



INTEGRATED STRATEGIC PLAN FOR USAID'S PROGRAM IN UGANDA

2002-2007



VOLUME I

ASSISTING UGANDA TO REDUCE MASS POVERTY

JUNE 2001

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ACRONYMS

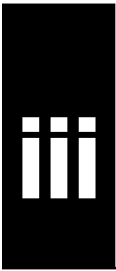
ACDI/VOCA	Agricultural Cooperative Development International /Volunteers in Overseas Cooperative Assistance
ACF	Action Contre Le Faim
ADB	African Development Bank
ADF	Allied Democratic Forces
ADR	Alternative Dispute Resolution
AFRENA	Agroforestry Research Network for Africa
AGOA	African Growth and Opportunity Act
AIC	Aids Information Centre
ARI	Acute Respiratory Infections
ARO	Africa Regional Office (of OFDA)
ASHF	Ambassador's Self-Help Fund
ATRIP	African Trade and Investment Program
BCC	Behavior Change Communication
BDS	Business Development Services
BHR	Bureau for Humanitarian Response
BOU	Bank of Uganda
CA	Constituent Assembly
CAO	Chief Administrative Officer, District Local Government
CADER	Center for Alternative Dispute Resolution
CARE	Cooperative for American Relief Everywhere
CBNRM	Community Based Natural Resource Management
CBO	Community Based Organizations
CDC	Centers for Disease Control
CDO	Community Development Offices
CDOs	Community Development Offices
CEWARN	Conflict Early Warning and Response Network
CO	Contracts Office
COBS	Conserve Biodiversity for Sustainable Development
COMESA	Common Market for Eastern and Southern Africa
COMPETE	Competitive Private Enterprise and Trade Expansion
CPMR	Conflict Prevention, Mitigation and Response
CS	Child Survival
CSOs	Civil Society Organizations
DG	Democracy and Governance
DA	Development Assistance
DANIDA	Danish International Development Agency
DCA	Development Credit Authority
DCOF	Displaced Children and Orphans' Fund
DFID	Department for International Development
DHRF	Democracy and Human Rights Fund
DISH	Delivery of Improved Services for Health
DP	Democratic Party

DPP	Directorate of Public Prosecutions
DRC	Democratic Republic of Congo
DS	Decentralization Secretariat
DSC	District Service Commission
EAC	East African Community
EAPs	Environmental Action Plans
EC	European Commission
EDDI	Education for Development Democracy Initiative
EPED	Environmental Protection & Economic Development
EPI	Expanded Program of Immunization
ESF	Economic Supporting Funds
ESIP	Education Sector Investment Plan
EU	European Union
EXO	Executive Office
FDI	Foreign Direct Investment
FFP	Food For Peace
FIDA-U	International Association of Women Lawyers
FINCA	Foundation for International Community Assistance
FMO	Financial Management Office
FOWODE	Forum on Women in Democracy
FP	Family Planning
FSA	Financial Support Advisor
FSNs	Foreign Service Nationals
GDA	Global Development Advisor
GDP	Gross Domestic Product
GHAI	Greater Horn of Africa Initiative
GOU	Government of Uganda
GTZ	German Agency for Technical Cooperation
HIPC	Highly Indebted Poor Countries
HSSP	Health Sector Strategic Plan
ICASS	International Cooperative Administrative Support Services
ICRC	International Committee of the Red Cross
ICT	Information and Communication Technology
IDEA	Investment in Developing Export Agriculture
IDP	Internally Displaced Persons
IEC	Information, Education Communication
IFES	International Foundation for Electoral Studies
IGAD	Inter Governmental Authority on Development
IGG	Inspector General of Government
IITA	International Institute for Tropical Agriculture
IMCI	Integrated Management of Childhood Illness
IMF	International Monetary Fund
ISP	Integrated Strategic Plan
ITN	Insecticide Treated Net
LAW-U	Law and Advocacy for Women in Uganda
LC	Local Council
LGDP	Local Government Development Program, World Bank
LGFC	Local Government Finance Commission

ACRONYMS

LRA	Lord's Resistance Army
MAAIF	Ministry of Agriculture Animal Industry & Fisheries
MCC	Microfinance Competence Centre
MDI	Microfinance Deposit-Taking Institution
MFI	Microfinance Institution
MFPEd	Ministry of Finance Planning & Economic Development
MoES	Ministry of Education and Sports
MoH	Ministry of Health
MoLG	Ministry of Local Government
MP	Members of Parliament
MPP	Mission Performance Plan
MSME	Micro, Small and Medium Enterprises
MT	Metric Ton
MTCS	Medium-Term Competitive Strategy
MTCT	Maternal To Child Transmission
MTEF	Medium Term Expenditure Framework
MWRA	Married Women of Reproductive Age
NAADs	National Agriculture Advisory Services
NARO	National Agricultural Research Organization
NEAP	National Environmental Action Plan
NEMA	National Environmental Management Authority
NGO	Non-Governmental Organizations
NOB	New Office Building
NORAD	Norwegian Agency for Development
NPA	Non-Project Assistance
NRA	National Resistance Army
NRM	National Resistance Movement
NTAEs	Non-Traditional Agricultural Exports
OCHA	Office for Coordination of Humanitarian Affairs
OE	Operational Expenses
OFDA	Office of Foreign Disaster Assistance
ORT	Oral Rehydration Therapy
OVC	Orphans and Vulnerable Children
PA	Protected Area
PA	Project Assistance
PAF	Poverty Action Fund
PBO	Parliamentary Budget Office
PDC	Parish Development Committee
PDSG	Parliament Donor support Group
PEAP	Poverty Eradication Action Plan
PLWHAs	People Living with HIV/AIDS
PMA	Plan for Modernisation of Agriculture
PMP	Performance Monitoring Plan
PMU	Project Management Unit, World Bank
PRM	Population, Refugees and Migration
PRS	Parliamentary Research Service
PSC	Personal Service Contractor
PVC	Private and Voluntary Cooperation

PVO	Private Voluntary Organization
RBM	Roll Back Malaria
RCSA	Regional Center for Southern Africa
RDC	Regional District Commissioner
REDSO	Regional Economic Development Services Office
RH	Reproductive Health
RLA	Regional Legal Advisor
RSSA	Resources Support Services Agreement
SCRIP	Strategic Criteria for Rural Investments in Productivity
SME	Small and Medium Enterprise
SPEED	Support for Private Enterprise Expansion & Development
SPLA	Sudan People's Liberation Army
SPO	Special Objective
STI	Sexually Transmitted Infections
SUFFICE	Support to Feasible Financial Institutions and Capacity Building Efforts
SUPER	Support to Uganda's Primary Education Reform
SWAP	Sector Wide Approach
TAACS	Technical Advisor for Aids and Child Survival
TASO	The AIDS Support Organization
TDMS	Teacher Development and Management System
TDY	Temporary Duty
TF	Trust Funds
TFR	Total Fertility Rate
UAAU	Urban Authorities Association of Uganda
ULAA	Uganda Local Authorities Association
UDHS	Uganda Demographic and Health Survey
UEPB	Uganda Export Promotion Board
UIA	Uganda Investment Authority
UN	United Nations
UNDP	United Nations Development Program
UNFA	Uganda National Farmers Association
UNFPA	United Nations Fund for Population Activities
UNHCR	United Nations High Commissioner for Refugees
UNHS	Uganda National Household Survey
UNICEF	United Nations Children's Educational Fund
UNLA	Uganda National Liberation Army
UPC	Uganda Peoples' Congress
UPDF	Uganda People's Defense Forces
UPE	Universal Primary Education
USDH	United States Direct Hire
UTB	Uganda Tourist Board
UWA	Uganda Wildlife Authority
VCT	Voluntary Counseling and Testing
VOT	Victims of Torture Fund
WFP	World Food Program
WNBF	West Nile Bank Front
WTO	World Trade Organization



EXECUTIVE SUMMARY

1. OVERALL ASSISTANCE ENVIRONMENT

Primary U.S. national interests in Uganda are humanitarian response, democracy, global issues of population, health, and environment and economic growth. All are dramatically affected by internal and external developments. Uganda is a critical player in conflicts and tensions in the Great Lakes and Horn of Africa regions and in USG efforts to address them. Its development and stability are key to greater regional political stability, economic development, and East Africa’s integration into the global marketplace. Although Uganda continues to undergo a social, political, and economic transformation that is the envy of many other African societies, the process is far from complete.

A. Sustainable Development and Poverty Alleviation in Uganda

Uganda is a sustainable development success story, with GDP growing at an average annual rate of 6.7% since 1992/93. Uganda is also a poverty alleviation success story, with the proportion of Ugandans living in absolute poverty declining from 56% in 1992/93 to 35% in 1999/00. Both these successes are very real – but both successes are also very fragile.

In 2000/2001, annual GDP growth has dropped to 5.1%, private investment is low at 13% of GDP or less, annual government revenues are stagnant at under 12% of GDP, and the quality of education and health services is dropping. Over half the population is under the age of 15, vulnerable to a renewed wave of HIV/AIDS infection. Meanwhile, population growth is high at 3% per year. This erodes social service gains and adds 300,000 frequently frustrated job seekers to the economy every year. Continued political instability in the north and the west, linked to regional conflicts, undermines both economic growth and poverty alleviation.

In the next decade, Uganda may surmount these problems, to achieve an unprecedented level of peace, prosperity and social development. Uganda may also become trapped like so many of her neighbors – by low levels of economic growth, rapid population growth, poor quality of life, and political instability.

B. Current Status of Poverty in Uganda

Uganda’s progress in reducing mass poverty is admirable. However, it was achieved during a period in which the economy grew at nearly 7 percent per year. Growth is now sagging toward 5 percent per year. Because of rapid population growth, economic stagnation would cause the absolute number of poor people to grow quickly, erasing previous gains.

Year	Total Population	% Impoverished	Number Impoverished
92/93	17 million	56%	9.5 million
97/98	19.7 million	44%	8.7 million
00/01	22.2 million	35%	7.8 million
05/06	25.7 million	35%	9.0 million

C. The GOU Development Program

What distinguishes Uganda from her neighbors - and what provides hope for developmental success - is that the nation already has in place an outstanding set of policies and programs designed to sustain economic growth and to alleviate poverty. These policies and programs have emerged in the past five years, through a broad and genuine consultative process involving all levels of society as well as the donor community.

Uganda's broadest development goals are laid out in Vision 2025, which establishes the goal of eliminating mass poverty. The 1997 Poverty Eradication Action Plan (PEAP) targets a reduction in the incidence of poverty to 10 percent by 2017 and operationalizes the GOU plans to address growth and poverty by:

- Creating an enabling environment for rapid and sustainable economic growth and structural transformation;
- Directly increasing the ability of the poor to raise their incomes;
- Directly increasing the quality of life for the poor; and
- Ensuring good governance and security.

To further address poverty alleviation goals, the government created the Poverty Action Fund (PAF) in 1998. The PAF is a transparent mechanism to program debt relief resources accruing to Uganda under the Heavily Indebted Poor Countries (HIPC) initiative. PAF expenditures are targeted to education, health, water and sanitation, farm-to-market roads, agricultural extension, and micro-finance.

D. Key Development Trends

1. Political Trends.

There is greater political competition today than at any time in independent Uganda. However, the Referendum of July 2000 left the current "no-party" Movement system in place, with no provision for moving toward a more pluralistic multi-party democracy. The government's decentralization program has opened the door for greater pluralism through participation in political decision making and competition in the political process. Capacity is a constraint throughout government structures. Local governments, although in place and functioning, are not yet fully able to assume all of the duties and responsibilities that have been delegated to them. Pluralism in the form of CSO participation and advocacy on behalf of communities is just beginning to take root. Parliament is nascent and the locus of virtually all authority remains with the executive. Conflict isolates the northern and western

regions of the country leaving communities vulnerable and has caused disparities in economic growth. Armed conflict is supported by an extremely small minority of the population and does not pose a threat to the current government, but does compromise security, rule of law, and economic growth and results in substantial diversion of resources needed for development.

2. Economic Trends.

It has taken the Ugandan economy 15 years to recover from two decades of economic chaos and collapse. The rapid economic growth during this period was relatively easy to attain but opportunities for easy growth have been exhausted. Restoring and sustaining a 7% or more annual growth rate will be difficult. Low productivity, unsustainable resource exploitation, and lack of competitiveness are the key problems Uganda must address in order to sustain a rate of economic growth that will permit continued reductions in poverty. In agriculture, production gains have been made primarily through expansion of the cultivated area rather than through better management of land already under production. Businesses face many of the same institutional and structural constraints as farmers including weak infrastructure and lack of access to finance and business support services, information technology, and market outlets. Declining productivity is a major concern affecting traditional export crops such as coffee and cotton as well as food crops. New non-traditional exports (NTEs) show considerable potential but are not yet produced in sufficient volume to compensate for these declines. Diversification away from agriculture is crucial, and efforts to identify those non-agricultural sectors where Uganda can be most competitive are needed. More private investment is needed to increase low levels of land and labor productivity and to sustain Uganda's rich natural resource base. In order to enable Uganda's economy to effectively compete in regional and world markets, the GOU must reinvigorate its policy reform effort, this time focusing it on so-called "second tier" structural and institutional reforms, and facilitate the provision of technical know-how and support services to private sector entrepreneurs. The rural economy supports 85 percent of Ugandans and must be the development target if broad-based economic growth is to be achieved. Persistent insecurity in several parts of the country limits the degree to which rapid growth can reach poor Ugandans in those areas.

3. Social Trends.

Policy reforms, the commitment of public resources to rehabilitating health and education facilities and services, and the development of integrated and forward-looking planning procedures have resulted in significant improvements in access to basic services. Sadly, however, the health and educational status of Ugandans today is no better than it was at Independence. Poor health and low levels of education limit opportunities and work synergistically to keep people mired in poverty. The health, and indeed survival, of young children is directly affected by the educational status of their parents, low rates of immunization, poor nutritional status, high-risk births, and poor management of preventable illness. HIV/AIDS takes its toll on this age group in the form of HIV-infected babies and a growing number of orphans. For children aged 6-14, the problem becomes one of preparation for adulthood and attainment of basic life skills. Parents' education again has a significant impact on their children's opportunities. Other factors such as the cost of education, illness, pregnancy and marriage, the need to work or to perform domestic chores, and issues surrounding puberty all affect enrollment, persistence and performance in school, with greater impact on girls than boys. The deteriorating quality of education is of growing concern, as the GOU's Universal Primary Education policy has filled classrooms to bursting and inflated the pupil:teacher ratio to 75:1. School-aged children also feel the impact of HIV/AIDS in multiple ways: they may be orphaned, drop out of school to care for sick family members or to support their households. Most children leave school unprepared to take on the responsibilities of adulthood. Girls are particularly at risk. Early motherhood is commonplace, and early sexual debut also introduces the risk of HIV/AIDS infection. An estimated 8.3% of adult Ugandans, or 1.5 million people, are living with HIV/AIDS and will die within the next ten years. High levels of adult mortality contribute to an increased dependency ratio, declining agricultural productivity, and high levels of school dropout. With half of the population aged 15 or less, the potential for a second wave of the epidemic is high.

Uganda is a regional leader on gender issues, and the GOU has demonstrated its commitment to the full integration of women into the political and economic

processes of the country. Although structures are in place to foster greater gender equity in Uganda, there is little impact yet to be seen on the majority of rural women.

2. USAID UGANDA'S STRATEGIC RESPONSE

In June 2000, USAID Uganda initiated a broad process of consultation, assessment and analysis leading to this Integrated Strategic Plan (ISP). During this process the Mission met frequently with all of its stakeholders, including representatives from the government, civil society, implementing partners, donors and USG stakeholders. We augmented our stakeholder consultations with a rigorous assessment of every aspect of our ongoing program. At every step of the way, and from many different perspectives, we found an exceptionally strong consensus that the GOU has established a landmark, highly effective approach to sustainable growth and poverty alleviation. There was an equally strong consensus that weak governance and continued conflict constitute significant threats to achieving Uganda's growth and poverty alleviation objectives.

Dimensions of Poverty in Uganda

- *96 percent of the poor live in rural areas;*
- *37 percent of the poor live in northern Uganda;*
- *In northern Uganda poverty increased 8 percent (to 67 percent) between 1997 and 2000;*
- *46 percent of food crop farmers are poor, compared to 34 percent of cash crop farmers;*
- *26 percent of rural households are headed by women who have less land and fewer assets, resources, and productive members than households headed by men.*
- *HIV/AIDS has left many orphan-headed and orphan care-taking households impoverished.*

A. Program Goal and Objectives

The proposed USAID/Uganda Integrated Strategic Plan 2002-2007 supports Uganda's focus on poverty alleviation as articulated in the PEAP. Accordingly, our Program Goal is:

Assist Uganda to Reduce Mass Poverty

This Goal directly supports the PEAP's broadest objective, which is to reduce poverty to 10 percent or less by 2017. Three Strategic Objectives will contribute to USAID Uganda's Program Goal.

SO7: Expanded Sustainable Economic Opportunities for Rural Sector Growth.

This Strategic Objective directly supports the PEAP objective of creating an enabling environment for rapid and sustainable economic growth. It also supports the PEAP objective of directly increasing the ability of the poor to raise their incomes. In addition, it supports Administration objectives of trade, agriculture, and private sector development. The main results of this Strategic Objective will be:

- Increased food security for vulnerable populations (IR 7.1);
- Increased productivity of agricultural commodity and natural resource systems (IR 7.2);
- Increased competitiveness of enterprises in selected sectors (IR 7.3); and
- Improved enabling environment for broad-based growth (IR 7.4).

This Strategic Objective will help to sustain and reinforce broad-based growth by addressing the underlying problems of low productivity, lack of competitiveness, and environmental degradation. To achieve broad impact, the Strategic Objective will support the closer integration of agricultural programs with sustainable natural resource management interventions and increase the productivity of enterprises of all sizes. The Strategic Objective will leverage key reforms in the financial sector and in trade policy to foster private sector growth and international competitiveness. Through food security and micro-finance interventions, the Strategic Objective will build the capacity of the poor to lift themselves out of poverty.

Income in target households is projected to rise by approximately 40%, while the number of small businesses and people employed in them are expected to more than double.

SO8: Improved Human Capacity.

Human capacity in this Strategic Objective refers to individuals' ability to reduce their vulnerability to poverty and achieve a better quality of life by improving their levels of health and education. This Strategic Objective directly supports the PEAP objectives of improving the quality of life of the poor and increasing the ability of the poor to raise their incomes. It also supports Administration objectives of improved education and global health improvement. The main results of this Strategic Objective will be:

- Effective use of social sector services (IR 8.1);
- Increased capacity to sustain social sector services (IR 8.2); and
- Strengthened enabling environment for social sector services (IR 8.3).

For the cohort of children 5 years of age and under, this Strategic Objective will implement integrated education and health interventions to help reduce young child mortality from malaria, vaccine preventable diseases, malnutrition, and HIV/AIDS. For the cohort of children aged 6 to 14, this Strategic Objective will focus on quality primary education, especially for girls, and HIV/AIDS interventions, especially for orphans and vulnerable children. Good primary education engenders lifelong improvements in health- and fertility-related behavior; similarly, poor health and unwanted pregnancies are a prime cause of dropout for girls. For the cohort of adults aged 15 and above, this Strategic Objective will focus on the key problem of high fertility as well as HIV/AIDS prevention, treatment, care and support. Progress toward achieving this objective will be measured in terms of lower fertility (a projected decline of 6%), a 30% reduction in HIV prevalence among young adults, reduced child mortality (a 7% decline) and a 10% improvement in school performance.

SO9: More Effective and Participatory Governance.

This Strategic Objective directly supports the PEAP

objective of improved governance and reduced conflict and improving the quality of life of the poor. It supports Administration objectives of conflict mitigation and improved governance. The main results of this Strategic Objective will be:

- Devolution and separation of powers strengthened (IR 9.1); and
- Conflict mitigated and reduced (IR 9.2).

Integral to the program is the participation of civil society in advocating for community needs. We will focus on key governance issues of effective devolution of power to the local level and separation of executive, legislative, and judicial powers at the national level. Strategic interventions will mitigate the impact of conflict through a continued partnerships with the Office of Foreign Disaster Assistance (OFDA) to address the impact of conflict through humanitarian and relief-to-development assistance, and the Displaced Children and Orphans Fund (DCOF) and the Victims of Torture (VOT) fund to provide psychosocial counseling and reintegrate conflict victims with their families and communities. We have explicitly integrated conflict objectives within SO7 and SO8, to offer enhanced economic opportunity and improved social services in conflict zones to both alleviate the impact of conflict and reduce its underlying causes. Progress toward achieving this objective will be measured by a 90% increase in resources released to local governments and properly expended, a fourfold increase in CSOs engaging with Parliament, and the successful reintegration into communities of approximately 4,000 ex-combatants and abductees.

B. Implementation Period

USAID/Uganda will implement its strategy over the six-year period 2002-2007. This planning period was selected to carry the program past the next national elections, when we will know more about the priorities of the new Ugandan Administration and have a sounder basis for developing strategic options. This period will also provide a time frame congruent with USAID-supported national and demographic survey efforts that will give a clearer indication of progress towards poverty reduction.

C. Other Donor Involvement

Uganda is highly dependent on external aid with the equivalent of about 58 percent of its budget financed by donors. The average annual assistance to Uganda for the 1997/8-1999/2000 period was \$512 million (net of repayment of donor loans). This is expected to increase to \$708 million on average over the three-year Medium Term Expenditure Framework period from 2000/01 to 2002/03. The USG is the second largest bilateral donor following the United Kingdom. Other key bilateral donors include Denmark, the Netherlands, Norway, and Italy. Multilateral donors include the World Bank, the European Union, IMF, and United Nations.

D. Program Integration

USAID/Uganda's program goal and proposed strategic objectives are strategically linked to and supportive of all of the U.S. Mission's priority interests in Uganda - Economic Growth, Humanitarian Response, Democracy, and Global issues of Population, Health, and Environment.

The Mission's program is highly integrated both through MPP and USAID strategic policy development processes and through collaborative implementation. USAID has maintained a wide network of USG partners, consulting and closely coordinating its program with their on-the-ground activities. The Mission's ISP has been designed to continue most of these relationships. Specifically, we envision relationships with Food for Peace in Washington to implement our two Title II programs, the Office of Foreign Disaster Assistance for relief-to-development assistance in displaced persons camps, the Department of State for ESF assistance, the Centers for Disease Control for technical support and joint funding for our HIV/AIDS activities, and REDSO/ESA for targeted funding for conflict mitigation and early warning activities that address relief-to-development efforts.

USAID/Uganda's ISP also recognizes and supports the principles and objectives of the GHAI through consultation, a focus on relief to development, and promoting stability. We have ensured a regional perspective in our strategic approach by coordinating

closely with REDSO/GHAI and other regional partners, by sharing information with neighbor bilateral missions in East Africa, the Great Lakes, and the Horn, and by participating in regional planning and training.

E. Crosscutting Issues

- **Gender.** Given the multiple disadvantages that affect the lives of Ugandan women, the ISP integrates appropriate approaches to gender throughout the portfolio.
- **Conflict.** Conflict directly affects the lives of millions of Ugandans. It also affects the implementation of development assistance activities in those areas where insecurity prevails, and accordingly is integrated throughout the portfolio.
- **HIV/AIDS.** HIV/AIDS is a multi-sectoral problem, linked to the viability of enterprises, agricultural production, quality of life, human rights and dignity, and conflict. Uganda has effectively reduced the seroprevalence rate by as much as 50 percent at key sites over the past ten years, but this success is fragile and vulnerable. Each SO responds to HIV/AIDS issues.
- **Information and Communication Technology.** The GOU has created a liberalized regulatory and policy framework for ICT that is catalyzing rapid, private sector led growth of the network nationwide. A recent ICT assessment commissioned by the Mission identified all opportunities for innovative application in all SO areas, which are incorporated in the ISP.
- **Food Security.** The primary causes of food insecurity in Uganda are poverty, low agricultural productivity, poor health and sanitation, inappropriate feeding practices, especially among young children, conflict, HIV/AIDS, and periodic natural disasters like drought or flood. All of these causes, except natural disasters, are chronic situations. Resolving problems of chronic food insecurity requires development solutions, not temporary food relief. The ISP incorporates a variety of approaches to

address chronic food insecurity, as well as relief and humanitarian assistance for emergency situations.

- **Regional Trade.** There are two principal trade bodies in the region, the EAC and COMESA. Uganda is a member of both. Uganda's position as a landlocked country at the nexus of several regional entities gives it key importance as a regional trading partner. The ISP address regional trade issues through policy dialog and capacity-building in all the SOs.

F. Performance Monitoring

The program goal and the strategic objectives that USAID/Uganda is proposing for the Integrated Strategic Plan 2002-2007 mark a significant departure for the Mission from the approaches of the past. The integrated program will also require new approaches to performance management. While we will continue to track some indicators that were used to measure progress under the 1997-2001 strategy, we have also developed a number of new indicators that will permit us to more directly measure the achievement of integrated results. We do not propose to develop an independent strategy to monitor progress towards the achievement of our poverty reduction goal. Rather, we will continue our active collaboration with the Poverty Monitoring and Analysis Unit (PMAU) in the Ministry of Finance, Planning and Economic Development (MFPED), other donors, and civil society in the implementation of a shared poverty monitoring framework. Because of the complexity of their programs, both SO7 and SO8 will design performance assessment agreements that will be charged with the responsibility of establishing baselines and providing annual data for selected indicators in the performance monitoring plan. The data provided through these agreements will be used for both reporting and management purposes. The democracy, governance and conflict team (SO9) will work closely with key partners to build their performance management capacity, and collaborate with the other SO teams and their implementing partners to fill any data gaps. USAID/Uganda has also strengthened performance monitoring by requiring each implementing partner to submit a performance monitoring plan for Mission

EXECUTIVE SUMMARY

review and approval. These PMPs document the contribution that each activity makes to the achievement of results and the direct linkages of activities to the results frameworks. USAID/Uganda has made a substantial commitment to performance monitoring in both personnel and financial resources.

OVERALL ASSISTANCE ENVIRONMENT

A SUSTAINABLE DEVELOPMENT AND POVERTY ALLEVIATION IN UGANDA

B CURRENT STATUS OF POVERTY IN UGANDA

C THE GOU DEVELOPMENT PROGRAM

D KEY DEVELOPMENT TRENDS

E USAID UGANDA'S STRATEGIC RESPONSE

F UGANDA AT THE CROSSROADS

OVERALL ASSISTANCE ENVIRONMENT

Primary U.S. national interests in Uganda are humanitarian response, democracy, global issues of population, health, and environment and economic growth. All are dramatically affected by internal and external developments. Uganda is a critical player in conflicts and tensions in the Great Lakes and Horn of Africa regions and in USG efforts to address them. Its development and stability are key to greater regional political stability, economic development, and East Africa's integration into the global marketplace. Although Uganda continues to undergo a social, political, and economic transformation that is the envy of many other African societies, the process is far from complete.¹

The following sections address the issue of sustainable development and poverty alleviation in Uganda; the current status of poverty; the GOU's Poverty Eradication Action Plan (PEAP); key trends within the development environment; and, USAID Uganda's strategic response. A concluding section presents the hypothesis that Uganda is at a critical developmental crossroads. USG assistance envisioned in this Integrated Strategic Plan has the potential to put Uganda on the path to sustained prosperity, peace, and political stability.

A. SUSTAINABLE DEVELOPMENT AND POVERTY ALLEVIATION IN UGANDA

Uganda is a sustainable development success story, with GDP growing at an average annual rate of 6.7% since 1992/93. Uganda is also a poverty alleviation success story, with the proportion of Ugandans living in absolute poverty declining from 56% in 1992/93 to 35% in 1999/00. Both these successes are very real – but both successes are also very fragile.

In 2001, annual GDP growth has dropped to 5.1%, private investment is low at 13% of GDP or less, annual

government revenues are stagnant at under 12% of GDP, and the quality of education and health services is dropping. Over half the population is under the age of 15, vulnerable to a renewed wave of HIV/AIDS infection. Meanwhile, population growth is high at 3% per year. This erodes social service gains and adds 300,000² frequently frustrated job seekers to the economy every year. Continued political instability in the north and the west, linked to regional conflicts, undermines both economic growth and poverty alleviation.

In the next decade, Uganda may surmount these problems, to achieve an unprecedented level of peace, prosperity and social development. Uganda may also become trapped like so many of her neighbors – by low levels of economic growth, rapid population growth, poor quality of life, and political instability.

