



**Office of the Prime Minister  
Government of Uganda**

**STRENGTHENING THE  
COORDINATION FUNCTION AT THE  
OFFICE OF THE PRIME MINISTER  
AND SECTOR WORKING GROUPS**

**FINAL REPORT**

**APRIL 2017**

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Funded with support from

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## ACRONYMS

AWG	Accountability Working Group
CSO	Civil Society Organisation
DAC	OECD Development Assistance Committee
DARC	Development Assistance and Regional Coordination Department (MoFPED)
DEG	Donor Economist Group
DEI	Directorate of Ethics and Integrity
DFID	Department for International Development (UK)
DP	Development Partner
ESO	External Security Organization
EU	European Union
FINMAP	Financial Management Programme
FY	Financial Year
GAPR	Government Annual Performance Report
GoU	Government of Uganda
HIV	Human Immuno-Deficiency Virus
HPAC	Health Policy Advisory Committee
HSDP	Health Sector Development Plan
ICSC	Implementation Coordination Steering Committee
ICT	Information and Communications Technology
IFCPPI	Institutional Framework for Coordination of Policy and Program Implementation
IHP	International Health Partnership
ISO	Internal Security Organization
JAR	Joint Annual Review
JATT	Joint Anti-Terrorism Taskforce
JBSF	Joint Budget Support Framework
JIC	Joint Intelligence Committee
JLOS	Justice, Law and Order Sector
JOC	Joint Operations Committee
JTR	Joint Technical Review
KIDP	Karamoja Integrated Development Programme
LDC	Lesser Developed Country
LG	Local Government
LDPG	Local Development Partners Group
MDA	Ministries, Directorates and Agencies
MODVA	Ministry of Defence and Veterans Affairs
MoFPED	Ministry of Finance, Planning and Economic Development
MoH	Ministry of Health
MoJ&CA	Ministry of Justice and Constitutional Affairs
MoLG	Ministry of Local Government
MoPS	Ministry of Public Service
MoW&T	Ministry of Works and Transport
MSU	Management Support Unit
MTEF	Medium Term Expenditure Framework
MTR	Mid-Term Review

NCP	National Coordination Policy
NDPII	National Development Plan II
NGO	Non-Governmental Organization
NPA	National Planning Authority
NPF	National Partnership Forum
OAG	Office of the Auditor General
OBT	Output Budgeting Tool
OECD	Organisation for Economic Cooperation and Development
OPM	Office of the Prime Minister
PBB	Programme Based Budgeting
PCC	Policy Coordination Committee
PBB	Programme Based Budgeting
PEFA	Public Expenditure and Financial Accountability Assessment
PFM	Public Finance Management
PEMCOM	Public Expenditure Management Committee
PIM	Public Investment Management
PIRT	Presidential Investors' Round Table
PRDP	Peace Recovery and Development Programme (Northern Uganda)
PS	Permanent Secretary
PS/ST	Permanent Secretary / Secretary to Treasury
SDG	Sustainable Development Goals
SDP	Sector Development Plan
SIP	Sector Investment Plan
SSIP	Sector Strategic Investment Plan
SLA	Sector Lead Agency
SWaP	Sector Wide Approach Programme
SWG	Sector Working Group
TADAT	Tax Administration Assessment Diagnostic Tool
TICC	Technical Implementation Coordination Committee
TMT	Top Management Team
TWG	Technical Working Group
UBOS	Uganda Bureau of Statistics
UIA	Uganda Investment Authority
UN	United Nations
URA	Uganda Revenue Authority
WG	Working Group

## EXECUTIVE SUMMARY

### i. Assessment of Sector Working Group Performance

The assessment of coordination practices in 15 sectors<sup>1</sup> defined by Government indicates a wide range of progress. Health, JLOS, Water & Environment and PFM (under Accountability) have evolved effective coordination arrangements, with constructive engagement both within the sector and with a range of external stakeholders, and have established processes for joint planning, results-based monitoring and reviewing progress. The experience in these sectors can be a useful guide for improved practice in other sectors. Common success factors include committed leadership, an effective sector coordinator function, clear articulation of shared goals, and access to resources for joint activities. Development Partners' support has had a significant and mainly positive impact.

Transport, Security, Energy & Minerals, and Education all have established coordination systems, which are working to engage key stakeholders, with good practice in some areas, but which could be improved through focus on missing elements. The remaining eight sectors would benefit from more committed leadership, with support and guidance to develop stronger coordination arrangements. There is evidence that guidance from central agencies, OPM, NPA and MoFPED, under NDPII, is influencing leadership and progress on sector coordination mechanisms, especially with sector plans, monitoring systems and annual reviews. Key factors affecting coordination include committed leadership, a shared goal, technical capacity, resource constraints, and incentives for performance. In some cases configuration of sectors could be improved through more appropriate grouping on shared goals (e.g. separation of Tourism and Trade & Industry). There are specific challenges for coordination in the central supporting sectors - Accountability, Public Sector Management and Public Administration - due to the range of mandates, and lack of shared objectives requiring a joint approach to maintain engagement of member MDAs. The central support sectors require a more flexible approach with more emphasis on coordination around shared priority issues, which should bring together relevant MDAs across the central sectors.

The creation of crosscutting coordination structures, such as those for nutrition and the Sustainable Development Goals (SDGs), is largely driven by development partner interest. These tend to distract the Office of the Prime Minister from its primary objective, which should focus on promoting coordination in the core sectors. The review of the Karamoja Programme suggests that there should be more emphasis on coordination and capacity building at Local Government level and linking technical support from selected sectors to address the challenges in the region. A new shared agenda between Government and Development partners should be built around this approach with more streamlined Development Partner support to implementing partners. This would help to reduce complexity and fragmentation.

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<sup>1</sup> The Government's definition of sectors includes the legislature, which has not been included in this analysis

## **ii. National Coordination System**

Mechanisms at the centre for overseeing coordination, monitoring sector performance and providing incentives for MDA engagement, should be streamlined and strengthened. MoFPED, OPM and NPA currently provide separate guidance to sectors. There is need for clear guidelines on the SWG's role in approving budgets and projects. Issues affecting performance of sectors, such as conflicts over mandate, and the problems affecting central sectors, need to be managed more effectively by the leadership. The current budget process does not provide a strong incentive to engage in joint sector planning and budgeting. The transition to Programmed Based Budgeting is an opportunity to review the role of SWG's in prioritizing and monitoring sector investments. This would contribute to budget credibility, accountability and improved multi-annual estimates.

The National Partnership Forum (NPF) for dialogue with Development Partners is a useful forum for agreeing action on shared priorities. However, the NPF should do more to promote aid effectiveness at sector level with stronger Government leadership actively supported by the Local Development Partner Group (LDPG). In many sectors there is a problem of multiple implementing partners and projects with limited progress on joint programming, reviews, and technical support, and use of Government systems wherever possible.

## **iii. A New Approach to Coordination**

This report recommends a new approach to coordination, which will promote more joined-up Government based on lessons' learnt from SWGs with effective coordination processes. Some adjustments in the configuration of Sectors and MDA membership, based on consultation with SWG's, will require leadership from OPM. There should be more emphasis on the role of SWGs in developing relevant linkages and collaboration with other sectors. At the same time Government should review and improve coordination mechanisms in the central support sectors – Accountability, Public Sector Management, and Public Administration – with flexibility to ensure effective collaboration between relevant institutions on priority issues.

To achieve this change the arrangements for central coordination under OPM should be updated with political agreement, including a smaller Technical Committee, combining the key Ministries and agencies to guide and monitor sector performance. With the transition to PBB, the budget process should be reviewed to strengthen the role of SWGs in prioritizing and monitoring sector investments. Public service should recognize and reward officials who collaborate within and across sectors.

The National Partnership Forum should play a supportive role by aligning development partner support to build capacity in national coordination systems along with more emphasis on promoting aid effectiveness.

## **iv. Recommendations**

### **To Government:**

- a) Review and update the 2003 National Coordination Framework (IFCPPI) with new arrangements for the membership and functions of the TICC (**ACTION: OPM**)
- b) OPM should work with MoFPED, NPA, and MoPS through the TICC to strengthen the Sector Wide Approach and encouraging the sharing of good

practice coordination arrangements. **(ACTION: TICC - OPM, MoFPED, NPA and MoPS)**

- c) Review the arrangements for the central support SWGs to ensure collaboration is driven by shared goals. Introduce flexibility to promote coordination between relevant entities based on priority issues that will impact on improved service delivery. **(ACTION: OPM and TICC)**
- d) Promote DP co-chairing arrangements for SWGs and Technical sub-groups, where appropriate. **(ACTION: OPM and TICC)**
- e) Limit creation of unnecessary parallel coordination systems, including a review of current structures, and consideration as to how these can be integrated within the national framework **(ACTION: OPM and TICC)**
- f) Streamline reporting and monitoring to central agencies with links to NDPII and Programme Based Budgeting **(ACTION: OPM, MoFPED, and NPA – TICC)**
- g) Provide resources for the coordination function of sector lead agencies **(ACTION: MoFPED and TICC)**
- h) Strengthen action on aid effectiveness in the Partnership Forum and Task Force including participation from MoFPED - DARC, preferably at Director level **(ACTION: OPM and MoFPED)**
- i) Review the role of SWG's in the budget process to strengthen incentives for MDA engagement in sector processes **(ACTION: MoFPED)**
- j) Improve the predictability of future budget forecasts and strengthen SWG capacity in multi-annual planning and budgeting **(ACTION: MoFPED)**
- k) Pilot budgeting resources for shared programmes between MDAs with shared objectives **(ACTION: MoFPED)**
- l) Include coordination and collaboration practice as a factor in senior managers' appraisal systems **(ACTION: MoPS)**
- m) Limit the creation of new agencies and authorities taking into account costs and coordination challenges **(ACTION: OPM, MoFPED, MoPS)**
- n) Review SWG configuration and mandate issues affecting Tourism, Trade and Industry, Water for Production, and the Police in JLOS and Security **(ACTION: OPM and TICC)**
- o) Introduce a new forum for CSO partnership on development issues **(ACTION: OPM)**

#### **Development Partners/ LDPG:**

- a) Align DP working groups with Government Sectors and plan capacity support for the Sector coordination function. Encourage joint meetings with Government, where possible, to support capacity building in planning and problem solving.
- b) Use the Partnership Forum to increase engagement with Government on aid effectiveness principles, including joint programming, joint TA and reviews, use of GoU systems where possible, and agreement on division of work. Promote these principles in DP working groups with active monitoring of progress.

- c) Follow up on the 2015 Division of Labour analysis to encourage balanced assistance across sectors and increased support for under-funded cross-cutting priorities impacting on service delivery, such as decentralization and human resource management
- d) Provide guidance on the role of DP working group chairs highlighting the institutional responsibility, including the engagement of Heads of Mission and Heads of Cooperation as needed. Actively build stronger relations between DP leads and SWGs.
- e) Support Aid Data sharing through DP working groups. Encourage working groups to maintain inventories of DP support to a sector and ensure uploading of the information onto the MoFPED Aid Management System.
- f) Support coordination through the core GoU Sector approach and limit creation of parallel coordination systems.
- g) Promote the use of technical experts to facilitate coordination and increase understanding of sector challenges in DP working groups. Funding for this technical work will need to be planned through consultation between DPs.

#### **Recommendations To Civil Society Organisations:**

- a) Strengthen coordination with Government and increase capacity for constructive dialogue with SWGs
- b) CSOs with a seat at SWGs should link with other CSOs and district networks for feedback on service delivery to support informed dialogue
- c) Increase information on CSOs' activities and integration with SWG reporting and information systems.

#### **v. Next Steps**

The following steps are proposed in the coming six months to validate the findings from the review, build consensus on the way forward, and agree on medium term action to strengthen sector and national coordination systems:

- i. Arrange a series of three workshops with the sector groupings as categorized in Annex 2 covering service delivery SWGs (7), Infrastructure SWGs (5), and central support sectors (3), to present the findings from this study. The purpose of the workshop will be to get feedback from participants on the findings, conclusions and recommendations and build consensus on the way forward. OPM, MoFPED and NPA should also participate in all three workshop.
- ii. Based on the findings from the workshops, prepare updated guidelines for Sector and National Coordination systems, including the IFCPPI. This should include any proposed reconfiguration of SWGs. The new Guidelines should be endorsed by the TICC, ICSC and Cabinet before dissemination through a second series of workshops.
- iii. Develop a more detailed proposal for support to sector and national coordination systems with inputs from the sector validation workshops from OPM, MoFPED and NPA.

## **1. Introduction**

### **1.1 Background**

The Office of the Prime Minister (OPM) with support from Development Partners has engaged the consultants to make an assessment on what can be done to strengthen the coordination function by OPM and the Sector Working Groups. This should include setting out the guiding principles and priorities for improving Government's coordination machinery within the context of implementing the NDP II, and the effective implementation of the National Coordination Policy, the Partnership Policy and other related policies, to strengthen enhanced delivery of public services.

The specific objectives for the assignment are to:

- i. Define the concept of coordination in light of the mandate of OPM, and with reference to other parts of Government and their functions and mandates in relation to the Institutional Framework for Coordination of Policy and Programme Implementation (IFCPPI), specifically the Ministry of Finance, Planning and Economic Development (MOFPED) and the National Planning Authority (NPA);
- ii. Assess the effectiveness of the various coordination platforms at national and sector level, including the Public Expenditure Management Committee (PEMCOM), the Peace Recovery and Development Programme for Northern Uganda (PRDP), the Karamoja Integrated Development Programme (KIDP), and Nutrition, and propose ways to make them more effective and accountable to the public. This will involve identifying gaps and suggesting where restructuring, merging or removing specific coordination groups and platforms may contribute to a strengthened coordination function of OPM.
- iii. Provide strategies that will ensure that sector working groups are functional and effective in supporting the overall coordination in Government. This may include, but should not be limited to, identifying options for enhancing leadership; a more structured involvement of concerned stakeholders; strengthening vertical and horizontal reporting; reinvigorating annual sector reviews; and ensuring effective follow-up on agreed actions;
- iv. With reference to all the above points, identify specific short term and longer term interventions to be undertaken by OPM that will lead to coherent, effective and strengthened coordination at the central, sectoral and at the various platforms (including cost estimates);
- v. Develop a costed action plan with clear output, targets and timelines for implementing the recommendations.

The assignment was undertaken by two public sector policy consultants, Nick Roberts and Samuel Sejjaaka, over the period from mid-November 2016 to end February 2017, with 20 working days input each.

### **1.2 The National Coordination Structure**

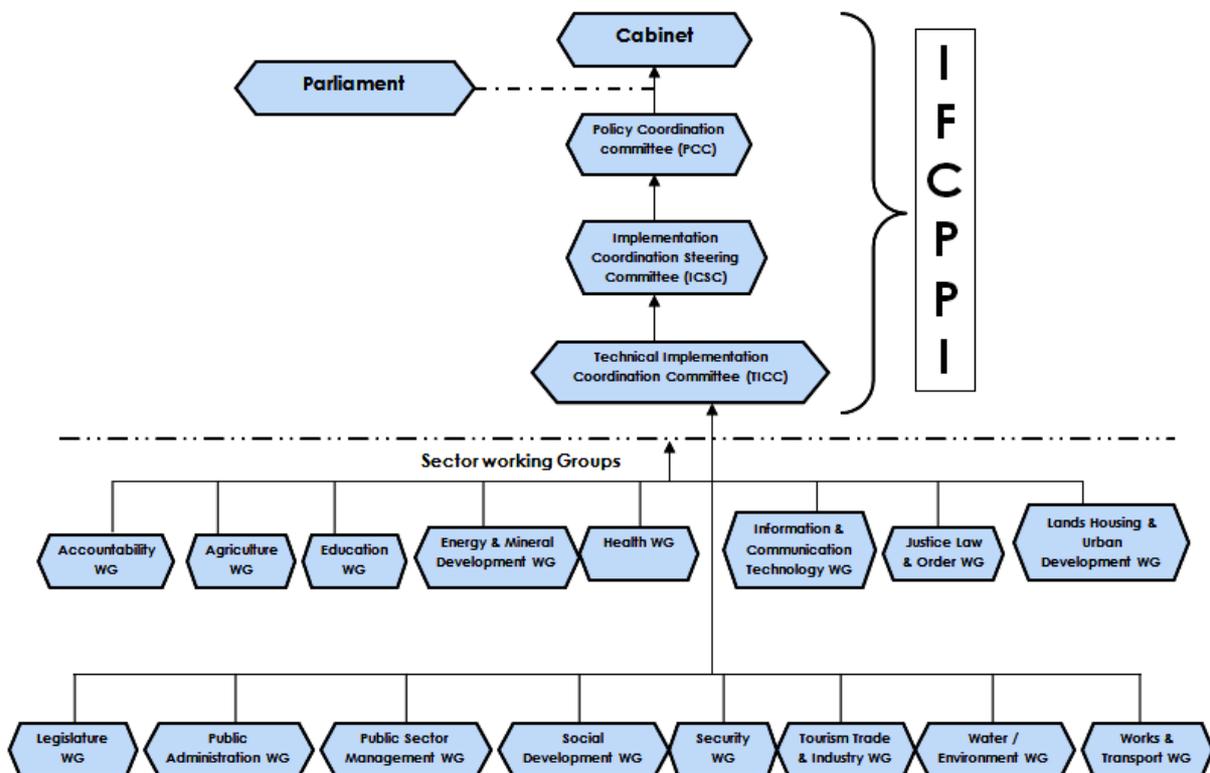
Under the Constitution the Prime Minister is responsible for coordination and implementation of government policies across Ministries, Departments and other public institutions. The Institutional Framework for Coordination of Policy and Program

Implementation in Government (IFCPPI) was formally established under the office of the Prime Minister in 2003 to set up an effective national coordination structure. The IFCPPI is composed of the following structures:

- a) The Policy Coordination Committee (PCC) is a Cabinet committee chaired by the Prime Minister and is responsible for policy coordination and monitoring progress on the implementation of government programs.
- b) The Implementation Coordination Steering Committee (ICSC), which consists of Permanent Secretaries and is chaired by Head of Public Service and Secretary to Cabinet, directs implementation of activities.
- c) The multi-sectoral Technical Implementation Coordination Committee (TICC), chaired by the Permanent Secretary OPM, coordinates and monitors program implementation across ministries and sectors.

The current framework for coordination is shown in figure 1 below.

Figure 1: Organization Structure for Coordination of Government Policy



Source: OPM

According to the Policy Coordination Implementation Department in OPM this central institutional structure is faltering at present and requires a new dynamic.

Below the above framework are the 16 Sector Working Groups, which are responsible for implementation of the National Development Plan and service delivery.

The NDP II states that: “the OPM will be responsible for coordinating implementation of NDP II across all MDAs.” The capacity of the coordination function has been strengthened with a new OPM Delivery Unit.

In 2014 OPM developed a National Coordination Policy, with a vision, mission, a number of objectives, and a set of principles. Each policy objective is elaborated with a number of strategies. Some of the key objectives/strategies relevant to this assignment are as follows:

- To minimize duplication and maximize synergies during implementation of mandates across MDAs
- To standardize reporting across government
- Develop capacity for coordination in the secretariats across all the Sector Working Groups

This review will aim to provide practical approaches to operationalise the National Coordination Policy

### **1.3 The Evolution of Sector Working Groups**

The Sector Wide Approach was first adopted in selected service delivery sectors in the 1990s together with development partners to ensure a more holistic approach to development planning under the leadership of the Government. Sector Wide Approaches (SWaP) aimed to strengthen alignment of programmes through agreement on a single strategic plan, with progress formally reviewed on an annual basis. Development partners contributed to this approach by providing pooled funding or sector budget support, working closely with Government to agree on joint objectives, priorities and a single monitoring and reporting framework. Institutional structures were developed to ensure regular dialogue on progress. In 1998 MoFPED aligned the budget with the sector approach with 16 defined sectors. In line with this policy MDAs are required to work together under the leadership of an agreed entity to submit Sector Budget Framework Papers, aligned to the objectives of the NDP and to hold regular sector working groups with relevant stakeholders, including DPs, the private sector and CSOs. The Sector Working Groups should form the basis for planning, coordination and monitoring of all activities in the sector.

Sectors with coordinated support from development partners have tended to be more effective, especially where joint funding approaches have been adopted,. The external funding, which supported the evolution of secretariats and access to resources was an incentive for collaboration. However, there are many other factors that influence the outcome, such as the quality of leadership in the sector, the capacity of sector institutions, shared objectives between institutions, and constructive technical support from development partners. Developing a sector approach, where there is a clear lead Ministry and common overall objective with technical support and funding from DPs, has generally led to positive outcomes with good examples in the Education, Water and Justice Law and Order Sectors. The SWaP was closely linked to the Aid Effectiveness Agenda, and the commitment from development partners to channel funds through Government systems to ensure national ownership, reduce transactions costs, and focus on results. Where the process results in effective consultation and transparency, there is a tendency to openness to new ideas, improved reviews of progress with follow up action, and more focus on results.

However, performance of the SWaPs has not always been sustained after withdrawal of DP support. The incentives to pursue a sector approach clearly have an impact on the commitment of sector institutions to work as a group. Whilst Sector Budget Framework Papers are a requirement of MoFPED, budgets are generally negotiated with individual MDAs, and the objective of an integrated sector approach has not

always been achieved. The sector approach requires commitment from institutions, which may be affected by incentives linked to the budget and consistent guidelines, requirements and formats from the central Ministries.

Experience in Uganda has also shown that developing a sector wide approach is a process, which takes time to develop as linkages are built, and capacity for joint planning and problem solving is strengthened. Strong leadership from the lead agency along with resources to sustain the coordination process is important. If institutions do not see the purpose or benefits of the approach, the sector is unlikely to develop effectively.

The Sector Working Group approach has been firmly adopted across Government as the basic building block to ensure coherent planning, consultation between related entities, engagement with external stakeholders and service providers, management of crosscutting issues, oversight by central agencies, and management of inter-sector linkages. The role of SWGs is regularly referred to by MoFPED, NPA, and OPM in the planning, budgeting and monitoring processes, guidelines and formats. The effectiveness of SWGs thus has a major impact on the performance of the public service.

In October 2014 MoFPED issued “Terms of Reference and Guidelines for Operation of SWGs during Preparation and Implementation of the Budget”, which was attached to the first budget call circular for FY2015/16. This document emphasizes the benefits of participatory planning and budgeting to promote synergies and avoid duplication. SWGs are required to actively participate in identifying and prioritising interventions through a consultative approach. Their role should include:

- Examining and reviewing policies and plans
- Identifying priorities and emerging issues
- Assessing resource requirements and cost implications, including proposed medium term budget allocations
- Reviewing performance targets and outcomes
- Participating in identifying and approving development projects

The ToR for the sector approach requires all institutions providing related services, to work jointly on design of interventions. SWGs are required to include representatives from, CSOs, private sector, Local Government and Development Partners as full members of the group.

In recent years Budget Call Circulars have stressed the importance of the role of SWGs and expressed concern that in some sectors the SWG’s have become inactive. SWGs are encouraged to identify issues, which fall outside their mandate, for higher level resolution, to ensure that parastatals and Authorities are involved as appropriate, and to identify key performance indicators to monitor sector progress.

The list of 16 sectors as defined in the budget is attached in **Annex 1**.

## **1.4 The National Development Plan**

The GoU is currently implementing the second phase of the National Development (NDPII), covering the period 2015/16 to 2019/20. One of the major concerns with the performance of NDPI was the failure to align sector and MDA plans and budgets with the priorities identified in the National Development Plan. There was also reportedly weak engagement with CSOs and private sector organizations in the implementation

process, and limited integration of crosscutting issues such as environment, gender, nutrition and HIV/AIDS. Another critical concern were the weaknesses in public sector management including low levels of enforcement of reforms, corruption, procurement problems, conflicting mandates, low productivity and low remuneration, amongst others.

The NDPII aims to overcome these challenges including through strengthening Sector Wide Approaches, and related planning and implementation capacity, better alignment of plans with sectors and MDAs, and more effective monitoring of results by SWGs.

Presentation of sectors in the NDPII is not always in line with the approach under MoFPED and actual practice at the sector level. Under the budget, tourism is a sub-sector, which is part of tourism, trade and industry, whereas the NDPII refers to it as a full sector. The NDPII makes reference to sub-sectors, which do not always exist in practice. For example, under Accountability, there is reference to an Audit sub-sector and an Economic Management and Financial Services sub-sector, which do not currently exist. In practice, there is only an active sub-sector on Public Finance Management Reform. The lack of alignment with existing institutional frameworks may undermine progress in implementing NDP priorities. There were proposals to amend the configuration of SWGs during the preparation of NDPII, but there was resistance to this proposal, and existing arrangements, as established under the budget, were retained. The main changes proposed by NPA under NDP II were as follows:

- The creation of Tourism as a separate sector
- The creation of Trade and Regional Development as a separate sector.
- The creation of a new sector combining, industry, science and ICT
- Joining Public Administration with Public Sector Management
- The creation of Economic Management Sector under MoFPED
- The inclusion of Accountability issues with the Legislature

In our view the separation of tourism to form a separate sector the establishment of a Trade and Regional Development Sector has merit. However, the other changes proposed to the central support sectors (Accountability, Public Administration and Public Sector Management) are unlikely to simplify or facilitate improved coordination as they create new groups with multiple agencies and objectives.

The National Planning Authority issued Sector Development Planning (SDP) Guidelines in April 2015. The main aim of the planning guidelines was to ensure alignment with the NDP, with a standard format and timeframe for SDPs. Each sector should have the following institutional structure:

- **Sector Leadership Committee** - the topmost organ of the sector, which should comprise the political leadership
- The **Sector Implementation Coordination Steering Committee (ICSC)** chaired by the lead PS with heads of MDAs – responsible for policy development, coordination, quality assurance in the production of SDPs, and fund raising for SDPs.
- **Sector Working Groups** – technical level task-oriented groups, which should harmonize, coordinate, monitor, evaluate and report on the sector vision and goals, policy frameworks, plans, and performance of sector MDAs. These groups may have technical sub-groups for specific components and are required to include CSOs, private sector, and DPs. They should be chaired by high-level officers from Sector Lead Agencies (SLA), with participation from

Directors or Heads of Department, with a sector Secretariat, usually provided by the Policy and Planning Units of SLAs. SWGs are given a key role in managing the sector. The guidelines include detailed Terms of Reference for the role of SWGs.

Throughout the guidelines there is a strong emphasis on the importance of consultation with CSOs, the private sector and DPs to ensure transparency and quality of approach. The SWGs are required to approve draft plans before submission to NPA. Detailed steps and formats with guidance are provided to assist with preparation of SDPs. SWGs are also required to monitor and evaluate the implementation of SDPs.

The NPA reviews Sector Develop Plans and certifies that they are compliant with the NDPII. Currently only a few of the 16 Sectors have produced compliant plans. It is notable that there are different terms given for the sector plans: sector development plans, sector investment plans, strategic sector investment plans. The Transport and Water sectors have produced longer-term strategies and targets, which may be appropriate for guiding large-scale infrastructure investment programmes with longer planning horizons. However, they are also required to have updated medium term plans

## **1.5 Linkage of the Assignment with Other Initiatives**

There are a number of new GoU initiatives, which will depend on effective SWG coordination:

- The introduction of **Programme Based Budgeting (PBB)** requires SWGs to strengthen the quality of their planning and budgeting processes, which in future will be grouped as programmes linked to higher-level NDP objectives. SWGs will be required to ensure that MDAs understand the conceptual approach to PBB and to develop monitoring systems to track progress of programmes at outcome level. The success of this initiative will be dependent on the capacity in SWGs.
- MoFPED and NPA have committed to **strengthen Public Investment Management (PIM)**, which has been identified as a weakness under NDPI. A new PIM Framework has been adopted, along with new Guidelines for the Development Committee (August 2016), which sets out revised processes for identification, appraisal and approval of projects. SWGs are required to establish Project Preparation Committees, which will be responsible for identifying and taking forward projects at the sector level, based on Project Concept Notes submitted by MDAs. SWGs will be required to review project proposals and decide whether they should be forwarded to the Development Committee for consideration.
- Under the leadership of the Uganda Bureau of Statistics (UBOS), Government has developed a **National Standard Indicator Framework**, with the first version launched in April 2016. This work is being undertaken in collaboration with MoFPED, NPA and OPM and aims to align the performance monitoring requirements at outcome level between the NDPII, the Sustainable Development Goals (SDGs), and SWGs. The set of higher level indicators is presented in four levels: Level 1 - Progress in criteria for graduation from LDC to Middle Income status; Level 2 - Sector outcomes to achieve NDPII

objectives; Level 3 – Annual sector service delivery outcome measures; Level 4 – Routine MDA service delivery outcomes. SWG support will be required to operationalize this joint monitoring framework. The initiative should assist in harmonizing standards for reporting by SWGs.

