventions and agreements, including the Millennium Development Goals (MDGs), such as MDG 1 on the eradication of extreme poverty and hunger, MDG 7 on environmental sustainability and MDG 8 on global partnerships for development programmes. As commented on above, the PF-funded activities relate mostly to MDG 7.

In relation to the strategies of the EAC<sup>24</sup>, the evaluators have found that the PA and the PF are relevant and have made significant contributions to the implementation of the strategies.

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<sup>24</sup> Operational Strategy, Lake Victoria basin commission 2007-2010, November 2007; Protocol for Sustainable Development of Lake Victoria Basin, EAC 2004; Vision and Strategy Framework for the Management and Development of Lake Victoria Basin, EAC 2004; The third EAC Development Strategy 2006-2010, EAC November 2006.

The evaluators have also found that the support is relevant in relation to the priorities regarding regional cooperation and priority areas as expressed in the Sida strategies<sup>25</sup>. The overall objective for regional cooperation, according to the new Cooperation Strategy for Africa South of Sahara<sup>26</sup> is to increase the ability and political consensus to handle stability, trade, economic integration and sustainable development, which is in line with the purposes of the PA. The Strategy explicitly mentions that the Lake Victoria cooperation shall be continued. For the EAC, the ambition is to support capacity development and to assess the possibilities for programme support.

The PA and the PF Regulations should be updated, taking into account the changed context including the Protocol and Shared Vision, relations to other funds (EAC PF, LVEMP II Environmental Trust Fund, and Climate Change Funds) and relations with other donor-funded projects (Recommendation 4). There are several reasons why this has not happened, such as general staff limitations in the LVBC, adherence to EAC's Geographical Quota which resulted in management issues with the responsible Finance manager, and the complex approval process of the Fund through the SCPCC, the PCC and the Council of Ministers.

## 7.5 SUSTAINABILITY

The likelihood that LVBC will continue to exist in the coming years, and thereby apply the skills that have been developed, is high since LVBC as an institution will likely continue to be supported by the Partner States. The evaluation has seen that the knowledge generated in studies is not used to the full extent, and that proposals and recommendations are often not implemented (Recommendation 12). This hampers sustainability since the studies may be outdated after some time. The policies that have been developed with the support of the PF are sustainable results of the cooperation.

The LVBC has had consistent long-term support from the Partnership Fund. Similarly the contribution from the Partner States is stable and has increased. Nevertheless, as the LVBC and the National Focal Points are public agencies, they are not “financially sustainable” until the Partner States take on full responsibility for their recurrent funding. In addition, additional economic instruments may be studied and defined in order to increase funding.

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<sup>25</sup> Sida Strategy for Support for Regional Development Cooperation in Sub-Saharan Africa (January 2002 - December 2006 extended to December 2009) and the Strategy for the Lake Victoria Basin (September 2004 – December 2006 extended to December 2009).

<sup>26</sup> Cooperation Strategy for Development Cooperation for Africa South of Sahara, January 2010 - December 2015. Ministry of Foreign Affairs Sweden

The Partnership Fund has had limited success in attracting new development partners. The global, regional and national contexts in terms of funding mechanisms have changed and evolved considerably since the PA and the PF were conceptualised. Stakeholders felt the necessity to review the PF regulations of project selection criteria to allow bigger projects in addition to smaller projects. According to interviewees, smaller projects and studies might be limited by the fact that the PF has had limited success in attracting new development partners or sustaining DP's support. The PF should not be considered as a stand-alone fund that does not recognise other funds and/or that does not explore synergies and lessons learned.

## 8 Lessons Learned

The institutional context has improved considerably since the design of the PA and PF and they therefore need to be updated from time to time to reflect such changes. The PA and the PF need to reflect and recognise other currently existing funds in order to explore synergies and lessons learned. In fact, as the PF is intertwined in many of LVBC's activities, it is very difficult to evaluate PF as a 'stand-alone' activity.

The need for transparent accounting of the funds cannot be over emphasised – this includes the accounting system, internal and external audits, and timely and transparent financial reporting. Once these are in place, there is belief amongst the stakeholders that other donors will show interest in contributing funding to the PF.

Both EAC and LVBC are relatively new institutions in East Africa. The institutional context and mandates of LVBC and its National Focal Points are therefore still evolving. The National Focal Points are established in the Protocol for LVB and are part of the Institution Framework for the LVBC. They are funded by the Partner States. The challenge is that they do not have adequate capacity to coordinate activities at the national level. However this may be addressed when the roles of the NFPO and those of the MEAC Affairs are harmonised. LVBC has started out addressing environmental issues, and the natural location of the NFPs was therefore in the Ministries of Environment and Water at the national levels.

