



# ASSESSMENT OF DEVELOPMENT RESULTS UGANDA

EVALUATION OF UNDP CONTRIBUTION



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**ASSESSMENT OF DEVELOPMENT RESULTS**  
EVALUATION OF UNDP CONTRIBUTION **UGANDA**

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#### ASSESSMENT OF DEVELOPMENT RESULTS: EVALUATION OF UNDP CONTRIBUTION – UGANDA

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# FOREWORD

The Evaluation Office of the United Nations Development Programme (UNDP) conducts independent evaluations of UNDP contributions to development results through its country programmes. These evaluations, titled Assessments of Development Results (ADRs), evaluate the relevance and strategic positioning of UNDP support and contributions to the country's development over a period. The purpose of an ADR is to generate lessons for future country-level programming and to contribute to the organization's effectiveness and substantive accountability. This report presents the findings and recommendations of an ADR conducted in Uganda, with a time-frame covering country programmes from 2001 to 2009. More specifically, this ADR provides forward-looking recommendations to assist UNDP Uganda and its partners in formulating an action plan for the next programming cycle (2010–2014).

The evaluation looked at the range of support provided by UNDP to Uganda in the areas of poverty reduction, sustainable environment, democratic governance, and crisis prevention and recovery in a post-conflict and human development context. Uganda has made significant progress in social and economic development in the past two decades and is moving steadily towards sustainable growth and poverty reduction. In regions affected by conflict, Uganda is in the process of transitioning to recovery. There have been considerable achievements in ensuring a stable macroeconomic environment and progress towards achieving the Millennium Development Goals (MDGs).

The government has adopted various national strategies to address development challenges and post-conflict reconstruction. The Poverty Eradication Action Plan has been implemented for the past decade, and the government has

prepared the Peace, Recovery and Development Plan and the Karamoja Integrated Disarmament and Development Programme in order to address post-conflict and development issues in the greater north. Efforts are underway to develop a National Development Plan, a long-term strategy that is intended to tie together various policy frameworks, to maximize achievements made so far and build on opportunities, and to address the challenges that constrain social and economic development in the country. The international community, including various UN agencies, has played an important role in supporting national development strategies. Despite trends showing solid economic growth, Uganda faces numerous challenges, which include tackling regional disparities in poverty, high population growth, reducing infant and maternal mortality, strengthening the capacities of public management institutions and minimizing the effects of climate change.

The evaluation found that UNDP contribution has been significant in terms of responsiveness to national priorities and needs. Amid a competitive aid environment, particularly one predisposed to budget support, UNDP maintained its relevance. In strengthening democratic governance, support provided by UNDP to institutions at the national and local level has been important. UNDP made a significant contribution in post-conflict recovery by supporting the preparation and operationalization of policy related to return, strengthening government systems to better respond to post-conflict recovery and minimizing risk to human security. Consistent support was provided to government efforts in monitoring progress in achieving the MDGs. Nevertheless, there are a number of remaining areas in which UNDP can provide valuable assistance, especially in governance reforms and participatory local governance, post-conflict recovery and addressing some areas of MDGs.

Reducing regional disparities and strengthening governance systems, both at the national and local levels, will continue to be an essential precondition for sustainable development and for recovery and transition in northern Uganda. The evaluation recognizes the importance of continued UNDP engagement in priority areas where enhanced national capacity and ownership of development processes can lead to significant results. The evaluation suggests that UNDP should ensure that all programme interventions are oriented to informing policy formulation and provide technical support to the government. To maximize results in areas central to the UNDP mandate and to build on its comparative advantages, the evaluation recommends that UNDP become more strategic in its focus. In post-conflict recovery, it is suggested that UNDP continues advocating and supporting peace-building initiatives together with support to recovery and human security. UNDP should also make a stronger commitment to addressing cross-cutting issues, particularly gender, environment and HIV/AIDS.

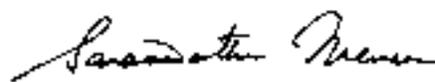
This report would not have been possible without the strong interest and support of numerous officials of the Government of Uganda, at both the national and local levels. I would like to offer sincere thanks to Aston Kajara, State Minister for Investment, and Abel Rwendeire, Deputy Chairman, National Planning Authority. The team is also indebted to civil society and non-governmental organization representatives, the donor community of Uganda and the United Nations Country Team, all of whom generously gave their time and contributed frank views.

A number of people have contributed to this report. In particular, the evaluation team composed of Christian Bugnion (Team Leader), Betty Bigombe

(Senior International Evaluator), Rose Azuba Musoke (National Expert) and the UNDP Evaluation Office team member and Task Manager Vijayalakshmi Vadivelu. I would like to express my special thanks to Betty Bigombe, former Minister for Pacification, for the valuable contribution to the evaluation. I also wish to thank Chelsey Wickmark for her background research and Cecilia Corpus, Thuy Hang To and Anish Pradhan for their administrative support. In addition, I would like to express my appreciation to Alain Thery and David Rider Smith, the external reviewers of the ADR report.

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I hope that the findings and recommendations of this report will assist UNDP in responding to the country's challenges and provide broader lessons that may be of relevance to UNDP and its partners internationally.



Saraswathi Menon  
Director, Evaluation Office

# CONTENTS

## Foreword

## Acronyms and abbreviations

## Executive summary

### 1. Introduction

- 1.1 Rationale for the evaluation
- 1.2 Purpose and scope
- 1.3 Method
- 1.4 Evaluation criteria
- 1.5 Limitations

### 2. National context

- 2.1 Structure of the state
- 2.2 Demographic trends
- 2.3 Economy and employment
- 2.4 National development planning
- 2.5 Poverty and human development
- 2.6 Security and conflict resolution
- 2.7 Reducing risk of HIV/AIDS
- 2.8 Gender equity
- 2.9 Sustainable environment
- 2.10 National development challenges
- 2.11 Development assistance

### 3. UNDP and the UN in Uganda

- 3.1 UNDAF and second UNDP country programme (2001–2005)
- 3.2 UNDAF and third UNDP country programme (2006–2009)
- 3.3 UNDP response and programming portfolio
- 3.4 Resource mobilization and programme delivery
- 3.5 Programme execution

### 4. Contribution to development results

- 4.1 Democratic governance
- 4.2 Poverty reduction and sustainable livelihoods
- 4.3 Crisis prevention and recovery

### 5. Cross-cutting issues

- 5.1 Enhancing gender equity
- 5.2 Enhancing capacity development
- 5.3 Minimizing the risk of HIV/AIDS
- 5.4 Rights-based approach

## **6. Strategic positioning of UNDP**

- 6.1. How UNDP positioned itself
- 6.2 Developing partnerships
- 6.3 Coordination
- 6.4 Programme management

## **7. Conclusions and recommendations**

- 7.1 Main conclusions
- 7.2 Recommendations

## **Annexes**

- 1. Terms of Reference
- 2. MDG and donor disbursement statistics
- 3. Programmes under each practice area
- 4. Documents consulted
- 5. List of people consulted

## **Boxes**

- Box 1. Evaluation question checklist
- Box 2. Political profile of Uganda
- Box 3. Challenges of furthering participatory planning
- Box 4. Challenges of 'hand out' practices

## **Figures**

- Figure 1. GDP by economic activity at constant (2002) prices, percentage share, fiscal years
- Figure 2. Total donor commitments, 2003–2004 to 2007–2008
- Figure 3. Total grant disbursements, 2004–2005 to 2007–2008
- Figure 4. Core and non-core resources

## **Tables**

- Table 1. Expenditure on GDP at constant (2002) prices, percentage change, calendar years
- Table 2. Progress towards achieving Millennium Development Goals
- Table 3. Summary of disbursements by type of assistance, 2003–2004 to 2007–2008
- Table 4. Country programme outcomes, 2006–2010
- Table 5. Programme funding by practice area, 2004–2009
- Table 6. Outcome areas and interventions
- Table 7. Poverty reduction and sustainable livelihood-activity areas and interventions
- Table 8. Conflict prevention and recovery activities, interventions and funds allocated

# ACRONYMS AND ABBREVIATIONS

ADR	Assessment of Development Results
ALD	Aid Liaison Department
CCA	Common Country Assessment
CSO	Civil society organization
DDMC	District Disaster Management Coordinator
DDMR	Department of Disaster Management and Refugees
DEI	Directorate of Ethics and Integrity
DEX	Direct Execution Modality
GDP	Gross domestic product
HDI	Human Development Index
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
IGG	Inspector General of Government
KIDDP	Karamoja Integrated Disarmament and Development Programme
LCC	Local Council Courts
M&E	Monitoring and evaluation
MDG	Millennium Development Goal
MFPED	Ministry of Finance, Planning and Economic Development
NDP	National Development Plan
NEX	National Execution Modality
NGO	Non-governmental organization
PDM	Participatory Development Management
PEAP	Poverty Eradication Action Plan
PRDP	Peace, Recovery and Development Plan for Northern Uganda
PSPC	Private Sector Promotion Company
SALW	Small arms and light weapons
TRP	Transition to Recovery Programme
UN	United Nations
UNCDF	United Nations Capital Development Fund
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UNV	United Nations Volunteers
VSCIs	Village Savings and Credit Institutions



# EXECUTIVE SUMMARY

The 'Assessment of Development Results: Evaluation of UNDP Contribution – Uganda', was led by the Evaluation Office of the United Nations Development Programme (UNDP) and was carried out by a team of independent consultants between February and June 2009. The Assessment of Development Results (ADR) covers the UNDP programme since 2001, which includes two programme cycles. The objectives of the ADR in Uganda include:

- Provide an independent assessment of the progress, or lack thereof, towards the expected outcomes envisaged in UNDP programming documents. Where appropriate, the ADR will also highlight unexpected outcomes (positive or negative) and missed opportunities.
- Provide an analysis of how UNDP has positioned itself to add value in response to national needs and changes in the national development context.
- Present key findings, draw key lessons, and provide a set of clear and forward-looking options for management to make adjustments in the current strategy and the next country programme.

The ADR had two main components: an analysis of UNDP contributions to development results and strategic positioning in response to development needs. The evaluation used the triangulation method, which included a detailed review of documents pertaining to the UNDP programme and development context in Uganda, a meta-evaluation of project and thematic evaluations carried out by the country office, and semi-structured stakeholder interviews and field visits. The ADR followed a participatory approach, in which key stakeholders are consulted at different stages of the ADR.

## DEVELOPMENT CONTEXT IN UGANDA

Uganda has made significant progress in social and economic development during the past two decades and is moving steadily towards sustainable growth and poverty reduction. In regions affected by conflict, Uganda is the process of recovery and reconstruction. There have been considerable achievements in ensuring a stable macroeconomic environment and progressing towards achieving the Millennium Development Goals (MDGs). The government has adopted various national strategies to address development challenges and post-conflict reconstruction. The Poverty Eradication Action Plan has been implemented for the past decade. The government recently prepared the Peace, Recovery and Development Plan for Northern Uganda and the Karamoja Region Development Program in order to address northern Uganda issues (which include return, resettlement and reconstruction in war-affected districts) and development in Karamoja. Efforts are underway to develop a National Development Plan, a long-term strategy that is intended to tie together various policy frameworks, to maximize achievements made so far, to build on opportunities, and to address the challenges that constrain social and economic development in the country.

Despite important development efforts, certain challenges remain. Although Uganda is on track to meet several of its MDG goals, success in actually attaining them will require strong economic growth (at least 7 percent per annum), a significant reduction in the population growth rate, and an equitable distribution of growth and development. As pointed out in the synthesis report reviewing the effectiveness of the Poverty Eradication Action Plan, simultaneously securing these three outcomes will prove a major challenge. Improved governance is one of the areas that need to be addressed in order to effectively

implement policies and enhance transparency and accountability in public fund management. Environmental sustainability and the impact of climate change, and its linkages to poverty reduction remain a major challenge for Uganda.

## UNDP RESPONSE

UNDP has been supporting development programmes and policies in Uganda for over thirty years. The first structured country programme (1997–2000) was aimed at promoting democratic governance for poverty reduction. This was followed by the second and third country programmes, from 2001–2005 and 2006–2010 respectively. To align with Uganda’s implementation of its National Development Plan, UNDP abridged the third country programme by one year, from 2006–2010 to 2006–2009. The second and third country programmes are evaluated under this ADR.

The emphasis of the two country programmes under review was primarily on strengthening national institutions’ capacities. The total programme delivery from 2001 to 2008 was \$92 million. The programme was in partnership with the government at the national level and was implemented through government agencies. Gender, HIV/AIDS, a rights-based approach and the environment were addressed as cross-cutting issues.

The second country programme (2001–2005) had two broad programme areas: governance and poverty reduction. There were limited programmatic interventions, and the focus was on upstream support for aid coordination and capacity-building for policy and strategy formulation. Support was provided to strengthening government institutions, developing private enterprise, and sustainably utilizing and conserving the environment and natural resources. In the course of the programme, UNDP prepared the Transition to Recovery Programme in order to support government initiatives in recovery, resettlement and reintegration.

The third country programme (2006–2009) identified three areas of practice—poverty

reduction, democratic governance, and crisis prevention and recovery—with a strong emphasis on capacity development and policy support. Under poverty reduction initiatives, support was provided for developing policies, monitoring the MDGs, and promoting micro-finance and small and medium-size enterprises. In addition, UNDP supported initiatives for sustainable utilization and conservation of the environment and natural resources. In the area of governance, emphasis was on furthering democratic processes, strengthening institutions for enhanced transparency and accountability, and fostering a rights-based approach. Specific attention was paid to post-conflict recovery aimed at supporting government initiatives in the creation of an enabling environment for peace and the resettlement, reintegration, security and socio-economic recovery of conflict-affected populations and host communities.

## MAIN ADR CONCLUSIONS

UNDP Uganda has, over the past two programming cycles, provided policy and technical support to the government in order to further human and institutional development. Interventions in the areas of poverty reduction, governance, and conflict prevention and recovery were in alignment with national policy frameworks and the United Nations Development Assistance Framework. This evaluation concludes that UNDP contributions to national development results have been varied. While achievements have been significant in some areas, it is too early to judge their contributions to results, because a number of programmatic interventions are still ongoing. There were missed opportunities, particularly in maximizing contributions to areas such as governance, and to a certain extent, interventions in conflict prevention and recovery, where UNDP is organizationally well positioned.

**UNDP contributions have been significant in terms of responsiveness to national priorities and needs. Although many short-term outcomes were achieved, the contribution to long-term development results was moderate.**

There were many positive features of the UNDP response in Uganda. Amid a competitive aid environment particularly predisposed to budget support, UNDP was successful in maintaining its relevance. UNDP implemented programmes, largely through government agencies; responded to various requests for support from the government in development and post-conflict reconstruction; and supported the implementation of the Poverty Eradication Action Plan and policies on post-conflict recovery and human security. Strong partnerships were developed with key government agencies (e.g., the Inspector General of Government, the National Planning Authority/African Peer Review Mechanism, the Office of the Prime Minister, the Parliament, the Public Procurement and Disposal of Public Assets Authority, and the Uganda Human Rights Commission). UNDP demonstrated strong commitment to post-conflict recovery, human security and providing support to establishing democratic institutions at different levels. There were instances where government institutions used UNDP support as start-up funds to leverage additional donor resources.

Despite effectiveness in achieving the individual outputs outlined in country programme documents, this evaluation concludes that the overall development performance and effectiveness of the programme varied, particularly in terms of the sustainability and measurability of results achieved. There were limited synergies between various programme interventions. Intended outcomes were not fully realized and often did not complement similar efforts by the government.

**UNDP contributions to post-conflict recovery had mixed results. While contribution to strengthening institutional mechanisms was a factor in achieving results, there were limitations in informing a holistic approach to recovery.**

UNDP has been responsive to post-conflict needs and has made efforts to strengthen institutional capacities to better respond to post-conflict recovery and reconciliation. The support

to the Office of the Prime Minister (including the Amnesty Commission, the District Disaster Management Committee and the Uganda Mine Action Centre) enhanced the government's capacity to respond to post-conflict recovery needs. UNDP support also contributed to operationalizing the internally displaced persons policy and facilitating their safe return. In addition, activities in human security through support to reduction of small arms and light weapons were promising in some areas, such as reducing weapon stockpiles.

Despite achievements in short-term outcomes, contributions to results in the conflict prevention and recovery programme were mixed. UNDP was not effective in implementing the programme in a complex and fast-moving operating environment, which required quick response and adaptability. Notwithstanding support to formulation of policies for internally displaced persons and disaster prevention and mitigation, UNDP engagement in northern Uganda policy discussions was not at the desired level. Furthermore, UNDP was not effective in enhancing linkages between post-conflict recovery and longer-term national development objectives.

**Early recovery cluster coordination was carried out in a complex post-conflict environment. UNDP was not effective as an early recovery cluster lead and missed opportunities for playing a more proactive role in taking forward an early recovery agenda. There were limitations on providing clarity on what early recovery entails and on ensuring the participation of government and other agencies.**

Uganda was one of the pilots for the humanitarian cluster approach, along with the Democratic Republic of the Congo, Liberia and Pakistan. UNDP had the challenging task of leading the early recovery cluster. While the scope of early recovery (which included governance, infrastructure and livelihood) was in many ways critical to areas in recovery and transition, UNDP was less effective in providing direction and leadership in taking forward the agenda of early recovery.

There were limitations on ensuring ownership of coordination by the government and participation of concerned stakeholders.

**National capacity development and institution strengthening are central to the UNDP programme framework and are key components of UNDP corporate goals. However, the operationalization of capacity development has been less strategic and lacked a time-frame and exit strategy. UNDP did not position itself well in the context of the prevalent budget support in Uganda.**

Capacity development is a clearly recognized programme priority of UNDP Uganda, although some questions remain as to what this entails. Among government institutions, capacity development is associated with the sustainability of state institutions through funding and technical assistance. Uganda has large and continuous budget support from the donor community, and there is an expectation that capacity development should be seen as a natural part of that process. There was no common understanding of the parameters of capacity development. More specifically, capacity development was not always understood in terms of better governance, strengthening the capacities of institutions and leadership, and enhancing transparency and accountability.

Lack of a country-specific strategy on capacity development in many ways constrained the effectiveness of UNDP support. Capacity development was not mainstreamed into UNDP-supported programmes. While there was a commitment by the country office to strengthen institutions and develop capacities, it lacked a clear vision as to what must be achieved. A wide range of state institutions have benefited from UNDP support and consider themselves to have increased their capacity, mainly in terms of increased staff numbers. Interventions, however, remain at the individual level and are not informed by a consistent capacity development approach. Furthermore, there are no benchmarks to indicate progress towards outcomes and intended results, or to indicate the gradual disengagement of UNDP support.

**Weak programme management and lack of leadership at critical points constrained effective contributions to results. Programme management was constrained by several critical factors, including lack of adequate qualified staff, weak synergies among different areas of the programme, and poor reporting and monitoring.**

UNDP Uganda had intermittent senior leadership. During the period under review, there were a number of leadership changes and periods when senior management positions were not filled. An evolving and complex humanitarian situation created additional responsibilities, and at critical junctures, UNDP was under-capacitated to respond to evolving demands. A related issue was the lack of a human resource policy that would have systematically addressed staff-related issues. Lack of compatibility between programme and human resource investment influenced progress in achieving outcomes. Staff capacity and quality were not commensurate with the tasks UNDP had to fulfil. Sub-offices created in the north lacked adequate staff and were not empowered to engage in project implementation.

Planning, documenting and monitoring were weak across programme areas. There is a lack of baseline data, clear benchmarks or indicators to appraise progress and results. Concurrent analysis and monitoring of progress towards planned development results was also found to be lacking, and the adaptation of the results-based management system was weak. The programme was largely activity and output driven, and monitoring for outcome indicators and linkages to broader development processes was not available. Further, most interventions lacked a clear exit strategy, although the programme aimed to replicate successful projects. Addressing sustainability was largely found to be absent in intervention design.

**Programme efficiency was undermined by spreading funds across many unrelated activities and by poor capacity of UNDP to disburse funds in a timely manner.**

Limited funds were spread across a wide range of activities, often on such a small scale that they could not contribute to effective or sustainable

results. Rather than providing sufficient depth and longer-term commitment in fewer areas, UNDP was involved in a wide range of activities, and with the available evidence, it was not possible to measure contribution to results.

Programme efficiency was also constrained by challenges in the UNDP capacity to disburse funds in a timely manner. Absorption capacity was low in conflict prevention and recovery interventions, limiting programme effectiveness as well as limiting the implementation of intended activities within the programme. In many ways, poor fund management undermined the financial sustainability of programmes and minimized the possibility of additional funding.

**The comparative advantage of UNDP in addressing social development issues and policy was not fully realized. The efforts of UNDP were not optimal in developing strategic partnerships with international agencies and networks.**

While UNDP has the potential to play a critical role in complementing budget support (by, for example, providing policy and technical support), this was not fully optimized. UNDP programme support would have made better contributions to results, had partnerships been developed with other agencies or had interventions been based on a careful analysis of ongoing support to the government from other agencies. UNDP did not have a programme strategy in a context where 71 percent of development cooperation is budget support. Clearly thought-out interventions and partnerships directed at addressing critical gaps in budget support, essential for strategic positioning, were lacking.

**The participation of non-governmental and civil society organizations was not ensured in the UNDP-supported programmes. In seeking partnerships, UNDP largely overlooked civil society, non-governmental organizations and community-based organizations.**

Uganda has a large number of non-governmental organizations (NGOs) and civil society organizations (CSOs), and some of them have the

potential to complement government efforts in development and post-conflict reconstruction. When responding to national priorities, UNDP did not sufficiently develop partnerships with NGOs and CSOs or facilitate their engagement in development processes. There were limited efforts to strengthen the capacities of NGOs.

**The cross-cutting issues emphasized in the two UNDP country programmes are relevant in the context of Uganda and within the framework of national development strategies. However, the integration of cross-cutting issues across interventions has been modest, both in programme design and in implementation. Similarly, the contribution was modest in supporting the government in furthering the integration of cross-cutting issues.**

The Government of Uganda has policies to support the integration of gender equality and addressing HIV/AIDS into development planning and budgeting. Though UNDP contributions to furthering government policies were important from the standpoint of individual interventions, there were limitations in enabling results. UNDP support to poverty monitoring and MDG reporting was not effectively aligned with government mechanisms. There were limitations in using programme interventions in the area of poverty reduction and sustainable livelihoods to achievement of the MDGs.

Planning and implementing gender as a cross-cutting issue were not effective. While different projects took measures to include women as beneficiaries, the programme lacked a systematic framework to carry out gender analysis in order to guide programme design and to implement or to monitor progress in gender relations. UNDP made important contributions in informing government policy in addressing HIV/AIDS through policy studies. However, incorporating HIV/AIDS as a cross-cutting issue in UNDP programmes was minimal. Environment and climate change impact did not receive adequate attention either as a programme area or a cross-cutting issue, and linkages with poverty reduction and sustainable livelihoods appeared weak in both design and implementation.

## RECOMMENDATIONS

### PROGRAMME STRATEGY AND APPROACH

**UNDP interventions should support policy formulation and coordination in development and post-conflict recovery. Efforts must be taken to ensure that a large component of the programme entails a systematic approach to engaging in policy and technical support for implementation.**

UNDP should be strategic both in developing partnerships and in identifying policy areas where its support would complement ongoing development efforts.

Considering that donor assistance in Uganda is largely in the form of budget support, UNDP should be strategic in both developing partnerships and in identifying policy areas where its support will contribute to furthering development results. Building on consultations and partnerships with government and other development agencies, UNDP should ensure that programme support is aimed at addressing capacity, policy and advocacy issues related to regional disparities in poverty, strengthening accountability and transparency in governance and in post-conflict recovery.

In approaching these partnerships, UNDP should make sufficient efforts to clarify, to both the government and the donor community, the nature of the support it can provide to complement budget support and efforts by various stakeholders. This should be clearly outlined in the country programme.

**UNDP should enhance its support to attaining the MDGs in order to address regional disparities in poverty. UNDP should make a stronger commitment to address cross-cutting issues, particularly the MDGs, HIV/AIDS and gender. UNDP should consider supporting regional MDG reports.**

Uganda is comfortably poised to achieve MDG targets in most areas by 2015. However, areas such as maternal health and regional disparities

in poverty remain a challenge. While UNDP should continue its support to poverty and MDG monitoring, adequate measures should be taken to align efforts with the national poverty monitoring carried out by the Office of the Prime Minister. UNDP should be proactive in ensuring the harmonization of national development targets with MDG targets in areas where the former are less ambitious than the latter. A related issue is addressing regional disparities in poverty and development. UNDP should pay special attention in its forthcoming programme to informing policy and practice related to these areas. Efforts were made in the ongoing programme to support district MDG reports. Considering the large number of districts in Uganda, UNDP should instead consider supporting regional MDG reports.

In the forthcoming programme, UNDP has identified pro-poor policies for achieving growth with equity as an area of support to the government. This includes capacity development for MDG-based planning. UNDP should ensure proper implementation of this important dimension of poverty reduction support.

UNDP should also make stronger commitments to addressing cross-cutting issues, particularly gender and HIV/AIDS. In the forthcoming programme, UNDP should take sufficient measures to ensure that gender analysis informs programme design and implementation, including revisiting some of the existing programme plans. MDG reporting should be further strengthened in order to provide gender-disaggregated analysis. Gender inequality becomes further aggravated amidst other vulnerabilities, such as conflict. UNDP should place specific emphasis on the gender dimensions of reconstruction and transition in the recovery programme. In order to maximize results in this area, UNDP should strengthen partnerships with agencies that have similar interests.

Measures should be taken to systematically integrate HIV/AIDS issues into programme interventions. In the ongoing country programme, UNDP supported a study to inform government policy

on HIV/AIDS. Given the increases in the prevalence rate of HIV/AIDS during the past two years, similar efforts should be pursued in the forthcoming programme to further advocacy in the area.

**Given the importance of linkages between sustainable environment and poverty reduction, UNDP should take specific measures to integrate environment and climate change adaptation as a cross-cutting issue across programme interventions, particularly in poverty reduction and disaster management interventions.**

Considering the challenges of environmental sustainability and climate change adaptation for Uganda, further efforts are needed by UNDP to support reducing vulnerability to climate change-related disasters. In the ongoing programme, support was extended to disaster management initiatives, and the environment was included as a component of poverty reduction. Considering there are other agencies working on environmental issues in Uganda, UNDP should identify areas where it can complement ongoing efforts and inform government practice and policy.

**To make meaningful contributions to development results, UNDP should be strategic in using its resources and reduce the number of interventions. UNDP should develop a fund mobilization strategy to support programmes in critical areas. This strategy should include areas where UNDP would engage on a long-term basis.**

Instead of being reactive to donor needs, UNDP should put forth a clear plan of action, covering a minimum period of five years, in key areas of programme intervention. During the ADR period, UNDP had carried out programme scoping for governance and private-sector support. This is a step in the right direction, and further measures should be taken to prepare strategy documents for these programme areas. In governance, UNDP has identified service delivery at the local level as one possible area of intervention. Other areas where UNDP has the potential to strengthen governance include enhancing transparency and accountability mechanisms.

UNDP should revisit its northern Uganda programme strategy and pay specific attention to informing government policy regarding the integration of northern Uganda development priorities into the national development strategy. UNDP should focus on areas in northern Uganda where support would be more meaningful and would complement ongoing efforts.

UNDP should reduce the number of small interventions that do not have substantial relevance in terms of contribution to development results. Instead, it should focus on fewer interventions, over a longer period of time, which would enhance development results. UNDP needs to assess where its efforts can have the most effect and where corporate capacities can be harnessed, and then align its activities accordingly.

UNDP should continue advocating and supporting peace-building initiatives together with interventions pertaining to human security. These initiatives should include support to demining and to small arms and light weapons collection and destruction. UNDP should support national priorities under the Peace, Recovery and Development Plan for Northern Uganda through proactive advocacy and support to local coordination mechanisms in the four identified northern regions.

**UNDP should no longer work on intervention-specific pilot projects. The pilot approach should only be used for integrated approaches at the district level and with interventions that are both mutually reinforcing across practice areas and are linked by measurable and common objectives.**

This will ensure that interventions remain focused and are conducive to creating substantial results. In addition, it will avoid leading to a dispersion of resources along unchartered programmatic lines with no demonstrated contribution to MDG or development priorities.

A focus on districts as programme entry points will allow UNDP to carry out initial participatory baselines and discuss expected results with stakeholders, so that a district monitoring and evaluation plan is a reflection of the participatory process.

**UNDP should clarify what is intended by capacity development and outline support parameters. There should be a clear framework for implementing and monitoring capacity development activities.**

A core area of UNDP support involves developing the capacities of national institutions. For capacity development interventions, UNDP should develop clear parameters and timelines, and embed them within the programme strategy for each area. While there should be periodic monitoring of interventions' progress, UNDP should also take sufficient measures to ensure that all concerned stakeholders have a common understanding of these strategies.

UNDP has been consistent in implementing programmes through the government, which is essential for developing national capacities. For effective implementation of development programmes, further efforts should be made to strengthen the administrative and finance mechanisms of government partners.

**UNDP should define the role it can play in coordination and more systematically engage in various coordination mechanisms in the country.**

UNDP should be more proactive in its engagement of sector working groups and in the coordination mechanisms on northern Uganda development, governance, poverty reduction and private-sector support. There are several Poverty Eradication Action Plan/National Development Strategy working groups, in addition to sector groups and donor coordination mechanisms. UNDP should actively engage in areas that are relevant to its programme agenda and where it is organizationally well placed to contribute. There should be more efforts to support policy and research papers in key UNDP areas of development. Sufficient resources should be allocated for such activities, and UNDP should ensure that senior-level staff participates in coordination meetings.

**UNDP should be more proactive in advocating the human development dimensions of growth and poverty reduction. UNDP should extend**

**continuous support to advocacy tools such as Human Development Reports, including taking steps to support regional Human Development Reports in the forthcoming programme.**

Uganda has good statistics on the poverty and social sectors. To provide effective feedback to policy makers, UNDP should provide more structured information on key development issues, as UNDP has not yet identified or filled strategic gaps in this area. National Human Development Reports are a useful advocacy tool, because they provide alternative perspectives on key development issues, inform development and transition processes, and complement analysis of the poverty and social sectors. It is suggested that UNDP support a Human Development Report on linkages among post-conflict reconstruction, national development strategies; and gender issues in development. To be useful to development stakeholders, the reports should be of high quality and credibility.

UNDP should proactively explore the possibility of supporting Regional Human Development Reports, which will complement the analysis of the poverty and social sectors. This will also provide an opportunity to address some of the region-specific issues in human development.

**UNDP should strengthen its partnerships with NGOs and CSOs in engaging in development and taking a proactive advocacy role. The agency should support measures to facilitate linkages among the government, the private sector and NGOs in engaging in post-conflict and development issues.**

The African Peer Review Mechanism process has shown that civil society can play an important role in informing development planning. UNDP should play a supportive role in furthering the role of NGOs and CSOs in development planning. Wherever possible, UNDP should strengthen the capacities of NGOs and CSOs to be able to play an effective role in development processes. A clear strategy should also be formulated for working with NGOs in order to strengthen their public accountability role with government.

## **PROGRAMME MANAGEMENT**

**UNDP should strengthen its presence at the local level. The capacities of area offices should be further strengthened and empowered in order to ensure that interventions play an effective role in programme implementation.**

Strengthening the effectiveness of the programme—particularly in supporting interventions in northern Uganda—and strengthening service delivery at the local level both require strong area offices. UNDP should take sufficient measures to improve the staff capacity of the area offices and ensure the offices are adequately empowered to play an effective role in the implementation of programme interventions. Field offices should also strengthen linkages between government and non-state actors in development intervention. Field office staff should be experienced in governance and poverty reduction issues, so that the office can perform as

a UNDP office rather than being limited to conflict prevention and recovery issues.

**UNDP should substantially strengthen the results focus of the country programme. This should include a strong programme management system and a monitoring and evaluation framework, and there should be optimal use of the results-based management system.**

For improved contribution to development results, UNDP should take urgent measures to strengthen programme reporting tools and systems. Results-based management needs to be strengthened, and in the forthcoming programme UNDP should include systematic monitoring of outcome indicators. Baseline information should be prepared for all outputs and outcomes. UNDP should strengthen gender analysis and gender-disaggregated data for all interventions. Adequate human resources and funds should be allocated for monitoring and evaluation of the programme.



## Chapter 1

# INTRODUCTION

### 1.1 RATIONALE FOR THE EVALUATION

The United Nations Development Programme (UNDP) has supported development initiatives and policy in Uganda for more than 30 years. The first structured country programme was implemented in 1997. Two country programmes followed during 2001–2005 and 2006–2010 (which was abridged to 2009) as part of the United Nations Development Assistance Frameworks (UNDAF) for the same period.<sup>1</sup> This Assessment of Development Results (ADR) evaluates the two country programmes during from 2001 to 2009.

In the past decade, Uganda has made considerable progress in socio-economic and human development. The Poverty Eradication Action Plan (PEAP), the periodically revised national development framework, aims to reduce absolute poverty to at least 10 percent of the population by 2017. UNDP and several other development agencies have contributed towards PEAP implementation.

Uganda is currently transitioning from the decade-long PEAP strategy to a National Development Plan (NDP). Expected to be finalized this year, the NDP seeks to address longer-term goals of enhancing growth, employment and prosperity. To align with the NDP time-frame, the UN and UNDP abridged their respective UNDAF and country programmes by one year and are in the process of concluding them in 2009. The UN and UNDP Uganda are also developing the new UNDAF and country programme, a process that will be informed by this ADR.