- MoFPED is in the process of drafting a new **Development Cooperation Policy**, which aims to promote aid effectiveness.

## **2. Methodology for the Assignment**

### **2.1 Review of SWGs Operating Framework**

Our approach to this assignment commenced with a review of the current guidelines and formats developed by central agencies for SWGs and the Platforms for dialogue, as detailed above. In order to develop a better understanding of the progress of sectors we developed a grading system to measure the performance of the 15 SWGs as defined by MoFPED (excluding the Legislature)

In addition, we undertook in depth analysis of 10 SWGs, through interviews with Sector Coordinators, DP leads and other DPs, and other stakeholders as appropriate. The objective was to develop a better understanding of the causal factors behind the performance of the various sectors, as well as the challenges and constraints. This analysis was used to provide some specific recommendations in the sectors covered.

We also undertook a review of the current arrangements and outcomes of dialogue under the three national platforms with DPs, Private Sector and CSOs. This included a review of minutes of meetings, progress on priorities adopted and interviews with selected participants.

Based on the findings from this analysis we have developed a series of recommendations for consideration of Government at different levels, Development Partners, and for CSOs.

The consultants also met with the central entities driving performance at the sector level: OPM, MoFPED and NPA. These central agencies have a key role in supporting, monitoring and providing appropriate incentives for SWGs, and in developing common guidelines, formats, and standards to ensure coherence of approach.

### **2.2 Performance Grading of SWGs**

The grading of SWGs was based on 9 performance indicators covering the following aspects:

- i. Sector Plan
- ii. Multi-year Budget (MTEF)
- iii. Results Monitoring Framework
- iv. Annual Review Meetings
- v. Technical level meetings
- vi. Communication and Coordination
- vii. Reporting
- viii. Sector ToR, Calendar and Work plan
- ix. External reviews / evaluations

The performance grading system is attached in Annex 2. Aspects of transparency, leadership, stakeholder engagement and development partner practices are captured under various indicators. The grading system uses a performance measure between D, for weak, to A, for very good. Scores of 1(D) to 4(A) were allocated to give an overall percentage score. As far as possible the indicators were based on objective measures,

which can be verified from sector documentation. The grading/scoring system was adapted during the study based on lessons learnt and interaction with the sectors. This resulted in minor adjustments to clarify the scoring criteria.

### **2.3 In Depth Analysis of Selected SWGs**

The consultants selected a number of sectors, including one crosscutting group, for more in depth analysis based on interviews with key informants from the sector. Interviews were conducted with as many of the following as possible:

- Sector Coordinators (Secretariat)
- Lead DP agencies
- CSO and/ or private sector participants
- Selected MDA members
- Sector technical experts

This included a review of relevant documentation produced by the sector, to assess the quality of dialogue and agenda management processes. The objective was to have a better understanding of how SWGs function in practice, the major challenges and constraints affecting coordination, the incentives facing SWG participants, and the opportunities for strengthening the outcomes from the sector coordination process.

### **2.4 Division of Work between Consultants**

The division of work was arranged as follows as follows:

A. Nick Roberts/lead consultant:-

- In depth review of sectors: (i) Accountability, (ii) Health, (iii) Lands, Housing and Urban Development, (iv) JLOS, (v) Karamoja (cross cutting)
- Performance assessment of other sectors: (vi) Public Administration, (vii) Transport, and (viii) Social Development,
- National Platforms: (ix) national partnership Forum (DPs), and (x) CSOs

B. Samuel Sejjaaka:

- In depth review of sectors: (i) Education, (ii) Public Sector Management, (iii) Agriculture, (iv) Tourism, Trade and Industry, and (v) Water and Environment.
- Performance assessment of other sectors: (vi) Energy, (vii) Security, and (viii) ICT
- National Platform: (ix) Presidential Investors' Round Table

### **3. Performance Assessment of SWGs**

The performance assessment tool was applied to 15 sectors excluding Parliament. The findings allow an assessment of various aspects of the coordination function in the sectors. It is important to note that the tool provides only a rough guide as to how sectors are performing and depends on the information provided by the sector coordinator, DP working groups and other key informants. The assessment tool was found useful as a mechanism for assessing progress in various aspects of sector coordination. However, the characteristics of the sectors, which range from single Ministry sectors to complex multiple objective sectors comprising many MDAs, mean that care must be taken in using the tool to compare performance between sectors. For example the need for quarterly meetings and technical sub-groups will vary depending on the sector concerned.

There is a tendency for sectors with weaker coordination systems to refer to the GAPR, OBT and MTEF as sector documentation, indicating that the minimum requirements for sector processes are being met. In some cases the sector documentation is based more on individual MDA positions rather than representing coherent sector approaches.

There has been increased emphasis on the sector approach in recent year as evidenced by directives from MoFPED, OPM and NPA. SWGs are required to prepare and approve Sector Development Plans linked to the NDP, Sector Budget Framework Papers, and to monitor sector outcome measures. The holding of annual performance reviews for consulting stakeholders and assessing performance is also becoming standard practice.

The findings indicate that four sectors – Health, JLOS, Water and Environment, and Public Finance Management (PFM under Accountability) - are managing coordination fairly effectively and to the satisfaction of most development partners and other stakeholders in the sector. The practices they have developed can provide useful lessons for other sectors, which are in the process of strengthening coordination systems. A further four sectors – Transport, Energy and Minerals, Security and Education - have established coordination systems, including regular meetings with MDAs and other stakeholders, but with aspects, which could be improved. The remaining seven sectors are in the early stages of developing sector coordination approaches, or are struggling to overcome constraints, such as limited resources, capacity for coordination, or the lack of shared objectives to drive a sector approach.

All sectors were found to be relatively weak in multi-annual budgeting, tracking development partner investments and mechanisms to obtain feedback on service delivery and sector performance, such as intermittent external reviews.

#### **3.1 Sectors with Effective Coordination Systems**

The review indicates that the Health, JLOS, Water and Environment, and PFM (Accountability) sectors have effective coordination systems, which are having positive impacts on aid effectiveness and service delivery. These sector approaches have all developed over many years with active support from both Government and Development Partners. They have evolved practices, and learned lessons, which may be useful for other sectors. The progress that has been achieved in these sectors should not be cause for complacency. There is evidence that some sectors have had good coordination systems in the past, which have since lapsed, due to problems of

leadership and consensus on policy. In the case of accountability, coordination systems could be significantly improved in areas outside PFM reform. Coordination in the environment sub-sector needs be strengthened and to benefit from the experience in the water sub-sector.

### **3.1.1 Health Sector**

The health sector has well established coordination mechanisms. Strong leadership in support of coordination has been a factor. Progress has also been driven by the International Health Partnership Plus (IHP+), which Ugandan has signed up to, and requires all partners engaged in supporting the sector to sign a compact, committing them to a Government-led coordination framework, with emphasis on aid effectiveness and a common results framework. The sector's Annual Performance Reports include a section monitoring progress on the compact, including aid effectiveness objectives.

The Health Policy Advisory Committee (HPAC) brings together partners through representatives of the different partners (DPs, private sector, CSOs, NGOs) under the leadership of MoH. The DP lead has a co-chairing role. This Committee is small enough to be effective and has learnt to keep the agenda focused on key policy issues. Meetings are fixed on an agreed date each month and have been held on a regular basis for several years. An action matrix tracks progress of decisions taken at these meetings. Development partners appreciate the open dialogue on all aspects of the health sector as well as engagement with faith-based, NGO and private sector service providers.

The sector has issued "Guidelines for the Governance and Management Structures", which sets out principles for coordination, including membership and role of committees at various levels. Whilst the HPAC meets regularly some of the sub-groups need to be more active. There are ongoing discussions as to how this can be achieved, including better guidance on regularity of meetings and active DP support. It has been noted that monthly meetings may not be necessary for all TWGs. The MoH Planning Department provides efficient support to the coordination function.

There is an active Health Development Partner Group, which was led by Belgium to end 2016, with United Nations Population Fund (UNFPA) to chair the Group from 2017. Belgium recruited technical support to strengthen their coordination role and assist with analysis of issues impacting the sector.

As required by the Compact Agreement, the new Sector Development Plan was subject to an independent review to assess the quality of the plan, which was improved based on the findings. The sector recognizes the importance of inter-sector coordination and actively develops partnerships with other sectors such as with water on sanitation and hygiene issues. There was a 2013 Mid Term Review of the last SDP, which ended in 2015, and it may be useful to consider a new review of sector progress since 2013. Up to date documentation on sector plans and performance can be downloaded from the MoH website.

Annual sector performance reports are produced by end September each year for input in the Joint Annual Review (JAR). Actions agreed at the JAR in September/October are captured in an Aide Memoire, with details of the entity responsible, timeframe and means of verification. To reduce the numbers at the JAR, it was agreed to pilot regional workshops to identify local level service delivery issues and remove the need for LG participation. The two regional workshops in 2016 were

effective in promoting constructive discussion and better understanding of the constraints for consideration at the JAR and the approach will be adopted as standard practice. It was also noted that the regional workshops were more productive than joint field trips, which tend to focus on problems with limited discussion on solutions. Health Sector Information systems now include data from NGO entities, though private sector have yet to be brought on board.

The sector maintains detailed District level health performance reports to help identify and take action on poorly performing LGs and to learn lessons from those working effectively.

One of the main challenges facing the sector has been the declining share of GoU budget allocations over the past decade. This has been exacerbated by the fragmented project approach from DPs, much of which has focused on specific diseases, with less attention to sustainable service delivery challenges. Development partners should be encouraged to work towards joint funding mechanisms to support public health and core services, along with joint reviews and technical support. This should be complemented with increased attention to governance and PFM in the sector. Multi-annual budgeting could be improved with more realistic projections and information on development partner off-budget funding. Efficient use of limited resources requires tough decisions by all partners. Decision-makers in the budget allocation process need to be made aware of the hard choices in health service priorities as resources decline.

### **3.1.2 Justice, Law and Order Sector (JLOS)**

The first JLOS Sector Investment Plan (SIP) was launched in 2000. The sector has developed a comprehensive approach to coordination engaging 18 MDAs with different, but complementary, mandates. In order to promote commitment, there has been emphasis on the role of different institutions in contributing to the overall justice, law and order chain with the common purpose of improved services. JLOS Technical Working Group meetings are held quarterly under Government leadership. There are active technical sub-group meetings with participation from DPs and CSOs. DPs have assigned members to participate in the JLOS Technical sub-groups. There are joint semi-annual and annual review meetings to monitor progress of the sector. The approach of identifying undertakings to track progress of agreed actions has been dropped from the joint review reports, and the focus shifted to the assessment of progress of SIP outcomes. The sector has sought linkages with other sectors to achieve its aims, such as with Social Development on gender-based violence. The sector has influence on funding allocations in negotiations with MoFPED through agreement on priority investment projects.

Joint development partner funding for the sector has had an important impact in strengthening collaboration. The coordination arrangements are managed by a JLOS Secretariat, now made up of national advisers, which is linked to the joint funding arrangement. There are concerns over the sustainability of this approach. DPs are also concerned that the current JLOS dialogue does not cover all activities under the sector. As DP funding to the JLOS programme has reduced in recent years, GoU have increased their contributions. A MTR of SIP III, was undertaken in 2016. Joint field trips are held twice a year, with production of a joint report with agreed recommendations.

Effective leadership from the Chief Justice, who openly welcomes constructive criticism from external stakeholders, has contributed to sector coordination and development. The participation of CSOs has been institutionalized in the sector. The leadership of the sector holds six-monthly informal dinners with DP JLOS heads of cooperation to promote open dialogue.

The sector has actively promoted District Coordination structures to promote collaboration of sector institutions at a district level. This has contributed to joint service delivery initiatives at this level.

The DP working group, currently led by the Netherlands, is constrained by the lack of dedicated technical support for the role. There is risk of a divide opening between the GoU and the DPs with particular concern over the process of drafting the new SIP due to be launched in 2017. The JLOS secretariat opted to use internal resources to prepare the first draft to facilitate focused consultation with stakeholders. DPs have been informed of this approach and wait to engage during consultations on the first draft.

### **3.1.3 Water and Environment Sector**

The Water and Environment sector benefits from a joint DP support programme with two DP working group covering water and environment. The progress achieved on water sub-sector coordination has influenced improved coordination in the environment sub-sector. Joint Sector Reviews (JSR) are held in September/October each year followed by Joint Technical Reviews (JTR) in March/April. Undertakings agreed at the JSR reviews are closely monitored with responsibility assigned to working sub-groups who report progress at subsequent meetings. The role and composition of technical sub-groups is driven by the agreed undertakings. The JTRs are combined with field visit to project sites, with proposed recommendations discussed and covered in the JTR report.

The contribution of NGOs is reflected in the annual Sector Performance Report with details of amounts invested by District. Their contribution is also discussed at annual reviews. The sector reports have summaries and detailed analysis of progress of key outcome indicators. There are also comprehensive reports on progress of outputs in the sector. Annexes include detailed information on the performance of Local Governments in delivering water and sanitation services.

The sector has developed effective systems for providing funds and capacity support to improve water services at the district level. Technical support units assist Districts with capacity building, development of planning and systems, as well as monitoring development of water facilities.

The sector actively promotes mainstreaming of crosscutting priorities including gender, HIV/AIDS, pro-poor provision of services and promotion of good governance and integrity. The sub-group on good governance has developed an action matrix (2014-17), which is updated in the annual sector reports.

There has been unnecessary ongoing conflict with the Agriculture sector over the lead role in development of water for production. As a result irrigation initiatives in the water sector have not been well coordinated with technical input from the Agriculture sector, and vice versa.

Whilst there is an extensive library of sector documents on the Ministry website, there is no current Sector Development Plan. This is a serious shortcoming. There is a 2009-

2035 Plan, but this only has investment plans for the period to 2015. A new Strategic Sector Investment Plan 2017-2030 is under development. Two of the key challenges facing the sector are (1) improved mainstreaming of environmental issues across the public sector and (2) uncertainty in respect of continued support by some DPs for the Joint Water Sector Support Programme after 2018. This raises concerns as to the sustainability of water sector coordination beyond 2018.

### **3.1.4 Accountability Sector**

The Public Finance Management (PFM) component of the Accountability Sector has developed effective coordination systems to promote PFM reform across GoU with support from the joint DP FINMAP programme. The Public Expenditure Management Committee (PEMCOM) chaired by the Deputy Secretary to Treasury, with a DP from the PFM Working group as co-chair. PEMCOM meetings commence with statements from GoU, DPs and the Civil Society, represented by CSO Budget Advocacy Group. PEMCOM has developed a high-level action matrix to track progress of key reforms. This matrix sets timeframes for achievement of agreed actions, with the deadlines used to guide the agenda of the PEMCOM meetings. MDAs are held accountable through this matrix and report progress at PEMCOM. Decisions taken at the meeting are tracked through an action log. The PFM Reform programme benefits from the FINMAP Management Support Unit (MSU), with national advisers supporting programme coordination and implementation.

The DP PFM working Group has benefited from ongoing technical support to facilitate analysis of key documents, such as the OAG's annual reports and understanding of PFM technical reform issues. The Working Group maintains an inventory of DP support to PFM and related programmes, which is shared with GoU. Transparency could be improved by making available PFM reform newsletters, progress reports and external reviews on the MoFPED website.

The internationally supported Public Expenditure and Financial Accountability (PEFA) assessment framework provides a useful mechanism to review progress in the sector through the application of good practice indicators, which helps to identify areas of weakness to guide future priorities. PEFA assessments are undertaken every 4 years, with the last assessment in 2016. A similar framework has been introduced to assess revenue management systems (TADAT) and this has led to the establishment of a task force to develop a strategy on revenue mobilization. The MSU arranges joint field trips once or twice a year to monitor challenges facing the roll out of reforms in MDAs and LGs. There is an ongoing discussion as to how feedback mechanisms on the implementation of reform can be improved.

It is important to emphasise that whilst PFM has adopted effective coordination mechanisms, the Accountability Sector as a whole has not been very effective. The role of PEMCOM has not been integrated into the Accountability Sector institutional arrangements. There is a Sector Coordinator supported by a small secretariat in MoFPED, the lead Ministry, which arranges monthly Sector Working Group meetings. However, these meetings are generally chaired and attended by lower level officials and the SWG is not seen as a useful decision-making forum. There is a lack of clarity regarding the purpose of the TWG meetings and the reason for bringing together the diverse entities in the sector. The Leadership Committee and the Steering Committee rarely meet and have not been engaged in strengthening coordination in the sector.

The sector has a Strategic Investment Plan (2014-19), which is currently being updated to align it with NDPII. The Sector held its last Annual Review meeting in September 2016. The report prepared for this meeting provides a summary of progress made by institutions within the sector. There is an ongoing discussion as to how the coordination functions of the sector could be improved through integration of existing mechanisms and creation of new sub-groups as needed. The sector is complex as it relates to central support services with 11 MDAs and a further 9 affiliated institutions, covering a diverse range of mandates.

The meeting would function better through agreement on division of the technical work in sub-groups. DP WGs relating to the Accountability Sector include PFM, the Accountability WG, the Donor Economist Group and the Private Sector Sub-Group on financial services. There is need for these groups to strengthen support and harmonise DP positions in relation to the sector.

## **3.2 Sectors Coordination Can be Improved**

The Transport, Energy and Minerals, Security and Education Sectors have effective coordination mechanisms in place. However, practices need to be improved for optimum impact.

### **3.2.1 Transport**

SWG meetings take place quarterly, but participation from key MDAs is not at a senior level and agreements reached are not always communicated effectively. There may be need to introduce a more dynamic and constructive dialogue between the various sector stakeholders, in particular with the main Government agencies and MoW&T and with the DPs led by EU. This requires a review of how coordination structures are working in practice, the participation, regularity and format of meetings at the different levels, the management of agenda items, and the project and budget approval role of the SWG. The agencies under the sector do not appear to see the benefits of the sector coordination process. The sector agencies need to have a clear incentive to actively participate and the meetings need to be useful and dynamic, helping to take forward issues that are affecting their performance.

Whilst an effective monitoring system has been developed for the sector, there is concern from DPs that long-standing policy issues such as adequate resources for road maintenance, progress on axle load controls, and improved inter-modal transport planning are being raised at annual review meetings, but with limited progress. The inter-sector linkages with lands, environment and accountability/governance issues amongst others, could also be given greater attention. A review of recent sector reports suggests an inward looking approach rather than the development of partnerships and linkages to take forward development challenges.

### **3.2.2 Energy and Minerals**

The sector produced a SSIP in 2013/14. This SSIP has been upgraded to a SDP and aligned with the NDPII. However the SDP has not been published as yet. The sector consists of 13 MDA's and DPs. Core SWG activities have been carried out and reports are produced on a regular basis. However the failure to provide local counterpart funding has impeded the completion of some planned activities, as DPs cannot disburse funds.

Terms of Reference of the SWG were updated in 2016 and there are regular meetings on the last Thursday of every month. The meetings include presentations on progress

on sub-sector activities by the relevant Departments, with written handouts. The Ministry provides comprehensive minutes of meetings, which are disseminated to DP's for comment. There is good coordination with the DP working group, which is actively involved in the monthly meetings. The TWG's have intermittent meetings, which are issues driven. The most active TWG are the Energy TWG and the Planning TWG. Overall, whereas the SWG has an established secretariat, it appears that many planned activities are constrained by cash limits and delayed disbursements.

The Joint Sector Review takes place annually over two days involving all stakeholders including development partners, district authorities, and NGOs. In 2016 two joint GoU-DP field visits were arranged to the Isimba and Karuma hydropower projects. A comprehensive review of the power sector was initiated in 2016 over a one year period with support from two consultants. This has involved a number of workshops to consult on selected issues.

### **3.2.3 Security**

The security sector is reasonably well functioning with strong leadership. However, there is a general feeling that its activities are not strategically coordinated in respect to the way SWGs were defined. Most specifically, the exclusion of Police (which is under JLOS) creates a serious gap in managing joint security programs like anti-terrorism, and election violence. While the sector has been able to meet most of the coordination requirements, the documentation relating to its activities and performance outcomes are not available on the SWG's website.

### **3.2.4 Education**

The education sector has been affected by weak leadership and internal politics in recent years, which has negatively impacted coordination arrangements. There is no current Sector Develop Plan to guide the sector. Regular Education Sector Coordination Committee meetings take place, but could be improved with better planning of the agenda and a review of required participants. With new leadership in the sector there is an opportunity to rebuild coordination systems and partnerships, especially with development partners.

## **3.3 Sector Coordination Requires Support**

The following sectors require significant support to strengthen coordination arrangements:

### **3.3.1 Public Administration**

The sector is led by the Office of the President and includes State House, the Electoral Commission and Foreign Affairs. The sector struggles due to the lack of any common purpose to drive the coordination framework. There does not appear to be any logic behind the grouping of these agencies in the sector. Despite this, and due to pressures from OPM, NPA and MoFPED, a Sector Development Plan has been prepared and the first Sector Review meeting was held in November 2016. The participation in these processes has been mainly limited to GoU stakeholders. The sector also struggles due to the lack of dedicated resources for the coordination function.

### **3.3.2 Lands, Housing and Urban Development**

The Lands, Housing and Urban Development Sector involves coordination of a single Ministry along with the Uganda Land Commission, which is responsible for managing GoU land. The coordination function has been given renewed emphasis in 2016, with

publication of the first Sector Development Plan and the first annual review meeting. A new DP Lands Working Group, led by EU, has initiated dialogue with the Ministry on implementation of the new Land Policy dated February 2013. Given the importance of the Lands, Housing and Urban Development sector as a crosscutting sector impacting on Uganda's development priorities, the coordination function should focus on linkages with other sectors and support for improved land management practices. The DP WG should be encouraged to support the sector approach and take account of the other sub-sectors – housing and urban development.

### **3.3.3 Public Sector Management (PSM)**

The PSM sector is led by OPM and comprises the Ministries of Public Service, Local Government, and East African Community Affairs, along with NPA, Public Service Commission, and the Local Government Financing Commission. The sector has faced difficulties due to the lack of a common guiding purpose to drive coordination mechanisms. Despite these constraints there are ongoing efforts to update the sector plan to align it with NDP II and hold regular meetings. There is limited Development Partner support or engagement with this sector.

### **3.3.4 Social Development.**

The Ministry of Gender, Labour and Social Development is the lead agency for the sector working in collaboration with a range semi-autonomous councils, including those covering youth, women, children and older people, and the Equal Opportunities Commission. The sector objectives relate to social protection, women's empowerment, employment and community mobilization. There has been progress in strengthening coordination, including drafting a new sector plan and holding more regular SWG meetings. There are also ongoing efforts to hold more regular Technical Sub-group meetings. There are two DP Working Groups supporting the sector covering gender and social protection. These two DP groups could collaborate to support overall sector coordination systems. There is evidence that DP support has had some impact in promoting gender and women's empowerment issues in other sectors.

### **3.3.5 Tourism, Trade and Industry**

The sector is led by the Ministry of Trade, Industry and Cooperatives. The benefits of bringing together the tourism sector with trade and industry have been questioned and the Ministry of Tourism has developed a separate Tourism Sector Development Plan (2015-20). The quality of coordination has been affected by this division. The sector has held regular annual reviews, but there are no regular SWG meetings and a results monitoring framework has yet to be developed. There are two DP working Groups covering Tourism and Private Sector Development, which should relate to the sector. The Private Sector DP Group has divided into two subcommittees so as to better align with the Trade, Industry & Tourism sector working group and the Accountability SWG. The subcommittees are: 1) Trade & Industry and (2) Financial Services.

### **3.3.6 Information, Communication and Technology**

The ICT sector has a new investment plan aligned with NDP II and has held an annual review in September 2016. However, coordination currently operates mainly through meetings of the sector Top Manager Meetings (TMT), with no regular SWG meetings for wider consultation with other stakeholders or MDAs. There is also no functioning monitoring system for the sector.

### **3.3.7 Agriculture**

There is poor coordination amongst the MDAs in this sector and also between the secretariat and DPs. For example, while the secretariat claimed that Annual Performance Reports had been issued, according to DPs, the last report was received in 2014/15 and was of very poor quality. MAAIF and MWE were also not coordinating their activities in respect of water-for-production, a situation that has hindered focused progress in Uganda's irrigation program.

While the secretariat reported that key performance benchmarks had been achieved, this was disputed by the DPs. It is evident that the management of agricultural sector related activities has been diversely distributed, leading to resources being thinly spread. Several MDAs like NAADS, CDO and UCDA are managing or responsible for critical economic activities for which MAAIF is supposed to be the overall coordinator. Indeed it has been noted that due to the fact that agricultural sector funds have been dissipated over several implementing agencies, it is not clear whether the aims of the Maputo Declaration of investing 10% of the budget in GDP is being met or has been exceeded.

There is no prioritization or determination of annual undertakings in the Agriculture sector. The inadequacy of the relationship between DPs and MAAIF had resulted in a poor work plan and calendar, and a poor quality in the dialogue of the SWG. There was also no evidence of external reviews.

**Table 1: Summary of SWG Performance Assessment**

Sectors	Sector Plan	Multi-annual Budget	Results Monitoring	Annual Reviews	SWG meetings	Communication & Coordination	Reporting	SWG ToR / Work plan	External reviews	Overall % score
Health	A	C	A	A	A	A	A	B	C	86%
JLOS	A	C	B	B	A	C	B	B	B	75%
Water & Environment	C	B	B	A	B	C	B	C	C	67%
Energy & Minerals	B	C	B	B	B	B	B	D	C	64%
Transport	B	C	B	B	C	B	A	D	D	61%
Security	B	C	C	B	C	C	B	B	D	58%
Accountability	C	C	B	C	B	C	C	C	C	56%
Education	D	C	C	B	B	C	B	B	D	56%
Social Development	B	B	C	D	C	B	C	C	D	53%
Agriculture	B	C	C	B	C	C	C	C	D	53%
Public Sector Management	C	C	C	D	C	C	C	C	B	50%
ICT	B	C	D	C	D	C	B	C	D	47%
Tourism, Trade and Industry	C	C	D	B	D	C	B	C	D	47%
Lands, Housing & Urban Development	B	C	C	C	D	C	C	D	D	44%
Public Administration	B	D	C	C	C	C	D	C	D	44%
<b>Totals:</b>	68%	52%	58%	65%	58%	58%	67%	52%	38%	

## **4. Analysis of SWG Performance Issues**

Coordination in Uganda is a complex challenge. Coordination is complicated by the involvement of development partners with resources largely managed outside the national planning and budgeting process. Funds are also channeled through numerous implementing partners such as UN agencies and NGOs. In addition, over the past 20 years, there has been a gradual fragmentation of Ministries, with the creation of specialized autonomous or semi-autonomous authorities. Coordination is therefore essential to ensure that best use is made of limited resources bringing together the various agencies in a sector to tackle the major development challenges facing the country.

The division of MDAs into defined sectors has remained broadly static since the adoption of the sector approach in the late 1990s. This approach has worked relatively well for service delivery sectors, such as health and education, bringing together relevant MDAs under the leadership of the responsible Ministry together with development partners and other stakeholders. It promotes dialogue on strategy, holistic planning, and agreement on key indicators to monitor results. Where it works well, with joint development partner support aligned with Government systems, there is evidence that service delivery has improved. There is dialogue and collaboration to manage constraints and linkages are developed with other sectors to achieve objectives. The success of the approach in JLOS shows that positive results can be achieved even for sectors managing a diverse range of institutions, as long as the collective objective is clearly defined and coordination is carefully managed. The Sector Wide Approach contributes to improve transparency, accountability and governance in the sectors, by promoting sharing of plans and performance reports, along with joint reviews of progress. It facilitates planning, budgeting and monitoring across Government by grouping related MDAs for ease of management and oversight by the central support agencies. The sector wide approach provides an important mechanism to coordinate and harmonise DP support with Government priorities and plans, and encourages partnership with CSOs and the private sector in the delivery and quality of services.

There is evidence that the current understanding of Sector Working Groups may undermine coordination between MDAs with related objectives in different sectors. As an example of this the Security Sector reports that coordination is constrained due to the Police being designated under the JLOS sector. The management of water for production, which is being led by the Water and Environment Sector, has been affected by coordination problems with the Agriculture Sector, due to difference of opinion over the mandate for this role. There is clearly a risk that MDAs may coordinate within their sector, but fail to identify and promote opportunities for collaboration with related MDAs or priorities in other sectors.