As LVBC is currently increasing its focus on economic growth and poverty alleviation, sector ministries other than Environment and Water will need to be involved. The Ministries of Environment do not have the mandate to coordinate other ministries at the national level and this causes obstacles. Such coordination is currently undertaken through the Ministries of EAC Affairs (MEACAs). However, LVBC will need to liaise with the Ministries of Planning/Finance in order to be able to integrate into the national planning processes as well as to impact/attract funds allocation for the State Budget.

LVBC is undertaking a number of studies in order to address the Basin's problems. The quality of the studies funded by PF varies in quality and usefulness. Some are of very high quality and are adding value to issues and problems. However others have some weaknesses, such as they do not use existing studies as a basis for the study, which will result in little value added. The screening of project proposals, preparation of terms of reference, selection of consultants, and ensuring of the quality of studies will need to be reinforced. The problems in LVB often – if not always – require global/international best practices in order to add value to contributing to solve complex problems. Partnerships between international and East African consultants could be encouraged for transfer of knowledge.

Climate change is hardly visible in the PA and/or in the use of the Partnership Fund. Expertise on the subject needs to be present in the management discussions on the PF. The EAC and LVBC Climate Change Strategies need to be mainstreamed. Each country now also has advanced on the institutionalisation of climate change units and climate change funds – it is of course equally important that the PA and PF establish synergies with them.

The existence and potential of the National Focal Points should be emphasised. LVBC's interface through the National Focal Points at the national level and with EAC at the regional level is important to LVBC's success.

Such networks should be used both to disseminate the results of the research conducted and as avenues for capacity building in order to prepare stakeholders to better absorb investments for the benefit of the region. The limited efforts that have been made in this area, mainly in the form of on-the-job training for national focal points and dissemination efforts at forums and meetings, have been appreciated and in some cases have been clearly effective (for example, national focal point preparatory work for inclusion in LVEMP II).

While there are some managerial challenges within the LVBC, it is also clear that current leadership is addressing these problems in what appears to be a systematic and effective way. It is the impression of the evaluation team that such efforts have been given increased priority under the new leadership.

## 9 Recommendations<sup>27</sup>

### *The PA and the PF*

1. The international community is increasingly providing Budget Support or Programme Support to the national governments and we recommend that a discussion on the opportunity to establish a Budget Support Mechanism for the LVBC. This would enable LVBC to integrate its recurrent costs within one budget<sup>28</sup> and the co-funding arrangements with EAC and the Partner States for future sustainability will be more transparent. Preconditions would include solid and well functioning accounting and a results-based reporting system.
2. For more efficient management of the PF, we recommend the LVBC to create a smaller executive committee that meets more frequently and handles many short-term and urgent decisions, while the full Board focuses on larger and more strategic decisions, as well as approving the annual budget and work plans.
3. Another option for more efficient management of the PF is to establish an independent Board charged with the governance of LVBC, appointed by the appropriate EAC mechanism and mandated to govern LVBC within a strategic framework and set of regulations defined by the EAC.
4. It is recommended to update the PA and the PF Regulations, taking into account the changed context, including the Protocol and Shared Vision, relations to other funds (EAC PF, LVEMP II Environmental Trust Fund, and Climate Change Funds) and relations with other donor-funded projects.

### *LVBC*

5. PA partners' efforts and PF funding should continue to focus on LVBC's role in knowledge development, pre-project work, coordination, capacity building and harmonisation.
6. In compliance with the Protocol (in particular Article 3 – the scope of cooperation), LVBC should be supported to develop a Multi-Sector Development plan for LVB.

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<sup>27</sup> Recommendations should be implemented in the short to medium term – during the next three year period.

<sup>28</sup> Other donor-funded projects will still contribute towards LVBC's budget, for example temporary payment of staff salaries

7. The PF, LVBC and Partner States should explore ways of systematically assessing the capacity development needs of NFP-functions.
8. LVBC should proceed with the introduction of Results-based Management, which can contribute to greater transparency in LVBC Work plans.
9. The accounting system should register costs related to the purposes of the PA or the objectives of the LVBC, in order to allow cost-efficiency analyses.
10. The close links between the M&E function and the introduction of Results-Based Monitoring need to be emphasised. Current M&E is activity/output focused. It is only with the introduction of the new system that the full quality-developing potential of M&E can be realised.
11. The investment in computerisation of the accounting system should continue, together with capacity building on its use and potential for project coordinators and managers. The aim should be for the system to be used for analysis of cost efficiency, cost comparisons across activities rather than merely for budgetary tracking and expenditure-volume follow-up.
12. The quality of the studies funded by PF varies in quality and usefulness. Some are of very high quality and are adding value to issues and problems. However others have some weaknesses such as that they do not use existing studies as a basis for the study, which will result in little value added.
13. The screening of project proposals, preparation of terms of reference, selection of consultants, and ensuring quality of studies should be reinforced.
14. It is recommended to create an LVBC Unit in the Planning Ministries of member countries to provide a vehicle to address Multi-Sectoral Planning and access to funding through the State Budget. In the short term the most feasible options would be to have staff from Ministry of Planning seconded to the Ministry responsible for EAC Affairs who have focal points for LVBC.
15. LVBC is gaining momentum through the NFPs and an increased amount of funding is provided to the national efforts. It is recommended to elaborate further on the specific reporting by the NFPs in the budgets and annual reports in order to make this work more visible.
16. It is recommended to ensure that cross-cutting issues, such as gender and human rights are mainstreamed.