B. CURRENT STATUS OF POVERTY IN UGANDA

Uganda's progress in reducing mass poverty is admirable. However, it was achieved during a period in which the economy grew at nearly 7 percent per year. Growth is now sagging toward 5 percent per year. Because the population is growing at a very rapid rate of 3 percent per year, and showing no signs of decline, a few years of stagnant growth would cause the absolute number of poor people to grow quickly, erasing previous gains. The table below illustrates.

Year	Total Population	% Impoverished	Number Impoverished
92/93	17 million	56%	9.5 million
97/98	19.7 million	44%	8.7 million
00/01	22.2 million	35%	7.8 million
05/06	25.7 million	35%	9.0 million

Source: Uganda National Household Survey 1999/2000 and projections

Recent national surveys and targeted studies provide a disaggregated picture of poverty in Uganda and identify the following main dimensions of poverty.

- 96 percent of the poor live in rural areas;
- 37 percent of the poor live in Northern Uganda;
- In Northern Uganda poverty increased 8 percent (to 67 percent) between 1997 and 2000;
- 46 percent of food crop farmers are poor, compared to 34 percent of cash crop farmers;
- 26 percent of rural households are headed by women and have less land and fewer assets, resources and productive members than households headed by men;
- HIV/AIDS has left many orphan-headed and orphan care-taking households impoverished.

C. THE GOU DEVELOPMENT PROGRAM

What distinguishes Uganda from her neighbors - and what provides hope for developmental success - is that the nation already has in place an outstanding set of policies and programs designed to sustain economic growth and to alleviate poverty. These policies and programs have emerged in the past five years, through a broad and genuine consultative process involving all levels of society as well as the donor community.

Uganda's broadest development goals are laid out in Vision 2025, which establishes the goal of eliminating mass poverty. The 1997 Poverty Eradication Action Plan (PEAP) targets a reduction in the incidence of poverty to 10 percent by 2017 and operationalizes the GOU plans to address growth and poverty by:

- Creating an enabling environment for rapid and sustainable economic growth and structural transformation;
- Directly increasing the ability of the poor to raise their incomes;
- Directly increasing the quality of life for the poor; and
- Ensuring good governance and security.

To further address poverty alleviation goals, the

government created the Poverty Action Fund (PAF) in 1998. The PAF is a transparent mechanism to program debt relief resources accruing to Uganda under the Heavily Indebted Poor Countries (HIPC) initiative. PAF expenditures (including both HIPC and non-HIPC funds) are meant to directly increase the ability of the poor to raise their incomes and to directly increase quality of life for the poor. Consequently PAF expenditures are targeted for education, health, water and sanitation, farm-to-market roads, agricultural extension, and micro-finance.

To further address economic growth goals, the government published the 1999 Medium-Term Competitiveness Strategy (MTCS). The MTCS is specifically intended to eliminate the major remaining constraints to private sector growth, including competitiveness in regional and world markets. Under the MTCS, reform will focus on:

- Strengthened property rights and improved enforcement of contracts through commercial justice sector reform;
- Privatization of electrical power generation, transmission, and distribution;
- Strengthening the financial sector by increasing competition and privatizing the parastatal Uganda Commercial Bank; and
- Liberalized trade, tariff and tax policies, harmonized with regional trading partners.

The PEAP, the PAF, and the MTCS together constitute the government of Uganda's main policy and program framework for stimulating sustainable growth and alleviating poverty. This overall framework is supported by a growing number of important sectoral policy frameworks including the Plan for Modernisation of Agriculture (PMA), the Education Sector Investment Plan (ESIP), and the Health Sector Support Program (HSSP). The sectoral policy frameworks prioritize the key issues, identify preferred responses, and serve as transparent, consensus-oriented mechanisms for allocating both GOU and donor resources.

D. KEY DEVELOPMENT TRENDS

i. Political Trends.

There is greater political competition today than at any time in Uganda since the first years after independence. The situation is far from perfect, but the government can be credited with having established a political environment that allows a relatively high level of contestation. The present regime is the most inclusive in the history of the country. The great achievement of President Yoweri Museveni was to build a fairly broad coalition with genuine support from most regions of the country – with the important exception of the north – when he came to power. One reason for this broad support has been the regime’s ability to build relatively inclusive institutions of participation and representation. In particular, local governance has begun to institutionalize relatively high levels of popular participation.

The next six years will be critical for Uganda. President Museveni was elected by a clear majority for a second term of office that will end in 2006. Already there are faint calls from within the movement to grant him another term. Although there was increased competition in the last presidential election, the Referendum of July 2000 left the Movement system in place, with no provision for revisiting the outcome or moving toward a more pluralistic multi-party democracy. The old political parties were clear losers in the presidential contest, raising the question of whether new parties might emerge to represent divergent views. A new Parliament will be elected in 2001 and new local government leaders in early 2002. The question at hand in both of these contests is whether the incumbents have upheld their mandate to represent the interests of their constituencies.

The government’s decentralization program has opened the door for greater pluralism through participation in political decision making and competition in the political process. Decentralization is clearly the most significant reform process being undertaken in Uganda today. The scope is far more ambitious than decentralization efforts in neighboring African countries. The administrative and political structures of decentralization in Uganda

are complex and its implementation has engaged all arms and every level of government. The Local Governments’ Act of 1997 devolves substantial powers, resources and responsibilities to 56 district governments and from there to 4 lower levels of local government. These elected councils now shoulder significant responsibility for providing basic services to citizens within their localities, controlling substantial financial resources, holding authority over most public servants at the local level, and possessing key powers like the right to enact taxes and pass ordinances. In the current financial year (2000/01), of the \$256 million available to the Poverty Action Fund (PAF), 73% (\$188 million) is for transfer to local government for expenditure on the recurrent and capital costs of service delivery in the PAF priority sectors of primary education and health, water and road construction. The success of decentralization is critical to adequate service delivery in these areas. By bringing these decisions closer to the people and involving them in the debate, decentralization will have a critical determining impact on the progress of democratic consolidation in Uganda.

Capacity is a constraint throughout government structures. Local governments, although in place and functioning, are not yet fully able to assume all of the duties and responsibilities that have been delegated to them in terms of planning, financial management, procurement and personnel management. Weak planning and financial management capacity and lack of coordination between technical sector offices at the district level leaves district governments at the mercy of centrally dictated funding conditionality and thus unable to meet the expressed desires of their constituents. Pluralism in the form of CSO participation and advocacy on behalf of communities has not yet taken root. CSOs remain largely service oriented and their knowledge of and access to communities is not tapped by decisionmakers. At the national level, Parliament is nascent and the locus of virtually all authority remains with the executive.

Finally, conflict isolates the northern and western regions of the country leaving communities vulnerable - lacking adequate services and without coping mechanisms to address food security, reintegration of ex-combatants, and HIV/AIDS. Conflict has also caused disparities in economic growth. Although there

have been declines in poverty overall in Uganda, the Northern areas affected by conflict have seen poverty grow in the past few years. Armed conflicts in the north and western regions of the country are in all likelihood supported by an extremely small minority of the population and do not pose a threat to the current government. They do pose serious problems for security, rule of law, and economic growth and result in substantial diversion of resources needed for development. Each of the conflicts has distinctive characteristics with implications for resolution, which are analyzed in the Conflict Annex (Volume II, Annex 3).

ii. Economic Trends.

It has taken the Ugandan economy 15 years to recover from two decades of economic chaos and collapse. The rapid economic growth during this period was relatively easy to attain, by reestablishing law and order and macroeconomic stability, opening the economy to external trade, rehabilitating major infrastructure, and liberalizing key export markets in coffee, cotton and tea. But opportunities for easy growth have been exhausted. Restoring a 7% or higher annual growth rate, and sustaining it through the ISP period and beyond, will be difficult. Most analysts agree that the market liberalization of the 1990s has only taken the economy part of the way to a sustained, rapid rate of growth. Low productivity, unsustainable resource exploitation, and lack of competitiveness are the key problems Uganda must address in order to sustain a rate of economic growth that will permit continued reductions in poverty. Specific constraints include:

- A deteriorated infrastructure base that increases the cost of production.
- Inefficient and outmoded technologies and methods of quality control.
- An inefficient and urban-focused financial sector that fails to serve the needs of rural producers and small/medium size firms.
- A commercial justice system that cannot enforce contracts and protect property rights, thus reducing the level of economic activity.
- Corruption at all levels of government that increases the cost of doing business.

- A policy environment that favors production for the domestic market over exports.
- Failure to implement environmental policies that would reduce encroachment on wetlands and biodiversity reserves, deforestation, loss of soil fertility, and widespread erosion.
- An education system that is not oriented to training a workforce.

Low productivity is pervasive throughout the economy. In agriculture, production gains have been made primarily through expansion of the cultivated area rather than through better management of land already under production. This has led to the declining productivity of the land as soil fertility is depleted and degradation of the natural resource base as people move on to land not suited for agricultural production. The amount of untitled land available for high potential productivity gains in agriculture is limited, and overall only a quarter of the total land base in the country can be classified as medium to high potential for agricultural production. Low productivity in the agriculture sector limits the growth and expansion of off- and non-farm enterprises. Businesses face many of the same institutional and structural constraints as farmers including weak infrastructure and lack of access to finance and business support services, information technology, and market outlets.

Declining agricultural productivity is a major concern affecting traditional export crops such as coffee and cotton as well as food crops. Export values of coffee and cotton continue to decline due to low productivity and inability to compete on the world markets. New non-traditional exports (NTEs) such as cut flowers and spices show considerable potential but are not produced in sufficient volume to replace the lost cotton and coffee earnings. Income diversification within agriculture, expansion of input supply and business development services, and value added processing, marketing and export activities are all essential but may also not be enough. Diversification away from agriculture is crucial, and efforts to identify those non-agricultural sectors where Uganda can be most competitive are needed.

At 13% of GDP, private investment is simply too low

OVERALL ASSISTANCE ENVIRONMENT

to sustain economic growth rates of 7% or more. More private investment is needed to increase low levels of land and labor productivity and to sustain Uganda's rich natural resource base. To be most efficient, private investment must focus on those sectors where Uganda has greatest competitive potential.

Ugandan businesses are not well equipped to compete, either in terms of meeting the rules embodied in trade agreements, or with products that meet consumer demands in international markets. Business culture in Uganda lacks strong entrepreneurship and vision. Structural incentives such as access to finance, export-oriented policies, and improved infrastructure are lacking. In order to enable Uganda's economy to effectively compete in regional and world markets, the GOU must reinvigorate its policy reform effort, this time focusing it on so-called "second tier" structural and institutional reforms, and facilitate the provision of technical know-how and support services to private sector entrepreneurs.

Sustained rapid economic growth is a necessary condition for poverty reduction. The rural economy supports 85 percent of Ugandans and must be the development target if broad-based economic growth is to be achieved. Persistent insecurity in several parts of the country limits the degree to which rapid growth can reach poor Ugandans in those areas. This is starkly true of the North where the incidence of rural poverty actually increased over the past three years, in contrast to a significant reduction in poverty in each of the other three regions.

iii. Social Trends.

Uganda has spent the past 15 years working to undo the damage inflicted on its education, health, and other social sector programs, services and infrastructure during the 20 years of political turmoil that preceded the NRM's accession to power in 1986. Policy reforms, the commitment of public resources to rehabilitating health and education facilities and services, and the development of integrated and forward-looking planning procedures have resulted in significant improvements in availability of access to basic services. Sadly, however, the health and educational status of Ugandans today is no better than it was a generation

ago. Poor health and low levels of education limit opportunities and work synergistically to keep people mired in poverty.

The health, and indeed survival, of young children is directly affected by the educational status of their parents, especially their mother. Over half of adult Ugandan women are illiterate, limiting their capacity to use services and make life-enhancing choices. Low rates of immunization (just 38.6% of children aged 12-23 are completely immunized), poor nutritional status (one-third of children under five are stunted), high-risk births, and poor management of preventable illness are all strongly influenced by maternal education, and all contribute to the infant and child mortality rates of 88/1,000 and 152/1,000 respectively. Malaria is still the leading cause of morbidity among all age groups and of mortality among children. Other preventable causes such as diarrhea, respiratory infections, and maternal to child transmission (MTCT) of HIV/AIDS also contribute to high mortality among infants and children. HIV/AIDS takes its toll in two ways: each year, 35-40,000 HIV-infected babies are born, most of whom will die within three years; the epidemic has also created a cumulative 1.7 million orphans, many of them in the youngest age group.

For children aged 6-14, the problem becomes one of preparation for adulthood, attainment of basic life skills, and becoming employable. Parents' education again has a significant impact on their children's opportunities – parents who have never attended school are significantly less likely to send their children to school, especially their daughters, than parents who have received some education. Apart from parental education, factors such as the cost of education, illness, pregnancy and marriage, the need to work or to perform domestic chores, and issues surrounding puberty all affect enrollment, persistence and performance in school, with greater impact on girls than boys. Quality of education is of growing concern, as enormous increases in enrollment as a result of the GoU's Universal Primary Education policy have filled classrooms to bursting, inflated the pupil:teacher ratio to 75:1, and reduced the availability of textbooks and other teaching aids. School-aged children also feel the impact of HIV/AIDS in multiple ways: they may be orphaned, drop out of school to care for sick family members or to support their households.

Most children leave school unprepared to take on the responsibilities of adulthood or to contribute to the workforce and export-oriented economy. Girls are particularly at risk. Early motherhood is commonplace, with 43% of adolescent girls having their first child by age 17. By the time they reach their late 40s these girls will each have had an average of 7 children, contributing to an annual population growth rate of nearly 3 percent. The population is growing at a rate that threatens to overwhelm available services. The rapid rate of growth also has profound impacts on the economy, the natural resource base, and the incidence of poverty. Early sexual debut also introduces the risk of HIV/AIDS infection. Although seroprevalence has declined by as much as 50% at key sentinel surveillance sites in urban areas over the past ten years, an estimated 8.3% of adult Ugandans, or 1.5 million people, are living with HIV/AIDS and will die within the next ten years. High levels of adult mortality contribute to an increased dependency ratio, declining agricultural productivity, and high levels of school dropout. With half of the population aged 15 or less, the potential for a second wave of the epidemic is high, especially since access to comprehensive, high-quality prevention and care services is still limited. Risk of infection remains particularly high in conflict-affected parts of the country, where integrated reproductive health programs are largely unavailable.

Uganda is a regional leader on gender issues, and the GOU has demonstrated its commitment to the full integration of women into the political and economic processes of the country. Although structures are in place to foster greater gender equity in Uganda, there is little impact yet to be seen on the majority of rural women. Women head over a quarter of Uganda's rural households, yet rarely have secure tenure over the land and other resources they need to ensure their livelihood. Women provide the bulk of the agricultural labor and produce most of the food that Ugandans consume, but their labor is rarely compensated and they often have no control over the disposition of what they produce. Women are significantly more likely to be illiterate than men, girls are more likely to drop out of school before completing the primary course than boys, and women are significantly under-represented in all categories of formal employment compared to men. Thus, while the Constitutional foundation for ensuring greater equity

for women is in place, traditional belief and practice, compounded by poverty, have inhibited the translation of national policy into meaningful change in the majority of women's lives.

E. USAID UGANDA'S STRATEGIC RESPONSE

In June 2000, USAID Uganda initiated a broad process of consultation, assessment and analysis leading to this Integrated Strategic Plan (ISP). During this process the Mission met frequently with all of its stakeholders, including:

- representatives of the government of Uganda - Executive, Parliamentary, and Judicial branches as well as local governments;
- representatives of Ugandan civil society;
- international and local implementing partners;
- other bilateral and multilateral donor agencies;
- Department of State and other USG agencies including the GAO and Treasury; and
- Congressional visitors, USAID stakeholders in Washington and in the region, and others.

We augmented our stakeholder consultations with a rigorous assessment of every aspect of our ongoing program (see Annex 13, Analytic Agenda). At every step of the way, and from many different perspectives, we found an exceptionally strong consensus that the GOU has established a landmark, highly effective approach to sustainable growth and poverty alleviation. There was an equally strong consensus that weak governance and continued conflict constitute significant threats to achieving Uganda's growth and poverty alleviation objectives.

Accordingly, USAID Uganda has aligned our ISP directly with overall GOU development goals as established in the PEAP and related documents. Our Program Goal is:

Assist Uganda to Reduce Mass Poverty

This Goal directly supports the PEAP's broadest objective, which is to reduce poverty to 10 percent

OVERALL ASSISTANCE ENVIRONMENT

or less by 2017. Three Strategic Objectives will contribute to USAID Uganda's Program Goal.

SO7: Expanded Sustainable Economic Opportunities for Rural Sector Growth.

This Strategic Objective directly supports the PEAP objective of creating an enabling environment for rapid and sustainable economic growth. It also supports the PEAP objective of directly increasing the ability of the poor to raise their incomes. The main results of this Strategic Objective will be:

- Increased food security for vulnerable populations (IR 7.1);
- Increased productivity of agricultural commodity and natural resource systems (IR 7.2);
- Increased competitiveness of enterprises in selected sectors (IR 7.3); and
- Improved enabling environment for broad-based growth (IR 7.4).

This Strategic Objective will help to sustain and reinforce broad-based growth by addressing the underlying problems of low productivity, lack of competitiveness, and environmental degradation. To achieve broad impact, the Strategic Objective will support the closer integration of agricultural programs with sustainable natural resource management interventions and increase the productivity of enterprises of all sizes. The Strategic Objective will leverage key reforms in the financial sector and in trade policy to foster private sector growth and international competitiveness. The Strategic Objective will encourage growth investments that are environmentally sustainable, and will encourage environmental investments that are economically viable. Through food security and micro-finance interventions, the Strategic Objective will build the capacity of the poor to lift themselves out of poverty.

SO8: Improved Human Capacity.

This Strategic Objective directly supports the PEAP objectives of improving the quality of life of the poor and increasing the ability of the poor to raise their incomes. The main results of this Strategic Objective will be:

- Effective use of social sector services (IR 8.1);

- Increased capacity to sustain social sector services (IR 8.2); and
- Strengthened enabling environment for social sector services (IR 8.3).

Human capacity in this Strategic Objective refers to individuals' ability to reduce their vulnerability to poverty and achieve a better quality of life by improving their health and educational status. For the cohort of children 5 years of age and under, this Strategic Objective will implement integrated education and health interventions to help mothers to reduce young child mortality from malaria, vaccine preventable diseases, malnutrition, and HIV/AIDS (especially maternal-to-child transmission). For the cohort of children aged 6 to 14, this Strategic Objective will focus on quality primary education, especially for girls, and HIV/AIDS interventions (especially for orphans and vulnerable children). Good primary education engenders lifelong improvements in health- and fertility-related behavior; similarly, poor health and unwanted pregnancies are a prime cause of dropouts for girls. For the cohort of adults aged 15 and above, this Strategic Objective will focus on the key problem of high fertility as well as HIV/AIDS prevention, treatment, care and support.

SO9: More Effective and Participatory Governance.

This Strategic Objective directly supports the PEAP objectives of improved governance and reduced conflict and improving the quality of life of the poor. The main results of this Strategic Objective will be:

- Devolution and separation of powers strengthened (IR 9.1); and
- Conflict mitigated and reduced (IR 9.2).

Integral to the program is the participation of civil society in advocating for community needs. Our intent is to use our resources primarily to focus on the key governance issues of effective devolution of power to the local level and separation of executive, legislative, and judicial powers at the national level. We will continue a strong program of participatory dialog to bring the issues of all parties, including those of war-affected communities, into the discussion and promote

reconciliation. Strategic interventions will mitigate the impact of conflict through continued partnerships with the Office of Foreign Disaster Assistance (OFDA) to address the impact of conflict through humanitarian and relief-to-development assistance; and, the Displaced Children and Orphans Fund (DCOF) and the Victims of Torture (VOT) fund to provide psychosocial counseling and reintegrate conflict victims with their families and communities. We have explicitly integrated conflict objectives within SO7 and SO8, to offer enhanced economic opportunity and improved social services in conflict zones to both alleviate the impact of conflict and reduce its underlying causes.

F. UGANDA AT THE CROSSROADS

During a brief period after Independence in 1962, Uganda was a country of hope. Democratic institutions were beginning to flower, incomes were growing, and social services functioned well. Beginning in 1971, Uganda suffered through a prolonged period of extreme economic mismanagement and civil war under Amin (1971-1979) and Obote II (1980-1985). Basic economic and social infrastructure deteriorated to the vanishing point, and there was a general retreat to a subsistence economy. Yoweri Museveni's National Resistance Movement (NRM) took power in 1986, and during the period 1986-1991 succeeded in stabilizing the economy through sound economic management and an aggressive economic reform program. The decade of the 1990s has been a period of unprecedented stability and prosperity, with economic growth approaching 7 percent per annum. However, the growth has been based on recovery from the ravages of the 1970s and 1980s. In 2001 average per capita income in Uganda is about \$320³, about what it was in the early 1970s.

As successful as they were, the economic policies that fostered growth during the 1990s are inadequate for the challenges ahead. The period of easy growth through liberalization and recovery is now over, as evidenced by sagging government revenues and annual GDP growth rates hovering around 5 percent. With stagnant growth, stagnant government revenues, and a population growth rate of 3 percent per year that shows no sign of declining, there is the real prospect that

Uganda could begin to backslide into a period in which continued poverty reduction will no longer be possible.

The USAID Uganda Integrated Strategic Plan focuses on key Strategic Objectives which will help keep Uganda on the path to prosperity.

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RATIONALE FOR CHOICE OF STRATEGIC OBJECTIVES

- A** STRATEGIC LINKAGES
- B** PAST USAID PERFORMANCE
- C** OTHER DONOR INVOLVEMENT
- D** RATIONALE FOR USAID/UGANDA STRATEGIC FRAMEWORK
- E** PROGRAM INTEGRATION
- F** CROSSCUTTING ISSUES

2

RATIONALE FOR CHOICE OF STRATEGIC OBJECTIVES

A. STRATEGIC LINKAGES

The USAID/Uganda ISP has been developed over the past year with the participation of all USG agencies working in Uganda and is aligned with and supportive of the USG's Mission Performance Plan (MPP) for Uganda. The broad directions laid out are directly linked to all of the Agency goal areas. USAID's management goal, to remain a premier development agency, is strongly supported by the results that the Uganda program continues to deliver. USAID/Uganda directly contributes to the objectives and precepts of the Greater Horn of Africa Initiative (GHAI). Conflict mitigation and food security are overarching strategic concerns, while the program embodies the GHAI principles of African ownership, strategic coordination, linking relief to development, regional perspective, and promoting stability. In addition, the Mission's strategy will address other crosscutting issues of key importance to Uganda and to the region, including gender, conflict, HIV/AIDS, information technology, food security, and regional trade.

B. PAST USAID PERFORMANCE

The program goal of USAID/Uganda's 1997–2001 Country Strategic Plan (CSP) was sustainable and equitable improvement in the standard of living. This goal was supported by five Strategic Objectives and one Special Objective.

Strategic Objective

SO1: Increased Rural Household Income.

Through programs that fostered increased agricultural production and productivity, enhanced food security, greater availability of financial services, and key policy reforms, SO1 doubled the income of participating rural Ugandan households. As a direct result of USAID

interventions, exports of high-value non-traditional agricultural exports (NTAEs) grew from \$8.9 million in 1995 to \$23.1 million in 2000. There were steady increases in the production and productivity of milk, oilseeds, maize, beans and cassava, and costs of production for key staple food crops dropped by 46 percent. Over 430,000 savers and 160,000 borrowers participated in USAID-supported microenterprise programs offered by 12 best-practices microfinance institutions in FY 2000, from a base of fewer than 10,000 six years earlier. Policy dialogue with the GOU and other partners successfully focused on competitiveness and public-private partnerships.

SO2: Critical Ecosystems Conserved to Sustain Biological Diversity and to Enhance Benefits to Society.

SO2 focused on three key results: conservation of biodiversity in critical ecosystems, the mitigation of human impact on critical landscapes, and the establishment of a policy framework supportive of conservation efforts. From a baseline of just five, by the end of 2000 19 critical ecosystems were operating under integrated management plans or community resource agreements, which have introduced improved procedures for administration, budgeting, and priority setting to these areas. SO2 contributed to the conservation of biodiversity by supporting improved management in the Afromontane forests of Uganda which sustain over one-half of the world's population of mountain gorillas. In Bwindi Impenetrable National Park and Mgahinga National Park training and technical assistance has assisted in the habituation of 80 new mountain gorillas in three groups. The SO has also been highly successful in promoting agroforestry interventions in densely populated highland zones, exceeding the target for technology adoption by almost 50 percent.

SO3: Quality Basic Education for an Increased Percentage of Ugandan Children.

SO3 used a combination of project and non-project assistance (NPA) to address issues of access, availability, quality, and financial sustainability in Uganda's primary education system. The NPA program leveraged policy reforms that led to a doubling of primary school enrollment, improved teacher training and management systems, a fourfold increase in the availability of textbooks, and an increase in the proportion of the GOU budget allocated to education from 25 percent to 31 percent. Project interventions focused on developing a nation-wide teacher training and professional development system, as well as girls' persistence and performance. Strategies to keep girls in school have been developed and disseminated to nearly 10,000 government-aided schools in the country, 549 Coordinating Center Tutors, 45 Primary Teachers' Colleges, and 55 District and Municipality Education Officers.

SO4: Increased Service Utilization and Changed Behaviors, Related to Reproductive/Maternal/Child Health in Selected Districts.

SO4 promoted greater utilization of selected health care services by improving the quality, sustainability, and availability of those services. As a result overall prevalence of HIV/AIDS has declined dramatically. HIV seroprevalence amongst pregnant women at sentinel surveillance sites declined to 5.9 percent in 1999 in the 15-19 year age cohort, down from 8.3 percent in 1997. In the 20-24 year age group a 40 percent decline was registered between 1997 and 1999 as seroprevalence went down from 14.6 percent to 10.6 percent. Modern method contraceptive prevalence in USAID's target districts reached 23.6 percent in 2000, against a baseline of 12.5 percent, and use of other reproductive and child health interventions such as antenatal care, vitamin A supplementation, and targeted vaccinations also continued to increase.

SO5: Civic Pluralism Expanded and Constitutional Checks and Balances Implemented.

SO5 has helped strengthen democracy in Uganda through increased pluralism and adequate and effective checks and balances within the system of governance.

Our efforts in supporting Uganda's ambitious decentralization program have proven highly successful, bringing two pilot districts to a level of compliance in planning and budgeting that allowed them to qualify for the World Bank's Local Government Development Program well ahead of schedule. USAID's approach assured an integral role for civil society in this process. In Parliament, through the addition of information and communications technology (ICT) and staff training, members are now better equipped and able to research and formulate their own legislation. In 2000 USAID assisted in the creation of a Budget Office. Later that year Parliament, through a private member's bill, passed legislation that restructured the budget review process in order to increase Parliamentary oversight.

Special Objective

Improved Foundation for Reintegration of Targeted Areas of Northern Uganda.

The SPO was established to address constraints to development occasioned by violent, armed conflict in northern Uganda. The SPO addressed emergency relief, transitional activities, and sustainable development. Emergency assistance for internally-displaced persons (IDPs) was a priority, but the SPO also addressed longer-term needs: agricultural development through extension and input supply, microenterprise development through training and savings programs, psychosocial support for vulnerable children through community programs, and basic education through alternative programs to reach out of school youth. Over the life of the SPO the number of sustainable development activities which emphasize community development and reintegration being implemented by USAID in the North grew from 24 to 33.

C. OTHER DONOR INVOLVEMENT

Uganda is highly dependent on external aid with the equivalent of about 58 percent of its budget financed by donors. The average annual assistance to Uganda for the 1997/8-1999/2000 period was \$512 million (net of repayment of donor loans). This is expected to increase to \$708 million on average over the three-year Medium Term Expenditure Framework period from

RATIONALE FOR CHOICE OF STRATEGIC OBJECTIVES

2000/01 to 2002/03.¹ The USG is the second largest bilateral donor following the United Kingdom. Other key bilateral donors include Denmark, the Netherlands, Norway, and Italy. Multilateral donors include the World Bank, the IMF, the European Union and United Nations agencies.