### 1.2 PURPOSE AND SCOPE

The UNDP programme in Uganda was selected for an ADR in 2009 following a request from UNDP Uganda and the Regional Bureau for Africa. Led by the UNDP Evaluation Office, an ADR is an independent evaluation that captures and demonstrates evaluative evidence of UNDP contribution to national development results. An ADR seeks to ensure the substantive accountability of UNDP as an organization and substantiates key issues of support to programming at the country-office level.

The overall goals of the Uganda ADR were to:

- Provide substantive support to the Administrator's accountability function in reporting to the Executive Board;
- Support greater UNDP accountability to national stakeholders and partners in the programme country;
- Serve as a means of quality assurance for UNDP interventions in Uganda; and
- Contribute to learning at corporate, regional and country levels.

The ADR reviewed the UNDP programme in Uganda and its contribution solving national development challenges. The evaluation covered the current and previous country programmes (2006–2009 and 2001–2005). Although more emphasis was placed on interventions of the ongoing country programme, efforts were made to examine the contribution of UNDP support

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1. Unless specifically required, the UNDP country programme framework is referred as the 'country programme' throughout this report. This is to avoid the confusion multiple references to the country programme framework (such as country programme, country programme document, country cooperation framework and country programme action plan) may cause to readers not familiar with UNDP.

during the previous programme cycle. The ADR included all the thematic areas of UNDP contribution to development results, although not all projects were included for evaluation.

This evaluation has two main components: an analysis of UNDP contribution to development results and strategic positioning of UNDP. The Uganda ADR entailed a comprehensive review of the UNDP programme portfolio (2001–2005 and 2006–2009), including an evaluation of: UNDP contribution in terms of key interventions; progress in achieving outcomes for the ongoing country programme; factors influencing results (e.g., UNDP positioning and capacities, partnerships and policy support); achievements, progress and UNDP contribution in key thematic areas (both in policy and advocacy) and cross-cutting areas, as well as their relationship with the MDGs and the UNDAF; and key challenges and strategies for future interventions.

The evaluation of UNDP strategic positioning was carried out from the perspective of the country's and agency's development priorities. This process comprised an analysis of: the UNDP niche within Uganda's development and policy space; strategies UNDP Uganda used to strengthen its position in local development space and to create a position for the organization in its core practice areas; and policy support and advocacy initiatives of the UNDP programme vis-à-vis other development stakeholders.

Recognizing that UNDP macro-level interventions comprised a number of different interventions in different regions, the ADR applied a purposive sampling in selecting the geographical area for coverage. The selection of field areas to visit also took into consideration regional disparities in human development indicators. Interventions that had been ongoing since the first country framework were more evaluable for results, while those started during the past three

years—such as those addressing crisis prevention and recovery—were less evaluable. The evaluation team did not visit the Karamoja region because of security-related reasons.

### **1.3 METHOD**

Led by the UNDP Evaluation Office, an independent team of consultants carried out the ADR. The four-member evaluation team comprised an international consultant, two national consultants and an Evaluation Office task manager.

#### **1.3.1 PREPARATORY MISSION**

Drawing on ADR methodology guidelines<sup>2</sup> and broader UNDP evaluation policy,<sup>3</sup> this ADR is based on the objectives and scope identified through preliminary consultations during the scoping mission and a subsequent evaluability review of the programme. The evaluability review appraised programme objectives and strategies, duration of the programme, available monitoring data, evaluation reports and external studies. Evaluation questions were defined through stakeholder consultations carried out during the evaluation's preliminary phase. In order to assess development results, the ADR used the set of standard UNDP evaluation criteria—including effectiveness, efficiency, sustainability, relevance and responsiveness.<sup>4</sup>

#### **1.3.2 MAIN ADR MISSION**

Prior to the main mission, the ADR team held planning meetings. The first took place in New York and consulted representatives of the Evaluation Office and relevant UNDP bureaus (Bureau for Crisis Prevention and Recovery, Bureau for Development Policy and Regional Bureau for Africa). The second meeting, with UNDP Uganda, refined and finalized the evaluation design and work plan. A detailed review of documents was carried out by the team, which

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2. UNDP, 'Assessment of Development Results: Key Elements of Methodology', Evaluation Office, New York, NY, 2002.

3. UNDP, 'Evaluation Policy', Evaluation Office, New York, NY, 2006.

4. See section 1.4 and Annex 1 for further discussion of evaluation criteria.

included UNDAF and country programme documents, project documents, evaluation reports and country papers.<sup>5</sup>

UNDP-supported programmes in seven districts—Bushenyi, Gulu, Hoima, Kabale, Kitgum, Lira and Masindi—were selected for field-based consultation. Priority was given to districts where interventions spanned multiple programme areas and both programme cycles, and to districts with crisis prevention and recovery programmes.

### 1.3.3 STAKEHOLDERS AND KEY INFORMANTS

Stakeholder consultations were carried out during the scoping and main missions (14–22 February and 6–24 April 2009, respectively). Semi-

structured interviews were used for collecting primary data from individual respondents (see Box 1). The ADR team used a standardized checklist to guide interviews with specific categories of informants, and, in order to systematically analyse information, used summary sheets to collate interview information. Interviews with stakeholders directly involved with—or aware of—the UNDP programme focused on programme performance. In a broader context, interviews addressed programme perception, policy issues and development agencies’ response. Following stakeholder analysis during the scoping mission, the ADR team identified institutions and individuals to be interviewed during the main mission. This list was continuously augmented in response to new leads.

<b>Box 1. Evaluation question checklist</b>	
<b>Stakeholder type</b>	<b>Main evaluation questions</b>
<b>Government</b>	Did UNDP programmes reflect national priorities? How responsive was UNDP to the changing priorities and needs of Uganda? How do you see the role of UNDP as a contributor to national development? How do you see the role of UNDP in policy support? What were the most significant and successful UNDP interventions and why? Are there areas where UNDP should intervene further or improve its performance? How do you see the approach followed by UNDP in implementing programmes in Uganda? What arrangements have been made to ensure the sustainability of results achieved with UNDP support? What are the existing coordination mechanisms? How effective has UNDP been in coordinating with others?
<b>Non-governmental organizations and civil society</b>	What are your views on development needs in Uganda and its progress towards development? Has UNDP effectively contributed to improving the situation in Uganda? What was the most significant UNDP contribution? Do you participate in UNDP-supported projects or consultations? How effective were such projects or consultations? What could have been done better or differently in order to improve effectiveness and better respond to needs? Have you benefited from UNDP-supported training or capacity-building?
<b>Multilateral and bilateral development partners, including UN-system agencies and international financial institutions</b>	What are your views on progress towards human development in Uganda? What are your views of the UNDP role and performance, including effectiveness, efficiency, relevance and strategic role? What are the major UNDP comparative advantages in this country? What has been the major value addition of UNDP? How could UNDP have been more effective? What coordination mechanisms are in place, and what coordination role does UNDP play?
<b>Programme beneficiaries</b>	Has your situation improved due to development projects implemented or supported by UNDP? Did interventions correspond to your needs? Was the support timely and well targeted? What did UNDP do well? Which interventions did not work well? What could have been done better? How do you see the future? Will you be able to continue your activities once direct UNDP support ceases?

5. See Annex 4 for a list of documents consulted.

To maximize time and resources, the evaluation team carried out simultaneous interviews with multiple stakeholders. In addition to UNDP management and local programme staff, over 150 individuals participated in interviews during the course of this ADR. There were, however, limitations in securing interviews with certain stakeholder groups. Some donors and senior government officials remained unavailable to the evaluation team.

The ADR was a transparent and participatory process that took measures to encompass all development stakeholders in Uganda. Individuals and groups consulted included: UNDP programme beneficiaries, donors and implementing partners, such as UN-system bodies and other development agencies; senior officials and staff of central government institutions, technical staff of key line ministries, district political leaders, and chief accounting officers and staff at the local government level; and representatives of the private sector, civil society, and national and international non-governmental organizations (NGOs). The assessment also took into consideration the perceptions of key informants who were not directly involved with UNDP programmes.<sup>6</sup>

Evaluation findings, conclusions and recommendations were presented at a stakeholder workshop held in Kampala on 17 July 2009. The workshop provided an opportunity to discuss the findings and conclusions with a wide range of development stakeholders<sup>7</sup> and to further sharpen the recommendations.

#### 1.4 EVALUATION CRITERIA

The ADR criteria used to evaluate UNDP contribution to results in Uganda included relevance, effectiveness, efficiency, sustainability and responsiveness. Partnership, equity, coordination and national ownership were evaluated as part of each criterion.

**Effectiveness** was assessed by an appreciation of the extent to which specific objectives have been—or are expected to be—achieved, taking into account external factors that could have affected implementation.

**Efficiency** was determined by examining the qualitative and quantitative outputs achieved as a result of inputs.

**Sustainability** was evaluated based on a considered assessment of whether UNDP has been able to develop the permanent structures, procedures and professional capacity that national institutions will need in order to continue performing expected services.

**Relevance** was assessed based on whether UNDP interventions responded to the development and humanitarian needs and priorities identified by various stakeholders.

**Responsiveness** was assessed according to the extent and timeliness of the programme's response to development needs, including factors such as how UNDP anticipated and responded to significant changes in the national development context.

### 1.5 LIMITATIONS

Several limitations affected the quality of the evaluation process.

The ADR scoping mission was undertaken concurrently with two other programme-scoping missions, and during the main mission, the programme staff was involved in the preparation of the forthcoming country programme. While appreciating the need to have different types of assessments to inform preparation of the UNDAF and country programme, managing the two was not easy for the country office staff. In addition, a number of donor representatives and senior government officers were not consulted because of poor organizing of meetings by the country office.

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6. See Annex 5 for a list of persons consulted.

7. See Annex 5 for stakeholders who participated in the workshop.

Information management of UNDP Uganda was weak, leading to delays in providing critical information needed for ADR analysis. At the time of the ADR, the country office underwent a security-mandated evacuation, which also caused delays in the availability of data. In addition, inadequate monitoring of intended outcomes was among the most significant limitations of the ADR process. Baseline information crucial for an evaluation of results was lacking for most programmes, poverty reduction initiatives in particular, and similar limitations existed in monitoring information at the output level. Consequently, this evaluation relied largely on interviews and midterm and outcome evaluations. The country office carried out external evaluations of projects and outcomes of all major programme areas. While such evaluations'

generally high quality allowed them to form the basis for this ADR, their focus and approach varied. It was not always possible to assess results based solely on this information.

The ADR team noted that outcomes in the country programme were ambitiously stated and, given the resources invested in the interventions, too broad to be achieved. In addition, in the ongoing country programme UNDP reduced the original 19 outcomes to 10, which posed challenges in programme management. The revised outcomes did not adequately reflect the entire range of results or the projects that were carried out. Clarity of project objectives, indicators and overall contributions to goals was diminished. A similar lack of clarity was also evident among project outputs and outcome indicators.



## Chapter 2

# NATIONAL CONTEXT

Uganda attained independence in 1962, and the Parliament became a constituent assembly in 1967. The decade that followed had regimes that were less democratic and were marked by insurgencies and liberation struggles. The liberation movement led by the National Resistance Army (NRA), perceived as an indigenous struggle, succeeded in forming a government in 1986. The elections followed extensively participatory constitution-making processes that took place between 1993 and 1995, eventually leading to the 1995 revised Constitution. NRA-led government was a non-party, all-inclusive Movement System of government, reinforced by the 1995 promulgation of a revised Constitution. In 2005, the single-party system of the NRA Government began the transformation into a multiparty system. The 2006 presidential and parliamentary elections marked Uganda's entry into multiparty political dispensation, which is considered a landmark in the history of Uganda.

The armed conflict between the Government of Uganda and the rebel Lord's Resistance Army lasted for over two decades and resulted in loss of life and property and the displacement of people in northern Uganda. The Lord's Resistance Army civil war affected mainly the Acholi<sup>8</sup> and Lango<sup>9</sup> subregions, and some parts of the West Nile and Teso subregions. In addition, several other now-defunct rebel groups (e.g., the West Nile Bank Front and the Uganda National Rescue Front) operated in parts of northern Uganda and contributed to destabilization and displacement. The prospects for peace increased after the cessation of hostilities agreement, negotiated in Juba in 2006.

## 2.1 STRUCTURE OF THE STATE

Uganda has been a fully independent and sovereign state since 1962. The 1995 Constitution established Uganda as a republic with executive, legislative and judicial branches. The Constitution provides for a President to head the executive branch, to be elected every five years. Legislative powers are vested in the Parliament.<sup>10</sup> The Ugandan judiciary consists of Magistrate's Courts, High Courts, Courts of Appeals and the Supreme Court.

The Ministry of Local Government oversees local governments' administration. Uganda is divided into 80 districts, spread across four administrative regions: Central, Eastern, Northern and Western. The number of districts has almost

### Box 2. Political profile of Uganda

Number of political parties: 33

Number of registered voters (2006 elections):  
10,450,788

#### Political milestones

1994	Election of the Constituent Assembly
1995	Formulation of the Constitution
1996	Presidential, Parliamentary and Local Council elections
2001	Presidential, Parliamentary and Local Council elections
2005	Referendum on multiparty political system
2006	Most recent general elections; Uganda enters multiparty political dispensation

Source: UNDP Uganda Web site.

8. Acholi subregion comprises the Amuru, Gulu, Kitgum and Pader districts.

9. Lango subregion comprises the Amolatar, Apac, Dokolo, Lira and Oyam districts.

10. The eighth Parliament comprises 332 members.

doubled since 2003, and eight more were added in 2006. Each district is divided into sub-districts, counties, sub-counties, parishes and villages. There are urban councils, which comprise municipal councils, municipal divisions and town councils. In addition, there are county, parish and village councils.

The districts in Uganda operate under delegated rather than devolved authority from the central government. They have limited local revenue, and the creation of central government-appointed chief accounting officers represents a decentralization of decision-making. The risk of these arrangements is a weakened sense of responsibility and accountability for good service delivery of local government representatives towards their constituents.<sup>11</sup>

## 2.2 DEMOGRAPHIC TRENDS

The majority of Uganda's population (86 percent) lives in rural areas. In addition, the country has a large proportion of younger population, which has increased in the past years. The proportion of children (those under 18 years old) has increased from 51 percent in 1969 to 56 percent in 2002, and 49 percent of the population is under 15 years of age.<sup>12</sup> More than half of Uganda's population (about 51 percent) is female.<sup>13</sup> Uganda's population growth is among the highest in the world: Uganda has an estimated annual population growth rate of 3.3 percent higher than the sub-Saharan average of 2.4 percent. Uganda's 2007 population was 28.4 million, a 70 percent increase from 1991 levels.<sup>14</sup> The estimated mid-year population for 2008 was over 31.2 million.

If current demographic trends continue, the population is projected to double again by 2030.

The population growth rate is attributed to a high fertility rate (7.1 for rural women and 4.4 for urban women<sup>15</sup>), low prevalence of family planning methods and young age of women at marriage (18 years of age on average). Fertility levels have remained high over the past three decades, with a rate of about seven children per woman.<sup>16</sup> The fertility rate is higher in rural areas compared to the urban areas.

While there has been a general improvement in mortality levels, the rate of decline of infant and under-five mortality has been a matter for concern. The infant mortality rate declined from 122 to 75 deaths per 1,000 live births between 1991 and 2006. Over the same period, under-five mortality declined from 203 to 137 deaths per 1,000 live births.<sup>17</sup>

## 2.3 ECONOMY AND EMPLOYMENT

In 2007, Uganda reported a gross domestic product (GDP) of \$11.2 billion. Over the past 20 years, GDP growth has been impressive. Uganda is one of the fastest growing African economies, with sustained growth averaging 7.8 percent since 2000. These recent high rates of growth have been sustained primarily by the rise of a dynamic service sector, which accounted for 45 percent of GDP in 2007 (see Table 1 and Figure 1 for trends).<sup>18</sup>

Although agricultural output has been decreasing as a percentage of the economy in relation to the service and industry sectors (see Figure 1), the

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11. Oxford Policy Management, 'Independent Evaluation of Uganda's Poverty Eradication Action Plan (PEAP)', Final Synthesis Report, July 2008.

12. Government of Uganda, 'Statistical Abstract', Bureau of Statistics, 2009.

13. Ibid.

14. Government of Uganda, 'State of the Environment Report for Uganda 2006–2007', National Environment Management Authority.

15. UNDP, 'Uganda Human Development Report: Rediscovering Agriculture for Human Development', 2007; Government of Uganda, 'Ugandan Demographic and Health Survey', Bureau of Statistics, 2006.

16. Government of Uganda, 'Ugandan Demographic and Health Survey', Bureau of Statistics, 2006.

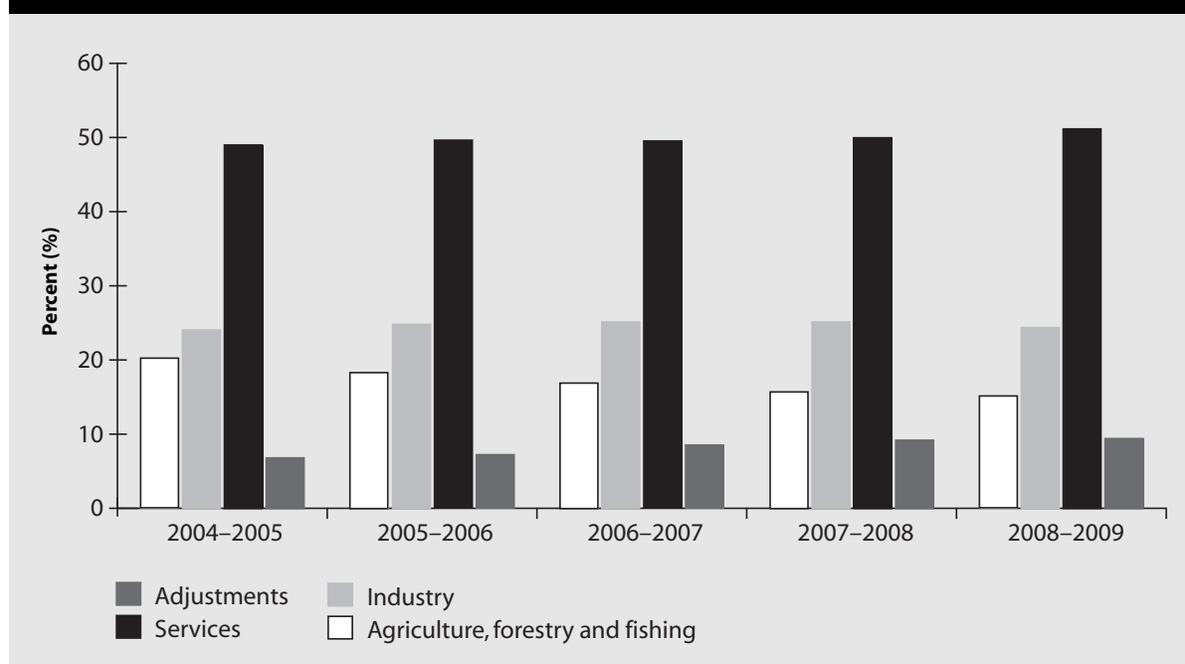
17. Ibid.

18. International Monetary Fund, 'World Economic Outlook 2008'.

**Table 1. Expenditure on GDP at constant (2002) prices, percentage change, calendar years**

	2004	2005	2006	2007	2008
<b>Total GDP at market prices</b>	<b>5.8</b>	<b>10.0</b>	<b>7.0</b>	<b>8.2</b>	<b>8.3</b>
<b>Final consumption expenditure</b>	<b>3.5</b>	<b>7.5</b>	<b>10.9</b>	<b>3.5</b>	<b>9.4</b>
Household final consumption expenditure	3.4	8.1	12.3	4.6	10.1
Government final consumption expenditure	3.7	4.5	3.7	-2.7	4.8
<b>Gross capital formation</b>	<b>11.9</b>	<b>20.7</b>	<b>11.0</b>	<b>15.3</b>	<b>-0.2</b>
Fixed capital formation	13.8	20.2	11.0	15.4	-0.2
Changes in inventories	0.0	0.0	0.0	0.0	0.0
<b>Net exports</b>	<b>-1.8</b>	<b>10.9</b>	<b>49.2</b>	<b>-8.9</b>	<b>-3.1</b>
<b>Exports</b>	<b>20.9</b>	<b>21.5</b>	<b>-6.3</b>	<b>48.2</b>	<b>38.1</b>
Goods, freight on board	18.5	21.5	0.2	61.8	46.3
Services	26.2	21.6	-19.9	12.8	7.6
<b>less Imports</b>	<b>9.6</b>	<b>16.8</b>	<b>17.2</b>	<b>17.4</b>	<b>20.9</b>
Goods, freight on board	6.9	15.2	17.8	24.3	27.1
Services	16.0	20.3	16.0	2.2	4.5

Source: Government of Uganda, 'Statistical Abstract', Bureau of Statistics, 2009.

**Figure 1. GDP by economic activity at constant (2002) prices, percentage share, fiscal years**

Source: Government of Uganda, 'Statistical Abstract', Bureau of Statistics, 2009.

agricultural sector continues to support an estimated 80 percent of the population.<sup>19</sup> Additionally, agriculture products comprise a large portion (approximately 85 percent) of Uganda's foreign exchange earnings.<sup>20</sup> Targeted interventions have seen significant improvements in crop yields, though subsistence farming accounts for over half of all agriculture production. Because of the dependence on agriculture, human welfare indices are very sensitive to instabilities in the sector that stem from factors such as volatile weather conditions or price falls in key commodities (e.g., coffee or fish).

In 2005 and 2006, 70 percent of the working population was engaged in agriculture and mainly self-employed. Compared to industry, agriculture employed 73 percent of the working population, and by occupation, 70 percent of the working population was agriculture and fishery workers.<sup>21</sup> The agricultural sector has grown slower than the overall economy. Major challenges facing Uganda include increasing its agricultural productivity and improving its physical infrastructure. Growth in Uganda has not led to the creation of sufficient non-agricultural employment opportunities. Uganda's burgeoning industry sector accounted for 8 percent of total employment, and the services sector accounted for 22 percent.

With an increasing population density, arable land is expected to become scarce in the coming years. Given that the bulk of the population is dependent on the agriculture sector, development of this sector's performance is considered key to meeting poverty reduction goals. For this reason, government policy since 2001 has focused on increasing agricultural production and productivity, transforming subsistence agriculture to commercial agriculture for increasing household incomes and creating non-farm employment opportunities.

## 2.4 NATIONAL DEVELOPMENT PLANNING

Largely due to improved political stability, Uganda experienced impressive and sustained economic growth over the last two decades (notwithstanding the northern Uganda conflict). The uninterrupted growth and focused government policy under the PEAP facilitated significant gains in human development. Uganda is on track to attaining several MDGs, and significant progress has been made in the areas of eradication of extreme poverty, universal primary education, gender equity and HIV/AIDS.

In 1997, the government implemented its first PEAP, an overarching national framework for poverty eradication. The Plan was subsequently revised in 2000, resulting in PEAP II (2000–2001 to 2003–2004), which spelled out four pillars for focused interventions: creating an enabling environment for sustainable economic growth and structural transformation; promoting good governance and security; increasing the ability of the poor to raise incomes; and enhancing the quality of life of the poor. The Plan was revised again in 2004, resulting in the formulation of PEAP III (2004–2005 to 2007–2008). PEAP III, with slightly modified national priorities, underlined five pillars for focused interventions: economic management; enhancing production, competitiveness and incomes; ensuring security, conflict resolution and disaster preparedness; good governance; and promoting human development. During the PEAP period, Uganda has made significant improvements in economic growth, reduced poverty, restored security and an increased confidence in the government's capacity to make a difference.<sup>22</sup> Building on this success requires deepening reforms and capitalizing on new opportunities for human and economic development.

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19. UNDP, 'Uganda Human Development Report: Rediscovering Agriculture for Human Development', 2007.

20. Ibid.

21. Government of Uganda, 'Statistical Abstract', Bureau of Statistics, 2009.

22. Oxford Policy Management, 'Independent Evaluation of Uganda's poverty Eradication Action Plan (PEAP)', Final Synthesis Report, July 2008.

The PEAP was seen to have limitations in aligning with the sector working groups approach. Furthermore, there were mixed results in aligning the PEAP with the Medium-Term Expenditure Framework and MDG outcomes. After implementing the PEAP over the past decade, the National Planning Authority is leading the preparation of the NDP in order to achieve 'Growth, Employment and Prosperity'. The objectives of the NDP are to: increase household incomes; enhance the quality and availability of gainful employment; improve the stock and quality of economic and trade infrastructure; increase access to quality social services; promote innovation and competitive industries; harness natural resources and the environment for sustainable development; and strengthen good governance and improve human security.<sup>23</sup>

In order to address the specific reconstruction and recovery needs of conflict-affected northern Uganda (e.g., large-scale population displacement, return and resettlement), the government launched the Peace Recovery and Development Plan (PRDP) for the period of 2007 to 2010. The PRDP has the specific objectives of consolidating state authority, rebuilding and empowering communities, revitalizing the economy, and peace-building and reconciliation. The PRDP is estimated to cost \$606 million, of which 30 percent is to be provided by the Government of Uganda and 70 percent by donors. The implementation of the PRDP had yet to begin.

The Karamoja Integrated Disarmament and Development Programme (KIDDP),<sup>24</sup> a medium-term framework, was devised to contribute to human security and to promote conditions for recovery and development in the Karamoja region.<sup>25</sup> The KIDDP harmonizes various development interventions of the government

(through medium-term sector budget framework processes) and support from bilateral and multilateral development agencies and international and national NGOs. The KIDDP builds on the Karamoja component in the PRDP. The overall goal of the KIDDP is to contribute to human security and promote conditions for recovery and development in Karamoja.

## 2.5 POVERTY AND HUMAN DEVELOPMENT

According to the 'Uganda National Human Development Report 2007', the country has made significant progress with regard to social and economic development. This is reflected in its Human Development Index (HDI) increasing from 0.488 in 2003 to 0.581 for 2005–2006. In 2007, Uganda had an average per capita income of \$300,<sup>26</sup> and there was a decline in poverty rates. Although progress in the improvement of economic growth and life expectancy indicators can be clearly seen, regional disparities in levels of human development continue to be a concern. In 2007, the central region continued to have the highest HDI of 0.650, followed by the eastern region with an index of 0.586, while the western region registered 0.564.<sup>27</sup> Comparatively, northern Uganda's HDI was significantly lower at 0.478, owing primarily to the residual effects of conflict in the region.

Uganda's stable macroeconomic climate, sustained high growth, and coordinated poverty eradication strategy under the PEAP contributed to poverty reduction during the 1990s and early 2000s. According to the 'State of Uganda Population Report in 2007', the national income-poverty headcount fell from 56 percent in 1992–1993 to 34 percent in 2002–2003, with a further decline to 31 percent in 2005–2006.<sup>28</sup>

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23. 'Formulation of the 5-Year National Development Plan (NDP)', Progress Report, December 2008–March 2009.

24. Government of Uganda, 'Karamoja Integrated Disarmament and Development Programme, Creating Conditions for Promoting Human Security and Recovery in Karamoja (2007/2008–2009/2010)', January 2007.

25. Ibid.

26. Government of Uganda, 'Uganda Demographic and Health Survey', 2007.

27. Ibid.

28. Government of Uganda, 'State of Uganda Population Report in 2007', Bureau of Statistics.

Poverty is more widespread in rural than urban areas, and the rate of poverty reduction within rural communities has been high. In rural areas, the corresponding decline was from 60 percent to 42 percent, and a further decline to 34 percent. In urban areas, it was 28 percent in 1992–1993 to 12 percent in 2002–2003 to an increase of 2 percent in 2005–2006.<sup>29</sup> Poverty rates remain the highest in the northern region, where between 2005 and 2006, 68 percent of the population was classified as income-poor. Poverty levels in the northern region have shown very little improvement during the past decade.<sup>30</sup>

Some of the primary causes of poverty highlighted in the PEAP and other government strategy documents include low agricultural productivity, low price levels and limited access to appropriate production technologies, markets, finance and infrastructure. The 2005–2006 Uganda National Household Survey indicated a general decline in inequality between 2002 and 2006 and a decline of the Gini coefficient from 0.43 to 0.41.<sup>31</sup> Significant gender disparities in poverty trends are attributed mainly to the predominance of women in the agricultural sector (91.5 percent of women wage workers are in the agricultural sector),<sup>32</sup> low levels of female literacy, limited access to productive resources, unemployment and the HIV/AIDS pandemic.

There have been positive trends in progress towards achieving several MDG targets, with the exception of infant mortality and maternal health indicators (see Table 2 and Annex 2). Achieving MDG targets in these two areas poses several challenges, and targeted government interventions have made limited improvements. As of

2006, life expectancy at birth was 50.5 years.<sup>33</sup> Maternal health indicators generally remained poor in the last two decades. The maternal mortality rate remained constant from 1995 to 2000, at about 505 deaths per 100,000 live births, and then decreased slightly to the current rate of approximately 435 deaths per 100,000 live births.<sup>34</sup> Given current trends, it is less likely that Uganda will meet either the maternal health or child-mortality reduction MDG targets.

The PEAP evaluation outlined that, in order to meet the government's target to reduce absolute poverty to below 10 percent of the population by 2017, the average economic growth rate of about 5.6 percent over the past five years needs to increase to 7 percent.<sup>35</sup> The slowdown in economic development, coupled with rapid population growth, indicates that underemployment will pose serious challenges to poverty alleviation strategies. Additionally, the 'Uganda MDG Progress Report 2007' highlights that many households remain vulnerable to poverty. The report indicates that there is risk of an increase in incidence of poverty, because of the lack of a diversified economic base, high vulnerability to commodity price volatility, small levels of asset ownership and few non-agricultural job opportunities.

In education, great strides have been made in providing universal primary education.<sup>36</sup> The introduction of universal primary education in 1997 led to a 132 percent increase in gross enrolment, from 3.1 million children in 1996 to 7.2 million in 2006.<sup>37</sup> The 2005–2006 National Household Survey shows that net enrolment was

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29. Ibid.

30. Government of Uganda, 'Statistical Abstract', Bureau of Statistics, 2009.

31. Ibid.

32. UNDP, 'Uganda Human Development Report: Rediscovering Agriculture for Human Development', 2007.

33. UNDP, 'Human Development Index 2008'.

34. Ibid.

35. Oxford Policy Management, 'Independent Evaluation of Uganda's poverty Eradication Action Plan (PEAP)', Final Synthesis Report, July 2008.

36. Ibid.

37. UNDP, 'Millennium Development Goals: Uganda's Progress Report', 2007.

**Table 2. Progress towards achieving Millennium Development Goals**

Goals and indicators	Progress			Target
	2000	2003	2005–2006	2015
<b>Goal 1: Eradicate extreme poverty and hunger</b>				
Poverty head count	33.80	37.70	31.10	28.00
Poverty gap	10.00	11.30	8.70	
Underweight moderate and severe	22.80		20.40	12.50
<b>Goal 2: Achieve universal primary education</b>				
Net enrolment ratio in primary education	84.00	90.00	84.00	100.00
Literacy rate, 15–24 years old	78.80	80.00	84.00	
<b>Goal 3: Promote gender equality and empower women</b>				
Ratio of girls to boys in primary education	0.99	0.99	0.96	1.00
Ratio of girls to boys in secondary education	0.79	0.82		1.00
Ratio of girls to boys in tertiary education		0.55		1.00
Ratio of literate women to men, 15–24 years old	0.84	0.90	0.92	1.00
Proportion of seats held by women in Parliament	19.00	25.00		50.00
Share of women in wage employment in the non-agricultural sector		39.20	28.2	50.00
<b>Goal 4: Reduce child mortality</b>				
Under-five mortality (per 100,00 live births)	152.00		137.00	56.00
Infant mortality rate	88.40		76.00	31.00
Proportion of 1-year year-old children immunized against measles	56.80		68.10	90.00
<b>Goal 5: Improve maternal health</b>				
Maternal mortality ratio (per 100,000 live births)	505.00		435.00	131.00
Proportion of births attended by skilled health personnel	39.00		41.10	90.00
<b>Goal 6: Combat HIV/AIDS, malaria and other diseases</b>				
HIV/AIDS orphans (thousands)	884.00			
HIV/AIDS prevalence among 15–24 year pregnant women, 15–24 years old		4.90*		
Condom use at last higher-risk sex, 15–24 years olds	49.80	55.10	52.90	
Male			65.30*	
Female			27.10*	
Contraceptive prevalence rate among women, 15–49 years old	23.00	64.50	23.60	
Proportion of people 15–24 years old who have comprehensive knowledge of HIV/AIDS	28.00		32.10	
<b>Goal 7: Ensure environmental sustainability</b>				
Proportion of land area covered by forest	21.30		18.30	
Proportion of population with access to improved water source (urban)	87.00	84.00		100.00
Proportion of population with access to improved water source (rural)	57.00	53.50	58.50	62.00
Proportion of population with access to improved sanitation	82.00	87.00		
<b>Goal 8: Develop a global partnership for development</b>				
Unemployment rate, 15–24 years old		6.30	3.40	
Debt relief committed under the HIPC initiative	\$69.7M	\$86.6M		
Debt service as a percentage of exports of goods and services	20.40		15.80	

Source: Government of Uganda, 'Statistical Abstract', Bureau of Statistics, 2009.<sup>38</sup>

38. Note: More indicators exist but are not listed above because of absence of data.\*The figure is for 2002.

Source: Indicators 1, 2, 4, 6, 7, 8, 9, 11, 23, 24, 25, 26 – UNHS, Uganda Bureau of Statistics  
3, 5, 12, 13, 14, 15, 16, 18, 19, 20 – UDHS, Uganda Bureau of Statistics  
27, 28 – Ministry of Finance, Planning and Economic Development  
10 – Ministry of Gender, Labour and Social Development  
22 – Uganda Forestry Authority  
19 – 2006 UDHS, Uganda Bureau of Statistics  
HIV/AIDS Sero-Behavioural Survey, 2004–2005  
UDHS 2005–2006

84 percent.<sup>39</sup> The enrolment gap between boys and girls improved at the primary school level, with the proportion of girls in total enrolment rising to virtual parity with boys—49 percent in 2004, up from 44 percent in 1990.<sup>40</sup> School participation varied across regions and the provision of primary education in conflict areas continues to be a significant challenge for the government, as education delivery in northern Uganda remains heavily reliant on humanitarian agencies, including the United Nations Children’s Fund (UNICEF), the World Food Programme, NGOs and faith-based organizations. There is gender disparity in adult literacy rates for ages 15 and above. In 2006, the male literacy rate was 81.2 percent, while the female literacy rate was only 64.1 percent.<sup>41</sup>

## **2.6 SECURITY AND CONFLICT RESOLUTION**

The human and social costs of conflict have been high. Approximately 1.8 million people were internally displaced, and thousands were killed. The conflict, civil strife and insecurity impoverished the people in the eastern and northern regions, leading to significant setbacks in socio-economic development—especially in democratic participation, education, food production, health care, sanitation and hygiene, and other basic rights. Suffering in the affected subregions was increased due to conflicts resulting from cattle-raiding in Karamoja region and natural disasters, such as the 2007 floods that led to further displacement.