# Annex 1 – Terms of Reference

## **EXTERNAL EVALUATION OF THE PARTNERSHIP AGREEMENT FOR SUSTAINABLE DEVELOPMENT OF LAKE VICTORIA BASIN**

### **1. EVALUATION PURPOSE**

The evaluation shall gather and analyse data on effectiveness, efficiency and sustainability of the Partnership Agreement and the Partnership Fund, as well as lessons learned, in order to provide Lake Victoria Basin Commission (LVBC), Sweden and other interested partners with recommendations that would inform the preparation and design of a possible next phase of the evaluated intervention.

The Evaluation shall focus on the time period 2006-2012. Even though the evaluation will focus on this time period, the assignment shall assess the findings in relation to developments as from the start of the Partnership Agreement in April 2001, through the use of the findings and recommendations from the Mid-Term Review 2001- 2005<sup>29</sup>.

### **2. BACKGROUND**

The Lake Victoria Basin Commission is charged with the responsibility of coordinating initiatives geared towards promoting sustainable utilization and management of natural resources and the protection of environment within the Lake Victoria Basin. One of the main funding streams supporting the Commission in its mandate is the Partnership Fund established under the Partnership Agreement signed between EAC and five development partners (Government of Sweden<sup>30</sup>, Norway and France, the World Bank and East African Development Bank). The management of the Partnership Fund is guided by the Regulations of the Partnership Fund while the overall supervision is by the Partnership Consultative Committee. More detailed information on e.g. the legal and policy basis of the Partnership Agreement and Partnership Fund, as well as purposes, implementation strategy and institutional framework, can be found in Annex 1.

It is now slightly over a decade since the Partnership Agreement was signed and effected by establishment of a Partnership Fund which was meant to support implementation of activities that contribute to the purposes of the Agreement. Among the key contributors to the Fund has been the Government of Sweden. The World Bank and the

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<sup>29</sup> Mid-Term Review of the EAC Partnership Fund for Lake Victoria (2001-2005), Final Report, October 2005.

<sup>30</sup> Sweden has contributed c. MSEK 36 to the Partnership Fund 2002-2011.

East African Development Bank made a one-off payment while the Government of Norway supported the Partnership through the support of Mt. Elgon Regional Ecosystem Conservation Programme. The Government of Finland joined the Partnership Fund in 2011. The Government of France supported issues related to safety and security of Lake Victoria Basin.

The Financing Agreement under the Government of Sweden comes to an end during the FY 2011–2012; a time when the Lake Victoria Basin Commission has finalized its Strategic Plan (2011–2016) and in slightly less than a year after the Government of Sweden commissioned and launched its study on Swedish Support in the Lake Victoria Basin in the last 10 years. During this period, some key miles achieved through the Partnership include: the Protocol for sustainable development of LVB; the Shared vision and strategy framework for management and development of LVB; support to completion of the LVEMPII<sup>31</sup>, EALP<sup>32</sup>, LVWATSAN<sup>33</sup> (no Swedish funding), MEREC<sup>34</sup> and activities in the Republics of Rwanda and Burundi before joining the EAC; several studies undertaken by the Fund have informed formulation of programmes and policies in the management of resources within the Basin; and capacity building of the LVBC.

Substantial progress have been made since the signing of the Partnership Agreement, however, this has largely been at policy level which in effect has created a conducive environment for piloting and implementing some investment programs in the Basin such marine transport, aquaculture development and hydro power projects. This notwithstanding, a lot remains to be done and in particular supporting the Commission and stakeholders to achieve the envisaged vision and aspirations in the 1<sup>st</sup> EAC Development Strategy of translating the Basin into an Economic Growth Zone and the Shared Vision of having a “prosperous population living in health and a sustainably managed environment that provide equitable opportunities and benefits”.

There is already an existing institutional and legal framework that is conducive to facilitating the vision. Building on the achievements made in the last 10 years that the Commission and its predecessor the LVDP made and in particular on policy formulation and requisite studies – there is need to re-focus to tangible developmental agenda that would spur economic development in the Basin.