Donors closely monitor the developments in the various sectors and keep each other informed of important developments both at the sectoral and Heads of Mission level. Heads of Mission meet once a month to coordinate views across sectors and to discuss major issues of donor policy. USAID is a member of working groups on Northern Uganda, Decentralization, Legal and Justice Reform, and Agriculture. USAID chairs Donor Technical Groups on the Private Sector, Amnesty and Development of Northern Uganda, and Parliamentary Support. We also co-chair the Social Sector and Environmental Donor Groups. An education sector reform management committee, which includes all major donors and heads of education institutions, meets biweekly.

D. RATIONALE FOR USAID/UGANDA STRATEGIC FRAMEWORK

Program Goal

During the 1990s Uganda has sustained high levels of economic growth, put into place progressive health and education programs, and established the institutions of democracy as provided in the constitution. This has all contributed to dramatic reductions in poverty during the decade. While fifty-six percent of the population lived below the poverty line in 1992 this proportion has declined to 35 percent in 2000. This compares favorably with the World Bank's estimate that in 1998 46.3 percent of the population of sub-Saharan Africa were living below the poverty line. The absolute number of Ugandans living in poverty is about 7.8 million; of these, 4.4 million (20 percent) live in severe poverty without sufficient income either in cash or in kind to provide themselves with enough food to eat. These conditions are more severe in the northern part of the country where poverty is increasing and is almost double the national figure at 67 percent.

The GOU has put into place a sound program to regain its momentum and increase economic growth and to reduce poverty. The centerpiece of the national development strategy, is the PEAP, which seeks to reduce poverty to 10 percent by 2017 through economic growth, increased incomes, improved quality of life and good governance and security. The PEAP has the full endorsement of the donor community, including multilateral financial institutions. The proposed USAID/Uganda Integrated Strategic Plan 2002-2007 supports the focus on poverty as articulated in the PEAP and seeks to contribute not only to its achievement but its durability. Our chosen Program Goal, Assist Uganda to Reduce Mass Poverty, will address all elements of the PEAP using mechanisms that are strategic and targeted and that ensure that the poor participate in and benefit from development efforts.

Our proposed strategic approach will also align with and support the Administration's priorities. SO7 directly addresses trade, private sector development and agriculture, and has placed strong emphasis on developing new partnerships under the Global Development Alliance. SO8 directly addresses HIV/AIDS and the Global Health pillar and also proposes new approaches to building effective public-private partnerships. SO9 directly addresses conflict prevention, mitigation and response and the amelioration of the impact of conflict on people through emergency assistance and developmental relief. In addition, conflict, HIV/AIDS, and regional trade are all crosscutting issues for our program that are integrated into each of the strategic objectives.

Strategic Objectives

USAID/Uganda considered a number of key questions in framing the strategy and identifying its areas of intervention:

- How can we best support Uganda's development priorities?
- What is the nature of poverty in Uganda?
- In what areas or sectors does USAID hold a comparative advantage?
- Where and how can the greatest impact be achieved with the resources available?

- Does the program present opportunities for synergies and linkages that will increase our development impact?
- Does the program build upon past accomplishments and present opportunities for innovation and leverage?

After carefully considering the preceding questions and examining in detail the overall assistance environment as described in the preceding sections, USAID/Uganda proposes the following three strategic objectives as the basis of its development assistance program over the next six years:

- SO7: Expanded Sustainable Economic Opportunities for Rural Sector Growth*
- SO8: Improved Human Capacity*
- SO9: More Effective and Participatory Governance*

USAID/Uganda will implement its strategy over the six-year period 2002-2007. This planning period was selected to carry the program past the next national elections, when we will know more about the priorities of the new Ugandan Administration and have a sounder basis for developing strategic options. This period will also provide a time frame congruent with USAID-supported national and demographic survey efforts that will give a clearer indication of progress towards poverty reduction.

SO7: Expanded Sustainable Economic Opportunities for Rural Sector Growth

Rationale

Uganda is first and foremost a rural agricultural country. Eighty-five percent of the nation’s population is rural, and 96 percent of the poor live in rural areas. The poor are extremely vulnerable to food insecurity, the causes of which vary but the impacts of which fall most directly on women, youth, and those affected by HIV/AIDS. Although agriculture’s share of GDP is declining, it still employs the majority of the rural population and contributes 80-90 percent of the value of exports. Past achievements have been fueled by

agriculture and the future of broad-based economic growth in Uganda will continue to depend on agriculture. However, the gains of the past were based upon expansion of the cultivated area, rather than productivity gains. Since only 25 percent of the land in Uganda is considered “highly productive”, continuing expansion increasingly pushes farmers onto marginal land, producing low yields and damaging the nation’s biodiversity. Fostering growth and increasing incomes will depend on increasing productivity in the agricultural sector, primarily through the closer integration of agriculture programs with sustainable natural resource management interventions in critical landscapes. At the same time, agriculture alone cannot produce the growth that is needed to raise Uganda’s population above poverty. It is imperative to find alternatives through economic diversification. This implies improving the capacity and sustainability of enterprises of all sizes, and creating a policy and regulatory environment that is conducive to efficiency, competitiveness, and sound environmental management.

- Agency Goal Linkage***
- *Broad-based Economic Growth and Agricultural Development Encouraged*
 - *The World’s Environment Protected for Long-term Sustainability*

Reducing poverty requires that increased and sustainable economic opportunities must be made available to rural Ugandans in particular, since the majority of the Ugandan poor live in the rural areas and derive their livelihoods from agriculture. SO7 has identified food insecurity, low agricultural productivity, degradation of natural resource assets, a non-competitive and undiversified economy, and a weak enabling environment as the key constraints to poverty reduction in Uganda that fall within its manageable interest. Resolution of these constraints will reduce poverty by addressing two of the objectives of the PEAP – economic growth, and increased incomes. Income in target households is projected to rise by approximately 40%, while the number of small businesses and people employed in them are expected to more than double.

Linkages to Other SOs

SO7 will support economic growth which will allow continued public and private investment in education and health service delivery (SO8), and thereby facilitate good governance (SO9). Rising income and declining poverty also contribute to stability and reduce vulnerability. SO7’s Title II programs also contribute to food security and dietary diversity in communities affected by conflict where SO9 is working, and provide direct distribution food assistance for people living with HIV/AIDS (PLWHA) under the SO8-managed LIFE Initiative. Finally, SO7 will collaborate with SO 9 to improve local service delivery and public-private partnerships in targeted districts.

SO8: Improved Human Capacity

Rationale

Despite Uganda’s success in sustaining a high rate of economic growth and reducing poverty over the past decade, these positive economic trends are not reflected in the most recent health and education statistics. Uganda’s literacy and primary school enrollment and completion rates are low, particularly for women. Fifteen percent of children die from largely preventable causes before their fifth birthday while immunization rates continue to fall. Fertility rates remain stubbornly high at 6.9 live births per woman. As a result of high fertility and adult mortality due to HIV/AIDS, household size has increased from 4.1 to 5.2 over the last nine years. This leads to a high dependency ratio of 1.22 non-workers per working adult. Primary constraints to human capacity improvement differ by age cohort. Children under 5 constitute about 20 percent of the population and the major issue is their survival. This is adversely impacted by high risk pregnancy, poorly educated mothers, inadequate management of childhood illnesses, low immunization rates and HIV/AIDS – due both to mother to child transmission and loss of parents to the disease. Children from 6-14 are at an important threshold at which health and education decisions are critical to their life choices. While the majority of children aged 6-14 are enrolled in primary school, classrooms where they exist are overcrowded, teachers try to cope with 80 or more pupils per class and are often poorly trained, the supply

of textbooks is inadequate, rates of absenteeism are high, and many girls drop out due to pregnancy or domestic responsibilities. The high drop out rate, particularly for girls, leads to poor health care seeking behavior, and poor health and hygiene practices including early pregnancy. This group may also have lost a parent or family member to HIV/AIDS or may have to drop out of school to care for them. Among those aged 15 and over, life choices are critical – whether to stay in school, timing of sexual debut, and family planning. Many of these choices are poorly informed. Less than 20 percent of Ugandan children complete seven years of primary school. At 17, 43 percent of Ugandan girls have already had a child. HIV/AIDS prevalence remains at 8.3 percent of adults. All of these trends negatively impact the development of adequate human capacity to escape poverty and to fully participate in all aspects of development.

<p><i>Agency Goal Linkage</i></p> <ul style="list-style-type: none"> • <i>The World’s Population Stabilized and Human Health Protected</i> • <i>Human Capacity Built through Education and Training</i>
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Key constraints to improved human capacity are barriers to use of services provided in the social sector, lack of capacity to provide and sustain those services, and a weak enabling environment. By focusing on human capital development, SO8 will address major causes and effects of poverty. Building human capital through integrated education and health interventions enables individuals to maximize and utilize their potential, become less vulnerable and dependent, more resourceful and productive, and more able to participate as citizens. This leads to a better quality of life and a greater ability for the poor to increase their incomes – the second and third pillars of the PEAP. Progress toward achieving this objective will be measured in terms of lower fertility (a projected decline of 6%), a 30% reduction in HIV prevalence among young adults, reduced child mortality (a 7% decline) and a 10% improvement in school performance.

Linkages to Other SOs

A healthy and better-educated workforce will be better able to take advantage of the economic opportunities that will be generated by SO7, and to demand greater accountability and responsiveness from their government and from civil society. HIV/AIDS is a key element in the SO8 portfolio that will be addressed in concert with the other SOs. Reference has already been made to the collaboration with SO7 in implementation of a direct food distribution program for PLWHAs; another area of direct linkage is the implementation of workplace-based HIV/AIDS prevention programs. SO8 will also work with SO9 to expand the availability of comprehensive prevention, care and support programs to conflict-affected areas, monitor service provision, and improve local government service delivery capacity.

SO9: More Effective and Participatory Governance

Rationale

One of the non-economic manifestations of poverty is the disempowerment and isolation of the poor. This results in unresponsive provision of services, lack of participation, and in some instances, conflict. Effective and pluralistic governance is required to place the implementation of development programs close to the people and include them in the decision making process. The implementation of Uganda’s PEAP depends on nascent democratic institutions to provide direction, oversight and monitoring. It is only during the decade of the 1990s that democracy was restored in Uganda and issues of its consolidation remain. Pluralistic political competition, by which people participate in issues-led leadership choices is still limited by the constitution, which limits the activity of political parties. Parliament is emerging as a counterbalance but the locus of virtually all authority still remains with the executive. Local governments, although in place and functioning, are not yet able to perform all of the duties and responsibilities that have been delegated to them. Civil society is weak and only beginning to move from a service provision orientation to one of advocacy. Persistent and seemingly intractable conflicts still affect parts of the West and the North of the country. Efforts to resolve the conflicts at the national level are by nature political and do not reflect local needs and sentiments. Mitigation of the impact of conflict is highly relief

oriented and does not yet accommodate the specific needs of those taking advantage of amnesty or the communities into which they will be reintegrated. The amnesty program itself has been slow in getting off the ground and highly reactive rather than proactive. These weaknesses have direct implications on the success of poverty alleviation under the PEAP. Concerns surrounding restrictions on political competition affect both donors and investors alike, raising doubts about the country’s future prospects. The lack of capacity and empowerment at the local level results in the lack of adequate infrastructure and poor service provision to address the needs of the people. Weaknesses in the legislature and judiciary prevent the establishment of an adequate policy framework and create an unsure environment for investment upon which to create growth. Continued conflict also negatively influences investment decisions and has left communities vulnerable and isolated such that they are not productive nor in a position to participate fully in development activities or economic growth.

<p><i>Agency Goal Linkage</i></p> <ul style="list-style-type: none"> • <i>Democracy and Good Governance Strengthened</i> • <i>Lives Saved, Suffering Reduced, and Conditions for Political and Economic Development Reestablished</i>
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Effective institutions and full participation in the development process are essential to poverty alleviation in Uganda. Key constraints are ineffective devolution and separation of powers, and continuing conflict. SO9 will directly contribute to fostering conditions that are necessary for poverty reduction to occur: civic participation, accountable, transparent and capable government, and conflict resolution and mitigation. In so doing, the SO will contribute to the Mission’s goal of assisting Uganda to reduce poverty and to the PEAP pillars of security and good governance and improved quality of life of the poor. Progress toward achieving this objective will be measured by a 90% increase in resources released to local governments and properly expended, a fourfold increase in CSOs engaging with parliament, and the successful reintegration into communities of approximately 4,000 ex-combatants and abductees.

Linkages to Other SOs

SO9 will enable institutions of governance to respond to the needs of citizens by developing better policies and providing appropriate services across all of the sectors in which the Mission is engaged: health, education, agriculture, private sector, and environment. SO9’s capacity-building programs for local government officials and civil society actors will improve budgeting, planning, procurement and administrative functions across the board that directly impact on SO7 and SO 8 service delivery programs. SO9’s programs with Parliament will improve that body’s ability to legislate and create improved and more responsive policies cited as a critical need by both SO7 and SO8. SO9 will actively engage with SO7 in its policy reform work with the justice sector. Finally, SO 9 work in conflict areas will be highly coordinated with the other SOs to address issues of food insecurity, economic growth, and service provision.

E. PROGRAM INTEGRATION

USAID/Uganda’s program goal and proposed strategic objectives are strategically linked to and supportive of all of the U. S. Mission’s priority interests in Uganda. SO7 and SO8 directly support the MPP goal of helping to create conditions for economic growth through private sector development and the creation of a skilled and educated workforce. SO 7 and SO 9 contribute to regional stability by expanding economic opportunities and choices, enhancing food security, building Ugandan capacity to respond to conflict, and fostering more accountable and capable governance. Through its focus on improving the skills of local authorities and civil society to collaborate in service delivery, SO9 also links to democracy and human rights. SO8 and SO7 address the critical global issues of population and health and environment respectively, through programs in maternal and child health, HIV/AIDS prevention and care, and environmentally sustainable agriculture and enterprises.

<i>U.S. Mission Program Plan Priorities for Uganda</i>	
<i>Economic growth</i>	<i>Global issues of:</i>
<i>Humanitarian Response</i>	<i>Population</i>
<i>Democracy</i>	<i>Health</i>
	<i>Environment</i>

The Mission’s program is highly integrated both through MPP and USAID strategic policy development processes and through collaborative implementation. USAID has maintained a wide network of USG partners, consulting and closely coordinating its program with their on-the-ground activities. Future success will depend upon the continuation of this highly collaborative mode of operation.

Over the past year, the Mission has worked with the Embassy Commercial Section and the Departments of Commerce and Treasury on Uganda’s participation in the African Growth and Opportunities Act (AGOA). In FY2000 we also worked closely with the Department of Treasury on the development of a proposal under the African Trade and Investment Promotion (ATRIP) Initiative that will provide assistance to Uganda on trade and bank supervision. The Mission has also consulted with the Foreign Agriculture Service Office in Nairobi on PL480 issues. The Mission’s HIV/AIDS program has been closely coordinated with the Centers for Disease Control. Both the National Institutes of Health and Walter Reed Army Hospital are carrying out HIV/AIDS research which has complemented and informed USAID’s efforts. The Mission has established a close working relationship with Peace Corps in HIV/AIDS education. On issues of conflict and refugees the Mission has collaborated with the Embassy Office of Population, Refugees and Migration (PRM) and the Defense Attaché. Both the Referendum and Presidential elections observation exercises were coordinated closely with the Embassy Public Affairs and Political Offices.

Regional and Washington-based USG partners also collaborate with and contribute to the achievement of USAID/Uganda’s objectives. With assistance and support of the Greater Horn of Africa Initiative (GHAI), we have been able to implement such diverse programs as conflict mitigation and peacebuilding activities in strife-torn Northern Uganda, control of the noxious water hyacinth weed on Lake Victoria, and regional conferences and workshops on food security and conflict. The Mission’s Title II program, with resources from the Office of Food for Peace (FFP), has supported food security programs through monetization. A new FFP-supported initiative will provide resources for the direct distribution of food aid to PLWHAs. Under the

Global Bureau's Development Credit Authority (DCA) program the Mission is seeking guarantee authority to provide financing through commercial banks to micro, small, and medium enterprises and microfinance institutions. A second DCA activity will work with commercial banks to provide financing to grain wholesalers. The Mission and CDC are collaborating in the implementation of a model district program for expanded HIV/AIDS prevention, care and support services. The Displaced Children and Orphans' Fund (DCOF) has provided psychosocial and community support services for returned abducted and vulnerable children in Gulu and Kitgum Districts. BHR's Office of Private and Voluntary Cooperation (PVC) has provided institutional grant support for microfinance lending and child survival programs. Through the Office of Foreign Disaster Assistance (OFDA) programs have been implemented to assist displaced people in conflict-affected areas and others affected by complex emergencies such as drought. Finally, FFP, through the World Food Program (WFP), has supplied emergency food to approximately one million internally displaced people and refugees (primarily Sudanese) in the North and the West of the country and drought victims in the northeast.

The Mission's ISP has been designed to continue most of these relationships. Specifically, we envision partnerships with:

- Food for Peace in Washington to implement our two Title II programs (Food Security and HIV/AIDS).
- The Office of Foreign Disaster Assistance (Nairobi regional office) for relief-to-development assistance in displaced persons camps.
- The Department of State for ESF assistance addressing political goals.
- The Centers for Disease Control to obtain technical support for our HIV/AIDS activities, and as a partner for our HIV/AIDS district outreach program.
- REDSO/ESA to obtain targeted funding for conflict mitigation and early warning activities that address relief-to-development objectives.

USAID/Uganda's ISP also recognizes and supports the principles and objectives of the GHAI. The consultative process that the Mission developed in its strategic planning framework is a model of strategic coordination, ensuring collaboration with local and regional partners as well as ownership of the program by Ugandan stakeholders. Our program has long had a focus on the relief-to-development continuum, with a number of sustainable development initiatives building directly on the groundwork laid by humanitarian and disaster mitigation activities. As a result, populations once displaced by conflict now have access to improved agricultural technology, rural credit, primary health care and education services, and strengthened local government institutions through our development assistance program. Our program promotes stability with its poverty reduction focus and its efforts to improve livelihoods, strengthen conflict response and government accountability, build human capital, and improve the quality of life of the Ugandan people. We have ensured a regional perspective in our strategic approach by coordinating closely with REDSO/GHAI and other regional partners, by sharing information with neighbor bilateral missions in East Africa, the Great Lakes, and the Horn, and by participating in regional planning and training.

F. CROSSCUTTING ISSUES

- **Gender.** Given the multiple disadvantages that affect the lives of Ugandan women, there is a clear imperative for the USAID/Uganda program to reflect gender awareness and to integrate appropriate approaches to gender throughout the portfolio. Under SO7, women will continue to be the principal beneficiaries of microenterprise programs, and will also be targeted for business skills training through the SPEED activity. The SO team is already working with women's groups to promote sustainable agriculture in the Southwest of Uganda, and these successful approaches will be replicated in other parts of the country. SO8 will address gender by continuing to emphasize girls' retention and completion in primary school, by developing information, education and communication/behavior change (IEC/BCC) programs that recognize the differing knowledge levels,

informational needs, and means of access of men and women, and by targeting adolescents, particularly boys, with special programs. SO9 recognizes that women are particularly vulnerable in situations of conflict and will work to address their needs, as well as implementing gender-sensitive capacity building programs for local government officials, CSO counterparts, and women in local government positions.

- **Conflict.** Conflict directly affects the lives of millions of Ugandans. It also affects the implementation of development assistance activities in those areas where insecurity prevails, and accordingly must be taken into consideration by each SO team. The recently-completed UNHS demonstrates clearly that those areas of the country most seriously affected by conflict are also the poorest, with poverty levels and inequities having actually increased in the districts of the North, rather than continuing to decline as in the rest of the country. The Mission is currently implementing 33 sustainable development activities in the major conflict zones in a wide variety of sectors. These activities will continue as SO 9 addresses the reduction of conflict through participatory dialog and strategic interventions to mitigate its impact and reduce the vulnerability of war-affected communities. Through SO7 the Mission will address issues of food security in areas of conflict and seek to expand economic opportunities to these areas. Health and education services are weak and IDP camps present a special problem. SO8 will seek to expand the availability of comprehensive prevention, care and support programs to conflict-affected area, monitor service provision, and improve local government service delivery capacity.
- **HIV/AIDS.** HIV/AIDS is a multi-sectoral problem, linked to the viability of enterprises, agricultural production, quality of life, human rights and dignity, and conflict. Uganda has effectively reduced the seroprevalence rate by as much as 50 percent at key sites over the past ten years, but this success is fragile and vulnerable. Half of Uganda's population is less

than 15 years in age and vulnerable to a second wave of the epidemic. Therefore, prevention, support and care services will be made much more widely available than they are at present, through schools, workplace programs, the media, NGOs and community-based organizations, and government channels at the center and in the districts. All SOs have included HIV/AIDS interventions in their frameworks. SO7 will utilize PL480 Title II resources in partnership with SO8 to provide direct distribution food assistance for PLWHA under the Title II HIV/AIDS initiative. SO9 will work to improve service delivery through local governments and NGOs and will improve HIV/AIDS coping mechanisms in communities affected by conflict. SO9 will also partner with SO8 to address the specific needs in IDP camps.

- **Information and Communication Technology.** The GOU has created a liberalized regulatory and policy framework for ICT that is catalyzing rapid, private sector led growth of the network nationwide. Prices have dropped dramatically and the subscriber base is growing rapidly. While most of this development has occurred in urban areas, rural areas are enjoying significantly higher access to ICT as well, and it is likely that this growth will accelerate. At the same time, supply and demand-side constraints inhibit prospects for sustainability and impact. A recent ICT assessment commissioned by the Mission indicates that there are substantial opportunities for innovative application in all SO areas. The Mission will integrate the use of appropriate ICT into all of its SOs. In SO7 ICT will play a support role in the increased competitiveness of exports. SO8 will enhance management and procurement controls using ICT. Finally, SO9 will continue to enhance the efficiency of Parliament through ICT for research and outreach and will explore applications for improving local government operations. On a broader level, the Mission will continue to closely monitor developments in the ICT regulatory framework in Uganda and will explore options under the Global Development

Alliance to leverage private sector funding into increased opportunities in ICT.

- **Food Security.** The primary causes of food insecurity in Uganda are poverty, low agricultural productivity, poor health and sanitation, inappropriate feeding practices, especially among young children, conflict, HIV/AIDS, and periodic natural disasters like droughts and floods. All of these causes, except natural disasters, are chronic situations. Resolving problems of chronic food insecurity requires development solutions, not temporary food relief. SO7 address developmental causes of food security such as low productivity through the introduction of productivity-enhancing agricultural technologies. In partnership with SO8, the program will also target the particularly vulnerable group of people living with HIV/AIDS. Title II food resources under SO7 will be combined with complementary services, such as counseling and nutrition programs provided by SO8 partners. SO9 programs will work with vulnerable communities affected by conflict to increase their resilience and ability to respond to complex situations that result in food insecurity.
- **Regional Trade.** There are two principal trade bodies in the region, the East African Community (EAC) and the Common Market for Eastern and Southern Africa (COMESA). Uganda is a member of both. Uganda's position as a landlocked country at the nexus of several regional entities gives it key importance as a regional trading partner. The volume of officially recorded trade between the three East African countries is quite small, accounting for only ten percent of their total trade. However, the amount of official trade is expected to expand significantly as a result of the proposed elimination of tariffs amongst member states of both bodies. The Mission's SO7 program to increase competitiveness will assist Uganda to take advantage of both of these agreements. SO 8 will address one of the key impediments to competitiveness – productivity, which is inhibited by poor education and health status. A third vital requisite for regional trade is an appropriate

policy framework. SO9 will work with Parliament to strengthen their capacity to analyze and draft necessary legislation.

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S07 RESULTS FRAMEWORK & ILLUSTRATIVE ACTIVITIES

- A** STATEMENT OF THE STRATEGIC OBJECTIVE
- B** STATEMENT OF THE DEVELOPMENT PROBLEM
- C** PROGRESS TO DATE
- D** THE CONSULTATIVE PROCESS
- E** DEVELOPMENT HYPOTHESIS AND FRAMEWORK
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3

SO7 RESULTS FRAMEWORK & ILLUSTRATIVE ACTIVITIES

SO7: EXPANDED SUSTAINABLE ECONOMIC OPPORTUNITIES FOR RURAL SECTOR GROWTH

A. STATEMENT OF THE STRATEGIC OBJECTIVE

SO7, “Expanded Sustainable Economic Opportunities for Rural Sector Growth”, will assist Uganda to reduce rural-based poverty and sustain economic growth by expanding economic opportunities and increasing employment, income, and the viability of enterprises. Income in target households is projected to rise by approximately 40%, while small businesses and employment in them are expected to more than double. The strategy will help to sustain and reinforce the necessary conditions for broad-based growth in the economy by addressing problems of low productivity in all economic sectors, lack of competitiveness, and environmental degradation. To achieve broad impact, the strategy will address linkages between farmers, natural resource users, other rural enterprises, and urban and international markets; devote greater attention to leveraging key reforms that foster private sector growth, competitiveness, and sustainable environmental management; and build the capacity of poor people to lift themselves out of poverty. The SO will be achieved through four key results: increased food security for the vulnerable, increased productivity of agricultural commodity and natural resource systems, greater competitiveness of enterprises, and a stronger enabling environment. The integration of economic growth, agriculture, and environment and natural resources interventions is essential to the achievement of the SO. Our proposed approach will build on and strengthen existing synergies and on-the-ground working relationships between these sectors, facilitate efficient management of human and financial resources, and permit us to achieve higher levels of impact. The SO will also use two innovative, integrated analytical frameworks to guide its investment decisions and structure its interventions. Strong private-public-

civil society partnerships are also an essential element of the strategic approach and a key means through which SO7 is linked to and supportive of SO8 and SO9. SO7 will address two Agency goals: Broad-based Economic Growth and Agricultural Development Encouraged, and The World’s Environment Protected for Long-term Sustainability.

B. STATEMENT OF THE DEVELOPMENT PROBLEM

Despite tremendous gains during the Museveni years, Uganda remains a poor, rural country. 85 percent of the population, and 96 percent of the poor,⁵ live in rural areas, and this population is growing at a rate of nearly three percent per year. Rural people are four times more likely to be poor than their urban counterparts. Furthermore, 26 percent of rural households are headed by women⁶ and have less land and fewer assets, resources and productive members than those that are headed by men. Rural Uganda has one of the highest dependency ratios in the world at 1.22 dependents per working adult and rising⁷. Opportunities for the rural poor and near-poor to improve their situation are very limited.

Nearly two-thirds of the 3.5 million rural households⁸ are mired in unproductive, low-input/low-output farming, producing food largely for their own consumption on an average worked holding of less than two hectares of land. Women, who are also the principal suppliers of child care and domestic maintenance services, provide three-quarters of the agricultural labor on these holdings.⁹ Population densities continue to increase in rural areas, reaching over 500 persons per sq km in some parts of the west and southwest¹⁰. Such

high densities, accompanied by rapid population growth, lead to fragmentation of land, severe environmental degradation, and declining productivity. Low productivity leaves little opportunity for farmers to seek alternatives or to diversify their investment options. From an environmental perspective, poverty drives the erosion of biodiversity and compels many to forego longer-term investments in sustainable land use in favor of short-term resource exploitation to stave off food insecurity.

While overall production of food in Uganda is sufficient to feed the population,¹¹ this production is not equitably distributed. Areas with high population densities and fragmented and depleted land are vulnerable to food insecurity, as are high risk and marginalized groups such as people displaced by conflict, the drought-affected, widows and female household heads, households with many dependents, and those affected by HIV/AIDS. These latter groups often possess neither the capacity to produce food nor the resources with which to purchase it. Low productivity and poverty are prime contributors to food insecurity. To many Ugandans, food insecurity defines poverty.¹²

Total production of key Ugandan food crops such as bananas, maize and other cereals, root crops, and pulses increased at a rate of 3.4 percent per year over the past two decades.¹³ However, these increases occurred primarily through expansion of the cultivated area rather than through better management of land already under production.¹⁴ The area planted in root crops, for example, increased by one-third during this period, but total production increased by only 13 percent, indicating a steep decline in overall productivity for these crops.¹⁵ Much of the area expansion of cultivation is taking place on land not well suited for production and with little potential for increased productivity, due primarily to low soil fertility.¹⁶ The amount of untilled land available for high potential productivity gains in agriculture is limited, and overall only a quarter of the total land base in the country can be classified as medium to high potential for agricultural production¹⁷. Land already under production is also being depleted of its fertility, as traditional fallowing practices have largely been abandoned due to population pressure and alternative technologies and inputs such as agroforestry, terracing, manure and

commercial fertilizers are not being applied. For example, fertilizer use in Uganda, at a total for all products of only 12,000 MT in 1999, is the lowest in Africa.¹⁸

About 40 percent of food crops by value are marketed in Uganda, and due largely to their low productivity rural farming households must purchase nearly half by value of the food that they consume¹⁹. Clearly even poor households are directly linked to markets and to the commercial economy. However, the prices that rural producers receive for the crops that they market are low, due to infrastructure constraints, poor quality control, and lack of competitiveness. Poor farmers often have to sell when prices are low if they need cash urgently, only to purchase food when prices are high because household stocks are inadequate, depleted, and further diminished by postharvest losses that may be as much as 30 percent of stored produce.