Following the cessation of hostilities in the north, the government faces the challenge of ensuring lasting security in the region and reducing disparities in human development. Although targeted programmes are already in place for the development of north and north-eastern regions, the low levels of economic and human develop-

ment require substantial allocation of resources to bridge regional disparities in development.

## **2.7 REDUCING RISK OF HIV/AIDS**

In Uganda, as elsewhere in sub-Saharan Africa, the HIV/AIDS pandemic has caused vast human suffering, impeded human and economic development, orphaned over a million children and reduced life expectancy. Over 1 million HIV/AIDS-related deaths have been recorded since the disease was first reported in the country.<sup>42</sup> The disease has had long-term impacts on the labour force, education system, public services and families, particularly in poor households. Subsequent to comprehensive and collaborative programmes led by the government, there has been a decline in HIV/AIDS prevalence from a peak of 18 percent of the population in 1992 to about 6 percent in 2007.<sup>43</sup> Success in reducing the spread of HIV/AIDS in Uganda is mainly due to the broad-based national commitment, as well as effort and support from development partners, civil society and the health sector. Despite Uganda’s impressive success in prevention and care, HIV/AIDS remains a significant threat to the development of the country, and the recent upturn in HIV/AIDS prevalence has been a cause for concern.

## **2.8 GENDER EQUITY**

There has been a determined effort by the government of Uganda to further gender equality in development planning and policy. Promotion of gender equality has been emphasized in the PEAP, PRDP and KIDDP. The Constitution of Uganda guarantees equality between women and men under the law in the spheres of political, social and cultural life. A number of laws have been revised in line with this constitutional provision; these include the Local Governments

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39. Government of Uganda, ‘Uganda National Household Survey 2005–2006’, Bureau of Statistics.

40. Ibid.

41. Ibid.

42. UNDP, ‘Millennium Development Goals: Uganda’s Progress Report’, 2007.

43. Ibid.

Act (Cap 243), the Land Act (Cap 227), the Land Acquisition Act (Cap 226) and the National Agricultural Advisory Services Act. Further, the government formulated the National Gender Policy in 1997 and revised it in 2007 to ensure that all government policies and programmes are consistent with the long-term goal of eliminating gender inequalities.

The government took measures to implement gender budgeting and to include gender as a cross-cutting issue in various sector-wide approach plans. Parliamentarians were sensitized on ways of addressing gender issues in governance. The formation of associations such as the Uganda Women Parliamentary Association and Children's House were aimed towards this. Uganda is also a signatory to international gender conventions, including the United Nations Convention on the Elimination of All Forms of Discrimination against Women, and the Beijing Declaration and its Platform for Action.

Since 1990, Uganda has implemented affirmative action policies to increase women's participation in higher education, political participation and public positions. Significant progress has been made in electoral participation, and women representatives comprise 30 percent of the Parliament elected in 2006. One third of seats are reserved for women at the council level. Following the implementation of universal primary education, the gender enrolment gap has approached parity. The reservation of seats for women in universities and other tertiary institutions contributed to an increase in the proportion of women to total student enrolment, increasing from 31 percent in 1993 to 42 percent in 2004.<sup>44</sup>

Despite government efforts and progress in some areas, there are gender disparities in adult literacy, health care access, incidence of HIV/AIDS,

employment rates and access to financial services.<sup>45</sup> Gender inequalities were further increased in northern Uganda due to prolonged conflict.

Women account for only 37 percent of public-sector employees and only 29 percent of private-sector workers. The majority of female workers are categorized as unpaid family workers (46 percent of the female labour force). There are also wide gender differences in wages, especially in the private sector. Across the country, the median monthly salary for men is \$37.68, roughly twice that of women.

Maternal mortality is high in Uganda and is one of the areas where achieving the MDGs poses challenge. High levels of fertility and morbidity have been a challenge, constraining women's ability to acquire human capital and participate in gainful employment. Women-headed households are more vulnerable to poverty.

Disparities in women's access to justice are significant, given the high rate of violence against women.<sup>46</sup> Domestic violence is widespread in Uganda, with at least 50 percent of married women reporting some form of physical or sexual violence in the past 12 months.<sup>47</sup> While bills have been introduced to address domestic violence and prevent offences against women, legal procedures often put a higher burden of proof on women.

## 2.9 SUSTAINABLE ENVIRONMENT

Sustainable use and management of the environment are key to meeting Uganda's human and economic development goals. Uganda has significant natural resources, including regular rainfall and deposits of cobalt, copper, gold and other minerals. In 2007, Uganda reported 7.2 million hectares of arable land under crop agriculture, which is less than 50 percent of its arable land. The National Environment Management Authority estimates

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44. UNDP, 'Millennium Development Goals: Uganda's Progress Report', 2007.

45. Ibid.

46. Government of Uganda, 'Gender Inequality in Uganda: The status, causes and effects', Discussion Paper 1, Ministry of Finance, Planning and Economic Development, 2006.

47. Government of Uganda, 'Gender and Productivity Survey', Office of the Prime Minister, 2009.

that, due to Uganda's rapidly growing population, there will be a decrease in the available arable land by 2022.<sup>48</sup> The land available for agriculture in the eastern region is likely to decrease by 2010. Uganda's environmental challenges are compounded by additional concerns, including climate change, soil erosion, deforestation, water resource pressures and poor waste management.

In 2005, the Government of Uganda began to promote tourism from an environmental perspective, investing \$1 million in an international campaign to promote ecotourism. Government strategy documents highlight long-term plans to capitalize on new eco-friendly opportunities for the country, including bio fuels and sustainable consumption and production.

## **2.10 NATIONAL DEVELOPMENT CHALLENGES**

Uganda is at a critical stage of economic and human development. Despite nearly 20 years of impressive economic performance, coupled with steadily declining poverty rates, the country still faces several challenges with regard to meeting key economic and social development targets. Though Uganda is on track to meet several of its MDG goals, success in actually attaining them will require prolonged periods of strong economic growth (at least 7 percent per annum), a significant reduction in the population growth rate and an equitable distribution of growth and development. The government's final synthesis report reviewing the effectiveness of the PEAP pointed out that simultaneously securing these three outcomes will prove a major challenge.<sup>49</sup> In addition, environmental sustainability remains a major challenge for Uganda, further heightened by impact of climate change.

Despite progress in poverty reduction, regional disparities in human development remain high,

particularly between the greater north and the rest of the country. As discussed earlier, this is largely the result of pervasive conflicts that have plagued northern Uganda for over two decades.

Uganda held its first multiparty elections in 2006, and developing a strong multiparty democracy remains a key objective—an area where support is strongly needed. Similarly, further progress needs to be achieved in the rule of law and justice sectors. Challenges remain in maintaining functioning local council courts, and issues of transparency, accountability and corruption require prolonged and concerted efforts by the government and development partners.

With efforts towards accountability and good governance reaching the decentralized levels of local government, specific support is needed to ensure that local governments have the necessary resources and conditions that lead to effective governance. Of particular concern is the increase in the number of districts—from 44 to 80 in six years, with 14 more announced. This is a major concern for both the government's budget and development partners, as limited resources have to be divided among an increasing number of recipients.

## **2.11 DEVELOPMENT ASSISTANCE**

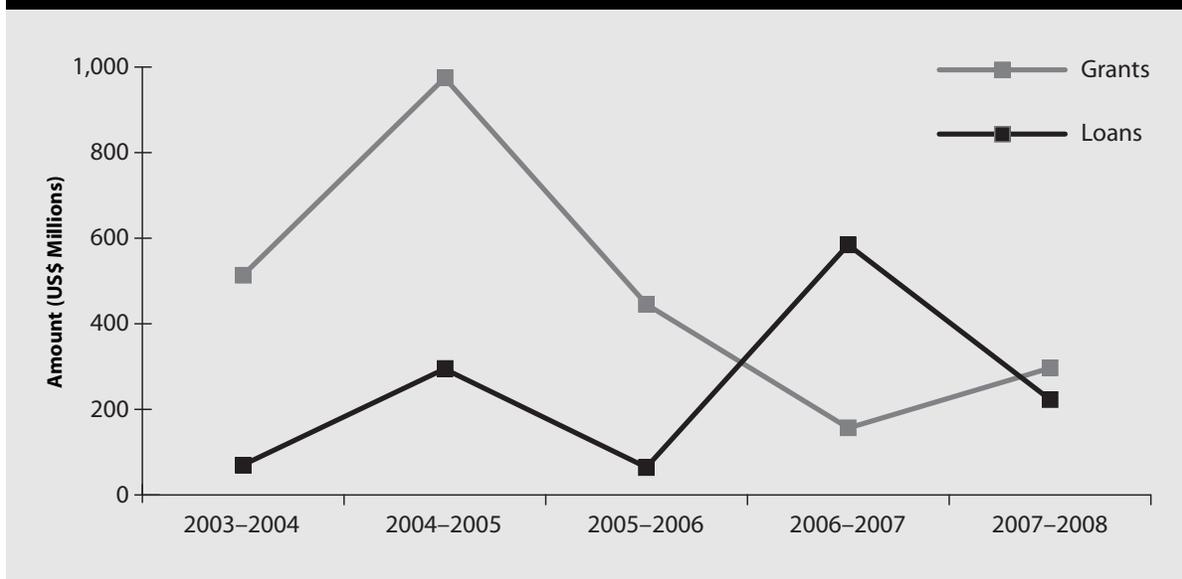
Uganda has been a recipient of substantial multilateral and bilateral development cooperation and aid. In the past decade, bilateral and multilateral donor assistance strategies have become more closely aligned with the PEAP, notably through the increased prevalence of sector or general budget support as opposed to specific project support. It was intended that with a common poverty eradication goal, external development assistance to Uganda could be considerably increased and would be more consistent. In line with the Paris Declaration,

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48. Government of Uganda, 'National State of the Environment Report for Uganda 2007', National Environment Management Authority, Kampala.

49. Oxford Policy Management, 'Independent Evaluation of Uganda's poverty Eradication Action Plan (PEAP)', Final Synthesis Report, July 2008.

**Figure 2. Total donor commitments, 2003–2004 to 2007–2008**



Source: Government of Uganda, 'Development Cooperation Uganda, 2007–2008 Report'.

commitment to support the PEAP was seen as a way of enhancing aid harmonization. For donors providing general budget support, the government established a framework under the Ministry of Finance, while donors providing project aid are strongly encouraged to develop new projects that align with the PEAP framework.

On average, donor commitments during the period 2003–2004 to 2007–2008 were \$722.8 million annually. In 2003–2004, total donor commitment was \$583.5 million, which more than doubled in 2004–2005 to \$1,269.8 million, before decreasing to \$509.8 million in 2005–2006. The decline was due to aid cutback by some donors, because of delayed fulfilment of related good governance conditionality. An additional factor in the cutback was an effort to integrate project aid into the Medium Term Expenditure Framework. The trend reversed to an increase in 2006–2007, up to \$741.6 million. During the 2007–2008 financial year, a total of \$519.5 million was committed.<sup>50</sup> The development

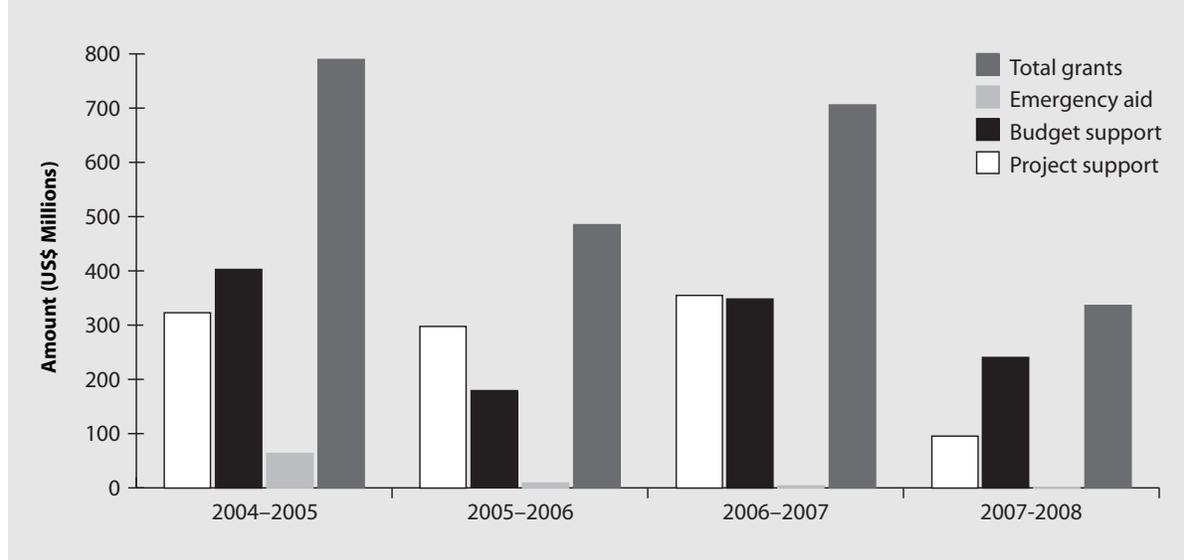
assistance was largely grants, with the exception of the year 2006–2007, when the amount of loans was higher (see Figure 2). Health, education, agriculture, accountability and public-sector management received a larger share in terms of percentage of support (see Table 2B in Annex 2). Among the project grants, the support was mainly to water and environment, education, health, land and housing, and road and other works.

Budget support remains the government's preferred modality and accounts for a substantial portion of Uganda's development aid (see Figure 3). The mechanisms of general budget support worked effectively, and the government provided adequate policy space for donors to engage.

The Uganda Joint Assistance Strategy was collaboratively designed by seven development partners, including the African Development Bank, The World Bank and the governments of Germany, the Netherlands, Norway, Sweden and the United Kingdom. The objective of the joint strategy was to articulate a synchronized

50. Government of Uganda, 'Development Cooperation Uganda, 2007–2008 Report'.

**Figure 3. Total grant disbursements, 2004–2005 to 2007–2008**



Source: Government of Uganda, 'Development Cooperation Uganda, 2007–2008 Report'.

development financing strategy to support the PEAP. Twelve of Uganda's main development partners joined the strategy in order to work more effectively to support the government. A recent evaluation concluded that the Uganda Joint Assessment Strategy had limited success in coordinating donor activities.

The PEAP evaluation found that the processes had facilitated greater cooperation and collaboration between the Government of Uganda and a growing number of development partners, improving quality of resource mobilization. Nonetheless, the evaluation also found that these developments still fell short of the original expectations.<sup>51</sup> While the official development assistance volume has indeed grown, the expectation that such expansion would be sustained, and that aid would become less volatile and more predictable, has not been met.<sup>52</sup>

Emergency and humanitarian aid was high during the 2004–2005 fiscal year and decreased

in the subsequent years, mainly due to the cessation of conflict. Humanitarian assistance for the year 2007–2008 was \$45.63 million, and the main donors include the UK Department for International Development, the European Union, Sweden and Norway.

Uganda benefited from debt cancellation under the Heavily Indebted Poor Countries Debt Initiatives of 1998 and 2001. This enabled the country to establish a Poverty Action Fund, into which savings made from debt servicing were deposited for funding high priority poverty-reduction programmes. The 'National MDG Progress Report 2007' notes that all universal primary education expenditures are funded from the Poverty Action Fund. In addition, the report found that, as a whole, education sector financing increased significantly, from 2.1 percent of GDP in 1995 to 4.8 percent of GDP in 2003–2004.

According to the development cooperation report, Uganda operates a cash budget and thus

51. Oxford Policy Management, 'Independent Evaluation of Uganda's poverty Eradication Action Plan (PEAP)', Final Synthesis Report, July 2008, p. 25.

52. Ibid, p. 23.

**Table 3. Summary of disbursements by type of assistance, 2003–2004 to 2007–2008 (US\$)**

Type of assistance	2003–2004	2004–2005	2005–2006	2006–2007	2007–2008
Debt relief	0	669,538	0	0	1,912,364
HIPC debt relief	61,650,000	65,080,000	81,200,000	51,620,000	50,000,000
Budget support	454,319,015	441,643,231	225,945,095	615,364,849	243,941,181
Oil	0	0	0	0	0
Other balance of payments support	0	0	0	0	0
Emergency relief assistance	46,988,679	59,946,613	668,600	474,028	0
Food aid	1,400,000	2,500,000	6,711,182	0	0
Free-standing technical cooperation	56,554,502	35,201,324	57,474,083	51,348,669	8,345,647
Investment project assistance	350,837,978	277,754,190	172,782,474	332,584,945	177,874,077
Investment-related technical assistance	133,817,842	141,843,394	178,946,632	183,394,834	15,202,850
Other project-related assistance	15,202,312	14,844,062	10,367,906	42,303,496	14,800,563
<b>Total</b>	<b>1,120,770,328</b>	<b>1,039,502,352</b>	<b>734,095,972</b>	<b>1,277,090,821</b>	<b>512,076,682</b>

Source: Government of Uganda, 'Development Cooperation Uganda, 2007–2008 Report'.

only realized revenue can be spent. Implementation ratios for counterpart funding have been on an increasing trend due to fulfilment of some good governance targets. In particular, the implemen-

tation ratio for 2007–2008 was 99 percent, followed by 2006–2007 with 117 percent and 2005–2006 with 89 percent, which indicates better implementation of the budget.<sup>53</sup>

53. Government of Uganda, 'Development Cooperation Uganda, 2007–2008 Report'.



## Chapter 3

# UNDP AND THE UN IN UGANDA

The UN system brings together UN agencies based in Uganda, non-resident UN agencies supporting development interventions<sup>54</sup> and Bretton Woods institutions.<sup>55</sup> The Resident Coordinator heads the UN system for the coordination of development operations at the country level. UNDP is the host agency for the Resident Coordinator system, funded through resources raised by UNDP, the United Nations Development Group and contributions from UN agencies. The Resident Coordinator, who acts as UNDP Resident Representative, is also the Humanitarian Coordinator in Uganda. The United Nations Country Team (UNCT) comprises UN agencies supporting the Government of Uganda.

The UN system, other international agencies and national organizations supported the Government of Uganda formulate and revise the PEAP and sector-wide policies and plans for health, education and agriculture. The UN perceives its neutrality as a contributing factor in advocating human development and democratic governance, holding regular elections, and observing and protecting human rights. By deploying its combined resources, the UN system intends to better assist the Government of Uganda in addressing development challenges and achieving the Millennium Declaration targets, the MDGs and national development objectives.

To complement institutional knowledge and resources, and to enhance contributions to national development results, the UNCT implemented the UNDAF for the period 2001–2005 and 2006–2010 (abridged to 2009). To align with the Uganda NDP for 2009–2014, the UN system shortened its 2006–2010 UNDAF by one year and developed a new 2009–2014 UNDAF. The forthcoming Government of Uganda/UNDP country programme is derived from the UNDAF and is for the same period as the NDP.

UNDP began supporting Uganda in 1977, with the endorsement of the Standard Basic Assistance Agreement by the Government of Uganda and UNDP. Though UNDP has been providing assistance for over three decades, the first structured country programme was implemented in 1997. The 1997–2000 country programme had the overall objective of promoting democratic governance for poverty eradication. The two thematic areas covered during this period included:<sup>56</sup>

- 1) **Decentralized governance**, with particular emphasis on capacity development for participatory formulation and management of district- and local-level policies and programmes related to poverty eradication; and

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54. These are: Food and Agriculture Organization of the United Nations, United Nations Office for the Coordination of Humanitarian Affairs, United Nations Office of the High Commissioner for Human Rights, Joint United Nations Programme on HIV/AIDS, United Nations Department for Safety and Security, United Nations Population Fund, United Nations High Commissioner for Refugees, UNICEF, UNDP (along with UNCDF and United Nations Development Fund for Women), World Health Organization and World Food Programme. In addition, UN coordination brings together non-resident agencies, including: United Nations Human Settlements Programme; International Fund for Agricultural Development; International Labour Organization; United Nations Educational, Scientific and Cultural Organization; United Nations Industrial Development Organization; United Nations Environment Programme; UNV; and International Organization for Migration.

55. International Monetary Fund and The World Bank.

56. UNDP, 'First Country Cooperation Framework for Uganda (1997–2000)'.

- 2) **Private-sector development**, with particular emphasis on the development of small-scale and micro-enterprises as a means of fighting poverty.

Cross-cutting issues that were addressed included: the role of women in development activities; the fostering of environmentally sustainable livelihoods; and the mitigation of the socio-economic impact of the HIV/AIDS epidemic in Uganda.

### **3.1 UNDAF AND SECOND UNDP COUNTRY PROGRAMME (2001–2005)<sup>57</sup>**

In 2000, the UNCT carried out its first Common Country Assessment (CCA), 'Uganda: Promise, Performance and Future Challenges'. The CCA served as a key resource in furthering a coordinated approach to UN agencies' development assistance to Uganda and acted as the basis in the ensuing formulation of the first UNDAF.

The CCA outlined the challenges that faced the government, particularly in combating the HIV/AIDS epidemic of the late 1990s, during which one in every ten adults was infected with the disease. There was also concern regarding sustaining the sharp declines achieved in HIV/AIDS infection rates during the 1990s. Another area of concern pointed out in the CCA was the impact of conflict on people living in northern Uganda. With over 2 million children orphaned as a result of HIV/AIDS and conflict in northern districts, the national strategy placed high priority on minimizing the risks of HIV/AIDS and addressing conflict-related issues. Uganda also needed significant foreign development assistance in order to achieve its development goals. The CCA noted that widespread corruption and armed conflicts were a drain on the national budget, contributing to slow growth, stunted development and reduced levels of social justice throughout the country.

The UNDAF, drawing on the needs and priorities identified in the CCA, was closely aligned with the PEAP. The UNDAF outlined four goals for UNCT programming, derived from Uganda's overarching goal of reducing the proportion of people below the poverty line to less than 10 percent by 2017. The four UNDAF goals were to contribute to:

1. Sustainable, broad-based and equitable economic growth and social transformation;
2. Enhanced observation of human rights and the promotion of good governance, gender equality and security;
3. Sustainable interventions for empowering the poor to raise their incomes; and
4. Enhanced quality of life for the Ugandan population, with a particular focus on the poor and vulnerable groups.

Particular attention was to be given to mainstreaming the cross-cutting issues of human rights, HIV/AIDS, the environment and gender.

#### **3.1.1 UNDP SECOND COUNTRY PROGRAMME (2001–2005)<sup>58</sup>**

The second country programme, covering the 2001–2005 period, had the overall objective of promoting good governance for poverty eradication (also the objective of the first country programme). This objective was considered valid after reaffirmation of the PEAP as the guiding framework for all national development programmes.

The second country programme was intended to include: more targeted programmatic interventions; clearer development partnerships and resource mobilization strategies; a results/outcomes orientation, with upstream support for official development assistance coordination; and capacity-building for policy and strategy formulation. Two mutually supportive thematic areas in which to pursue the programme's policy objective were identified:

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57. United Nations Uganda, 'Common Country Assessment for Uganda (2000)' and 'United Nations Development Assistance Framework for Uganda (2001–2005)'.

58. UNDP, 'Country Cooperation Framework for Uganda (2001–2005)'.

- 1) **Good governance**, with particular emphasis on policy and institutional development support in the realms of political, economic and administrative governance; and
- 2) **Income-generation and sustainable livelihoods**, with particular emphasis on: directly addressing poverty through the promotion of micro- and small-scale enterprises; and raising incomes, food security and the households and communities' welfare through sustainable utilization and conservation of the environment and natural resources.
3. Supporting programmes aimed at reintegrating adult ex-combatants or reporters;<sup>59</sup> and
4. Developing lessons from pilot projects in order to inform a more comprehensive project.

The TRP was intended to commence and be implemented on a pilot basis from 2004 through 2005. This time was intended as a preparatory phase from which lessons and good practices would be drawn to assist the development of a long-term recovery programme. The programme was extended by one year due to delays in implementation.

The two outcomes outlined in the country programme were in alignment with the four goals of the revised PEAP, which included: economic growth and transformation; good governance and security; increased ability of the poor to raise their incomes; and improved quality of life of the poor. In the two programme areas, the cross-cutting themes that were identified to be mainstreamed throughout UNDP programming comprise gender, HIV/AIDS and environment.

During the second country programme, UNDP developed the Transition to Recovery Programme (TRP) in order to provide structured support to post-conflict return and reintegration. The TRP aimed to address the humanitarian and development challenges of northern and eastern Uganda through a package of interventions in four areas:

1. Promoting livelihoods and reducing the food aid dependency of internally displaced persons through training and support to alternative income generation projects;
2. Capacity building for the Office of the Prime Minister and other governmental bodies (i.e., District Disaster Management Committees), in order to strengthen the government's capacity to address the problem of internal displacement at the central level and in seven selected conflict-affected districts;

### **3.2 UNDAF AND THIRD UNDP COUNTRY PROGRAMME (2006–2009)<sup>60</sup>**

In 2004, the CCA identified constraints in achieving the economic and human development targets outlined in the PEAP and the MDGs. Key challenges identified included fast population growth, a large population of internally displaced persons, high infant and maternal mortality rates, regional disparities in conflict-affected districts, deteriorating natural resources and natural disasters.

Based on the needs identified in the CCA, the four areas for inter-agency collaboration identified in 2006–2009 UNDAF are:

1. Reducing poverty and improving human development;
2. Developing good governance and protecting and promoting human rights;
3. Supporting the national HIV/AIDS response; and
4. Accelerating the transition from relief to recovery in conflict-affected areas.

#### **3.2.1 UNDP THIRD COUNTRY PROGRAMME (2006–2009)**

Based on the CCA and the UNDAF, and in collaboration with the Government of Uganda,

59. Ex-combatants are referred to as 'reporters'.

60. United Nations Uganda, 'Common Country Assessment for Uganda (2004)' and 'United Nations Development Assistance Framework for Uganda (2006–2009)'.

**Table 4. Country programme outcomes 2006–2010<sup>61</sup>**

<b>Pillar 1: Poverty reduction</b>	<b>Pillar 2: Democratic governance</b>	<b>Pillar 3: Crisis prevention and recovery</b>
Increased national capacity for monitoring and policy dialogue on MDG progress	Deepened democratic processes and strengthened institutions in order to address national development challenges	Strengthened national conflict resolution, peace-building and reconciliation processes and capabilities
Integrated local initiatives into national strategies for poverty reduction	Enhanced capacities for the promotion and administration of justice and human rights	Strengthened national capacities for recovery in conflict-affected areas
Developed strategies for sustainable land management in rangelands	Improved transparency and accountability in government institutions	Created a secure environment for recovery and development
		Strengthened national capacities to reduce the threats and effects of land mines and unexploded ordnance

UNDP identified three key programmatic areas of practice (called pillars): poverty reduction, democratic governance, and crisis prevention and recovery. The programme outlined the rights-based approach, gender, HIV/AIDS and environment as cross-cutting issues. The outcomes of the programme are listed in Table 4. Originally intended to run for five years (from 2006 to 2010), the programme was abridged to four years in order to align with the time-frame of the NDP.

The interventions identified under the three programme areas are:

**Building capacity to reduce human poverty** under the poverty reduction pillar was intended to focus on scaling up policy advice, coordination and monitoring in support of the Government of Uganda's efforts to achieve the MDGs. UNDP support aimed to address poverty reduction through the promotion of micro-finance and small and medium-sized enterprises. Priorities in this area include strengthening the institutional capacity to deliver business development services and enabling the improvement of policies and regulations for small and medium-sized enterprises.

In addition, UNDP programmes intended to support the government's efforts to promote the sustainable utilization and conservation of environment and natural resources in order to raise income and enhance food security and welfare of households and communities. Pilot projects are to be developed in the area of sustainable human development, such as those that blend income generation with energy and environmental conservation. In addition to pilot projects, the poverty reduction programme aims to integrate energy and environmental concerns into national planning processes, ensuring that the poor will have access to modern and affordable energy services. Support is also being provided to strengthen the national disaster response.

**Promotion and consolidation of the democratic governance pillar** was intended to strengthen democratic governance at the national and local levels. Support was provided to key anti-corruption institutions and national democratic instruments and institutions. The programme supported building capacity of government institutions on human rights and the administration of justice. The planned interventions include: the strengthening of capacities for the implementation of the

61. UNDP Uganda, 'Uganda Programme Overview', presentation.

African Peer Review Mechanism/New Partnership for Africa's Development component in Uganda; the deepening of the democratic process; the strengthening of democratic institutions; the promotion of transparency and accountability through a rights-based approach; and the furthering of the effectiveness of local governance structures through participatory planning.

Additionally, it was intended that governance policy support would be provided to HIV/AIDS issues. In partnership with government institutions, the Joint United Nations Programme on HIV/AIDS and other agencies, UNDP aimed to mainstream HIV/AIDS into national policy frameworks.

**Support to the conflict prevention, resolution and recovery pillar** followed the TRP and other interventions in the previous country programmes and intended to further strengthen government efforts to respond to post-conflict recovery and reintegration. Programme interventions include the return and reintegration of internally displaced persons and ex-combatants, human security, and peace-building and reconciliation. The programme was intended to reduce regional imbalances in terms of achieving the MDGs through the creation of an enabling environment for peace and the resettlement, reintegration, security and socio-economic recovery of conflict-affected populations and host communities. UNDP is the cluster lead for early recovery (titled Governance, Infrastructure and Livelihoods Cluster), and support for strengthening early recovery cluster coordination was one of the programme interventions.

During the programme period, a Crisis Management and Recovery Programme was outlined to: support the recovery of post-conflict communities through their transition from relying on humanitarian relief to self-reliance and the ability to withstand calamities; create a culture of peace by establishing mechanisms that will root and build peace within communities

that have experienced conflict and are transitioning to relative peace (as well as communities experiencing unstable peace); and support communities to cope, be resilient and manage natural and human-induced disasters.

### **3.3 UNDP RESPONSE AND PROGRAMMING PORTFOLIO**

UNDP has undertaken a large number of interventions in Uganda over the past nine years. There were 58 interventions, for different durations, during the 2001–2009 programming period. This includes 29 interventions in poverty reduction and environment, 19 in governance, and 10 projects that supported crisis prevention and recovery in the ongoing country programme. The programme portfolio was \$92 million for the two programme cycles. See Annex 3 for activities supported under each practice area.<sup>62</sup>

Five interventions from the second country programme have been extended in the third country programme, providing more than nine years of continued support to specific interventions (in some cases, the interventions had been initiated under the first country programme). Most interventions had small budgets, with the exception of two projects that had budgets of \$3.3 million and \$0.8 million (see Annex 3).

### **3.4 RESOURCE MOBILIZATION AND PROGRAMME DELIVERY**

Detailed financial information was not available for the 2001–2003 period, reportedly because the ATLAS system had not yet been introduced. According to country office information for this period, expenditures were approximately \$4 million annually, all of which were from core funds. In 2004 (coinciding with the introduction of the ATLAS system), the country office was able to provide more detailed financial information. For the 2004–2009 period, total expenditures have been \$80 million.

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62. The information included for each practice area was provided by UNDP Uganda.

**Table 5. Programme funding by practice area, 2004–2009 (US\$)**

Practice area	2004		2005		2006		2007		2008		Total 2004–2008		2009*		Total 2004–2009	
	Expend.	Exp.%	Expend.	Exp.%	Expend.	Exp.%										
Achieving MDGs and reducing poverty	5,690,000	54.30	4,777,000	47.10	136,000	0.95	2,933,000	16.64	6,887,906	30.64	20,423,906	26.74	1,500,193	42.99	21,924,099	27.45
Energy and environment for sustainable development	1,732,000	16.53	1,497,000	14.76		0.00	628,000	3.564	1,383,415	6.15	5,240,415	6.86	288,266	8.26	5,528,681	6.92
Fostering democratic governance	2,562,000	24.45	2,403,000	23.69	3,171,000	22.15	4,395,000	24.94	7,170,042	31.90	19,701,042	25.79	844,840	24.21	20,545,882	25.72
Crisis prevention and recovery	200,000	1.91	119,000	1.17		0.00	4,851,000	27.53	5,820,838	25.90	12,340,042	16.15	636,728	18.25	12,976,770	16.25
Not specified	294,000	2.81	1,347,000	13.28	11,011,000	76.90	4,816,000	27.33	1,214,948	5.41	18,682,948	24.46	219,224	6.28	18,902,172	23.66
<b>Total</b>	<b>10,478,000</b>	<b>100.00</b>	<b>10,143,000</b>	<b>100.00</b>	<b>14,318,000</b>	<b>100.00</b>	<b>17,623,000</b>	<b>100.00</b>	<b>22,477,149</b>	<b>100.00</b>	<b>76,388,353</b>	<b>100.00</b>	<b>3,489,251</b>	<b>100.00</b>	<b>79,877,604</b>	<b>100.00</b>

Source: UNDP Uganda.