The configuration of central support MDAs into fixed Sector groups for coordination creates particular problems due to the diverse objectives at this level and the need for linkages to be created around priority issues. The MDAs providing support services are currently included under the Accountability, Public Service Management and Public Administration sectors. However the issues facing Government such as decentralization, performance management, and streamlined monitoring, requires collaboration between various MDAs across the central sectors. As a result, the central

support sectors are struggling to develop effective coordination systems, with the sector approach becoming a straightjacket constraining effective coordination. In this context, more flexibility is required to encourage coordination between central agencies around shared priority issues. The guidelines need to reflect the importance of flexibility in developing coordination structures to ensure that they have a clear purpose and rational for bringing institutions together. Whilst there may be benefits in retaining SWGs for central agencies, the arrangements need to be more flexible and responsive to coordination priorities.

There is a general frustration with the current mechanisms for managing resource allocations to MDAs and sectors, leading to weak multi-annual budgeting and undermining effective planning. The current MTEF does not provide predictability for future resource allocations to MDAs and sectors find it difficult to plan in this situation. Whilst SWGs are required to approve Budget Framework Papers, most sectors have limited influence on resource allocations to MDAs within the sector. The budget process does not provide any strong incentive for MDAs to participate in Sector coordination, since, in most cases, MDA ceilings are based on bi-lateral negotiation.

There are a number of guidelines issued to sectors by NPA, OPM and MoFPED linked to their mandates. The most prominent of these, which has influenced the evolution of sectors in the last two years, is the NPA “Guidelines on Sector Development Planning” issued in 2015. These Guidelines have played a positive role in promoting sector coordination systems including establishment of coordination structures, holding annual reviews and drafting of sector plans along a standard format. MoFPED and OPM also issue guidelines and policies related to budgeting, monitoring and coordination. Sector Coordinators are not always aware of these guiding documents, which would benefit from being brought together to reflect a joint approach from OPM, MoFPED and NPA. It is important to ensure that the requirements in the guidelines are based on principles of good coordination allowing flexibility to meet the specific characteristics and needs of the different sectors. For example the need for regular monthly or quarterly meetings of all sector MDAs and stakeholders may vary considerably.

Mechanisms for identifying and raising crosscutting constraints affecting sector performance for consideration of higher level policy makers could be improved. Cabinet approved the Institutional Framework for Coordination of Policy and Programme Implementation (IFCPPI) in 2003. This document sets out the committee structures for consultation at a central level, which should provide support and guidance to sectors. The Technical Implementation Coordination Committee (TICC) needs to play a key role in this process of identifying issues, liaising with sectors and setting the agenda for higher-level decision-makers. However, the current membership of this committee, which includes representative from all Ministries, is too large to be effective, and the terms of reference need to be brought up to date. According to OPM this has been changed in practice. However, OPM agree that it needs to be made more operational with careful consideration of the membership and functioning of this Committee.

Few sector or sub-sectors have established mechanisms for regular external reviews. These are important for providing an independent check on progress of sectors and should normally be required every four to five years. Government, with support from Development Partners, should actively promote mechanisms to obtain increased feedback on service delivery. There are examples of good practice in this area, such

as joint field trips, regional workshops, and use of civil society networks, to enhance information on service delivery challenges, which can be replicated more broadly.

#### 4.1 Common factors affecting SWG performance

The following factors were identified as having a major influence on coordination arrangements in sectors:

- **Shared Objective(s):** Coordination largely depends on having a shared objective(s), in order for MDAs to have a basic incentive to participate in sector meetings. Multiple sector objectives with varying relevance to sector MDAs will tend to constrain the coordination process. Coordination must have a purpose, and without this, commitment will remain weak.
- **Leadership and commitment from the lead Ministry:** Probably the most important factor contributing to effective coordination is the commitment and engagement of the lead Ministry at both political and administrative levels. This means willingness of the Minister and PS level to chair sector meetings and annual reviews, demonstrating commitment and encouraging high-level participation by other stakeholders. They can also actively supporting the role of the Sector Coordinator, usually under the Planning Department.
- **Coordination and monitoring capacity:** Another important factor relates to the capacity for Sector Coordination. This is a difficult role, usually placed on the Planning Department, and it requires a dynamic approach, with good networking to build relationships across sector MDAs. In addition, there is need for effective communication systems and capacity for timely production of minutes of meetings, along with monitoring and follow up of agreed actions. A good website is also important to facilitate sharing of information. Increased recognition and support for this role will have a positive impact.
- **Influence over resource allocations:** There is clear evidence that coordination is effective where there is influence over the allocation of resources to a sector or sub-sector. DP joint support programmes, for example in JLOS, the Water Sector and PFM Reform, have largely driven this incentive for coordination. However, Government also provides significant contributions to these programmes.
- **Development Partner support for coordination:** Even where there is no joint DP programme, Development Partners can assist in supporting and building capacity for sector coordination. This is most evident in the health sector, where most DP support is provided in the form of projects. DP engagement can assist in building capacity through dialogue on complex problems and constraints affecting a sector, as well as encouraging inter and intra-sector linkages.
- **Support and resources for coordination function:** Whilst coordination activities are generally not costly, many sectors have limited access to resources to support this function. The sectors that perform well generally have access to resources, often linked to joint DP programmes. In some cases this includes hiring consultants/advisers to undertake the coordination function, as is the case in JLOS and PFM Reform, though this has risks for sustainability. The funding requirements for coordination vary considerably across sectors.
- **International frameworks:** There is evidence from the analysis that international frameworks and processes can have a positive influence on

coordination. The best example of this is the International Health Partnership Plus, which actively promotes principles of coordination and aid effectiveness and requires GoU, DPs and other partners to sign up to a written Memorandum, known as a Compact. The PEFA, which is an international framework of indicators to assess the quality of PFM systems, has also been very effective in driving improved coordination and joint DP support interventions.

Improving coordination impacts on the distribution of power and influence in a sector. Internal politics and power struggles have an important impact on the quality of coordination in a sector, particular when this involves senior managers in the lead Ministry. This can be managed by creating incentives for coordination linked to performance assessments and identifying problems for referral to higher-level decision-makers.

## **5. Managing Cross-Cutting Priorities and Platforms for Dialogue**

### **5.1 Karamoja**

Karamoja presents unique challenges for coordination due to the current fragmentation of DP projects, which are channeled through multiple implementing partners. The OPM implements its own programmes as well as coordinating support to the region. With improved security there has been a shift away from humanitarian aid towards more emphasis on development and livelihoods. However, support for the poor and vulnerable in the region remains a priority.

There is a joint Karamoja plan and DPs are working to improve harmonization of support and coordination under the leadership of OPM. The mapping of DP funding and NGO projects by location and category has increased transparency and is a good starting point to improve coordination. Senior management in OPM should support this process together with MoFPED. DP's are also starting to collaborate on joint approaches with line Ministries and technical experts to improve design of support actions in areas of social protection and water resource management. Future efforts should focus on building capacity and coordination systems at the Local Government and regional level. Coordination of activities in this area may be also undertaken in a more inclusive framework based on the Northern Uganda Coordination Group. This would enable sharing of institutional resources and outcomes.

### **5.2 Nutrition**

OPM is leading implementation of the 2010-15 Nutrition Action Plan. Coordination structures have been developed for central Government, in selected Ministries, and at Local Government level. The National Technical Stakeholders Coordination Committee leads the overall process with 9 implementing MDAs, DPs, CSOs, academia and private sector. Above this there are Committees with the relevant MDAs at PS level and at Ministerial level. A new multi-sector Nutrition Policy is currently being developed along with an updated action plan.

### **5.3. DPs, CSOs, and the Private Sector**

These platforms for dialogue are meant to facilitate constructive dialogue with partners outside Government on the broad strategies and direction of national development and the mechanisms to promote synergies between partners to improve service delivery.

#### **5.3.1 National Partnership Forum (NPF) – Development Partners**

This is a high-level forum for dialogue between Development Partners, under the Local Development Partners Group (LDPG), and the Government led by OPM. This new approach to dialogue with Development Partners was launched in December 2014, after the termination of the Joint Budget Support Framework (JBSF) in 2013. The document guiding the establishment of the forum makes reference to the five core aid effectiveness principles under the Paris Declaration. The National Partnership Forum is chaired by the Prime Minister and is attended by Ministers, Ambassadors and Heads of Cooperation with the focus on promoting aid effectiveness and mutual accountability. There is also a Partnership Policy Task Force, chaired by the PS OPM with representation from LDPG lead DPs, MoFPED, NPA, and the NGO Forum. A NPF priority action matrix has been adopted with performance indicators to monitor progress of key areas of common interest and as an input to the dialogue.

This dialogue is still relatively new and there are some positive signs in the direction of the process. Both GoU and DPs are committed to constructive dialogue and identifying shared objectives. The quality of dialogue has gradually improved with broader engagement, including the Minister of Finance at the last high-level meeting. There has been progress in identifying key areas for crosscutting support such as on public investment management, promoting sector coordination, procurement reform and performance monitoring. However, it is not always clear how these priorities will be taken forward and coordinated at the sector level. The forum has also been effective at taking crosscutting issues forward such as this coordination study.

The arrangements for dialogue appear to be broadly effective with the semi-annual high-level NPF meetings chaired by the Prime Minister and the NPF Technical Task Force preparing the agenda and engaging in technical level dialogue.

With the reduction in budget support since 2013, DP funding has been increasingly channeled through projects and multiple implementing partners. This has created coordination challenges in many sectors, which has not been adequately managed by the NPF and LDPG processes. There was a Division of Labour Study in 2015, but this has not been followed up. There is no evidence that aid effectiveness issues are high of the agenda of the NPF meetings. Increased dialogue is required on improving information flows on DP funding at MDA and sector level and supporting the aid management information system. Responsibility for aid data is currently managed by the Donor Economists Group and should be transferred under the LDPG Secretariat. Action is also required to challenge sectors to engage in joint approaches wherever possible, such as joint TA, shared reviews and joint programming, as well as utilizing GoU systems wherever possible. The Development Assistance and Regional Cooperation Department in MOFPED along with the Director responsible for this Department needs to be brought into the NPF Task Force to provide GoU leadership on aid effectiveness issues.

### **5.3.2 CSO Forum**

There is an NGO Board under the Ministry of Internal Affairs, which was established in line with the NGO Policy 2014. However, this is mainly dealing with regulation of NGOs.

Both OPM and NGO leaders see benefits in establishing a new forum for constructive dialogue with CSOs on development issues. The forum should be chaired by OPM with a co-chair selected from the CSO representatives. It is suggested that participation should aim to bring together a range of umbrella CSO groupings, such as the NGO Forum, an International NGO representative, faith based organization representative(s), Trade Union representative, and other relevant CSO groupings. The aim would be to include a broad range of representatives from CSOs for dialogue on the coordination of CSO support to sectors, information flows on CSO support, coordination around key development challenges and sharing of information on success stories for wider replication.

### **5.3.3 Presidential Investors' Round Table**

The **Presidential Investors Round Table (PIRT)** is chaired by the President and brings together a select group of both foreign and local investors to advise Government on how to improve the investment climate in the country. The PIRT process and engagement, which is coordinated by the Prime Minister in collaboration with Uganda Investment Authority (UIA), has continued to grow and develop since its launch in 2004. The composition of the PIRT is based on thematic areas that are determined by OPM in consultation with stakeholders. The PIRT process is now in its fifth phase (2015 – 2017) having been initiated in 2004. Phase V (2015 to 2017) was launched in August 2015 and focuses on four thematic areas namely:

- i) Tourism
- ii) Competitiveness and Ease of Doing Business
- iii) Minerals Value Addition and
- iv) Energy, Oil and Gas.

Each area is handled by a Technical Working Group of private and public sector members. The Secretariat Team is composed of UIA staff who render services (sector specific research, document review, initiating meetings, advising the Chair, linking private sector and Government, etc., to various Technical Working Groups (TWG) formed along thematic lines above. The PIRT is coordinated by OPM.

The results of these engagements, derived from meetings chaired by the President, are eventually mainstreamed in planning and budgeting frameworks. Some of the ideas that have been mainstreamed successfully as a result of these engagements have included the following.

- i. Review and revision of visa fees to encourage tourism
- ii. A public relations drive to market Uganda in international fora, including trade fairs
- iii. Creation of a ministry of ICT
- iv. Emphasis on science and technology in the education curriculum
- v. Strengthening of the oil and gas, and minerals directorates of government

The PIRT has had a significant impact in several other areas but is still constrained in helping develop a true PPP process. Some of the reasons for the constraints faced include the following.

- i. Championing of narrow individual/personal interests by PIRT members, especially in the area of tax exemptions for their businesses. Some members pursue personal agenda at the cost of strategic national interests
- ii. Slow response by government MDA's to some of the resolutions of the PIRT, due to the bureaucratic nature of work. Some solutions cannot be implemented 'immediately' because they were not funded and this demoralizes private sector players who do not appreciate the turn around limitations of government
- iii. A poor public sector attitude that fails to recognize that MDA's are ultimately answerable to the tax paying public in general. This mentality seems to have negatively impacted the development of a true PPP model.

## 6. Recommendations for Strengthened Coordination

### 6.1. Lessons from International Experience

#### 6.1.1 The Sector Wide Approach

Much of the research and international experience on Sector Wide Approach Programmes (SWaPs) is drawn from development partner funding arrangements. Most DPs have supported SWaPs, which are seen to overcome the narrow objectives of projects, and deal with sector development challenges following a more holistic approach, with a strong emphasis on national ownership and sustainability.

The EU Guidelines on Support to Sector Programmes (2007) provides useful insights into the benefits of the approach and the critical criteria for success. The sector approach is defined as "a way of working together between government, development partners and other key sector stakeholders. It is a process aiming at broadening government and national ownership over public sector policy and resource allocation decisions within the sector, increasing the coherence between policy, spending and results, and reducing transaction costs." There is a strong emphasis on recognizing that developing a sector programme is a process, which takes time to achieve, and requires a number of elements to be considered with a long-term perspective.

The core elements of a SWAp are identified as follows:

- i. **A sector policy and strategy**, specifying what government aims to achieve in the sector and how – distinguishing government's regulatory role from its service delivery role, specifying the roles of non-government agents and outlining any necessary institutional reforms.
- ii. **The sector budget and its medium term perspective** - The sector approach works towards policy based budgeting, embracing all resources for the sector, with realistic medium- term sector expenditure plans.
- iii. A **sector coordination framework**, under the government's leadership comprising coordination of national stakeholders including governmental (central agencies and other concerned ministries and agencies) and non-

governmental actors; and, coordination with and among donors.

The other two key elements are:

- iv. The **institutional setting and existing capacities** linked to a pro-active capacity development strategy led by the government.
- v. A **performance monitoring system** with a focus on results and feedback into management and policy.

OECD has produced similar guidelines on SWAs under the DAC Guidelines on “Harmonising Donor Practices for Effective Aid Delivery” (2006). Research on the impact of SWAs has been broadly positive though with difficulties in attributing the causal factors for achievements.

Uganda has gone a step further from SWAs by adopting a sector approach as a critical level in the national planning, budgeting, implementation and monitoring processes. However, though there is evidence that this works well for service delivery, promoting the approach for central support MDAs has proved problematic.

### **6.1.2 Aid Effectiveness**

A review of other countries in the region suggests that Uganda has fallen behind in respect of the Aid Effectiveness agenda. One of the main coordination challenges affecting developing countries is the importance of managing aid flows to ensure they have optimum impact and support national coordination systems. This requires strong leadership from Government. Ethiopia has established an Effective Development Cooperation Task Force led by the Ministry of Finance with DPs for continuous dialogue and monitoring on aid effectiveness. The majority of Sector Working Groups are chaired by Government and co-chaired by DPs. There are only a few separate DP working groups. Rwanda has also developed strong mechanisms to ensure progress on aid effectiveness. This includes a Donor Performance Assessment Framework, led by the Government, which is used to hold DPs’ accountability for their aid effectiveness commitments. Other initiatives include the Single Project Implementation Units to minimize fragmentation and coordination constraints from multiple projects. Through these initiatives Rwanda has been successful in directing DP aid arrangements.

### **6.1.3 Joined-Up Government**

Many developed and middle-income countries have been grappling with coordination problems created by the traditional hierarchy of bureaucratic public sectors. There is increasing recognition of the benefits of “joined-up Government” or “whole of Government” approaches, with emphasis on cross-Government planning and coordination, and promotion of horizontally linkages. This is recognized as particularly important with the creation of separate agencies or Authorities in line with New Public Management philosophy. The approaches developed to strengthen coordination tend to be unique to each country, closely linked to the management culture, and evolving solutions, depending on challenges faced.

Joined-up government includes a wide range of activities and developments. In general, joined-up initiatives aim to enhance coordination and integration within public sectors that have become too disjointed. They also seek to align incentives, structures and cultures of authority in order to fit critical tasks that cut across organisational

boundaries. E-government initiatives have become one of the more common means of joining up public services, though much more is required in practice to achieve this.

The practice of joined-up government has varied considerably. For example, it may refer to the organisational level (inter-departmental, or national-local); to a particular social group (pensioners, immigrants); to a policy issue/sector (transport, education); to a geographical area; or to mode of service delivery (one-stop-shop, e-government portal). Based on these interpretations, we can therefore say that:

*“joined-up government is those policies and practices which overcome traditional boundaries in order to improve services, and which enhance government and sectoral coherence.”*

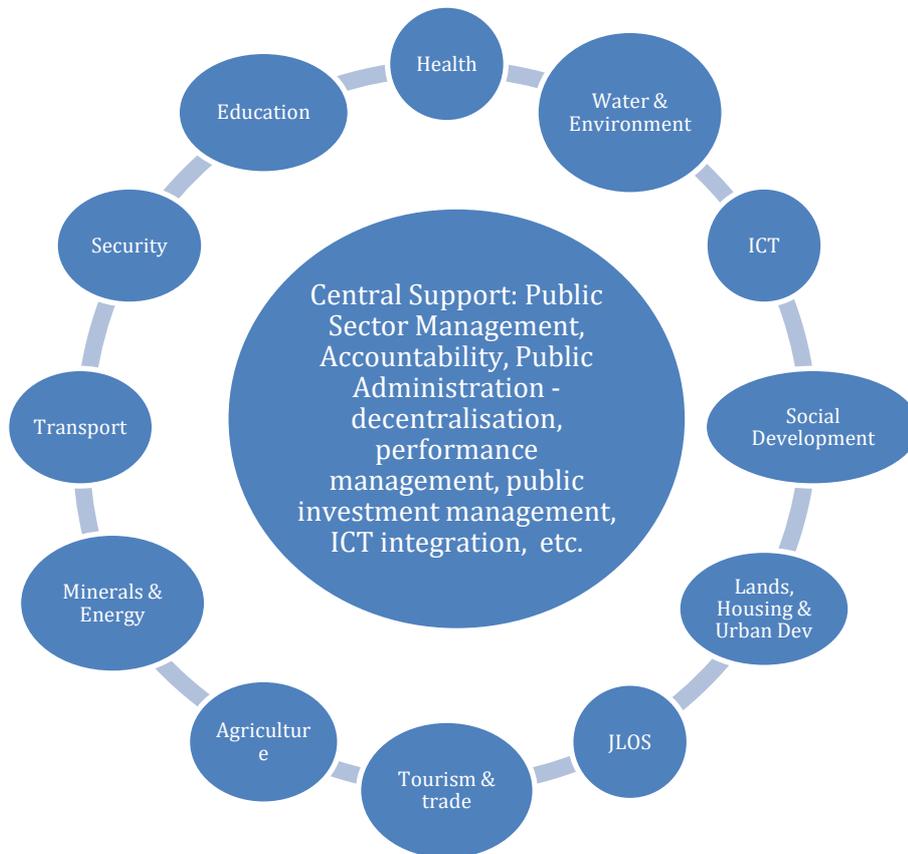
Some of the perceived benefits of joined-up government include:

- Improving outcomes for a particular group or location
- Addressing complex social or economic issues
- Exploiting economies of scale
- Improving service delivery by delivering services through alternative means
- Promoting thinking about new ways of doing things by bringing together people from a range of backgrounds and perspectives

## **6.2 A New Approach to Coordination**

The findings from the above analysis suggest that a new approach to promoting coordination across Government is required. The approach we are proposing should build on the successes and lessons learned from sectors with effective coordination systems. There should be more emphasis on the role of SWGs in developing relevant linkages and collaboration with other sectors. At the same time Government should review and improve coordination mechanisms in the central support sectors – Accountability, Public Sector Management, and Public Administration – with flexibility to ensure effective collaboration between relevant institutions on priority issues.

Figure 1: A New Approach to Coordination



In the above diagram (Figure 1) there is a new emphasis on the links between sectors symbolizing joined up Government while the central support sectors and MDAs work more closely together on priority issues according to their mandates.

For coordination to be effective it should be based on shared goals with clear linkages between the institutions concerned. Attempting to promote coordination where this does not exist is counterproductive. In this context it is suggested to separate Tourism from the Trade and Industry Sector.

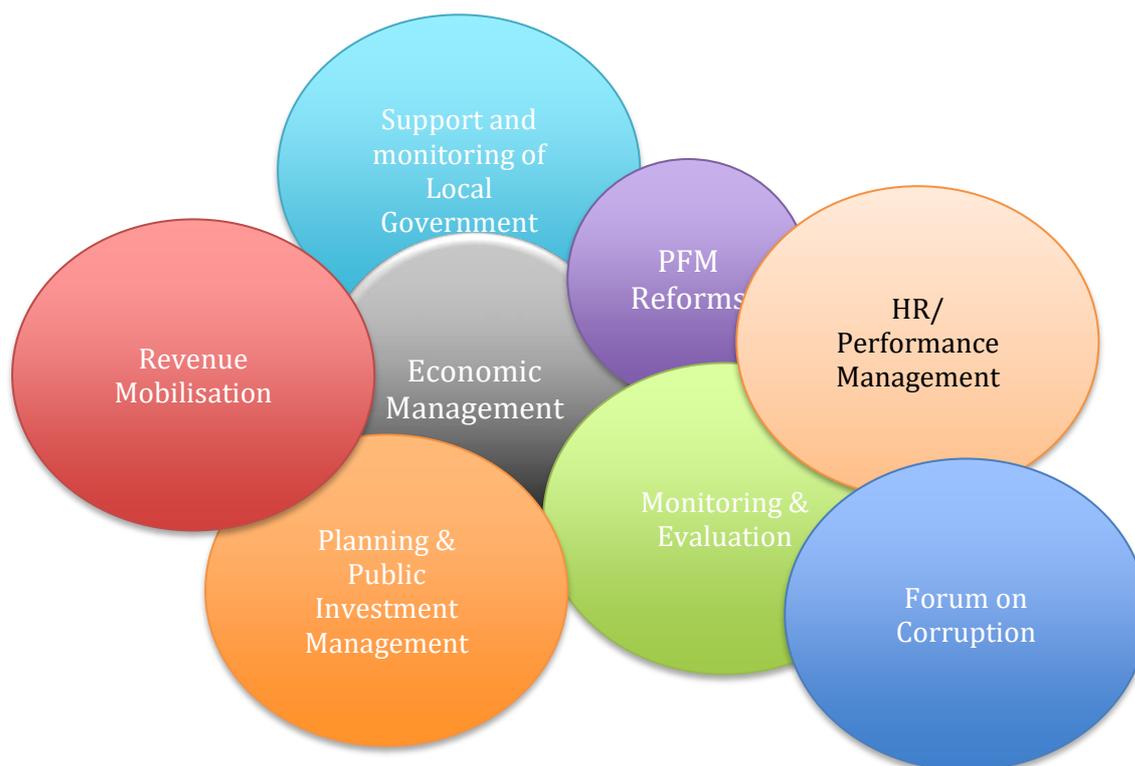
In order to promote this approach there must be incentives to encourage a culture of collaboration to improve the quality of services. This can be achieved through an assessment of collaboration qualities within performance appraisal and monitoring systems, recognizing and rewarding good performers. Government and Development partners should work together to build coordination capacity at sector level. With the transition to PBB the budget process should be reviewed to strengthen the role of SWGs in prioritizing and monitoring sector investments. This will provide an important incentive for coordination

For the central sectors, coordination should be built around agreed priorities, which will impact on improved services such as decentralization, PFM Reform, HR/performance management, audit and oversight, action against corruption, performance monitoring, public investment management, etc. (see Figure 2) Some of these coordination arrangements are already in place. More flexibility is required in

the approach to bring the relevant entities together to achieve the reforms necessary for improved public services. Consideration should be given as to how the current central support sectors are functioning in order to develop better arrangements for collaboration and to reduce the risk of wasteful and unproductive coordination mechanisms. Fixed sector groupings do not work effectively in meeting the coordination challenges at this level.

Political leadership will need to be engaged to support the new approach.

**Figure 2: Central Coordination based on priority issues – engaging relevant MDAs with shared goals.**



### 6.3 Central Coordination Systems

In order to drive this change through and strengthen the quality of coordination across Government, the Institutional Framework for Policy and Programme Implementation (IFPPI) should be updated (See Figure 3). In particular, the role of the Technical Implementation Coordination Committee (TICC) should be redefined to provide unified guidance to sectors, oversight of coordination structures, sector performance monitoring and streamlining of reporting systems. This Committee should be a much smaller group than currently presented, bringing together senior managers from MoFPED, NPA, MoPS, MoLG and State House under the chair of the PS of OPM. Its role should be:

- to monitor the performance of the various sectors,
- to promote cross-cutting priorities and policies at the sector level,
- to advise on issues for central coordination sectors,

- to promote intra sector linkages
- to identify challenges and constraints requiring higher level action
- to advise on investment priorities
- to set the agenda and act as Secretariat for the ICSC and PCC meetings
- to provide standard guidelines and streamline reporting requirements for SWGs

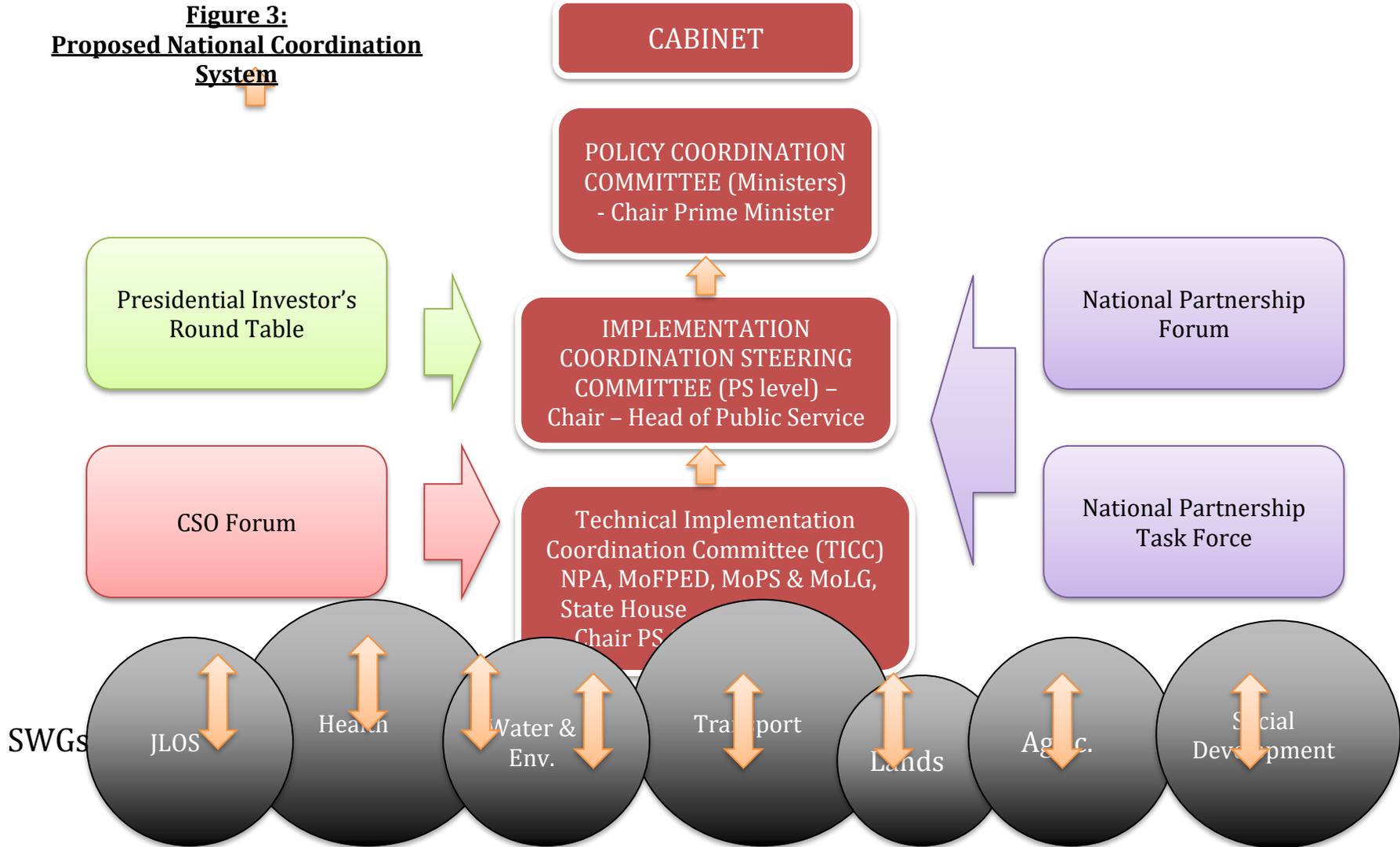
There are many potential efficiency and performance gains from establishing more effective coordination with more joined-up central support functions. As one example the arrangements for central support and monitoring of Local Government could be significantly enhanced through improved coordination of training/consultation events and joint monitoring of performance.