Declining productivity is a major concern affecting traditional export crops such as coffee and cotton as well as food crops. Coffee export values dropped from a high of \$433 million in 1996 to \$165 million in 2000, while cotton exports plummeted from 86,000 MT in 1970 to 14,500 MT in 2000.²⁰ Insecurity, poor quality control, declines in world prices, production and marketing inefficiencies, and low competitiveness compound the productivity problem for these exports. Increased productivity and competitiveness could boost the value of coffee and cotton exports to \$412 million and \$88 million per annum respectively in just the next two years. While fisheries have rebounded since the European Union lifted its ban on fish imports from Uganda, poor fishing technique, unsustainable harvests and lack of regulation pose serious threats to the maintenance of fish stocks in Uganda's lakes. However, potential does exist to develop sustainable aquaculture systems and value added products that could increase exports to as much as \$180 million per annum.²¹ New non-traditional exports (NTEs) such as cut flowers and spices show considerable potential and have increased fourfold in value in less than a decade, and are likely to grow significantly from the current level of \$40 million in the next several years.

Many of the gains in agriculture over the past decade were the result of liberalization and macroeconomic

reform as well as an expansion of the cultivated area. Further gains can be made through increased efficiency in the functioning of agricultural commodity markets, and reduced production costs. But the key issue that must be addressed is productivity. Land and labor productivity have declined steadily since Independence and production patterns have exhibited a structural shift towards lower-value food crops.²² Farmers need concrete examples and incentives to increase their productivity. This will require viewing food, cash and export crops holistically, from production through value-adding processing to marketing. Further, sustainable resource management must be integrated into production systems in order for change to occur.

Declining productivity and diversity of the natural resource base have serious implications beyond those identified for agriculture. The burgeoning human population and the level of poverty contribute significantly to habitat degradation and species loss both in protected areas such as national parks and reserves, and unprotected land. Forests, wetlands, woodlands, other habitats, and associated species of plants and animals are under threat from land conversion, unsustainable resource extraction for fuelwood and charcoal, burning of indigenous vegetation, and introduction of exotics such as water hyacinth. The prospects for sustaining productivity in areas that are not under protection are particularly doubtful unless new approaches are put in place to link conservation with economic returns. Wetlands are being converted to rice fields, although their hydrological service value is greater than that of agricultural output from conversion,²³ and the productivity of the lake fishery appears to be declining. Unprotected forests are major sources of timber, charcoal, and firewood, and once denuded they are often converted to unproductive agricultural and animal husbandry uses.

Low productivity and lack of competitiveness are also characteristic of enterprises at all levels, from micro and small enterprises to larger firms producing for both local and international markets. Many households have both farms and microenterprises, with their enterprises being closely linked to agriculture and consisting most often of trade in agricultural and natural resource goods and services such as farm products, charcoal, and

handicrafts, demonstrating a lack of diversity in the microenterprise sector. These businesses, which number about 800,000,²⁴ are also characterized by low labor productivity, negligible employment generation, and profit margins insufficient to permit long-term business investment. The 40 percent of microenterprises that are owned by women are even more seriously constrained in their income-generating potential than those that are operated by men.²⁵ Low productivity in the agricultural sector limits the growth and expansion of off- and non-farm enterprises. Enterprises also face many of the same institutional and structural constraints as farmers, including weak infrastructure and lack of access to finance and business support services, information technology, and market outlets. Available credit for microenterprise, for example, is less than ten percent of demand.²⁶

A formal small and medium enterprise sector (10 or more employees) is emerging and playing an increasing role in providing inputs, market outlets, and support services. Small business is particularly active in the emerging service sector, which has grown from 36.6 to 40.2 percent of GDP in the past five years²⁷ and encompasses such activities as ecotourism, the cell phone industry and information technology. In larger export sectors such as coffee and cut flowers, small manufacturing enterprises and business services providers are emerging in support of the industry. These enterprises, the so-called “missing middle”, also need access to finance and support services to build their competitiveness.

To a large extent, business culture in Uganda lacks strong entrepreneurship with vision and transparency. Business plans are not standard practice whether for guiding business or seeking financing. Business development services are weak and their value is not well understood. Reluctance to expose profit and loss for tax purposes also impedes efficient business practice. Few businesses are able to adapt to the standards required in the global market place, such as food safety and environmental standards. Ugandan businesses are not well equipped to compete, either in terms of meeting the rules embodied in trade agreements, or with products that meet consumer demands on international markets. If they do not work to improve their competitive advantage, Ugandan

enterprises will be permanently marginalized from international markets.

Although major “first-tier” macroeconomic policy reforms for private sector development have been accomplished, and Uganda’s PEAP is a model poverty reduction strategy, more remains to be done in “second-tier” structural and institutional reforms to create an environment that fosters productivity and competitiveness. For example, while Uganda has improved its Investors’ Country Credit Rating from 7.3 in 1993 to 22.9 in 2000,²⁸ it is still well below the rating of 40 that is widely viewed by most foreign investors as a minimum threshold. A 1998 World Bank survey²⁹ of foreign investors in Uganda cited such impediments to investment as eroded and inadequate infrastructure, lack of skilled labor, high levels of corruption, a weak financial system and a poor regulatory environment. The GOU has begun to address infrastructure issues, especially telecommunications and roads, and to introduce financial sector reforms; but more remains to be done especially in terms of reducing corruption and introducing needed reforms in commercial justice.

On the positive side, three key elements of a national policy framework for continued promotion of broad-based growth and poverty reduction are in place. The goal of the National Environment Management Policy (NEMP) is to enhance the quality of life of all Ugandans and guide sustainable economic development through sound environmental and natural resources management using a participatory approach. The Plan for Modernisation of Agriculture (PMA) is a poverty-focused framework that firmly endorses improved household food security and income generation through the market, and envisions an agricultural sector that is competitive, productive, diversified, export-oriented, and private-sector driven. The Medium Term Competitive Strategy (MTCS) for the private sector is firmly focused on improving competitiveness of Ugandan business and promoting export development while simultaneously implementing actions such as infrastructure development and trade policy reform to create an environment conducive to investment and private sector led growth.

Low productivity, unsustainable resource exploitation, and lack of competitiveness are the key problems Uganda must address in order to sustain a rate of economic growth that will permit continued reductions in poverty. These three problems manifest themselves at all levels of economic endeavor, from the smallholder farm to the large-scale enterprise, and must be addressed using an integrated approach if results are to be achieved. SO7’s integrated approach will lead to gains in the value of production and total productivity in selected land use systems, create off-farm employment opportunities, stem environmental degradation and biodiversity loss, build robust enterprises, reduce vulnerability to food security, and directly increase income for rural Ugandan households.

C. PROGRESS TO DATE

During the 1997-2001 planning period USAID/Uganda addressed private sector, agriculture, and environment in two separate strategic objectives: SO1, Increased Rural Household Income, and SO2, Critical Ecosystems Conserved to Sustain Biological Diversity and to Enhance Benefits to Society.

SO1 interventions at the farm and enterprise level played a major role in poverty reduction in Uganda over the past five years by promoting increased agricultural production and productivity through the introduction of improved agricultural technology; providing greater access to financial services for farmers and entrepreneurs; and building the capacity of off-farm microenterprises and small businesses to grow and expand. Over the planning period, the production and productivity of selected food crops increased dramatically as a direct result of USAID interventions, which reached over 500,000 rural Ugandan households. Total production of beans more than doubled and production of cassava, Uganda’s most important food security crop, which had been all but wiped out by the destructive mosaic virus, increased from virtually nil to over 400,000 metric tons per annum. Maize yields per acre in USAID target districts increased by 46 percent between 1996 and the second season of 2000, and farmers’ costs of production declined by more than 60 percent. These results were achieved through a close and effective collaboration

and partnership of Title II cooperating sponsors, major contractors, and Ugandan NGOs.

Exports of high-value non-traditional agricultural commodities such as cut flowers and spices tripled in value over the strategy period. SO1 has supported over 60 new firms in the NTAE sector with technical assistance and capacity-building. These firms have created over 4,000 new off-farm jobs, most of them filled by women who now earn incomes far above the sector average.

USAID's microfinance programs have reached over 160,000 borrowers and close to half a million savers in the past five years through 12 best-practices microfinance institutions. Three of these institutions will achieve operational self-sufficiency within the next 12 months and all use market interest rates and have loan recovery rates in excess of 95 percent. A recent impact study of selected microfinance programs found that program clients are more likely than non-clients to improve their businesses, establish new enterprises, increase their savings, and invest in their farms. SO7 has also pioneered a commercial loan guarantee instrument developed with two commercial banks using Title II resources. In the first year of operation the facility provided close to \$400,000 in loans ranging in size between \$2,000 and \$11,000, with a 99.1 percent loan recovery rate and the generation of \$770,000 in farmgate revenues. USAID will build on this success in the new planning period using DCA and other resources.

The SO2 program has focused on improving the management of critical ecosystems through better operational planning and priority setting; reducing human pressure on the natural resource base both within and outside of protected areas; and facilitating the development of a policy and implementation framework supportive of conservation efforts. Over the course of the past five years, the land base under improved management increased markedly. While only five areas were operating under integrated management plans or community resource agreements in 1995, this number had increased to 19 by 2000. The plans implemented have introduced improved procedures of administration, budgeting and priority setting at the Protected Area (PA) level. More significantly, the total land area being

sustainably managed under these agreements has more than tripled, to a total of over 2.1 million ha, comprising most of Uganda's PAs.

SO2's investments in reducing pressure on critical ecosystems also made gains during the planning period. Cumulative tree-planting in key high-population-density highland areas, which directly contributes to soil erosion control and increased soil fertility, has surpassed its target by 35 percent. To date, 3.23 million trees have been planted in these areas. A network of over 430 on-farm agroforestry trials and nurseries that serve as farmer-selected research and extension sites on issues such as wood production, soil fertility enhancement, integration of high-value tree crops, increased fodder tree diversity, and propagation of indigenous high-value tree species is in place. Farmers are using this resource as a basis for establishing fodder banks, boundary plantings, rotational woodlots, and on-farm tree cropping for food security and income generation.

In the effort to create a strong framework for conservation and development, achievements were also recorded in building the capacity of civil society to engage government and leverage policy reform on critical environmental issues. Two leading advocacy NGOs supported by the SO took leadership positions in drafting Uganda's Fisheries Policy (drafted in 2000) and in engaging with regional partners to curb the illegal trade in primates in eastern and central Africa. In the context of decentralization, progress was made in putting into place an effective management framework for natural resource management at the District level and below. These Environmental Action Plans (EAPs) will serve as the basis for prioritizing interventions and programming resources accordingly.

Significant as these accomplishments under SO1 and SO2 have been, the previous strategy had too little impact on the adoption of environmentally sustainable land use practices, and too little impact on preserving biodiversity. The integration of our efforts in agricultural development, economic growth, and natural resource management and the application of SO7's "Strategic Criteria for Rural Investments in Productivity" (SCRIP) model will address these shortcomings. SCRIP is designed to provide reliable information on critical Ugandan landscapes that will

allow the SO7 team to make informed decisions about where and how to invest resources so that unique biodiverse resources will be preserved and agricultural and natural resource productivity will be boosted. The development problems of non-competitiveness and low productivity that are compounded by environmental degradation demand this new approach if meaningful results and high impact are to be achieved over the life of this ISP.

D. THE CONSULTATIVE PROCESS

SO7 initiated an extensive consultative process beginning a year ago. The consultations have involved Ugandan public and private sector stakeholders, all donors operating in Uganda, our implementing partners, international and local NGOs, USAID's Africa and Global Bureaus, the USAID Office of Food for Peace (FFP), USAID/REDSO, International Agricultural Research Centers, and other regional organizations working in Uganda. Ugandan stakeholders have included all relevant Ministries, Ugandan institutions, the private sector, the NGO community and civil society.

The consultations were conducted in three stages. The first stage involved examination of technical and socioeconomic information regarding poverty in Uganda, and the experience and results by GOU and donors to address poverty. These consultations focussed on key issues in agriculture, natural resource and environment, private sector development, financial sector reform including microfinance, small business development, trade and investment, export development and cross-cutting issues involving conflict, gender, HIV/AIDS, information technology and food security. The consultations utilized a number of our existing relationships with ultimate customers: farmers and others who depend directly on the natural resource base for production and income, enterprises at all levels, business associations, and exporters. Key institutions representing the private sector, agricultural groups, commodity export organizations, and environmental organizations were also consulted. As the issues were identified, we initiated special studies and extensive analyses to further clarify the development problem, particularly in the areas where we considered them to

be important for SO7 to address. This resulted in the problem definition that was articulated in the Concept Paper.

The second stage involved refining the problem that was articulated in the Concept Paper, prioritizing the issues, and carefully examining our own ongoing development experience in Uganda. We carried out further analyses and review of the linkages between key development problems. We carefully examined the extensive body of knowledge from results and experience through our existing programs that have been ongoing for some years. In addition, we identified where critical gaps existed with respect to new challenges in relation to GOU priorities in decentralization, the Plan for Modernisation of Agriculture, the Medium Term Competitive Strategy for Private Sector Development and the National Environmental Management Plan. The aim was to examine how our development experience and results would most effectively integrate and contribute to GOU priorities and programs. Finally, our own priorities were discussed in terms of potential development impact and how the integration of SO1 and SO2 could be most effective in terms of the problems to be addressed. A key issue was to examine how agriculture and natural resource management issues could be integrated more effectively to achieve higher level impact. In addition, attention was given to how agricultural productivity, natural resource management and economic growth could most effectively address the problem of poverty.

The final stage involved a set of intensive workshops with partners to develop the final framework. The workshops focussed on several options for the framework, ultimately deciding on the framework presented herein. Careful examination of the kind of results, the logic of the framework and the indicators for achieving impact were reviewed with help of experts from USAID/W. At each stage, we consulted with the various stakeholders to get important feedback and to refine strategic areas. The final framework was vetted with a cross section of ultimate customers, such as farmers, enterprises and exporters as well as with key government ministries and institutions.

E. DEVELOPMENT HYPOTHESIS AND FRAMEWORK

1. Development Hypothesis

Uganda's sound macroeconomic framework, including efforts to build a competitive and liberalized economy, are conducive to expanding opportunities and improving the incomes of poor people. To realize impact on poverty reduction, efforts must now focus on creating the conditions that ensure upward and sustainable income mobility of rural people generally and the vulnerable in particular. Conditions that currently work against poverty reduction and broad-based growth are the low productivity and lack of competitiveness of agriculture, natural resource systems, and enterprises. Thus, for the strategy period, increasing growth and thereby incomes will depend on increasing productivity in the agricultural sector. Productivity will be enhanced by fostering the closer integration of agriculture programs with sustainable natural resource management interventions and by increasing the productivity of enterprises, from the smallholder farm to the international exporter. The SO will also contribute to productivity by building competitiveness at all levels through the strengthening of entrepreneurs, productive sectors, and the overall enabling environment in which they operate. Key to the achievement of the SO will be optimizing economically productive land use options in critical landscapes that will generate sustainable opportunities without further compromising the potential of the natural resource base. The SO will focus on critical landscapes as defined by high agricultural potential or capacity to support economic diversification through sustainable extraction of natural products and/or delivery of global benefits (biodiversity, tropical forests). In order to achieve broad impact that diversifies opportunities, public and private sector institutions must also implement economic reforms aimed at improving access to critical services, particularly financial services, commercial justice, technology and markets for the rural poor.

SO7 has experience and success in Uganda that demonstrates our comparative advantage for catalyzing change, producing sector-wide impacts and addressing the needs of the poor. We have effectively provided

interventions to increase productivity in the private sector and in rural areas, as well as solutions in public sector reform. At the same time, we have effectively incorporated special concerns and gained experience in promoting gender equity, addressing conflict, and enhancing food insecurity in affected regions. Our new strategic approach to implementation will involve integrating key program interventions. To guide our investments and programmatic decisions for achieving the SO and its intermediate results, we will build two key policy related analytical frameworks that will operate during the ISP period.

The first analytical framework will be "Strategic Criteria for Rural Investments in Productivity" (SCRIP). This will entail developing and integrating new analytical criteria in a way to guide our investments. Criteria will include socio-economic, agricultural, environmental, agro-ecological land use potential, poverty and population information. The objective will be to develop strong analytical capacity for guiding not only our own strategic investments, but also to build a stronger capacity to undertake critical policy dialogue with government policy makers and private sector investment organizations. SCRIP will also address one of the major difficulties in Uganda; the lack of reliable data and information that can be used for planning and policy making. SCRIP will provide an important new tool for SO7 to direct our investment in selected regions of the country and to realize greater total impact from rural productivity enhancements affecting poor people. SCRIP will be particularly important for integrating agricultural, natural resource management and private sector interventions where both environmental goods and services and agriculture contribute collectively to the productivity of biodiverse landscape systems

The second analytical framework will be "Competitiveness". This framework will focus on building competitiveness within key productive sectors where large multiplier impacts can be achieved with respect to export-led growth, increased revenue streams for small holder producers and increased private investment. This will entail careful examination of key export sectors, linking rural productivity to export markets, and increasing trade and investment. Building competitiveness in key sectors that benefits poor people

will require new approaches for stimulating reforms and for stimulating private sector response to the market.

2. Assumptions

- Macroeconomic stability will be maintained;
- Conflict will continue at more or less current levels;
- Critical structural reforms (commercial justice, financial sector, agricultural modernization, competitiveness) will be implemented.

3. Results Framework

SO 7: Expansion of Sustainable Economic Opportunities for Rural Sector Growth

IR 7.1: Increased Food Security for Vulnerable Populations in Selected Regions

IR 7.2: Increased Productivity of Agriculture and Natural Resource Systems in Selected Regions

IR 7.3: Increased Competitiveness of Enterprises in Selected Sectors

IR 7.4: Improved Enabling Environment for Broad-based Growth

Indicators for SO7:

- Household income in selected regions
- Number of off-farm enterprises
- Employment generation in on- and off-farm enterprises

IR 7.1: Increased Food Security for Vulnerable Populations in Selected Regions

IR 7.1.1 Increased Access to Food Production Technologies and Markets

IR 7.1.2 Improved food aid support to PLWHAs and the AIDS affected in Selected Regions

The primary causes of food insecurity in Uganda are poverty, low productivity, conflict, HIV/AIDS, and natural disasters such as drought. Some of these causes, for example low productivity and poverty, can be addressed by development programs like new agricultural technologies or employment creation. Other vulnerable populations, such as those displaced by conflict or affected by HIV/AIDS, may not be able

to benefit from sustainable development programs and will require direct assistance. To the extent possible the objective will be to graduate vulnerable people from relief so that they can benefit from the fuller range of development interventions proposed under IRs 7.2, 7.3 and 7.4. Such an approach will be particularly important in areas of northern and western Uganda where displaced people are beginning to return to their homes.

Illustrative indicators for IR 7.1:

- Food security monitoring systems in place
- Availability of selected food commodities in target regions
- Dietary diversity scores

IR 7.1.1. The introduction of productivity-enhancing agricultural technologies is an important intervention for increasing food security for selected groups. For example people living in areas of high population density and farming on depleted land are highly vulnerable to food insecurity. Increased access to environmentally- appropriate technologies such as agroforestry and zero-grazing will allow farmers in these fragile landscapes to improve their output and better address their households' food needs, thus contributing to the achievement of the IR.

Illustrative indicators for IR 7.1.1:

- Number of farmers trained in agricultural production technologies
- Number of farmers using improved farming practices

IR 7.1.2. PLWHAs, their families and communities are particularly vulnerable to food insecurity due to reduced productive capacity, reduced income as income-earners fall ill and eventually die, and increased expenditures for care and support. PLWHAs also need an adequate and balanced diet to slow the progress of the disease and to remain physically productive for their families for as long as possible. IR 7.1.2 will address these vulnerabilities in targeted areas.

Illustrative indicators for IR 7.1.2:

- Number of targeted people receiving food aid
- Number of people receiving complementary assistance from community-based organizations

- Number of HIV/AIDS-infected children receiving food aid

IR 7.2: Increased Productivity of Agricultural Commodity and Natural Resource Systems in Selected Regions

IR 7.2.1 Improved Utilization of Selected Critical Landscapes

IR 7.2.2 Increased Market Access and Efficiency

IR 7.2.3 Increased Provision of Private and Public Sector Support Services

Increasing sustainable agricultural productivity in Uganda is the key approach for increasing economic growth and reducing poverty during the ISP period. Increasing productivity will require integration of important agricultural and environmental interventions, most significantly applications that will enhance long-term investments in sustainable use of resources. Environmental degradation, which has been accelerated by forest clearing, lack of fallowing, and destruction of wetlands, contributes directly to declining soil fertility and therefore to reduced productivity, and must be halted or reversed by the introduction and adoption of appropriate technologies. For some areas, increased productivity will depend on alternative, non-agricultural use of the natural resource base. Increased productivity for agricultural and non-agricultural goods and services in turn demand attention to market development and to reliable service delivery, especially of inputs and information.

Illustrative indicators for IR 7.2:

- Productivity of selected agricultural commodities
- Volume of production of selected commodities and products
- Market value of selected agricultural and natural resource commodities

IR 7.2.1. SO7 defines critical landscapes to include water catchment areas, land use systems where agriculture has high potential for sustained growth, marginal lands with valuable non-agricultural resources that are under threat of degradation, and landscapes that can support economic diversification. While not all of these elements might be in place in any one locality, they will be used to define target areas for

SO7 interventions. Environmentally sustainable farming practices that enhance soil fertility, prevent erosion, and reduce run-off are critical ingredients of improved utilization of high-potential landscapes that will lead to increased productivity, as is the use of yield-enhancing inputs like improved seeds, crop management, and fertilizers. Productivity in landscapes more appropriate for non-agricultural diversification will require different approaches focused on, for example, sustainable use of forest and wetlands or infrastructure development. Improved condition of key water catchments will result from investments in sustainable aquaculture and by maintaining expanses of tropical forest. Opportunities for economic diversification will be associated with investments in biodiversity conservation. The outcome will be reduced overall costs of production, increased labor and land productivity, and increased margins of profit for farmers and entrepreneurs.

Illustrative indicators for IR 7.2.1:

- Increased use of yield-enhancing inputs
- Number of farmers adopting improved farming practices
- Land area under sustainable management

IR 7.2.2. Poor market infrastructure and inadequate market information are key constraints to increased production and productivity in Uganda. Increasing productivity will require competitive market development by farmers and rural-based enterprises. Marketing strategies based on consumer demand and diversified products, and linkage of producers to markets will be key elements to ensure that the production of agriculture and environmental goods and services is sustainable and profitable. Linking rural producers and enterprises to both domestic and global markets will require the use of information technology that provides direct access to price information, quality requirements, information on the level of market demand for products, and contacts with buyers in the global market place.

Illustrative indicators for IR 7.2.2:

- Number of commodity-based and nature-based producer and export firms meeting international quality and safety standards

- Number of commodity-based and nature-based firms, individuals and organizations involved in value-added processing and manufacturing
- Number of clients accessing/utilizing market information

IR 7.2.3. Given the inadequacy of public sector extension and information services, the private sector will be key to increasing overall productivity of rural producers. We have evidence of significant growth potential for the private sector response to meet the demand for improved seed, fertilizer and small farm equipment. The private sector can further develop capacity to deliver services to producers, not only for the agricultural components of input supply but also for delivering extension-related services to communities and other rural producers involved in natural resource based enterprises. There is scope for the private sector to act not only as a profit oriented provider of inputs to meet the demands of farmers, producer groups and community-based natural resource users, but also to play a role in provision of technical information. Given the weaknesses that government regulatory bodies have in enforcing important regulatory requirements regarding the use of inputs, it will be important for the private sector to adopt “self-regulatory” conduct in selling inputs. Additionally, a strengthened civil society will improve accountability in the private sector as well as government.

Illustrative indicators for IR 7.2.3:

- Number of enterprise-focused organizations providing input services
- Amount of local government resources provided to private sector and NGOs for natural resource and agriculture service delivery

IR 7.3: Increased Competitiveness of Enterprises in Selected Sectors

IR 7.3.1 Increased Capacity of Local Producer and Community-Based Organizations to Manage and Market Productive Assets

IR 7.3.2 Increased Business Capacity in Selected Export Sectors

IR 7.3.3 Increased Use of Financial Services by Rural Producers; Micro, Small, and Medium Business; and Microfinance Institutions

This IR will focus on building greater private sector capacity, particularly as it relates to creating dynamic and competitive export growth sectors. The result will impact on micro, small, and medium scale businesses that can contribute to productivity enhancements in selected productive sectors with high potential for improving Uganda’s competitive advantage, expanding and diversifying exports, and creating employment. For enterprises to become competitive, they must adopt new business and marketing strategies aimed at development of products that are both profitable and bankable. They must also develop capacity to transform from informal to formal over time, and adopt business culture that permits them to take advantage of an improved enabling environment (IR7.4). While a number of constraints face the private sector, two major constraints are critical; lack of business competitiveness and lack of finance, especially for small business – the “missing middle”. This IR will focus primarily on these two constraints.

Illustrative indicators for IR 7.3:

- Volume of loans to businesses and commercial farmers in selected sectors
- Foreign and domestic investment in selected sectors

IR 7.3.1. Community-based producer organizations whose membership consists of small farmers and/or people dependent on some form of non-agricultural natural resource utilization (for example, community tourism and handicraft groups) lack sound business practice and planning skills. Such organizations are critical because they are the best channel for rural producers to link with markets. As these organizations build their skills and become viable business entities, they will play a key role for building economies of scale and efficiencies in the overall system of production and marketing. These organizations are nascent and very weak in Uganda and unable to perform effectively either for their members or as viable commercial entities. While many local farmer groups and community-based NRM organizations have been formed and are at various stages of development, most are dependent on donor grants or other forms of subsidies. Under this IR, we will develop local organizations into viable and effective business entities.

Illustrative indicators for IR 7.3.1:

- Number of people with enhanced management skills
- Number of organizations with bankable business plans

IR 7.3.2 Building competitiveness within key export-linked growth sectors will be a critical element of the SO7 strategy. Uganda must build its competitive advantage in those areas that are potential growth poles – that is, critical sectors for employment generation, export earnings and attracting private investment. These are mainly commodity-based systems with significant linkages to rural producers. Developing plans and strategies that are linked to sources of growth in the economy will be important for building long term competitiveness. While the needs of business will vary according to size and experience, the ultimate objective is to increase the number of competitive enterprises. In order to create opportunities for broad impact, synergies and linkages between microenterprise, small business and industry must be fostered as well.

Illustrative indicators for IR 7.3.2:

- Number of men and women receiving business skills training
- Number of targeted SMEs and MFIs purchasing business development consulting services

IR 7.3.3 Access to finance is one of the most critical problems limiting rural and enterprise growth. In the absence of financial services, enterprises cannot grow and thereby increase employment opportunities, diversification is stifled, opportunities to increase production and productivity are lost, and businesses may fail. The constraint is most marked for small and medium enterprises that have grown too large to benefit from microfinance, but do not have the collateral or track record to qualify for resources from commercial lenders.

Illustrative indicators for IR 7.3.3:

- Lending by selected banks to MFIs, MSMEs, and rural producers
- Number of clients of selected MFIs and banks

outside Entebbe, Kampala and Jinja

- Number of loans between Ushs 3 million and Ushs 425 million

IR 7.4 Improved Enabling Environment for Broad-Based Growth

IR 7.4.1 Increased Capacity of Commercial Justice Institutions to Service Private Sector Transactions.