Combining the 2001–2003 estimate and the 2004–2009 ATLAS figures, total country office expenditures between 2001 and 2009 were \$92 million. Different proportions of the budget (13 percent in 2005, 76 percent in 2006, 27 percent in 2007 and 5 percent in 2008) were not allocated to specific practice areas, thereby limiting the level of analysis that could be done to understand funding and expenditure patterns. See Table 5 for annual expenditures for various practice areas.

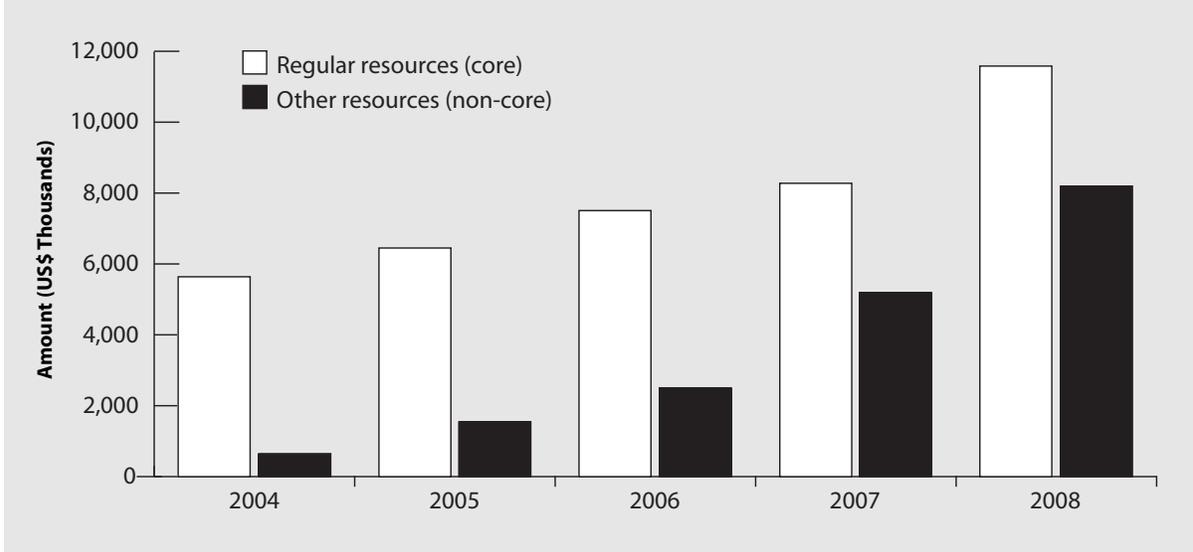
Figure 4 illustrates the ratio of core to non-core resources. There have been significant increases in core and non-core funding, and core funding has been substantially high since 2006.

### 3.5 PROGRAMME EXECUTION

To enhance local ownership of development activities and build capacity to manage aid, UNDP adopted a national implementation modality. During the assessment period, about 90 percent of programmes were implemented through the Aid Liaison Department (ALD) located in the Ministry of Finance, Planning and Economic Development (MFPED). The ALD, established in 1998 and operational through 2008, was set up to implement UNDP supported programmes.

Between 1997 and 2008, UNDP provided substantial support to the ALD and supported 43 staff positions. The support was ended in January 2008 by mutual agreement of MFPED and UNDP. While UNDP will continue the national implementation modality in providing support to government interventions, the details of execution have yet to be worked out.

**Figure 4. Core and non-core resources**





## Chapter 4

# CONTRIBUTION TO DEVELOPMENT RESULTS

This chapter presents the evaluation findings and discusses the UNDP contribution to development results identified in the 2001–2005 and 2006–2009 country programmes. The discussion is organized by the following practice areas: democratic governance, poverty reduction, and crisis prevention and recovery.

### 4.1 DEMOCRATIC GOVERNANCE

During the past 15 years, Uganda has made substantial progress in the area of democratic governance. Despite efforts to strengthen democratic systems, challenges remain in consolidating multiparty democracy, deepening the foundations of democratic governance and reducing corruption. The 2005–2009 Joint Assessment Strategy on Governance noted that, compared to its ranking in the mid-1990s, Uganda's governance rating in the 2000s had improved.

In 1998, UNDP assisted Uganda in designing a good governance programme, leading to the development of the 'Good Governance for

Poverty Eradication Programme (2001–2005)'.<sup>63</sup> The overall objective of UNDP support was to strengthen key central government institutions' capacities outlined in the Uganda good governance programme, in order to enable poverty eradication through decentralized, broad-based and equitable development. The intended overall outcomes were increased efficiency, transparency and accountability in the public sector. The current country programme identified three governance outcomes in the areas of deepening democratization, justice and human rights, and transparency and accountability. Table 6 presents the number of interventions under each area. There were five interventions that were not directly linked to the stated outcomes.

#### 4.1.1 SUPPORT TO ENHANCING POLICY

UNDP involvement in governance outlines support to informing policy-making as a key objective. UNDP appears to have had limited proactive participation in national policy discussions with government and development

**Table 6. Outcome areas and interventions**

Governance outcome areas	Number of interventions
Transparency and accountability	7
Democratic process deepened and institutions strengthened	4
Justice and human rights	3
Others	5
<b>Total</b>	<b>19</b>

63. UNDP, 'Country Programme Action Plan (2006–2010) for Uganda', December 2005.

partners,<sup>64</sup> or in Deepening Democracy Programme discussions.<sup>65</sup> This is due to limited senior-level technical capacity<sup>66</sup> and a lack of clear leadership vision guiding governance efforts. Because of limited contribution of UNDP programmes to basket fund arrangements, there is low engagement with donor coordination structures, such as the Democracy Working Group and the Justice, Law and Order Sector Development Partners Group. An exception was the contribution of a joint programme with the United Nations Capital Development Fund (UNCDF) that informed policy and government practice in strengthening local governance. UNCDF and UNDP also chaired the donor sub-group for decentralization reform and are coordinating discussions and programme implementation at both policy and operational levels in the sub-sector.

#### 4.1.2 STRENGTHENING INSTITUTIONS

At the national and local level, UNDP extended varying degrees of support to government institutions.<sup>67</sup> Considering that several other agencies provided support to strengthening governance, it was not always feasible to delineate contribution that can be attributed to UNDP support. The following sections discuss the UNDP contribution to institutions of governance at the national and local level.

##### **Enhancing the capacities of national institutions**

UNDP was responsive to the emerging needs in the democratic governance area and developed partnerships to address national-level needs and decentralization efforts at district and local levels. This two-pronged support to national and local-level government followed by UNDP was largely consistent with that of donors.

Individual interventions appeared to meet most of their stated objectives. The support to institu-

tions with country-wide coverage and regional field offices throughout Uganda—such as the Inspector General of Government (IGG), the Directorate of Ethics and Integrity (DEI) and the Uganda Human Rights Commission—was effective. Rising demand for both the IGG and the Uganda Human Rights Commission services to deal with rights abuses and improprieties indicate the potential of these institutions in strengthening democratic processes and ensuring transparency and accountability. Despite the importance of the interventions in supporting government efforts, the support design lacked synergies to allow for a consolidated outcome of institutional strengthening. UNDP interventions could have been more effective, if the scope of support were adequate to make a meaningful contribution. The support was often not commensurate with the need.

UNDP supported the Parliament of Uganda in training administrative staff in management and orientation of parliamentarians to procedures and management issues. Training was also provided in order to: enhance parliamentarians' understanding of cross-cutting development issues; harmonize working relationships among parliamentarians from different political parties; and ensure participatory democracy. These interventions were perceived as timely by the government, as multiparty dispensation necessitated a more tolerant and cooperative working environment. UNDP support facilitated building coalitions between parliamentarians and NGOs and civil society organizations (CSOs). The partnership with civil society enabled parliamentarians to raise social and development issues in the legislature backed with research and data and to translate pertinent issues into bills for tabling in the Parliament (for example, the bill on trafficking in human persons). Infrastructure support provided

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64. This was also identified during the April 2009 governance scoping mission.

65. The programme, implemented by the government, is a joint effort funded by the governments of Denmark, Ireland, the Netherlands, Norway, Sweden and the UK.

66. The 2005 governance evaluation report indicates that the governance programme had only two staff members.

67. The Decentralization Secretariat in the Ministry of Local Government, DEI, IGG, LCCs, the Ministry of Gender, Labour and Social Development, the Office of Public Procurement and Disposal Authority, the Parliament of Uganda and the Uganda Human Rights Commission.

by UNDP for transcribing parliamentary proceedings made possible the speedy availability of the information to the general public.

UNDP support to parliament also furthered institutional linkages and partnership exchanges with stakeholders both inside and outside Uganda. Consultative debates and dialogue, South-South exchange visits, and workshops and conferences with local governments and councils were perceived by government agencies as instrumental in fostering better cooperation and as forums for learning lessons, consolidating national and international harmony, and building peace. Anecdotal accounts during interviews with government counterparts indicate positive attitudinal changes among Members of Parliament as a result of international exchange visits.

The main limitation of UNDP support to training parliamentarians was that efforts were not made to ensure that national institutions (such as the Uganda Management Institute) are strengthened to provide training and orientation on a regular basis, or to ensure government ownership of the process for strengthening such institutions.

#### **Enhancing the capacities of local institutions**

UNDP supported the Ministry of Local Government through two interventions: Participatory Development Management (PDM) and Local Council Courts (LCCs). There were mixed results, as the support was not strategically focused in the PDM and was not as effective as anticipated in strengthening the LCCs. The programme size and nature of support to the PDM and LCCs appeared to be insufficient to make a substantive difference to the institutions. UNDP supported eight sub-counties for implementing the PDM and five districts for strengthening the LCCs. While the scope of the support was small, adequate linkages were not made to policy discussions in the area. The local governments supported under the

PDM developed participatory planning guidelines, which were tested and successfully used. Local governments were oriented to participatory processes. There is potential for replication in other districts.

A UNDP intervention designed to link to other government programmes in the area would have allowed making more important contributions to strengthening participatory processes.<sup>68</sup> In terms of the effectiveness of PDM interventions, success varied across pilot districts, with some better engaged in the process and others experiencing difficulties in completing it. The challenges of achieving intended results through participatory planning are outlined in Box 3. In order to become a sustainable process, there is a need to develop stronger linkages with national-level commitments and budget allocations. Further efforts are needed to align them with government programmes in the area and to strengthen local government revenue-generation capacities.

The LCC interventions could not be continued as intended and had to be modified. The intervention was designed to provide support down to the first and second levels of local government: village and parish councils, respectively. However, because elections had not yet been held at those levels, UNDP could not continue supporting them, and instead extended support to the third level, the municipal and town division level of local government. While there is evidence that some capacity in local justice administration was enhanced through LCC support, these institutions lacked the infrastructure and resources to have performed effectively. The scope of UNDP support in this area was one-dimensional and too narrow, and by itself insufficient to significantly address the multidimensional challenges LCCs faced. In addition, UNDP-supported LCC interventions were not adequately linked to the UNCDF Deepening Democracy Programme, further limiting contribution to results in this area.

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68. During the pilot phase, the small number of targets allowed UNDP to provide full financial support. However, up-scaling the project in the second or third phases created more difficulties, as financial resources were more limited (per local government officials interviewed by the evaluation team, particularly for PDM).

### Box 3. Challenges of furthering participatory planning

The ADR team found varying levels of satisfaction and some limitations in the participatory process supported by UNDP in the districts visited.

First, overall available funding for community projects remained small. Therefore, more projects are identified than can be funded or implemented. This created unfulfilled expectations among the community, and may lead to lack of participation, especially if no visible change takes place within the communities (particularly if projects are not implemented over a reasonable time-frame).

Second, local governments did not clearly identify criteria for projects' approval or rejection. There was no clear financial limitation regarding the level of decision-making that could be made at the village and parish levels. Considering that funding depended on revenues generated in the district and allocations in the national budget, there were limitations in implementing projects identified in participatory planning.

Third, the incipient multiparty democratic system in Uganda requires that more care be taken in the final selection of projects in order to ensure funding decisions are not made along political party lines. Similarly, equity in the allocation of funding from the national to the district level is of paramount importance in order to ensure the transparency and accountability of the process. UNDP did not adequately address these issues.

Fourth, the replicability of the participatory process depends on how the approach is adapted across different districts, which have limited levels of resources and capacities. Since the graduated tax collection was abolished, the districts have limited sources of revenue, and appear more inclined to use their fund allocations for urgent community needs rather than spend on participatory planning processes. In the districts where participatory planning was implemented, UNDP supported all expenses incurred, such as village facilitators to map process and draw up village development plans. However, as the project expanded its coverage from eight to ten districts, UNDP did not have funds for mobilizing people at the community level. There were limitations in ensuring that local governments mobilized human resources required for participatory planning.

This raises the question whether community participation was genuine or based on the incentives provided by the project budget. Sustainable community-based participation cannot be founded on financial incentives. This appears to be a major constraint across a range of interventions in Uganda, as participation is directly related to incentives.

Implementing partners considered UNDP governance support to be aligned with the needs and priorities identified in the PEAP and UNDP neutrality to be an advantage to engaging in governance issues. The partners the evaluation team met shared the view that UNDP contributed to enhancing institutional capacities. Government counterparts valued the initial support (funding and/or technical assistance) UNDP provided to emerging institutions.<sup>69</sup>

UNDP interventions lacked clarity of the capacities they intended to strengthen in the institutions that were supported. Strengthening government institutions in the areas of UNDP support needs more sustained interventions, with a clear focus on intended results and parameters. This

was found to be lacking. Several issues relating to capacity enhancement were not adequately addressed, although they were raised by various evaluations and assessments carried out by UNDP.<sup>70</sup> One of the issues pointed out by earlier evaluations was that the UNDP contribution to results was undermined by planning for too many interventions in the governance sector in terms of both thematic and geographic coverage, leading to dispersion of resources. Further, partnerships with other agencies involved in similar activities that would enable UNDP support to be strategic in filling critical gaps were not evident.

UNDP did not use the recommendations of the governance programme evaluations to strengthen planning and implementation, and programme

69. DEI was established in 1998, the Uganda Human Rights Commission in 1997 and IGG in 1986. However, the functions were revised and an independent budget was allocated in 1998. The Public Procurement and Disposal of Public Assets Authority was established in 2003.

design continues to be weak.<sup>71</sup> It is unclear how UNDP has determined the balance between policy and upstream support versus downstream interventions; this needs to be addressed in the next country programme. In particular, outcome monitoring has been weak, which requires sufficient attention during the design of the next country programme.

#### **Enhancing transparency and accountability**

A large component of UNDP support in governance was aimed at furthering transparency and accountability in government institutions. The increased visibility of institutions of transparency and accountability, the growing demand for accountability, action against law breakers at all levels and the increase in public utilization of the IGG services indicate a positive change in institutional and societal values, ethics and attitudes towards rights.<sup>72</sup> The DEI, the IGG and the Public Procurement and Disposal of Public Assets Authority are public institutions with the common goals of improving transparency and accountability in public administration through strategic alliances with civil society and the private sector. Similarly, the introduction of a rights-based approach by the Uganda Human Rights Commission, parliamentary outreach programmes to local government and local councils, and activities supporting the DEI have contributed to raising awareness about the roles of citizens in monitoring and demanding further accountability of public institutions and elected representatives. UNDP support contributed to increased knowledge

about the rule of law, the justice system and institutions to seek redress once aggrieved.

In the parliament project, there were components aimed at addressing accountability and transparency at the national and local levels. Parliamentary public outreach programmes and the work of special committees (such as the Public Accounts Committee or the Local Government Accounts Committee) have established local governance structures and institutional linkages accessible to the public.

UNDP support during the two country programmes demonstrated responsiveness to critical needs in enhancing transparency and accountability of public institutions. There were indications that some of the interventions, although small in scope, were catalytic in drawing attention to the support these institutions required (for example, support to the Parliament and the IGG).<sup>73</sup> In more than one case, UNDP support to the institution was used as seed money, with other donors brought on board to widen the support to the institutions. Although there has been marginal improvement in the Transparency International rating of perceived corruption in Uganda, corruption in public institutions remains a challenge. It was evident that this is a potential area for future support, as the demand for anti-corruption services in Uganda has increased. At least 80 percent of the public are aware of the IGG.<sup>74</sup> It was not possible for the evaluation to determine the contribution of UNDP support to promoting transparency and accountability.

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70. For example, see: Government of Uganda and UNDP, 'Evaluation of Increased Public Sector Efficiency Transparency and Accountability', report for the Government of Uganda and UNDP Good Governance for Poverty Eradication Programme, September 2005; 'Democratic Governance: Mid-Term Outcome Evaluation Report', October 2008. This was also mentioned in an April 2009 governance scoping paper carried out prior to the preparation of the new country programme.

71. Government of Uganda and UNDP, 'Evaluation of Increased Public Sector Efficiency Transparency and Accountability', report for the Government of Uganda and UNDP Good Governance for Poverty Eradication Programme, September 2005, p. viii.

72. The IGG office, under the second country programme, was supported by the work of five United Nations Volunteers, who helped improve human resource capacity for investigation, inspection and prosecution. One of the volunteers was hired by the IGG with funds from other sources. A positive outcome is the increased visibility of the IGG office and its functions in demanding and bringing accountability to the public, both at the national and the district level.

73. These initiatives have attracted support from other aid agencies, such as the African Development Bank and Irish Aid.

74. As reported during an interview with IGG staff. The evaluation team did not have alternative views on this.

The support to the DEI was mainly at the district level. Like the IGG, the DEI improved visibility of the institutions in districts. The support to the DEI was intended to enable local governments to understand how ethics and integrity affect democracy and their importance as tools in reducing corruption. District integrity promotion centres were established in 41 local governments. This has attracted additional support, including that of the Millennium Challenge funds. However, opportunity was missed to advance dialogue between the DEI and the IGG on ways of consolidating approaches in the districts for enhanced gains. While the support of UNDP was perceived as timely and relevant, additional efforts were seen as required for mainstreaming ethics and integrity monitoring into district plans.

The Public Procurement and Disposal of Public Assets Authority is an accountability-enhancing institution, which was supported to improve capacity for public procurement systems as a measure of democratic transition. As in other burgeoning institutions, improved efficiency, accountability and transparency in services were the key outputs provided. Although the government has made significant progress in strengthening public financial management systems, challenges remain in the area of management of public funds and transparency in procurement. It was not possible for the ADR to fully ascertain the results and possible contributions of UNDP interventions in this area.

### **Strengthening justice and human rights**

To ensure speedy justice and reduce the caseload of the upper courts, the Government of Uganda, since the 1990s, has taken measures to further the role of local governments to supplement the work of the official justice system. Over the years, the structures became constrained due to the lack of technical skills or knowledge among local leaders to guide and implement standard justice procedures. Building on a pilot initiative by UNCDF, the support of UNDP was aimed at

strengthening the administrative management of the LCCs. The support was provided in five districts, and document review indicates that the scope was limited and results were not evident. UNDP also supported the Uganda Human Rights Commission in integrating a rights-based approach. While the approach generated considerable enthusiasm, it is too early to observe results of such interventions. There were anecdotal accounts that a few government institutions are integrating a rights-based approach into their planning. As this is a new approach that is little known or applied to date, the Uganda Human Rights Commission is using the guidelines developed through UNDP support.

A key question is the extent to which UNDP assistance contributed to improving access to justice and human rights. While outputs were evident, the depth of assistance compared to needs was small. The LCCs contributed to lowering the caseload; the trust of local communities in this lower court was improved, and the court's potential and contribution were acknowledged by its umbrella organization, the Justice Law and Order Secretariat. The LCCs were also established in northern Uganda, where internally displaced person camps were located, and where services were needed most due to high concentration of camps. It was found that the support to the LCCs was not systematic and did not receive the attention it deserved in the UNDP programme. For sustainable results, support to the LCCs should not only be comprehensive, but should also have simultaneous engagement at the national level in order to ensure that the LCCs have adequate resources. As a one-time project, the support of UNDP was not embedded into the longer-term approach of UNDP to develop national capacities. Land disputes pose a significant development challenge and are a major threat to reconciliation in northern Uganda. This sensitive issue is complex in terms of providing justice, and strengthening the LCCs is critical in this context.<sup>75</sup>

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75. The World Bank undertook a study in May 2009 to point to some possible solutions; see The World Bank, 'Post-Conflict Land Policy and Administration Options – The Case of Northern Uganda', Uganda, May 2009.

## 4.2 POVERTY REDUCTION AND SUSTAINABLE LIVELIHOODS

Uganda has had sustained and positive economic growth since the 1990s. However, despite a decline in poverty trends, there are significant regional disparities in poverty, and a large portion of the population is poor. Responding to government efforts to reduce poverty, UNDP provided support during the second country programme in order to strengthen capacities of the local government to better engage in policies and programmes related to poverty reduction, and supported the development of small-scale and micro-enterprises as a means of fighting poverty. This was continued in the ongoing programme, with the focus primarily on support to the private sector and sustainable livelihoods in order to increase the income of poor households. The programme supported by UNDP was aimed at: increasing national capacity for monitoring and policy dialogue on MDG progress; furthering integration of local initiatives into national strategies for poverty reduction; and enhancing sustainable land management in rangelands development.

For the last nine years, UNDP support to poverty reduction in Uganda was mainly within the parameters of support to the PEAP. Under the second country programme, interventions were aimed at strengthening enterprise development and micro-finance services that empowered communities. This was furthered in the third country programme in order to sustain the interventions and outcomes of the support in the previous programme.

In the previous and ongoing programmes, there were 29 interventions in the area of poverty reduction. The distribution of interventions for activities is presented in Table 7. The country office incorporated environment as a component of poverty reduction in order to highlight the linkages between environmental degradation and sustainable livelihoods.

One of the major economic challenges in Uganda is to find a sustainable and alternative source of income from non-agricultural activities. UNDP supported private-sector development as a means of fighting poverty. Interventions were aimed at developing the local-level private sector and strengthening small and medium enterprises (through support to Enterprise Uganda). In the area of private-sector development, attention was paid to coverage so that most regions could adequately benefit from the decentralized structures that were created at the district level (originally district promotion centres). The geographical coverage in 11 districts was equitably undertaken, and all regions—including those affected by the conflict in the north—were included for programme support. Similarly, the 17 micro-finance institutions and Village Savings and Credit Institutions (VSCIs) were located across the country, including the conflict-affected areas.

The environmental interventions, on the other hand, comprised a number of isolated interventions. This is discussed in Section 4.2.3, as there were no evident linkages with the poverty-reduction intervention.

**Table 7. Poverty reduction and sustainable livelihood activity areas and interventions**

Activity areas	Number of interventions
Private-sector development	15
Income generation and sustainable livelihoods	4
Strengthening of small and medium enterprises	2
Environment (various areas)	8
<b>Total</b>	<b>29</b>

#### 4.2.1 POLICY SUPPORT AND ENHANCING MDGs

With few exceptions, UNDP appeared to place more emphasis on programmes than on direct support to policy-making in this practice area. One area where the organization did contribute to policy-making was in providing support to the drafting of the Micro-Finance Deposit Taking Act, approved by the Parliament in 2003. In terms of support provided to private-sector companies, such as Enterprise Uganda, it is not clear if this overwhelmingly successful example has been used to inform private-sector development policies in Uganda, despite having shown a very interesting potential in the Business Linkage Programme.

Support to attaining the MDGs is an important component of the UNDP poverty-reduction programme and has been one of the key areas of UNDP intervention in the two country programmes under review. With the larger aim of contributing to pro-poor policies and reducing poverty, UNDP interventions intended to increase national government capacities to monitor progress towards achieving the MDGs and to develop practices that enhance sustainable livelihoods and income generation.

Uganda had mixed results in achieving the MDGs. According to a recent MDG monitoring report (2007–2008), significant progress has been made towards achieving universal primary education, eradicating extreme poverty, attaining gender equity and combating HIV/AIDS. The government is also well positioned to achieve the target of reducing hunger.<sup>76</sup> While the MDGs are incorporated in the PEAP in the areas of health, education, and water and sanitation, there are disparities between PEAP and MDG targets. The PEAP target for poverty reduction is more ambitious than that of the MDGs, while PEAP targets for child mortality and maternal health are lower. The harmonization of MDG targets

remains an issue, particularly in the area of maternal health.

UNDP support to poverty monitoring and MDG reporting had been effective from an output standpoint. Local MDG reports have been an important source of information for government monitoring, and officials consider these publications useful. The government held the view that the MDGs should be the framework for defining national development plans and priorities, and sustained efforts are needed to solidify this approach. However, there were limitations from the perspective of contributing to results. There was limited evidence to suggest that monitoring and reporting informed government decision-making and policy. Interventions such as these were not sufficient to enhance policy discussions or further the participation of various stakeholders.

It is notable that PEAP monitoring, which is managed by the Office of the Prime Minister, overlaps with poverty monitoring and MDG reporting. The relevance of UNDP-supported poverty monitoring could have been further enhanced, if it were aligned with the existing government monitoring exercise. UNDP should take sufficient measures in the forthcoming programme to integrate the two activities.

UNDP did not provide regular support to the publication of National Human Development Reports (NHDRs) on critical development issues. Uganda has good statistics on poverty and the social sector. However, there is a need for more structured information on key development issues to provide feedback to policy makers, and UNDP did not identify or fill such strategic gaps. NHDRs, which provide an alternative perspective on key development issues to inform development strategy, are a useful advocacy tool. UNDP was more consistent in its support to NHDRs from 1997 to 2000<sup>77</sup> than during the

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76. See Chapter 2, Progress in Achieving MDGs.

77. UNDP Uganda Human Development Reports: 'The Challenge of Employment-Creation in Uganda' (2000), 'Causes and Consequences of Rural Poverty' (1998), 'General Human Development Report' (1997), 'General Human Development Report' (1996).

period under review, when only three NHDRs were produced. These recent reports addressed agriculture, linkages between the environment and human development, and the challenges of HIV/AIDS.<sup>78</sup>

There were perceptions that the quality of NHDRs could be further improved. Government representatives and other stakeholders working in the area of agriculture had the perception that the NHDR on agriculture could have been of better quality. UNDP should take sufficient measures to ensure that the reports produced are of appropriate quality and credibility, if they are to be of use for development stakeholders and inform policy. The evaluation recommends that UNDP support an NHDR on linkages among post-conflict reconstruction, national development strategies and gender issues in development.

The extent to which UNDP furthered the participation of district governments and civil society or engaged policy makers in prioritizing the MDGs was limited. While some *ad hoc* support was provided to government-organized workshops that held consultations with stakeholders, there was no strategic approach to enhancing wider participation in MDG-related issues. In 2007, the districts of Soroti and Kasese produced reports on localizing the MDGs. UNDP did not adequately use other district-level programmes implemented through UNDP support to enhance the understanding of the MDGs. A few initiatives by northern district administrations placed emphasis on some MDG areas in planning and budgeting, without UNDP inputs. Considering the challenge of preparing district reports given the large number of districts in Uganda, UNDP should have piloted regional MDG reporting, which could have informed regional development and recovery plans (such as the PRDP) and the broader recovery and reconstruction processes. Although UNDP had carried out specific interventions on gender,

environment and HIV/AIDS, it was not evident how these informed MDG processes in Uganda.

While the UNDP programme framework intended to further pro-poor policies in the PEAP, it was unclear how various interventions and outputs contributed to policies in the areas of private-sector support and attaining the MDGs, particularly in strengthening social service delivery. The outcomes and indicators used, such as the rate of achieving MDG targets, were overly ambitious in view of the limited scale of UNDP interventions.

There are formidable challenges to achieving the MDGs in the area of health, and regional disparities in poverty reduction continue to be high. There is a critical need for new policies to guide the allocation of resources to the social sector and to foster greater accountability of public finance management. UNDP role in supporting government on these issues was not evident.

UNDP correctly identified private-sector support as a practice for supporting the goal of poverty reduction and contributed to developing an enabling environment. Still, further efforts are needed to address policy issues in this area, particularly to scale up anti-poverty practices, strengthen the growth of small and medium-sized enterprises, and support a competitive market. Agencies such as The World Bank provided more extensive private-sector programme support. The evaluation was unable to gauge UNDP engagement in private-sector working groups, although there were some indications that the organization was a relatively passive participant.

Addressing the MDGs in post-conflict situations is one area in which UNDP is well positioned to play a more proactive role in informing and supporting governments. Post-conflict situations often have a debilitating effect on progress towards

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78. UNDP Uganda Human Development Reports: 'Rediscovering Agriculture for Human Development' (2007); 'Linking Environment to Human Development – A Deliberate Choice' (2005); 'The Challenge of HIV/AIDS – Maintaining the Momentum of Success' (2002).

the MDGs. Considering regional variations in poverty reduction, health (particularly maternal health) and social services, it is essential that post-conflict dynamics are sufficiently factored into Uganda's national development strategy.

In addition to interventions in war-affected districts, UNDP has implemented micro-level interventions in the Karamoja region, where starvation and extreme poverty are prevalent. However, facilitating policy discussions on mainstreaming the MDGs in the north and north-east development strategies and on MDG monitoring did not receive adequate attention in UNDP programmes. While some policies have been outlined for northern Uganda, most stakeholders consulted were of the view that additional emphasis should be given to the MDGs in national development policy and in addressing regional disparities. Despite its programme presence in northern Uganda and at the centre, UNDP has been less responsive to strategic issues.

Uganda is a pilot country for the Millennium Village Project, which began in 2006 in the south-western Ruhmirira village of Isingiro district. While the Uganda project was not part of those reviewed by this ADR, UNDP should use lessons from it to further a more integrated approach to achieving the MDGs in Uganda.

#### **4.2.2 SUPPORT TO PRIVATE-SECTOR DEVELOPMENT**

As part of the local poverty-reduction initiatives, UNDP supported income-generation and sustainable livelihood and private-sector development. This was towards achieving the outcome to support integration of local initiatives into national strategies for poverty reduction. This was in alignment with the goal outlined in the PEAP to "increase the ability of the poor to raise their incomes". UNDP supported establishing 11 district promotional centres in the second

country programme, which have since been converted into private limited liability companies referred to as Private Sector Promotion Companies (PSPCs). The other initiatives during the previous and ongoing programmes include support to establishing 17 VSCIs and Enterprise Uganda, a national public institution mandated to develop and build entrepreneurial capacity within the private sector.

At the national level, the main thrust of UNDP support was placed on developing Enterprise Uganda, a model for private-sector business development. District promotional centres, PSPCs, and Enterprise Uganda were established as independent and viable service providers for the development and promotion of small and medium-size enterprises by providing a comprehensive and integrated range of services.<sup>79</sup> Enterprise Uganda—which successfully piloted the Business Linkage Programme with support from the Government of Uganda and other agencies, including Enterprise Africa, the German Technical Cooperation Agency, Swedish International Development Cooperation Agency and the United Nations Conference on Trade and Development—is considered to be one of the most visible and successful UNDP interventions by most implementing and development partners.

Although it aimed at contributing to domestic investments, the programme outcome was largely at the local level rather than at the national level. In the Business Linkage Programme, all 26 participating small and medium-size enterprises improved efficiency by 25 percent, expanded the scale of their businesses by over 200 percent, increased employment by 100 percent and diversified business services. Although this may only be a small contribution to development results, the potential for job creation, increased tax revenue remittance and local market investment were evident.<sup>80</sup>

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79. UNDP provided institutional support to both Enterprise Uganda and the district promotional centres in the first phase, moving towards a programme approach in the second phase of support (e.g., only funding the portion of costs that directly related to services commissioned by UNDP).

80. Monthly turnover for nine small and medium-size enterprises rose from \$9 million to \$14 million.

Enterprise Uganda is perceived by stakeholders (implementing partners and those working in private-sector development) as a successful example of private-sector development and as having the potential for its linkage capacity to influence the productive sector. This potential, however, has not been fully realized. Enterprise Uganda has since attracted a few more donors, although the funds are not adequate for further scaling up. While the support of UNDP has been critical, it was not evident how this model informs private-sector development policy.

#### **Strengthening private enterprise at the local level**

UNDP supported the private sector at the local level as a key area in strengthening livelihood opportunities. With the exception of Enterprise Uganda, all other interventions addressed regional and local organizations and institutions, such as district promotional centres/PSPCs, micro-finance institutions and VSCIs.

The expected outcome was that the district promotional centres would provide development services to communities, with a particular focus on special interest groups (e.g., people living with HIV/AIDS, unemployed youth, persons with disabilities and women) in participatory development and gender planning. The second country programme provided institutional support to the PSPCs, while the third country programme

treated them as clients in the implementation of UNDP-supported activities.

The PSPCs are implementing partner institutions providing core services and products to their districts, with a focus on promoting micro-enterprises and small and medium-size enterprises, while supporting micro-finance institutions and the VSCIs. Discussions with various stakeholders involved in this intervention—including local government leaders, representatives of micro-enterprises and staff employed by the PSPCs—show that the UNDP initiative was highly appreciated, since the PSPCs have contributed to capacity development within their districts. The beneficiaries perceived the transition from full UNDP support to a more autonomous governing system as abrupt, not as a phased approach to sustain operational costs—though the PSPCs were aware of the gradual shift to self-reliant structures. However, the companies are still in business, and the services they provide are considered useful.

The outreach of the PSPCs was found to be high. According to the PSPCs, more than 31,000 people in rural areas participated in training of one kind or other. District staff has been trained, and a number of micro-enterprises and national and international NGOs have benefited directly from the capacity development programmes—or benefited indirectly from the persons trained under the programmes.