Technical Sub-groups, such as the Monitoring and Evaluation Committee, which already exists, will be required to support the work of the Committee. The National Partnership Forum and Task Force will play an important supporting role in directing development partner assistance to integrate aid effectiveness principles in the design of programmes and support sector coordination through DP Working Groups.

There are various options for the monitoring process under the TICC. The Office of the Prime Minister will need to ensure that all its Departments, in particular the Policy Coordination Department, the Monitoring Department and the new Delivery Unit, work together to support the TICC. The assigned officials from OPM, NPA and MoFPED to support sectors and attending SWG meetings, should work closer together in monitoring the performance of SWGs and agreeing areas where action is required. The performance monitoring tool developed for this assignment could be used as part of this process.

The TICC will be more effective when meetings are arranged with one or two sectors at a time. The advantage of consulting with two sectors would be the exchange of experience and the identification of potential linkages between sectors. The purpose of meetings with sectors would be to identify challenges and constraints affecting performance, to monitor progress of priority programmes and to agree on policy issues requiring higher-level policy decisions or action. The TICC should be able to hold monthly or bi-monthly meetings with sectors and overtime will gradually build up a good understanding of the progress and challenges facing sectors. Participation from sectors at these meetings should include Sector Coordinators, a representative from the lead MDA, the DP WG Chair, and one of the lead CSO representatives.

**Figure 3:**  
**Proposed National Coordination**  
**System**



## 6.4 Conceptual Approach to SWGs

It is important for those responsible for overseeing coordination to have a good understanding of how sector coordination develops in practice. Developing a Sector Wide Approach is a process, which takes time to evolve with costs as well as benefits. Ensuring that the right MDAs are grouped to work together in a sector is therefore critical to avoid frustration and waste of resources. Each sector is unique with specific challenges and characteristics. As such it is risky to prescribe how sectors should coordinate in terms of Committee structures and regularity of meetings. Some incentives will be required to promote coordination and to ensure that it goes beyond the minimum requirements for budgeting, planning and monitoring. The aim is to develop dynamic and outward looking institutions, which seek to build partnerships and coalitions within and across sectors to improve the quality of their services. Working towards shared goals within a sector can support the development of these skills.

## 6.5 Overcoming Barriers to Coordination

Experience has shown that there are numerous barriers to achieving effective coordination. The most common constraints include:

- Efforts to maintain or extend the range of responsibility of one's agency, department or section (mandates and internal politics)
- Efforts to gain or retain control over finances or budgets
- Different views or perspectives on the same problem
- Resistance due to accountability failures, which may be exposed
- Lack of awareness that another Department or MDA has an interest or expertise on an issue
- Formal constraints, such as ICT systems, which cannot be integrated.

In order to overcome these constraints Government needs to actively promote a culture of coordination and collaboration both within and across sectors. Some of the mechanisms that could help achieve this are as follows:

- Developing leaders' capacity to manage crosscutting issues, along with a culture of learning from mistakes and criticism. Career development should include experience in managing crosscutting programmes.
- Requiring sector plans to include meaningful action on crosscutting issues and identifying projects with other sectors.
- Resource allocations can facilitate collaboration by introducing resources for shared programmes, separate from MDAs budgets.
- HR appraisal systems should assess managers on their performance in managing joint programs, collaborating with other MDAs and managing crosscutting issues.

## 6.6 Recommendations To Government

- i. Review and update the 2003 National Coordination Framework (IFCPPI) with new arrangements for the membership and functions of the TICC (**ACTION: OPM**)

- ii. OPM should work with MoFPED, NPA, and MoPS through the TICC to strengthen the Sector Wide Approach and encouraging the sharing of good practice coordination arrangements. **(ACTION: TICC - OPM, MoFPED, NPA and MoPS)**
- iii. Review the arrangements for the central support SWGs (Accountability, Public Sector Management and Public Administration) to ensure collaboration is driven by shared goals. Introduce flexibility to promote coordination between relevant entities based on priority issues that will impact on improved service delivery. **(ACTION: OPM and TICC)**
- iv. Promote DP co-chairing arrangements for SWGs and Technical sub-groups, where appropriate. **(ACTION: OPM and TICC)**
- v. Limit creation of unnecessary parallel coordination systems, including a review of current structures, and consideration as to how these can be integrated within the national framework **(ACTION: OPM and TICC)**
- vi. Streamline reporting and monitoring to central agencies with links to NDPII and Programme Based Budgeting **(ACTION: OPM, MoFPED, and NPA – TICC)**
- vii. Provide resources for the coordination function of sector lead agencies **(ACTION: MOFPED and TICC)**
- viii. Strengthen action on aid effectiveness in the Partnership Forum and Task Force including participation from MoFPED - DARC, preferably at Director level **(ACTION: OPM and MoFPED)**
- ix. Review the role of SWG's in the budget process to strengthen incentives for MDA engagement in sector processes **(ACTION: MoFPED)**
- x. Improve the predictability of future budget forecasts and strengthen SWG capacity in multi-annual planning and budgeting **(ACTION: MoFPED)**
- xi. Pilot budgeting resources for shared programmes between MDAs with shared objectives **(ACTION: MoFPED)**
- xii. Include coordination and collaboration practice as a factor in senior managers' appraisal systems **(ACTION: MoPS)**
- xiii. Limit the creation of new agencies and authorities taking into account costs and coordination challenges **(ACTION: OPM, MoFPED, MoPS)**
- xiv. Review SWG configuration and mandate issues affecting Tourism, Trade and Industry, Water for Production, and the Police in JLOS and Security **(ACTION: OPM and TICC)**
- xv. Introduce a new forum for CSO partnership on development issues **(ACTION: OPM)**
- xvi. Involve the private sector in SWG activities to enrich inputs and challenge/invigorate the policy process **(ACTION:OPM).**
- xvii. Improve coordination of the timing of annual sector reviews to allow for cross participation, discussions and information sharing among related sectors. **(Action: OPM)**

## **6.7 Recommendations To Development Partners/ LDPG**

- i. Align DP working groups with Government Sectors and plan capacity support for the Sector coordination function. Encourage joint meetings with Government, where possible, to support capacity building in planning and problem solving.
- ii. Use the Partnership Forum to increase engagement with Government on aid effectiveness principles, including joint programming, joint TA and reviews, use of GoU systems where possible, and agreement on division of work. Promote these principles in DP working groups with active monitoring of progress.
- iii. Follow up on the 2015 Division of Labour (DoL) analysis to encourage balanced assistance across sectors and increased support for under-funded cross-cutting priorities impacting on service delivery, such as decentralization and human resource management. The DoL analysis may also need to be updated as some DPs have since then developed new programs e.g. Denmark is now getting out of the Water and Transport sectors.
- iv. Provide guidance on the role of DP working group chairs highlighting the institutional responsibility, including the engagement of Heads of Mission and Heads of Cooperation as needed. Actively build stronger relations between DP leads and SWGs.
- v. Support Aid Data sharing through DP working groups. Encourage working groups to maintain inventories of DP support to a sector and ensure uploading of the information onto the MoFPED Aid Management System.
- vi. Support coordination through the core GoU Sector approach and limit creation of parallel coordination systems.
- vii. Promote the use of technical experts to facilitate coordination and increase understanding of sector challenges in DP working groups. Funding for this technical work will need to be planned through consultation between DPs.
- viii. Manage the delivery of development assistance in a coordinated manner with humanitarian assistance to avoid working in silos.

## **6.8 Recommendations To Civil Society Organisations**

- i. Strengthen coordination with Government and increase capacity for constructive dialogue with SWGs
- ii. CSOs with a seat at SWGs should link with other CSOs and district networks for feedback on service delivery to support informed dialogue
- iii. Increase information on CSOs' activities and integration with SWG reporting and information systems.

## 6.9 Matrix of Recommendations for Improving Coordination in Government

Issue	Implication	Recommendation(s)	Expected Outcomes	Responsible Party
<ul style="list-style-type: none"> <li>DP resources managed outside the national planning and budgeting process.</li> </ul>	<ul style="list-style-type: none"> <li>SWGs do not have a say or input in some of the activities taking place in their areas.</li> <li>Problem of multiple implementing partners and projects with limited progress on joint programming, reviews, and technical support</li> </ul>	<ul style="list-style-type: none"> <li>Revert to budget support system or plan projects jointly within the SWaP. Use the National Partnership Forum (NPF) for dialogue with Development Partners to agree action on shared priorities.</li> </ul>	<ul style="list-style-type: none"> <li>Alignment of shared priorities.</li> <li>Improved coordination</li> </ul>	<ul style="list-style-type: none"> <li>OPM</li> <li>DPs</li> <li>MOFPED</li> <li>MDAs</li> </ul>
<ul style="list-style-type: none"> <li>Division of MDAs into SWGs has remained broadly static since the adoption of the sector approach in the late 1990s.</li> </ul>	<ul style="list-style-type: none"> <li>The configuration of central support MDAs into fixed Sector groups for coordination creates particular problems due to the diverse objectives at this level and the need for linkages to be created around priority issues sectors.</li> </ul>	<ul style="list-style-type: none"> <li>Review configuration of SWGs to align with NDP II.</li> <li>Review and improve coordination mechanisms in the central support sectors – Accountability, Public Sector Management, and Public Administration</li> </ul>	<ul style="list-style-type: none"> <li>More emphasis on the role of SWGs in developing relevant linkages and collaboration with other sectors</li> <li>OPM, MOFPED and NPA to formed into congenit monitoring and coordination platform</li> </ul>	<ul style="list-style-type: none"> <li>OPM</li> <li>MOFPED</li> <li>NPA</li> </ul>
<ul style="list-style-type: none"> <li>The current MTEF does not provide predictability for future resource allocations to MDAs and sectors find it difficult to plan in this situation.</li> </ul>	<ul style="list-style-type: none"> <li>Poor stakeholder involvement due to lack of influence over resource allocations</li> <li>Budget process does not provide incentives for MDAs to participate in joint sector planning, budgeting and coordination</li> <li>Weak multi-annual budgeting and ineffective planning process</li> </ul>	<ul style="list-style-type: none"> <li>Transition to Programmed Based Budgeting is an opportunity to review the role of SWG's in prioritizing sector investments.</li> </ul>	<ul style="list-style-type: none"> <li>Enhanced budget credibility, accountability and improved multi-annual estimates.</li> </ul>	<ul style="list-style-type: none"> <li>OPM</li> <li>DPs</li> <li>MOFPED</li> <li>MDAs</li> </ul>
<ul style="list-style-type: none"> <li>Sector Coordinators are not always aware of NPA "Guidelines on Sector Development Planning"</li> </ul>	<ul style="list-style-type: none"> <li>Failure to align sector plans to national development objectives</li> </ul>	<ul style="list-style-type: none"> <li>Ensure that the requirements in the guidelines are based on principles of good coordination and allow for flexibility to meet specific</li> </ul>	<ul style="list-style-type: none"> <li>Increased awareness and response of higher level policy makers</li> </ul>	<ul style="list-style-type: none"> <li>NPA</li> <li>OPM</li> <li>MDAs</li> </ul>

Issue	Implication	Recommendation(s)	Expected Outcomes	Responsible Party
		characteristics and needs of the different sectors. <ul style="list-style-type: none"> <li>• Improve mechanisms for identifying and raising crosscutting constraints affecting sector performance.</li> </ul>		
<ul style="list-style-type: none"> <li>• Mechanisms for identifying and raising crosscutting constraints affecting sector performance not functional</li> </ul>	<ul style="list-style-type: none"> <li>• Current TICC membership includes representative from all Ministries, is too large to be effective, and the terms of reference need to be brought up to date</li> </ul>	<ul style="list-style-type: none"> <li>• The Technical Implementation Coordination Committee (TICC) needs to play a key role in this process of identifying issues, liaising with sectors and setting the agenda for higher-level decision-makers.</li> </ul>	<ul style="list-style-type: none"> <li>• Faster resolution of crosscutting constraints</li> <li>• Shared knowledge</li> </ul>	<ul style="list-style-type: none"> <li>• NPA</li> <li>• OPM</li> <li>• DPs</li> </ul>
<ul style="list-style-type: none"> <li>• Few sector or sub-sectors have established mechanisms for regular external reviews.</li> </ul>	<ul style="list-style-type: none"> <li>• No objective feedback on progress and identifying emerging issues</li> </ul>	<ul style="list-style-type: none"> <li>• Government, with support from Development Partners, should actively promote mechanisms to obtain increased feedback on service delivery</li> </ul>	<ul style="list-style-type: none"> <li>• Better feedback on progress and identification of emerging issues</li> <li>• Enhanced information on service delivery challenges</li> </ul>	<ul style="list-style-type: none"> <li>• OPM</li> <li>• NPA</li> <li>• DPs</li> </ul>
<ul style="list-style-type: none"> <li>• Lack of shared objectives: multiple sector objectives with varying relevance to sector MDAs tend to constrain the coordination process.</li> </ul>	<ul style="list-style-type: none"> <li>• Weak coordination without a purpose, and commitment.</li> </ul>	<ul style="list-style-type: none"> <li>• Define coordination objectives upfront and obtain commitment from MDAs through a sign on</li> </ul>	<ul style="list-style-type: none"> <li>• Standardized objectives and consensus building</li> <li>• Enhanced principle of 'joined government'</li> </ul>	<ul style="list-style-type: none"> <li>• OPM</li> <li>• NPA</li> <li>• MDAs</li> </ul>
<ul style="list-style-type: none"> <li>• Poor leadership and commitment from the lead Ministry</li> </ul>	<ul style="list-style-type: none"> <li>• Ineffective coordination due to lack of commitment and engagement of the lead Ministry at both political and administrative levels</li> </ul>	<ul style="list-style-type: none"> <li>• Improved motivation of leaders through system of rewards and penalties and training</li> </ul>	<ul style="list-style-type: none"> <li>• More engaged leadership</li> </ul>	<ul style="list-style-type: none"> <li>• MoPS</li> <li>• OPM</li> </ul>
<ul style="list-style-type: none"> <li>• Lack of Funding for SWG coordination activities. Many sectors have limited access to</li> </ul>	<ul style="list-style-type: none"> <li>• Little or no coordination and monitoring capacity in many SWG and its organs.</li> </ul>	<ul style="list-style-type: none"> <li>• A specific budget for M&amp;E activities must be provided to fund SWG coordination</li> </ul>	<ul style="list-style-type: none"> <li>• Effective communication systems and capacity for timely production of minutes of meetings, along with monitoring and follow up of agreed actions.</li> </ul>	<ul style="list-style-type: none"> <li>• MOFPED</li> <li>• DPs</li> </ul>

<b>Issue</b>	<b>Implication</b>	<b>Recommendation(s)</b>	<b>Expected Outcomes</b>	<b>Responsible Party</b>
resources to support this function				
<ul style="list-style-type: none"> <li>Multiple reporting frameworks, which lead to duplication of work processes</li> </ul>	<ul style="list-style-type: none"> <li>Disjointed and unverifiable reports collected at different coordination points</li> </ul>	<ul style="list-style-type: none"> <li>A single reporting framework should be put in place for OPM, MOFPED and NPA</li> </ul>	<ul style="list-style-type: none"> <li>Improved data and information quality</li> <li>Improved information comparability/analyses</li> <li>Better resource use</li> </ul>	<ul style="list-style-type: none"> <li>OPM</li> <li>MOFPED</li> <li>NPA</li> </ul>
<ul style="list-style-type: none"> <li>Lack of Development Partner support for coordination due to reversion to project based mode of funding</li> </ul>	<ul style="list-style-type: none"> <li>Partial reporting and coordination in some SWGs where resources for coordination and monitoring have been provided</li> </ul>	<ul style="list-style-type: none"> <li>Development Partners should assist in supporting and building capacity for sector coordination</li> </ul>	<ul style="list-style-type: none"> <li>Ensured coordination of all activities</li> </ul>	<ul style="list-style-type: none"> <li>DPs</li> <li>MOFPED</li> <li>OPM</li> </ul>
<ul style="list-style-type: none"> <li>Lack of standard benchmarks for coordination</li> </ul>	<ul style="list-style-type: none"> <li>Standards of performance are arbitrary and not comparable</li> </ul>	<ul style="list-style-type: none"> <li>Adopt international frameworks for coordination with GoU, DPs and other partners signing up to a written memoranda (Compacts) such as IHPP and PEFA</li> </ul>	<ul style="list-style-type: none"> <li>International frameworks and processes can have a positive influence on coordination.</li> </ul>	<ul style="list-style-type: none"> <li>NPA</li> <li>OPM</li> <li>MOFPED</li> </ul>

## **7. Conclusion and Way Forward**

### **7.1 Short-term – Next Steps**

The following steps are proposed in the coming six months to validate the findings from the review, build consensus on the way forward, and agree on medium term action to strengthen sector and national coordination systems:

- i. Arrange a series of three workshops with the sector groupings as categorized in Annex 2 covering service delivery SWGs (7), Infrastructure SWGs (5), and central support sectors (3), to present the findings from this study. Key representatives from each of the SWGs should be invited including sector coordinators, lead agencies, one or two selected MDAs, and DP and CSO representatives. The purpose of the workshop will be to get feedback from participants on the findings, conclusions and recommendations and build consensus on the way forward. OPM, MoFPED and NPA should also participate in all three workshop.
- ii. Based on the findings from the workshops, prepare updated guidelines for Sector and National Coordination systems, including the IFCPPI. The updated guidelines may be drafted with support from a consultant based on existing guidelines issued by OPM, MoFPED and NPA with adjustments from the workshop recommendations. This should include any proposed reconfiguration of SWGs. The new Guidelines should be endorsed by the TICC, ICSC and Cabinet before dissemination through a second series of workshops.
- iii. Develop a more detailed proposal for support to sector and national coordination systems with inputs from the sector validation workshops from OPM, MoFPED and NPA.

The estimated cost estimate for the short-term actions detailed above is as follows:

No.	Action	Inputs	Unit	Qty	Rate (USD)	Total
1	Three validation workshops with SWGs	TA - facilitation & reporting	working day	10	750	7,500
		workshops venue / catering	day	3	2,500	7,500
2	Updated Guidelines for Sector and National Coordination	TA	working day	20	750	15,000
	Printing Guidelines	Printing costs	copy	500	10	5,000
3	Dissemination workshops	TA - facilitation	working day	6	750	4,500
		workshops venue / catering	day	3	2,500	7,500
4	Drafting detailed proposal for support to sector and national coordination	TA	working day	10	750	7,500
	<b>TOTAL</b>					<b>54,500</b>

## 7.2 Medium-Term Support to Strengthen National Coordination Systems

In order to implement the new approach to coordination, and also promote aid effectiveness, it is proposed to establish a support mechanism under the Partnership Task Force with the following components:

- a) Establish a demand driven fund for actions to support sector coordination and aid effectiveness activities based on proposals submitted by SWGs. Proposals could include planning facilitation, external reviews, DP mapping, analytical research on sector challenges, amongst others. A criteria will need to be developed to assess submissions, with final decision on funding support by the Partnership Task Force.
- b) Supply driven actions to build sector coordination capacity. This could include the drafting of unified guidelines combining the requirements for planning, budgeting and monitoring; design of streamlined reporting systems and formats; training events for sector coordinators; data collection on aid effectiveness issues; monitoring of sector progress, etc.
- c) The new approach will be supported with medium term technical assistance:
  - to assist OPM in building new coordination monitoring systems,
  - to provide guidance in establishing the TICC as an effective mechanism to drive the coordination function,
  - to build capacity for the coordination function through on-the-job support
  - to assist in implementing the demand driven fund, providing guidance and support to SWGs in developing proposals, and developing criteria for assessment process.

The technical support is proposed to provide one long-term expert for a two-year period who should bring extensive experience in sector wide approaches and national coordination systems.

- d) Recurrent costs for coordination as a contribution from GoU. The Taskforce can provide guidance to ensure efficient use of limited funds and equitable approaches across sectors

Budget Estimate

Components:	Estimated cost (USD)
Demand driven fund	1,250,000
Coordination support action	500,000
Technical Support	250,000
<b>TOTAL</b>	<b>2,000,000</b>

### Logframe: Support to National Coordination and Aid Effectiveness

Intervention Logic	Performance Indicator	Means of verification	Risks and Assumptions
Overall goal: To improve performance of sector programmes	Increase in achievement of SWG outcome targets	GAPR	
Purpose: To improve the quality of sector planning, implementation and monitoring systems	Improved quality of SWG annual reports and reviews	SWG Reports jointly assessed by NPA, OPM and MoFPED	Increased role of SWG's in influence sector budget priorities
Result 1: Strengthened central guidance, support and monitoring of sector programmes	Dissemination of SWG guidelines issued by IFCPPI.	Publication of Guidelines and training evaluation reports	Willingness of OPM, MoFPED and NPA senior managers to work together on guidance and monitoring of SWGs.
Result 2: More effective coordination arrangements for the management and monitoring of sector programmes	Evidence of improved coordination practices in Sectors.	Assessment of SWG practices against baseline	Committed leadership of SWGs Provision of adequate resources for the coordination function
Result 3: Increased alignment and harmonization of development partner programmes with sector strategies	Reduced number of bi-lateral projects, TA and reviews. Increase in joint DP actions and use of GoU systems	Aid effectiveness monitoring reports – aid management system reports.	Willingness of DPs to adjust their programming practices.
Activities:	Description		Cost (USD)
<i>Result 1 - Strengthened central guidance, support and monitoring of sector programmes</i>	Demand based fund for coordination actions and aid effectiveness by SWGs		1,250,000
1.1 Update the framework for coordination of policy and programme Implementation with new arrangements for the TICC	Funding for training events, short term consultancies, consultation workshops, etc.		500,000
1.2 Draft and issue guidelines for the role SWGs with inputs from MoFPED, NPA and OPM.	Technical support		250,000

Activities:	Description	Cost (USD)
1.3 TICC meetings with SWG coordinators and key partners to monitor progress of sectors and identify issues for action by the ICSC	<b>Total</b>	<b>2,000,000</b>
1.4 Design of systems to streamline reporting to central agencies and share data and analysis of sector performance		
<i>Result Two - More effective coordination arrangements for the management and monitoring of sector programmes</i>		
2.1 Review and consultation to reach agreement on improved configuration of selected SWGs including the central support sectors		
2.2 Training for sector coordinators on good practice arrangements for SWGs		
2.3 Targeted assistance to review and strengthen coordination systems.		
2.4 Provision of resources and support to SWGs for joint action on planning and monitoring actions		
<i>Result 3: Increased alignment and harmonization of development partner programmes with sector strategies</i>		
3.1 Design and introduction of monitoring mechanisms for DP aid effectiveness commitments at sector		
3.2 Strengthen LDPG Secretariat capacity in aid effectiveness support and monitoring		

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3.3 Capacity building for SWG coordinators, MDAs, and external stakeholders to access and analyse reports from the aid management system.		
3.4 Review and align the role of DP WG's with GoU SWGs and update standard ToR and guidelines for working groups		
3.5 Strengthen capacity of selected SWGs and MDAs in aid management and monitoring aid effectiveness commitments		
3.6 Support for actions by SWGs to strengthen aid effectiveness, including donor mapping, design of joint support arrangements		

## Annex 1: Performance Assessment of SWGs

### A1. Health Sector

#### 1. Sector Plan

Score	Minimum Requirements
A (4)	Current strategic sector plan which is aligned to NDP – II Prepared with input and agreement from key stakeholders (DPs, CSO, private sector) and available on the internet, with implementation timeframe.

A new Health Sector Development Plan (HSDP) covering the period 2015/16 to 2019/20 was launched in September 2015. The strategy is aligned with NDPII and the draft plans were used to engage a range of stakeholders, including DPs, CSOs, the private sector and local governments. The draft plan was also subject to an external review by a team of specialists. The main issues raised by the external review were the feasibility of the plan in view of funding constraints, as well as the large number of priority interventions, undermining a clear strategic direction. There was some adjustment to the plan based on this feedback. The plan is available on the Ministry of Health web site.

#### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
C (2)	Multi-year budget produced

A multi-year budget is included in the HSDP, which takes account of funding from DPs and the private sector. However, there is need to improve the budget section with better analysis of the funding challenges, taking into account the declining % share of budget allocations over the past decade and the numerous disease specific vertical DP projects. The budget should be a realistic projection of financing, and can be presented to attract development partner support with description of key investment projects for the sector. Once a good multi-year budget has been prepared it should facilitate consultation on financing with MoFPED and DPs. The emphasis on promoting harmonized DP funding and technical support mechanisms should be supported.

#### 3. Results Monitoring Framework

Score	Minimum Requirements
A (4)	Same as required for “B” + with annual targets for three future years, including a system for tracking key outputs, and analysis of results in sector reports, with information available to the public.

There is a comprehensive monitoring results framework in the plan including outcome level indicators with 5 year targets and output level indicators linked to specific objectives with mid term and end of period targets. Sector Annual Reports include information on indicator progress with analysis of the results. This includes a traffic light system to show where targets have not been met and information on output level performance. The external review of HSDP noted the quality of health sector M&E systems including reporting and data sharing. However, there is still need to improve the timeliness and quality of data from the District Health Information System, which

is the basis for much of the performance. UBOS provides long-term independent indicators of progress. The information system could also be improved with inclusion of the private for profit facilities. There are plans to strengthen coordination of M&E systems with a new M&E unit at the national level.

#### **4. Annual Review Meetings**

Score	Minimum Requirements
A (4)	Annual review meetings held annually for past three years, with high level chairing at Permanent Secretary level (or equivalent); with participation of a range of stakeholders (DPs, Civil Society groups, private sector entities); and, reporting and tracking of key decisions taken and information on annual reviews made available to the public.

Joint annual review meetings are held every year at the end of September with a range of stakeholders including DPs, CSOs and private sector bodies. Annual reviews are chaired at Minister and PS level with 200 to 300 people attending including from Local Government. An Aide Memoire is produced after the JRM detailing the agreed actions, which are then followed up at HPAC meetings. The Ministry is currently considering changing the review process to reduce the numbers. The Joint Review In 2016, the sector trialed the use of regional assemblies to help define the service delivery issues and challenges at the local level to feed into the annual reviews. It is hoped to reduce the participation from the local level at future reviews to make them more effective.

#### **5. Technical level meetings**

Score	Minimum Requirements
A (4)	Technical level meetings include a range of internal and several external stakeholders, and there are a number of sub-groups for follow up of implementation/ specific tasks. Meetings take place at least quarterly with Chair at Director level or above.

The Health Policy Advisor Committee (HPAC) is held every first Wednesday of the month with representation from all MoH Heads of Department. The meetings are chaired by the PS MoH with the DP lead as co-chair. The HPAC plays the same role as a Sector Working Group in reviewing policies and the strategic direction of the sector and includes representation from sector entities, CSOs, Private Health providers, and MoFPED. There are 14 Technical Working Groups (TWGs), which oversee components of the programme. The TWGs are supposed to meet monthly but in practice this has been difficult to achieve. The Chairs of TWG are at Commissioner or Director level. It has recently been agreed to assign interested DPs or CSOs as co-chairs of TWGs to ensure that they function effectively. MoH is currently reviewing the need for monthly meetings of TWGs on a case by case basis. As a standard, TWGs will be required to sit and report to top management and HPAC on a monthly basis. However, special consideration will be made for some TWGs (such as the Sector Budget TWG) that may need to meet on a bi-monthly or quarterly basis.

The new sector plan makes reference to concerns as to the effectiveness of the current coordination structures, which are described as being “moribund are largely

moribund, and not providing the needed forums for sector engagement.” The plan suggest that this is leading to some partners bypassing the framework leading to programmes that are not harmonized with the sector approach.

## 6. Communication and Coordination

Score	Minimum Requirements
A (4)	Secretariat for sector in place, with contact/ communication system for sector institutions for coordination of meetings and reporting; including communication with a range of external stakeholders (DPs, CSOs, private sector); timely information for meetings (at least 1 week), and timely minutes of meetings (within 1 month); and minutes include follow up of agreed actions, disseminated to all participants/ stakeholders.

The role of Secretariat is managed by the Planning Department in MoH. The mechanisms for communication of meetings are well established through email. Having a fixed monthly date for meeting has assisted with maintaining the coordination system. Minutes of the HPAC meeting are disseminated in a timely manner and there is a matrix for follow up of agreed actions. Policy information to be discussed at meeting is disseminated in advance.