IR 7.4.2 Increased Capacity of Ugandans to participate in the Benefits of Trade Agreements and Impacts of Globalization

IR 7.4.3 Effective Advocacy for Environmental and Natural Resource Policies

This IR addresses critical institutional and structural reform areas that will further enable the broad set of clients and customers of our strategy to participate in sustainable economic activity. Farmers, microenterprises, small business, producer groups and community organizations need to be able to conduct economic activities within a framework of transparency, fairness and clear policies that promote sustained growth. Moreover, policies and improvements in the enabling environment need to be coordinated and decentralized to the local level if they are to impact on the poor. Formulating clear policies and communicating them to all Ugandans will require that government, private sector institutions and communities work together in partnership. For SO7, we have identified three critical reform areas that we will address because they are crucial to expanding private sector capacity, promoting trade and export development, and fostering the effective implementation of environmental policies.

Illustrative indicator for IR 7.4:

- Number of Ugandan laws and policies modified through private sector, civil society and GOU consultative processes

IR 7.4.1. The loss to Uganda due to inadequacies of the commercial justice system is at least 2% of GDP.³⁰ The main economic impact of the failure of the current commercial justice system is that contracts are difficult to enforce. Private businesses find it extremely costly or impossible to enforce repayment of debt. This has discouraged investment and increases the costs of

banking and private business activity. Alternative dispute resolution is an approach to solving this problem, as are more efficient registration processes. Improving these functions will permit greater use of securities for collateral, and will increase access to financing for the business sector.

Illustrative indicators for IR 7.4.1:

- Length of time for searches and registration in companies registry
- Length of time for searches and registration in land registry
- Number of commercial cases resolved through ADR

IR 7.4.2. Uganda has a number of trade agreements, including regional agreements with the EAC and COMESA countries; but also broader agreements with WTO, and recent agreements with the EU and AGOA that provide duty free access. Neither government nor private sector has the capacity to fully utilize these agreements. Government Ministries have limited ability to negotiate effectively because of incomplete understanding of the requirements for compliance with complex provisions in the agreements, and capacity of the private sector to participate in trade policy development is also inadequate. The majority of the private sector remains uninformed with respect to potential benefits, particularly rural enterprises that are faced with global competition. Regional trade issues have attracted significant public attention in Uganda and were visible concerns at the recent Consultative Group (CG) meetings.

Illustrative indicators for IR 7.4.2:

- Number of private sector clients participating in the review and modification of policies and regulations
- Number of clients knowledgeable about the impacts of globalization and regional trade arrangements

IR 7.4.3. Uganda has strong policies in place for natural resource conservation and protection. However, there are gaps and deficiencies in the policies themselves and there are serious failures in implementation. The capacity of civil society to demand environmental accountability is weak and their engagement in

environmental advocacy to date has been limited. Those organizations recognized as effective have dealt with key issues using an integrated and cross-cutting approach, and have brought actions that have enabled government officials to resist political pressure to make decisions that are contrary to policy or that are not in the environmental “best interest” of the nation. The SCRIP analytical framework will be a powerful tool to assist NGO advocacy partners to refine their environmental policy agendas.

Illustrative indicators for IR 7.4.3:

- Advocacy agenda identified
- Advocacy campaigns conducted
- Actions responsive to advocacy undertaken

F. OTHER DONOR PROGRAMS

SO7 participates in several donor groups. We chair the Private Sector and the Environment/Natural Resources Donor Groups and are key members of the Agriculture and Commercial Justice Donor Groups.

Uganda has many donors involved in various sectors. Most donors tend to provide selective technical programs in various sub-sectors and many are now moving towards budget support, particularly in agriculture. DANIDA’s Agriculture Sector Program is the most complex and supports agricultural training, education, research, The Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) and the Uganda National Farmers’ Association (UNFA), institutional assistance, household-level agricultural production, and rural financial services. The Dutch, the British, the World Bank and the European Union are all active in support of different aspects of environmental and natural resource management, including support to the forestry sector, district environmental planning, biodiversity conservation, rural energy, and wetlands management. A number of donors, including the African Development Bank, UNDP, and EU, support microenterprise interventions. DfID works in private sector development focusing primarily on policy and public sector support interventions with a strategic focus on supporting the enabling environment and macroeconomic policy

reform agenda outlined in the MTCS. A number of donors, including the EU, the Danes, and the British, contribute to the coordinated commercial justice sector reform program.

The World Bank emphasizes macroeconomic stability through analytical work to facilitate policy formulation and investment priorities as outlined in their recently approved country assistance strategy. The Bank has recently decided to concentrate their work on public sector reform and move away from programs to stimulate the private sector directly.

G. ILLUSTRATIVE ACTIVITIES

SO7 proposes both to build on successful activities and programs and to develop innovative new approaches in order to achieve the strategic objective and intermediate results. The SCRIP and Competitiveness analytical frameworks will help to guide the choice of investments and the design of specific interventions.

Intermediate Result 7.1

Activities that are critical to achieving IR 7.1 include those implemented by the Mission's PL480 Title II cooperating sponsors. We anticipate that five Title II partners will be implementing food security, nutrition, and agricultural development activities supported by the monetization of oil and wheat. These partners provide technical assistance, training, and inputs to foster food security in high population density and conflict-affected parts of the country. Two of the programs contain rural road rehabilitation components that enhance market access and input supply. SO7 also expects to be working closely with SO8 to provide directly-distributed food assistance to PLWHAs and their dependents in several parts of the country. This innovative program will ensure that the HIV/AIDS-affected have better access to prevention, care and support services, as well as addressing food insecurity. Emergency assistance coordinated by the World Food Program for the displaced and drought-affected will also support this IR.

Intermediate Result 7.2

Our experience demonstrates that U.S. technical

assistance and specialized training is an excellent development approach for achieving results in Uganda, and this will be an important approach to enhancing productivity. We have developed many effective approaches that have led to large-scale technology adoption and improved natural resource management, such as field demonstrations and farmer-managed trials. We will continue to build upon these successful approaches but also design new approaches for extending outreach and addressing key problems. For example, conservation of key biodiversity assets will require new approaches for valuing natural resource functions and encouraging communities to adopt sound natural resource management practices. The major problem facing Uganda's unique natural resource assets is environmental degradation. In response, new interventions will be designed that promote conservation agreements with communities and leverage international conservation organizations and investors such as pharmaceutical or energy companies. New interventions will be developed for creating concession agreements between government, communities and the private sector that will produce sustainable fuelwood harvests, commercial forest products, and sustainable use of wetlands. Bringing such solutions will require aggressive efforts at international marketing and improving the policy and legal frameworks that underpin secure tenure.

Intermediate Result 7.3

USAID has been instrumental in developing the microfinance industry in Uganda. Under IR 7.3 we will reduce our direct grant support to MFIs, but continue to provide technical assistance and training for moving the industry towards self-sufficiency and, at the same time, assist the industry to develop greater rural outreach. We will give particular attention to helping MFIs access commercial bank lending, and to stimulate commercial banks to go rural. Beyond microfinance, we will support improved regulation of the overall financial sector and sound banking practice and work with the commercial banking system to develop viable long term financing for agricultural and small business. We will also develop new banking instruments that address the "missing middle" of small business financing. We expect to utilize Global Bureau Development Credit Authority (DCA) to help banks

manage risk in addressing the needs of agricultural and small business lending. Finally, we support improved regulation of both MFIs and commercial banks and the use of “best practices”

In addition, we believe this IR provides tremendous opportunity to incorporate both HIV/AIDS and gender related opportunities. Micro, small and medium enterprises, as well as business oriented producer organizations and community-based NRM organizations, will be important channels for increasing awareness of HIV/AIDS issues and also providing opportunities for promoting women into positions of leadership as owners and operators of businesses.

Intermediate Result 7.4

Under IR 7.4, our approach will be to use technical assistance and training to help carry out selected institutional and structural reforms, rather than providing budget support. In the commercial justice sector, we will collaborate with the donor working group and GOU to implement a common action plan; however, our resources will be used to provide technical assistance for those components that will have the most complementary impact on our overall framework. For example, we will focus on developing capacity for effective alternative dispute resolution through the Center for Arbitration and Dispute Resolution (CADER). We will assist the Commercial Court to improve court procedures, reform antiquated laws, and transfer cases to CADER to expedite huge backlogs of unresolved disputes. In addition, we will support efforts to streamline both the commercial and land registries so that securities can be transacted and valued appropriately and efficiently. We also expect to build on and expand existing partnerships with local and international NGOs that promote environmental justice and accountability of government at all levels for sound environmental management.



S08 RESULTS FRAMEWORK & ILLUSTRATIVE ACTIVITIES

- A** STATEMENT OF THE STRATEGIC OBJECTIVE
- B** STATEMENT OF THE DEVELOPMENT PROBLEM
- C** PROGRESS TO DATE
- D** THE CONSULTATIVE PROCESS
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4

SO8 RESULTS FRAMEWORK & ILLUSTRATIVE ACTIVITIES

SO8 IMPROVED HUMAN CAPACITY

A. STATEMENT OF THE STRATEGIC OBJECTIVE

The strategic objective proposed by the USAID/Uganda SO8 team and its partners is “Improved Human Capacity.” Human capacity in this strategic objective means individuals’ ability to reduce their vulnerability to poverty by improving their levels of education and health. Progress in achieving the strategic objective will be measured by lower fertility (a projected decline of 6%), a 30% reduction in HIV prevalence among young adults, reduced child mortality (a 7% decline) and a 10% improvement in school performance. SO8 will directly assist Ugandans to reduce poverty, contribute to and benefit from economic growth and democratic processes, and attain a better quality of life. The strategy will help to sustain and reinforce the necessary conditions for improved health, longer and more productive life, and greater access to employment opportunities and increased productivity by addressing key problems of high fertility, morbidity and mortality, rapid population growth, illiteracy, poor educational performance, and declining educational quality. SO8 will achieve broad impact through the integrated delivery of key social sector services in health and education in schools, communities, and service delivery points. The daunting challenges to progress in health and education dictate that SO8’s significant investments in these areas can only achieve greater impact through more holistic programming. The integrated approach will allow for greater synergies between the sectors, maximize opportunities to reach target populations, and ensure optimal use of resources. The SO is supported by three key intermediate results: more effective utilization of social sector services, increased capacity to sustain social sector service delivery, and a strengthened enabling environment in support of human capacity improvement. The SO will also seek to build stronger and more effective public-private partnerships involving for profit service providers, civil society, NGOs and government institutions through which it

will be linked to and supportive of SO7 and SO9. SO8 will address two Agency goals: The World’s Population Stabilized and Human Health Protected, and Human Capacity Built through Education and Training.

B. STATEMENT OF THE DEVELOPMENT PROBLEM

At the beginning of the twenty-first century, Ugandans face unprecedented challenges to their social wellbeing. The health and educational status of Ugandans today is no better than it was a generation ago, and in some respects it is worse. Once the best-educated of the East African countries, Uganda’s literacy and crude enrollment rates are now lower than those of her neighbors, and less than a quarter of women aged 15-49 have completed seven years of primary education. Death will claim one out of seven children before his/her fifth birthday, life expectancy has declined to 42 years, total fertility is stagnant at 6.9 live births per woman, 8.3% of adults are HIV-positive, and immunization rates plummeted by over 50% during the decade of the 1990s. The challenges that an individual faces depend in large degree on age and sex, and are best discussed in the context of the key age cohorts that make up the Ugandan population.

Children 5 Years and Under

Children in the age group 5 years or less constitute about 20% of Uganda’s population. The key challenge facing this cohort is survival. Mortality rates for young children are unacceptably high, and increasing. Infant mortality stands at 88 deaths per 1,000 live births; mortality among all children from birth to 5 years is 152 per 1,000.³¹ Over 70,000 children under the age of 12 months die in Uganda each year. A number of factors contribute to these high mortality rates.

- **Uneducated or poorly educated mothers.** DHS data show strong correlations between a woman's level of education and such critical indicators of her children's wellbeing as birthweight, prevalence of diarrhea, and chronic malnutrition. Infant mortality among babies whose mothers have never attended school is twice as high as for children of women with secondary education.³² Simply improving women's educational status, beginning with investments in primary education that is the gateway to secondary education, would clearly and directly contribute to a decline in infant and child mortality.
 - **Poor management of childhood illness.** DHS and UNHS data also confirm that those diseases that contribute most significantly to childhood illness and death – malaria, diarrhea, and acute respiratory infections (ARI) – are preventable, but that preventive measures are not always applied and illness is poorly managed when it does strike. For example, only 21% of Ugandans use insecticide-treated nets (ITNs) for malaria prevention,³³ and 30% of illness episodes reported in the national household survey did not receive any medical attention.³⁴ This proportion increases to 40% for children with ARIs in the 1995 DHS.³⁵ Vitamin A supplementation, which could reduce infant mortality by 25%, reaches only a small proportion of young children. The use of preventive measures and appropriate treatment responses is also closely linked with maternal levels of education.³⁶
 - **High risk pregnancy.** Two-thirds of Ugandan children are at elevated risk of mortality because of high risk fertility behavior – maternal age under 18 or over 34, parity above three, birth interval of less than 24 months, or a combination of these³⁷. The most serious mortality risk is being born to a woman under the age of 18, at 85% higher than no-risk births.³⁸ This points again to the importance of maternal education, not only because it leads to changes in high-risk fertility-related behavior, but also since staying in school delays the age of sexual debut and of first pregnancy; 48.5% of women aged 15-19 with no education have begun childbearing, vs. 18.7% of those who have attended secondary school.³⁹
 - **Low immunization rates.** Vaccine-preventable diseases – tuberculosis, measles, polio, diphtheria, pertussis and tetanus – contribute significantly to child mortality in Uganda. The proportion of children aged 12-23 months who have been fully immunized against these diseases declined by more than 50% in the past decade, from over 80% in 1990 to just 38.7% in 2000.⁴⁰ The likelihood that a child is fully immunized is again strongly linked to the mother's level of education: 29.3% of children of mothers with no education are fully immunized, compared with 54.7% of children whose mothers attended secondary school.⁴¹
 - **HIV/AIDS.** HIV/AIDS has both direct and indirect impacts on morbidity and mortality among young children. 35,000-40,000 HIV-infected babies are born in Uganda each year.⁴² Most will die before their third birthday. Mother to child transmission can be reduced and drug trials have been successfully carried out in Uganda, but PMTCT services are not yet available. The survival of children whose parents are PLWHAs is compromised by loss of household income and resources diverted to care. Different vulnerabilities become evident when a child loses one or both parents to HIV/AIDS; basic needs may not be met, the risk of malnutrition increases, and cognitive and psychosocial development are compromised.
- Other key variables that affect the wellbeing and future prospects of children under 5 include poverty, inequitable distribution of resources within the household, food insecurity, and the absence of any system of early childhood development and education in the country. The impact of poverty is demonstrated by UNHS data, which show that twice as many households in the lowest income quintile did without medical care in case of illness as households in the highest quintile.⁴³ Inequitable resource distribution and food insecurity are demonstrated by continued high

rates of chronic malnutrition – 33% of Ugandan children under five are stunted, and micronutrient deficiencies are widespread.⁴⁴ The lack of opportunities for early childhood education is manifested in lack of social and cognitive skills and subsequent poor performance throughout the primary education system.

Children 6-14 Years

Youth of primary school-going age – 6 to 14 years – face a unique set of health and education challenges, and represent an important “threshold” in the life-cycle at which certain health and education interventions become crucial for long-term human capacity development. The school-aged group constitutes about 30% or nearly one-third of all Ugandans. The most important challenge facing this group is to obtain a quality basic education that prepares them for responsible adulthood. The size and vulnerability of the group dictate that the education provided to them must directly address reproductive health, with a strong emphasis on family planning and HIV/AIDS. The schools present the best opportunity to reach these children with critical information and services that will enable them to protect themselves against unplanned pregnancies and HIV infection. Ten years ago, Uganda’s primary education sector was in a shambles. Uganda embraced primary education sector reform wholeheartedly and has put many improvements into place. Nonetheless, significant problems remain in the provision of education and life skills.

- **Enrollment.** In 1997 Uganda declared a policy of Universal Primary Education (UPE) that abolished school fees and provided free education for up to four children per family, two girls and two boys. The result was a doubling of primary enrollment virtually overnight. 6.8 million children are now attending primary school and according to the Ministry of Education and Sports (MoES) net enrollment stands at 95%.⁴⁵ Population-based statistics, however, paint a somewhat different picture. UNHS data show that net enrollment peaked in 1997 at around 84% but declined to 76.5% in 2000.⁴⁶ There is a strong link between primary enrollment and parental education. 83% of the mothers of children over age ten who have never attended

school have no education themselves. Further, uneducated parents are twice as likely to send boys to school as girls.⁴⁷ Lack of education has direct intergenerational impacts and the plight of out-of-school youth clearly needs to be addressed.

- **Absenteeism.** Just because a child is enrolled does not mean that s/he attends school regularly. There are no reliable data on attendance, but children are known to be absent from school for a variety of reasons, including illness (their own or others), domestic chores, the need to work for cash, poor performance, lack of interest, lack of supplies or uniforms. Absenteeism is particularly high amongst adolescent girls, who are faced with problems associated with puberty and their emerging reproductive roles: lack of sanitary products and facilities, menstruation-induced illness, harassment, molestation and defilement.⁴⁸ High rates of absenteeism have profound impacts on both persistence and performance. The school provides a critical medium for introducing health-related interventions that will improve attendance and promote positive reproductive health-related behaviors.
- **Persistence.** Fewer than 20% of Ugandan children manage to complete seven years of primary education. In 1998 only 21% of the boys’ cohort that had entered primary school seven years earlier completed the course, and only 15% of girls. Causes of dropout are numerous. Significantly, in both 1992 and 2000, pregnancy accounted for at least ten percent of girls’ dropout,⁴⁹ indicative of the lack of integrated life skills training in the schools and the absolutely critical importance of addressing reproductive health issues even at the primary school level. Other major causes of dropout for both boys and girls include cost, sickness or other calamity in the household, the need to work, and domestic responsibilities.⁵⁰ Cost remains a major factor even after the abolition of fees, showing that direct costs of uniforms, exercise books, pens, PTA dues, and unauthorized ad hoc fees and tuition charges, as well as opportunity

costs, are significant determinants of both attendance and persistence. The cumulative effect of girls' high drop-out is chronic, pervasive gender disparities in human capacity (low female literacy, low income earning potential, high fertility, high maternal and child morbidity/mortality, and low participation in civil society.) Without the necessary skills and confidence that begin to develop in school, girls are destined to become women who remain mired in poverty.

- **Quality.** The quality of primary education has been undermined by the sheer numbers of students entering the classroom. Overall pupil:teacher ratio is 75:1 and for lower primary (P1-P3) it is as high as 110:1.⁵¹ Teachers do not know their pupils as individuals, the supply of textbooks and learning materials is inadequate, discipline is difficult to maintain, and the result has been clearly compromised academic performance. Over 70% of the pupils who completed P7 in 1998 failed to meet the standard for admission to secondary school.⁵² In its neglect of critical reproductive health issues, the curriculum does not prepare children to become responsible adults. If quality continues to decline, so will enrollment, attendance and persistence, precipitating a downward spiral that has clear negative implications for health as well as for education, and a profound negative impact on future opportunities for school-going youth.
- **HIV/AIDS.** The epidemic has affected the primary school age group in several ways. First, girls are at greater risk of HIV infection than boys because of earlier sexual debut. Data are not available for children under the age of 15, but seroprevalence among girls aged 15-19 is estimated to be four to six times higher than among boys of the same age.⁵³ Given the size of the school-aged cohort, the overall prevalence rate, and the challenge of reaching youth with preventive interventions, HIV/AIDS could very rapidly spread among youth, creating a second wave of the epidemic. The need for school-based interventions is thus imperative. In addition to the direct impact of HIV/AIDS on youth, 15% of children under 15 have lost one or both parents

to AIDS. There are 1.7 million cumulative and close to one million current orphans in Uganda, and the number of AIDS orphans is expected to double over the next ten years.⁵⁴ In addition to emotional trauma and physical and income insecurity, orphans may be subjected to sexual exploitation, child labor, and abrogation of their property rights. HIV/AIDS undoubtedly contributes to student absenteeism and attrition because of lack of financial resources and the need for children, especially girls, to care for the sick. There is also anecdotal evidence that the epidemic has a negative effect on the provision of social sector services because of illness and death among trained personnel.

Poor quality education and high dropout rates, especially for girls, lead to poor health care seeking behavior, and poor health and hygiene practices including early pregnancy. Poor health, in turn, affects children's learning capacity and performance in school, creating a vicious cycle that can only be stopped by addressing both health and education needs in an integrated environment.

Adults

Adults aged 15 and older account for just under half of Uganda's population. The social sector issues that this group faces are sequelae of limited or no education, illiteracy, and lack of knowledge that leaves them without the capacity to use services, pay for services, or advocate for their needs. Foremost among the problems affecting them is high fertility. By age 15, 30% of women have had sexual intercourse; by 17, 43% of women have had their first child; and by 18, 56% have married.⁵⁵ By the end of her reproductive career the average Ugandan woman will have borne seven children. The total fertility rate of 6.9 live births per woman is among the highest in the world. Unless fertility is reduced, Uganda's current population of 22 million will double in the next 20 years. High fertility has implications for men and women alike that transcend the health sector to directly impact on production and productivity, resource management, education, civic participation, and poverty. Indeed, the hallmark of poverty at the household level is having many children.⁵⁶

- Education.** Fertility-related behavior is strongly linked to educational status for men and women alike. On average, women who have never gone to school bear two more children in their reproductive careers than women with secondary education.⁵⁷ Knowledge of modern contraceptive methods is high, with over 90% of both men and women knowing at least one modern method, but this knowledge has not been widely translated into practice, and is again strongly correlated with education. Modern method contraceptive prevalence for married women with no education is 9.4%, while for women with secondary education it is more than four times greater at 42.2%.⁵⁸ For men the gap is also significant – only 5.7% of men with no education currently uses a modern method, vs. 30.4% of men with secondary education.
- Access.** DHS data show that there is considerable unmet need for family planning services – 29% of married women want to space or limit births, but are not currently using a contraceptive method.⁵⁹ This is in large measure because there are a number of constraints on the accessibility of services. In rural areas of Uganda the median distance to a facility that provides family planning services is 6 kilometers, far enough to be a limiting factor. Since only 40% of professional positions in the healthcare establishment are currently filled, a client who does make the trip may not find anyone there to assist her.⁶⁰ Even when close by and staffed, public sector facilities in particular do not always provide satisfactory services, as stockouts of family planning commodities are frequent and quality of service provision is poor. As a result, use of public sector family planning services is declining, and clients are shifting to the private sector.⁶¹ Unsatisfactory public sector facilities leave poor people with nowhere to go, since they do not have the money to pay for private sector supply. There is also linkage of access, income and education: only 16.1% of women with no education have heard family planning messages on radio and/or television, as compared with 66.8% of women with secondary education.⁶²
- Policy environment.** A recent assessment of the policy environment for reproductive health in Uganda identified serious gaps in understanding among policymakers and other key stakeholders at all levels regarding the implications of rapid population growth for access to education and other social services. Although Parliament has established a sessional committee on reproductive health to engage with government leaders on population issues, Uganda lacks high level commitment to addressing the impact of unchecked population growth on the country's future. This is evidenced by the absence of a population and reproductive health component in Uganda's Vision 2025, weak progress in implementing the National Population Policy, and failure to implement comprehensive reproductive health education in the schools. District level capacity for analyzing and advocating for population issues is very weak, both in local governments and in civil society. There is little information available as a basis for making strategic decisions, and resource allocations reflect a low priority for reproductive health services.
- HIV/AIDS.** HIV/AIDS is critically linked to the issue of fertility in several ways. Most significant has been the impact of adult mortality on dependency ratios and household labor, and their attendant impact on attendance and persistence in school. At 1.22 non-working dependents for every working-age adult, Uganda's dependency ratio is among the highest in the world.⁶³ HIV/AIDS is now the leading cause of death among Ugandan adults in their prime working years and has undoubtedly contributed to this high dependency ratio. About 8.3% of Ugandan adults – an estimated 1.5 million people – are living with HIV/AIDS and will die within the next ten years, further reducing the able-bodied workforce.⁶⁴ 55% of those living with HIV/AIDS are women, which has serious implications for agricultural production since Ugandan women contribute 70-80% of all agricultural labor. The FAO estimates that by 2000 Uganda had lost 12.8% of its agricultural workforce as a result of HIV/AIDS.⁶⁵ Continued

high fertility in the face of a shrinking workforce will undermine food security and contribute to an increase rather than a reduction in poverty.

In Uganda the health and education sectors are clearly crucially interdependent. Gains in reducing fertility, improving child survival, and ensuring quality education can only come about through a strategic integration of health and education programs, policies, and approaches.

C. PROGRESS TO DATE

During the 1997-2001 planning period USAID/Uganda addressed basic education, population, health, child survival and HIV/AIDS in two separate SOs: SO3, Quality Basic Education for an Increased Percentage of Ugandan Children, and SO4, Increased Service Utilization and Changed Behaviors for Reproductive, Maternal and Child Health in Selected Districts.

Uganda serves as a model for primary education sector reform in Africa, and USAID has been a leading partner. SO3 used both project and non-project assistance to support its efforts. The NPA provided non-targeted budgetary support, conditioned on the formulation and adoption of education policies to encourage improved management, sustainable and transparent financing mechanisms, and broad participation. These USAID resources leveraged \$400 million in other donor resources to support basic education. In response to mutually agreed upon conditionalities against which NPA tranches are released, the GOU has increased education's share of recurrent budget resources from 25% in 1992 to roughly 31% in 2000. The GOU has also improved teachers' terms and conditions of service, liberalized the instructional materials market, streamlined the teacher training process, and set in place a mechanism to ensure transparency and accountability of primary education "capitation" grants provided directly to primary schools on the basis of enrollment.

SO3 also provided technical and training support to develop the capacity of the educational system, including community mobilization, educational research, and support to the Teacher Development and Management System (TDMS). This system brings services, programs and support directly to the schools

using a decentralized network of outreach tutors attached to coordinating centers and supervised by eighteen Core Primary Teachers' Colleges. TDMS has been so successful that, although originally planned for implementation in a limited number of districts, it is now being used in every district in Uganda. SO3 also addressed girls' educational participation. Strategies to increase girls' persistence and performance have now been incorporated into the teacher training system, and schools are now successfully creating low cost strategies to retain girls longer and improve their performance in school.

Under SO4, the availability of reproductive health and maternal and child health services continued to increase in Uganda, and USAID's activities in these areas reached approximately 7 million people. A significant result was the increase in the modern method contraceptive prevalence rate in target districts from 12.5% in 1995 to 23.6% in 2000. SO4's social marketing programs have demonstrated steadily increasing sales not only of condoms, but STI treatment kits, oral and injectable contraceptives, and insecticide-treated nets as well. Socially-marketed CYP jumped by 43% in 2000 alone. The social marketing program has also developed innovations such as credit for midwives to establish private practice, and health insurance programs for paying clients. Both DPT immunization rates and Vitamin A supplementation coverage have shown large increases, the latter of 250% in just one year.

SO4 has also contributed to Uganda's successful, but continuing, fight against HIV/AIDS. Core support has been provided to the two largest indigenous HIV/AIDS NGOs in Uganda, The AIDS Information Center (AIC) and The AIDS Support Organization (TASO), which has been used to develop Africa's first large-scale voluntary counseling and testing (VCT) programs, as well as prevention, care and support activities, condom promotion, and orphan programs. Over 750,000 people have been reached through these NGOs, the first of their kind in Africa and models of effective service delivery. 1999 sentinel surveillance data indicate that prevalence levels among 15-19 and 20-24 year old antenatal clients continue to drop. Overall prevalence at sentinel surveillance sites in Kampala declined from 31% in 1990 to 14% in 1998.⁶⁶

Impressive as these achievements have been, significant problem areas remain. The results of the UDHS 2000 show increasing infant and child mortality and stagnant fertility rates, even in areas of focused USAID intervention. HIV/AIDS, reproductive health, and life skills education are not being addressed in the schools. These problems dictate an integrated approach to education and health for the new planning period that increasingly takes advantage of opportunities to expand the role of the private sector. The separate implementation of health and education programs in the past has meant that significant opportunities to increase impact and change peoples' lives have been missed. At least three-quarters, and possibly more, of school-aged Ugandan children are enrolled in school, but opportunities to implement behavior change communication strategies in the school environment have not been taken. For example, most Ugandans rely on friend and relatives as their single most important source of information on reproductive health issues – a source not necessarily any more knowledgeable than they are themselves. Respondents with primary education were ten times more likely to get their information from a friend or relative than at school, and five times more likely to go to a friend than to a health worker.⁶⁷ There is a clear need to create an environment in the schoolroom, the health facility, and the community that will lend itself to the communication of accurate information for making life choices. A strategic approach that integrates health and education interventions is the best way to accomplish this.