#### **Box 4. Challenges of 'hand out' practices**

During the evaluation, it was evident that the PSPCs did not charge for the services provided. The evaluation team asked the managers of the PSPCs why they did not charge UNDP beneficiaries for services. Previously, UNDP fully funded training and facilitated all other requirements, including publishing materials, issuing transportation cost refunds to participants and providing an allowance for training. One of the issues was that other agencies providing similar services did not charge for the services and that there was reluctance from beneficiaries to pay for services. Lack of harmonized funding approaches among development partners and civil society organizations to charge for services contributed to less sustainable service provision.

UNDP made cost-sharing optional, resulting in the PSPCs not charging for services. It was found that a cost-sharing approach, despite initial difficulties in attracting beneficiaries, would have resulted in better sustainability of the interventions. This was, however, not tried by all the PSPCs. When the PSPCs attempted to introduce the cost-sharing or cost recovery approaches, some beneficiaries were unwilling to pay for the services. Reluctance to pay for services was attributed to 'donor hand out' dependency syndrome and beneficiaries' inability to afford them.

Both district promotion centres and the PSPCs have received the services of Institutional Development Advisers through United Nations Volunteers (UNV), in order to build PSPC capacities to effectively comply with their mandate. Volunteers consulted during the evaluation exercise appeared to be professional, knowledgeable and deeply involved in the operations of their respective assignments, including PSPCs. However, it was difficult to measure capacity development in some projects that involved UNV, since it appeared more as substituting capacities rather than supporting capacity development. It may be necessary to reconsider the role of UNV within work programmes in order to focus on capacity-building.

The sustainability of the PSPCs is mixed. Some were able to raise revenue and mobilize funds to sustain their activities after the funding period of UNDP. The change in UNDP funding involved the transformation of district promotion centres from fully supported by UNDP to private companies, with management by a regional executive board and a new staff structure in many cases, as salary scales were revised. This transformation also entailed diversifying activities and expanding the PSPC funding base, but this was unevenly understood and applied. The issue of sustainability is not yet known for a number of the PSPCs met by the evaluation team.

While the PSPCs work effectively and are recognized by local governments and clients as private-sector development supporters, their continuation is not guaranteed because of weak business plans and a constraining environment. On one hand, the PSPCs should ensure a client base that is able to pay for their services, but this entails focusing on clients that can afford to pay the fees. On the other hand, UNDP is concerned that as part of its poverty alleviation focus, it should also provide services to beneficiaries who require the services but may not be in a position to pay market rates (see Box 4).

Delayed disbursement of funds because of procurement procedures was cited by the majority of private-sector partners as a factor that

constrained and negatively affected programme implementation. Some interviewees believed the delay was caused by the execution through the ALD/MFPED. The PSPCs felt the funding disbursements improved when the programme was coordinated directly by MFPED.

### **Enhancing micro-finance institutions**

UNDP provided capacity-building for the development of micro-finance institutions. Micro-enterprises are important in Uganda, because a significant portion of the GDP is generated from informal activities. To formalize such activities, the government recognized that it is necessary to establish a regulatory framework for the micro-finance industry. There was also a need for strengthening micro-enterprises and small and medium-size enterprises, policy formulation capacities and coordination mechanisms.

UNDP supported drafting legislation for micro-finance institutions during the second country programme. UNDP supported the drafting of the Micro-Finance Deposit-Taking Bill, adopted by Parliament in 2003 as the Micro-Finance Deposit-Taking Act. The Act provided a legal and regulatory framework for Tier-3 micro-finance institutions.

### **Strengthening Village Saving and Credit Institutions**

UNDP supported the capacity development of VSCIs. The intent was to provide technical assistance to strengthen the governance and operational capacity of 17 selected VSCIs by 2005, enabling them to act as pilots that offer improved micro-finance services to the poor. It was found that the VSCIs have been institutionalized, and communities are now effectively and efficiently managing and offering micro-finance services. Some of the VSCIs manage income-generating activities such as agro-based enterprises, which visibly improved the livelihoods of members, something highlighted by beneficiaries themselves.

A number of micro-finance institutions are successful over five years after starting. In terms

of national priorities, services from established Savings and Credit Cooperative Organizations are with the new national development theme of 'Growth, Employment and Prosperity'. UNDP contributed to the implementation of the national micro-finance policy and outreach plan and framework for Micro Deposit-Taking Institutions. It has been demonstrated that such support offers the potential to develop grass-roots livelihood support, addressing the national aspiration for growth and prosperity for all. The micro-enterprises or micro-financing businesses that made profits appear to be sustainable. This success is attributed to having an integrated and local ownership approach, with good governing structures at the design stage of the project.

There was significant growth of the loan portfolio of the VSCIs visited by the ADR team, even in conflict-affected areas. For example, one of the VSCIs demonstrated the capacity to manage and expand its loan portfolio from a mere \$3,400 to \$300,000 in six years, with services managed by the local community in the area affected by civil war and insecurity. In another instance, a village institution in a more peaceful area witnessed unprecedented growth to a portfolio of \$6 million, also managed by local grass-roots personnel. Members of such institutions are benefiting from loan services with an annual interest of 1 to 5 percent without any collateral requirements, compared to 18 to 30 percent offered by banks and larger credit institutions. Credit was often accessed to meet social needs, such as paying for school fees or health bills.

#### 4.2.3 ENVIRONMENT AND ENERGY

The third outcome of the country programme in the area of poverty reduction was to develop strategies for sustainable land management in rangelands development. While UNDP had initially developed five separate outcomes for environment, they were compressed into a single

one. This single outcome did not adequately reflect the range of the environmental interventions in the portfolio or what the interventions entailed.

Uganda is severely affected by environmental degradation. National data shows that until 2004, natural resource degradation was estimated to cost the country approximately 17 percent of gross national income per year, with 6 percent associated with forest degradation and the remaining 11 percent with soil degradation. On average, about 90 percent of energy is derived from biomass (mainly firewood and charcoal), 8 percent from petroleum fuels and 2 percent from electricity. Less than 1 percent of the rural population has access to electricity, which is significant given the fact that over 85 percent of the Ugandan population live in rural areas.<sup>81</sup>

Use of biomass energy in form of firewood and charcoal led to rampant deforestation and environmental degradation. In 2006, household consumption of firewood and charcoal was reported to have increased by 81 percent, and Uganda still faces an environmental challenge of reversing losses of environmental fuel resources.<sup>82</sup> The PEAP evaluation shows that from a baseline value of 24 percent of land under forest cover in 2002–2003, an increase of 3 percent had been achieved by 2007–2008, which is closer to the target of 30 percent by 2013–2014. The evaluation, however, points out that the distance travelled by villagers to firewood source was increasing.

Most UNDP environment programme interventions were designed to share best practices, with a few targeting capacity development. Under the second country programme, five projects were implemented aimed at promoting biodiversity conservation for cross-border ecosystems, cleaner energy through adoption of solar voltaic systems, inventory of greenhouse gas emissions, Albertine rift biodiversity conservation and sustainable

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81. Oxford Policy Management, 'Independent Evaluation of Uganda's poverty Eradication Action Plan (PEAP)', Final Synthesis Report, July 2008.

82. Ibid.

land management. The ongoing country programme supported small projects that ranged from mainstreaming environment into development plans of wetland, forest, land and cross-border ecosystem bio-conservation and promoting energy access, thus raising the total of expected outcomes to five. While compressing several outcomes into one for strengthening sustainable environment contributed to lack of clear linkages between interventions and intended outcome, the evaluation found that the interventions lacked enough depth to make any meaningful contribution.

The support of UNDP through small projects was important to create awareness that the environment affected the livelihoods of the poor and hence should be given due attention while addressing poverty. This, however, did not sufficiently inform government policy and practice. While the government was willing to support environmental concerns, there was no corresponding resource commitment.

The government developed a strategy to work with agencies that had matching funds and supported environment-related issues. The National Environmental Management Authority worked with districts to mainstream environmental concerns. The Authority received support from other projects and organizations—such as the International Union for Conservation of Nature’s landscape project, CARE International and the Global Environment Facility small grants programme—to carry forward its objectives. The strategy appeared successful in the pilot districts, and there is the potential for its adoption in other locations.

Some of the interventions supported by UNDP had potential for contributing to results. Interventions such as the charcoal project were well conceived and government ownership has been positive, with potential for achieving results. The Ministry of Energy has been supporting the charcoal initiative on efficient production through the charcoal value chain. In the past three years, the ministry has taken measures for

the mobilization and training of charcoal producers, the promotion of efficient tree harvesting methods and improved charcoal production technologies. Efforts were also made to put in place a regulatory framework for the control of charcoal production. The Ministry of Agriculture is in the process of developing a project for sustainable land management, where issues related to sustainable charcoal production are a critical component, considering that charcoal production is a major contributor to land degradation. What is important is the participation of both ministries in the land management project through a joint inter-ministerial coordination committee.

The large environmental intervention in terms of funding was the Albertine Forest project. The project received \$3.7 million, but it was conceived 10 years ago and has just been initiated with a revised objective and a number of implementation challenges, including shifting priorities among potential funding partners. The original project design was intended to leverage over \$10 million, but Global Environment Facility funds presently remain the sole confirmed commitment.

There were implementation and delivery shortfalls, which limited effectiveness of UNDP support in terms of contribution to results. Interventions include the slum upgrade project and the West Nile initiative, which were poorly conceptualized at the design stage. There was a missed opportunity in supporting quality data for monitoring outcome indicators of the national environment plan. Despite being in line with national priorities and being responsive to needs in the areas of biodiversity conservation, energy access for productive use and management of natural resources, numerous small interventions did not yield the desired outcomes outlined in the country programme. There were pilot projects that were so small in scope (e.g., the energy multi-platform project) that there were no comparative advantages for UNDP to engage in them. These initiatives could have been better handled by NGOs.

### 4.3 CRISIS PREVENTION AND RECOVERY

For more than two decades, armed conflict in the districts of Acholi and Lango in the Teso and West Nile subregions have resulted in widespread humanitarian needs in northern Uganda. There was extensive loss of life, and nearly 2 million people lost their livelihoods or were displaced. The economic systems collapsed, and an already rudimentary public infrastructure was severely damaged and rendered dysfunctional. With the situation slowly reverting to normalcy during the past two years, about 70 percent of the displaced population has returned to their original habitation. The perpetual humanitarian situation constrained development in war-affected districts. While there are still areas where the situation is of a humanitarian nature, the challenge for the government and international agencies working in Uganda is to address both humanitarian and development issues simultaneously.

Post-conflict recovery and reconstruction issues were included in the 2004 PEAP, and large government programmes (e.g., KIDDP, the Northern Uganda Rehabilitation Programme and the Northern Uganda Social Action Fund) have been implemented in northern Uganda in the past decade. More recently, the government developed the PRDP, outlining priority areas for development in northern Uganda. With the increase in the incidence of poverty in northern Uganda compared to rest of the country, public investment in addressing poverty and regional imbalances remains an issue. Further attention is seen as being required to ensure conditions that precipitate conflict are minimized.

There is significant donor presence in northern Uganda, particularly in the Gulu district. Recently, there has been a shift in focus among donor agencies from the Acholi and Lango regions to the Karamoja region. The PRDP was launched in August 2008. However, its implementation has been inconclusive, and linkages between the northern Uganda develop-

ment strategy and national development strategy remain unclear. Notwithstanding the efforts of the government to establish institutional mechanisms to address post-conflict humanitarian and development needs, these structures are evolving and lack adequate human and financial resources. While the government is in the process of addressing post-conflict reconstruction and regional disparities, the coordination of international donor recovery and reconstruction response leaves much to be desired. In many ways, the implementation of the PRDP will be the beginning of a strategic development agenda for northern Uganda and not an end in itself. More concerted efforts will be required in order to integrate northern Uganda issues in the national development agenda.

UNDP support to post-conflict recovery started during the second country programme, with the support to Emergency Action Plan and District Disaster Management Coordinators (DDMCs). In response to the challenging situation in northern Uganda, a more structured response was developed by UNDP in 2004. Considering that it was towards the end of second country programme, the outcomes of the conflict prevention and recovery interventions were outlined in the TRP. The initiative was intended to address humanitarian and development challenges in northern and north-eastern Uganda<sup>83</sup> was planned as a pilot programme for a year, with further scaling up subject to mobilization of funds. Delayed by a year, the TRP was implemented in 2005. The TRP agenda was furthered in the ongoing country programme, and the conflict prevention and recovery component aims to further human security, support community-based reintegration of internally displaced persons and ex-combatants, and address the gender dimensions of conflict. As part of the TRP and the ongoing programme, several interventions of different time durations are being implemented at the national and district levels. UNDP was the cluster lead for

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83. The TRP was supported by funds from the Bureau for Crisis Prevention and Recovery and Traditional Resources Allocated to Core II.

**Table 8. Conflict prevention and recovery activities, interventions and funds allocated**

Activity areas	Number of interventions	Total (US\$ millions)
TRP and Crisis Mitigation and Recovery (support to the conflict-affected)	2	7.0
Human security (including internally displaced persons)	1	4.1
Establishing field offices	2	4.0
Mine action	4	5.6
Others (Karamoja, sexual and gender-based violence, Millennium Villages)	3	1.8
<b>Total</b>	<b>12</b>	<b>22.5</b>

early recovery. The UN Resident Coordinator was the Humanitarian Coordinator in Uganda.<sup>84</sup>

The outcomes of the conflict prevention and recovery component aimed to: strengthen the national capacities for conflict resolution, peace-building and reconciliation processes; strengthen national capacities for recovery in conflict-affected areas; create a secure environment for recovery and development; and strengthen national capacities to reduce threats and the effects of land mines and unexploded ordnance. The programme used a combination of direct and national implementation modalities (the former being more prevalent), with UNDP being responsible for delivery of programme outputs and finance management.

There have been 12 different interventions in conflict prevention and recovery, essentially targeting four outcome areas. (See Table 8.)

UNDP programme interventions were found to be highly relevant in the context of humanitarian and development needs in northern Uganda. Most of the interventions are ongoing, and with a few exceptions, it is too early to evaluate for results or to ascertain where results are manifest. The evaluation looked at the design and implementation process of the programme in

order to draw lessons for strengthening the support to the government and for future programming. UNDP interventions (e.g., demining or support to the Office of the Prime Minister in order to coordinate government interventions in conflict-affected districts and operationalize internally displaced person policy) have enhanced the government's capacities to better respond to humanitarian needs and reduce risk to human security. The livelihood and early recovery components were weak areas of the programme, with limited contribution to recovery processes. Policy engagement in defining the strategy for northern Uganda and Karamoja and in promoting post-conflict reconstruction in the national development strategy has been minimal. There were limitations in the management and implementation of the programme, which have implications for contribution to results.

#### 4.3.1 POLICY SUPPORT

UNDP contributions have been important in supporting the formulation of internally displaced person and disaster prevention and mitigation policy, which are important to defining recovery and reconstruction in northern Uganda. UNDP supported the secretariat of the Joint Monitoring Committee, comprising

84. The performance of humanitarian coordination and the role of the Humanitarian Coordinator are not within the scope of this evaluation.

governmental and international bodies to supervise the implementation of a number of emergency actions in the north, as outlined in the Emergency Humanitarian Action Plan, for one year. UNDP also supported the government in developing firearms policy. Despite providing technical support to policy formulation and having several joint interventions with the government, UNDP could not leverage its position in larger policy engagement, particularly on the PRDP and the KIDDP.

Discussions with government officials and donors indicate that UNDP has not been an active participant in policy discussions in Uganda. While not providing budget support to a certain extent constrained UNDP role in policy discussions, it was difficult to discern the extent of intellectual leadership UNDP provided in informing policies on the greater north. Most policy-related support was by means of providing consultants or logistical support. It appeared that UNDP interventions were too focused on projects and not adequately linked to emerging policy issues and debates.

Uganda has several policies and legislations that address post-conflict recovery and reconstruction.<sup>85</sup> However, discussions with the government and donor agencies indicated that more effort is needed to align recovery and reconstruction policies with national development strategies. There was also a perception that there is need for more participatory processes, for better reintegration and the enhancement of social service delivery at the local level. However, it was not evident that UNDP engaged in any of these issues. Furthering a holistic perspective on recovery and reconstruction was found to be lacking in the programme. There was minimal attention paid in UNDP programmes to linkages between post-conflict reconstruction and governance, poverty reduction and the MDGs. Although there was support to personnel, poor attention was paid to strengthening administrative systems.

It was not evident that UNDP paid specific attention to addressing the MDGs in a post-conflict situation through its interventions at the national and district levels. Regional disparities in poverty and social services in Uganda are the result of prolonged conflict, and more efforts are needed to use the MDGs as tools in northern and north-eastern Uganda reconstruction policies. This came out strongly during discussions with all stakeholders. Given the ongoing process of finalizing the NDP, stakeholders working on development issues also felt that it was an ideal time to emphasize some of these issues. UNDP programmes were too compartmentalized to be able to engage in policy discussions or to provide alternate practices for a holistic recovery and reconstruction. The forthcoming country programme should give specific emphasis to policy engagement, and UNDP micro-interventions should be designed to inform policies and practices of the government.

#### **4.3.2 STRENGTHENING GOVERNMENT INSTITUTIONS**

Two outcomes in the area of crisis prevention and recovery were aimed at strengthening national capacities for conflict resolution, peace-building, recovery and reconciliation processes. Towards this, UNDP supported the Office of the Prime Minister in strengthening institutional capacities in order to better coordinate northern Uganda recovery activities and operationalize the internally displaced person policy. UNDP support strengthened the staff position of Department of Disaster Management and Refugees (DDMR) at the national level, and UNDP facilitated the establishment of the Uganda Mine Action Centre and the setting up of District Disaster Management Committees. Key staff positions in the DDMR and the DDMC positions are funded by UNDP. These include the six DDMCs located at the district, and national coordinators for disaster management, conflict resolution and disaster information.

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85. For example, the 2000 Amnesty Act, PRDP and the Karamoja Region Development Program.

The support to DDMCs enhanced coordination of the post-conflict recovery activities at the district level. Officials in Office of the Prime Minister acknowledged that the enhanced staff position at the DDMR enabled the government to respond better to emerging needs in northern Uganda. Technical support was provided to the government to advise on the PRDP strategy through a consultant position. The Uganda Mine Action Centre significantly reduced the risk due to mines.

In terms of contribution to results, UNDP interventions enhanced a structured approach to post-conflict management at the national level. Strengthening the capacities of the Office of the Prime Minister and creating the positions of the DDMCs is an important contribution of UNDP. The DDMCs act as focal points of the Office of the Prime Minister at the district, and have the potential to inform decision-making at the Office. They successfully augmented the district administration's capacity in conflict-affected districts, and in coordinating return and resettlement of ex-combatants. To a certain extent, the DDMCs filled the crucial gap of a disaster management focal point at the district, and had the potential to enable coordination with different agencies working at the district level. The Office of the Prime Minister considered the monthly reports submitted by the DDMCs to be an important source of information for concurrent action.

In the absence of an exit plan, it is not evident whether the government will sustain these efforts once the programme is concluded. The coordination between the district and the Office of the Prime Minister has enhanced return of internally displaced persons, although further efforts are required for resettlement. UNDP interventions did not have an exit strategy to enable a gradual shift of ownership of the interventions and outcomes. An issue that requires further

attention in the forthcoming programme is that the present capacities of the DDMR, which in many ways is UNDP-driven, should be systematically enhanced so that activities are sustained beyond the project period. Despite the important role played by DDMCs at the district level, it was not evident that the district administration fully perceived them as the staff of the district government. They continued to have the triple identity of the Office of the Prime Minister, UNDP and district administration, which at times was a disadvantage to their tasks. It is important that staff supported by UNDP (including national UNV staff) are contracted by and paid salaries through the district government.<sup>86</sup>

Although the DDMCs are part of the district administration, there has been some confusion at the district level on their role and accountability vis-à-vis the district administration. While staff contracts are issued by the government, the DDMCs do multiple reporting. A related issue is the programme management structure of UNDP-supported interventions, noting that it caused considerable delays in the implementation of the programme.<sup>87</sup> UNDP should ensure that government structures are not heavily dependent on UNDP and can independently carry out programme implementation.

An issue that repeatedly arose pertained to delays caused in programme implementation. Conflict prevention and recovery work in Uganda required quick and tangible results, as the focus was on facilitating internally displaced persons' return and promoting recovery in post-conflict areas, while contributing to the restoration of peace and security. UNDP used a combination of national and direct implementation modalities. Out of 12 projects implemented, six are through national implementation, while the remainder use direct implementation, though some started as direct and transitioned to national implementation.

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86. In some cases, while the contracts are from the government, salaries and other remuneration are paid by UNDP.

87. UNDP, 'Evaluation of Transition to Recovery Programme', 2008.

The implementation modality has implications for developing national capacities. The justification for following the direct implementation modality has been that post-conflict interventions require speedy implementation, and the political dynamics pertaining to northern Uganda are not conducive to following a national approach. However, none of the conflict prevention and recovery interventions that followed the direct implementation modality demonstrated speedy implementation. As discussed in Chapter 6, it is important that UNDP demonstrate efficiency in programme implementation. It is also important to strengthen government mechanisms for greater accountability and transparency in function, so that programme interventions are implemented by government agencies. UNDP staff cannot substitute for lack of transparent government systems.

An important contribution of UNDP was providing support to the National Uganda Data Centre, located in the Office of the Prime Minister (where information relevant for recovery is available). The information coordinator at the national level compiled sets of data on ex-combatants and internally displaced persons. Some information compilation was carried out by the DDMCs. It was not possible for the evaluation to fully ascertain the quality and access of the information.

In collaboration with the Uganda Amnesty Commission, the International Organization for Migration and the United States Agency for International Development, UNDP supported the Information, Counselling and Referral Services Database. The database comprised a compilation of social services available for internally displaced persons returning to their earlier habitation.<sup>88</sup> This information will be useful to plan social infrastructure and inform internally displaced persons about facilities they can access. However, the project was not completed due to lack of funds. Interviews with

the district government and international agencies indicated that the data collected during the course of the project is not in a form that can be shared or used. While this is a missed opportunity for UNDP, the entire process would have been better managed had UNDP developed effective partnerships with international agencies and the government, thus ensuring that future efforts in the area will be a continuation of investments already made. Similar information systems are being developed by The World Bank, and an operational system is expected to be made available soon. For similarly critical interventions, UNDP should use core funds if external funding is not available.

### 4.3.3 ENHANCING HUMAN SECURITY

One of the conflict prevention and recovery results as part of the ongoing country programme was the creation of a secure environment for recovery and development in northern and north-eastern Uganda. Related interventions were aimed at disarmament, demobilization and reintegration, and included support to the Amnesty Commission and demining, as well as livelihood support for reintegration. While reintegration activities are yet to start, UNDP supported disarmament and demobilization activities of the government during the ongoing programme. In the country programme, human security activities entailed Karamoja voluntary disarmament, small arms and light weapons (SALW), support to Fire Arms Policy and the destruction of stockpiles of SALW. The analysis of findings in this section also includes Mine Action, although under a different outcome, as it is a related intervention.

UNDP, along with other donors, provides support to the Amnesty Commission, which was set up in 2000 to implement various activities mandated by the Amnesty Act. UNDP interventions are intended to strengthen the capacities of the commission in the crucial area of tracking persons who have been granted amnesty

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88. Preliminary analysis report profiling from Amnesty Commission of Uganda, ICRS database, 2008.

(reporters) and reintegrating them into the community. Complementing the activities of other donors, UNDP interventions are aimed at providing training, tools, credit, remunerative work and reintegration assistance to those who have given up arms. As of the time of this evaluation, 26,000 ex-combatants received certificates and reintegration packages. The Amnesty Commission was active in Gulu and was involved in assessing beneficiary needs.

Providing ex-combatants with reintegration packages is only one aspect of reconciliation. A more comprehensive peace-building programme that involves the host communities themselves is needed. Specific training in conflict-mitigation skills at the community level, conducted in a participatory fashion and building on existing traditional mechanisms, needs to be included in a comprehensive programme design geared towards peace-building. While UNDP has developed a comprehensive programme addressing various dimensions of post-conflict recovery and reintegration and human security, implementation remains an issue.

In 2005, UNDP supported the establishment of the Uganda Mine Action Centre,<sup>89</sup> which set up units in four districts in order to engage in demining and unexploded ordnance destruction. The Government of Uganda, in compliance with international conventions, has set August 2009 as the deadline for completing the clearing of mine-infested areas, and the demining centres are confident of meeting this deadline.

However, risks related to unexploded ordnance continue, and the interventions in the most important area of SALW reduction did not

receive the emphasis they deserved in programme implementation. There were also limitations on UNDP support to victim assistance and on the creation of awareness of risk from mines and unexploded ordnance.

Although the evaluation did not cover interventions in Karamoja, discussions with officials indicated that support was provided to weapon storage and registration, and to the destruction of 60,000 tons of stockpiles. This was considered as significant in view of the large stockpiles in Uganda. There were, however, reports of the perception among local population that UNDP supported forceful disarmament. The SALW programme was put on hold in order to take measures to allay such misconceptions. While SALW programmes have since resumed, there is also need for simultaneous implementation of awareness programmes, found to be lacking in UNDP-supported interventions. Interviews with government officials and those working in the area of human security indicate that there was no systemic data on the number of stockpiles or the time-frame for destroying them. Considering the importance of disarmament and its causal relation to insecurity in the region, UNDP should be more strategic in its engagement in this area. UNDP should plan to engage in SALW reduction in a systematic and comprehensive way.

UNDP contribution to results in the area of disarmament and demobilization could have been more effective if it focused on fewer areas.<sup>90</sup> Though UNDP supported activities at both district and national levels, the scope and scale of the interventions were not sufficient to foster significant improvements in human security. In many ways, the specified outcomes were overly

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89. The Centre was established in the Office of the Prime Minister in July 2005, with the overall responsibility of addressing the humanitarian and socio-economic problems caused by landmines and explosive remnants of war. UNDP and the Office of the Prime Minister jointly contracted the Danish Demining Group to carry out demining activities in northern Uganda.

90. There were scattered activities, such as training of police constables for protecting civilian populations in affected districts, which were found to be less effective. To address insecurity caused by Boo Kec, which existed in the areas of return, and to remove the Ugandan Peoples Defence Force from the civilian population, UNDP trained police constables to provide the required protection. These constables were then posted to sub-counties. The evaluation team visited Kitgum and Gulu to find that not only were the police ineffective, but they were also a source of insecurity.

ambitious for the scale of activities, and the duration of interventions was not sufficient to make a meaningful contribution to results. The sustainability of the interventions is also an issue. There was no evidence that activities pursued with the Amnesty Commission would remain sustainable beyond the project period. As in the case of many other interventions, there is no exit plan to ensure future government ownership or follow-up.

#### **4.3.4 FURTHERING SUSTAINABLE LIVELIHOODS OPPORTUNITIES FOR INTERNALLY DISPLACED PERSONS**

Sustainable recovery is one of the critical issues in northern Uganda. Livelihood interventions are critical for 90 percent of the people affected by conflict and living in absolute poverty, with limited livelihood options and access to credit. UNDP supported livelihood projects for internally displaced persons as part of its early recovery and human security interventions. This was intended to strengthen income generation activities, diversify sustainable livelihoods and minimize food insecurity. Considering the importance of credit and support to enterprise development in northern Uganda, UNDP interventions can be viewed as relevant, although to varying degrees of effectiveness. The combined outcome of livelihood interventions was not evident.

TRP livelihood interventions were implemented by private-sector organizations, which reported to the ALD of the Office of the Prime Minister. UNDP support involved training for enterprise development and providing basic equipment for starting a business.<sup>91</sup> The evaluation team met with private-sector organizations and a few enterprise groups in the Kitgum and Gulu districts. While TRP has been important in terms of livelihood skills-building, there was

limited evidence based upon which to assess tangible results in ensuring sustainable livelihoods. It was also not clear if all livelihood enterprises chosen had market value in terms of monetary returns.<sup>92</sup> Another issue was the short duration of the livelihood interventions. An initial term of six months, which was later extended to a year, made it difficult to ensure skills were retained and effectively used for income generation.

Livelihood interventions were also included in the ongoing country programme under the early recovery component and in the Sex-Based Gender Violence programme. Although the scope of such interventions was small, training was provided in alternate livelihood activities. Similar to other livelihood programmes, interventions such as basket making and tailoring did not have market value. Some of the interventions intended to provide livelihood support to internally displaced persons had been significantly delayed.<sup>93</sup>

While the Quick Impact Project, one of the livelihood interventions, cannot be evaluated for results, lessons from its design and implementation phases are important for UNDP. The evaluation found that the programme duration of the project does not allow for adequate engagement with the targeted population. For any meaningful livelihood support, the programme should be for a reasonable length of time, and more time needs to be spent in orienting the beneficiaries to sustainable livelihood options. There have also been perceptions that the poorest of the poor areas were not selected for this intervention, and the choices of livelihood tools proposed to be distributed were not based on the needs that emerged in consultation with the community. One of the criticisms of the project expressed by

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91. In the private-sector organizations visited by the evaluation team, activities for which training was provided include cassava processing, baking, mushroom growing, tree nursery operation and beekeeping.

92. The groups with a beekeeping enterprise had only been able to obtain marginal returns on the honey harvested.

93. For example, the Quick Impact Project was delayed by over a year. Implementation had started at the end of the first quarter of the 2009.

government and other stakeholders, including the implementing partner, was the extensive UNDP delay in implementation. The delay rendered the support meaningless, as most of the beneficiaries lost an agricultural season. UNDP also did not use the intervention to develop the capacities of local NGOs and established regional private-sector organizations. Future programmes should ensure these shortcomings are not repeated.

UNDP livelihood interventions did not provide a model for up-scaling by government or other agencies and were not linked to similar interventions undertaken under the poverty reduction programme. Gender-related issues in resettlement and livelihood creation were not given adequate attention, although women were included as beneficiaries of livelihood interventions. The return of internally displaced persons from camps to their original habitation also raised issues related to land ownership. As discussed in Section 4.2 on livelihood support, such issues were not addressed by UNDP interventions.

Although UNDP played an important role in setting up Enterprise Uganda and supporting private-sector micro-finance enterprises, these institutions were not used to develop a coherent model of livelihood support in post-conflict interventions. More recent livelihood interventions, including the Quick Impact Project, are implemented through international NGOs, in many ways losing the opportunity to strengthen private-sector models in post-conflict recovery. What was lacking was a strategic approach to livelihood development, with linkages to the poverty reduction interventions of the country programme. The various livelihood interventions were compartmentalized and activity-driven.

Interviews with beneficiaries indicated that there were successes in sustaining activities and generating income through them. There was, however, a lack of systematic monitoring systems, which would not only document the improvement in the condition of the targeted beneficiaries, but also enable drawing lessons. The cost-efficiency of livelihood interventions was not optimal, even more so in recent interventions that did not use local expertise and resources.

#### **4.3.5 ENHANCING EARLY RECOVERY COORDINATION**

The large numbers of internally displaced persons in northern Uganda necessitated humanitarian coordination of relief and recovery activities.<sup>94</sup> Uganda was identified as one of the pilot countries for the humanitarian cluster approach, which mandated the cluster approach in various sectors (i.e., shelter, health, nutrition, and water, sanitation and hygiene), including three cross-cutting areas (i.e., early recovery, protection, and camp coordination and management), and several sub-clusters to facilitate coordination and streamlining of humanitarian response. Operationalized in 2005, the cluster approach intended to bridge capacity gaps in the coordination of recovery interventions by international agencies, NGOs and the government. UNDP is the designated lead agency for the early recovery cluster. The evaluation examined UNDP contribution in furthering early recovery coordination.

UNDP engagement with the government and other stakeholders in early recovery cluster coordination had mixed results. While several institutional structures were established as mandated by the Ugandan internally displaced person policy, their interface with the early recovery cluster did not succeed in enhancing synergies between various agencies. The early recovery cluster also faced more challenges than

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94. Considering the complexity of post-conflict issues, the UN saw the need for a separate humanitarian coordinator position. However, the Government of Uganda objected to having such a position, saying it suggested an accentuated humanitarian situation. The UN had to revert to the Resident Coordinator taking on the responsibility of humanitarian coordination. For a short duration of the Resident Coordinator position being vacant, humanitarian coordination was supported by UNICEF.

others.<sup>95</sup> Humanitarian stakeholders, including UN agencies, did not share a common understanding of the purpose of this cluster, and UNDP did not provide conceptual or operational clarity.<sup>96</sup> In discussion with the government, UNDP defined the scope of the early recovery cluster to comprise governance, infrastructure and livelihoods. The rationale was to identify gaps in other clusters where UNDP could provide support under the early recovery cluster. There were arguments in favour and against including a particular area as a sub-component in the early recovery cluster, specifically with regard to livelihoods and infrastructure. Officials and development agencies that met with the evaluation team were not clear regarding what the sub-clusters of livelihoods and infrastructure entailed vis-à-vis similar activities in other clusters; there was also limited clarity pertaining to the activities of the governance sub-cluster. International agencies working on livelihood issues also expressed uneasiness about the overlap of livelihood coordination in the early recovery cluster.

Notwithstanding the challenges of the early recovery cluster, UNDP support to the Office of the Prime Minister in coordinating post-conflict response at the district level through DDMCs proved to be a valuable asset for a closer relationship with local authorities, as well as for information dissemination.<sup>97</sup> Including areas such as governance and livelihoods as cross-cutting issues was the right approach to addressing humanitarian issues. However, UNDP did not effectively use its partnership with the government at the centre and district levels to take further activities in the area governance, which is a most important area of early recovery. Governance issues—as a critical

link in recovery, transition and sustainable development—were not established during the operationalization of the early recovery cluster. The perception of agencies participating in early recovery activities was that there was little value for the time they invested, and that sub-cluster activities in the areas of livelihoods and infrastructure were often defined by agencies other than UNDP.