The Partnership Agreement and Partnership Fund have been externally reviewed once before (Mid-Term Review, 2005), but this is the first external evaluation since LVBC came into existence.

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<sup>31</sup> Lake Victoria Environmental Management Project, Phase II (World Bank, GEF and Sweden).

<sup>32</sup> Lake Victoria Basin HIV and AIDS Partnership (Sweden and Norway)

<sup>33</sup> Lake Victoria Water and Sanitation Programme (African Development Bank))

<sup>34</sup> Mount Elgon Regional Ecosystem Conservation Programme (Norway and Sweden)

### 3. STAKEHOLDERS

Primary users of the results of the evaluation are the Parties to the Partnership Agreement and institutions and implementers actively involved in the Partnership Agreement.

### 4. EVALUATION QUESTIONS

The Evaluation should answer the following main questions, among others:

- Have the Partnership Fund been an effective and efficient mechanism to deliver on the objectives of the Partnership Agreement and the objectives and vision of LVBC?
- What is the comparative advantage of the Partnership Fund in relation to other support to LVBC
- Have the Partnership Agreement been useful for coordination and harmonization from the perspectives of LVBC as well as financing partners or could any alternative funding modalities be considered in order to strengthen LVBC in carrying out its mandate?

More specifically, the evaluation should answer, but not be limited to, the following questions:

#### *Effectiveness*

Has the intervention achieved its objectives or will it do so in the future and to what extent are the outcomes a result of the intervention? For example, to what degree has the Partnership assisted the EAC to explore the opportunities for development in LVB and established mechanisms to address socio-economic and environmental problems in the Basin? Have the efforts put in place to identify investment opportunities been successful? What does the trend look like for resource mobilization by the EAC over the last ten years for implementation of projects and programmes in the Lake Victoria Basin?

#### *Efficiency*

Does the quantity and quality of the results of the intervention justify the quality and quantity of the means? For example, has the coordination of development efforts undertaken by various actors within the Basin been efficient and which new actions are required to enhance coordination? Has capacity strengthening of the Commission and other concerned local institutions and organizations been effective?

#### *Sustainability*

The evaluation shall specifically look at the trend for Partner State financial contributions to LVBC from a sustainability perspective in relation to the intervention.

### 5. LESSONS LEARNED AND RECOMMENDATIONS

Based on the evaluation questions above, the Consultant shall provide lessons learned and actionable recommendations to LVBC, financing partners and other primary stakeholder that would improve effectiveness, efficiency and sustainability of the Partnership Agreement and the Partnership Fund and that would strengthen LVBC to carry out their mandate. The Consultant should provide recommendations that would strengthen a result based management approach to planning, implementation and monitoring. The Consultant should also provide recommendations on whether the comparative advan-

tage of the Partnership Fund could be strengthened and whether any alternative cooperation modality, than the Partnership Agreement and Partnership Fund, would strengthen LVBC as well as harmonization, alignment and coordination.

## 6. METHODOLOGY

The Consultant shall describe and justify the methods chosen in the tender documentation. Sources of information could, for example, include interviews, meetings, questionnaires, programme documents, review reports. Once the assignment has started, LVBC and Sweden will assist by providing necessary documents as well as identifying relevant institutions and individuals. Visits to all five LVBC countries are envisaged. A debriefing to LVBC and Sweden shall be given after the field work has been concluded.

The evaluation shall be performed in accordance with the OECD/DAC “Quality Standards in Development Evaluations”<sup>35</sup>.

The Consultant will keep a focus on aspects related to the perspectives of people living in poverty and the rights perspective<sup>36</sup>, the Swedish Strategy for Sub-Saharan Africa 2010-2015 as well as the Paris Declaration principles.

## 7. REPORTING

A draft and a final evaluation report shall be produced by the Consultant.

The evaluation report shall include an Executive Summary of a maximum of 2,500 words, and a main text of a maximum of 15,000 words. Additional information may be provided in annexes. The report should use the format presented in Annex 2.

All reports shall be written in the English language and be of high linguistic and stylistic quality. All reports shall be submitted in both word and pdf format.

## 8. WORK PLAN AND SCHEDULE

The Evaluation shall start in June 2012 and be presented to the LVBC Extra Ordinary Partnership Consultative Committee (PCC), tentatively in October 2012.