## 7. Reporting

Score	Minimum Requirements
A (4)	Annual sector performance reports have been produced for the past three financial years, within 3 months of the year-end, including in-year progress reports, and reports are available to the public on the internet. The reports contain comprehensive information on outputs and outcomes with progress of key indicators.

The Annual Health Sector Reports are produced by September in advance of the annual review meetings for the past three years. The reports are made available on the internet and provide a comprehensive review of progress in the sector. The reports include analysis of outcome level indicators as well as outputs from the sector. The report includes a section on the performance of the Compact Agreement with monitoring indicators linked to aid effectiveness. Other innovations include ranking of Districts and hospitals for delivery of health service based on a set of indicators, and a table disaggregation of data by gender in annex.

## 8. Sector ToR, Calendar and Work plan

Score	Minimum Requirements
B (3)	The SWG has an approved ToR and an annual work plan

The sector has guidelines for governance and management structures dated January 2013, which includes Terms of Reference for all the sector committees including HPAC and TWGs, with information on chairing arrangements and representation. The role of TWGs is currently being reviewed to include DP or CSO co-chairs. There is

also an approved calendar of events for the sector, fixed dates for HPAC (SWG) meetings and annual reviews always held at the end of September/ early October.

## 9. External reviews / evaluations

Score	Minimum Requirements
C (2)	There has been at least one external review of the sector programme in the past two years

There was a mid-term review of the last Health Sector Plan in 2013, but there was no final evaluation. There are plans for an external review of the current plan in 2018. There was an external review of quality assurance system in 2016 and also a review of the new draft Health Sector Plan.

The sector has developed some innovative mechanism to obtain feedback on client satisfaction of services including an anonymous hotline and the use of SMS messaging using the U-Report systems established by UNICEF.

**Overall score: 31/36 = 86%**

### **General Comments:**

The health sector is unique in have an international component guiding the coordination framework. Uganda joined the International Health Partnership Plus (IHP+) programme in 2009, which promotes aid effectiveness principles, focusing on the quality of Government-led national plans, mechanisms for dialogue and a common results framework. All partners in the health sector sign up to a Compact, setting out agreed principles and arrangements for coordination, which covers the same period as the HDP. There is also strong emphasis on mutual accountability. The document is signed by DPs, CSOs and the private sector. This support has helped to strengthen the quality of coordination in the sector and suggests that setting out guiding principles and standards for sector programmes can have a positive impact. The framework is also very helpful in being health specific, and The IHP+ has supported the external reviews of the 2010-2015 HDP as well as the new HDP, resulting in improved quality of sector plans.

MoH has made an effort to improve the effectiveness of coordination systems over the past two years. The agenda for the HPAC meetings are now focused on 2 or 3 items with adequate time for discussion and documents shared in advance of meetings. The DPs appreciate the co-chairing arrangement for HPAC meetings, and the opportunity for open and frank discussion between all partners. Meetings start with statements from the Chair and Co-Chair, which allow both MoH and DPs to raise any concerns or issues affecting the sector. CSOs and the private sector contribute to constructive dialogue.

There is an ongoing effort to have more regular meetings of Technical Working Groups. This includes a new initiative to create DP or CSO co-chairs for the TWGs. It may be better to press for TWG meetings to occur at least once a quarter rather than monthly, which may be unnecessary for many groups.

Performance monitoring has improved over the last 2 to 3 years with the introduction of the District Health Information System, with input at the District level, to feed into the national Health Information System. This system provides numerous opportunities for analysis of performance, such as comparing the performance of facilities and districts. There is need to continue strengthening the quality of data, timely updating,

improved supervision, and better analysis and communication of findings. Efforts should also be taken to improve capacity for monitoring and data management in Districts, and help to ensure that data is analysed and used at this level.

In 2015 the sector introduced regional workshops on a pilot basis with 7 or 8 Districts to provide feedback and recommendations on service delivery constraints to feed into the Joint Annual Review (JAR) Meeting. This replaced the joint field visits, which had previously been part of the annual review process. There was general agreement that the two regional workshops were productive in highlighting problems and identifying solutions, with useful input for the JRM. Whilst the Annual Review meetings are useful in bringing together a wide range of stakeholders, the number of participants (300-400), make the meetings difficult to control. There are plans to consider reducing participation and institutionalise regional workshops to cater for District level input. The Aide Memoire produced for the last JRM had 29 priority actions for the coming year. It may be helpful to try and identify a few core priority reforms for regular tracking at the HPAC level, as follow up on agreed actions has not always been very effective.

One of the major challenges for the sector is the fragmentation of DP support as there is currently no joint funding system in place. DPs are aware of this problem and there have been discussions with MoH on introducing a joint funding mechanism, but progress on this has been slow. The sector has had serious funding constraints for implementation of its plans over the past decade, with a declining share of the budget, so efficient management of resources is critical. The Ministry of Health needs to improve its analysis of realistic costing for health services, broken down by facility, in order to highlight the limitations of budget allocations, in particular at the District level. Ministry of Health should make a better case for joint DP funding with a continued emphasis on improved public finance management systems in the sector. The recent changes to the allocation formula for Districts, could have serious consequences for some hard to reach areas, which seem to be receiving reduced funding.

Whilst coordination within the sector has improved there is need to strengthen the linkages with other sectors/MDAs which have an impact on health, such as education, agriculture, water & sanitation. This issue is a major challenge for the sector, without which further progress on health indicators will be problematic.

MoH should maintain its commitment to transparency and dialogue in order to encourage more coherent DP support to the sector.

It was noted that MoH has limited influence over budget allocations to entities in the sector, such as the Blood Transfusions Service (UBTS). There is need to strengthen the leadership of the sector by giving greater authority to the Ministry in directing sector budget allocations, and monitoring performance and projects.

**Recommendations:**

- i. DPs should work on joint programming and technical support with increased use of GoU systems where possible.
- ii. The sector should consider undertaking external reviews of sector performance every 4 to 5 years with the focus on different aspect and priorities for the sector.
- iii. The DP working group should maintain an inventory of funding and projects to the sector and also ensure that the data is entered in the aid management system.

- iv. The Sector Coordination team should review the role and regularity of meetings for technical working groups.

## **A2. JLOS Sector**

### **1. Sector Plan**

Score	Minimum Requirements
A (4)	Current strategic sector plan, which is aligned to NDP II, prepared with input and agreement from key stakeholders (DPs, CSO, private sector), and available on the internet, with implementation timeframe.

The JLOS Sector is completing its 3rd Sector Investment Plan (SIP III) for the period 2012-13 to 2016-17, which is available on the JLOS web site. Whilst this plan was prepared before the NDPII, a recent MTR confirmed that the NDP objectives reflect those in the SIP III. DPs are concerned that the current sector plan does not cover all the activities of the sector. A new plan is currently being prepared for the period 2017-2018 to 2019-2020, and should be adapted to reflect the objectives in NDPII. The first sector plan was prepared in 2001 with support from a consultant. With subsequent plans there has been increasing levels of ownership by the Sector with technical assistance shifting to facilitation of the planning process and external reviews of progress. The importance of strengthening linkages with other sectors, in particular the anti-corruption institutions, has been highlighted in the SIP III Mid-Term Review. There are concerns from some DPs regarding the level of consultation in preparing the new strategic plan. According to the JLOS Secretariat they are first working on developing a draft plan, which will soon be presented to other stakeholders including DPs and CSOs for their input. There is need for increased dialogue between partners to ensure full ownership and commitment by all stakeholders.

### **2. Multi-year Budget (MTEF)**

Score	Minimum Requirements
C (2)	Multi-year budget produced

There is a basic multi-annual budget in the SIP III with estimated DP contributions, but in practice the budgets are planned on a one-year basis. There is need to strengthen multi-annual budget planning and annual tracking and updating of the overall investment programme. There has been a notable decline in development partner funding to JLOS over the past three years. One positive outcome has been an increase in Government contributions to the sector investment plan to make up for the shortfall. There should be for more reflection in the sector on the financing challenges. The Mid-Term review notes importance in improving transparency of funding allocations within the sector and also the need for improved allocations for resources targeting outcome 1, strengthen policy and legal framework, and 3, observance of human rights and accountability, as the emphasis in the past has been on Outcome 2, access to JLOS services. There are some concerns that budget allocations do not always reflect sector priorities.

### 3. Results Monitoring Framework

Score	Minimum Requirements
B (3)	Sector results monitoring framework in place, including a selection of key outcome indicators, agreed with external stakeholders, linked to sector objectives and being reported on at least annually

There is a performance monitoring framework with follow up reporting in the JLOS annual reports, which are available on the internet. Reports include both outcome and output level indicators. Future reporting could be strengthened with systematic inclusion of future targets based on consultation with stakeholders. Reporting could also be improved with a consolidated table of high-level outcome/impact indicators and key output measures for ease of reference. The SIP III Mid Term Review (2016) highlights the need for continued effort to improve the quality of indicators with clear definition, linkage with objectives, data collection, baselines monitoring and reporting systems. More effective data management systems would help track sector progress.

### 4. Annual Review Meetings

Score	Minimum Requirements
B (3)	Annual review meetings held annually for past three years, with high level chairing at Permanent Secretary level (or equivalent) and participation of some interested stakeholders

There are Joint Annual Reviews Meetings and semi-annual technical review meetings, which have been held regularly over the past decade. Annual meetings are in October / November and semi-annual meetings are in February. The Joint Annual Reviews have a range of participants from DPs, CSOs, LGs and other sector institutions. An Aide Memoire is produced after the annual review meeting with information on the speeches and presentations. Transparency could be improved by making the Aide Memoire available on the internet. There is also a concern from some DPs that the system of agreeing and tracking undertakings from the Annual Reviews has been phased out. However, it should be noted that it was the DPs, who requested that undertakings be dropped and emphasis be placed on the entire SIP outcome. Other issues that informed the decision to drop identifying “undertakings” were instances where the undertakings were not achieved and yet the sector performance progress was satisfactory. The agreed undertakings were sometimes high priorities for the DPs, but not necessarily that high for the JLOS institutions.

### 5. Technical level meetings

Score	Minimum Requirements
A (4)	Technical level meetings include a range of internal and several external stakeholders, and there are a number of sub-groups for follow up of implementation/ specific tasks.

JLOS has a functioning Sector Technical Working Group and multiple sub-groups dealing with specific thematic areas, which meet regularly. The TWG and sub-groups have representation from DPs and CSOs. DPs have assigned representation amongst their members to participate in specific working groups, depending on their interest

areas and capacity. A significant innovation by JLOS is the introduction of Regional and District level coordination committees to promote better collaboration of sector institutions at a decentralized level. According the MTR, these sub-national coordination systems are functioning well and in some cases work better than coordination at the national level. One of the recommendations of the SIP III MTR is to “review the institutional linkages and mandates of JLOS coordination structures to strengthen participation, foster intra-sectoral cohesion, and enhance performance with regard to coordinated delivery of JLOS services. Key areas of focus should include: Reviewing the guidelines and operational tools of the JLOS Steering Committee, Technical Committee and Working Groups to promote rotational, democratic leadership of the committees/platforms.” This suggests that there is room for improving coordination systems at the technical level. The MTR notes that leadership and influence in decision-making is fairly centralised causing some resentment amongst MDAs.

## 6. Communication and Coordination

Score	Minimum Requirements
C (2)	Secretariat for sector in place, with contact/ communication system for sector institutions for coordination of meetings and reporting

The Secretariat is well established with a team of six advisers, who are funded jointly by DPs and GoU under the JLOS budget. The Secretariat report that communication is well established and information sent in hard copy and by email to the relevant parties. However there are concerns about late notices for some of the meetings and there is need to improve and ensure that notices are sent in time. . The Secretariat claimed that the timing of meetings is planned jointly with DPs, but according to DPs this is not the current practice. The SIP III Mid Term Review reports on concerns that the Secretariat is seen to be too closely associated with the MoJ&CA, and tends to report to the Solicitor General rather than the JLOS Technical Committee. There are calls to introduce rotational chairing of the Steering Committee, due to perceptions of exclusion from key decisions by some stakeholders. One of the recommendations of the SIPIII MTR is to: “Ensure that the JLOS Secretariat becomes a more effective and sustainable institutional sector coordination mechanism. A key activity is to facilitate and ensure that the Technical Advisors at JLOS Secretariat facilitate informed policy dialogue and action in the JLOS institutions around their respective thematic areas.”

## 7. Reporting

Score	Minimum Requirements
B (3)	Annual sector performance reports are produced within 6 months of the year-end, and disseminated to sector participants and stakeholders including some external stakeholders. The report contains comprehensive information on the outputs from the sector.

JLOS annual reports are comprehensive and released within 5 months from the year-end. They are available to the public on the JLOS web site. The presentation of key indicators could be improved.

## 8. Sector ToR, Calendar and Workplan

Score	Minimum Requirements
B (3)	The SWG has an approved ToR and an annual workplan

The sector has an approved annual work plan that is agreed upon by all the sector institutions at the Sector Budget working group. However, the current work plan is not available on the web site. The Sector BFP, work plan and reports are coordinated and discussed at a predetermined time depending on the national budget cycle. Approved Terms of Reference for the various committees are on the web site and in the SIP III.

## 9. External reviews / evaluations

Score	Minimum Requirements
B (3)	There has been more than one external review over the past two years, with recommendations that have been followed up at sector meetings

There was a Mid Term Review of SIP III in 2016. This is being used to guide the drafting of SIP IV. Sweden funded a review of justice systems in Uganda: “Justice Needs in Uganda” (HiiL, 2016), which provides additional insights into the challenges for the sector. The MTR has a wealth of analysis and recommendations, which need to be prioritized and agreed between sector stakeholders to ensure that the feedback is put to good use.

There are also regular joint field visits with DPs at least twice a year to review progress of the programme, which then lead to joint reports with recommendations. The process of follow up on findings and recommendations could be improved..

**Overall score: 27/36 = 75%**

### General Comments:

The JLOS sector was formed in 2000 with the first Sector Investment plan supported by joint development partner funding. The sector is challenging as it is made up of 18 institutions with diverse mandates. JLOS has been successful in bringing together its members by focusing on institutional responsibility and inter-linkages as part of the justice, law and order chain. The provision of development partner funding has been an important facilitator in development of the sector.

The sector is an example of good cooperation in a complex sector, with practices and experience that could be useful for other sectors such as Accountability and Public Sector Management. However, as with all sector processes, there are areas where the quality and dynamics of sector coordination could be improved, and continuous effort is required to ensure effective engagement with all stakeholders.

The sector benefits from good leadership from the Chief Justice, who has encouraged openness to criticism and frank dialogue at meetings. There has been steady improvement in engaging with CSOs in the Annual and Semi-Annual review meetings. CSOs are now encouraged to present their views on progress and ongoing challenges in the sector, and their role has become more institutionalized. The quality of CSO engagement should be reviewed in consultation with the Democratic Governance Facility to identify opportunities for greater impact.

There is need to ensure that adequate notice is given to DPs and other stakeholders for Technical and Thematic Working Groups meetings. The DPs were unable to attend

the last TWG meeting due to the short notice. It is suggested that the sector should initiate consultation on the quality and extent of information flow from the sector to key stakeholders. The annual reviews have become very ritualized, and there are limited opportunities for frank discussions at these meetings. The EU, who was the DP lead in 2016, has requested monthly meetings with the Secretariat in order to better follow up the activities of the sector. They have also requested a 4-month forward calendar with information on timing of sector meetings. The role of the DP lead could be strengthened by introducing a co-chairing arrangement with DPs and better technical support to the lead DP to provide oversight of the JLOS programme.

There are informal dinners held twice a year between DP Heads of Mission and the senior leadership of the sector, which are hosted alternately. This provides a good opportunity to raise various issues at a more informal level, which may not be possible in the sector meetings.

The Secretariat is leading an in-house design for the Sector Investment Plan IV. Some DPs are concerned with progress in developing the new plan, due to the limited consultation on content in the preparation phase. The plan should include a realistic multi-annual budget and should reflect all activities and reforms in the sector, rather than a limited part of the sector programme, as is the case for SIP III.

The Secretariat staff are funded jointly by DPs and GoU under a salary structure outside the Government system. It is important to ensure that the Secretariat facilitates open discussion within the sector. There are also concerns over sustainability of the Secretariat, which is staffed by external technical advisers, who are hired independently for the secretariat and have salaries structures that are significantly higher than the GoU scales and yet they are supervised by the MoJGA accounting officer. There are ongoing discussions as to how the secretariat can be fully integrated within the GoU system.

There used to be agreed joint annual undertakings from the Joint Sector Reviews. In the past three years this has not been done based on the request of DPs. Some DPs now feel that consideration should be given to reintroducing agreed undertakings arising from the Sector Review Meetings

In the past there has sometimes been a lack of continuity on the DP side with the chair changing every year. This has impacted negatively on dialogue with the sector. Previously there was a co-chair for the DP group, who subsequently took over the chair, leading to better continuity. There is also a problem that not all DPs who support the sector, participate in the DP JLOS group. This should be investigated and resolved.

#### Recommendations:

- i. JLOS should consider introducing a co-chairing arrangement with DPs for SWG meetings
- ii. The Sector should agree on mechanisms for agreeing and tracking priority actions in the sector to replace the tacking of undertakings from Annual Review meetings.
- iii. The Sector Coordinator should aim to improve communication and information flow with the DP chair. An alternative could be the re-introduction of a DP Working Group co-chair.

- iv. The DP chair may consider recruiting technical support to strengthen analysis and facilitate coordination arrangements in the sector and between DPs.
- v. The DP working group should maintain an inventory of support to JLOS and promote updating of JLOS data in the aid management system.

### A3. Water and Environment Sector

#### 1. Sector Plan

Score	Minimum Requirements
C (2)	Current sector plan

A review of the MWE website shows that the sector has a Strategic Sector Investment Plan (SSIP) for the period 2009 -2035, with details on the strategy and targets focused mainly on the period to 2015. In consultations with the coordinator, we learnt that the current SSP ends in June 2017. A new Strategic Sector Investment Plan 2017-2030 is under development. The SSP referred to by the coordinator is not uploaded on the website, nor are past SSP. It is therefore not clear whether the lack of clarity is a result of different descriptions of what constitutes a SSP. Is the SSIP the same as the SSP? Standardized nomenclature is important for purposes of M&E. It is not evident whether the plans are fully aligned to the NDPII. There is also a Joint Water and Environment Sector Support Programme, which is funded through a Joint Partnership Fund and contributions from GoU. However, the majority of this support is targeted to the water sub-sector, with the current phase set to end in June 2018. The sector has developed a gender strategy.

#### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
B (3)	Current sector Plan aligned with NDP II prepared with input from some external stakeholders

The MTEF exists but in the opinion of the SWG coordinator, it is not owned by the SWG. The draft Sector Budget Framework Paper for FY 2017/2018 was not discussed in the SWG before submission to MoFPED, though this is normally the case. The sector submits projects and budgets annually to MOFPED in line with PFMA requirements and the BCC. There are a number of DP funded projects, which are outside the MTEF.

#### 3. Results Monitoring Framework

Score	Minimum Requirements
B (3)	Sector results monitoring framework in place, including a selection of key outcome indicators, agreed with external stakeholders, linked to sector objectives and being reported on at least annually

The water sub-sector has a well developed monitoring framework at outcome level. The annual reports include progress and analysis in achieving outcome indicators, as well as information on outputs. Targets are available; the SWG is in itself a monitoring mechanism with inputs result into joint sector review. The Budget Monitoring and Accountability Unit under MoFPED produces semi-annual reports on physical and financial performance.

#### 4. Annual Review Meetings

Score	Minimum Requirements
A (4)	"B" + with participation of a range of stakeholders (DPs, Civil Society groups, private sector entities), and reporting and tracking of key decisions taken and

	information on annual reviews made available to the public.
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Joint Annual Sector Reviews (JSR) Meetings are held regularly in October each year. In addition Joint Technical Review (JTR) meetings are held every year in March/April. Undertakings from these meetings are recorded and reported on in subsequent meetings. The Water and Environment SWG review reports, and information on follow up of undertakings, are available on the website and have been posted since 2006.

### 5. Technical level meetings

Score	Minimum Requirements
B (3)	Regular technical SWG meetings taking place at least quarterly with chairing at Director level or above. Technical meetings include most sector entities, at least one external stakeholder, and at least one functioning sub-group is in place for follow up of specific implementation components / tasks.

Technical review meetings take place on a half yearly basis and reports are submitted to the Joint technical review team based on an M&E framework. Thematic working groups also meet regularly but their composition and mandate is subject to change depending on annual undertakings of the SWG. Political heads of the SWG (Ministers) also participate in JSRs and in ASRs. Top management meetings are held every month, according to the coordinator, to review issues from SWGs and are chaired by senior ministers.

### 6. Communication and Coordination

Score	Minimum Requirements
C (2)	Secretariat for sector in place, with contact/ communication system for sector institutions for coordination of meetings and reporting

The JASR secretariat is in place and is responsible for communication and coordination to stakeholders. Joint position papers are produced but there are evident budget constraints that prevent following up on agreed actions.

### 7. Reporting

Score	Minimum Requirements
B (3)	Annual sector performance reports are produced within 6 months of the year end, and disseminated to sector participants and stakeholders including some external stakeholders. The report contains comprehensive information on the outputs from the sector.

A budget performance report is prepared in partnership which MOFPED and OPM. Sub sector working groups report to the main SWG on the projects they are undertaking.

### 8. Sector ToR, Calendar and Workplan

Score	Minimum Requirements
C (2)	The SWG has a draft ToR or an annual calendar/ workplan

The sectoral work plan is still in draft form. It will be presented for approval in the current quarter (Jan – March 2016).

### 9. External reviews / evaluations

Score	Minimum Requirements
C (2)	There has been at least one external review of the sector programme in the past two years

Reviews have been undertaken mainly for DP funded projects, most recently a mid-term review of the Joint Water and Environment Sector Support Programme. No reviews of GOU projects have been undertaken because of budget constraints. There are annual joint field visit with reports and follow up of recommendations.

**Overall score: 24/36 = 61%**

#### General Comments:

While overall sector coordination and stakeholder engagement functions fairly well, the scheduled end of the Joint Water and Environment Sector Support Programme in June 2018 presents a challenge concerning future funding of joint monitoring and coordination mechanisms. There is general failure in collaboration on management of cross-cutting issues like water for production. The failure of collaboration is a function of competing for resources and perceived mandate drift or conflict across SWG. In the case of water for production, failure to collaborate has been with the agriculture SWG. For example, the draft irrigation policy has not been approved to date and the irrigation projects being undertaken in DOHO, MOBUKU, AGARO, OLWENY etc, have not been initiated on the basis of a consensus. Thus technical staff from agriculture have played a peripheral role as these projects are not part of their work plans.

## A4. Accountability Sector

### 1. Sector Plan

Score	Minimum Requirements
C+ (2)	Current sector plan – not yet aligned with NDP II, but work ongoing to achieve this

The first Accountability Strategic Sector Investment Plan (ASSIP) covering the period 2014-2019, was produced in August 2014. This plan is aligned to NDP1 and is comprehensive with a set of 5 objectives and details of related strategies and interventions. Inter-sector linkages are also identified. This plan is not currently available on the MoFPED web site.

A Task Force has been set up with support from the Accountability Secretariat to review and update the plan in line with NDP II. The process includes consultation with all sector institutions and a variety of external stakeholders including DPs, (Accountability & PFM Working Group), civil society (coordinated by CSBAG) and relevant MDAs/external organisations. NPA has been coopted to the sector and is part of the Task Force. The process is also reviewing the performance and role of the Secretariat. They are aiming to produce an updated sector plan aligned to the NDP II objectives in early 2017. The sector reporting at review could be organized along thematic areas (Anti-corruption, PFM, Revenue, etc.) rather than by institution/department.

### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
C (2)	Multi-year budget produced

A basic budget setting out cost estimates against 5 key objectives is included in the Sector Plan for 2014-19. The section on financing includes information on the MTEF budget estimates for the sector institutions. The budget could be improved with more information on major investments and details of development partner commitments to the sector. As such it cannot be considered a realistic or justified budget and it has also not been reviewed or updated since 2014. The Secretariat is working on developing an updated multi-year budget for the sector.

### 3. Results Monitoring Framework

Score	Minimum Requirements
B (3)	Sector results monitoring framework in place, including a selection of key outcome indicators, agreed with external stakeholders, linked to sector objectives and being reported on at least annually

There is a results monitoring framework in the current Sector Plan with baseline and targets for the period 2013-2018 at both outcome (29 indicators) and output level. The 2016 Annual Review Report includes an update on the performance of 23 outcome indicators. There is ongoing consultation with the PFM sub-sector on the selection of outcome indicators. Further work is required to ensure clear definitions and regular reporting across the whole sector.

#### 4. Annual Review Meetings

Score	Minimum Requirements
C (2)	At least one annual review meetings held in the past two years

The first Sector Annual Review meeting took place in 2014. The last annual review meeting was held in September 2016. There is need for better leadership and participation by senior officials from the Ministry of Finance in future meetings. There was relatively good participation from other sector institutions, development partners and CSOs. Some of the stakeholders suggest that the preparation for the meetings could be improved through joint planning of the agenda and reviews/field work to feed into the dialogue. The ToR and inter-linkages between the Accountability SWG, PEMCOM, and the Inter-Agency Forum on Corruption should be discussed to improve coordination within the sector. There is also need for more effective DP engagement with the GoU SWG, based on best practice in other sectors.

#### 5. Technical level meetings

Score	Minimum Requirements
B (3)	“C” + Technical meetings include most sector entities, at least one external stakeholder, and at least one functioning sub-group is in place for follow up of specific implementation components / tasks.

There are regular monthly Technical SWG meetings, which are open to a range of stakeholders. Attendance tends to be rather inconsistent from some of the parties. These meetings are usually chaired at Commissioner level. The ToR in the ASSIP does not specify a chair. Both DPs and Government institutions tend to send low-level representation. MoFPED officials, MDAs and DPs reported that the meetings had some use as an information forum on the management of the sector, but action is required if they are to provide policy guidance and strategic direction to investments in the sector. There is lack of clarity on the role of the Accountability SWG and how it relates to other coordination frameworks such as PEMCOM, which is seen to be more effective by both MoFPED senior management and DPs. PEMCOM is chaired by the DST and co-chaired the lead DP for PFM (currently USAID). In view of the wide mandate, the objectives of the sector may be better coordinated at sub-group level (PFM, Revenue, Economic Management/Financial Services, and Corruption). SWG meetings need to be managed to facilitate relevance for the sector institutions. There is an Accountability Steering Committee with heads of all the MDAs, though this meets rarely, and operates as an internal GoU meeting.

#### 6. Communication and Coordination

Score	Minimum Requirements
C (2)	Secretariat for sector in place, with contact/communication system for sector institutions for coordination of meetings and reporting

A Secretariat has been established under MoFPED with funding from the mainstream budget. However, the staff do not have permanent contracts. There is need to improve communication on meetings with stakeholders with an updated group emailing list and

better sharing of documentation with all stakeholders through Accountability website under MoFPED. DPs reported that that they do not always get timely information for the meetings, and this is one of the reasons for irregular attendance. Minutes of meetings with action points are produced and reviewed at subsequent meetings. More thought is needed on how the interests of the various parties in the sector are coordinated around the objectives/ priority reform areas for the sector. This may require a new coordination framework for the sector.

## 7. Reporting

Score	Minimum Requirements
C (2)	One annual sector progress report has been produced over the last three financial years

The first Annual Sector Report was produced for the 2016 Annual Review meeting. The report covers progress in achieving sector objectives, and follow up of undertakings from the 2014 review. There are also agreed undertakings to be tracked going forward. The report is useful as a starting point to improve future reporting processes.

## 8. Sector ToR, Calendar and Workplan

Score	Minimum Requirements
C (2)	The SWG has a draft ToR or an annual calendar/workplan,

The sector plan includes details of the roles and functions of the various sector committees, including the Leadership Committee (policy and strategic guidance) at Minister level, the Steering Committee at PS/Head of Agency level and the Technical SWG level. Further thought is required to adapt these coordination structures to fit with other coordination systems: such as FINMAP/PEMCOM and Inter-Agency Forum on Corruption. It would also help to agree on annual calendar or work plan.

## 9. External reviews / evaluations

Score	Minimum Requirements
C (2)	There has been at least one external review of the sector programme in the past two years

There have been no external reviews of the sector as a whole. However, there have been PEFA assessments to review progress of PFM, which are undertaken every 4 years. The last PEFA assessment report was issued in 2012 and there is PEFA being undertaken in Nov-Dec 2016. Joint GoU/DP field trips have been undertaken to review progress of PFM reforms in 2015 and 2016.