D. CONSULTATIVE PROCESS

Throughout the development of SO8, USAID/Uganda has undertaken broad consultation with Ugandan counterparts and partners to ensure Ugandan ownership of priorities and activities articulated in this strategy. Meetings, focus group discussions, and consensus building have been used to ensure that the social services portfolio of activities reflects the needs and priorities of our Ugandan counterparts and is in line with the Government of Uganda's poverty reduction strategy and approaches. Team members undertook analyses and development partners who have been closely involved with implementation of health and education activities on an on-going basis. The SO8 strategy is a

product of an in-depth consultative and participatory process of stakeholders in the Uganda social sector.

The SO8 team consulted widely with local partners, including but not limited to the Ministry of Education and Sports, the Ministry of Health, key funding agencies and NGOs, contractors and USAID-funded implementing partners (current and past). AID/Washington Global and Africa Bureau and USAID/REDSO/ESA PHN virtual team members have played a critical and continuous role throughout the development process, bringing technical experience from other countries and ensuring consistency with Agency priorities.

SO8 and its implementing partners have gained significant insight into the needs, wants, and problems of our ultimate customers – Ugandan men, women and children across the country – through a wide variety of opportunities for direct contact. Lessons learned from routine implementation activities (health education talks, client council meetings, exit interviews, surveys, community meetings, parent-teacher association meetings), as well as numerous focus group discussions, special studies, assessments and consultancies have been invaluable. Customers have provided a wealth of information, directly and indirectly, about their priorities and the challenges to providing and utilizing effective, appropriate social sector services. Their views have been a key input into the design of SO8's strategic approach.

Throughout most of the year long process, USAID/Uganda held regular ISP meetings with all the SO teams and mission support offices as part of the consultative and participatory process. These meetings ensured constant communication and feedback on all aspects of the development process including identification of areas for cross-cutting linkages.

E. DEVELOPMENT HYPOTHESIS AND RESULTS FRAMEWORK

1. Development Hypothesis

Overall, the Ugandan economy grew at an average annual rate of 6.7% during the decade of the 1990s,

and the number of Ugandans living in poverty declined from 56% to 35% of the population. Unfortunately, progress against basic indicators of social wellbeing such as fertility, mortality and educational performance did not match the rate of economic progress, and that economic progress will come to a standstill or even reverse itself unless key human capacity issues are more vigorously addressed. Uganda's population is young and growing rapidly. Key cohorts in this youthful population include infants and children five years or less, school going children aged 6-14 years, and adults of 15 and more. With Uganda's child mortality rate at 152, survival is the main hurdle that young children must face. Those who surmount this first hurdle enter a primary education system that is incapable of equipping them with the life skills they need to become responsible adults, even if they do remain in the system and complete their education. Young people leave school at 16 or even younger, many of them already sexually active, some of them pregnant, others married, the majority only nominally literate, and many at risk of HIV infection. In order to sustain economic progress and make a difference in Ugandans' quality of life, it is necessary to focus on the basic human conditions that work against poverty reduction in the country: high mortality, poor educational quality, and high fertility. Key to the achievement of the SO will be an approach that makes effective use of the school, the community, service delivery points and other institutions as focal points for the implementation of integrated, focused interventions in education and health, including strong second-generation interventions in IEC/BCC. SO8 must also implement innovations in service provision, particularly in the private sector, such as an expanded role for private midwives, private health insurance schemes, and an expanded line of socially-marketed health and education products such as insecticide-treated mosquito nets, book bags and lunchboxes. Policy dialogue must address a diverse range of issues such as regulation and monitoring of private sector service provision, educational quality, population, and orphans and vulnerable children in order to ensure that these critical human capacity problems are addressed.

2. Assumptions

- Macro-economic stability in Uganda will be sustained.

- Conflict will continue at the current level, but will not get substantially worse.
- The GOU will implement positive policy reforms.

3. Results Framework

SO8 Improved Human Capacity

IR 8.1 Effective use of social sector services

IR 8.2 Increased capacity to sustain social sector services

IR 8.3 Strengthened Enabling Environment for Social Sector Services

Indicators for SO8:

- Total fertility rate (TFR)
- HIV prevalence among adolescent men and women
- Under 5 mortality Rate
- Secondary school qualification rate

Milestone Indicators for SO8:

- Contraceptive prevalence rate (CPR)
- Immunization coverage (full immunization)
- HIV prevalence among 15-19 and 20-24 year old antenatal clients
- Average test scores for P4 and P7

IR 8.1 Effective Use of Social Sector Services

8.1.1 Improved Quality of Social Sector Services

8.1.2 Increased Availability and Access to Social Sector Services

8.1.3 Increased Positive Behavior Changes Adopted

A dramatic increase in utilization of health and education services is essential if morbidity, mortality and fertility are to be reduced and if the quality of education is to improve. At present service utilization is ineffective. Many clients leave the system before their education has been completed or before they have received a complete series of immunizations or other key health interventions. Intermittent and irregular use of services is also common. The regular and complete use of services is directly linked to levels of education,

demonstrating the positive impact of education on the likelihood that a particular service will be used effectively. The linkages also work in the opposite direction in that healthy children can make better use of the educational opportunities provided to them than children who are malnourished or suffering from a preventable illness.

Illustrative indicators for IR 8.1:

- Coverage rates for basic social services (DPT3, comprehensive HIV/AIDS services, basic education services)
- Discontinuation or drop out rates for health and basic education services
- Primary school attendance rates at target facilities

IR 8.1.1 The quality of social services is a key determinant of utilization. Quality standards exist on paper, but for the most part providers are not monitored and standards are not adhered to. This is equally true of health and education services. Given Uganda’s automatic primary school promotion policy, it is imperative that the quality of basic education in Uganda be improved so that primary school leavers and completers have the kind of knowledge that they will need to make responsible decisions as adults. Both individuals and society at large benefit significantly from a quality education. This in turn has a highly positive impact on health related behaviors, including effective use. Quality health services are essential not only for building trust in the health delivery system so that satisfied consumers will continue to seek care, but also for clinical and public health efficacy and safety.

Illustrative indicators for IR 8.1.1:

- Customer satisfaction for selected social services
- Service providers’ compliance with basic quality standards
- Compliance of facilities with selected quality standards
- Births attended by trained medical personnel

IR 8.1.2 Services must be readily available and easily accessible in order to be used. There are a number of dimensions to availability and access including:

physical distance to the nearest service delivery point (school or clinic); stocks of medicines and commodities regularly on hand; qualified staff who keep predictable hours; and the like. A lack of qualified teachers or health care workers limits access by creating conditions that are inhospitable to or that directly impair service delivery. The public education and health sectors have lost clients to the private sector in recent years, and the increasingly significant role of the private sector in service provision is a critical dimension of access and availability. Fostering the role of the private sector will improve supply systems, reduce stockouts, and increase the reliability of services, all of which are critical to ensuring that services remain available and accessible.

Illustrative indicators for 8.1.2:

- Socially-marketed products distributed through the private sector
- People requesting an HIV Test and receiving results
- Pupil:teacher ratio
- Complementary services for Title II/HIV/AIDS recipients (link to SO7)

IR 8.1.3 The 2000 UDHS data show starkly that health seeking behavior has moved, if at all, in a negative direction over the past five years. Positive change hinges on appropriate education. A new generation of information, education, and communication/behavior change communication (IEC/BCC) messages is needed. These messages must be delivered in innovative ways, through media targeting audiences like youth. In turn these messages will raise awareness, improve negative perceptions of social services, and increase the demand for quality health and education services. Operations research can provide information to deepen the understanding of factors affecting behavior change. While individual behavior change can and does take place, it can be enhanced by families, peers, and other influential members/institutions of society (churches, community elders) who often provide support and legitimacy. Schools, communities, health institutions, civil society, local government, NGOs, and private providers must all become partners in ensuring positive change at individual, community, and societal level.

Illustrative indicators for 8.1.3:

- Reported condom use with a non-regular sex partner
- Schools adopting girl-friendly approaches
- Health units adopting youth friendly services
- Age of sexual debut

IR 8.2 Increased Capacity to Sustain Social Sector Services

8.2.1 Improved Decentralized Planning, Management and Monitoring Systems

8.2.2 Increased Private Sector Role in Service Delivery

Building capacity at national and local level to budget, plan, implement, monitor and assess social programs is critical to sustaining services. Ministries, local governments, civil society organizations, and private providers are essential partners in this capacity-building process. The process must also bring together partners from education and health to work collaboratively to build the sustainability of integrated programs. The recent abolition of user fees for public sector health care services, the huge expansion of primary education in the face of inadequate infrastructure and human resources, and inadequate GoU budgetary resources for the social sector make this collaboration even more essential.

Illustrative indicators for 8.2:

- Market share for socially-marketed products
- Funds allocated to social sector programs of target local governments that are expended
- Health and education insurance/prepayment plan coverage

IR 8.2.1 Decentralization has strained the administrative and management capacity of districts. Important links between central and decentralized functions have not been fully articulated and are not working well in many districts. Districts lack the resources and management capacity to take on their new responsibilities. As a result, the quality of education and health care has suffered. Resources transferred from the center to address primary education and health priorities require adequate needs-based

planning and management capability. Many service providers feel that the financial and human technical resources available are not yet able to cope with the demands imposed on them by decentralization. At the local level, systems for human resource management, financial management, and procurement and management of drugs, medical supplies, educational supplies and equipment are weak and not transparent.

Illustrative indicators for IR 8.2.1:

- Social sector activities in District 3-year development plans that are implemented
- Civil society monitoring
- Health and education subdistricts with approved strategic plans and workplans

IR 8.2.2 Uganda has for too long relied on public sector services that are underfinanced and understaffed. Meanwhile the market for private sector social services has grown considerably. The result is that pupils and clients who can afford to do so are abandoning the public sector and utilizing private sector providers. Those who can afford the private sector should be encouraged to do so. At the same time, quality public sector services should also be available as a safety net for those who are poor. More information is needed to understand the dynamics of the market in education and health care services, as well as issues of how to license, regulate and monitor the private sector. Recognizing that both not-for-profit (NGO) and for-profit private providers are capturing an increasing share of the educational and health markets, efforts under this IR will be directed at ensuring that these services are accessible, affordable, and of high quality.

Illustrative indicators for IR 8.2.2:

- Private sector share of health and education service delivery
- Minimum quality standards for private facilities/services

IR 8.3 Strengthened Enabling Environment to Deliver Social Sector Services

8.3.1 Increased Community Participation and Advocacy

8.3.2 Effective Sectoral Policies Implemented

Strong political commitment, effective social sector policies, and participation and advocacy by political leaders, individuals and communities are needed to create and maintain a supportive environment for the delivery of quality services. The same elements that made Uganda's early response to the HIV/AIDS epidemic so successful (high level political commitment, active community involvement, and innovative strategies) are urgently needed to address other serious health, demographic, and education issues currently facing Uganda. National and sectoral policies addressing HIV/AIDS, child survival, maternal health, reproductive health, infectious disease, and early childhood, primary, and secondary education must be implemented.

Illustrative indicators for IR 8.3:

- Targeted laws and policies modified through private sector and GoU consultative processes
- Parliamentary sessional committees and working groups that address social sector issues

IR 8.3.1 Commitment and support at all levels are prerequisites for increasing Uganda's capacity to deliver sustainable, quality social sector services. Positive changes in health and education behaviors and outcomes can be accelerated through mobilizing communities. In turn communities can advocate for more social sector resources, as well as for activities identified and designed through participatory processes. As informed consumers, individuals and communities can improve their health and education status by holding elected officials responsible for bringing needed resources to their communities. Stronger health and education advocacy skills among individuals, district health and education officials, private sector providers, NGOs, community leaders, parliamentarians and other elected officials will be critical to achieving this IR.

Indicators for IR 8.3.1:

- Target CSOs with advocacy agendas
- Target CSOs implementing advocacy campaigns

IR 8.3.2 The government of Uganda, in collaboration with USAID and other donors, has developed integrated strategic plans that present long term visions for the health and education sectors. This process has

involved extensive consultation with, and participation of, civil society, the donor community, and GoU partners. In order for the plan's goals to be achieved, key policies leading to quality and access improvements that will boost utilization of services will need to be developed and implemented in a well thought-out manner. Translating integrated strategic plans into meaningful sectoral policies is necessary for the long-term sustainability of health and educational institutions.

Indicator for IR 8.3.2:

- Policy Environment Score (PES)

F. OTHER DONOR PROGRAMS

Uganda has adopted Sector-Wide Approaches (SWAPs) in both education and health and has developed integrated long-range plans for both sectors (ESIP, the Education Sector Investment Plan, and HSSP, Health Sector Support Program), which provide a guiding framework for all government and donor activities. USAID actively participates in coordination and collaboration meetings with the other donor and GOU partners to ensure partnership and to avoid duplication of efforts. USAID is also a member of other donor groups including the UNAIDS Theme Group on HIV/AIDS (Technical Coordination Committee), and the Interagency Coordinating Committees on reproductive health, malaria, and child survival. In addition, USAID and UNICEF co-chair the Social Sector Donors Sub-Group.

HIV/AIDS has attracted substantial donor support. For the past 12 years the USG, through USAID and CDC, has been the largest bilateral donor, providing consistent and sustained support to Uganda's successful measures to combat the epidemic. Other bilateral and multilateral HIV/AIDS partners include UNAIDS (advocacy, drug access, OVCs, MTCT), the World Bank (STIs and HIV/AIDS control), and DANIDA. More recently, SIDA, Dfid, and the EU began supporting HIV/AIDS prevention, care and support activities, and in the future Ireland AID will provide strategic planning assistance. Infectious diseases other than HIV/AIDS are receiving a heightened level of GOU and donor attention. For example, Roll Back Malaria (RBM) group members in Uganda include the MOH, WHO, UNICEF, World

G. ILLUSTRATIVE ACTIVITIES

Bank, USAID and other bilateral donors, all of whom are engaged in coordinating the national response to malaria. UNICEF, DfID and GTZ also support interventions related to health and nutrition. UNICEF has been taking the lead on child health through its holistic Rights to Health and Nutrition Program. UNICEF also supports the Expanded Program on Immunization (EPI), oral rehydration therapy (ORT), and IMCI in addition to their nutrition activities. The World Bank Nutrition and Early Childhood Development Project also contributes to these efforts.

Key support to reproductive health is provided through UNFPA, DfID, UNICEF, GTZ and USAID, primarily in the form of activities working at district level that integrate maternal and child health, infectious diseases, and population programs. Advocacy for reproductive health is an emerging focus area. UNFPA has also received resources from the Bill and Melinda Gates Foundation to implement an adolescent reproductive health program. Other major areas of intervention for selected donors (DANIDA, WHO, DfID, and Ireland AID) include drug management, capacity building, and health systems development.

Specific activities under the education SWAP include classroom construction and rehabilitation supported by DfID, the Netherlands, the EU, the World Bank, Austria, Japan, and DANIDA. In addition, advocacy and awareness activities are supported by UNESCO and the Netherlands. Canada and UNICEF support alternative education programs for out of school youth and those living in disadvantaged areas. Other areas targeted for support by one or more donors cooperating in ESIP include the Teacher Development and Management System, basic education for the urban poor, school feeding, special needs education for disabled children, girls' persistence and performance in school, and capacity building targeted to district level service delivery.

Although they are few, examples of integrated health and education programs do exist. UNFPA and UNICEF, for example, support teacher training in life skills education and counseling; and UNICEF and WHO are working to improve school hygiene and sanitation.

The SO8 team's analytic agenda will help inform activity planning at the intermediate result level. The 2000 DHS has just been completed in collaboration with the Uganda Bureau of Statistics, and results of the first-ever EdData survey in Uganda will be available in August. The Mission is also carrying out a comprehensive study of orphans and vulnerable children in Uganda and is planning a population-based seroprevalence survey among Ugandan youth to establish an SO-level baseline.

Intermediate Result 8.1

To increase utilization of social sector services, SO8 interventions will address quality, access and behavior change through comprehensive integrated approaches aimed at target audiences. Key target groups will include women of reproductive age (especially pregnant women and mothers), adolescents in and out of school, and community leaders. The SO will identify and implement school, community, and home-based activities that close the gap between service providers and the communities served, such as peer education and counseling programs and the innovative Model District Program for HIV/AIDS. Emphasis will be placed on the public and private sectors working more closely to ensure that services and supplies are readily available, and basic quality standards are maintained. SO8 will carry out operations research as a basis for developing multi-media IEC/BCC campaigns (targeting males, youth, and high-risk populations) on such issues as regular school attendance, complete immunization, and the consequences of unchecked high fertility. Sensitization campaigns will target community leaders to support positive change in their communities. We will also emphasize adolescent reproductive health in the school curriculum and at service delivery points; youth friendly, gender-sensitive integrated school health packages (health education, immunization, and possibly school feeding programs); and improved home-based care of malaria through the use of socially-marketed anti-malarials and ITNs.

Intermediate Result 8.2

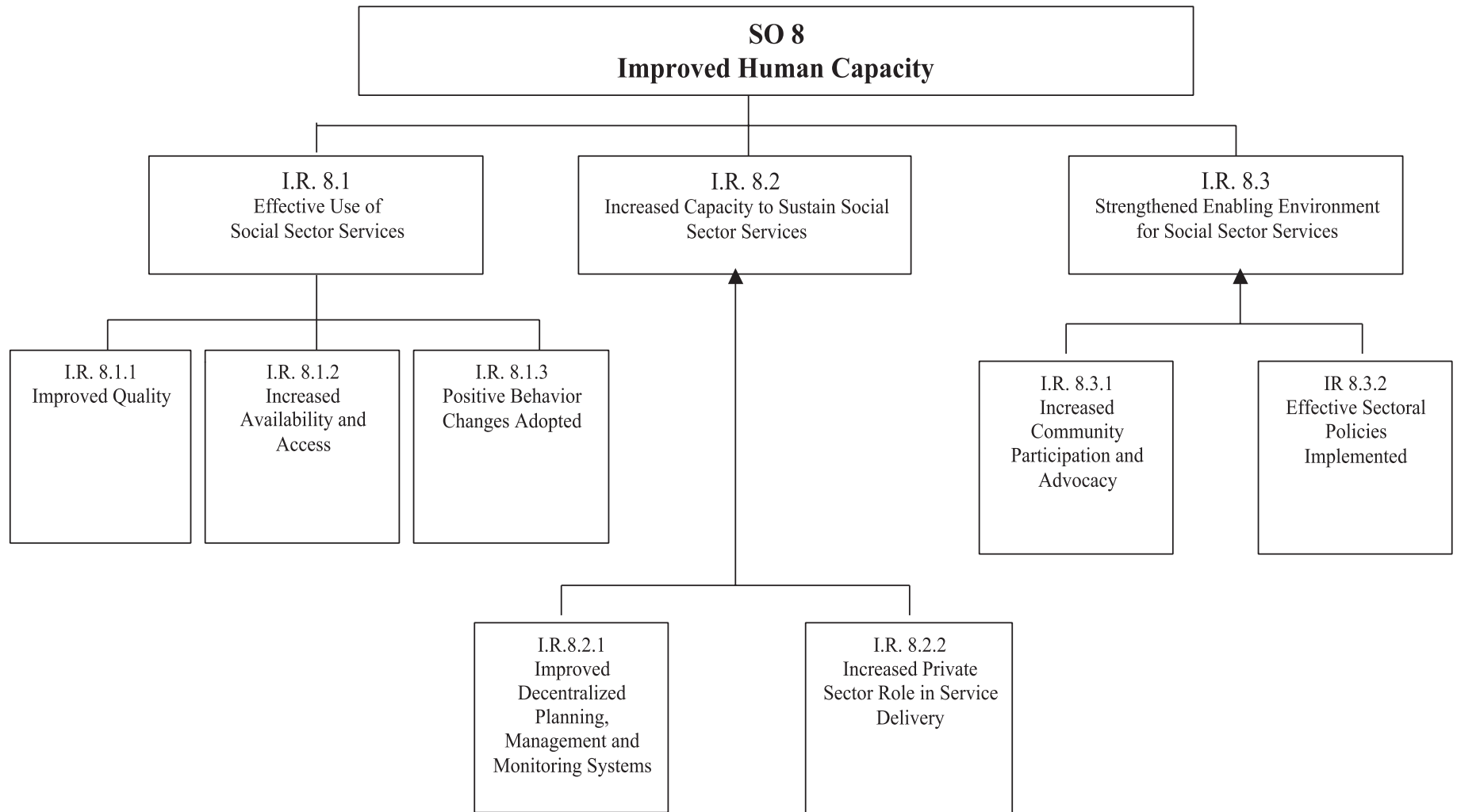
SO8 will work with the GOU and other partners to strengthen the decentralized health and education systems, and will place strong emphasis on expanding private sector involvement in social service delivery. We will provide technical assistance and training to local governments and public sector service providers that will strengthen their strategic planning, budgeting, and monitoring capacity. Recognizing the significant role of the private sector in providing health and education services, we will assist private providers to build capacity through training, technical assistance and supervision in service delivery, management and monitoring. The approach will strengthen relationships between the public and private sectors, and will improve their collective ability to provide more high quality, sustainable, and accessible social services. We will increase our direct support to selected NGOs, CBOs, and private for-profit groups, such as the Uganda Private Midwives Association, and help to develop systems for regulation, licensing and monitoring of private sector providers. We will emphasize integrated school health services, social marketing of selected health and education products (ITNs, book bags, pre-packaged stationery kits), and innovative health and education financing approaches such as public/private fundraising, insurance schemes, and pre-payment programs.

harassment and defilement of girls, and to promote the concept of responsible manhood for boys.

Intermediate Result 8.3

SO8 and partners will focus on community participation and advocacy to strengthen the policy, procedural, and regulatory environment necessary for delivery of social services. Community advocacy programs will teach citizens to be informed consumers of social services, and increase awareness of health and education quality standards. The SO will strengthen the capacity of CBOs (for example, PTAs) to advocate for greater transparency, increased accountability, real and effective decentralization of authority and resources, a participatory planning process, and better services. Major areas of emphasis will include dissemination of impact models such as RAPID for population and reproductive health, and the AIDS Impact Model for HIV/AIDS. We will also develop strategies to increase parent, community, and teacher advocacy against

RESULTS FRAMEWORK



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SO9 RESULTS FRAMEWORK & ILLUSTRATIVE ACTIVITIES

SO9: MORE EFFECTIVE AND PARTICIPATORY GOVERNANCE

A. STATEMENT OF THE STRATEGIC OBJECTIVE

A country is not just the existence of a government. Rather, a national identity, forged through dialogue and popular participation in the creation of institutions, is mandatory in the existence of a nation. For such dialogue and participation to take place, an effective democratic system of governance must exist. An effective democracy has several basic requirements. First, there must be a general consensus on the “rules of the game” among all major segments of the population. Second, the political system must tolerate a high level of competition, including a broad respect for human rights and civil liberties. Third, the system must include a high level of political participation, such that no major segment of the population is excluded. Finally, the system must be ruled by laws rather than by force or the discretion of a small number of top leaders. Uganda has taken the steps to meet these conditions. Nevertheless, democratic institutions are weak and generally lacking the capacity to perform their functions within a democratic system. This is exacerbated by the ongoing conflict in the northern and western parts of the country.

SO9, “More Effective and Participatory Governance”, will strengthen the institutions of democratic governance, both governmental and civil society, so that they effectively respond to the needs of their constituencies, uphold their constitutional mandates, increase participation, and protect vulnerable populations. Progress towards achieving this objective will be measured by a 90% increase in resources released to local governments and properly expended, a fourfold increase in CSOs engaging with parliament, and the successful reintegration into communities of approximately 4,000 ex-combatants and abductees. To do this, the SO will work with local governments and the Parliament in tandem with civil society to strengthen

their partnership in the effective delivery of services. The SO will also work with local and national organizations and decision makers to promote increased understanding and dialog to reduce conflicts in the north and west, directly with communities affected by conflict to mitigate its impacts, and, through the amnesty program to enable the return and reintegration of ex-combatants. The SO will use innovative partnerships with SO 7 and SO 8 to support their programs at the local level, incorporate their needs into Parliamentary strengthening and integrate their programs into efforts to address root causes of conflict in the north and west. SO9 will address two Agency goals: Democracy and Good Governance Strengthened and Lives Saved, Suffering Reduced, and Conditions for Political and Economic Development Reestablished.

Governance is here broadly understood to mean the ability of government to develop an efficient and effective public management process infused with democratic principles such as transparency, pluralism, citizen involvement in decision making, representation and accountability.

B. STATEMENT OF THE DEVELOPMENT PROBLEM

Uganda’s political history is characterized by an authoritarian colonial legacy, followed by instability and chaos in the post-colonial era. The economic prosperity of the immediate post-independence days, was quickly followed in the 70s and 80s by disastrous economic performance, high levels of corruption, and intense ethnic strife that left the country with massive levels of poverty and social inequality - a climate inconducive to democratic governance.

The ascension of the current government, headed by President Yoweri Museveni, to power in 1986 has however had a significantly positive impact on the country. The government has been able to revive local government institutions that have registered broad support and popular participation; implement strong affirmative action programs on behalf of women, who have been assured of significant representation at every level of government; and, institute a parliament that is much stronger and more representative than its regional counterparts. Yet, with the great strides made and achievements to date, Uganda's democratization process remains fragile and many issues necessary for effective and participatory governance, remain to be addressed if the country is to move closer to democratic consolidation.

There is more political competition in Uganda today than ever before. However, it remains constrained and the form that political competition should take remains to be resolved. Political parties have been banned and restrictions placed on *organized* political activity. Only the National Resistance Movement (NRM) is exempted from these regulations, because it is officially not considered a party. It is difficult to conceive of electoral democracy without political parties, and the consolidation of democracy in Uganda will remain incomplete as long as there are restrictions on political party activities.

The lack of political competition has been blamed for the lack of transparency and corruption remains a top governance problem. Corruption is widespread and often goes unpunished, which has a corrosive effect on public attitudes towards the government and the legal system. The result has often been poor or inadequate services due to the misappropriation of public funds. Both Parliament and civil society have become active in the disclosure of corruption, however their efforts often lack coordination and follow through.

Uganda's Parliament is stronger and more representative than its regional counterparts, in large part as a result of the constitutional and legal provisions enabling a greater degree of independence and resources and because of constitutional provisions for the representation of women and historically disadvantaged groups. However, the legislature and judicial branches struggle to balance an extremely strong executive.

The Executive dominates the Ugandan political system to a remarkable extent. The President's constitutional prerogatives combined with the personal respect he commands afford him the power to affect most significant political decisions. This has enormous implications on the role and impact of the other arms of government, particularly the Parliament, in the consolidation of democratic practices, e.g., the separation of power, in the country. Though parliament has now been vested with substantial powers over public finance appropriation, there has, until recently, been no official mechanism for it to interact with local government to resolve issues for their constituencies or to improve local government operations. A law has now been passed by parliament that authorizes Area Members of Parliament to attend District Council meetings. A lot of uncertainty, however, still surrounds the precise role that these Members of Parliament will play in the local council meetings.

Justice and the rule of law guarantee a stable political environment, protection of human rights and private property and are vital for sustained production and growth. Significant efforts have been made to strengthen the judiciary over the last 15 years. However the judicial sector remains constrained by a lack of both financial and human resources. In addition, although great efforts are being made, the legal framework for both criminal and civil law is out of date. This leads to myriad issues in terms of constitutional guarantees and impacts directly on economic growth. The losses due to inadequacies of the commercial justice system are estimated to be at least 2% of GDP⁶⁸. Corruption is a serious problem in the judiciary. The result is that contracts are difficult to enforce and private businesses find it extremely costly or impossible to enforce payment of debt. This discourages investment and increases the costs of banking and private business activity.