It is envisaged that the assignment will require six weeks to complete.

| <b>Deliverable</b>                     | <b>Completion (indicative number of weeks after signing the Contract)</b> |
|--|---|
| Inception meeting with LVBC and Sweden | 2   |
| Draft evaluationreport                 | 6   |
| Final evaluationreport                 | Within 2 weeks of receiving comments                                      |

<sup>35</sup> <http://www.oecd.org/dataoecd/55/0/44798177.pdf>

<sup>36</sup> <http://www.sweden.gov.se/content/1/c6/14/32/33/14dceded.pdf>

|                                       |                                     |
|---------------------------------------|-------------------------------------|
|                                       | from LVBC and Sida                  |
| Presentation of the evaluation report | Tentatively at PCC in November 2012 |

## 9. EVALUATION TEAM

The team as a whole shall have the professional competence needed for carrying out the evaluation according to the requirements in these Terms of Reference. The Team Leader (Category I level) shall have extensive experience of evaluations and development, with at least ten years' experience of work in this area. Some of the experience shall be from the African continent. He/she shall have proven positive track record of supervising and coordinating evaluation teams.

Apart from the competence provided by the Team Leader, competence in at least the following professional disciplines shall be included in the team (Category II level):

- Socio-economic development
- Institutional development and capacity building
- Financing modalities

Competence in environmental sciences/natural resources management would be an added value.

The language requirement for all team members is fluency in English. At least one team member must have French language capability.

## 10. BUDGET

All five LVBC countries are to be visited. It is envisaged that the assignment can be completed within six weeks, out of which three weeks are spent in the field. The ceiling amount for the budget is SEK 700,000.

## 11. KEY DOCUMENTS

The Consultant shall be expected to review, among others, the following documents:

1. The EAC Development Strategies, including the first EAC Development Strategy (1999-2000) that designated Lake Victoria Basin an economic Growth zone.
2. The Shared Vision and Strategy Framework for Management and Development of LVB.
3. The Protocol for Sustainable Development of LVB, 2004.
4. The Partnership Agreement, signed April 2001.
5. The Regulations for the Partnership Fund and rules and procedures for the Partnership Consultative Committee, adopted November 2002.
6. LVBC annual reports, annual work plans and budgets.
7. LVBC planning and monitoring instruments.
8. Agreements between Sweden and LVBC on Swedish contributions to the Partnership Fund.
9. Partnership Fund documents, such as:
  - Annual work plans and budgets
  - Annual and semi-annual reports

- Minutes from meetings of the Partnership Consultative Committee and the sub-committee for the Partnership Fund
  - Internal monitoring and follow up reports
  - Audit reports
  - Consultancy reports
  - Workshop minutes/reports
10. Mid-Term Review of the EAC Partnership Fund for Lake Victoria (2001-2005), Final Report, October 2005.
  11. Management Response to the Mid-Term Review of the EAC LV Partnership Fund (2001-2005), Embassy of Sweden, Nairobi, 26 March 2006.
  12. The Lake Victoria Initiative, Ten Years of Sweden-EAC Partnership, Embassy of Sweden, Nairobi, April 2011.

## Annex 2 – The Consultants Work Plan

Table 6. The Consultants' Itinerary and Work Plan

|  | <b>Gunilla Göransson</b>   | <b>Björn Ternström</b>                          |
|--|--|---|
| 24 <sup>th</sup> July 2012                             | Travel Toronto – Nairobi;<br>Arrival Nairobi   | Travel Stockholm – Nairobi -<br>Arrival Nairobi |
| 25 <sup>th</sup> – 27 <sup>th</sup> July               | Work in Nairobi, Kenya   | Work in Nairobi, Kenya                          |
| 28 <sup>th</sup> July                                  | Travel to Kisumu, Kenya  | Travel to Kisumu, Kenya                         |
| 30 <sup>th</sup> – 31 <sup>st</sup> July               |  | Work at LVBC in Kisumu,<br>Kenya                |
| 30 <sup>th</sup> July – 4 <sup>th</sup> of Au-<br>gust | Work at LVBC in Kisumu   |   |
| 1 <sup>st</sup> – 5 <sup>th</sup> August               |  | Work with NFP, MEACA<br>and other in Burundi    |
| 6 <sup>th</sup> -8 <sup>th</sup> August                |  | Work with NFP, MEACA<br>and others in Rwanda    |
| 6 <sup>th</sup> – 7 <sup>th</sup> August               | Work with EAC, Arusha  |   |
| 9 <sup>th</sup> – 14 <sup>th</sup> August              | Work in Tanzania, including<br>- Draft report writing<br>with Mr Ternström<br>before his departure<br>on August 14 <sup>th</sup> and<br>- Working with the<br>NFP, MEACA and<br>others in Tanzania |   |
| 14 <sup>th</sup> August                                |  | Return to Sweden                                |
| 15-17 <sup>th</sup> August                             | Work with NFP, MEACA<br>and others in Uganda   |   |
| 20 <sup>th</sup> – 27 <sup>th</sup> August             | Work with NFP, MEACA<br>and others in Nairobi<br>Consolidation of draft report<br>Presentation to Swedish em-<br>bassy and LVBC  |   |
| 27 <sup>th</sup> August                                | Travel to Toronto  |   |