Unlike in other clusters, there were difficulties in mobilizing funds for early recovery activities. For 2008–2009, Uganda was able to raise only 28 percent of the required funds through Flash Appeals organized by the United Nations Office for the Coordination of Humanitarian Affairs. The limitations in effectively enhancing coordination of early recovery activities were at different levels and were interrelated. Some of the issues that came up during the evaluation included lack of conceptual clarity, poor participation of humanitarian stakeholders and organizational constraints.

#### **Providing conceptual clarity**

One of the major limitations of UNDP was its inability to provide clarity of what early recovery entails and define it to suit Uganda's humanitarian and social requirements. Unlike clusters that address basic humanitarian needs, the early recovery cluster is intended to enable a smooth transition to recovery and development. What was needed in the context of Uganda was to allay the arguments that the early recovery cluster duplicated other clusters' activities, and to clearly demonstrate the value that this cluster can bring in terms of addressing the critical recovery and transition issues of livelihoods, governance and infrastructure.

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95. Stakeholder discussions suggested that efforts in food security and water, sanitation and hygiene were useful in identifying critical gaps in the sector and in involving district administrations in cluster coordination to a certain extent. Similarly, efforts in the protection cluster were found to be significant in addressing issues of internally displaced persons living in camps. While sector-specific clusters achieved different levels of success in responding to on-the-ground needs and identifying sectoral gaps, there was no holistic approach to response in each sector.

96. Agencies such as UNICEF, the World Food Programme, the Food and Agriculture Organization of the United Nations and others were wary of UNDP exceeding itself in the scope of early recovery activities.

97. On the positive side, one of the unintended benefits of local-level coordination meetings was that some of the private companies supported by the UNDP poverty practice became known to local actors participating in the coordination meetings and were eventually contracted by some international NGOs (e.g., CARE) and the local government to undertake some specific activities given their proven track record.

It was not evident that the support received from the UNDP Bureau for Crisis Prevention and Recovery was sufficient to facilitate better understanding. While UNDP correctly identified governance as one of the key areas of early recovery, the agency stopped short of clarifying to the humanitarian community that although Uganda was not an appropriate case for the early recovery cluster, the issues pursued under the cluster were relevant to the country's recovery and transition.

### **Government participation**

Despite institutional systems at the national level—such as the Inter-Ministerial Policy Committee, the Sub-Committee for Human Rights Protection and Promotion, the Inter-Agency Technical Committee and the Disaster Management Committee—UNDP could not facilitate government participation in early recovery cluster coordination. This had many implications for the effectiveness and ownership of the cluster, both at the district and national levels, and for accountability of cluster activities. One of the reasons for this was that the government was severely constrained by the lack of personnel and financial resources. While UNDP supported staff positions at the district and national levels, this was not sufficient for the government to actively engage in cluster coordination. With exceptions, cluster coordination became a mechanism for donor agencies, rather than that owned and led by the government. Linkages between cluster mechanisms at district and national levels were found to be ineffective. Cluster management was widely perceived as top-down, not taking local realities into consideration and driven by the priorities set by Kampala-based agencies.

District administration staff was not fully engaged in early recovery coordination activities. Issues were similar to the ones at the national level; there were not enough personnel at the district to participate in various cluster group meetings. District Disaster Management Committees, which could have represented the district administration, lacked capacities to

engage in discussions and inform district administration. The widely shared perception was that clusters represented a duplication of the administration structures, which in addition to the lack of conceptual clarity made early recovery cluster implementation weak. While it was important that the early recovery cluster was led by district governments, UNDP could not ensure this. It failed to effectively articulate the purpose and the possible outcome of effective cluster coordination for sustainable recovery and in providing adequate facilitation. Lack of leadership was perceived by international agencies and NGOs as one of the reasons for poor coordination of early recovery cluster,

### **Civil society participation**

Local CSO and NGO participation was limited. CSO and NGO networks that met with the evaluation team were of the view that adequate emphasis was not placed on local stakeholder participation, and that the scope of their contribution was limited. Many NGOs felt marginalized in cluster meetings. A repeatedly raised issue was that the NGO share of humanitarian funding has dropped. However, it was not evident if there was any stipulation that a certain percentage of early recovery—and other humanitarian cluster—funds should be implemented in coordination with local NGOs. The NGOs were also of the view that their partnerships with UNDP have been on the decline, and some of the NGOs with good community bases did not engage in recovery and development activities.

### **Coordination among donor agencies and humanitarian stakeholders**

Inter-agency coordination, particularly among UN agencies, was not adequately geared to ensure the effectiveness of the cluster approach. Donor agencies were of the view that there was no synergy among UN agencies. They were perceived as competing with each other, which was seen as counter-productive for a harmonized response. While it is essential to ensure higher lead agency accountability in effective cluster coordination, it is also important that there is conformity to the principles of joint work for

effective humanitarian coordination. Some of the issues related to humanitarian coordination are not discussed here, as they are outside the scope of this evaluation.

Discussions in the districts visited by the evaluation team clearly highlight that most agencies valued the advantages of the cluster approach. There was, however, a perception that the approach was largely centred on, and provided more visibility to, UN agencies compared to others. One of the reasons for such a perception was that UN agencies were designated as cluster heads, in accordance with the IASC global leads agreement. UNDP did not make sufficient efforts in the early recovery cluster to ensure the active participation of donor agencies and other stakeholders, failing to engage major donors such as The World Bank. Limited efforts were made to involve other agencies as co-leads. It was also evident that there was some ambivalence about the early recovery cluster, and very little was done by UNDP to clarify the cluster's scope and role.

#### **Organizational dimensions**

Successful implementation of the early recovery cluster would have required far greater resources and technical support than were available to UNDP Uganda, including senior staff experienced in early recovery. It is also notable that there was no capacity assessment of existing UNDP resources to face the challenge of assuming the early recovery cluster lead. As an evolving concept, early recovery lacked adequate guidance and the programme framework required for operationalization.

The UNDP financial and programme implementation procedures were found to be less conducive to early recovery than to other activities. This was further aggravated by the weak capacities of the country office, where extensive delays became a management practice. Although UNDP opened offices in affected districts, the operational presence was minimal, and the capacities at the Kampala office were not adequate to compensate for the weak field presence.

Protracted programme implementation and inability of UNDP Uganda to effectively manage even small-scale programmes undermined the UNDP position in recovery efforts and the agency's ability to attract funds for conflict prevention and recovery.

#### **4.3.6 ADDRESSING GENDER DIMENSIONS IN POST-CONFLICT RECOVERY**

Gender-based violence is a pervasive social issue in northern Uganda. While the violence against women and girls is most common, there were also areas where instances of violence against men were reported to have been perpetrated by women. UNDP had specific interventions to address sexual and gender-based violence in the conflict-affected districts of Kitgum, Gulu, Pader and Lira. The programme was implemented in coordination with the Ministry of Gender. UNDP supported the district positions of sexual and gender-based violence project coordinators, who worked in tandem with the gender focal point of the district administration.

The UNDP intervention is relevant considering the seriousness of the issue of gender-based violence in northern Uganda. While it is too early to assess results, the intervention has the potential for further scaling up by the government. While there are reports that incidence of violence against women has come down in some of the districts where the programme is being implemented, there is limited evidence to suggest that this was a consequence of UNDP interventions.

Strengthening support to the government in this area is critical to reducing the incidence of violence and informing policy and transitional justice mechanisms. Several issues, which emerged during the evaluation field visits and discussions with government and other stakeholders, have implications for the sustainability and scaling up of UNDP interventions. First, the scope of interventions has been extensive and unrealistic in view of the meagre resources allocated. Interventions should be more focused on advocacy and policy-related activities. Second, UNDP should support district administrations in

developing mechanisms to document and monitor gender-based violence. District administrations were aware of the weak monitoring systems, and some of the district administration gender focal points were keen to improve such systems. UNDP can facilitate this process. Third, UNDP should develop partnerships with other agencies to further government capacities to address gender-related issues.

While there are specific interventions that target women and include them as beneficiaries, the conflict prevention and recovery programme in post-conflict districts of northern Uganda is not informed by gender analysis. UNDP should pay specific attention to addressing the gender dimension of post-conflict recovery and reconstruction in the next country programme. (See Chapter 5 for a further discussion.)

#### **4.3.7 CONTRIBUTION TO RESULTS IN CONFLICT PREVENTION AND RECOVERY**

Results of conflict prevention and recovery interventions could have been enhanced with

better programme strategy and linkages with other UNDP programme areas. UNDP Uganda capacities to implement conflict prevention and recovery programmes had several limitations. UNDP was not adequately responsive in the context of the fast-changing situation in northern Uganda. Early recovery efforts were not at desirable levels, and UNDP was not effective in its early recovery cluster coordinating role. UNDP was similarly ineffective in developing partnerships with other agencies working in northern Uganda.

The conflict prevention and recovery programme did not make sufficient efforts to strengthen the capacities of national NGOs and CSOs in the area of protection, recovery and advocacy. The next UNDAF and country programme provide an opportunity to strategize such interventions, as well as to strengthen UNDP capacities to better respond to emerging needs. While UNDP is well positioned with corporate expertise in the areas of post-conflict recovery, reconstruction and policy support, there is a need to systematically access this expertise.

## Chapter 5

# CROSS-CUTTING ISSUES

The previous and ongoing UNDP country programmes had highlighted gender, HIV/AIDS and environment as the cross-cutting issues contributing to national development results. An additional cross-cutting theme of a rights-based approach to development was included in the current country programme. Though country programmes incorporated most of the corporate cross-cutting issues, specific emphasis on capacity development and South-South cooperation is also required. This chapter examines how UNDP integrated cross-cutting themes into its programme framework and implementation. Since environment and South-South cooperation did not receive much attention in programme planning, they are omitted from discussion.

The cross-cutting issues that were emphasized in the two country programmes are relevant within the context of Uganda and the framework of national development strategies. The Government of Uganda has policies to support integrating gender equality and HIV/AIDS into development planning and budgeting and has shown exceptional leadership in addressing these concerns within the PEAP framework. There were additional efforts to inform policy on gender dimensions of poverty reduction, economic growth and the MDGs.

As discussed in Chapter 2, challenges remain in reducing gender disparities and achieving some of the MDGs. The rights-based approach is relatively new in Uganda, and there are currently no explicit national guidelines to ensure its systematic use. Still, there is a positive national-

level government orientation to integrate the rights-based approach into planning.

### 5.1 ENHANCING GENDER EQUITY

The Government of Uganda has made a determined effort to further gender equality in development planning and policy. Promoting gender equality has been emphasized in the PEAP and northern Uganda development policies.<sup>98</sup> Measures have been taken to include gender as a cross-cutting issue in various sector-wide approach plans and to implement gender budgeting. Such measures went as far as sensitizing parliamentarians on addressing gender issues in legislation and parliamentary democracy, and were buttressed by the formation of associations such as the Uganda Women Parliamentary Association and Children's House. Significant progress has been made in electoral participation of women, with elective positions reserved for women in the Parliament and local councils.

Despite such efforts, however, women are still disadvantaged due to gender disparities in literacy levels, access to health care, incidence of HIV/AIDS, employment rates and access to financial services. There are also disparities in access to justice, which are quite significant given the high rate of violence against women.<sup>99</sup> While bills have been introduced to address domestic violence and offences against women, gender bias is still strongly prevalent in legal procedures.

As discussed in the section on policy support and enhancing MDGs in the previous chapter, there are constraints in achieving the MDG targets of

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98. The PRDP and the Karamoja Region Development Program.

99. Government of Uganda, 'Gender Inequality in Uganda: The Status, Causes and Effects', Discussion Paper 1, Ministry of Finance, Planning and Economic Development, 2006.

maternal health and child mortality, which have significant gender dimensions and need a concerted government effort. It is important to note that gender issues in developing countries have a degree of bearing on almost all the MDGs.

The common country assessments carried out prior to designing the UNDAF and the Uganda country programme acknowledged the complexity of gender issues and empowerment of women in both public and private arenas. Country programme documents consistently included gender concerns in the programme framework. As discussed in Chapter 4, women were included as beneficiaries and target groups in various UNDP interventions in the three main programme areas. In addition, there were a few interventions that addressed women-specific issues, such as gender-based violence. UNDP supported the Ministry of Gender, Labour and Social Development and several national and district-level initiatives to further gender equality. The ministry reviewed the national gender policy and re-evaluated the PEAP with a focus on gender concerns and related outcomes.

There were, however, limitations on planning and implementing gender as a cross-cutting issue. While different projects aimed to ensure that women comprised a minimum of 30 percent of their beneficiaries, the programme lacked a systematic framework for carrying out gender analysis in order to guide programme design and implementation or for monitoring progress in gender relations. For example, the conflict prevention and recovery programme framework does not outline how gender issues will be addressed in the programme as a cross-cutting issue. Similarly, in the PDM interventions or in private sector development it was not evident how gender issues were addressed beyond including women as beneficiaries. In particular, different programme areas had no indicators for

verifying integration of gender dimensions, other than the notion of ensuring that women were beneficiaries. Contributions to results that enhance gender equality require an understanding of gender differences and their causes, in order to ensure that planned interventions are appropriately responsive, rather than merely identify 'women' in general as a target or vulnerable group for specific attention. This practice was found to be lacking.

UNDP programmes lacked structured monitoring systems,<sup>100</sup> and programme indicators and reporting systems were insufficient to systematically collect gender-disaggregated data. Combined with the lack of a gender mainstreaming strategy with specified outcomes for UNDP Uganda,<sup>101</sup> evaluating results associated with mainstreaming gender was difficult.

Development agencies working in northern Uganda pointed out that beneficiary selection could have paid more attention to the most vulnerable groups. Gender inequality is exacerbated amid other vulnerabilities. Yet discussions with UNDP Uganda staff and implementing partners did not reveal a systematic approach to gender issues in participatory planning pilots, private-sector support, or the livelihood interventions of the poverty reduction and the conflict prevention and recovery programmes. Discussions with programme beneficiaries also indicated that the livelihood options supported did not have market value. To ensure equitable and sustainable livelihoods and local economic development, UNDP must address gender dimensions of its target populations in terms of employment opportunities and needs.

National human development reports have analysed the gender dimensions of development. It is, however, not evident how UNDP used this analysis to guide programme formulation. The

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100. See Chapter 6 for further discussion.

101. The project and outcome evaluations made similar observations. Although the country programme action plan called for attention to cross-cutting issues, there was limited guidance on how to mainstream work plans or indicators for assessment.

government gender focal point in one of the districts visited by the evaluation team emphasized the need for baseline and periodic monitoring of sexual and gender-based violence, and that the small grant provided for the programme could not support such activities.

Though gender dimensions in post-conflict reconstruction are very critical, it was not evident that UNDP adequately contributed to this area. It was not evident how gender was addressed in early recovery activities, including the early recovery cluster, and the degree of leadership UNDP provided to ensure this. In the humanitarian cluster approach, the United Nations Population Fund has the lead role in incorporating gender issues, and the human rights cluster led by the United Nations Office of the High Commissioner for Human Rights has the task of addressing gender-related rights concerns. UNDP contributions to these processes were not evident, particularly in disseminating lessons drawn from various stakeholders at the district level to inform recovery and reconstruction decision-making at the national level. There was also no sufficient evidence of joint work with other UN agencies in addressing gender-related issues.

There is limited thinking on strategic support for enhancing policies and practices towards gender equality. MDG reporting should be further strengthened to provide gender-disaggregated analysis. While the MDG report had touched on the gender differences between the first and third goal, gender-disaggregated data and discussion were weak for other MDGs.

In the forthcoming programme, UNDP should take sufficient measures to ensure that gender analysis informs programme design and implementation. The country programme needs to clearly spell out the gender mainstreaming parameters. UNDP should also revisit existing

programme plans in order to ensure gender issues receive due attention. Lessons from ongoing interventions are valuable for scaling up and for informing government policy on enhancing more equitable participation. Interventions such as those combating sexual and gender-based violence have lot of potential for enhancing government capacities to monitor violence against women. UNDP should take measures in order to strengthen its programme interventions in terms of scale, and should link micro-interventions to macro processes. In addressing gender equity as a cross-cutting issue, there should also be more engagement with CSOs and traditional leadership in order to carry out advocacy activities that will further gender equality and prevent gender-based violence.

## **5.2 ENHANCING CAPACITY DEVELOPMENT**

Strengthening government capacities has been a key objective of both country programmes under review and has been outlined in all programme outcomes. UNDP Uganda largely follows a national implementation modality, extending support through government agencies. As such, UNDP interventions are identical to a similar set of interventions supported by various agencies. This necessitates a consistent framework to plan and monitor the capacity development components of interventions. While UNDP outcomes provide a broad framework, they are overambitious and hard to substantiate given the small scale of inputs.

The evaluation examined how the UNDP programme framework assesses capacities and plans capacity development elements in different interventions.<sup>102</sup> Some parameters used in the evaluation include support provided to building and strengthening institutions, furthering policy, strengthening leadership and coordination, and

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102. The Capacity Development Practice Note (May 2008) defines the difference as follows: "Capacity development is commonly used to refer to the process of both creating and building capacities, as well as the (subsequent) use, management and retention of capacities. It is seen as endogenously driven and recognizes existing national capacity assets as its starting point." See also UNDP, 'Supporting Capacity Development: The UNDP Approach', Bureau for Development Policy, Capacity Development Group, New York, June 2008.

strengthening government mechanisms to access development resources and accountability structures. While the evaluation team recognizes that capacity development is more complex to monitor for effectiveness than other areas of development support, it was evident that UNDP did not have clear parameters for capacity development outcomes that could have been consistently applied to all interventions of the country office.

UNDP supported capacity development interventions at the national, district and sub-district levels, with mixed results. UNDP support to the disaster management unit in the Office of the Prime Minister and to the Uganda Mine Action Centre was perceived as critical to strengthening the government's capacity to respond to post-conflict reconstruction and human security needs. Government officials were also appreciative of the rights-based approach project, as the concept was new to Uganda and the government was keen to integrate it into development planning.

Sustainability has been an issue in UNDP-supported interventions. For example, while UNDP supported the National Planning Authority, its sustainability depends on its location within the Ministry of Finance, Planning and Economic Development, with functions integrated into the ministry's overall mandate. Similarly, while MDG monitoring reports were important to enabling government monitoring of progress, additional efforts are needed to align with government monitoring systems.

Policy engagement in all practice areas had limitations. In addition to poor programme design, UNDP Uganda did not have adequate capacity in terms of staff expertise to engage in policy discourse. To engage in the areas of policy and governance, both of which are critical to achieving the MDGs, UNDP needs to develop a programme strategy that emphasizes coordination with other agencies in key areas of interven-

tion. Particular attention also needs to be paid to enhancing the capacity of the country office to engage in policy deliberations.

Despite being important, the interventions of UNDP were more output-oriented and did not always aim at furthering national capacities. For example, in the previous country programme, UNDP had extended support to orientation and training of Parliament staff and parliamentarians. Such interventions did not aim at strengthening national institutions, such as the Uganda Management Centre, to provide training on a regular basis to bureaucracy and legislature. There were interventions that were essentially pilot initiatives, for example, Participatory Development Management at the local level. While this has increased the capacities of eight municipalities in participatory planning, this was not institutionalized or informed policy reform in local governance. Even at the micro-level, the capacities created are less sustainable in the absence of resources available for the local government. For more sustainable capacities, micro-interventions should inform policy and government practices. This was found to be lacking in many interventions.

The factors constraining contribution to capacity development include dispersed nature of UNDP support, in which interventions are small-scale, not strategic or compartmentalized, and outputs are hard to sustain over longer periods. Several interventions—for example, support to LCCs—were one-time *ad hoc* initiatives that had little relevance to capacity development. To achieve meaningful capacity development results, UNDP should reduce the number of interventions and aim to fill critical gaps in strategic areas, giving importance to policy support in programming.

The approach followed by UNDP for national implementation was not effective, according to a joint evaluation of the MFPED and UNDP.<sup>103</sup> The ministry established an internal unit for implementing the UNDP programme. UNDP

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103. Moyo 2008.

graduated from the National Execution (NEX) Support Unit during 1990–1997 to the ALD during 1998–2008. The NEX Support Unit was envisaged to strengthen government capacities in the execution of externally funded technical assistance projects, while it supported the implementation of UNDP interventions. The subsequently established ALD had the similar scope of implementing UNDP programmes in a more centralized way. At the time of its formation, the ALD was considered relevant to augmenting government staff capacity, which was reduced because of Structural Adjustment Programme measures. Both country programmes under review were implemented through the ALD. While the department was closed in January 2008, the experience offers important lessons for defining the approach of national implementation modality for the forthcoming UNDP programme. At the time of the ADR, the approach followed in the national implementation modality of the forthcoming programme was not evident, although UNDP intends to follow largely the national implementation modality.

While the ALD approach augmented government staff, there is limited evidence to suggest that it enhanced government capacities to manage externally funded programmes. It was not evident how a separate department dedicated to the implementation of the UNDP programme enhanced national capacities, since the ALD was essentially augmenting staff capacities. UNDP Uganda considers funding government staff positions to equal capacity development. In addition to staff, various ALD consulting positions were funded by UNDP to provide technical assistance.<sup>104</sup> Support to the ALD was not aimed at increasing government capacity to coordinate external aid independent of UNDP programme implementation. An external evaluation carried out at the conclusion of ALD support pointed to the lack of clarity on the part of UNDP in extending such support, and to the

limitations in enhancing ALD capacities.<sup>105</sup> The stated goal of enhancing government capacities for better aid coordination was not achieved through the ALD mechanism.

Uganda was a pilot country for the post-conflict humanitarian cluster approach, and UNDP was the lead agency for the early recovery cluster. Despite the complexity of the political situation, cluster coordination provided an opportunity for enabling longer-term sustainable recovery at the district and national levels. However, UNDP did not use this opportunity to enhance the country's capacity for sustainable recovery. Although early recovery has certain conceptual and practical limitations, the opportunity to provide the leadership required in this critical area of humanitarian approach was lost. UNDP could not adequately define or prioritize early recovery activities to best address long-term issues, such as strengthening governance at the district level or providing support to address potential causes of conflict. An opportunity was lost not only in clarifying to the government the need for a more structured approach to early recovery (in order to effectively transition to reconstruction and development), but also in advocating the importance of early recovery among donors in order to mobilize funds.

The role of UNDP in enhancing government coordination was minimal. In many areas (including governance, private-sector support, environment, northern Uganda policy and technical support), UNDP is not a key player in donor coordination. There were several sector working groups and sector-wide approach plans in Uganda. While UNDP participated in the working groups and coordination mechanisms, it was not evident that UNDP played an active role in these forums.

With a few exceptions—where NGOs acted as implementing partners—UNDP efforts to develop capacities of CSOs have been weak.

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104. During the evaluation period, UNDP supported 41 ALD staff and consultant positions.

105. Moyo 2008.

Many NGOs and CSOs that met with the evaluation team said that UNDP engagement had not been at desirable levels. Active participation of local NGOs and CSOs was also perceived to be limited in early recovery cluster.

UNDP does not have a strategy to strengthen civil society capacities. Representatives of NGO networks also pointed out that results in development and post-conflict recovery can be further enhanced by using existing local capacities. In contrast, UNDP was perceived to opt for international NGOs that did not have adequate local expertise compared to national alternatives. The next programme cycle provides an opportunity to systematically integrate civil society capacity development into the programme framework, using local capacities wherever available.

### **5.3 MINIMIZING THE RISK OF HIV/AIDS**

During the past decade, the Government of Uganda has made significant efforts to combat HIV/AIDS. Uganda receives support from the Global Fund to Fight AIDS, Tuberculosis and Malaria. Two rounds of grants have been implemented, and the third is ongoing. Uganda has already met its MDG target. However, national statistics show that HIV/AIDS prevalence has been on the increase in the past three years, and Uganda risks losing gains consolidated so far, if immediate measures are not taken to address the factors that contribute to this increase.

Either as a cross-cutting issue or as one of the MDGs, the mainstreaming of HIV/AIDS concerns did not get the attention it deserved in the country programmes under review. UNDP completed two specific interventions: training of municipal councillors to address HIV/AIDS and supporting an assessment of the macroeconomic impact of the disease. The training was a one-time programme, and it was not possible to evaluate its results. The study, determined by the government to be a useful document, remains to be adequately pursued so that it informs the national development planning. Other than these

interventions, the mainstreaming of HIV/AIDS into different UNDP programme activities was not evident. Similar to the areas of gender and capacity development, UNDP did not have a coherent HIV/AIDS mainstreaming strategy.

Stakeholders interviewed, particularly those among donors and civil society, expressed concerns about integrating HIV/AIDS in the national development strategy and stressed the importance of a multisectoral approach in order to minimize risks. The forthcoming programme should pay specific attention to mainstreaming HIV/AIDS in all relevant programme interventions, as outlined in the corporate 2008–2011 Strategic Plan. UNDP should also develop partnerships within and outside the UN system to further HIV/AIDS advocacy.

### **5.4 RIGHTS-BASED APPROACH**

The rights-based approach is a relatively a new concept in Uganda and, in contrast to gender and HIV/AIDS concerns, is not yet articulated in government planning and policy documents. The Human Rights Commission introduced the concept in the areas addressed under UNDP support and, according to government officials, documented some success. The Right to Health programme established desks at schools and in district clubs in order to raise rights awareness, but it is too early to assess the results of such interventions.

Rights-based approach elements were also present in the PDM that was implemented in eight Ugandan districts. Despite the presence of dispersed activities, a systematic approach was lacking, and the rights-based methodology was not articulated in the UNDP programme strategies. It was also found that staff had limited understanding of how to integrate the rights-based approach into programmes or projects.

UNDP should take sufficient measures to not only further the rights-based approach in government planning processes, but also to enhance its country office's capacities and mainstream the approach in its own interventions.

## Chapter 6

# STRATEGIC POSITIONING OF UNDP

UNDP has had a long presence in Uganda. For most of this time, national development priorities guided programme interventions. In the previous and ongoing country programmes, UNDP supported development needs identified in the PEAP and in post-conflict recovery and reconstruction efforts of the government. Several factors influenced UNDP positioning in responding to the development priorities. Uganda has a large donor presence, and UNDP plays a relatively small role in terms of the financial and technical resources contributed towards achieving development results. UNDP also has the responsibility to ensure it meets specific organizational mandates, using its own core funds to address issues critical to furthering human development; issues that the government or donors may prioritize differently. This chapter analyses how UNDP positioned itself vis-à-vis responding to Uganda's development challenges.

### 6.1. HOW UNDP POSITIONED ITSELF

As to responsiveness and alignment with national development priorities, UNDP has been regarded as a trusted and reliable partner, praised for its responsiveness, flexibility, neutrality and lack of a political agenda. As discussed in Chapter 4, there were areas of UNDP support that were significant to strengthening national institutions and informing policy (e.g., support to the Office of the Prime Minister in disaster management and support to developing internally displaced person and National Disaster Management policies). In areas such as support to the Parliament and anti-corruption institutions, UNDP has been a pioneer supporter of these interventions, which later received support from other donors. While such interventions provided UNDP the opportunity to influence development planning, it was not evident that UNDP positioned itself to enable this.

Most interventions in the area of governance and poverty reduction were responsive to government requests. However, the high responsiveness to individual government requests did not translate into a cohesive portfolio of interventions, as there were no direct linkages to make the interventions mutually supportive. While some yielded very positive outputs (e.g., support to the Parliament, the IGG, Uganda Human Rights Commission and Enterprise Uganda), results cannot be aggregated to consider that each area of practice is meeting stated outcomes. UNDP responsiveness was not strategic, because support was provided to a wide range of unrelated interventions with resources that were spread too thinly to make sustainable contributions to development results. While the relatively modest UNDP funding support to implementing partners has been occasionally used as seed money, there was limited evidence to suggest that it was regularly complemented by additional funds mobilization or efforts to sustain outcomes. UNDP should make an effort in the forthcoming programme to develop more focused support by reducing the number of small and dispersed interventions; there is a need to balance the depth and breadth of supported interventions.

UNDP Uganda's strategic positioning must be seen in light of its capacity to mobilize a programme portfolio to accomplish the outcomes outlined in the country programme, and in light of its support to the government in key development areas. During the past nine years, there have been limitations in mobilizing funds on a sustained basis. UNDP mobilized \$10 million annually. Despite its long presence and favourable relations with the government, donor agencies did not channel adequate resources through UNDP. One reason for this is the prevalence of budget support in Uganda, which

reduced possible UNDP roles in supporting the implementation of development programmes. However, UNDP has the potential to play a role in complementing budget support by, for example, providing policy and technical support. Clearly thought-out interventions directed at critical gaps in budget support were found to be lacking.

In several cases, UNDP developed interventions as a response to the availability of donor funds. Rather than simply respond to funding opportunities, it is important that UNDP develop a programme strategy that is based on identifying critical gaps in key areas of UNDP intervention in order to mobilize funds. Such a focus is particularly important in Uganda, where there is a large donor presence and UNDP has limited resources.

UNDP was more reactive to government requests than maintaining a proactive agenda of contributing to development results and informing policy. Though UNDP was consistent in its support to monitoring the MDGs and poverty, greater efforts are required to harmonize national development goals and the MDGs. Despite initiatives in the area of private enterprise support, UNDP could not adequately leverage its position to engage in policy issues in that area. Support to reforms in the area of governance did not receive the attention it deserved in the two country programmes, even in areas such as local governance, where UNDP, in partnership with UNCDF, was well positioned. Though UNDP had the organizational potential to make contributions, it did not systematically pursue such opportunities in participatory local governance, accountability and transparency mechanisms or strengthening electoral systems.

A comprehensive governance strategy addressing different areas of governance was found to be lacking, although there were important interventions in strengthening governance institutions for transparency, justice, and disaster and conflict management. At the time of the ADR, UNDP Uganda had commissioned programme scoping in governance for the forthcoming country

programme. One of the areas identified at the local level was strengthening service delivery. Considering the weak social services at the district and sub-district, this is an important area for future support. It is crucial that UNDP be more responsive and engage in furthering institutional and governance reforms at the national and local levels. Adequate core resources should be allocated for this, and UNDP should develop partnerships with multilateral and bilateral organizations in order to play a strategic role in the area of governance.

Recovery in northern Uganda is a critical issue. Besides conflict-affected districts, the Karamoja region suffers from starvation and a high degree of poverty. There is considerable focus on the regional disparities in development, and the government has developed a policy framework for northern Uganda and Karamoja. However, further efforts are needed in order to align the priorities of northern Uganda in national development strategy. UNDP positioning on northern Uganda policy was not evident, and there were indications that the participation in the northern Uganda working group was passive.

UNDP developed a programme framework for conflict prevention and recovery interventions, addressing various dimensions of recovery, reconstruction and transition in northern Uganda. While funds were not available to adequately pursue all outlined activities, there were limitations in delivery of even the allocated funds. Conflict prevention and recovery interventions supported so far had varying degrees of success. At the national level, conflict prevention and recovery interventions have contributed to strengthening institutions and to the recovery process in critical areas relating to reintegration and security. This, however, did not enhance UNDP positioning in conflict prevention and recovery at the national and local levels, and its role in northern Uganda policy discussions was inadequate. While UNDP had the challenging task of leading the early recovery cluster in a complex and politically sensitive situation, its coordination efforts were perceived

to be less effective. UNDP did not systematically use corporate expertise to provide support to early recovery coordination. The programme also had limitations in terms of resources (e.g., funds, staffing and programme management, and expertise available in the country office), which prevented UNDP from playing a lead role at critical times.

## **6.2 DEVELOPING PARTNERSHIPS**

Over the years, UNDP developed partnerships with the government, civil society and international development agencies. These partnerships had varying degrees of engagement; they were better developed with the government at the national level, were weaker with international agencies, and were limited with CSOs. With some exceptions, partnerships were generally *ad hoc* and project or programme-based rather than strategic.

### **6.2.1 GOVERNMENT**

UNDP programme support has largely been implemented through government systems, with working partnerships primarily associated with the national government. There were good working relations with some of government institutions (for example, the Office of the Prime Minister, the National Planning Authority, and the Parliament) and uneven with others. The government values its engagement with UNDP during peace-building and considers UNDP a trusted partner. However, it was not evident that UNDP could use its partnerships to leverage its position in the policy space in order to engage in critical development issues, such as the MDGs, governance reforms, informing the national development strategy or addressing regional disparities. Furthermore, it was not clear if UNDP could build on its partnership with the government in order to engage in coordination efforts and actively participate in different working groups. Working with the government was compartmentalized to specific interventions, and there were lower levels of synergy than expected.

An issue that was apparent during the ADR—pointed out by a few respondents—was that though it is important that partnerships are initiated at senior levels of government, UNDP did not adequately ensure this. Recently, there has been change in the implementation modality of the UNDP programme from the ALD to a national implementation modality approach through respective line ministries. While more clarity is required on the exact nature of the implementation modality of the forthcoming programme, closing the ALD had implications for how the partnership with UNDP is perceived.

Though programmes are implemented through the national government, UNDP should ensure balance in working with the local government. Even in districts where UNDP had sub-offices, partnerships with the government at the district and sub-district level were project-oriented and lacked a clear strategy for engagement to enhance capacities. The Government of Uganda is initiating a large national programme on local governance with the support of The World Bank. UNDP should plan an approach to support the government in these endeavours. For example, UNDP should systematically pursue aligning its efforts to support participatory local planning and strengthening service delivery.

### **6.2.2 INTERNATIONAL DEVELOPMENT AGENCIES**

During the ADR, there were limitations on consulting with donors of the UNDP programme in Uganda. These limitations resulted in a partial understanding of the nature of partnership with international development agencies. From discussions with donor and UN agencies, there appeared to be a lack of partnerships and synergies in areas of common interest with UNDP. Furthermore, the agencies perceived weaknesses in joint engagement, particularly in early recovery, governance, northern Uganda issues, recovery and reconstruction, and private enterprise development. In the context of budget support, UNDP lacked clarity on how to engage with bilateral and multilateral organizations.