The rapid pace of decentralization has made it difficult for the newly structured local governments to keep up with the requirements placed on them. The Local Governments Act of 1997 officially transferred an array of responsibilities from central to local government. However, systems for budgeting, planning, accounts keeping, payroll and personnel management, public awareness and citizen participation are nascent today

and there is still some confusion about the appropriate division of responsibilities and prerogatives across and within levels of government. The decentralization process has created 56 districts and over 900 LC3 local governments. With each district having 35 council members and each sub-county about 25, resulting in some 24,460 officials that have been voted into office, most of whom have little or no experience in government operations. In addition, there are 94,000 parish and village officials that form the administrative structure and rely on the local councils for guidance. Thus, the fast pace of decentralization has spread the available number of skilled personnel thinly and has left many local government units weak. Secondly, with the advent of decentralization, district level local governments inherited a staffing structure and staff incumbents who had previously been central government employees. This has led to numbers of district governments that are staffed with people who do not have the appropriate skills. With a wide range of services to provide, local governments' capacity to respond is still weak and the interface between parliament, local governments and civil society remains undeveloped. Accountability, transparency, and delivery of decentralized services all must be strengthened.

Conflict has continued to plague post-colonial Uganda and occurs with various degrees of severity in the northeast, the north, the northwest, and the southwest. Every change of political regime in post-independence Uganda has been accompanied and accomplished by conflict although the electoral processes under the Movement system have been peaceful. The current conflicts target communities in a relatively isolated area and have not expanded. None of them appears to have the ability to topple the current regime. They are armed insurgencies rather than popular uprisings. At least two of the conflicts carry state-to-state cross-border significance (Sudan in the north and the DRC in the west), while a third involves warring tribal groups striking across borders (the Karamojong in the northeast).

Conflict is defined as attacks by armed non-state actors on others, be they military, security or civilian personnel.

The local impacts of conflict on communities are substantial: hundreds dead, hundreds of thousands in Internally Displaced Persons (IDP) camps, loss of livelihood, loss of property, economic decline and stagnation, the victimization of women and children through rape, abduction and forced marriage or service, the degradation, if not outright suspension, of basic social services such as health care and education, the opportunity cost of conflict due to demands for military expenditure on finite and limited national resources — the list is nearly endless.

The local governance structures in these areas are often required to spend more time and attention on conflict issues rather than the development needs of their constituents and the majority of civil society organizations (CSOs) are focusing on relief questions rather than those of development. Though the empirical evidence⁶⁹ does not support such a view, there is a widespread perception that the current government is partial to certain regions of the country. In particular, northerners have consistently argued that the current government favors the southern half of the country. Recent surveys have shown that rural poverty has indeed increased⁷⁰ in the north to 67 percent while falling elsewhere in the country. In any event, the persistence of conflict in parts of the north combines with increasing economic disparities⁷¹ between the north and south to pose a potential long-term threat to the country's social fabric.

Political competition, representation, decentralization, and conflict all have an impact on economic growth, service provision, and security – key requirements for poverty alleviation. Conflict has rendered large swathes of land and other factors of production in conflict zones idle. The would be farmers now live in IDP camps and returning to their villages to farm is quite insecure. The areas engulfed in conflict cannot attract any private investment like the rest of the parts of the country due to insecurity. The World Bank estimates that civil war lowers per capita GDP by 2.2 percentage points per year of conflict⁷², thus exacerbating poverty and generating regional disparities. Because of the continuing, albeit low levels of conflict, the country as a whole is perceived as insecure by sections of the international community that have influence on foreign direct investments (FDI). This, combined with high

levels of corruption, lessens the country's chances of attracting increased levels of private investment. Centralization of power, capacity constraints, and conflict lead to inefficient public expenditure which has implications for provision of services, while efficiency and effectiveness in the allocation and use of public resources arises from ensuring an adequate hearing of the competing interests to which the said resources are to be put. Such a hearing involves the participation of both the people themselves as well as their representatives. Conflict has resulted in the neglect and destruction of vital, and expensive infrastructure and diverts resources crucial for the development of vital new infrastructure.

With these challenges, Uganda still remains at a crossroads on its political path and the gains made remain fragile. Political will and openings for advancement of democracy in Uganda are evident and the possibility for establishing a bulkhead for democracy in the Great Lakes and Greater Horn is very real.

C. PROGRESS TO DATE

Uganda's recovery from a prolonged period of civil war and social dislocation has been one of Africa's few success stories over the past ten years. Bilateral and multilateral donor support has played a significant role in this recovery, supplying technical advice and economic support to carry Uganda through a major structural adjustment period which is by no means complete.

A democratic and participatory system of governance is an essential prerequisite for economic progress and an effective response to conflict. USAID has been a key stakeholder assisting the GOU in its efforts to strengthen effective and participatory governance and mitigate the impact of conflict. USAID involvement in the area of democracy and governance has been primarily in support of the constitution-making and electoral processes to which the GOU committed itself, strengthening the GOU's very ambitious decentralization effort and building the capacity of Parliament to carry out its constitutional mandate. Closely related to this has been USAID's effort to assist Uganda to assist in the reintegration of the north by promoting dialog on conflict resolution and establishing

and strengthening local capacity to mitigate and respond to conflict and other complex emergencies.

These efforts have been largely successful. USAID's initial decentralization activities, targeted at civil society and local government assisted two pilot districts to develop local capacities for strategic planning, budget, finance, tendering and procurement as well as implementation and management of development programs. Both districts consequently qualified for the GOU/World Bank Local Government Development Program, which will provide them with additional resources for badly needed capital investment as well as capacity development funds. Parallel work with CSOs, almost half of whom specifically represent women's issues, has empowered local organizations with institutional strengthening skills as well as knowledge of what the responsibilities of government are so that they can hold them accountable.

USAID's activities with Parliament are focussed on strengthening the overall effectiveness of Parliament by building its technical capacity as a deliberative body, including increasing the ability of members and committees to analyze issues, access information, and draft legislation through the provision of computer and library research, reference services, and a system to track legislation. Parliament's oversight capacity has also been enhanced by the introduction of a Parliamentary Budget Office, which provides financial analysis on budget proposals and bills introduced.

USAID's activities in the area of conflict prevention, mitigation and response have allowed the Mission to meet a constantly shifting spectrum of relief needs through OFDA and Food for Peace activities. During 2000, 397,600 people had water and sanitation needs met, and 95,000 people received emergency household items and agricultural seeds and inputs through USAID efforts.

Activities implemented by the Mission and its partners continue to move communities along the relief to development spectrum through activities that generate employment, providing needed infrastructure, and increase household income and agricultural productivity, thus enhancing household food security. Activities have provided support to farmers and

farmers' groups to increase productivity with new agricultural technologies, improve the marketing of local produce, and develop community-based programs to improve food security. Under the new ISP this effort will be accelerated by integrating conflict areas into the development portfolio.

The Mission has been key to promoting peace building efforts by sponsoring dialog with local authorities, religious and traditional leaders and civil society, incorporating dispute resolution in basic education, and liaising with international organizations such as the Carter Center, which is now playing a mediation role with the LRA. The Mission, along with the European Commission (EC), Italy, DFID, and DANIDA has been providing support to the GOU amnesty program and has successfully brought neutral CSOs into the effort. USAID has been the principal provider of psychosocial support for war-affected children, including former abductees, and communities.

D. THE CONSULTATIVE PROCESS

During the development of the ISP, SO9 conducted formal focus group meetings to elicit input into its results framework. Separate consultative group meetings were held for conflict, Parliament and local governance. The progression of the consultative meetings was in three phases. First, focus was put on identifying democracy, governance and conflict issues whose resolution through targeted interventions by donors was deemed vital for democratic consolidation. These discussions included partners, stakeholders and ultimate customers such as local government constituents, victims of conflict, NGOs and Parliamentarians. As part of this process, a broad democracy, governance and conflict assessment was conducted to provide further detailed input on the state of play from a wide range of partners, stakeholders and informed observers in the sector.

Secondly, the issues identified by stakeholders were prioritized. Thirdly, logical causal relations were established between the prioritized issues identified and the result framework constructed. The opinions of customers and stakeholders were sought on the validity of the logic of the results framework within the Ugandan context.

Partners consulted included representatives from a broad array of NGOs, CSOs and religious groups. Partners identified the need to move from relief to development work in the conflict zones. There was overwhelming support for local capacity building—from civil society to local and national governments—based on the experience that no long term sustainable change can take place without the strengthening and participation of those directly involved with or affected by the conflict. Most partners agreed that agencies are able to work in most conflict areas, with a few exceptions. Even in the most risky of areas, some degree of involvement was deemed possible, although this involvement might be characterized by sporadic interventions requiring security precautions.

The consultation session on decentralization and civil society included representatives from local governments, line ministries, CSOs, academic institutions and implementing partners for other SOs. The main issues focussed on included: inadequacy/lack of skilled technical staff; plans which are not realistic due to resource constraints and which are derived without the participation of people at the grassroots, thus raising problems of ownership, accountability and monitoring; inadequate planning, budgeting and monitoring capacity for local government projects; corruption and lack of transparency in the tendering and procurement processes; local councils' inattention to issues of a cross-cutting nature (e.g., gender equity, conflict, HIV/AIDS, corruption); and conflicts between politicians and technocrats arising from a lack of clarity on their respective roles and responsibilities.

Elected representatives of the Members of Parliament (the Parliamentary Commission) were consulted. Two issues emerged as top priorities from the parliamentary group consultation namely: civil society participation in parliamentary proceedings and strengthening Parliament's deliberations and the skills of its members, in general. The members of the Parliamentary Commission observed that civil society has been the missing link in the process of enacting *pro-people* legislation. The Commissioners therefore identified the need to improve the communication links between parliamentary committees and grassroots civil society organizations, especially during the period when

committees discuss proposed legislation, as the necessary next step. Commissioners recommended that CSO and local governments' understanding of the roles and procedures of Parliament be increased so that both of these important institutions can play a critical role in advocacy.

E. DEVELOPMENT HYPOTHESIS AND RESULTS FRAMEWORK

1. Development Hypothesis

The causes of poverty are many but can be broadly categorized⁷³ into three areas namely: low access to productive assets (limited opportunities for economic growth), limited access to social services with the resultant effects of low health and education status (lack of empowerment) and lack of voice and vulnerability (security). Basically all three conditions hold for Uganda.

The premise of the Mission's goal of assisting Uganda to reduce mass poverty is that this will require increased economic growth, stability, and improved social services that address people's needs. SO 7 and SO 8 programs will address direct increases in the incomes and quality of life of the poor. SO9 will create a supportive environment for these efforts by assisting Uganda to build a strong partnership for the improved delivery of services, development of appropriate policies, and active participation of CSOs. Enhanced security is necessary for increased growth, access to services, and equitable development. The SO will achieve this by reducing and mitigating conflict while maintaining a safety net for vulnerable populations.

More effective and participatory governance is a result that the SO9 team believes is the highest achievable outcome of its strategy, is within the SO's manageable interest and contributes to the achievement of the Mission's overall objective of "Assisting Uganda to Reduce Mass Poverty". Planned interventions will contribute to the Mission's goal of poverty reduction by increasing inclusion and participation and reducing vulnerability. The achievement of these results is inescapably linked to and supportive of the efforts of SO7 and SO8 as is illustrated in the SO 9 Results Framework.

2. Assumptions

1. Conflict will not be eliminated completely, and low levels of conflict will continue.
2. Constitutional revisions done will not significantly alter the balance of governmental powers and responsibilities.

3. Results Framework

SO9 More effective and participatory governance

IR 9.1 Devolution and separation of powers strengthened

IR 9.2 Conflict mitigated and reduced

Illustrative Indicators for SO9:

- Amount of financial resources released to local governments as grants
- % of funds allocated to target local governments that are expended within the financial year
- Number of CSOs making submissions in Parliamentary committee hearings
- Number of ex-combatants reintegrated into communities

IR 9.1: Devolution and Separation of Powers Strengthened

IR 9.1.1 Local government service delivery capacity increased

IR 9.1.2 Civil society capacity to influence local and national decisions increased

IR 9.1.3 Legislative capacity to influence national policy and budget policies enhanced

Devolution of governmental authority and responsibility increases the competence and responsiveness of public agencies by reducing the burden on those at the center and by allowing those most affected by an issue to make decisions about it. It enables citizens who are most directly concerned to influence decision making by putting the source of the decision closer to them. The main focus of our efforts on decentralization is to encourage the devolution of authority to elected local governments that are directly accountable and therefore primarily responsible to local citizens; improving the

effectiveness and openness of local governments; and increasing community involvement in local government decision making and service delivery.

In addition, the concept of devolution of power to the local level should be strengthened by reinforcing the separation of powers at the national level. By strengthening the legislature, citizens are given greater access to the national policy process and more influence over the behavior of the executive branch. The role of the legislature in decision-making is enhanced by increasing its oversight of the executive branch, its influence over policy making and the budget, and its ability to shape appropriate legislation to guide and strengthen the development process. Its role as a representative body is enhanced by encouraging greater public access that allows citizens and CSOs to provide input and oversight. Separation of powers will continue to be an issue because of the critical need to ensure a balance of power between the executive and the other arms of government at this particular juncture in Uganda's history.

Promoting civic action by helping citizens organize to accomplish shared objectives strengthens information sharing and the representation of interests. The collective nature of civic action helps ensure that the interests of citizens (including women, disadvantaged minorities, people who face conflict and other complex emergencies) are considered by public institutions that make policy and allocate resources. CSOs can monitor government performance and demand leadership accountability both at national centers and in various localities. CSOs can also inculcate democratic values, give people practice with democratic principles, and create opportunities for new leaders to arise.

The achievement of results in IR 9.1 will depend to some extent on and will therefore require coordination with both SO 7 and SO 8 as noted below.

Illustrative Indicators for IR 9.1:

- Percent of executive branch sponsored bills, which are substantially amended either in committee or before the full Parliament, or which are voted down by the full Parliament.
- Percent of target local governments in compliance with planning, budget, and

accounting requirements under the Local Government Act.

IR 9.1.1. The Local Government Act of 1997 devolves significant authority and responsibility to the District and Sub-County level. It is at this level that most basic services are provided. In addition, significant funding is being made available directly to these levels for service provision under the Poverty Alleviation Fund. Both SO 7 and SO 8 are implementing significant portions of their programs through local governments. SO9 will therefore coordinate the improvement of capacity at the local level, both within councils and their technical offices to sustain these initiatives.

Results in this sub-IR will promote success in achieving:

- SO7 IR7.2.4: Increased Provision of Private and Public Sector Support Services
- SO8 IR 8.2.1: Improved Decentralized Planning, Management and Monitoring Systems

Illustrative Indicators for IR 9.1.1:

- Percent of specific commitments in District Development Plan met in target Districts.
- Number of development projects jointly designed by local governments and CSOs in target areas.

IR 9.1.2. Uganda's Constitution is premised on full participation by its citizens. Furthermore, the Constitution and the Local Government Act, devolve significant responsibility to the local level. However, local governments are weak and communities are unaware of their rights and responsibilities. At the national level, there are few CSOs that know how to approach the Parliament and the system to do so is opaque. CSOs in Uganda need to increase their understanding of government structures and functions, develop their capacity to analyze the policy environment and to advocate effectively for services and new or amended laws and regulations. These same skills will allow them to hold local government and the legislature more accountable by demanding transparency in the allocation and management of public resources.

Illustrative Indicators for IR 9.1.2:

- Percent of target CSOs with a legislative agenda

- Percent of CSO legislative action items accomplished

IR 9.1.3. Increased capacity to exert influence on national policies and budgets requires regulations and procedures that enable the legislature to operate in an independent and democratic manner, sufficient time and information for full consideration of proposed legislation, professional staff to assist in analysis and drafting, resources and authority to investigate and question the executive branch, and an effective system of committee meetings. These are the areas where work in the sub-IR will focus. Both SO 7 and SO 8 have identified policy reform as a key result. SO 9 will work with them to strengthen appropriate parliamentary committees that are essential to their efforts. USAID/Uganda has leveraged its support to Parliament by encouraging other donors to participate in a coordinated, multi-donor fashion and will continue to do so.

Results achieved in IR 9.1.3 will contribute to success in:

- SO7 IR 7.4.3: Effective Advocacy for Environmental and Natural Resources
- SO8 IR 8.3: Strengthened Enabling Environment for Social Sector Services

Illustrative Indicators for 9.1.3:

- Percentage of standing or sessional committees in Parliament requesting data and information on budget matters from the Parliamentary Budget Office and the Parliamentary Research Service
- Percent of target committee meetings to which CSOs are invited in advance.

IR 9.2. Conflict Mitigated and Reduced

IR 9.2.1 Participatory Dialog on Reducing Conflict Enhanced

IR 9.2.2 Mitigation of Human Impact

One of the primary responsibilities of any government is guaranteeing the security of its citizens. Areas of conflict cannot fully participate in the democratic or economic development of the nation. In Uganda, efforts are being made to respond to conflict at the national

and local level which merit support. USAID will continue a strong program of participatory dialog to bring the issues of all parties, including those of war-affected communities, into the discussion and promote reconciliation. Strategic interventions will mitigate the impact of conflict through continued partnerships with the Office of Foreign Disaster Assistance (OFDA) to address the impact of conflict through humanitarian and relief-to-development assistance; and, the Displaced Children and Orphans Fund (DCOF) and the Victims of Torture (VOT) fund to provide psychosocial counseling and reintegrate conflict victims with their families and communities. We have explicitly integrated conflict objectives within SO7 and SO8, to offer enhanced economic opportunity and improved social services in conflict zones to both alleviate the impact of conflict and reduce its underlying causes.

Illustrative Indicators for IR 9.2:

- Number of USAID funded development activities being implemented successfully in target areas.
- Participatory dialog agenda formulated with CSOs and local leaders.

IR 9.2.1. Conflict has been on going in some part of Uganda since its independence. The root causes of these conflicts are many – ethnic rivalry, competition for natural resources and political differences. Although peace accords are in effect – Nairobi for the conflict with Sudan and Lusaka for the conflict with the DRC, implementation can be subject to delay and setbacks. In the northern Uganda conflict, USAID has been able to play a role in bringing conflictive parties, local governments, traditional leaders, and communities into the discussion but there are few formal groups to undertake this effort. Such dialog serves to build momentum for peace. USAID will continue to support the peace dialog by working with indigenous, regional, and international organizations to encourage dialog.

Illustrative Indicators for IR 9.2.1

- Number of dialog engagements held.
- Percent of action items from dialog agenda resolved.
- Number of representative peace building groups formalized.

IR 9.2.2. The victims of conflict include communities living under threat of attack, families that have had to move into IDP camps, current and former abductees, and ex-combatants taking advantage of amnesty. Until there is peace families will not be able to permanently move back to their land or enjoy security in their communities. SO9 will continue to work with WFP and OFDA to provide safety net programs for IDPs. We will also coordinate with SO7 and SO8 to bring productive opportunities and improved social services to these groups. SO9 will continue to provide psychosocial rehabilitation for abductees, their communities, and ex-combatants. The GOU announced its amnesty program in 2000. Progress has been halting but is showing signs of progress. One critical factor in this progress has been the inclusion of neutral CSOs. SO9 will continue to work with CSOs and local governments to facilitate the amnesty process for returnees and to reintegrate them in and reconcile them with their communities. This IR's focus on re-integration and reconciliation in communities affected by war will therefore contribute towards the reconstitution of viable societies that can once again participate fully in Uganda's development.

To achieve this IR SO9 will coordinate with:

- SO8 IR 8.1 Effective Use of Social Services
- SO8 IR 8.3.1: Increased Community Participation and Advocacy
- SO7 IR 7.1: Increased Food Security for Vulnerable Populations in Selected Regions

Illustrative Indicators for IR 9.2.2:

- Number of communities in target areas with reconciliation programs
- Number of formerly abducted boys and girls in school or vocational training
- Amount of employment and income generated through USAID funded activities in post-conflict areas.

F. OTHER DONOR PROGRAMS

USAID is a member of donor working groups on the Development of Northern Uganda, Amnesty and Recovery from Conflict, Decentralization, Justice, Law and Order, Elections Monitoring and chairs the working group on Parliament. USAID is the lead donor supporting activities with Parliament. The U.K., EC, Norway, Sweden, and the UNDP are also involved. Many donors are working in decentralization including Denmark, Austria, the U.K., the Dutch, Irish and the EC. The largest donor involved is the World Bank. In the justice sub-sector donors represented are the U.K., Austria, Denmark, UNDP, EC, Netherlands, Ireland, and the World Bank. USAID is one of many donors involved in relief and transition to development in Uganda. Other donors active in this area include the U.K., Italy, Germany, Denmark, Norway, Sweden, Belgium, the EC, ICRC, UNHCR, UNICEF, UNDP, OCHA, and the World Bank.

G. ILLUSTRATIVE ACTIVITIES

The proposed strategic objective will build upon the continuum of development assistance to Uganda that has successfully supported constitution building, expanded civic pluralism, put in place constitutional checks and balances and delivered services to provide relief and mitigate the impact of ongoing conflict in Northern Uganda.

Intermediate Result 9.1

Activities envisioned to achieve effective devolution and separation of powers will be designed to increase the capacity of local governments and Parliament to perform their constitutional and statutory mandates better through more participatory approaches. Our activities are expected to improve the efficient and effective use and allocation of public resources essential to poverty reduction by promoting inclusion, participation and empowerment. This will include training that addresses both governance and technical issues, which is targeted at local government and CSO leaders. In order to address specific needs of SO7 and SO8, training for technical officials and staff will be focused on reducing bottlenecks to implementation. A

cascade approach will allow local governments, CSOs and other USAID partners to use the training materials developed to build capacity in their own jurisdictions. Corruption is widespread and as increased funding moves to the local level there is a critical need to develop local capacity to audit, monitor, and provide oversight. In conjunction with its training programs for local officials SO 9 will draw upon the Mission's resources in its Contracts, Financial Management and Executive Offices to provide broad guidance and complementary support in procurement integrity, financial accountability, and performance management.

SO 9 will work with Parliament to implement the intent of a recently passed broad reaching Budget Act by strengthening the newly established budget office and building capacity of the Parliamentary Research Office. The team will also assist in strengthening relations between Parliament and local governments and CSOs, and strengthening select committees as well. SO 9 has developed a sound track record with the Ugandan Parliament. Both SO 7 and SO 8 objectives rely on the creation of a sound policy environment, which in part depends on legislative action. SO 9 will work with the SO teams and Parliament to strengthen key committees in order to enable the committees to analyze issues, produce sound legislation, and interface with civil society more effectively.

Intermediate Result 9.2

Support for IR 9.2 is highly integrated and draws on the strengths of our partners in Uganda, Washington, and the region. USAID will work closely with the Country Team in Uganda to increase the level and inclusivity of dialog. We will support efforts on the part of local organizations to develop an indigenous response to conflict. This may encompass efforts such as the establishment of a working group on conflict that includes NGOs. SO 9 will continue to work with OFDA and WFP to create a safety net for communities affected by conflict. This effort however will emphasize the shift toward development activities.

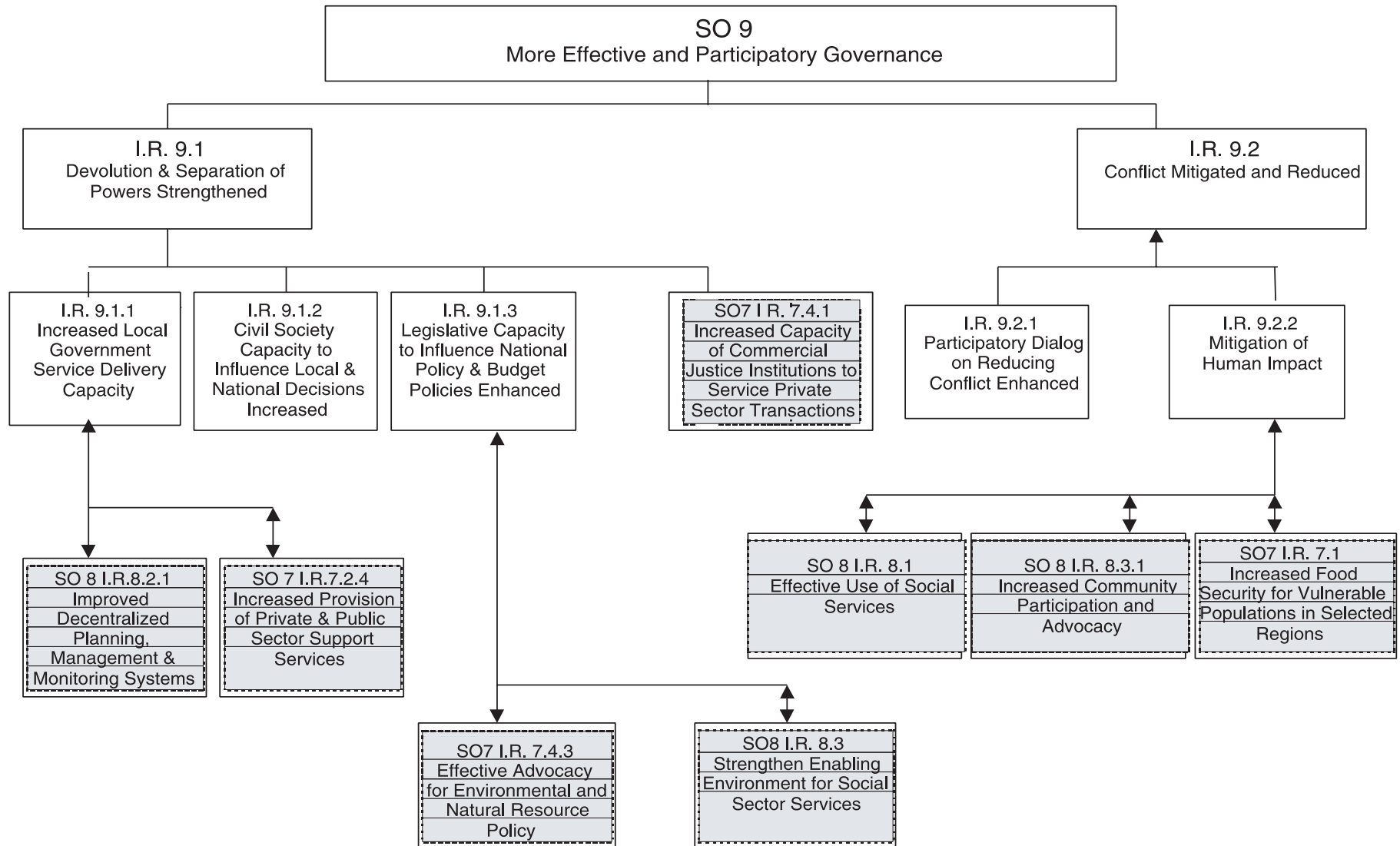
A reduction in conflict will allow the country to rebuild needed infrastructure and reinvigorate levels of investment, which are necessary for economic growth. Some of the areas currently in conflict, Gulu and Kitgum for example, were once among the most

productive in the country. Complementary activities under SO 7 and SO 8 may include Title II food security and road building activities, and activities to support broad-based, sustainable economic growth; support for alternative basic education which includes a peace and reconciliation component in the curriculum; and, health education, nutrition, reproductive health, HIV/AIDS and infectious disease programs in conflict areas. Working with the AID/W Displaced Children and Orphan's Fund and Victims of Torture staff, SO 9 will address the needs of children and adults who have been affected by the conflict or are former abductees. Activities will also be developed to promote community-based peace and reconciliation initiatives to foster reconciliation and ease reintegration.

If peace is achieved in the north and conflict in the west subsides, reintegration efforts will be more than we can address. The GOU amnesty program is targeting the estimated⁷⁴ 1,500 – 2,500 LRA rebels in Gulu, Kitgum and Pader districts and in southern Sudan, and 350 – 2,500 ADF rebels in western Uganda and eastern DRC. If it is successful, over 600,000 displaced persons (in both northern and western Uganda) will wish to return home. In that case, there will be need for the Mission, in collaboration with other donors, to expand economic and social sector activities in the post-conflict areas to meet the needs of the reporters and large numbers of displaced persons who will return home.

RESULTS FRAMEWORK

SO9 RESULTS FRAMEWORK & ILLUSTRATIVE ACTIVITIES



PERFORMANCE MONITORING

- 1** PERFORMANCE MONITORING
- 2** STRATEGIC OBJECTIVE INDICATORS
BASELINE AND TARGET VALUES
- 3** PERFORMANCE MONITORING PLAN
SO7 AND KEY INTERMEDIATE RESULTS
- 4** PERFORMANCE MONITORING PLAN
SO8 AND KEY INTERMEDIATE RESULTS
- 5** PERFORMANCE MONITORING PLAN
SO9 AND KEY INTERMEDIATE RESULTS

PERFORMANCE MONITORING

The program goal and the strategic objectives that USAID/Uganda is proposing for the Integrated Strategic Plan 2002-2007 mark a significant departure for the Mission from the approaches of the past. In order to more effectively support the Ugandan people in their fight against poverty and ensure continued progress, the Mission has adopted a strategy of integration for the ISP. This integrated approach will allow us to build effectively on existing synergies and collaborative activities between sectors, to develop new, innovative cross-sectoral programs, to manage financial and human resources more efficiently, and to achieve higher levels of impact. The integrated program will also require new approaches to performance monitoring and management. While we will continue to track some indicators that were used to measure progress under the 1997-2001 strategy, we have also developed a number of new indicators that will permit us to more directly measure the achievement of integrated results.