# Annex 3 – List of Persons Met

## **Nairobi, Kenya**

- Katarina Perrolf, First Secretary, Senior Program Manager (Water Resources), Regional Development Cooperation Section, Swedish Embassy
- Elphas Ojiambo, Senior Programme Manager/Anti-Corruption, Economic Integration, Regional Development Cooperation, Swedish Embassy
- Karin Andersson, Counsellor, Head of Section – Regional Development Cooperation, Swedish Embassy
- Charles M. Ngunjiri, Senior Assistant Director, Productive and Services, Ministry of The East African Community
- Joseph Mungerere, Assistant Director
- Dr. Richard K. Sigei, Economist/Statistician, LVBC NFP, Ministry of Environment and Mineral Resources
- Julius Kamau, Forest Specialist, Embassy of Finland

## **LVBC, Kisumu**

- Dr. Canisius Kanangire, Executive Secretary
- Lily Kisaka, Senior Operations Officer
- Stanley Matowo, Deputy Executive Secretary (Finance and Administration)
- Omari Mwinjaka, Water Resources Management Officer
- Doreen A. M. Othoro, HIV/aids Technical Specialist
- Charles-Martin Jjuuko, Communications and Development Awareness Officer
- Mathias Chemonges, Forest Management Specialist – MERECP
- Ally-Said, Matano, Programs Officer (Project Development and Partnerships)
- Raymond Magodo, Regional Project Coordinator LVEMP II
- Vicent Hagono, Coordinator MCLV Project
- Richard Kezimand, Senior Accountant
- Alex Makunzi, Legal Officer
- Robert Ndieka, M&E Officer
- Richard Goldman Ebongo, Senior Procurement Officer
- Joshua Turinawe, Procurement Management Unit
- Richard G. Ebong, Senior Procurement Officer

## **East African Community Secretariat, Arusha**

- Brian Ochami Oriende, Climate Change Coordinator
- Dr. James N. Njagu, Principal Resources Mobilization Officer
- Tareto Salay Mbise, Senior Budget Officer
- Perpetue Miganda, Principal Gender and Community Development Officer
- Tharcisse Kadede, director of Planning
- Charles N. Mukiri, Principal Internal Auditor
- Kamanze Wycliffe, Internal Auditor
- Habimana Evariste, Internal Auditor

**Dar es Salaam, Tanzania**

- Eng. Christopher N. Sayi, Permanent Secretary, Ministry of Water
- Eliabi Chodota, Director Social Sectors, Ministry of East African Affairs
- Dorah Neeema, Community Development Officer, Ministry of East African Affairs
- Mwanamkuu Mwanyika, LVBC Assistant National Focal Point Officer (ANFPO), Ministry of Water
- Tausi Kilize, Ministry of Water
- Estella Mgalla, Community Development Officer, Ministry of Water
- William Mabula, Ministry of Water, LVBC National Focal Point, steering committee member NBI Water Resources
- Thomas Chali J. Vice Presidents' Office – Environment

**Bujumbura, Burundi**

- Christophe Gahungu, National Focal Point Officer LVBC, Min de l'Eau, de l'Environnement, d'Aménagement de Territoire et de l'Urbanisme
- Epimaque Murengerantwari, Permanent Secretary, Min de l'Eau, de l'Environnement, d'Aménagement de Territoire et de l'Urbanisme
- Richard Mdikuriyo, Advisor (and NFP counterpart), Min EAC
- Alexis Nyongera, Coordinateur des Infrastructures et des Secteurs Productifs, Min EAC
- Dr ThieddéeNdindurwaha, coordinateur de EALP, Min de la Sante Publique et de la lutte contre le Sida
- Bonaventure Ndayishimiye, Directeur de la Planification Locale, Ministère des Finances et de la Planification du Développement Economique
- Isidore Sindayikengera, Ministère des Finances et de la Planification du Développement Economique

**Kigali, Rwanda**

- Remy Norbert Duhuze, National Focal Point LVBC, Director, Environmental Regulation and Pollution Control Unit, Rwanda Environmental Management Authority (REMA), Min of Natural Resources
- Nathan Gashayira, Director of Economic, Infrastructure and Productive Unit, Ministry of EAC
- Fred Nzasabimana, Meteorology and Environment Management Professional, Ministry of EAC