There were indications that UNDP had difficulty mobilizing non-core funding, primarily due to the prevalence of budget support in most areas in Uganda. Although there was encouraging experience in basket funds in past programmes (e.g., United Nations Capital Development Fund/LCCs, African Peer Review Mechanism/New Partnership for Africa's Development), UNDP has shown limited engagement in terms of resource pooling. The organizational requirement that UNDP manage basket funds when resources are pooled constrained further engagement in basket funds; other organizations were not always willing to allow UNDP to manage these funds.

Organizational factors constrained developing partnerships and mobilizing funds in some areas (e.g., crisis prevention and recovery). The reluctance of some donors to fund UNDP programmes was related to the lack of proactive engagement by the country office in critical development and post-conflict issues. Contributing factors included overextended involvement, a lack of clear strategy in practice areas and passive engagement with development issues (in some cases, donors were not aware of UNDP activities). Intermittent presence of senior management in the country office further constrained proper engagement with donor agencies.

During the ADR missions, it was evident that UNDP Uganda was making concerted efforts to address organizational and programme-related issues. The recruitment of the Country Director has filled the leadership gap and provided an opportunity for more proactive engagement with donors. It is also important for UNDP to explore areas where it can provide technical assistance or strengthen government capacities in order to enhance the effectiveness of budget support. UNDP should develop strategy documents in key practice areas for mobilizing funds. Strategy notes should clearly outline the UNDP role in the context of budget support.

### **6.2.3 CIVIL SOCIETY ORGANIZATIONS**

Partnerships with CSOs and NGOs in the implementation of development and conflict

prevention and recovery programmes were found to be weak. There was minimal involvement of CSOs in the early recovery cluster. Uganda has a large number of CSOs and NGOs, and their participation in development and reconstruction is critical. A specific partnership strategy should be developed in order to address the constraints of decentralized interventions, especially in supporting local governance at the district level. More efforts are required to develop partnership with CSOs, both to benefit from their local expertise and to strengthen their role in the development and reconstruction processes.

## **6.3 COORDINATION**

### **6.3.1 DONOR COORDINATION**

Uganda has several ongoing coordination mechanisms, both in development and in post-conflict recovery. At the national level, UNDP is part of the overall donor coordination structure. However, there has been a loss of the proactive coordination that UNDP enjoyed during the nineties, mainly due to intermittent leadership over the past two programming cycles. UNDP efforts lacked the impetus required for active engagement and for leading coordination. Furthermore, UNDP was not an active participant in coordination structures. At the time of the ADR, The World Bank was chairing the northern Uganda working group and the private-sector group. These groups are the main areas of the UNDP portfolio, where there should be proactive engagement. Although there were indications that recently UNDP was more actively engaging in coordination activities, and since July 2009 chairing the northern Uganda donor coordination, sustained efforts are required for active participation in policy discussions.

UNDP has the responsibility of coordinating the early recovery cluster. While national and international stakeholders could have been more effectively engaged, there were several limitations to ensuring effective coordination of the cluster. UNDP participates in a number of technical and sector working groups that have been instrumental in furthering debate on critical issues.

However, senior staff of UNDP did not participate in such discussions. Interviews with government officials and donor agencies indicated that in recent years, UNDP has lost its standing in policy discourse. In an environment of budget support, it is important for UNDP to emphasize its strength in providing technical and policy support, which was not evident during the ADR. The UNDAF and country programme provide an opportunity to actively engage in coordination forums in order to regain some of the lost ground.

### **6.3.2 UN COORDINATION**

The evaluation examined the contribution of UNDP to UN coordination. One of the dimensions of such contribution was the Resident Coordinator function, for which UNDP is the host agency. It was not easy for the evaluation to delineate the intertwined roles of the UN Resident Coordinator, the UNDP Resident Representative, and the Humanitarian Coordinator, although each has different lines of accountability. The ADR covered the period prior to 2008, when the Resident Representative role was much stronger in managing UNDP programmes and the firewall between the roles of Resident Coordinator and Resident Representative was not clearly spelled out. Furthermore, it was only six months prior to the ADR exercise that the Country Director in Uganda was appointed. The manifestation of the roles of Resident Coordinator/Resident Representative, its implications for the Humanitarian Coordinator function and how the stakeholders perceived these multiple roles emerged from time to time during the evaluation. The present discussion, however, is confined to those areas where UNDP had a specific role in contributing to UN coordination or other activities that influenced UN contributions to development results.

The UNDAF and humanitarian response were the main joint activities of the UN in Uganda. UNDP supported the Resident Coordinator in coordinating the preparation of the ongoing UNDAF, while UNICEF supported coordinating the forthcoming UNDAF. The Resident

Coordinator's role in convening the UNDAF process was perceived by UN agencies as effective. While the UNDAF includes a monitoring and evaluation framework, there has not yet been a joint evaluation of the UN system's collective response in Uganda. Although UN agencies are supposed to develop their country programme after the UNDAF has been finalized, some have already done so. There were indications that UN agencies had different stakes and levels of commitment to the UNDAF process. While UN agencies appear to be committed to the UNDAF process, ownership of the UNDAF was not uniform, making the coordination of the UN system challenging.

UNDP was the lead agency for the early recovery cluster. The implementation of the cluster approach in a politically charged post-conflict situation in Uganda required a more coordinated approach among UN agencies. Poor coordination and competition among UN agencies contributed to the limited government involvement in cluster coordination. UNDP was not effective in furthering early recovery coordination. Chapter 4 discusses the factors that constrained effectiveness of the early recovery cluster. There were serious limitations in clearly delineating what each of the components of the early recovery cluster, mainly governance, infrastructure and livelihood, should entail. Considering that the early recovery cluster was cross-cutting in nature, there were limitations in building on similar interventions in clusters lead by other UN agencies. In particular, there were challenges in coordinating with UN agencies involved in the area of livelihood and infrastructure support within different clusters. Lessons from the Uganda experience are critical for informing not only the forthcoming program, but also for addressing issues in operationalizing the cluster approach and informing UN reforms and the Inter Agency Standing Committee.

### **6.4 PROGRAMME MANAGEMENT**

Organizational and programme management factors that have implications for UNDP positioning in development and post-conflict

responses were examined. These include the weak capacity of the country office, the lack of strategy for different programme portfolios and weak monitoring and evaluation systems.

#### **6.4.1 UNDP UGANDA INTERNAL CAPACITY**

The contribution of UNDP to development results and strategic positioning was severely constrained by poor human resource capacity and gaps in leadership at critical periods. Though human resources are key to proactive positioning and high performance, the UNDP Uganda human resource policy did not have equitable contractual arrangements for positions at similar levels. Contracts given to professional staff were *ad hoc* and for short durations, which did not instil staff morale.<sup>106</sup> This has also led to high staff turnover and partially explains why projects are being carried over across country programmes as remaining staff takes over projects nominally outside their purview. In the future, UNDP should strive to have full staff capacity and ensure that contracts are awarded for the appropriate period. The country office should also ensure that human resource policy is uniformly applied in terms of providing staff benefits. In addition to contractual issues, it is important that the country office ensure that its professional staff has the capacity to address the challenges in implementing the programme, and to engage in policy discussions.

Another factor that contributed to organizational underperformance was the lack of continuity in country office leadership. There were leadership gaps at critical times, which led to the country office functioning arbitrarily and without any synergies between various programme areas. Lack of senior leadership also weakened engagement with government and donor agencies. Recently, a country director has been recruited,

and this provides an opportunity to address organizational anomalies.

As management review was not part of the ADR Terms of Reference, it is suggested that the country office carries out an organizational and management review in order to address these issues. For the next programme to be effective in achieving outcomes and contributing to results, high priority should be given to strengthening organizational practices, growing staff capacities and enhancing management procedures.

Considering existing staff constraints, a key role of the UNV programme needs to be highlighted as having decisively contributed to the success of a number of UNDP interventions. Volunteers have been placed in various positions at the national and sub-office levels, and in a wide range of institutions as technical assistants on policy matters and as field staff.<sup>107</sup> The UNV programme has played a major role in contributing to achieving the country programme objectives, and implementing partners have expressed their satisfaction with the critical support role of UNV staff. In some cases, their work was so highly regarded that one former volunteer was contracted as staff. Almost all of the feedback received regarding UNV staff during the ADR exercise proved quite positive, which points to a generally good selection of the candidates that were posted in Uganda.

#### **6.4.2 PROGRAMME IMPLEMENTATION MODALITY**

During the assessment period, UNDP largely followed the national execution modality implemented through the ALD within the MFPED. The ministry and UNDP jointly decided to close the unit in January 2008 and design a new modality of support. In April 2008, an external evaluation was undertaken to identify

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106. In the country office, 60 percent of staff is project-funded, 31 percent is core-funded and 9 percent are funded from extra-budgetary resources. The bulk of core funding is for staff in operations (e.g., drivers, human resources, project support) but not for programme staff, with only one core staff member in conflict prevention and recovery and poverty and two in governance. Even the extra-budgetary staff is essentially operations staff, but that also affects capacity because extra-budgetary staff has job insecurity. On projects, ALD service contracts are given (without benefits) for a maximum of up to 4 years. The beneficiary has the option to pay for insurance, which is not paid for by the organization.

107. For example, IGG, Uganda Human Rights Commission, UNCDF/LCCs.

the way forward. There was no management response to the evaluation, and it was not evident which approach UNDP intends to follow in the implementation of UNDP-supported programmes in the future. While the forthcoming country programme indicates the national execution modality, the details are yet to be outlined.

During the ADR exercise, meetings with the MFPED indicated that UNDP did not carry out an assessment of the government's financial system. This, to an extent, was seen to constrain the operational effectiveness of programme implementation and of fulfilling the accounting requirements of UNDP. There was also a perception among government counterparts that UNDP procedures were rigid. While there is need for better consensus on implementation procedures, it is important for UNDP to follow a phased approach if there is a need to strengthen government systems and to make UNDP programme implementation transparent.

There were limitations in UNDP procedures and timelines in disbursing funds. While corporate programme procedures contributed to delays, it appears that there were additional reasons for such delays. It is important that UNDP clarifies its procedures to implementing partner agencies and supports them in order to strengthen their administrative and finance systems. With the exception of the National Planning Authority/African Peer Review Mechanism and the Office of the Prime Minister, all other implementing partners complained of delays in receiving funds (from two to three months up to seven months). Some of the implementing partners did not receive first quarter 2009 funds until the end of April 2009, leading to delay in implementation. There were more delays in conflict prevention and recovery compared to other areas of the programme, mainly attributable to lack of effective administrative functioning.

#### **6.4.3 PROGRAMME DESIGN**

While the evaluation recognizes that UNDP contributions to development results are not necessarily directly tied to the amount of funds

spent on individual interventions, resources were spread too thinly across UNDP practice areas. The pilot approach allows UNDP to develop a small model, which the government or donors can then scale up. While there are advantages in having a few pilots, it was found that resources were being dispersed and did not have the depth necessary to ensure any meaningful contribution. UNDP would benefit from fewer interventions and more sustained support.

The programmes did not have exit strategies or benchmarks to define success. This created ambiguities for local ownership, handover and sustainability of the programmes. In some cases under the current country programme, interventions did not have project documentation. While this provides UNDP the flexibility to adapt to changing circumstances, it makes success appraisal difficult, as the contents of annual work plans were not detailed enough and were subject to varying interpretations by stakeholders.

#### **6.4.4 MONITORING AND EVALUATION**

There were many project and outcome evaluations. The programme, however, lacked a comprehensive monitoring and evaluation strategy across areas of practice. Concurrent analysis and monitoring of progress towards planned development results was also found to be lacking, and the adaptation of the results-based management system was weak. The programme was largely activity and output driven, and monitoring for outcome indicators and linkages to broader development processes was not available.

In terms of project and programme designs, many lack an initial database, thereby making progress difficult to ascertain. In many cases, particularly in the area of governance, it is difficult to identify outcome indicators. With the establishment of a management support unit with a monitoring and evaluation officer since February 2008, a critical gap for programme and management decision-making was filled. However, more needs to be done in terms of strengthening the monitoring and evaluation culture in programme management. Monitoring

and evaluation training for programme staff would contribute to developing internal capacity, ensuring ownership and commitment to the use of appropriate tools.

Information management and reporting in the country office is weak and needs substantial

upgrading. It was very difficult for the evaluation team to obtain the required information, and in some cases information was found to be lacking. This was highlighted in a number of independent evaluations since 2005, no efforts were made to address this.

## Chapter 7

# CONCLUSIONS AND RECOMMENDATIONS

This chapter summarizes the main conclusions of the ADR, followed by specific recommendations for UNDP Uganda. Recommendations are aimed at addressing the main challenges identified in the previous sections and are intended to further strengthen UNDP contribution to national development results.

### 7.1 MAIN CONCLUSIONS

**UNDP contributions have been significant in terms of responsiveness to national priorities and needs. Although many short-term outcomes were achieved, the contribution to long-term development results was moderate.**

There were many positive features of the UNDP response in Uganda. Amid a competitive aid environment particularly predisposed to budget support, UNDP was successful in maintaining its relevance. UNDP implemented programmes, largely through government agencies; responded to various requests for support from the government in development and post-conflict reconstruction; and supported the implementation of the PEAP and policies on post-conflict recovery and human security. Strong partnerships were developed with key government agencies (e.g., the IGG, the National Planning Authority/African Peer Review Mechanism, the Office of the Prime Minister, the Parliament, the Public Procurement and Disposal of Public Assets Authority, and the Uganda Human Rights Commission). UNDP demonstrated strong commitment to post-conflict recovery, human security and providing support to establishing democratic institutions at different levels. There were instances where government institutions used UNDP support as start-up funds to leverage additional donor resources.

Despite effectiveness in achieving the individual outputs outlined in country programme documents, this evaluation concludes that the overall development performance and effectiveness of the programme varied, particularly in terms of the sustainability and measurability of results achieved. There were limited synergies between various programme interventions. Intended outcomes were not fully realized and often did not complement similar efforts by the government.

A portfolio of individual projects comprised support to the governance and poverty reduction areas. This portfolio, however, lacked clarity on contribution to development results in these areas. The level of achievement of outcome of the UNDP-supported interventions to strengthen democratic processes at the district and sub-district levels (e.g., support to local governance, LCCs, the PDM process and the UNCDF-funded District Disaster Preparedness-II) appeared to be relatively modest. The pilots in different programme areas did not always inform government programmes, although there were exceptions, such as the joint programme with UNCDF (which was replicated by The World Bank-funded Local Government Development Programme). Several small interventions with different rationales did not consolidate into a common outcome. Some pilot projects (e.g., the energy multi-platform project) were so small in scope that there were no comparative advantages for UNDP to engage in them.

**UNDP contributions to post-conflict recovery had mixed results. While contribution to strengthening institutional mechanisms was a factor in achieving results, there were limitations in informing a holistic approach to recovery.**

UNDP has been responsive to post-conflict needs and has made efforts to strengthen institutional capacities to better respond to post-conflict recovery and reconciliation. The support to the Office of the Prime Minister (including the Amnesty Commission, the District Disaster Management Committee and the Uganda Mine Action Centre) enhanced the government's capacity to respond to post-conflict recovery needs. UNDP support also contributed to operationalizing the internally displaced persons policy and facilitating their safe return. In addition, activities in human security through support to reduction of small arms and light weapons were promising in some areas, such as reducing weapon stockpiles.

Despite achievements in short-term outcomes, contributions to results in the conflict prevention and recovery programme were mixed. UNDP was not effective in implementing the programme in a complex and fast-moving operating environment, which required quick response and adaptability. There were severe limitations in operationalizing a comprehensive conflict prevention and recovery programme. While UNDP developed a programme framework for implementing conflict prevention and recovery activities, implementation was constrained by a lack of adequate resources. The conflict prevention and recovery area was detached from the rest of the country programme, and very little effort was made to link it to other programme areas of UNDP, such as poverty reduction or governance. Notwithstanding support to the formulation of policies for internally displaced persons and disaster prevention and mitigation, UNDP engagement in northern Uganda policy discussions was not at the desired level. Furthermore, UNDP was not effective in enhancing linkages between post-conflict recovery and longer-term national development objectives.

**Early recovery cluster coordination was carried out in a complex post-conflict environment. UNDP was not effective as an early recovery cluster lead, and missed opportunities for**

**playing a more proactive role in taking forward an early recovery agenda. There were limitations on providing clarity on what early recovery entails and on ensuring the participation of government and other agencies.**

Uganda was one of the pilots for the humanitarian cluster approach, along with the Democratic Republic of the Congo, Liberia and Pakistan. UNDP had the challenging task of leading the early recovery cluster. While the scope of early recovery (which included governance, infrastructure and livelihood) was in many ways critical to areas in recovery and transition, UNDP was less effective in providing direction and leadership in taking forward the agenda of early recovery. There were limitations on ensuring ownership of coordination by the government and participation of concerned stakeholders.

Despite substantial funds from the Bureau for Crisis Prevention and Recovery, UNDP was not effective in ensuring the delivery of early recovery activities. Lack of adequate capacities (e.g., human resources, expertise) and frequent leadership gaps at critical times contributed to poor support to coordination. While clusters will conclude in August 2009, further efforts are required in order to achieve outcomes in the area of recovery. The lessons from the Uganda experience will be valuable for UNDP in strengthening the early recovery cluster approach.

**National capacity development and institution strengthening are central to the UNDP programme framework and are key components of UNDP corporate goals. However, the operationalization of capacity development has been less strategic and lacked a time-frame and exit strategy. UNDP did not position itself well in the context of the prevalent budget support in Uganda.**

Capacity development is a clearly recognized programme priority of UNDP Uganda, although some questions remain as to what this entails. Among government institutions, capacity development is associated with the sustainability of state institutions through funding and

technical assistance. Uganda has large and continuous budget support from the donor community, and there is an expectation that capacity development should be seen as a natural part of that process. There was no common understanding of the parameters of capacity development. More specifically, capacity development was not always understood in terms of better governance, strengthening the capacities of institutions and leadership, and enhancing transparency and accountability.

Lack of a country-specific strategy on capacity development in many ways constrained the effectiveness of UNDP support. Capacity development was not mainstreamed into UNDP-supported programmes. While there was a commitment by the country office to strengthen institutions and develop capacities, it lacked a clear vision as to what must be achieved. A wide range of state institutions have benefited from UNDP support and consider themselves to have increased their capacity, mainly in terms of increased staff numbers. Interventions, however, remain at the individual level and are not informed by a consistent capacity development approach. Furthermore, there are no benchmarks to indicate progress towards outcomes and intended results, or to indicate the gradual disengagement of UNDP support.

**Weak programme management and lack of leadership at critical points constrained effective contributions to results. Programme management was constrained by several critical factors, including lack of adequate qualified staff, weak synergies among different areas of the programme, and poor reporting and monitoring.**

UNDP Uganda had intermittent senior leadership. During the period under review, there were a number of leadership changes and periods when senior management positions were not filled. An evolving and complex humanitarian situation created additional responsibilities, and at critical junctures, UNDP was under-capacitated to respond to evolving demands. A related issue was the lack of a human resource

policy that would have systematically addressed staff-related issues. Lack of compatibility between programme and human resource investment influenced progress in achieving outcomes. Staff capacity and quality were not commensurate with the tasks UNDP had to fulfill. Sub-offices created in the north lacked sufficient staff and were not adequately empowered to engage in project implementation.

Planning, documenting and monitoring were weak across programme areas. There is a lack of baseline data, clear benchmarks or indicators to appraise progress and results. Concurrent analysis and monitoring of progress towards planned development results was also found to be lacking, and the adaptation of the results-based management system was weak. The programme was largely activity and output driven, and monitoring for outcome indicators and linkages to broader development processes was not available. Further, most interventions lacked a clear exit strategy, although the programme aimed to replicate successful projects. Addressing sustainability was largely found to be absent in intervention design. The findings and recommendations of project and outcome evaluations were not systematically used to strengthen programme quality.

**Programme efficiency was undermined by spreading funds across many unrelated activities and by poor capacity of UNDP to disburse funds in a timely manner.**

Limited funds were spread across a wide range of activities, often on such a small scale that they could not contribute to effective or sustainable results. Rather than providing sufficient depth and longer-term commitment in fewer areas, UNDP was involved in a wide range of activities, and with the available evidence, it was not possible to measure contribution to results.

Programme efficiency was also constrained by challenges in the UNDP capacity to disburse funds in a timely manner. Absorption capacity was low in conflict prevention and recovery interventions, limiting programme effectiveness as well as the implementation of intended activi-

ties within the programme. In many ways, poor fund management undermined the financial sustainability of programmes and minimized the possibility of additional funding.

**The comparative advantage of UNDP in addressing social development issues and policy was not fully realized. The efforts of UNDP were not optimal in developing strategic partnerships with international agencies and networks.**

While UNDP has the potential to play a critical role in complementing budget support (by, for example, providing policy and technical support), this was not fully optimized. UNDP programme support would have made better contributions to results had partnerships been developed with other agencies or had interventions been based on a careful analysis of ongoing support to the government from other agencies. UNDP did not have a programme strategy in a context where 71 percent of development cooperation is budget support. Clearly thought-out interventions and partnerships directed at addressing critical gaps in budget support, essential for strategic positioning, were lacking.

**The participation of NGOs and CSOs was not ensured in the UNDP-supported programmes. In seeking partnerships, UNDP largely overlooked civil society, NGOs and community-based organizations.**

Uganda has a large number of NGOs and CSOs, and some of them have the potential to complement government efforts in development and post-conflict reconstruction. When responding to national priorities, UNDP did not sufficiently develop partnerships with NGOs and CSOs or facilitate their engagement in development processes. There were limited efforts to strengthen the capacities of NGOs.

**The cross-cutting issues emphasized in the two UNDP country programmes are relevant in the context of Uganda and within the framework of national development strategies. However, the integration of cross-cutting issues across**

**interventions has been modest, both in programme design and in implementation. Similarly, the contribution was modest in supporting the government in furthering the integration of cross-cutting issues.**

The Government of Uganda has policies to support the integration of gender equality and addressing HIV/AIDS into development planning and budgeting. Though UNDP contributions to furthering government policies were important from the standpoint of individual interventions, there were limitations in enabling results. UNDP support to poverty monitoring and MDG reporting was not effectively aligned with government mechanisms. There were limitations in using programme interventions in the area of poverty reduction and sustainable livelihoods to achieve the MDGs.

Planning and implementing gender as a cross-cutting issue were not effective. While different projects took measures to include women as beneficiaries, the programme lacked a systematic framework to carry out gender analysis in order to guide programme design and to achieve or monitor progress in gender relations. UNDP made important contributions in informing government policy in addressing HIV/AIDS through policy studies. However, incorporating HIV/AIDS as a cross-cutting issue in UNDP programmes was minimal. Environment and climate-change impact did not receive adequate attention either as a programme area or a cross-cutting issue, and linkages with poverty reduction and sustainable livelihoods appeared weak in both design and implementation.

## **7.2. RECOMMENDATIONS**

### **7.2.1 PROGRAMME STRATEGY AND APPROACH**

**UNDP interventions should support policy formulation and coordination in development and post-conflict recovery. Efforts must be taken to ensure that a large component of the programme entails a systematic approach to engaging in policy and technical support for implementation.**

UNDP should be strategic both in developing partnerships and in identifying policy areas where its support would complement ongoing development efforts.

Considering that donor assistance in Uganda is largely in the form of budget support, UNDP should be strategic in both developing partnerships and in identifying policy areas where its support will contribute to furthering development results. Building on consultations and partnerships with government and other development agencies, UNDP should ensure that programme support is aimed at addressing capacity, policy and advocacy issues related to regional disparities in poverty, strengthening accountability and transparency in governance and in post-conflict recovery.

In approaching these partnerships, UNDP should make sufficient efforts to clarify, to both the government and the donor community, the nature of the support it can provide to complement budget support and efforts by various stakeholders. This should be clearly outlined in the country programme.

**UNDP should enhance its support to attaining the MDGs in order to address regional disparities in poverty. UNDP should make a stronger commitment to address cross-cutting issues, particularly the MDGs, HIV/AIDS and gender. UNDP should consider supporting regional MDG reports.**

Uganda is comfortably poised to achieve MDG targets in most areas by 2015. However, areas such as maternal health and regional disparities in poverty remain a challenge. While UNDP should continue its support to poverty and MDG monitoring, adequate measures should be taken to align efforts with the national poverty monitoring carried out by the Office of the Prime Minister. UNDP should be proactive in ensuring the harmonization of national development targets with MDG targets in areas where the former are less ambitious than the latter. A related issue is addressing regional disparities in poverty and development. UNDP should pay special attention in its forthcoming programme

to informing policy and practice related to these areas. Efforts were made in the ongoing programme to support district MDG reports. Considering the large number of districts in Uganda, UNDP should instead consider supporting regional MDG reports.

In the forthcoming programme, UNDP has identified pro-poor policies for achieving growth with equity as an area of support to the government. This includes capacity development for MDG-based planning. UNDP should ensure proper implementation of this important dimension of poverty reduction support.

UNDP should also make stronger commitments to addressing cross-cutting issues, particularly gender and HIV/AIDS. In the forthcoming programme, UNDP should take sufficient measures to ensure that gender analysis informs programme design and implementation, including revisiting some of the existing programme plans. MDG reporting should be further strengthened in order to provide gender-disaggregated analysis. Gender inequality becomes further aggravated amidst other vulnerabilities, such as conflict. UNDP should place specific emphasis on the gender dimensions of reconstruction and transition in the recovery programme. In order to maximize results in this area, UNDP should strengthen partnerships with agencies that have similar interests.

Measures should be taken to systematically integrate HIV/AIDS issues into programme interventions. In the ongoing country programme, UNDP supported a study to inform government policy on HIV/AIDS. Given the increases in the prevalence rate of HIV/AIDS during the past two years, similar efforts should be pursued in the forthcoming programme to further advocacy in the area.

**Given the importance of linkages between sustainable environment and poverty reduction, UNDP should take specific measures to integrate environment and climate change adaptation as a cross-cutting issue across programme interventions, particularly in poverty reduction and disaster management interventions.**

Considering the challenges of environmental sustainability and climate change adaptation for Uganda, further efforts are needed by UNDP to support reducing vulnerability to climate change-related disasters. In the ongoing programme, support was extended to disaster management initiatives, and the environment was included as a component of poverty reduction. Considering there are other agencies working on environmental issues in Uganda, UNDP should identify areas where it can complement ongoing efforts and inform government practice and policy.

**To make meaningful contributions to development results, UNDP should be strategic in using its resources and reduce the number of interventions. UNDP should develop a fund mobilization strategy to support programmes in critical areas. This strategy should include areas where UNDP would engage on a long-term basis.**

Instead of being reactive to donor needs, UNDP should put forth a clear plan of action, covering a minimum period of five years, in key areas of programme intervention. During the ADR period, UNDP had carried out programme scoping for governance and private-sector support. This is a step in the right direction, and further measures should be taken to prepare strategy documents for these programme areas. In governance, UNDP has identified service delivery at the local level as one possible area of intervention. Other areas where UNDP has the potential to strengthen governance include enhancing transparency and accountability mechanisms.

UNDP should revisit its northern Uganda programme strategy and pay specific attention to informing government policy regarding the integration of northern Uganda development priorities into the national development strategy. UNDP should focus on areas in northern Uganda where support would be more meaningful and would complement ongoing efforts.

UNDP should reduce the number of small interventions that do not have substantial relevance in terms of contribution to development results. Instead, it should focus on fewer

interventions, over a longer period of time, which would enhance development results. UNDP needs to assess where its efforts can have the most effect and where corporate capacities can be harnessed, and then align its activities accordingly.

UNDP should continue advocating and supporting peace-building initiatives together with interventions pertaining to human security. These initiatives should include support to demining and to small arms and light weapons collection and destruction. UNDP should support national priorities under the Peace, Recovery and Development Plan for Northern Uganda through proactive advocacy and support to local coordination mechanisms in the four identified northern regions.

**UNDP should no longer work on intervention-specific pilot projects. The pilot approach should only be used for integrated approaches at the district level and with interventions that are both mutually reinforcing across practice areas and are linked by measurable and common objectives.**

This will ensure that interventions remain focused and are conducive to creating substantial results. In addition, it will avoid the dispersion of resources along unchartered programmatic lines with no demonstrated contribution to MDG or development priorities.

A focus on districts as programme entry points will allow UNDP to carry out initial participatory baselines and discuss expected results with stakeholders, so that a district monitoring and evaluation plan is a reflection of the participatory process.

**UNDP should clarify what is intended by capacity development and outline support parameters. There should be a clear framework for implementing and monitoring capacity development activities.**

A core area of UNDP support involves developing the capacities of national institutions. For capacity development interventions, UNDP

should develop clear parameters and timelines, and embed them within the programme strategy for each area. While there should be periodic monitoring of interventions' progress, UNDP should also take sufficient measures to ensure that all concerned stakeholders have a common understanding of these strategies.

UNDP has been consistent in implementing programmes through the government, which is essential for developing national capacities. For effective implementation of development programmes, further efforts should be made to strengthen the administrative and finance mechanisms of government partners.

**UNDP should define the role it can play in coordination and more systematically engage in various coordination mechanisms in the country.**

UNDP should be more proactive in its engagement of sector working groups and in the coordination mechanisms on northern Uganda development, governance, poverty reduction and private-sector support. There are several Poverty Eradication Action Plan/National Development Strategy working groups, in addition to sector groups and donor coordination mechanisms. UNDP should actively engage in areas that are relevant to its programme agenda and where it is organizationally well placed to contribute. There should be more efforts to support policy and research papers in key UNDP areas of development. Sufficient resources should be allocated for such activities, and UNDP should ensure that senior-level staff participates in coordination meetings.

**UNDP should be more proactive in advocating the human development dimensions of growth and poverty reduction. UNDP should extend continuous support to advocacy tools such as Human Development Reports, including taking steps to support regional Human Development Reports in the forthcoming programme.**

Uganda has good statistics on the poverty and social sectors. To provide effective feedback to policy makers, UNDP should provide more structured information on key development

issues, as UNDP has not yet identified or filled strategic gaps in this area. National Human Development Reports are a useful advocacy tool, because they provide alternative perspectives on key development issues, inform development and transition processes, and complement analysis of the poverty and social sectors. It is suggested that UNDP support a Human Development Report on linkages among post-conflict reconstruction, national development strategies; and gender issues in development. To be useful to development stakeholders, the reports should be of high quality and credibility.

UNDP should proactively explore the possibility of supporting Regional Human Development Reports, which will complement the analysis of the poverty and social sectors. This will also provide an opportunity to address some of the region-specific issues in human development.

**UNDP should strengthen its partnerships with NGOs and CSOs in engaging in development and taking a proactive advocacy role. The agency should support measures to facilitate linkages among the government, the private sector and NGOs in engaging in post-conflict and development issues.**

The African Peer Review Mechanism process has shown that civil society can play an important role in informing development planning. UNDP should play a supportive role in furthering the role of NGOs and CSOs in development planning. Wherever possible, UNDP should strengthen the capacities of NGOs and CSOs to be able to play an effective role in development processes. A clear strategy should also be formulated for working with NGOs in order to strengthen their public accountability role with government.

### **7.2.2 PROGRAMME MANAGEMENT**

**UNDP should strengthen its presence at the local level. The capacities of area offices should be further strengthened and empowered in order to ensure that interventions play an effective role in programme implementation.**

Strengthening the effectiveness of the programme—particularly in supporting interventions in northern Uganda—and strengthening service delivery at the local level both require strong area offices. UNDP should take sufficient measures to improve the staff capacity of the area offices and ensure the offices are adequately empowered to play an effective role in the implementation of programme interventions. Field offices should also strengthen linkages between government and non-state actors in development intervention. Field office staff should be experienced in governance and poverty reduction issues, so that the office can perform as a UNDP office rather than being limited to conflict prevention and recovery issues.

**UNDP should substantially strengthen the results focus of the country programme. This**

**should include a strong programme management system and a monitoring and evaluation framework, and there should be optimal use of the results-based management system.**

For improved contribution to development results, UNDP should take urgent measures to strengthen programme reporting tools and systems. Results-based management needs to be strengthened, and in the forthcoming programme UNDP should include systematic monitoring of outcome indicators. Baseline information should be prepared for all outputs and outcomes. UNDP should strengthen gender analysis and gender-disaggregated data for all interventions. Adequate human resources and funds should be allocated for monitoring and evaluation of the programme.

# TERMS OF REFERENCE

## 1. INTRODUCTION

The Evaluation Office (EO) of the United Nations Development Programme (UNDP) conducts country evaluations called Assessments of Development Results (ADRs) to capture and demonstrate evaluative evidence of UNDP contributions to development results at the country level. ADRs are carried out within the overall provisions contained in the UNDP Evaluation Policy.<sup>108</sup> The overall goals of an ADR are to:

1. Provide substantive support to the Administrator's accountability function in reporting to the Executive Board;
2. Support greater UNDP accountability to national stakeholders and partners in the programme country;
3. Serve as a means of quality assurance for UNDP interventions in Uganda; and
4. Contribute to learning at corporate, regional and country levels.

The EO plans to conduct an ADR in Uganda beginning February 2009. The ADR will focus on the results achieved during the ongoing country programme (2006–2010, abridged to 2009), while the previous country programme (2001–2005) will be assessed as background. The ADR will contribute to the preparation of the forthcoming United Nations Development Assistance Framework (UNDAF) of Uganda and country programme.

## 2. BACKGROUND

In the past decade, Uganda has made considerable progress in socio-economic and human development. The government adopted the Poverty

Eradication Action Plan (PEAP) in 1997. The PEAP aims to reduce absolute poverty to at least to 10 percent of the population by 2017 and outlines the following five priority areas (or key pillars): economic management; enhancing production, competitiveness and incomes; security, conflict resolution and disaster management; good governance; and human development. In the past decade, there were periodic revisions of the PEAP, and the government is currently revising it into a five-year National Development Plan focusing on the five key pillars.