Overall score: 56%

### **General Comments:**

The established coordination systems, such as PEMCOM and the Inter-Agency Forum on Corruption have not been aligned with coordination arrangements for the Accountability Sector . The Sector has a wide mandate with membership from a range of institutions. Under NDP II the following sector thematic areas are included:

- Financial management services (banking, insurance services, pensions)

- Private Sector Development (investment promotion and facilitation)
- Statistical data production
- Revenue Mobilisation
- Public Finance Management systems (including procurement)
- Audit and Anti-corruption

The range of objectives and institutions are too wide to include under a single technical working group arrangement. There is need to review the current institutional arrangements, to recognize and adapt existing coordination arrangements under the sector approach, and to create new coordination structures where there are gaps. At the technical level the benefit of regular coordination meetings for the whole sector are questionable. Both DPs and Government officials reported that they did not find the meetings very useful as senior managers usually did not attend. Key decisions are not made and meetings are mainly for presentation on different sector issues for information only.

Coordination of the whole sector could best be managed at the higher Heads of Institution and Policy level with Annual Review meetings. The following coordination structures are already in place:

- PEMCOM (Public Expenditure Management Committee) – this currently covers PFM reforms, including procurement and revenue mobilization, though engagement from URA is limited. PEMCOM has been meeting quarterly over the past 10 years, chaired by DST and Co-chaired by the lead PFM DP. PEMCOM is recognized by both MoFPED and DPs as being a very effective forum for strategy, policy decision and monitoring progress of PFM reform. The meetings are chaired by the Deputy Secretary to Treasury with PFM DP lead as co-chair. At the start of each meeting the MoFPED, DP co-chair and Civil Society Budget Advocacy Group (CSBAG) are invited to make their remarks, allowing any issues of concern to be raised. The agenda and timing of meetings is agreed jointly between DPs and GoU. The Secretariat for PEMCOM is managed by the FINMAP Management Support Unit. The DPs and MoFPED have developed a Priority Reform Action Matrix (PRAM) to track key reform actions in PEMCOM. The matrix assist in tracking progress of key reforms and is used as an input in agreeing on agenda items.
- Inter-Agency Forum on Corruption – currently chaired by DEI. Currently the forum tends to be more focused on the legislative environment rather than implementation challenges, which often block action on corruption. DPs are concerned to strengthen engagement with GoU on action against corruption. This forum could be made more effective and would benefit from a change in leadership to allow a new dynamic linked to the Accountability Sector.
- Task Force on Revenue Mobilisation – formed in 2016 to develop a strategic plan to increase revenue mobilization covering both tax policy and administration. The Task Force is currently chaired by Director Economic Affairs/ supported by the Commissioner Tax Policy. Current participants include USAID, DFID, URA and FINMAP.

One option would be to adapt the above coordination arrangements to form technical sub-groups under the Accountability Sector. One of the lessons from other sectors

with multiple agencies and mandates is the importance of having have a shared vision of the inter-institution linkages which contribute to the overall objective to strengthen accountability. This could be achieved as follows:

1. Economic Management and Financial Services – Effective macro-fiscal management is the starting point for accountability, setting the framework for both public sector and private sector development. Consultation has already commenced with the Donor Economic Group (DEG) on the idea of forming a new coordination structure for discussion on macro-fiscal issues. Such a forum could be chaired by the Bank of Uganda or MoFPED with a lead DP from DEG as co-chair. The Terms of Reference would include macro-fiscal policy, financial services regulation (banking/insurance), statistics, and facilitation of private sector development. The Private Sector Development Partners Group (PSDPG) has divided into two subcommittees to better align with the current and proposed SWG structure. The two subcommittees are: 1) Trade & Industry and 2) Financial Services. Many PSDPG members deal with financial management services (banking, insurance and pensions), and engage with banks and other players in the financial services ecosystem like mobile network operators, mobile money aggregators, IT solutions-based companies etc.
2. Revenue Mobilisation – Revenue mobilization is the next link, providing the resources for public investment. The Task Force that was set up in 2016 could become a permanent forum chaired by URA or Director Economic Affairs/ MoFPED with participation from Tax Policy, and other interested stakeholders including the private sector and CSOs. It is recommended to include a DP co-chairing arrangement, which has worked well for PEMCOM.
3. PFM Reform - Strengthening public finance management systems, including procurement, is a core component to improve accountability and minimise risks of mismanagement. PEMCOM, which is well established, could be adapted to focus on PFM reform, but in future may exclude revenue.
4. Action Against Corruption – Action to tackle corrupt practices is essential to make progress in accountability and has been identified as a priority in NDPII. It is the end of the chain in the sense of ensuring enforcement of rules and regulations, and follow up of audit findings. The existing Inter-Agency Forum on Corruption should be a key sub-group of the sector with participation from relevant institutions from JLOS. It is suggested to consider a change of leadership to the Inspectorate of Government to build a new dynamic, as well as co-chairing from the lead Anti-Corruption (AWG) DP.

These sub-groups should be required to meet at least every quarter. They would be responsible for providing performance reports to the sector and operationalizing the monitoring framework. The sector would come together at semi-annual or Annual Sector Reviews Meetings preferable through meetings chaired at the PS/ST MoFPED level, with Ministerial representation at annual reviews. The aim of these meetings would be to discuss sector performance and external sector reviews, as well as agreeing on higher-level policy and action in response to implementation challenges raised from sub-groups.

Greater leadership is required from MoFPED senior management to strengthen coordination arrangements for Accountability sector institutions to achieve the agreed objectives in the NDP II. MoFPED with support from the Secretariat should initiate

discussions with sector institutions and DPs to reach consensus on the best coordination structures to take the sector forward.

With the end of FINMAP III in 2018, there will also be an opportunity for Government and DPs to review the support arrangements for PFM reform for a new phase of assistance. This will allow some adaptation to ensure that technical support and coordination arrangements are fully aligned with the needs of the Accountability sector approach.

Recommendations:

- i. MoFPED should lead a review of sector arrangements to align with existing structures (e.g. PEMCOM) and develop new technical sub-groups, which should drive most of the sector activities.
- ii. The relevant DP WG's should align their support to the Accountability Sector and maintain an inventory of all relevant funding assistance.

## A5. Transport Sector

### 1. Sector Plan

Score	Minimum Requirements
B (3)	Current sector Plan aligned with NDP II prepared with input from some external stakeholders

The current sector plan, the National Transport Master Plan, covers the period 2008-2023, and is aligned to NDPII. The EU, the lead DP for the sector, expressed concern that the sector plan should be improved to ensure better linkages between transport modes – rail, air and ship – and more emphasis on infrastructure maintenance. There move on from priority project lists to more integrated planning of transport modes. This will require increased dialogue and capacity in the planning process. A Sector Development Plan following the NPA guidelines is currently being drafted.

### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
C (2)	Multi-year budget produced

There is a multi-annual budget for the sector but this has not been regularly updated or aligned to the NDPII as yet. Projects that are not in the Sector Plan can still be accepted through the Public Investment Plan.

### 3. Results Monitoring Framework

Score	Minimum Requirements
B (3)	Sector results monitoring framework in place, including a selection of key outcome indicators, agreed with external stakeholders, linked to sector objectives and being reported on at least annually

There is an effective results monitoring framework in place, including a set of 18 high level golden indicators. Progress of indicators are reported in the Annual Sector Performance Reports, which are produced within a few months of the year end and are available on the Ministry of Works and Transport web site. The quality of performance measures is relatively good, but not so comprehensive for the rail, air and water transport sectors. The indicators cover both outcomes and outputs with analysis of performance in the reports. There is need to improve systems, by setting and agreeing forward targets for all key indicators.

### 4. Annual Review Meetings

Score	Minimum Requirements
B (3)	Annual review meetings held annually for past three years, with high level chairing at Permanent Secretary level (or equivalent) and participation of some interested stakeholders

Annual review meetings are well established and have been held over the past three years with participation from a range of stakeholders, including Local Governments, MPs, academia and the private sector. Civil Society are represented by the Civil Society Coalition on Transport (CISCOT) in Uganda. Monitoring trips are arranged in advance of the annual review so that recommendations can be discussed at the review

meeting. Annual reviews take place over two days and an Aide Memoire is produced from the meeting with details of issues and undertakings signed by the Minister of Works and the lead DP Ambassador. It would be helpful if the Aide Memoire is made available to the public on the MoW&T website.

### 5. Technical level meetings

Score	Minimum Requirements
C (2)	Regular technical SWG meetings taking place with some sector entities at least quarterly with chairing at Director level or above

Transport Sector Working Group meetings are supposed to be held monthly, but in practice take place once every 2 to 3 months. However, it is noted that many of the Executive Directors of sector institutions (Civil Aviation, National Roads Authority, Road Fund, Railway Corporation) no longer attend the meetings and in most case send a delegated representative. CSOs, and representatives from the private sector also attend. Meetings are chaired by the Permanent Secretary. In the absence of Executive Directors transport MDAs need to improve communication and follow up of the agreed actions. The sector should review the causes behind the lower level representation from MDAs and seek support to strengthen the sector wide approach. There is need for greater clarity on the role of the SWG in reviewing the Budget Framework Papers to make this a meaningful process. It is suggested to have increased emphasis on policy issues in the dialogue at the SWG level rather than approving projects and budgets.

According to the Secretariat there is supposed to be a number of technical sub-groups covering M&E, Governance, Infrastructure and Planning & Budgeting. However, attendance at these meetings is poor and DPs are not aware of these sub-groups.

### 6. Communication and Coordination

Score	Minimum Requirements
B (3)	"C" including communication and coordination with some external stakeholders, and timely information for meetings (at least 1 week), and timely minutes of meetings (within 1 month)

There is an established Secretariat for the Transport Sector in MoW&T led by the Assistant Commissioner for Works and Transport Planning. The information on SWG meetings is communicated with one to two weeks notice. There is need to improving dissemination of supporting documents (e.g. projects) in time for proper review in advance of meetings.

## 7. Reporting

Score	Minimum Requirements
A (4)	Annual sector performance reports have been produced for the past three financial years, within 3 months of the year end, and reports are available to the public on the internet. The reports contain comprehensive information on outputs and outcomes with progress of key indicators.

The sector produces an Annual Performance Report with comprehensive information on progress of the sector and the achievement of indicators. The report is available on the MoW&T website.

## 8. Sector ToR, Calendar and Workplan

Score	Minimum Requirements
D (1)	There is no agreed SWG Terms of Reference, or annual calendar / workplan

There are no current Terms of Reference for the Transport SWG or annual calendar/work plan. The process of reviewing projects at the sector level is not very clear for DPs. The DPs suggest that there is urgent need for clarity on the role of the Sector Working Group and agreement on who should attend.

## 9. External reviews / evaluations

Score	Minimum Requirements
D (1)	There have been no external reviews of actions or evaluations for the past two years

A Mid Term Review of the National Master plan is planned with support from EU. The EU is concerned to improve the quality of the next master plan starting from 2020. However, there has been no external review or evaluation of the sector for the past two years.

**Overall score: 22/36 = 61%**

### General Comment:

From the documentation provided the transport sector appears to be performing well. However, there is some frustration from Development Partners regarding the quality of dialogue in the sector, which seems to spend too much time on implementation details, approving projects with no clear guidance or process for the role of the SWG in this, and approving the sector budget. At the same time there are serious concerns regarding policy constraints and the quality of integrated planning which are repeated at annual review meetings, but with limited progress in finding solutions.

## A6. Energy and Minerals Sector

### 1. Sector Plan

Score	Minimum Requirements
B (3)	Current sector Plan aligned with NDP II prepared with input from some external stakeholders

An external consultant was hired to manage the process of aligning the SSIP (2014) to NDP II. The sector plan has however not been published, post review.

### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
C (2)	Multi-year budget produced

The MTEF is not realistic, especially when put in the context of on-going DP projects. This is because where resources have been earmarked/committed by the DPs, the requisite counter part funding is not received on a timely basis. As a result, there has been a mismatch between development and recurrent budgets. The current FY provision for no wage recurrent expenditures is about Ugx 1 billion. This is not adequate for supporting SWG activities.

### 3. Results Monitoring Framework

Score	Minimum Requirements
B (3)	Sector results monitoring framework in place, including a selection of key outcome indicators, agreed with external stakeholders, linked to sector objectives and being reported on at least annually

Monitoring is done using the format provided by OPM. The SWG is moving to the PBS, which is required by MOFPED.

### 4. Annual Review Meetings

Score	Minimum Requirements
B (3)	Annual review meetings held annually for past three years, with high level chairing at Permanent Secretary level (or equivalent) and participation of some interested stakeholders

The Joint Sector Review takes place annually over two days involving all stakeholders including development partners, district authorities, and NGOs. The last Joint Review took place in August 2016

### 5. Technical level meetings

Score	Minimum Requirements
B (3)	Regular technical meetings include most sector entities, at least one external stakeholder, and at least one functioning sub-group is in place for follow up of specific implementation components / tasks.

There are regular monthly SWG meetings, which take place on the last Thursday of each month, and include participation of DPs. The meetings include presentations by sub-sector with handouts. There active sub-groups for energy and planning.

## 6. Communication and Coordination

Score	Minimum Requirements
B (3)	“C” including communication and coordination with some external stakeholders, and timely information for meetings (at least 1 week), and timely minutes of meetings (within 1 month)

The Ministry provides comprehensive minutes of meetings, which are disseminated to DP’s for comment. There is good coordination with the DP working group, which is actively involved in the monthly meetings. Critical issues (undertakings) are communicated to stakeholders and specific websites (energyandminerals.go.ug and petroleum.go.ug) have been set up to manage stakeholder issues. Field reviews for specific projects have been undertaken, especially in the case of Karuma and Isimba.

## 7. Reporting

Score	Minimum Requirements
B (3)	Annual sector performance reports are produced within 6 months of the year end, and disseminated to sector participants and stakeholders including some external stakeholders

The last available report, which is publicly available relates to 2015. However, the sector has been holding annual sector reviews and preparing SPRs.

## 8. Sector ToR, Calendar and Workplan

Score	Minimum Requirements
D (1)	There is no agreed SWG Terms of Reference, or annual calendar / work plan

The sectoral work plan is still in draft form but has not been approved for publication. The Terms of Reference for the SWG were updated in 2016.

## 9. External reviews / evaluations

Score	Minimum Requirements
C (2)	There has been at least one external review of the sector over the past two years

In 2016 two joint GoU-DP field visits were arranged to the Isimba and Karuma hydropower projects. A comprehensive review of the power sector was initiated in 2016 over a one year period with support from two consultants. This has involved a number of workshops to consult on selected issues.

**Overall score: 23/36 = 64%**

### General Comments:

The sector produces a SSIP in 2013/14. This SSIP has been upgraded to a SDP and aligned with the NDPII. However the SDP has not been published as yet. The sector consists of 13 MDA’s and DPs. Core SWG activities have been carried out and reports are produced on a regular basis. However the failure to provide local counterpart funding has impeded the completion of some planned activities, as DPs cannot disburse funds. The TWG’s have intermittent meetings which are issues driven. The

most active TWG are the Energy TWG and the Planning TWG. Overall, whereas the SWG has an established secretariat, it appears that many planned activities are constrained by cash limits and delayed disbursements.

## A7. Education Sector

### 1. Sector Plan

Score	Minimum Requirements
D (1)	No current sector plan

The Education sector plan expired in 2015/16 Financial year. There is no current sector plan because the SWG is ineffective for various reasons, including lack of effective leadership at the technical and political levels over the past few years following the departure of Xavier Lubanga who was a key driving force. The education sector policy dates from 1992 and needs to be reviewed. The sector does not have an effective strategy and much of the activity carried out has reverted to the project-based mode. The NDP II objectives are too generic to count as a strategy for the sector. A new Minister and Permanent Secretary have been appointed in 2016 and it is expected these will give direction to the sector.

### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
C (2)	Multi-year budget produced

There is no multi-year budget produced by the sector, apart from the MTEF, which is a requirement for funding of any activity by MOFPED. However, the sector should strengthen mechanisms for systematic monitoring of major programme investments to the Education, including development partner support for improved alignment and harmonization, with annual updates of forecast expenditure.

### 3. Results Monitoring Framework

Score	Minimum Requirements
C (2)	Sector results monitoring framework defined with key indicators to track progress

While an M&E framework has been developed, it is diffused because reporting takes place mainly through the OBT tool. The OBT tool does not adequately address the issue of reporting on fiscal and partial outcomes and is not structured to report on achievement of NDP II objectives. The tool focuses on tracking budget performance rather than outcomes. It is also not cognizant of the impact of due process. OPM also introduced the Government Annual Performance Report (GAPR), which is at variance with NPA reporting requirements.

### 4. Annual Review Meetings

Score	Minimum Requirements
B (3)	Annual review meetings held annually for past three years, with high level chairing at Permanent Secretary level (or equivalent) and participation of some interested stakeholders

There are Joint Annual Reviews Meetings have been held regularly for the past three years. The Education Sector Coordination Committee (chaired by the PS) has been responsible for organizing these meetings.

## 5. Technical level meetings

Score	Minimum Requirements
B (3)	Regular technical SWG meetings taking place with most sector entities at least quarterly with chairing at Director level or above. Technical meetings include at least one external stakeholder, and at least one functioning sub-group is in place for follow up of specific implementation components / tasks.

There are regular SWG meetings and some working groups also hold meetings but attendance is poor especially where stakeholders do not have specific business or where funding issues are not a subject for consideration. Technical working groups are not operating optimally and meetings are held irregularly. TWG meetings are held when heads of departments want to use them for self-interest.

## 6. Communication and Coordination

Score	Minimum Requirements
C (2)	Secretariat for sector in place, with contact/ communication system for sector institutions for coordination of meetings and reporting

The JASR secretariat is in place and is responsible for communication and coordination to stakeholders. Joint position papers are produced but there are evident budget constraints that prevent following up on agreed actions.

## 7. Reporting

Score	Minimum Requirements
B (3)	Annual sector performance reports are produced within 6 months of the year end, and disseminated to sector participants and stakeholders including some external stakeholders. The report contains comprehensive information on the outputs from the sector.

OPM does not effectively follow up to demand reports from SWGs; there is no mechanisms for ensuring accountability by sectors. JASR have not been posted on the sector website since 2012, even where they were produced. Different stakeholder organs demanded use of specific “reporting formats” with a resultant increase in unnecessary work when reporting to OPM and NPA on NDP.

## 8. Sector ToR, Calendar and Workplan

Score	Minimum Requirements
B (3)	The SWG has an approved ToR and an annual workplan

Off-budget activities undermine SWG work plans, the Sector Strategic Plan, Sub sector strategic plans. The SSP is not holistic especially where sub sector plans were introduced as a result of LDPG influence. For example;

- Education policy made in 1992 has not been reviewed since, because the ESMWG is not effective.
- The M&E system is distorted due to re-emergence of projects

- DP reporting focuses on its own stakeholders as opposed to overall accountability
- Sector M&E system has become obsolete because its distorted and there are no incentives to review it (See annual sector performance report)
- There is no buy-in with respect to impact of M&E due to under resourcing and national M&E policy of OPM being lack lustre.

**9. External reviews / evaluations**

Score	Minimum Requirements
D (1)	There have been no external reviews of actions or evaluations for the past two years

Reviews have been conducted on specific aspects of the SSP. There has been no overall external review of the sector.

**Overall score: 20/36 = 56%**

**General Comments:**

The Education SWG coordination committee (ESCC) has generally failed to meet its objectives in the past as a result of the poor working relationship with the LDPG and between top management chaired by minister. The minister (at that time) also had a poor relationship with her permanent secretary. Top management stagnated programs as a result of the ensuing lethargy.

- Poor leadership affected all activities of technical working groups
- Government and donor relationships deteriorated with consequent reversion to project mode of financing.

## A8. Public Sector Management

### 1. Sector Plan

Score	Minimum Requirements
C (2)	Current sector plan

The old sector plan aligned to NDP I, developed 2011, and approved 2012. A Consultant was employed to develop new sector plan aligned to NDPII. This process is not complete. A draft sector plan exists but is not aligned to the NDP. In the old nomenclature we had a SSIP, which is now called a SDP.

### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
C (2)	Multi-year budget produced

The use of the word “realistic” is the problem. All sectors have an MTEF but these are not based on “priorities”, especially if priorities are “unfunded”. You cannot have “unfunded priorities, and call the plan realistic. Realistic would mean MTEF covers PSM budgets comprehensively. SWGs do not know how the MTEF is prepared. The issue of new Districts and municipalities (urban councils), new special areas makes the SWG MTEF unrealistic, e.g KCCA is now a special area. Busoga has also been included in NDP II as a special area. All this makes planning an ongoing nightmare but sector objectives reflect TORs which are contained in the strategic plan and are the basis for the MTEF.

### 3. Results Monitoring Framework

Score	Minimum Requirements
C (2)	Sector Results monitoring framework defined with key indicators to track progress

Every year the PSM SWG has outcome and corresponding output indicators. The results monitoring framework is also available in the BFP and other strategic documents of the SWG.

### 4. Annual Review Meetings

Score	Minimum Requirements
D (1)	No annual review meetings held in the past two years

Annual review meetings have been conducted in the past but the joint annual review did not take place last year (2016). A report (draft) will be discussed in Feb 2017. The JASR and MEACA public sector reviews have taken place in the past. In Feb 2017, the PSM SWG will review **connectedness, alignment to objectives and outcomes**.

### 5. Technical level meetings

Score	Minimum Requirements
C (2)	Regular technical SWG meetings taking place with some sector entities at least quarterly with chairing at Director level or above

Technical committees meet regularly to review performance but these meetings are based on expediency. The Coordination and Planning and Decentralization TWGs meet regularly because of MTEF implications. But the Public Service and MIAC TWGs

meet as and when unavoidable. It all boils down to availability of resources to conduct meetings. SWG & TWCG, which meet, do so because of budgeting, financing and reporting motivations. They do not meet because it is policy for them to meet. The ones, which are redundant, need to be dropped or dissolved.

## 6. Communication and Coordination

Score	Minimum Requirements
C (2)	Secretariat for sector in place, with contact/ communication system for sector institutions for coordination of meetings and reporting

The SWG consists of disparate MDAs whose objectives are difficult to align satisfactorily. There are 8 core MDAS as follows

- OPM
- MIACA
- MPS
- MOLG
- NPA
- KCCA
- LGFC
- PSC

Others MDAs are as follows.

- ULGA
- Cabinet secretariat
- UAAU

The SWG is thus very diverse and dispersed in terms of its objectives and communication and coordination is complex.

## 7. Reporting

Score	Minimum Requirements
C (2)	One annual sector progress report has been produced over the last three financial years

OPM is supposed to produce the Government Annual Performance Report (GAPR). While these reports are mentioned on the OPM website, we have not been able to access them.

## 8. Sector ToR, Calendar and Workplan

Score	Minimum Requirements
C (2)	The SWG has a draft ToR or an annual calendar/ workplan

SWG and TWGs have TORs and calendars for those tasks, which they are supposed to perform but two TWGs are also dormant as a result of poor motivation and lack of leadership. Sectoral plans are driven by sector objectives.

## 9. External reviews / evaluations

Score	Minimum Requirements
B (3)	There has been more than one external review of the sector over the past two years, with recommendations that have been followed up at sector meetings

Reviews have been undertaken mainly for DP funded projects. No reviews of GOU projects have been undertaken because of budget constraints. There has been overall review of the sector.

**Overall score: 18/36 = 50%**

### General Comments:

Top management involvement in SWG is a function of their interests and objectives

- The issue of motivation is critical. Top management participates on basis of resource allocation/ incentives
- They rarely attend in person unless there are resources to share.
- Minister General Duties is political head of OPM but the position faces legitimacy issues in as far as attracting other players to participate in the SWG. Some think that the head of the SWG is the PM, but the PM is for Uganda; he is not head of OPM activities. The head of the SWG with respect to policy needs to be seen to be legitimate for the SWG to be effective.

## A9. Tourism, Trade and Industry Sector

### 1. Sector Plan

Score	Minimum Requirements
C (2)	Current sector plan

The sector plan was launched in September 2016 but is not available on Internet. There is always a challenge of following plans, which are unfunded. We try our best but reality is dictated by MOFPED cash limits. The SDP is not published. The sector plan was supposed to be published by TRACE but funds were not provided. Government does not move with sector working plans. Costed plans are not financed as expected. Sectors are 'limping' as budgets are slashed continually? We are also not clear on terminology. Is the Sector plan still a SSIP or SDP or SSP? The nomenclature is not clear.

### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
C (2)	Multi-year budget produced

The MTEF exists but is not realistic; we required Ugx 140 billion for our SP but only Ugx 93.409 bn was allocated for all MDAs in the sector for 2016/17 financial year. Budget cuts occur frequently and without prior notice because of "reprioritization". The MTEFs figures are thus just 'book figures'. MOFPED operates on cash limits. MOTIC has never spent even up to 85% of its MTEF in prior periods so it is difficult to see how we can satisfactorily achieve our plans. Budget support has tended to reduce except for prioritized sectors and project support is becoming more significant again.

### 3. Results Monitoring Framework

Score	Minimum Requirements
D (1)	No sector monitoring framework

No results monitoring framework because the project to prepare the framework was not funded. It was called "Support to MOTIC".

### 4. Annual Review Meetings

Score	Minimum Requirements
B (3)	Annual review meetings held annually for past three years, with high level chairing at Permanent Secretary level (or equivalent) and participation of some interested stakeholders

Sector review meetings are held annually. In September 2016 we held the latest one.. DP are not aware of this annual review meeting.

### 5. Technical level meetings

Score	Minimum Requirements
D (1)	No regular technical level meetings

There have been no regular SWG meetings over the past year. TWG meetings are driven more by necessity, like the need to approve the MTEF and BFP. According to DP's, the only meeting in 2016 was held in July to approve the sector budget.

## 6. Communication and Coordination

Score	Minimum Requirements
C (2)	Secretariat for sector in place, with contact/communication system for sector institutions for coordination of meetings and reporting

The PRO is in charge of sector communications. The SWG secretariat is the Planning Unit and it is responsible for communication and coordination. The sector does not have any databases/ knowledge resources that have meaningful statistics. This problem cuts across all sectors of government and makes decision making that much more difficult.

## 7. Reporting

Score	Minimum Requirements
B (3)	Annual sector performance reports are produced within 6 months of the year end, and disseminated to sector participants and stakeholders including some external stakeholders

In general the sector's reporting system is not up to date and annual Sector Performance reports not adequate for publication, even if the drafts are in existence.

## 8. Sector ToR, Calendar and Workplan

Score	Minimum Requirements
C (2)	The SWG has a draft ToR or an annual calendar/workplan

Sector TORs, calendar and work plan produced by NPA and MOFPED" These are reflected in the MOTIC ministerial statement which is part of the ministerial statement but does not necessarily get implemented

## 9. External reviews / evaluations

Score	Minimum Requirements
D (1)	There have been no external reviews of actions or evaluations for the past two years

The DCOS- District Commercial Services Support programme/projects has had an external review by DPs. Otherwise external sector reviews have not been undertaken. The DCOS project covered 25 districts but has ended. There are 120 plus local government administrative units, which made external reviews impossible. DPs do external audits of projects they finance, but do not undertake any additional reviews outside those projects they fund. No reviews of GOU projects have been undertaken because of budget constraints

**Overall score: 17/36 = 47%**

### General Comments:

The NPA had realigned and restructured SWGs but this was NOT implemented. Tourism was prioritized and seems to have tried to detach itself from the "limping" trade and industry sub sectors. However MOFPED refused separate sector plans but Trade and Industry remains detached from Tourism, which has its own ministry. The MOTIC Ministerial policy statement available but not published while the Sector Plan

is called the TOURISM, TRADE, INDUSTRY AND COOPERATION SECTOR REPORT. There is thus a lacuna in terms of how we are operating as a sector. Tourism has is not responsive but MOTIC has, with other sector stakeholders, made joint presentations to MOFPED. The DP Private Sector WG agrees with the proposed separation of tourism from the Trade and Industry Sector.

## **A10. Social Development Sector**

### **1. Sector Plan**

Score	Minimum Requirements
B (3)	Current sector Plan aligned with NDP II prepared with input from some external stakeholders

The Social Development Sector Plan (SDSP) covering 2015/16 -2019/20, which has been approved by NPA, and is aligned with NDPII, was formally launched on 2<sup>nd</sup> February 2017. The plan was developed with support from a team of consultants and consultative workshops. Inputs from stakeholders were managed through a series of meetings and workshops with private sector, DPs, line Ministries and Local Governments. The plan should be made available on the Ministry web site for greater transparency.