**Entebbe and Kampala, Uganda**

- Sowed Sewaguude, Senior Water Officer, National Focal Point LVBC
- Wilber Bateisibwa, Secretary General, Lake Victoria Region Local Authorities Co-operation (LVRLAC)
- Wycliffe Tumwebaze, Sr. Water Officer
- Edith Nsajja Mwanje, Permanent Secretary, Ministry of East African Community Affairs
- Edward Sebina, Ministry of East African Community Affairs

## Annex 4 – List of Reference Documents

- African Development Bank: Eastern Africa Regional Integration Strategy Paper 2011 - 2015 (Revised Draft for Regional Team Meeting) REGIONAL DEPARTMENTS – EAST (OREA/OREB), OCTOBER 2010
- African Development Group: No 109 - April 2010 The First Africa Region Review for EAC/COMESA
- African Water Initiative: Instrument for the Establishment of the African Water Facility Special Fund; African Development Bank, September 2005
- Alpex: Final Report on Institutional Capacity Needs Assessment for the Lake Victoria Basin Commission, August 2010
- CAMCO: Draft Climate change Strategy for the Lake Victoria Basin Region
- EAC – ASTRADS, Nairobi: Development of an EAC Secretariat Resources Mobilization Policy and Strategy, Final Report, Final Report, November 2010
- COMESA, EAS and SADC: Programme on Climate Change Adaptation and Mitigation in the Eastern and Southern Africa (COMESA-EAC-SADC) Region, Nov 2011
- EAC: EAC Strategic Plan for Gender, Youth, Children, Persons with Disability, Social Protection and community Development (2012-2016), EAC Secretariat, Arusha, Tanzania, March 2012
- EAC: Final Draft Report on Gender Audit for EAC, by Mary Rusimbi & Ruth Meena, July, 2012, prepared for the EAC Secretariat, Arusha, Tanzania
- EAC – Gender Mainstreaming Strategy for EAC Structures, Organs, Institutions (2012- 2014), Prepared by Mary Rusimbi and Ruth Meena, July, 2012
- EAC Secretariat: Operational Modalities for the EAC Climate Change Fund, 3<sup>rd</sup> Draft, Arusha, Tanzania, May 2012
- EAC LVBC: report of the 13<sup>th</sup> Meeting on the Task Force on the Development of New Water Release and Abstraction Policy for Lake Victoria Basin, 15<sup>th</sup> March 2012, Lemigo Hotel, Kigali, Rwanda, (LVBC/TF – LVWL/01/03/2012)
- EAC: 17<sup>th</sup> Meeting of the Council of Ministers, AICC, Arusha, Tanzania, 27<sup>th</sup> February 2009; Report of the Meeting, (EAC/CM 17/2009)
- EAC: 18<sup>th</sup> Meeting of the Council of Ministers, AICC, Arusha, Tanzania, 4<sup>th</sup> Sep, 2009, Report of the Meeting, Report of the Meeting, (Ref: EAC/CM 18/CC/2009)
- EAC: 19<sup>th</sup> Meeting of the Council of Ministers, AICC, Arusha, Tanzania, 13-18<sup>th</sup> November 2009, Report of the Meeting, (Ref: EAC/CM 19/CC/2009)
- EAC: 20<sup>th</sup> Meeting of the Council of Ministers, AICC, Arusha, Tanzania, 19<sup>th</sup> – 26<sup>th</sup> of March, 2010, Report of the Meeting (Ref: EAC/CM 20/CC/2010)
- EAC: 21<sup>st</sup> Meeting of the Council of Ministers, AICC, Arusha, Tanzania, 22<sup>nd</sup> Nov – 1<sup>st</sup> of December 2010, Report of the Meeting (Ref: EAC/CM 21/CC/2010)
- EAC: 22<sup>nd</sup> Meeting of the Council of Ministers, AICC, Arusha, Tanzania, 11<sup>th</sup> – 15<sup>th</sup> of April, 2011, Report of the Meeting (Ref: EAC/CM 22/CC/2011)
- EAC: 23<sup>rd</sup> Meeting of the Council of Ministers, AICC, Arusha, Tanzania, 5- 9 September 2011, Report of the Meeting (Ref: EAC/CM 23/CC/2011)
- EAC: East African Community Climate Change Master Plan 2011-2031