Since 2000, economic growth in Uganda has averaged 7.8 percent, and in the recent years—over 8 percent. However, while overall poverty dropped from 56 percent in 1992 to 31 percent in 2006, there has been growth in the population living below the poverty line. The key development challenges in Uganda include extreme poverty, slowdown in agriculture production and prolonged drought, and a high population growth and dependency ratio. There are regional variations in poverty and gender equality, with regions affected by war and the eastern and western regions being the most affected.

UNDP has been implementing programmes in Uganda since 1977; the first country programme was implemented from 1997 to 2000. In response to Uganda's development challenges, UNDP aimed to contribute to the realization of the PEAP and for timely achievement of the Millennium Development Goals (MDGs), as articulated in the UNDAF. Since the year 2000, there were two UNDAFs, 2001–2005 and 2006–2010 (abridged to 2009), and two country programmes for the same periods. The second country programme (2001–2005) had two

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108. See <http://www.undp.org/eo/documents/Evaluation-Policy.pdf>.

thematic areas: good governance and sustainable livelihoods. The third country programme (2006–2009) has three programme areas: poverty reduction, democratic governance, and crisis prevention and recovery. The cross-cutting issues for the second and third country programmes were gender, HIV/AIDS and environment, while a rights-based approach was also included in the third programme.

The completion of the two UNDAFs and country programmes in Uganda during 2001–2005 and 2006–2009 presents an opportunity to evaluate the contributions of UNDP to national development results. The findings will be used as inputs in the preparation of the 2011–2015 country programme and the UNDAF for the same period.

### **3. OBJECTIVES, SCOPE AND METHODOLOGY**

The objectives of the ADR in Uganda include:

- To provide an independent assessment of the progress, or lack thereof, towards the expected outcomes envisaged in UNDP programming documents. Where appropriate, the ADR will also highlight unexpected outcomes (positive or negative) and missed opportunities;
- To provide an analysis of how UNDP has positioned itself to add value in response to national needs and changes in the national development context; and
- To present key findings, draw key lessons and provide a set of clear and forward-looking options for management to make adjustments in the current strategy and next country programme.

The ADR will review UNDP experience in the Uganda and its contributions to solving social, economic and political challenges. The evaluation will cover the ongoing and previous country programmes of 2006–2009 and 2001–2005, respectively. Although greater emphasis will be placed on more recent interventions (due to

better availability of data), efforts will be made to examine the development and implementation of UNDP programmes during the last country programme. The identification of existing evaluative evidence and potential constraints (e.g., lack of records, institutional memory) will occur during the initial Scoping Mission (see Section 4 for further details).

The overall methodology will be consistent with the ADR Guidelines prepared by the EO (dated January 2009). The evaluation will undertake a comprehensive review of the UNDP programme portfolio and activities during the period under review, specifically examining the UNDP contribution to national development results. It will assess key results, specifically outcomes—anticipated and unanticipated, positive and negative, intentional and unintentional—and will cover UNDP assistance funded from both core and non-core resources.

The evaluation has two main components, the analysis of development results and the strategic positioning of UNDP.

#### **DEVELOPMENT RESULTS**

The assessment of development outcomes will entail a comprehensive review of the UNDP programme portfolio of the previous and ongoing programme cycles. This includes an assessment of development results achieved and the contributions of UNDP in terms of: key interventions; progress in achieving outcomes for the ongoing country programme; factors influencing results (UNDP positioning and capacities, partnerships, policy support); achievements, progress and contributions of UNDP in practice areas (both in policy and advocacy); and an analysis of cross-cutting linkages and their relationship to the MDGs and the UNDAF. The analysis of development results will identify challenges and strategies for future interventions.

Besides using available information, the evaluation will document and analyse achievements against intended outcomes and linkages between activities, outputs and outcomes. The evaluation

will qualify UNDP contribution to outcomes with a reasonable degree of plausibility. The evaluation will assess a core set of criteria related to the design, management and implementation of its interventions in the country:

- **Effectiveness:** Did the UNDP programme accomplish its intended objectives and planned results? What are the strengths and weaknesses of the programme? What are the unexpected results it yielded? Should it continue in the same direction or should its main tenets be reviewed for the new cycle?
- **Efficiency:** How well did UNDP use its resources (human and financial) in achieving its contributions? What could be done to ensure a more efficient use of resources in the specific country/subregional context?
- **Sustainability:** Are the UNDP contributions sustainable? Are the development results achieved through UNDP contributions sustainable? Are the benefits of UNDP interventions sustained and owned by national stakeholders after the intervention is completed?

Special efforts will be made to examine UNDP contributions to capacity development, knowledge management and gender equality.

### STRATEGIC POSITIONING

The evaluation will assess the strategic positioning of UNDP, both from the perspective of organization and the development priorities in the country. This entails: i) a systematic analysis of the UNDP place and niche within the development and policy space in Uganda; ii) the strategies used by UNDP Uganda to strengthen the position of UNDP in the development space and create a position for the organization in the core practice areas; iii) from the perspective of development results for the country, the assessment will evaluate the policy support and advocacy initiatives of UNDP programme vis-à-vis other stakeholders. In addition, the evaluation will analyse a core set of criteria related to the strategic positioning of UNDP. Criteria include:

- **Relevance:** How relevant are UNDP programmes to the priority needs of the country? Did UNDP apply the right strategy within the specific political, economic and social context of the region? To what extent are long-term development needs likely to be met across the practice areas? What were the critical gaps in UNDP programming?
- **Responsiveness:** How did UNDP anticipate and respond to significant changes in the national development context? How did UNDP respond to national long-term development needs? What were the missed opportunities in UNDP programming?
- **Social equity:** Did the programmes and interventions of UNDP lead to reduced vulnerabilities in the country? Did UNDP interventions in any way influence the existing inequities (exclusion/inclusion) in the society? Was the selection of geographical areas of intervention guided by need?
- **Partnerships:** How has UNDP leveraged partnerships within the UN system as well as with national civil society and private sector?

The evaluation will also consider the influence of administrative constraints affecting the programme, specifically on UNDP contributions (including issues related to the relevance and effectiveness of the monitoring and evaluation system). If during initial analysis these are considered important, they will be included in the scope of the evaluation. Within the context of partnerships with the UN system and overall UN coordination, the specific issue of the development of joint programmes will be highlighted.

## 4. EVALUATION METHODS AND APPROACHES

### DATA COLLECTION

The evaluation will use a multiple-method approach for data collection that includes desk reviews, workshops, group and individual interviews (at both headquarters and the country office), project/field visits and surveys. The appropriate set of methods will vary depending on country context, and the precise nature will be

determined during the Scoping Mission and detailed in an inception report.<sup>109</sup>

## VALIDATION

Data analysis will follow objective, verifiable methods. All information will be triangulated and validated to the greatest possible extent.

## STAKEHOLDER PARTICIPATION

A strong participatory approach involving concerned stakeholders is envisaged. The identification of the stakeholders, including government representatives of ministries/agencies, civil society organizations, private-sector representatives, UN agencies, multilateral organizations, bilateral donors and beneficiaries will be carried out. To facilitate this approach, the ADR will include a process of stakeholder mapping that will include both UNDP direct partners as well as stakeholders who do not work directly with UNDP.

## 5. EVALUATION PROCESS

The ADR process will follow the ADR Guidelines, according to which the process can be divided in three phases, each including several steps.

### PHASE 1: PREPARATION

**Desk review:** The review (identification, collection and mapping of relevant documentation and other data) will be initially carried out by the EO and continued by the evaluation team. This will include general development-related documentation related to Uganda, as well as a comprehensive overview of the UNDP programme over the period being examined.

**Stakeholder mapping:** A basic mapping of stakeholders relevant to the evaluation in Uganda will be carried out. These will include state and civil society stakeholders and will go beyond UNDP partners. The mapping exercise will also indicate the relationships among different sets of stakeholders.

**Inception meetings:** Meetings will include interviews and discussions in UNDP headquarters with the EO (process and methodology), the Regional Bureau for Africa (context and county programme), as well as with other relevant bureaux (including the Bureau for Development Policy and the Bureau for Crisis Prevention and Recovery).

**Scoping mission:** A mission to Uganda will:

- Identify and collect further documentation;
- Validate the mapping of the country programmes;
- Get key stakeholder perspectives on key issues that should be examined;
- Address logistics issues related to the main mission, including timing;
- Identify the appropriate set of data collection and analysis methods;
- Address management issues related to the rest of the evaluation process, including division of labour among the team members; and
- Ensure the country office and key stakeholders understand the ADR objectives, methodology and process.

The EO Task Manager will accompany the Team Leader on the mission.

**Inception report:** An inception report will be prepared by the evaluation Team Leader. This will include the evaluation design and plan, background to the evaluation, key evaluation questions, detailed method, information sources, instruments and tools for data collection and analysis, and the format for reporting.

### PHASE 2: CONDUCTING ADR AND DRAFTING EVALUATION REPORT

**Main ADR mission:** The mission involves a three-week country visit by an independent evaluation team (Team Leader, Team Specialist

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109. The Scoping Mission and inception report are described in Section 5 on the evaluation process.

and National Consultant), and will focus on data collection and validation. An important part of this process will be an Entry Workshop (possibly more than one) where the ADR objectives, methods and process will be explained to stakeholders. During the Scoping Mission, the number of projects and programmes to be visited will be identified. The team will visit significant project/field sites as identified during the scoping mission.

**Analysis and reporting:** The information collected will be analysed in the draft ADR report by the evaluation team within three weeks after the departure of the team from the country.

**Quality assurance:** Prior to the submission of the draft report to the country office and the Regional Bureau for Africa, the draft ADR report will be reviewed by two external development professionals familiar with the Uganda context and by select EO staff. The report will be appropriately revised by the Team Leader after the review process.

**Review by key stakeholders:** The draft will be subject to factual corrections and views on interpretation by key clients (including UNDP Uganda, the Regional Bureau for Africa and government). The EO will prepare an audit trail to show how these comments were taken into account. The Team Leader, in close cooperation with the EO Task Manager, shall finalize the ADR report based on these final reviews.

**Stakeholder meeting:** A meeting with key national stakeholders will be organized to present the results of the evaluation and examine ways forward in Uganda. The main purpose of the meeting is to facilitate greater buy-in by national stakeholders in taking the lessons and recommendations from the report forward and to strengthen the national ownership of development process and the necessary accountability of UNDP interventions at the country level. It may be necessary to incorporate some significant

comments into the final evaluation report (by the evaluation Team Leader).

### PHASE 3: FOLLOW-UP

**Management response:** The UNDP Associate Administrator will request relevant units (in the case of an ADR, usually the relevant country office and Regional Bureau) to jointly prepare a management response to the ADR. As the unit exercising oversight, the Regional Bureau will be responsible for monitoring and overseeing the implementation of follow-up actions in the Evaluation Resource Centre.

**Communication:** The ADR report and brief will be widely distributed in both hard and electronic versions. The evaluation report will be made available to the UNDP Executive Board by the time of approving a new country programme document. It will be widely distributed in Uganda and at UNDP Headquarters, and copies will be sent to evaluation units of other international organizations, as well as to evaluation societies and research institutions in the region. Furthermore, the evaluation report and the management response will be published on the UNDP Web site.<sup>110</sup>

The time-frame and responsibilities for the evaluation process are tentatively as shown in Table 1A.

## 6. MANAGEMENT ARRANGEMENTS

### UNDP

The UNDP EO Task Manager will manage the evaluation and ensure coordination and liaison with the Regional Bureau for Africa, other concerned units at headquarters level and at the Uganda country office and subregional office. The EO will also contract a Research Assistant to facilitate the initial desk review and a Programme Assistant to support logistical and administrative matters. The EO will meet all costs directly related to the conduct of the ADR. These will include costs related to participation of the Team Leader, international and national

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110. See [www.undp.org/eo/](http://www.undp.org/eo/).

**Table 1A. Evaluation activities and time-frame**

Activity	Estimated date
Collection and mapping of documentation by the Research Assistant	February
Desk review by the evaluation team	February and March
Scoping mission to Kampala	February
Inception report and full ADR Terms of Reference	February
Main ADR mission to Uganda	April
Submission of first draft report	May
Comments from EO and Advisory Panel	June
Submission of second draft report	June
Factual corrections from country office, Regional Bureau and government	June-July
Stakeholder workshop	July
Issuance of final report	August

consultants, as well as the preliminary research and the issuance of the final ADR report. The EO will also cover costs of any stakeholder workshops as part of the evaluation.

### THE EVALUATION TEAM

The team will be constituted of:

- Consultant Team Leader, with overall responsibility for providing guidance and leadership, and for coordinating the draft and final report;
- Consultant Team Specialist, who will provide expertise in the core subject area(s) of the evaluation and be responsible for drafting key parts of the report;
- National Consultant, who will undertake data collection and analyses at the country level, provide expertise in the core subject area(s) of the evaluation and support the work of the missions; and

- Other members as appropriate.

The Team Leader must have a demonstrated capacity in strategic thinking, policy advice and the evaluation of complex programmes in the field. All team members should have in-depth knowledge of development issues in Uganda and the region.

The evaluation team will be supported by a Research Assistant based in the New York EO. The EO Task Manager will support the team in designing the evaluation, participate in the scoping mission and provide ongoing feedback for quality assurance during the preparation of the inception and final reports. Depending on the needs, the EO Task Manager may participate in the main mission.

The evaluation team will orient its work by United Nations Evaluation Group norms and standards for evaluation and will adhere to the ethical Code of Conduct.<sup>111</sup>

111. United Nations Evaluation Group, 'Norms for Evaluation in the UN System' and 'Standards for Evaluation in the UN System', April 2005.

## **UNDP UGANDA**

The Uganda country office will take a lead role in organizing dialogue and stakeholder meetings on the findings and recommendations, support the evaluation team in liaising with key partners and make available to the team all necessary information regarding UNDP activities in the country. The office will also be requested to provide additional logistics support to the evaluation team as required. The country office will contribute in-kind support (e.g., office space for the evaluation team), but the EO will cover local transportation costs.

### **7. EXPECTED OUTPUTS**

The expected outputs from the evaluation team are:

- An inception report (maximum 20 pages);
- A comprehensive final report on the Uganda Assessment of Development Results (maximum 50 pages plus annexes);
- A two-page evaluation brief; and

- A presentation for the stakeholder workshop.

The final report of the ADR to be produced by the evaluation team will follow the following format:

- Chapter 1: Introduction;
- Chapter 2: National context;
- Chapter 3: The UN and UNDP in the country;
- Chapter 4: UNDP contribution to national development results;
- Chapter 5: Cross-cutting issues;
- Chapter 6: Strategic positioning of the UNDP country programme; and
- Chapter 7: Conclusions, lessons and recommendations.

Detailed outlines for the inception report, main ADR report and evaluation brief will be provided to the evaluation team by the Task Manager.

The drafts and final version of the ADR report will be provided in English.



## Annex 2

# MDG AND DONOR DISBURSEMENT STATISTICS

<b>Table 2A. Uganda MDG targets and progress</b>					
<b>Goals/targets</b>	<b>Indicator</b>	<b>Current status</b>	<b>Year</b>	<b>Will the goal/target be met?</b>	<b>State or national support</b>
Extreme poverty	Proportion of population living below \$1 per person per day	31.0%	2005–2006	Probably	Strong
	Poverty gap ration (incidence x depth)	8.7%	2005–2006		
Hunger	Prevalence of underweight children	20.4%	2006	Potentially	Fair
Universal primary education	Net enrolment in primary school	84.0%	2006	Probably	Strong
	Literacy rate (15–24 years old)	84.0%	2005–2006		
	Ratio of literate females to males	0.73	2005–2006		
Gender equity and women empowerment	Ratio of literate women to men (15–24 years old)	0.92	...	Probably	Strong
	Ratio of boys to girls in primary schools	0.99	2005–2006		
	Ratio of boys to girls in secondary schools	0.97	2005–2006		
	Ratio of boys to girls in tertiary institutions	0.84	2005–2006		
	Share of women in wage employment in the non-agricultural sector	28.9	2005–2006		
	Proportion of seats held by women in Parliament	30%	2006–2011		
Infant mortality	Under-five mortality ratio	137 per 1,000 live births	2007	Unlikely	Fair
	Infant mortality rate	76 per 1,000 live births	2007		
	Proportion of 1-year-old children immunized against measles	59.4	2004		
Maternal health	Maternal mortality ratio	435	2007	Unlikely	2007
	Proportion of births attended to by skilled health personnel	41%	2006		

**Table 2A (cont-d). Uganda MDG targets and progress**

Goals/targets	Indicator	Current status	Year	Will the goal/target be met?	State or national support
HIV/AIDS, malaria and other diseases	HIV prevalence among pregnant women	6.4	2004–2005	HIV/AIDS reduction already achieved; malaria and others – potentially	Strong for HIV/AIDS; fair for contraceptive uses
	Access to contraceptives	24%	2005–2006		
	Condom use at last high-risk sex	...	...		
Environmental sustainability	Degradation of natural resources	...	...	Potentially	Fair
Access to safe drinking water	Access to improved water sources	67%	2006	Probably	Strong
Global partnership	Official development assistance, market access, debt sustainability	...	...	Probably	Strong

Source: MFPED (2005, 2007), UNDP (2004, 2005) and UBOS (2005, 2006).

**Table 2B. Summary of donor disbursements by sector, 2005–2006 to 2007–2008**

Sector	2005–2006		2006–2007		2007–2008	
	Disbursements (US\$ Millions)	Share (%)	Disbursements (US\$ Millions)	Share (%)	Disbursements (US\$ Millions)	Share (%)
Security	-	-	-	-	-	-
Works and transport	30.9	4.8	104.7	8.5	46.7	10.1
Agriculture	40.4	6.3	61.1	5.0	37.7	8.2
Education	46.5	7.2	24.6	2.0	18.3	4.0
Health	155.6	24.3	155.8	12.7	17.3	3.7
Water and environment	6.4	1.0	24.2	2.0	34.3	7.4
Justice, law and order	1.1	0.2	3.7	0.3	10.7	2.3
Accountability	40.3	6.3	45.4	3.7	12.2	2.6
Tourism, trade and industry	2.8	0.4	11.9	1.0	4.7	1.0
Information, communication and technology	-	-	-	-	-	-
Energy and mineral development	11.9	1.9	186.4	15.2	12.1	2.6
Lands, housing and urban development	35.6	5.6	49.0	4.0	48.3	10.5
Social development	1.1	0.2	0.2	0.0	-	-
Public administration	15.2	2.4	12.9	1.1	0.5	0.1
Public sector management	40.7	6.3	40.9	3.3	24.7	5.3
Legislature	0.2	0.0	0.0	0.0	0.0	0.0
Interest payments due	212.7	33.2	504.8	41.2	194.5	42.1
<b>Total</b>	<b>641.1</b>	<b>100.0</b>	<b>1225.5</b>	<b>100.0</b>	<b>462.1</b>	<b>100.0</b>

Source: Aid Liaison Department, MFPED

Note: The disbursements for 2007–2008 are based on the data available in June 2008.

**Table 2C. Disbursements by donor, 2003–2004 to 2007–2008, excluding HIPC saving (US\$ millions)**

<b>Donor</b>	<b>2003–2004</b>	<b>2004–2005</b>	<b>2005–2006</b>	<b>2006–2007</b>	<b>2007–2008</b>
African Development Foundation	65.81	23.61	78.57	87.43	96.36
Arab Bank for Economic Development in Africa (BADEA)	0.21	1.74	0.00	3.14	0.00
East African Development Bank	3.48	0.00	0.00	0.00	0.00
European Union	122.88	132.03	82.55	109.17	74.57
European Investment Bank	41.07	5.55	0.00	15.63	0.00
International Bank for Reconstruction and Development	0.00	0.10	0.00	1.42	0.12
IDA	292.06	301.73	100.36	559.9	64.62
International Fund for Agricultural Development	4.73	6.34	6.45	8.02	6.59
International Monetary Fund	5.84	6.00	2.89	0.00	0.00
NDF	26.51	7.99	0.00	5.63	0.00
UNDP	6.48	5.25	8.00	9.59	0.9
World Food Programme	50.00	62.9	8.18	0.00	0.00
Global Environment Facility	0.00	0.00	0.81	0.79	1.37
Food and Agriculture Organization of the United Nations	1.24	1.81	0.57	0.00	0.00
UNICEF	18.30	9.16	0.00	0.00	0.00
United Nations Population Fund	0.00	0.00	1.42	0.97	0.00
African Capacity Building Foundation	0.00	0.00	0.00	0.00	0.25
Global Fund to Fight AIDS, Tuberculosis and Malaria	17.5	20.6	41.2	13.2	2.57
World Health Organization	6.10	10.00	0.00	0.00	0.00
United Nations Educational, Scientific and Cultural Organization	0.00	0.02	0.00	0.00	0.00
Austria	3.33	3.31	6.00	7.05	5.60
Belgium	1.58	1.73	7.30	6.42	2.81
Canada	1.98	0.89	0.00	0.00	0.05
China	4.86	0.00	0.00	0.12	0.00
Denmark	39.84	26.27	11.32	34.27	33.05
France	5.55	9.14	0.63	1.80	2.14
Germany	23.58	39.01	37.24	38.66	2.58
Ireland	51.64	45.23	21.19	47.18	23.48
Italy	12.26	8.39	7.62	1.33	0.00
Japan	6.82	4.78	2.50	5.44	0.00
South Korea	3.65	0.00	0.00	0.00	0.00
Netherlands	60.69	47.00	23.53	21.38	42.6
Norway	20.31	24.53	14.01	26.45	25.8
Spain	5.08	1.42	0.00	0.00	0.00
Sweden	33.39	37.47	0.80	17.66	6.05
United Kingdom	108.74	83.92	78.24	85.74	71.46
United States of America	24.23	45.55	100.01	117.05	0.00
<b>Total</b>	<b>1,069.73</b>	<b>973.47</b>	<b>641.39</b>	<b>1,225.47</b>	<b>462.08</b>

Source: Aid Liaison Department, MFPED



## Annex 3

# PROGRAMMES UNDER EACH PRACTICE AREA

<b>Table 3A. Poverty reduction and environment</b>						
<b>Area</b>	<b>Programme Number</b>	<b>Name</b>	<b>Time-frame</b>	<b>Amount (US\$)</b>	<b>Objective</b>	<b>Mode</b>
Income Generating and Sustainable Livelihoods	1	Strengthening District Promotion Centres	2001–2005	1,800,000	Promotion of income generation and sustainable livelihoods	NEX
Same	2	MSE Policy and Micro Finance	2001–2005	600,000	Same	NEX
Strengthening Small and Medium Enterprises in Uganda	3	Enterprise Uganda	2001–2005	1,000,000	Promotion of small and medium enterprises in Uganda	NEX
	4	Same	2001–2005	450,000		
Same	5	Enterprise Uganda	2001–2005	530,000	Business linkages	NEX
Income Generating and Sustainable livelihoods	6	Promotion of NARIC III Upland Rice	2004–2007	465,622	Promotion of income generation and sustainable livelihoods	NEX
Same	7	West Nile Poverty Initiatives	2003–2005	264,190	Same	NEX
Private-Sector Development	8	Management Support to Private-Sector Development	2006–2009	N/A	Local poverty initiatives, including micro-finance	NEX
Private-Sector Development	9	Trade Capacity Enhancement	2007–2009	1,000,000	Local poverty initiatives integrated into national strategies for poverty reduction	NEX
Private-Sector Development	10 (Ext. no. 1)	Business Development Services Lira	2006–2009	351,648	Same	NEX
Same	11	Same – Mbale	2006–2009	386,096	Same	NEX
Same	12	Same – Kabarole	2006–2009	370,495	Same	NEX
Same	13	Same – Ankole	2006–2009	365,010	Same	NEX
Private-Sector Development	14	Busia Support to Micro-Finance Institutions	2006–2009	344,236	Same	NEX
Same	15	Same – Karamoja	2006–2009	337,722	Same	NEX
Same	16	Same – Nebbi	2006–2009	331,951	Same	NEX
Same	17	Same – Kigezi	2006–2009	333,123	Same	NEX
Same	18	Same – Teso	2006–2009	337,219	Same	NEX
Same	19	Same – Acholi	2006–2009	350,981	Same	NEX
Same	20	Same – Masaka	2006–2009	341,935	Same	NEX
Same	21	Strengthening Small and Medium Enterprises in Uganda	2006–2009	1,193,922	Same	NEX
Environmental Mainstreaming and Integration in District Development Plan	22	Support to Kapchorwa District Local Government	2007–2011	211,771	Sustainable management of environment, natural resources, human settlements and urbanization incorporated into PEAP, DDPs and the national budget	NEX
Integration of Environmental Issues into national Planning systems	23	Partnership Initiative (SAICM)	2007–2009	250,000	Same	NEX
Forest Biodiversity Conservation	24	Full Albertine Rift	2007–2011	3,395,000	Enhanced community and civil society participation in programmes seeking to reverse biodiversity loss and degradation of natural resources	NEX
Wetland Biodiversity conservation	25	Support to RAMASAR Sites	2007–2009	246,983	Same	NEX

**Table 3A (cont-d). Poverty reduction and environment**

Area	Programme Number	Name	Time-frame	Amount (US\$)	Objective	Mode
Wetland Biodiversity conservation	25	Support to RAMASAR Sites	2007–2009	246,983	Same	NEX
Integration of Environment into National Local Planning System. Integration of Environment into National and Local Planning System	26	Developing National Slum Upgrading	2006–2009	366,311	Sustainable management of environment, natural resources, human settlements and urbanization incorporated into PEAP, DDPs and the national budget	NEX
Implementation of Natural Resources Management Practices	27	Promotion of Sustainable Charcoal	2006–2009	354,533	Improved conservation and access to sustainable energy technologies	NEX
Provision of Access to Energy for Productive Uses	28	Energy Access for Production Uses	2007–2008	150,000	Improved conservation and access to sustainable energy technologies	NEX
Wetland Biodiversity Conservation in Cross Border	29	COBWEB	2009–2011	800,000	Enhanced community and civil society participation in programmes seeking to reverse biodiversity loss and degradation of natural resources	NEX

**Table 3B. Governance**

Area	Programme Number	Name	Time-frame	Amount (US\$)	Objective	Mode
Democratization	1	Support to Parliament	2001–2005	225,000	Capacity of Parliament strengthened	NEX
Increased Efficiency and Accountability in the Public Sector	2	Support to the Inspector General of Government	2001–2005	185,000	Increase capacity of the Inspector General of Government	NEX
Same	3	Support to Public Procurement and Disposal of Public Assets Authority	2001–2005	N/A	Increase capacity of the Public Procurement and Disposal of Public Assets Authority	NEX
Decentralization	4	Support to PDM	2001–2005	555,500	Enhance capacity of Ministry of Local Government	NEX
Cross-cutting	5	Alliance of Mayors and Municipal Leaders on HIV/AIDS in Africa	2001–2005	53,600	HIV/AIDS initiative	NEX
Poverty Eradication	6	Support to Economic Development Policy and Research, MFPED	2001–2005	N/A	Enhanced policy analysis and poverty monitoring	NEX
	7	Support to DEI	2001–2005	150,000	Increased DEI capacity to promote ethics and integrity	NEX
Justice and Human Rights	8	Support to the Uganda Human Rights Commission	2001–2005	300,000	Enhanced capacity of the Uganda Human Rights Commission	NEX
Same	9	Support to LCCs	2001–2005	373,350	N/A	NEX
Equity	10	Support to Ministry of Gender, Labour and Social Development	2001–2005	210,000	Strengthened capacity of Ministry of Gender, Labour and Social Development	NEX
Deepening Democratic Processes and Strengthening Democratic Institutions	11	Support to implementation of the African Peer Review Mechanism	2006–2010	2,626,000	Democratic processes deepened and democratic institutions strengthened	NEX
Same	12	Support to Parliament	2006–2009	838,947	Parliament is able to fully exercise its oversight and legislative role to safeguard the democratic process	NEX
Same	13	Support to Participatory Development Planning and Management	2006–2009	1,499,016	National plans and budgets reflect agreed district and lower-level priorities	NEX
Transparency and Accountability	14	Country Programme Action Plan	2006–2009	2,654,702	Effective ownership and responsibility over country programme and accountability of results	NEX
Same	15	Support to the Inspector General of Government	2006–2009	416,592	Strong culture and practice of transparency and accountability in the public sector	NEX
Same	16	Support to Public Procurement and Disposal of Public Assets Authority	2006–2009	894,202	Same	NEX
Same	17	Support to DEI	2006–2009	363,503	Same	NEX
Justice and Human Rights	18	Support to Uganda Human Rights Commission	2006–2009	456,249	Government protects and promotes human rights effectively, in accordance with national, regional, international law and treaties	NEX
Improved Impact of Available Resources to Fight HIV/AIDS	19	Support to Alliance of Mayors and Municipal Leaders on HIV/AIDS in Africa	2006–2009	1,718,797	Strengthened capacity of local governments to coordinate HIV/AIDS response in urban areas	BEX

**Table 3C. Conflict prevention and recovery**

Programme Number	Name	Time-frame	Amount (US\$)	Objective	Mode
1	Transition to Recovery	2004–2008	2,606,930	People affected by conflict and other disasters (especially women, children and other vulnerable groups) effectively participate in and benefit from planning, timely implementation, monitoring and evaluation of programme	DEX
2	Crisis Management and Recovery	2008–2011	4,483,071	Same	NEX
3	Sexual Gender-Based Violence	2005–2009	839,685	Same	DEX and NEX
4	Millennium Villages	2008–2013	480,058	Same	NEX
5	Gulu sub-office	2006–2009	1,963,467	Peaceful environment conducive to the return; resettlement and reintegration of conflict affected populations	DEX
6	Lira sub-office	2006–2009	2,039,766	Same	DEX
7	Human Security/Secure environment	2005–2009	4,129,754	Conflict-affected internally displaced populations resettled, returned and reintegrated	NEX
8	Karamoja	2007–2010	461,480	Same	NEX
9	Mine Action	2005–2010	4,226,343	Rights and access to justice improved for internally displaced people; other conflict-affected people protected; safety in and around internally displaced person camps improved	DEX
10	Support to National Mine Action	2009–2009	138,889	Same	NEX
11	Technical Advice and Assistance	2006–2008	631,784	Same	DEX
12	M.A. Needs Assessment	2006–2008	560,237	Same	DEX

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## Annex 5

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**PARTICIPANTS OF THE STAKEHOLDER MEETING HELD ON 17 JULY 2009**

- Adoli Ogwok Alfred, Amotolar District Chairman
- Agripinner Nandhego, FOWODE
- Akangasira Gideon, Parliament
- Alako Teddy, MWE
- Alinga D.C., Karamoja
- Andrew Martin, UN Office for the Coordination of Humanitarian Affairs
- Athman Kakiva, UNDP
- Baku R.O., Inspectorate of Government
- Barbara Nakanga, International Union for Conservation of Nature
- Bategeka L., EPRC
- Benon Byamugisha, Ministry of Agriculture, Animal Industry and Fisheries
- Brou Djekou, UNDP
- C.N. Mukiza, Uganda Bureau of Statistics
- Charles Magala, Danish Embassy
- Dr. Charles Mukama, Ministry of Agriculture, Animal Industry and Fisheries
- Charles Ocici, Enterprise Uganda
- Daniel Omodo-Mcmondo, UNDP
- David Okalebo Onyoin, Teso Private Sector
- David Rider Smith, Office of the Prime Minister, Uganda Bureau of Statistics
- Ekongot J.R, Katakwi Chairman
- Emmanuel Hatanga, UNDP
- Gladys Nalukenge, Reach the Child Uganda
- Gloria Atuheirwe, UNDP
- Gloria Mugambe, Sweden
- H.G.K Nyakoojo, MTTI
- Henry Kalule, United Nations Population Fund
- Hon. Steven Ongaria, Electoral Commission
- James Mwai, SNV Uganda
- Jamillah Diallo Sow, UNDP
- Jebbeh Forster, United Nations Development Fund for Women
- Jenaro P. Onegi, West Nile Poverty Initiatives
- Jennifer Bukokhe, UNCDF
- Jens Peter Dyrbak, Department for International Development
- Jimmy Loma, Karamoja
- John M. Behangaana, UAAU
- Dr. John Mugisa, Alliance of Mayors and Municipal Leaders on HIV/AIDS in Africa
- Joris Beckers, UNDP
- Dr. Juliet Bataringaya, World Health Organization
- Julius Ochen, Amuru District Chairman
- Julius P. Moto, Mid North PSPC
- Kabagambe Amanda, MOIAS
- Kamanda Patrick, National Roads Authority
- Kasande Paul Drake, Private Sector Kabarole
- Kauta Kenneth, DEI
- Khauka Andrew, Uganda Law Reform Commission
- Laz Ocira, Office of the Prime Minister
- Lochap Peter Ken, District Chairman
- M. Masbayi, International Labour Organization
- Manano Maurice Opar, DEI
- Margaret Ssemukasa, CPSDL Masaka
- Mary Odongo, Enterprise Uganda
- Mawelle Francis, MFPED
- Moses Tumusiime, UNV/UNDP
- Mubarak Mabaya, Ministry of Gender, Labour and Social Development
- Mubiru J.W., Uganda Bureau of Statistics
- Muhumuza Juvenal, MFPED
- Mujede John, Ministry of Local Government
- Munira Ali, ULGA
- N. Opio Bunga, Chairman Apac district
- Nelson Kyagera, EPSEDEC MBALE
- Norah N.K Wandera, MOIAS
- Nuwagaba Cleophas, National Environment Management Authority

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