### **2. Multi-year Budget (MTEF)**

Score	Minimum Requirements
B (3)	Multi-year budget aligned with MTEF/NDPII and including DP funded projects

The SDSP includes a five-year multi-year budget aligned with the NDPII and includes information on DP funded projects at the time of preparing the sector plan. There is also a detailed breakdown of the budget by objective. The lead Ministry has tried to make the budget realistic reflecting the trend of allocations in the MTEF, but also notes the serious constraint of the limited share of budget allocations (currently 0.44%). The budget planning process could be improved by tracking of the multi-annual budget and any major investment projects, including DP funded off-budget, and NGO actions in the sector.

### **3. Results Monitoring Framework**

Score	Minimum Requirements
C (2)	Sector Results monitoring framework defined with key indicators to track progress

There is a set of outcome and output indicators in the new Sector Plan. There are 15 outcome indicators, with baselines and 5-year targets and a large number of output indicators against each objective. There is need for more information on the definition and source of data for the indicators. The SDSP includes an emphasis on strengthening monitoring evaluation systems in the sector. There are ongoing plans to revise the indicators set out in GAPR.

### **4. Annual Review Meetings**

Score	Minimum Requirements
D (1)	No annual review meetings held in the past two years

There has been no annual sector review meetings for the past three years. This due to the cost of annual meetings, which require the presence of District personnel and limited budgets and/or releases to the Ministry.

## 5. Technical level meetings

Score	Minimum Requirements
C (2)	Regular technical SWG meetings taking place with some sector entities at least quarterly with chairing at Director level or above

The Sector Working Group (SWG) meetings, chaired by the PS, are held quarterly, with three already held in FY 2016/17 (to February 2017). CSOs are invited, but attendance to date has been limited. There are 5 thematic sub-groups:

- Social protection for vulnerable groups (Head of Social Protection Secretariat)
- Labour productivity and employment (Director Labour)
- Community mobilization and empowerment (Commissioner Community Development)
- Gender and women empowerment (Director Gender)
- Institutional capacity development (Under-Secretary)

The sub-groups are not yet active, but there are plans to ensure that there are more regular meetings in the future. The PS intends to ensure that regular meetings will take place in future using the Planning Departments staff to monitor progress.

## 6. Communication and Coordination

Score	Minimum Requirements
B (3)	Secretariat for sector in place including communication and coordination with some external stakeholders, and timely information for meetings (at least 1 week), and timely minutes of meetings (within 1 month)

The role of the Secretariat is taken by the Planning Department of the MoGL&SD headed by an Assistant Commissioner with six staff. Minutes of SWG meetings are produced by the Secretariat. There is a contact list with communication of meetings sent by hard copy with follow up by telephone.

## 7. Reporting

Score	Minimum Requirements
C (2)	One annual sector progress report has been produced over the last three financial years

There is a report on the outputs produced from the OBT system. A separate annual report was produced on the sector performance in 2015/16, but this needs to be made more widely available on the internet.

## 8. Sector ToR, Calendar and Workplan

Score	Minimum Requirements
C (2)	The SWG has a draft ToR or an annual calendar/workplan,

There is a basic description of the role of the SWG and the thematic sub-groups in the sector plan as well as a calendar for meetings.

## 9. External reviews / evaluations

Score	Minimum Requirements
D (1)	There have been no external reviews of actions or evaluations for the past two years

There have been evaluations of programmes (e.g. the Youth Livelihood Programme) and policies (Gender Policy), but no overall evaluations or reviews of the sector. Joint field trips have been organised with DPs on gender and women’s affairs.

**Overall score 19/36 = 53%**

**General Comments:**

The sector includes the following entities: Equal Opportunities Commission, Industrial Court, the Uganda National Cultural Centre, National Women’s Council, National Youth Council, National Children Authority, National Council for Disability, Uganda national Culture Centre. The Sector objectives cover:

- Labour, employment and productivity – with a focus on youth employment
- Community mobilization
- Social Protection for the vulnerable
- Gender equality and women’s empowerment

There are currently two DP Working Groups related to the sector: social protection and gender. The SWG has an important role in managing cross-cutting issues including gender, labour issues and social protection.

A lead DP for liaison with the SWG would help to facilitate capacity building support and coordination. The following DP’s have participated in recent SWG meetings: DFID, WB, UNICEF, Iceland, UNESCO, and Ireland. The Sector Plan refers to “a Social Development Sector Coalition of Development Partners, whose work complements the sector. This Coalition is supported by issue based coordination committees including Gender Development Partners Working Group, the Social Protection Development Partners’ Task Force and the UN Convergence Group on Youth. The Coalition is represented in the sector Working Group by the UN Resident Coordinator and the chair of the bilateral and multilateral partners’ group, while the taskforces are represented on the thematic working groups.” It is not clear how far this system is working in practice.

## A11. Lands, Housing and Urban Development Sector

### 1. Sector Plan

Score	Minimum Requirements
B (3)	Current sector Plan aligned with NDP II prepared with input from some external stakeholders

The second sector plan, aligned to NDPII, was prepared in July 2016 and covers the period 2015-16 to 2019-20 following the NPA format. The plan was developed through a consultative process with the SWG, which included DPs. CSOs such as the Uganda Land Alliance, and the Surveyors Board contributed actively to the review and planning process. The sector includes only two MDAs: the Ministry of Lands, Housing and Urban Development (MLHUD) and the Uganda Lands Commission(ULC), which manages Government owned land. Whilst MLHUD claim the plan is available on the Ministry web site, I was not able to find it.

### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
C (2)	Multi-year budget produced

There is a multi-year budget in the sector plan, but it is not clear how this fits with NDPII or MTEF allocations. It could be strengthened with an analysis of funding to the sector and better presentation of priority investment opportunities. The plan does not have total cost estimates by sub-sector or for the overall sector. It needs to be broken down by recurrent and development costs. There is a list of DP projects, but this could be improved with information on timeframes, amounts committed and links to the sector plan. The sector should aim to update the sector investment budget on an annual basis.

### 3. Results Monitoring Framework

Score	Minimum Requirements
C (2)	Sector Results monitoring framework defined with key indicators to track progress

The Sector Plan includes a monitoring framework with some key outcome indicators and outputs measures with baselines and targets. A consultant is being hired to help model the impacts of different investments in the sector, which can also be used for performance measurement data. The 2015-16 annual report has good information on output level indicators but could be much improved with a few key outcomes measures with analysis of progress and challenges (e.g. % land surveyed and titled / % GoU land titled). The Secretariat is planning to operationalize the monitoring system from the new sector plan this year. There is a new emphasis on outcome measures that is linked to the transition to Programme Based Budgeting.

### 4. Annual Review Meetings

Score	Minimum Requirements
C (2)	At least one annual review meetings held in the past two years

The first annual review meeting was held in November 2016 with support from a World Bank project and the DP working group. There was attendance from many

stakeholders (LGs, cultural leaders, other MDAs, and DPs) through advance communication. The annual review meeting report has 41 agreed actions with identified responsible agencies and timeframe. The Ministry in discussion with DPs has agreed to introduce mechanisms to monitor progress on agreed actions. DPs provided good support to the Sector Review meeting. The DPs are mainly focused on implementation of the National Land Policy, but are open to a wider dialogue. MHLUD is keen to sustain this process with regular annual meetings, but will need some resources to achieve this. The annual reviews are an important mechanism for promoting broader awareness of land and planning issues.

### 5. Technical level meetings

Score	Minimum Requirements
D (1)	No regular technical level meetings, i.e. every quarter

The sector is planning to have quarterly sector working group meetings in the future. In the past SWG meetings have been held once or twice a year depending on the need to meet for budgeting and reporting purposes, and have mainly involved GoU stakeholders. SWG meetings are chaired by the PS and participation from CSOs, who provide useful feedback, has been encouraged. There are currently no organized sub-committees. The sector coordinator agrees that it may be useful to establish sub-sectors in the future. Systems need to be developed to ensure timely production of minutes and tracking of agreed actions.

### 6. Communication and Coordination

Score	Minimum Requirements
C (2)	Secretariat for sector in place, with contact/communication system for sector institutions for coordination of meetings and reporting

The role of the Secretariat is managed by the Planning Department, but with inadequate budget for this work. The Department has 10 staff at officer level and above. There is still limited discipline for attending meetings and officials need to understand the importance and benefits of coordination. DPs mentioned the need to give adequate notice for sector meetings. The current PS is supporting the SWG meetings and this is leading to better participation. The Secretariat should continue efforts to monitor agreed actions and progress on policies.

### 7. Reporting

Score	Minimum Requirements
C (2)	One annual sector progress report has been produced over the last three financial years

The sector produced a special sector report 2006 – 2016 for the first Annual Review meeting. The report has information on annual sector outputs. There are also reports with performance information for 2012, 2013, and 2014 based on the outcome from SWG meetings with GoU stakeholders.

## 8. Sector ToR, Calendar and Workplan

Score	Minimum Requirements
D (1)	There is no agreed SWG Terms of Reference, or annual calendar / workplan

There is currently no draft terms of reference for the SWG meetings or work plan/ calendar for the sector.

## 9. External reviews / evaluations

Score	Minimum Requirements
D (1)	There have been no external reviews of actions or evaluations for the past two years

The sector needs to strengthen systems for external reviews and feedback of performance.

**Overall score: 16/36 = 44%**

### General comments:

The sector is unique in that it relates to the mandate of a single Ministry together with the Uganda Lands Commission. This make the basic coordination role fairly easy to manage, but it has also been difficult to give real meaning to a sector wide approach and to access resources for coordination. There are also two corporations involved in the sector: National Housing and Construction (jointly owned by Libya and GoU) and the Housing Finance Bank, both of which operate as private sector entities, with part ownership by Government.

The sector coordination has been dormant and needs to be strengthened, but there are promising signs with a reenergized sector working group supported with a new DP lands working group since April 2016. It would be helpful for the DPs to include urban housing and physical and urban planning as part of their coordination framework matching the Government sector mandate. There is a new Minister and a PS with experience from JLOS and evidence of commitment to strengthen sector coordination arrangements.

The sector has a major cross-cutting role which has a significant impact on the performance of other sectors such as roads/infrastructure development, accountability (GoU owned land), JLOS (there are a lot of land disputes), and private sector development, among others. Under NDPI the importance of the sector and need for related resources to strengthen land management systems, including land valuation and compensation systems, as well as improved accountability, may not have been given adequate attention. However, the importance of the sector has become apparent as large projects are delayed and resources mismanaged partly as a result of weak capacity and systems in the sector.

The organization of the first Joint Annual Review in November 2016 was a major step forward. The review was reportedly well attended with representation from a range of stakeholders. The resulting resolutions produced from the meetings also provide a good basis for identifying priority reform actions, which can be tracked over the coming year.

The DPs working group have held three meetings with MLHUD on the Lands sub-sector, but these are not seen as sector or technical working group meetings at this

stage. Representation from the sector has improved following the appointment of the new PS. MLHUD initiated the approach to DPs in 2016 in the hope of obtaining resources to support the new National Land Policy. The DP working group has 6 or 7 active DPs with a chair (EU) and a co-chair (FAO) and World Bank, which provides the major funding in the sector. DPs could assist the sector in developing more effective planning and coordination systems as well as linkages with other sectors. The DP Lands working group is also holding regular quarterly meeting with CSOs engaged in the lands sector.

The DP working group should work to strengthen Lands, Housing and Urban development sector coordination arrangements. DP engagement could help to promote sustainability, and improve the quality of planning, reporting and monitoring along with other stakeholders such as CSOs. This will increase transparency in the sector and help create a dynamic process of feedback from a range of stakeholders, including DPs. To achieve this, the DP working group would need to expand its mandate and initiate discussions on bringing the current dialogue into the sector framework. There will also be need to support the capacity of MHLUD in their sector coordination role and improve the quality of investment planning. DPs note that the funding support needs for the sector are not very clear, and further action is required to identify the priority reform areas and funding requirements.

Recommendations:

- i. DPs should align their support with the Sector Coordination Structures, including a co-chairing arrangement for meetings
- ii. MHLUD should improve the monitoring of a few outcome level performance indicators.
- iii. DPs should consider capacity building support to strengthen sector coordination, planning and monitoring. This could be managed through provision of intermittent technical support.

## A12. Public Administration Sector

The Sector is led by Office of the President and covers the following institutions: State House, Electoral Commission and Foreign Affairs. There are some cross-cutting areas of interest within the sector. The sector thinks that MoFPED is not providing strong support for a sector approach.

### 1. Sector Plan

Score	Minimum Requirements
B (3)	Current sector Plan aligned with NDP II prepared with input from some external stakeholders

There is a first sector plan that has been developed using the NPA guidelines, which covers the period 2015/16 to 2019/20. There was input from external stakeholders. The Plan is due to be printed. It is recommended to make the plan available on the internet.

### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
D (1)	No multi-year budget

There is currently no multi-year budget as part of the sector plan. An annual Sector Budget Framework paper is produced as required by MoFPED. The sector does not receive any DP support at present. There is a perception that funds are provided to individual votes rather than the sector

### 3. Results Monitoring Framework

Score	Minimum Requirements
C (2)	Sector Results monitoring framework defined with key indicators to track progress

There are some performance measures in the sector plan.

### 4. Annual Review Meetings

Score	Minimum Requirements
C (2)	At least one annual review meetings held in the past two years

The first Annual Sector review meeting was held in November 2016. The Secretariat is working on a report of the meeting, which may be out in February. Participation included some external Ministries, but no representatives from outside Government. The meeting was chaired by the Minister of the Presidency with Ministers and senior management participating and reviewed the performance of the sector. More effort is required to build linkages with relevant institutions in other sectors.

## 5. Technical level meetings

Score	Minimum Requirements
C (2)	Regular technical SWG meetings taking place with some sector entities at least quarterly with chairing at Director level or above

There are regular Technical Working Group meetings, which take place monthly with representatives from the 4 institutions, chaired by an Assistant Commissioner. This brings together Assistant Commissioners and Principle Officers. This has been functioning for the past 5 years. There are 4 sub-committees covering cross-cutting issues (environment, gender, HIV/AIDS).

The Sector Working Group meets quarterly chaired by Secretary of the President (PS level).

## 6. Communication and Coordination

Score	Minimum Requirements
C (2)	Secretariat for sector in place, with contact/ communication system for sector institutions for coordination of meetings and reporting

There are six people assigned from sector institutions to form the Secretariat. There are no dedicated staff or funding for the sector coordination. Funds are contributed from the votes.

## 7. Reporting

Score	Minimum Requirements
D (1)	There is no annual report on sector performance

There are plans to introduce sector reporting.

## 8. Sector ToR, Calendar and Workplan

Score	Minimum Requirements
C (2)	The SWG has a draft ToR or an annual calendar/ workplan,

There are Terms of Reference for the Sector Technical Working Group and other committees

## 9. External reviews / evaluations

Score	Minimum Requirements
D (1)	There have been no external reviews of actions or evaluations for the past two years

There have been no external reviews or evaluations of the sector.

Overall % score (16/36) = 36%

### General comment:

The Public Administration Sector is working to strengthen coordination through development of a sector plan, and introduction of more regular meetings and annual

reviews. However, they are constrained by limited resources for coordination work, as there is no dedicated personnel or budget for this role led by the Office of the President.

## A13. ITC Sector

### 1. Sector Plan

Score	Minimum Requirements
B (3)	Current sector Plan aligned with NDP II prepared with input from some external stakeholders

The SSIP has been produced and printed, but the final output is not included on the SWG website.

### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
C (2)	Multi-year budget produced

The MTEF exists but is not realistic. We don't think we own the MTEF. That is a MOFPED tool. We budgeted Ugx 200 billion per month but are getting Ugx 40 – 50 billion. We have no say in what actually gets funded

### 3. Results Monitoring Framework

Score	Minimum Requirements
D (1)	No sector monitoring framework

The ICT SWG was only formed in 2016. It is hardly operative and most MDA's actually report through TMT meetings. Until recently some of the MDA's did not even consider it important to report to the SWG.

### 4. Annual Review Meetings

Score	Minimum Requirements
C (2)	At least one annual review meeting held in the past two years

The SWG held an annual review meeting in September 2016.

### 5. Technical level meetings

Score	Minimum Requirements
D (1)	No regular technical level meetings

Technical committees do not meet regularly to review performance. We don't really have TWG. Our issues are discussed by TMT where MDA's report. SWG activities are generally driven by self interest. If something is not benefitting a unit, it is difficult to see how they can participate in meetings whose objectives/outcomes are not clear.

### 6. Communication and Coordination

Score	Minimum Requirements
C (2)	Secretariat for sector in place, with contact/ communication system for sector institutions for coordination of meetings and reporting

The PRO is in charge of sector communications. The SWG secretariat is the Planning Unit and it is responsible for communication and coordination. The sector does not

have any databases/ knowledge resources that have meaningful statistics. This problem cuts across all sectors of government and makes decision making that much more difficult.

## 7. Reporting

Score	Minimum Requirements
B (3)	Annual sector performance reports are produced within 6 months of the year end, and disseminated to sector participants and stakeholders including some external stakeholders

In general the sector's reporting system is not up to date and annual Sector Performance reports not adequate for publication, even if the drafts are in existence.

## 8. Sector ToR, Calendar and Workplan

Score	Minimum Requirements
C (2)	The SWG has a draft ToR or an annual calendar/ workplan

Sector TORs, calendar and work plan produced by NPA and MOFPED" These are reflected in the MOTIC ministerial statement which is part of the ministerial statement but does not necessarily get implemented

## 9. External reviews / evaluations

Score	Minimum Requirements
D (1)	There have been no external reviews of actions or evaluations for the past two years

The DCOS- District Commercial Services Support programme/projects has had an external review by DPs. Otherwise external sector reviews have not been undertaken. The DCOS project covered 25 districts but has ended. There are 120 plus local government administrative units, which made external reviews impossible. DPs do external audits of projects they finance. but do not undertake any additional reviews outside those projects they fund. No reviews of GOU projects have been undertaken because of budget constraints

**Overall score: 17/36 = 47%**

## A14. Agriculture Sector

### 1. Sector Plan

Score	Minimum Requirements
B (3)	Current sector Plan aligned with NDP II prepared with input from some external stakeholders

According to the respondents the Agriculture SWG developed a comprehensive Agriculture Sector Strategic Plan (ASSP) to replace the Development Strategy and Investment Plan, which expired in 2014/15. The new plan was prepared with support from consultants after a comprehensive review of the previous plan. The new ASSP is aligned to NDP II and covers the period 2015/16 – 2019/20. A draft version of the plan is available on the NPA web site. The ASSP is based on the work of 22 thematic teams of which 12 were commodity based. It covers 12 priority commodities (including fruit and vegetables and livestock, which cover multiple separate commodities) and 4 strategic commodities. It was based on sector issue papers that were developed by the thematic teams and multiple sector stakeholders, including DPs, along the value chain participated in its formulation. The SWG has also developed a framework for implementation of each thematic area. There are also on-going efforts by MAAIF aimed at realigning the ASSP to the Maputo Declaration. This was not done at the time of developing the ASSP due to the fact that the Maputo Declaration Document was not ratified then. More than two years into implementation the ASSP is yet to be approved by Cabinet.

### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
C (2)	Multi-year budget produced

According to the respondents, the MTEF is “determined by forces beyond us”, even if it is based on medium term priorities and the governing party manifesto. The MTEF is also constrained by NDP II objectives and guided by the Budget Call Circular. The ASSP includes both a constrained budget with the allocations based on those in NDP II as well as an ideal budget for the sector. The plan also has Annexes with the detailed intervention breakdowns to justify the two budget estimates and guide DP interventions. The information could be improved with more information on current development partner support to the sector. There should also be better tracking and reporting on the evolving multi-annual budget, major investment programmes and DP support. If the sector development plan were unconstrained, ASSP expenditure requirements are estimated at Ugx 6.9 trillion. In 2017/18 the MTEF allocation amounts to 846 bn against the ideal Ugx 1.4 trillion, which is required in order to fulfill the Maputo Declaration of at least 10% agricultural budget. However, this analysis fails to take account of expenditure outside the sector (roads, water, finance, etc), which contributes to agriculture.

### 3. Results Monitoring Framework

Score	Minimum Requirements
C (2)	Sector results monitoring framework defined with key indicators to track progress

A results monitoring framework has been put in place with OPM blessing. The sector follows the PBB guidelines and has developed a monitoring framework with 3 outcome

areas and output indicators. Implementation of the M&E framework should be strengthened and linked to financial performance.

It is also clear that M&E in respect of budget execution is a function of OPM, but there are no organs for enforcing execution. Each agency must have an M&E plan but this is unfunded. MAAIF adopted a commodity approach in the sector strategic plan (the DISP and its successor, the ASSP), which the Agriculture DPs have also adopted. MAAIF does not have a single harmonized M&E system. According to the ASSP: “MAAIF departments and agencies will adapt the national M&E policy in order to align them with the higher level M&E framework and to facilitate national level monitoring of the agriculture component of the NDP II. ...there are inadequacies in the harmonization of roles and activities undertaken by the M&E units of agencies such as NARO and NAADS with those of the main M&E division in the MAAIF Planning Department.” There is an M&E Unit in the Ministry but it does not report progress to the SWG.

#### 4. Annual Review Meetings

Score	Minimum Requirements
B (3)	Annual review meetings held annually for past three years, with high level chairing at Permanent Secretary level (or equivalent) and participation of some interested stakeholders

There are Joint Annual Reviews Meetings and semi-annual technical review meetings, which have been held regularly for the past six years. Both DPs and Civil Society representatives participate at the meetings. Annual sector monitoring reports are prepared for presentation at the Annual Review Meeting. These reports are subjective and only consider final outputs (green/red), without proper regard to intermediate processes, which are equally important. There are also performance reports presented during the Joint Agriculture Sector Annual Review by the Budget Monitoring Unit of the MoFPED.

#### 5. Technical level meetings

Score	Minimum Requirements
C (2)	One annual sector progress report has been produced over the last three financial years

In the past, the Agriculture SWG planned to meet 9 times a year. This has dropped to quarterly. Only the MDAs and DPs are active/regular members of the SWG. DPs are concerned that these meetings are not well managed and do not promote effective coordination, with the main emphasis on getting approval of projects and the national sector budget, with limited meaningful dialogue on sector issues. Active participation of related line ministries, private sector, academia and CSOs, and better chairing and preparation of meetings would improve the quality of discussions/debates. There are no Technical sub-groups under the SWG.

#### 6. Communication and Coordination

Score	Minimum Requirements
C (2)	Secretariat for sector in place, with contact/communication system for sector institutions for coordination of meetings and reporting

The role of secretariat is managed by the M&E Unit in the Planning Department and is responsible for communication with stakeholders.

## 7. Reporting

Score	Minimum Requirements
C (2)	Annual sector performance reports are produced within 6 months of the year end, and disseminated to sector participants and stakeholders including some external stakeholders. The report contains comprehensive information on the outputs from the sector.

The last Annual Sector Performance Report received by DPs covers the period 2014/15. According to DPs there is need to improve the quality of these reports with more comprehensive information of outputs and analysis of key performance indicators. The sector actors usually wait for the Joint Agriculture Sector Annual Review, i.e. after the end of the year, to report or receive reports on activities and performance.

## 8. Sector ToR, Calendar and Work plan

Score	Minimum Requirements
C (2)	The SWG has a draft ToR or a draft annual work plan,

Approved Terms of Reference for the SWG are on the web site and in the ASSP. There is no annual sector work plan produced by the sector.

## 9. External reviews / evaluations

Score	Minimum Requirements
D (1)	There have been no external reviews of actions or evaluations for the past two years

There have been no external sector reviews in the passed two years..

**Overall score: 19/36 = 53%**

### General Comments:

The sector appears to poorly coordinated with MDAs such as NAADS, UCDA and CDO working autonomously. This has created an environment of suspicion and poor coordination. The working parts of the sector seem to be incentive based, i.e. the non-approval of budgets is the basis for some of the meetings taking place. By end of the first half of FY 2016/17, only 30% of the budget had been disbursed and this makes it difficult to implement agreed programs.

There is currently limited coordination between the Agriculture Sector Working Group (ASWG) and other agriculture related SWGs e.g. Office of the Prime Minister (OPM), Ministry of Water and Environment (MoWE) and Ministry of Trade, Tourism and Industry (MTTI). A number of multi-sectoral projects under OPM e.g. PRDPIII and NUSAFIII are hardly coordinated with the Ministry of Agriculture (MAAIF). Similarly, although OPM is trying to mediate and come up with one national irrigation policy, there is apparently no agreement between MAAIF and MoWE as to who should take the lead role in water for production. Furthermore, MAAIF appears to take a backseat (compared to MTTI) when it comes to promoting agriculture exports. Besides MTTI

and MAAIF, promote different agricultural value chains. A biannual inter-sectoral coordination meeting would perhaps improve coordination.

There are many agricultural related programmes and projects scattered in different ministries (OPM, MTTI, MoWE, MoLG) as well as DP off budget projects. The lack of a common agricultural databank makes it difficult to know the actual total sectoral investment in the agriculture sector. It also makes it difficult to coordinate and harmonize the interventions. The involvement of CSO's and the private sector in the activities of the SWG is also limited, yet most agricultural activity is undertaken by the private sector.

## A15. Security Sector

### 1. Sector Plan

Score	Minimum Requirements
B (3)	Current sector Plan aligned with NDP II prepared with input from some external stakeholders

The sector plan is publicly available and is classified as an 'open' document, even if it is not included on the sector website. The sector has an SDP running from FY 2015/16 to 2019/20. However there is no strategic plan. Efforts are afoot to develop one for the FYs 2017/18 to 2019/20.

### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
C (2)	Multi-year budget produced

The sector does not have DP funded projects due to its peculiar nature. The MTEF is viewed as consisting of three levels, viz the requirements of the sector, the budget provision and the releases. The MTEF is based on 5-year projections, which change every budgeting cycle. However, the sector's allocated budget is generally met every year. The MTEF and NDPII do not appear to be aligned as far as the SWG is concerned.

### 3. Results Monitoring Framework

Score	Minimum Requirements
C (2)	Sector Results monitoring framework defined with key indicators to track progress

A results' monitoring framework is in place with annual targets. M&E activities are based on annual plans, which were based on the OBT. However there is a shift to the PBS of reporting to reflect the program approach.

### 4. Annual Review Meetings

Score	Minimum Requirements
B (3)	Annual review meetings held annually for past three years, with high level chairing at Permanent Secretary level (or equivalent) and participation of some interested stakeholders

The last annual review was held in September 2016. The ASPR is based on quarterly reports, which are amalgamated into the annual report

### 5. Technical level meetings

Score	Minimum Requirements
C (2)	Regular technical SWG meetings taking place with some sector entities at least quarterly with chairing at Director level or above

There are regular SWG meetings. The sector has one SWG, which is multifunctional. There is only one director (veterans' affairs) in the sector because of its peculiar nature. Civil activities that relate to the public service are managed by commissioners, and directors head directorates, which are established army structures. There are no

specific budget provisions for the conduct of the SWG meetings and this creates constraints on coordination. There are no direct stakeholders involved in the sector's activities. The AMISOM arrangement is basically designed to facilitate international peacekeeping operations and its disbursements are done through the AU.

## 6. Communication and Coordination

Score	Minimum Requirements
C (2)	Secretariat for sector in place, with contact/communication system for sector institutions for coordination of meetings and reporting

The SWG has a permanent secretariat responsible for communication, given its sensitive and central nature. There is however a need to strengthen coordination because despite the nominal structure of the sector, ISO and ESO are MDA's under the President's Office. These MDAs are also funded in their individual right yet the SWG has to coordinate them in its activities. Coordination between MOFPED, OPM and NPA is perceived to be poor, as these organs demand different reporting formats, which replicates work.

## 7. Reporting

Score	Minimum Requirements
B (3)	Annual sector performance reports are produced within 6 months of the year end, and disseminated to sector participants and stakeholders including some external stakeholders. The report contains comprehensive information on the outputs from the sector.

ASPR produced on a timely basis

## 8. Sector ToR, Calendar and Work plan

Score	Minimum Requirements
B (3)	The SWG has an approved ToR and an annual workplan for tracking priority outputs

The sector has an approved sector work plan based on the sector TORs. This year planner is publicly available.

## 9. External reviews / evaluations

Score	Minimum Requirements
D (1)	There have been no external reviews of actions or evaluations for the past two years

The nature of the sector's activities does not allow for external reviews. The only external assessments are the audit reviews conducted by the OAG.

**Overall score: 21/36 = 58%**

### General Comments:

The Security SWG is unique because it has little or no donor participation. It has three MDA's namely MODVA, ISO and ESO. Notably it excludes Police. Whilst there was a

proposal to restructure the SWGs and include Police in this sector, the proposal has never been implemented. Operationally, organs like Police, JATT, JIC and JOC are critical to the sector's activities but are not part of the SWG deliberations. Because these organs are not part of the SWG, conflicts in priorities are common, and as a result, some activities may not be well coordinated. The SWG feels there is a strong need to restructure the SWGs as the original thinking behind the SWAP may no longer be relevant to current conditions.