- EAC: East African Community climate Change Policy
- EAC: Climate change Strategy (2011-2016), final Draft, August 2011
- EAC Secretariat: Institutional Review of EA, Organs and Institutions, March, 2011, Kigali, Rwanda, Final Report
- East African Community: Regulations for the EAC Partnership Fund
- East African Community: Partnership Fund Annual Report Financial Year 2009/2010;
- East African Community Partnership Fund Annual Report financial year 2009/2010
- East African Community: Protocol for Sustainable Development of Lake Victoria Basin, 29<sup>th</sup> November, 2003
- East African Community: the Vision and Strategy Framework for Management and Development of Lake Victoria Basin;
- East African Community: Regulations for the Lake Victoria Basin Partnership Fund
- East African Community: Lake Victoria Regional Local Authorities Cooperation: Memorandum of Understanding: 12<sup>th</sup> March 2012;
- East African Community – Lake Victoria Basin Commission: Draft Strategic Plan (2011-2016)
- EAC: Mission by the EAC Resource Mobilization Office to EAC Organs and Institutions on EAC Resource Mobilization, Report of the Mission, 4<sup>TH</sup> TO 13<sup>TH</sup> April 2011
- East African Community, Lake Victoria Basin Commission: Audited Consolidated Financial Statements for the year ended 30<sup>th</sup> June 2011;
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- LVBC Secretariat: Report of the 13th Meeting of the Partnership Consultative Committee, Kisumu, Kenya, 27th March, 2009 (REF: EAC/LVBC/PCC/13/2009)
- LVBCCL Kisumu Declaration
- East African Community – Lake Victoria Basin Commission Secretariat: the 14<sup>th</sup> meeting of the Partnership Consultative Committee, Kampala, Uganda, 4<sup>th</sup> May 2010;
- LVBC Secretariat: Report of the 15<sup>th</sup> Partnership Consultative Committee, Imperial Hotel, Kisumu, Kenya 29<sup>th</sup> April, 2011 (Ref: EAC/LVBC/PCC/15/2011)
- LVBC Secretariat: Report of the 16<sup>th</sup> Partnership Consultative Committee, Silver Springs Hotel, Nairobi, Kenya, 12<sup>th</sup> June 2012 (Ref: EAC/LVBC/PCC/16/2012)
- East African Community – Lake Victoria Basin Commission Secretariat: the 16<sup>th</sup> Meeting of the Partnership Consultative Committee, 11<sup>th</sup> – 12<sup>th</sup> June 2012, Silver Springs Hotel, Nairobi, Kenya
- East African Community – Lake Victoria Basin Commission Secretariat – Internal audit Report National Focal Point Offices; April 2010
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- East African Community, Lake Victoria Basin Commission Secretariat: Analysis of Trade in Lake Victoria Ports and Basin, 2011;

- East African Community: Medium Term Expenditure Frame Work (2012/13 – 2014/15) Annex to the EAC Budget for the Financial Year 2012/2013
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- East African Community/Lake Victoria Basin Commission: Report of 16<sup>th</sup> Partnership Coordination Committee, Silver Springs Hotel, Nairobi, Kenya 12<sup>th</sup> June 2012;
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- EAC LVBC: Shared Vision and Strategy Framework for Management and Development of LVB, February 2007.
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- East African Community Secretariat: Inaugural Meeting of the Sectoral Council for Lake Victoria Basin Commission, EAC, Arusha, 30<sup>th</sup> July 2004; report of the 1<sup>st</sup> Meeting, July 2004;
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- East African Community, Lake Victoria Basin Commission: Jointly with the Lead Partners Interagency Network Forum (LPIANF): 2<sup>nd</sup> Annual Lake Victoria Basin Stakeholders Forum – Celebrating 10<sup>th</sup> Anniversary of the East African Community – Kisumu Declaration, 27<sup>th</sup> – 28<sup>th</sup> October 2009
- East African Community – LVBC: Monitoring Plan 2008-2009, 9<sup>th</sup> Meeting of the Subcommittee of the Partnership Consultative Committee, Mwanza, Tanzania, 31<sup>st</sup> March 2008, (RF: EAC/LVBC/SCPCC/9/MP/2008)
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# External Evaluation of the Partnership Agreement for Sustainable Development of Lake Victoria Basin

This is an evaluation of the Partnership Agreement (PA) for sustainable development of the Lake Victoria Basin and the Partnership Fund (PF) created to support activities under the Agreement. The evaluators found that the activities financed by the PF have contributed in a significant way to the purposes of the PA. However, the lack of measurable indicators, availability of quantitative data and the contributions from other development partners make it impossible to exactly measure to what extent the purposes have been achieved, or to attribute specific contributions to the PA/PF. The evaluation has found several challenges to efficient management of the PF related to deficiencies in planning, budgeting, accounting, monitoring and managerial follow-up.

SWEDISH INTERNATIONAL DEVELOPMENT COOPERATION AGENCY

Address: S-105 25 Stockholm, Sweden. Office: Valhallavägen 199, Stockholm

Telephone: +46 (0)8-698 50 00. Telefax: +46 (0)8-20 88 64

Postgiro: 1 56 34-9. VAT. No. SE 202100-478901

E-mail: [info@sida.se](mailto:info@sida.se). Homepage: <http://www.sida.se>