## A16. Karamoja – Cross-Cutting Programme

### 1. Sector Plan

Score	Minimum Requirements
B (3)	Current sector Plan aligned with NDP II prepared with input from some external stakeholders, including DPs

There is a Karamoja Integrated Development Plan (KIDP II) for the period 2015/16 to 2019/2020, which is aligned with NDP II, and sets out the objectives and planned outputs from each of the 5 focal sectors (education, agriculture, water, health, and roads) and 5 special programmes (community reconstruction / alternative livelihoods, law & order, security, social protection and coordination / M&E). The plan is still to be formally agreed with interested partners and adopted by Government/OPM. It was developed based on a desk review and some limited consultation with DPs, which emphasized the following constraints in the process:

- i. “Lack of baseline for most of the indicators at output and outcome levels;
- ii. Limited availability of monitoring data and evaluations at program and intervention levels;
- iii. Reports are often rather descriptive with limited reflection on results; and,
- iv. Input from some sector focal persons has been delayed and most of the times insufficient.”

The review team also faced challenges in verifying the financial figures provided by the Sectors.

The plan is a good starting point for coordination, though it would benefit from further analysis of the constraints and challenges to increased equality with the rest of Uganda. For example there is need for analysis of the challenges of ensuring that the mineral sector is properly managed to ensure benefits to the region. The situation analysis at sector level should have some information on the specific challenges and opportunities in Karamoja. It would help to have some key outcome measures to assess progress, priorities and major investments.

There is need for more information on the overall strategic direction, as well as a few the plan would also benefit from more clarity on development partner funding and action to improve aid effectiveness. The plan was developed through engagement with the relevant sector MDAs, the Karamoja Local Governments, implementing NGOs, DPs and some CSOs working in the region. It would be helpful if the KIDP plan and related documents are uploaded on the OPM website after approval, so it is more easily available to the public.

### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
D (1)	No multi-year budget

There is a basic budget in the draft plan, but this could be improved with a multi-year presentation and more information on development partner funding, along with details of proposed major project interventions. According to OPM, the budget is designed to provide a framework for DP contributions. Ideally this information should be updated on an annual basis. It would also be helpful to have some analysis as to how the proposed budget aligns with past allocations and proposed NDPII and MTEF

projections. The Development Partner working group has assisted OPM with analysis of DP support and a detailed breakdown of funding for Karamoja, including planned commitments for 2017. For the first time there is now comprehensive information on all the NGO projects by sector and District. The report on DP funding issued in November 2016 is produced by the Karamoja Resilience Unit funded by USAID. It highlights the scale and fragmentation of aid programmes in Karamoja with 46 different projects, supported by 10 DPs with the majority implemented by NGOs and UN agencies targeting basic social services, social protection and food security for the vulnerable. The projections indicate increased funding from DPs, which brings both opportunities and risks.

### 3. Results Monitoring Framework

Score	Minimum Requirements
C (2)	Sector Results monitoring framework defined with key indicators to track progress

There is a monitoring framework in the KIDP with some selected outcome level performance indicators and numerous output measures. There is need to agree definitions, data sources, baselines and targets, in particular for the a limited number of outcome indicators, and to start reporting progress on an annual basis. Some few output measures are currently reported as part of GAPR.

### 4. Annual Review Meetings

Score	Minimum Requirements
C (2)	At least one annual review meeting held in the past two years

There was a high level Joint Policy Meeting chaired by the Minister for Karamoja held in Moroto in November 2016, which could be considered equivalent to an annual review. There was good attendance, from DPs, District officials, MPs, and international and local NGOs. The meeting recognized the need for improved coordination of programmes and more emphasis on aid effectiveness principles. There is a report on the outcomes from the meeting, which could be strengthened with presentation and follow up of agreed actions.

### 5. Technical level meetings

Score	Minimum Requirements
D (1)	No regular technical level meetings

The Karamoja Technical Working Group meetings are supposed to be held quarterly in Kampala chaired by the Under-Secretary for Pacification with technical officers from focal sector, District leaders and representatives from DPs, INGOs and local NGOs. Below this there is a Karamoja Inter-Agency Forum, chaired by the Assistant Commissioner for Karamoja, which is supposed to meet quarterly in Moroto with technical sector officers, and representatives from DPs and NGOs. Policy Committee meetings are also supposed to be held chaired by the Minister for Karamoja. However, in 2016 there have not been regular meetings of either of these committees due to limited resources. In 2016 there was one Inter-Agency Forum meeting in Moroto in April 2016. OPM have indicated that they aim to introduce regular TWG meetings. Ireland as the new Chair of the Karamoja DP group has been actively promoting

improved coordination. There are discussions on introducing a co-chair arrangement for the Inter-Agency Forum.

## 6. Communication and Coordination

Score	Minimum Requirements
C (2)	Secretariat for sector in place, with contact/ communication system for sector institutions for coordination of meetings and reporting

The Secretariat role is managed by the Assistant Commissioner for Karamoja with 8 staff. There is need to improve timely invitation for meetings, especially when they are held in Moroto, as adequate notice is required for DP attendance. Representatives have been agreed for international NGOs, and local NGOs. It is also important to have timely production and sharing of minutes of meetings and agreed actions with stakeholders.

## 7. Reporting

Score	Minimum Requirements
D (1)	There is no annual report on sector performance

There is need to strengthen systems for reporting on the progress of support to Karamoja at the national level. The reporting is currently limited to the normal Ministerial and output budgeting reports. This is partly due to the fragmented implementation approaches.

## 8. Sector ToR, Calendar and Work plan

Score	Minimum Requirements
D (1)	There is no agreed SWG Terms of Reference, or annual calendar / work plan

The sector would benefit from agreed ToR for the different committees, to improve clarity of the role of these groups. It would also help to agree to an annual calendar and work plan setting out priority issues to be tracked.

## 9. External reviews / evaluations

Score	Minimum Requirements
D (1)	There have been no external reviews of actions or evaluations for the past two years

There is need to agree mechanisms for external reviews of the support to the Karamoja region. Currently there are only DP project reviews and evaluations.

**Overall score:** 14/36 – 39%

**Grading of institutions based on performance:**

**General comments:**

There is urgent need to strengthen coordination of development assistance to Karamoja, which is currently fragmented with multiple DP projects and a large number of implementing agencies (NGO and UN). The challenges are complex as it also involves focal sector line Ministries and local governments in the region. In the past six months there have been positive signs of improved coordination. There is an active

development partner working group led by Ireland, which has undertaken mapping and analysis of donor and NGO programmes. The work was supported by USAID through the Karamoja Resilience Support Unit (KRSU), whose role includes technical support to DPs. This initiative has been welcomed by OPM, which is responsible for coordination of support to the region. Most DPs are committed to improving coordination of their assistance to achieve greater impact. A high level Joint Policy Coordination meeting was held in Moroto in November 2016, which shared the outcome from the Donor / NGO mapping exercise. Consultation has started on ways to improve the arrangements and capacity for coordination at the central and regional level.

The Karamoja Coordination arrangements are linked to the PRDP Northern Uganda programme, with the aim of adapting support to the specific challenges in the region.

Stronger government leadership is required to build on this momentum. There is need for strengthened commitment from OPM senior managers to improve coordination systems with DPs, reduce fragmentation of projects over time, increase alignment around agreed objectives, and monitor key performance measures. DPs should be encouraged by GoU to work together in building coordination capacity at the District level. As a first step there should be a joint review of coordination structures, to define improved systems including purpose, Terms of Reference, participation, location and regularity of meetings. One of the challenges for Karamoja is to increase the engagement and confidence of the local leadership and communities in the development agenda.

Some areas that may be considered as priorities are:

- Build capacity for strengthened District-led coordination systems
- Strengthening the Karamoja planning and monitoring framework
- Joint DP – reviews & evaluations, technical support, capacity building, and programming
- Developing appropriate technical responses to challenges in Karamoja, such as: livestock management, agriculture and food security, and mining / oil policies & regulation. There are already examples of this occurring in water resource management and social protection.
- Famine response linked to early warning systems

It is recommended to introduce co-chairing of meetings with development partners to promote joint planning of the agenda, agreement on timing and systems for recording and follow up of decisions. This approach has worked well in other sectors. It is important to change the perception amongst some stakeholders that joint coordination meetings are “negative”, rather than constructive. There is a feeling that the meetings are an opportunity to blame various partners, in particular NGOs, regarding their performance. It is important to increase interaction with leaders in the region and to ensure planning and policies reflect the realities and interests of beneficiary communities.

A specific focus is required to strengthen capacity for results based monitoring at the District and regional level. The first step is to reach agreement on the core data needs, which could be used to measure progress and to identify existing data sources for baselines and setting of future targets. This is a long -term process that should be

developed with the Districts and OPM to ensure that monitoring systems are sustainable, building on existing data sources in the various sectors, including UBOS. It is important to start with relatively simple frameworks, which can be managed from existing data sources.

There is an immediate challenge for OPM and DPs to ensure that existing and planned technical support initiatives have positive impacts on coordination and capacity building at District level. The USAID are financing the Karamoja Resilience Support Unit, which is based in Kampala and provides technical and coordination services for the Karamoja DP group. DFID are also planning to provide technical support (Delivery Unit) to build capacity as part of a new programme and the EU intends to establish a programme management unit in OPM for implementation of its new programme for Karamoja and Northern Uganda with a local office in Moroto. Both World Bank and IGAD have Programme Management Units in OPM with activities in Karamoja. DPs need to discuss how these various initiatives can be harmonized taking into account aid effectiveness principles. There is already dialogue on this issue, including the division of DP support to build capacity of the different Districts, and provision of joint donor support to the KRSU.

There is general agreement that the Joint Policy meeting for Karamoja, which took place in Moroto in November 2016, was extremely useful. The meeting was unique in that it engaged a wide range of stakeholders, including Local Government, DPs, MPs, INGOs, and Local NGOs. It was also a constructive meeting and prepared through the joint efforts of the OPM and the DP working group. It is proposed that OPM should sustain this approach with annual Joint Policy Meetings held in the region to build on this success, promote analysis and sharing of performance, consultation on challenges, agreement on priorities, and follow up actions for the coming year.

Recommendations:

- i. Update terms of reference and arrangements for Karamoja programme coordination under OPM, including co-chairing by the DP Chair;
- ii. Increased focus and alignment of DP capacity building support for Local Government coordination and monitoring of assistant programmes;
- iii. Strengthen linkages with selected line Ministries, and organisations with expertise, to adapt services to the priority needs in Karamoja;
- iv. Maintain annual high-level meeting chaired by the Minister in Karamoja for annual review of progress in delivery of KIDP and consultation on constraints and opportunities.
- v. Strengthen systems for monitoring progress of KIDP at outcome level

## Annex 2: SWGs and Cross Cutting Groups

### A. Service delivery sectors:

**Education:** Ministry of Education and Sports, UNEB, National Curriculum Development Centre, 10 Universities, Management Institute, LG/KCCA  
Sector Coordinator: Eilor Joseph- 0772501730  
DPs lead: **AfDB / Belgium**  
CSOs: Forum for Education NGOs?  
Private Sector:  
Sector Plan: 2007-2015? New plan to be developed

**Health:** Ministry of Health, Aids Commission, Cancer Institute, Heart Institute, NMS, Health Service Commission, UBTS, Butabika, Mulago Hospital, Virus Research Institute, Regional Referral Hospitals, LG and KCCA Health services  
Sector Coordinator: Henry Mwebesa - 0772221291  
Lead DP: **Belgium/ UNFPA**  
CSOs:  
Private Sector:

**Agriculture:** Ministry of Agriculture, Animal Industry and Fisheries, Dairy Development Authority, Animal Genetic Resource Centre, NARO, NAADS, Cotton Development Organisation, Coffee Development Authority, LG/KCCA agriculture services.  
Sector Coordinator: Fred Mayanja - 0772434548  
Lead DP: **FAO/JICA**

**Justice, Law and Order:** Ministry of Justice and Constitutional Affairs, Internal Affairs, Prisons, Police, Judiciary, Law Reform Commission, Human Rights Commission, DPP, Judicial Service Commission, Law Development Centre, Government Analytical Lab, Registration Services Bureau?, Citizens and Immigration Control Board?  
Sector Coordinator: Sam Wairagala - 0772503593  
Lead DP: **EU**

**Social Development:** Ministry of Gender, Labour & Social Development, Equality Opportunities Commission,  
Sector Coordinator: Leo Nampogo - 0779655176  
Lead DPs: Social Protection – **UNICEF/WFP**; Gender - **Sweden**

**Tourism, Trade and Industry:** Ministry of Trade Industry & Cooperatives, National Bureau of Standards, Industrial Research Institute, Export Promotion board, Ministry of Tourism, Wildlife & Antiquities, Tourism Board.  
Sector Coordinator: Micheal Wamibu - 0782447598  
DP leads: Private Sector Development – **WB/USAID**; Tourism - **UNDP**

**Security:** Ministry of Defence, ISO, ESO  
Sector Coordinator: Charlotte Kajumba - 0752658648

## **B. Infrastructure Services and Natural Resource Management Sectors**

**Transport:** Ministry of Works and Transport, UNRA, Road Fund, LG/KCCA works and transport, (also covers rail, air and water transport: URC, CAA?)

Sector Coordinator: Vincent Ssozi - 0772320334

Lead DP: **EU / Japan**

**Water and Environment:** Ministry of Water and Environment, NFA, NEMA, Meteorological Authority, LG/KCCA water and environment.

Sector Coordinator: Denis Ocare - 0772390763

Lead DPs: Water and sanitation – **WB/ Germany**; Environment/Climate Change - **EU**

**Information and Communication Technology:** Ministry of Information & Communication Technology, **NITAU**

Sector Coordinator: Mugenyi Steven - 0702320133

**Energy and Mineral Development:** Ministry of Energy and Minerals, Rural Electrification Agency, Energy Parastatals?

Sector Coordinator: Emmanuel Ejutu - 0712250142

Lead DP: **Norway/Netherlands**

**Lands, Housing and Urban Development:** Ministry of Lands, Housing & Urban Development, Land Commission.

Sector Coordinator: William Turyomurugyendo - 0702501880

Lead DP: land - **EU**

## **C. Supporting Service Sectors**

**Accountability:** MoFPED, IGG, Directorate of Ethics and Integrity, Financial Intelligence Authority, OAG, URA, PPDA, UBOS, MoLG (Inspectorate), Ministry of Public Service (Inspection)

**PEMCOM:** PFM reform – MoFPED, URA, PPDA, OAG, MoPS (payroll), MoLG Inspectorate Division, Parliament.

Sector Coordinator: Anthony Mwanje - 0772644546

Lead DPs: **PFM – USAID/DFID**; **AWG – DFID/USAID** (fight against corruption)

CSOs: CSBAG

**Public Sector Management:** OPM, MoPS, East African Affairs, NPA, Public Service Commission, MoLG, LGFC

Decentralisation Sector:

Sector Coordinator: Marvin Ssenkungu - 0705490362

Lead DPs: Public Service – WB; Decentralisation – UNDP

CSOs:

**Public Administration:** Office of President, State House, Foreign affairs, Electoral Commission.

Sector Coordinator: Mulamba Tonny – 0782186787

**Legislature:** Parliament

Sector Coordinator: Josephine Watera - 0776123523

## **D. Other Cross-cutting Groups:**

**Nutrition:** OPM

Lead DP: **USAID/WFP**

**Northern Uganda:** OPM

Lead DPs: **UNDP/EU**

**Karamoja:** OPM

Lead DPs: **Ireland/WFP**

**HIV/AIDS - MoH?**

Lead DP: **Clinton Health Access**

**National Committee on Environment**

**Chair: ?**

**Sustainable Development Goals:** SDG Policy Committee, Steering Committee and Task Force

**UN Development Assistance Framework – JOINT UNDAF Steering Committee**

## Annex 3: SWG Performance Indicators

### 1. Sector Plan

Score	Minimum Requirements
A	Current strategic sector plan which is aligned to NDP – II Prepared with input and agreement from key stakeholders (DPs, CSO, private sector) and available on the internet, with implementation timeframe.
B	Current sector Plan aligned with NDP II prepared with input from some external stakeholders
C	Current sector plan
D	No current sector plan

### 2. Multi-year Budget (MTEF)

Score	Minimum Requirements
A	'B" + Realistic multi-year budget with separation of capital and recurrent costs; comprehensive information on DP funding; available to the public on the internet; and, being reviewed and updated on an annual basis
B	Multi-year budget aligned with MTEF/NDPII and including DP funded projects
C	Multi-year budget produced
D	No multi-year budget

### 3. Results Monitoring Framework

Score	Minimum Requirements
A	Same as required for "B" + with annual targets for three future years, including a system for tracking key outputs, and analysis of results in sector reports, with information available to the public on the internet.
B	Sector results monitoring framework in place, including a selection of key outcome indicators, agreed with external stakeholders, linked to sector objectives and being reported on at least annually
C	Sector Results monitoring framework defined with key indicators to track progress
D	No sector monitoring framework

### 4. Annual Review Meetings

Score	Minimum Requirements
A	"B" + with participation of a range of stakeholders (DPs, Civil Society groups, private sector entities), and reporting and tracking of key decisions taken and information on annual reviews made available to the public on the internet

B	Annual review meetings held annually for past three years, with high level chairing at Permanent Secretary level (or equivalent) and participation of some interested stakeholders
C	At least one annual review meetings held in the past two years
D	No annual review meetings held in the past two years

### 5. Technical level meetings

Score	Minimum Requirements
A	“B” + Technical level meetings include a range of internal and several external stakeholders, and there are a number of sub-groups for follow up of implementation/ specific tasks.
B	“C” + Technical meetings include most sector entities, at least one external stakeholder, and at least one functioning sub-group is in place for follow up of specific implementation components / tasks.
C	Regular technical SWG meetings taking place with some sector entities at least quarterly with chairing at Director level or above
D	No regular technical level meetings

### 6. Communication and Coordination

Score	Minimum Requirements
A	“B” + including communication with a range of external stakeholders (DPs, CSOs, private sector), and minutes include follow up of agreed actions, disseminated to all participants/ stakeholders.
B	“C” including communication and coordination with some external stakeholders, and timely information for meetings (at least 1 week), and timely minutes of meetings (within 1 month)
C	Secretariat for sector in place, with contact/ communication system for sector institutions for coordination of meetings and reporting
D	No established Secretariat with regular communication and coordination system

### 7. Reporting

Score	Minimum Requirements
A	Annual sector performance reports have been produced for the past three financial years, within 3 months of the year end, , and reports are available to the public on the internet. The reports contain comprehensive information on outputs and analysis of progress in achieving outcomes with information on key indicators.

B	Annual sector performance reports are produced within 6 months of the year end, and disseminated to sector participants and stakeholders including some external stakeholders. The report contains comprehensive information on the outputs from the sector.
C*	One annual sector progress report has been produced over the last three financial years
D*	There has been no annual report on sector performance

Note: Sector level report with narrative information on the progress of the sector outputs and analysis of performance measures for sector outcomes

### **8. Sector ToR, Calendar and Workplan**

Score	Minimum Requirements
A	The SWG has an approved ToR updated in the past three years, and an agreed annual calendar / workplan which includes the current priorities for the sector, both of which are publicly available.
B	The SWG has an approved ToR and an annual workplan for tracking priority outputs
C	The SWG has a draft ToR or a draft annual workplan,
D	There is no agreed SWG Terms of Reference, or annual workplan

### **9. External reviews / evaluations**

Score	Minimum Requirements
A	There is a regular programme of external reviews of the sector, with reports actively followed up by the sector and evidence of action on recommendations
B	There has been more than one external review of the sector over the past two years, with recommendations that have been followed up at sector meetings
C	There has been at least one external review of the sector programme in the past two years
D	There have been no external reviews of actions or evaluations for the past two years

### **Management / integration of Cross-Cutting Objectives**

#### **Grading of institutions based on performance:**

Points will be allocated according to the performance as follows:

A = 4, B = 3, C = 2, D = 1

Total score will be added and calculated as percentage of total points available: 36, to allow broad comparison of progress.

## Annex 4: Sector Working Group Contacts

	Sector	Sector Lead Agency	Contact of Coordinator	DP Working Group(s)
1	Public Sector Management	PS/Office of the Prime Minister	Marvin Ssenkungu 0705490362	1. Public Sector Management – Barbara Magezi (World Bank) 2. Decentralisation and Local Development – Innocent Ejolu (UNDP)
2	Public Administration	Secretary/Office of the President	Mulamba Tonny 0782186787 Rauben Mwebendezi (Senior Asst Secretary – Office of the President 0752657704 rmwebendezi@yahoo.com	
3	Justice, Law and Order	Solicitor General	Rachel Odoi rodoi@hotmail.com Sam Wairagala 0772503593 swairagala@jlos.co.ug 774 456 742	1. JLOS – Thomas Tiedemann and Paul Otim (EU) 2. Democracy and Human Rights – Theo Oltheten and Grace Babihuga (The Netherlands)
4	Accountability	PS/ST, MoFPED	Anthony Mwanje 0772644546 Anthony.Mwanje@finance.go.ug	1. Accountability – Sharma Bhavna and Joyce Ngaiza (DFID), Mark Wilson (USAID) 2. Accountability Extractives – Jonathan Bhalla 3. PFM – Charles Egu (USAID), Jonathan Bhalla (DFID) 4. Donor Economist Group -Paul Mullard (DFID) and Enock Nyorekwa-Twinoburyo (EU) 5. Private Sector Development - see below under Trade and Tourism (13)
5	Water and Environment	PS/Ministry of Water and Environment	Denis Ocare 0772390763	1. Water and Sanitation – Caren Blume (Germany) and Samuel Dawuna (World Bank) 2. Environment/Natural Resources – Shawna Hirsch (USAID) and Michelle Labeuu (EU) 3. Climate Change – Robert Towers (DFID) and Jalia Kobusinge (EU)
6	Health	PS/Ministry of Health	Henry Mwebesa 0772221291 mwebesah@yahoo.co.uk	1. Health – Edson Muhwezi (UNFPA), Andrea Sternberg (USAID), and Juliet Batarangaya (WHO) 2. HIV/AIDS – Andrew Musoke (CHAI) and Jotham Mubangizi (UNAIDS) 3. Sanitation (See above with water)

	<b>Sector</b>	<b>Sector Lead Agency</b>	<b>Contact of Coordinator</b>	<b>DP Working Group(s)</b>
7	Education	PS/Ministry of Education and Sports	Eilor Joseph 0772501730	Education – Sam Vanuytsel (Belgium) and Ed Barnett (DFID)
8	Works and Transport	PS/Ministry of Works and Transport	Peter Kabanda 0772427430 kabanda64@yahoo.com Ssozi Vicent 0772320334	Transport – Cedric Merel, Fiona Nakasiga and Agnieszka Skiba (EU)
9	Energy and Mineral Development	PS/Ministry of Energy and Mineral Development	Emmanuel Ejutu 0712250142	Energy and minerals – Hans Peter Christophersen (Norway), Jorn Leeksma (The Netherlands)
10	Lands , Housing and Urban Development	PS/Ministry of Lands, Housing and Urban Development	William Turyomurugyendo 0702501880 turyo_rwampunu@yahoo.com	Lands – Aloys Lorkeers and Adolpho Cires Alonso (EU)
11	Information Communications & Technology	PS/Ministry of Information, Communications Technology and National Guidance	Mugyenyi Steven 0702320133	
12	Social Development	PS/Ministry of Gender, Labour and Social Development	Leo Nampogo 0779655176 leonampogo@yahoo.com	1. Social Protection – Christine Wright (WFP) and Endeshaw Tadesse (World Bank) 2. Gender – Johan Bergqvist (Sweden) and Claire Hawkins (UN Women)
13	Trade and Tourism	PS/Ministry of Trade, Industry and Cooperatives	Micheal Wamibu 0782447598	1. Private Sector Development – David Rogers and Patricia Habu (USAID) and Moses Kibirige (World Bank) 2. Tourism – Wilson Kwamya (UNDP)
14	Agriculture	PS/Ministry of Agriculture, Animal Industry and Fisheries	Fred Mayanja 0772434548	Agriculture and Rural Development – Paul Lubega (JICA) and Alessandro Marini (IFAD)

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	<b>Sector</b>	<b>Sector Lead Agency</b>	<b>Contact of Coordinator</b>	<b>DP Working Group(s)</b>
15	Security	PS/Ministry of Defence	Charlotte Kajumba 0752658648	
16	Legislature	Clerk to Parliament	Josephine Watera 0776123523	

## Annex 5: People Met/Interviewed

Ssansa Mugenyi,	Acting Director, Coordination, Monitoring and Evaluation
Samuel Galiwango,	Officer, Policy Coordination
Asger Borg	World Bank – LDPG Secretary
Anthony Mwanje	Accountability Sector Coordinator
Stephen Ojambo	Treasury
Alex Stevens (DFID)	Chair, Accountability Working Group
Marc Wilson (USAID)	Co-chair, Accountability WG
Charles Egu (USAID)	Chair, DP PFM Working Group
Keith Muhakanizi	ST/PS MOFPED
Christine Guwatudde	PS OPM
Fredrick Ssansa Mugenyi	Ag. Director M& E, OPM
Boaz Musimenta	Senior Policy Analyst, OPM
Maureen Bakunzi	Asst. Commissioner, OPM
Marvin Ssenkungu	Economist, OPM
Patrick Birungi,	NPA
Joseph Eilor,	Asst. Commissioner, MOES
Edson Tusiime	MOES
Bonny Phillip Mavyuva	MOES.
Agnes Ocitti Arach	MOES
Denis Ocare, Asst Comm	M& E, MWE
Samuel Otaba,	M&E Officer, MWE
Fred Mayanja	Asst Commissioner, MAAIF
Daniel Kigula	M&E Officer, MAAIF
Margaret Luzige	Principal Policy Analyst, MTTI
George Sserunjogi Mukiibi	Principal Economist, MTTI
C.K Twinomujuni	Senior Policy Analyst, MTTI
Julius A. Tumusiime	Economist, MTTI
Ed Barnett	DFID
Caren Blume	German Embassy
Steven Mugenyi	Principal Economist, MICT
Sam Bikangaga	Asst. Com., MICT
Keith Bamwesigye	Economist, MICT
Emmanuel Ajutu	Ag. Comm., MEMD
John Nyombi	Asst. Comm, Planning, MODVA
Charlotte Kajumba	Sen. Budget Officer, MODVA
Eddy Kawooya	Economist, MODVA
Arthur Kanya	Principal Planning Officer, MODVA
Francis Okori,	Assistant Commissioner, Karamoja
Aine Doody	Deputy Head of Cooperation, Ireland,
Aloys Loorkeers,	EU, Rural Development Sector
Amber Kenny,	USAID programme Officer
Ben Cattermoul,	DFID
Mesfin Molla,	Karamoja Resilience Support Unit
Endeshaw Tadesse,	Social Protection, World Bank
Peter Kabanda	Planning Officer, MoW&T
Vincent Ssozi	M&E Officer, MoW&T
Fiona Nakasiga	EU Technical Officer, Transport

Richard Edmunds	EU Adviser, Transport Sector
Henry Mwebesa	Commissioner, Planning, Health Sector
Cools Wouter	Belgium Embassy (Health Sector DP lead)
Sam Vanuytsel	Belgium Embassy
Filippo Curtale	Health Technical Adviser, BTC
Edson Muhwezi	UNFPA
Members – Health Development Partners Working Group	
William Turyomrurgyendo	Planning Officer, MHLUD
Adolpho Cires Alonso	EU, DP WG Chair, Lands
Johan Bergqvist	Chair, DP WG Gender
Richard Ssewakiryanga	ED, NGO Forum
Julius Mukunda	CSBAG
Mark Wilson	Co-Chair, DP AWG
Jonathan Bhalla	FINMAP Chair
Charles Egu	PFM Chair
Sam Wairagala	M&E Officer, JLOS
Paul Otim	EU Technical Officer, JLOS
Thomas Tiedemann	EU DP Chair, JLOS
Frank Kirwan	Head of Cooperation, Ireland
Timothy Lubanga	AC, Monitoring
Rauben Mwebendezi	Office of the President
Nathalie Meyer	UNICEF, Co-chair, Social Protection WG
Susan Nakitto	Planning Officer, MGL&SD
Iker Lekuona	SUGAR
Francis Okori	Assistant Commissioner, Karamoja, OPM
Maris Wanyera	Director Debt & Cash (& DARC)
Barbara Magezi	World Bank, DP Lead Public Sector Management
Majbrit Holm Jakobsen	DANIDA
Andrew Mbiro	African Development Bank
Joyce Magala	Austrian Embassy Development Cooperation
Members of DP Accountability Working Group	
Members of DP Water Working group	
JICA	