Our program goal is Assist Uganda to Reduce Mass Poverty. The Mission has carefully examined recent analysis and policy dialogue relating to poverty, both within USAID and in the development community generally. Our strategic approach as articulated in the ISP places its emphasis on poverty reduction that is achieved largely through economic growth, but that considers other dimensions of poverty as well: the need for a stable political environment, and hence attention to democratic institutions and conflict mitigation; the unequal distribution of poverty, which demands a focus on social sector service provision to help rectify imbalances; and gender-based inequities, which require particular attention to the needs of women and their potential to contribute to and benefit from growth.

We do not propose to develop an independent strategy to monitor progress towards the achievement of this goal. Rather, we will continue our active collaboration with the Poverty Monitoring and Analysis Unit

(PMAU) in the Ministry of Finance, Planning and Economic Development (MFPED), other donors, and civil society in the implementation of a shared poverty monitoring framework. USAID is a core member and active participant in the poverty monitoring network that has worked to develop a poverty monitoring strategy and poverty reduction indicators. The key indicator is income poverty as measured by household expenditure data collected in the Uganda National Household Survey (UNHS), but the monitoring strategy also tracks a number of other indicators organized according to the pillars of the PEAP. Since each of our strategic objectives also contributes to poverty reduction and is directly linked to one of the pillars of the PEAP, tracking the indicators for these SOs, many of which are also included in the collaborative poverty monitoring framework, will also provide quantitative evidence of progress towards this goal.

As an initial step in strengthening its performance management capability, SO7, Expanded Sustainable Economic Activities for Rural Sector Growth, has developed the SCRIP and Competitiveness analytical frameworks. These tools will provide high-quality, timely, and reliable data for planning, developing a policy agenda, guiding investment choices and measuring results. SO7 also proposes to invest in a performance assessment agreement that will be charged with the responsibility of establishing baselines and providing annual data for selected indicators in the performance monitoring plan, as well as working collaboratively with SCRIP and Competitiveness. The data provided through this agreement will be used for both reporting and management purposes. This entity will also develop case studies, best practices and lessons learned for dissemination to partners, stakeholders and other interested parties. The mechanism for providing these services will be in place by October 1, 2001.

SO8's most powerful performance management tools are the Demographic and Health Survey (DHS) and

the DHS education data (EdData) module, which are conducted in collaboration with Macro International and the MEASURE Project. These rigorous population-based surveys are implemented once every five years. Initial results of the 2000 DHS were provided to the Mission in May, 2001 and data from the first-ever EdData survey in Uganda are expected in August, 2001. These surveys will be repeated in 2006 and will be a leading source of data for reporting at SO level at the end of the planning period. The SO8 team has identified several “milestone” indicators that will provide the basis for SO-level reporting when DHS or other population-based survey data are not available. Like SO7, the SO8 team proposes to invest resources to collect data on a number of innovative, new indicators that will be used to measure the performance of the integrated program. The SO also plans to put an expanded sentinel surveillance system into place, based at target health facilities and educational institutions in both public and private sectors. This system will be used to collect data on several IR-level indicators, including coverage rates for key services and attendance rates in schools. Finally, SO8 participates in two SWAPs and through this mechanism monitors key policy-related “undertakings”, or conditionalities, that have been agreed upon by the government and donors.

The democracy, governance and conflict team (SO9) has adopted two key approaches to ensuring that data needs for reporting and management are met. First, the team works very closely with key partners to build their performance management capacity. Partners have risen to the challenge and by employing such approaches as working with local consultants and short term, targeted technical assistance have been very successful in reporting their results in a timely and efficient manner. Second, the team also collaborates with the other SO teams and their implementing partners to fill any data gaps. These approaches are particularly necessary for SO9 because their resources are so constrained.

One of the key issues that all of the SO teams are grappling with is Uganda’s program of decentralization. Decentralized service delivery for health, education, agricultural extension and natural resource management, and decentralized planning, administration, and budgeting responsibilities have implications across the board. There are linkages across

all three SOs with respect to issues of service delivery, and shared or in some cases delegated responsibility to another SO to provide important indicator data. These linkages and responsibilities are laid out in the performance monitoring plans.

USAID/Uganda has also strengthened performance monitoring and management by requiring each implementing partner to submit a performance monitoring plan for Mission review and approval. These PMPs document the contribution that each activity makes to the achievement of results and the direct linkages of activities to the results frameworks.

The Mission also has a coordinated system of planning for evaluations, assessments and special studies. Each SO teams prepares its agenda of evaluations and studies on an annual basis. The planned evaluations are discussed as part of the Annual Portfolio Review process, thus receiving the benefit of input and technical advice from other teams. The teams can also access assistance in drafting scopes of work, terms of reference, budgets etc. from each other and from support offices such as FMO and EXO.

To provide further support to the SO teams in their performance monitoring and evaluation responsibilities, the Mission has recruited a full time USPSC Performance Monitoring Specialist housed in the Office of Program and Project Development. The PMS works closely with a senior FSN Program Specialist who is assuming a number of performance management related tasks. USAID/Uganda has also sent five staff, representing all of the SO teams, for training in performance management. These skills are distributed across the Mission and are institutionalized in each SO team.

USAID/Uganda Integrated Strategic Plan 2002-2007

Strategic Objective Indicators: Baseline and Target Values

SO7: Expanded Sustainable Economic Opportunities for Rural Sector Growth

Indicator	Definition	Baseline (2001)	Target (2007)
7.1 Household income in selected regions	Aggregated income from on- and off-farm enterprises and nature-based enterprises	\$1,125	\$1,520
7.2 Number of off-farm enterprises	Number of new firms/enterprises created as a result of USAID interventions in selected sectors in selected regions	Micro: 160,000 SMEs: N/A	Micro: 375,000 SMEs: 2,500
7.3 Employment generation in on- and off-farm enterprises	New jobs created as a result of USAID interventions	Micro: 320,000 SMEs: N/A	Micro: 750,000 SMEs: 25,000

SO8: Improved Human Capacity

Impact Indicator	Definition	Baseline (2000)	Target (2007)
8.1 Total fertility rate (TFR)	The mean number of live children a woman bears in her reproductive career	6.9	6.5
8.2 HIV prevalence among adolescent men and women	Percent of blood samples taken from a nationally-representative sample of men and women aged 15-24 years that test positive for HIV, disaggregated by gender	3.8/7.8	2.0/5.0
8.3 Under-five mortality rate (U5MR)	Proportion of children per 1,000 live births who die before their fifth birthday	152	142

8.4 Secondary school qualification rate	Proportion of a given P7 cohort whose scores on the Primary Leaving Examination (PLE) are in Division 1 or Division 2, disaggregated by gender	43.1	47.0
Milestone Indicator	Definition	Baseline (2000)	Target (2007)
8.5 Contraceptive prevalence rate (CPR)	Proportion of married women of reproductive age currently using a modern method of contraception	18	26
8.6 Immunization coverage	Proportion of children aged 12-23 months fully immunized (BCG, measles, DPT3, polio) disaggregated by gender	38	47
8.7 HIV prevalence, pregnant women	Percent of blood samples taken from pregnant women aged 15-19 and 20-24 years at sentinel surveillance sites that test positive for HIV	5.6/9.9	4.0/6.0
8.8 Average test scores for P3 and P6	Average end of year indicative national examination scores (Math and English) for P3 and P6 pupils, disaggregated by gender	P3: 38/82 P6: 42/87	P3: 50/88 P6: 52/90

SO9 More Effective and Participatory Governance

Indicator	Definition	Baseline (2001)	Target (2007)
9.1 Financial resources released to local governments as grants	Grant funds in Uganda shillings disbursed from the central government to local governments	Ushs. 512 billion	Ushs. 982 billion
9.2 Number of ex-combatants reintegrated into communities	Formerly abducted children and former rebels who return and are able to settle or resettle into local communities	FAC: 1,678 Reporters: 106	FAC: 3,360 Reporters: 636
9.3 CSOs making submissions in Parliamentary committee hearings	Number of civil society organizations participating in the deliberations of Parliamentary committees and hearings	10	40
9.4 Funds allocated to target local government that are expended within the financial year	Proportion of resources transferred from central to local authorities that are expended in fulfillment of minimum conditions	75	95

Performance Monitoring Plan

SO7 and Key Intermediate Results

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
Strategic Objective 7 (SO7) Expanded Sustainable Economic Opportunities for Rural Sector Growth							
1. Household income in selected regions	<p>Definition: Aggregate income from on- and off-farm enterprises and nature based enterprises. These will include income generated by households, community, and producer organizations, micro, small and medium enterprises and industry-scale export sectors in selected regions. A baseline will be established. Data will be disaggregated by gender.</p> <p>Unit of Measure: Ush and US\$, disaggregated by gender of household head</p>	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	SO07 Team	Annual, R4, and portfolio reviews	SO07 Team
2. Number of off-farm enterprises	<p>Definition: Number of new firms/enterprises created as a result of USAID interventions in selected sectors in selected regions. These will include new agro-processing industries, nature-based firms and other non-agriculture-based enterprises. Data will be disaggregated by gender.</p> <p>Unit of Measure: Number of enterprises by gender of owner</p>	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	SO07 Team	Annual, R4, and portfolio reviews	SO07 Team
3. Employment generation in on- and off-farm enterprises	<p>Definition: New jobs created as a result of USAID interventions. These would include workers on commercial farms, owner-operators of smallholder farms, off-farm enterprises, micro-, small- and medium-sized enterprises and industries in selected regions. A baseline will be established and data will be disaggregated by gender.</p> <p>Unit of Measure: Number of new employees by gender</p>	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	SO07 Team	Annual, R4, and portfolio reviews	SO07 Team

Data Limitations: The Uganda National Household Survey conducted by Uganda Bureau of Statistics may also be used, as a source of data for income (or household expenditure as a proxy), but timeliness and reliability of these data have been questionable.

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR 7.1 Increased Food Security for Vulnerable Populations in Selected Regions							
1. Food security monitoring systems in place	Definition: Systems to monitor and report on national and regional food availability including areas of food surplus and deficit for commercial and donor procurement on a regular and predictable basis. Examples include FEWSNET, FOODNET, WFP. Unit of Measure: Number of systems	Multi-year monitoring contract and implementing partners	Market surveys and WFP monitoring system	Annual and ad hoc	IR7.1 Team Leader	Annual, R4, and portfolio reviews	IR7.1 Team Leader
2. Availability of selected food commodities	Definition: Volume of selected foodstuffs produced, distributed, and marketed in selected regions. This will include emergency distributions by the WFP, food produced by clients of Title II programs in those regions, and direct food distributions under the Title II/HIV/AIDS program. Unit of Measure: Metric tons (MT) for crops and food distributions, liters (L) for milk and milk products	Multi-year monitoring contract and implementing partners	Market surveys and WFP monitoring system	Annual and ad hoc	IR 7.1 team leader	Annual, R4, and portfolio reviews	IR7.1 Team Leader
3. FAO Dietary Diversity Score	Definition: Mean score on FAO 12-point dietary diversity scale for selected groups Unit of Measure: Numerical score	Implementing partners	Annual survey	Annual and ad hoc	IR7.1 Team Leader	Annual, R4, and portfolio reviews	IR7.1 Team Leader

Data Limitations:

* Selected regions for this IR are conflict-affected areas of Northern and Western Uganda, and those areas served by the Title II/HIV/AIDS program.

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR 7.1.1 Increased Use of Food Production Technologies							
1. Knowledge of improved farming practices	Definition: Smallholder farmers located in selected areas who are trained in the use of new agricultural production technologies such as agroforestry, soil and water conservation, and new crop varieties. Data will be disaggregated by gender.	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR 7.1 Team Leader	Annual, R4, and portfolio reviews	IR 7.1 Team Leader
2. Use of improved farming practices	Unit of Measure: Number of farmers, cumulative over time Definition: Smallholder farmers in selected areas adopting improved farming practices (i.e., zero-grazing, agroforestry, soil and water conservation, improved seed and fertilizers). Data will be disaggregated by gender.	Multi-year monitoring contract and implementing partners (beginning in year 3)	Annual surveys and implementing partner reports	Annual and ad hoc	IR 7.1 Team Leader	Annual, R4, and portfolio reviews	IR 7.1 Team Leader

Data Limitations:

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR 7.1.2 Improved Food Aid Support to PLWHAs* and the AIDS Affected† in Selected Regions							
1. Targeted people receiving food aid	<p>Definition: Title II cooperating sponsor clients receiving directly distributed food aid commodities.</p> <p>Unit of Measure: Number of people, by gender.</p>	Title II cooperating sponsors	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.1 Team Leader	Annual, R4, and portfolio reviews	IR7.1 Team Leader
2. Complementary assistance from community based organizations	<p>Definition: Number of food aid clients also receiving non-food aid assistance through community-based organizations.</p> <p>Unit of Measure: Number of people, by gender.</p>	Title II cooperating sponsors	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.1 Team Leader	Annual, R4, and portfolio reviews	IR7.1 Team Leader
3. HIV/AIDS infected children receiving food aid	<p>Unit of Measure: Number of children, by gender.</p> <p>Definition: <i>Number of children infected with HIV/AIDS who are receiving directly-distributed food commodities.</i></p>	Implementing Partners	Food distribution Records	Annual	Implementing partners and SO7 Team	Annual	Implementing partners and SO7 Team

Data Limitations: Since VCT is not generally available for children and their serostatus cannot be confirmed, indicator 7.1.3.3 may be changed to HIV/AIDS affected children.

* PLWHAs means people living with HIV AIDs
 † AIDS-affected are the family members of those who are living with, or who have died from, HIV/AIDS -- families, dependent children and orphans

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OR COLLECTION OR CALCULATION	DATA ACQUISITION BY		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR7.2: Increased Productivity of Agricultural Commodity and Natural Resource Systems in Selected Regions							
1. Productivity of selected agricultural commodities and products	Definition: Yield per hectare or per animal of selected food and cash crops, dairy products, tree crops and seedlings. Unit of Measure: Metric tons (MT) for crops, liters (L) for milk and milk products, numbers for nursery products.	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.2 Team Leader	Annual, R4, and portfolio reviews	IR7.2 Team Leader
2. Volume of production of selected commodities and products	Definition: Total annual volume of production of selected food and cash crops, including high value export commodities. Unit of Measure: Metric tons (MT), liters (L), stems (for cut flowers)	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.2 Team Leader	Annual, R4, and portfolio reviews	IR7.2 Team Leader
3. Market value of selected agricultural and natural resource commodities	Definition: Total revenue from agricultural commodities sold on international (Europe and the U.S), regional, and retail markets including informal cross-border sales of major food crops, dairy products, tree crops, timber, and other natural resource products. This will be a national level indicator and will capture the multiplier effect of the SC07 program. Unit of Measure: Ush, and US\$	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.2 Team Leader	Annual, R4, and portfolio reviews	IR7.2 Team Leader

Data Limitations:

* Productivity refers to the total performance of selected commodity systems from production through post harvest handling and marketing and includes food availability in the case of food insecure communities. It also refers to the value or amount of an environmental product or service such as the values of timber produced on a community managed forest, the number of visitor days or income generated from tourism in a protected area, or the species richness of critical ecosystems.

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR: 7.2.1 Improved Utilization of Selected Critical Landscapes*							
1. Use of yield enhancing inputs	Definition: Increased adoption of yield enhancing inputs such as fertilizers, improved seeds, herbicides, and pesticides. Sales (monetary value) of production inputs will be tracked as a proxy measure of adoption. This will also be used as a proxy measure of agricultural commercialization, i.e. an indication that farming decisions are increasingly based on input- output and cost- benefit factors. Unit of Measure: US\$ and L/ah.	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.2 Team Leader	Annual, R4, and portfolio reviews	IR7.2 Team Leader
2. Adoption of improved farming practices	Definition: Number of farmers adopting intensive farming practices such as zero-grazing, agroforestry, conservation (soil and water) farming. Unit of Measure: US\$ and L/ah.	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.2 Team Leader	Annual, R4, and portfolio reviews	IR7.2 Team Leader
3. Land area under sustainable management	Unit of Measure: Number of farmers by gender, cumulatives over time Definition: Total land area where: 1) conservation-based farming is practiced; and/or 2) resource management plans are being implemented in Protected Areas or as part of Environmental Action Plans (EAPs) at local government level. Unit of Measure: Number of hectares.	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.2 Team Leader	Annual, R4, and portfolio reviews	IR7.2 Team Leader

Data Limitations:

* This sub-IR will illustrate the interface between agriculture and nature-based resources to promote farming and conservation practices that enhance output per unit of production

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR: 7.2.2 Increased Market Access and Efficiency of Rural Enterprises³							
1. Commodity-based and nature-based producer and export firms meeting international quality and safety standards	Definition: Producers' and traders' compliance with established codes of practice regarding quality assurance, food safety, and environmental standards ⁴ . The underlying assumption is that low quality and safety standards are a major constraint to many Ugandan commodities on international markets.	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR 7.2 Team Leader	Annual R4, and portfolio reviews	IR 7.2 Team Leader
2. Commodity-based and nature-based firms, individuals and organizations involved in value-added processing and manufacturing	Unit of Measure: Number of firms Definition: Expansion of value-added products. This will be a proxy measure of diversification and increased ability to access market opportunities under new trade agreements/ Acts (AGOA, WTO, COMESA, EAC, etc). For some commodities such as dairy products, fresh fruits, edible oil etc, the diversification factor also applies to domestic markets.	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR 7.2 Team Leader	Annual R4, and portfolio reviews	IR 7.2 Team Leader
3. Clients accessing/utilizing market information	Unit of Measure: Number of firms Definition: Utilization of commodity based market information databases (commodity based monthly market bulletins and reports covering demand, supply & price analysis, tariffs and other international issues, and relief and other emergency assessments).	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR 7.2 Team Leader	Annual R4, and portfolio reviews	IR 7.2 Team Leader
Data Limitations:							

³ Rural enterprises include both agricultural (on and off-farm) and non-agricultural enterprises.
⁴ Through SOOT partnerships with commodity-based organizations and agribusiness firms, codes of practice are developed and enforced. Producer and exporter firms complying with established codes of practice register with the enforcement entities. Commodity-based enforcement entities assume a supervisory role to ensure compliance.

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR: 7.2.3 Increased Provision of Private and Public Sector Support Services*							
1. Enterprise-focused organizations providing input services	Definition: Agriculture and nature-based organizations (e.g. a dairy co-op or a community conservation association) facilitating the delivery of technical, management and/or business support services to their members. Unit of Measure: Cumulative numbers	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.2 Team Leader	Annual, R4, and portfolio reviews	IR7.2 Team Leader
2. Local government resources allocated to private sector and NGOs for natural resource and agriculture service delivery	Definition: Total resource allocation by local councils to private sector entities (e.g. stockists, community conservation associations, fertilizer dealers, veterinary services, and private seed multiplication businesses) for service provision. Unit of Measure: Ush. and US\$	Multi-year monitoring contract and implementing partners SO9	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.2 Team Leader	Annual, R4, and portfolio reviews	IR7.2 Team Leader

Data Limitations:

* Services include the provision of technical, management and business support services

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR 7.3 Increased Competitiveness of Enterprises In Selected Sectors							
1. Loans to businesses and commercial farmers in selected sectors	Definition: Total dollar or Ushs value of loans provided by commercial banks to businesses and commercial farmers.	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR 7.3 Team Leader	Annual R4, and portfolio reviews	IR 7.3 Team Leader
2. Foreign and domestic investment in selected sectors	Unit of Measure: Ush. and US\$. cumulative over time Definition: Dollar and shilling resources directly invested in enterprises in selected sectors (e.g. cut flowers, coffee, cotton, fish, others TBD).	Multi-year monitoring contract and implementing partners BOU UIA	Annual surveys and implementing partner reports	Annual and ad hoc	IR 7.3 Team Leader	Annual R4, and portfolio reviews	IR 7.3 Team Leader
Unit of Measure: US \$ and Ushs, cumulative over time							

Data Limitations:

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR 7.3.1 Increased Capacity of Local Producer and Community-based Organizations to Manage and Market Productive Assets							
1. People with enhanced management skills	<p>Definition: Number of members of local producer and resource management organizations trained in advanced business and/or management skills, disaggregated by gender</p> <p>Unit of Measure: Number of people, cumulative over time</p>	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.3 Team Leader	Annual, R4, and portfolio reviews	IR7.3 Team Leader
2. Organizations with bankable business plans	<p>Definition: Organizations assisted by USAID partners that receive loans based on their business plans.</p> <p>Unit of Measure: Number of organizations, disaggregated by gender of owner/manager</p>	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.3 Team Leader	Annual, R4, and portfolio reviews	IR7.3 Team Leader

Data Limitations:

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR 7.3.2 Increased Business Capacity in Selected Sectors							
1. Men and women receiving training in business skills	Definition: Individual entrepreneurs who are trained in budgeting, accounting, business plan development, and other business skills as a result of USAID interventions. Unit of Measure: Number of people, disaggregated by gender, cumulative over time	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR 7.3 Team Leader	Annual, R4, and portfolio reviews	IR 7.3 Team Leader
2. Targeted SMEs and MFIs purchasing business development services	Definition: Small to medium enterprises and microfinance institutions that access business development services and pay for them Unit of Measure: Number of SMEs/MFIs, cumulative over time	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR 7.3 Team Leader	Annual, R4, and portfolio reviews	IR 7.3 Team Leader

Data Limitations:

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR 7.3.3 Increased Use of Financial Services by Rural Producers, Micro, Small and Medium Enterprises (MSMEs) and Microfinance Institutions (MFIs)							
1. Lending by selected banks to MFIs, MSMEs and rural producers.	<p>Definition: Total value of commercial bank lending to MFIs, MSMEs and rural producers.</p> <p>Unit of Measure: Ush. and US\$, cumulative over time</p>	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.3 Team Leader	Annual, R4, and portfolio reviews	IR7.3 Team Leader
2. Clients of selected MFIs and banks outside Entebbe, Kampala and Jinja	<p>Definition: Proportion of total borrowers and savers at selected institutions that are located outside the three main cities/towns.</p> <p>Unit of Measure: Ush. and US\$, cumulative over time and disaggregated by gender</p>	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.3 Team Leader	Annual, R4, and portfolio reviews	IR7.3 Team Leader
3. Loans between Uganda Shilling 3 million and 425 million	<p>Definition: Number and value of loans in the range of Ushs. 3 million to Ushs. 425 million.</p> <p>Unit of Measure: Ush. and US\$, cumulative over time and totals disaggregated by gender</p>	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.3 Team Leader	Annual, R4, and portfolio reviews	IR7.3 Team Leader

Data Limitations:

* Microenterprise - mainly informal with one to five employees; Small enterprise - usually in the formal sector with five to 20 employees; Medium enterprise - 21 to 100 employees (Definition as used by Government of Uganda in the Medium-Term Competitive Strategy for Private Sector Development)

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR 7.4 Improved Enabling Environment for Broad-based Growth							
1. Ugandan laws and policies modified through private sector and GOU consultative process	Definition: Laws and policies in selected sectors (international and regional trade, financial sector, etc.) developed as a result of documented public-private dialogue.	Multi-year monitoring contract, implementing partners, and annual investor survey that assesses the enabling environment	Annual surveys and implementing partner reports	Annual and ad hoc	IR 7.4 Team Leader	Annual, R4, and portfolio reviews	IR 7.4 Team Leader
Unit of Measure: Number of laws and policies, cumulative over time							

Data Limitations:

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR 7.4.1 Increased Capacity of Commercial Justice Institutions to Service Private Sector Transactions							
1. Length of time for searches and registration in companies registry	Definition: Length of time to query the companies registry for a record and length of time required to register a company.	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.4 Team Leader	Annual, R4, and portfolio reviews	IR7.4 Team Leader
2. Length of time for searches and registration in land registry	Unit of Measure: Time in days Definition: Length of time to query the land registry for a record and the length of time required registering a parcel of land.	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.4 Team Leader	Annual, R4, and portfolio reviews	IR7.4 Team Leader
3. Commercial cases resolved through alternative dispute resolution (ADR)	Unit of Measure: Time in days Definition: ADR includes mechanisms such as arbitration, mediation, and conciliation, implemented without a full court hearing and judgement.	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.4 Team Leader	Annual, R4, and portfolio reviews	IR7.4 Team Leader
Unit of Measure: Number of ADR cases							

Data Limitations:

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR 7.4.2 Increased Capacity of Ugandans to Participate in the Benefits of Trade Agreements and Impacts of Globalization							
1. Private sector clients participating in the review and modification of policies and regulations	Definition: The private sector has established three sector committees on Agriculture, Services and Manufacturing and on a regular basis these committees provide input using position papers to the Government. These papers provide part of the basis for changes in existing laws.	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.4 Team Leader	Annual, R4, and portfolio reviews	IR7.4 Team Leader
2. Clients knowledgeable about the impacts of globalization and regional trade arrangements	Unit of Measure: Number of clients, cumulative over time Definition: Private sector stakeholders accessing information on global and regional trade issues and expected impacts on various trade agreements.	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR7.4 Team Leader	Annual, R4, and portfolio reviews	IR7.4 Team Leader

Data Limitations:

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				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR 7.4.3 Effective Advocacy for Environmental and Natural Resource Policies							
1. Environmental advocacy agendas developed	<p>Definition: Target NGOs that have developed discrete, actionable agendas of environmental policy advocacy interventions.</p> <p>Unit of measure: Number of NGOs</p>	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc.	IR 7.4 team leader	Annual, R4, and portfolio reviews	IR 7.4 team leader
2. Environmental advocacy campaigns conducted	<p>Definition: Target NGOs develop and implement multi-media advocacy campaigns around issues explicitly identified in their advocacy agendas</p> <p>Unit of measure: Number of campaigns</p>	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR 7.4 team leader	Annual, R4 and portfolio reviews	IR 7.4 team leader
3. Actions responsive to advocacy campaigns	<p>Definition: Parliament and other GoU policymakers take action in direct response to NGO agenda items that have been the subject of advocacy campaigns: laws passed or amended, by-laws enacted, EIAs carried out, etc.</p> <p>Unit of measure: Number of discrete actions</p>	Multi-year monitoring contract and implementing partners	Annual surveys and implementing partner reports	Annual and ad hoc	IR 7.4 team leader	Annual, R4 and portfolio reviews	IR 7.4 team leader

Performance Monitoring Plan: SO8 and key intermediate results

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
Strategic Objective 8: Improved Human Capacity							
1. Total Fertility Rate (TFR)	Definition: The mean number of live children a woman bears in her reproductive career	Implementing partner	Demographic and Health Survey	5 years	SO8 Team	5 years	SO8 Team
2. HIV prevalence among adolescent men and women	Unit of Measurement: Mean number Definition: Percent of blood samples taken from a nationally-representative sample of men and women aged 15-24 that test positive for HIV, disaggregated by gender.	Implementing partner	Population-based survey	5 years	SO8 Team	5 years	SO8 Team
3. Under Five Mortality Rate (U5MR)	Unit of Measurement: Percentage Definition: Proportion of children who die before their fifth birthday, disaggregated by gender	Implementing partner	DHS	5 years	SO8 Team	5 years	SO8 Team
4. Secondary school qualification rate	Unit of Measurement: percentage Definition: Proportion of a given P7 cohort whose scores on the Primary Leaving Examination quality higher for admission to secondary school, disaggregated by gender	MOES	Reports from schools and districts amalgamated by the MOES	Annual	SO8 Team	Annual for R4, Portfolio review	SO8 Team
Milestone Indicators (Interim): CPR	Unit of Measurement: Percentage Definition: CPR : contraceptive prevalence rate, modern methods, married women of reproductive age	Impl, partner	DHS special survey	5 years TBID	SO8 Team	Annual for R4, Portfolio review	SO8 Team
Immunization coverage	Immunization coverage: proportion of children aged 12-23 months fully immunized (BCG, measles, DPT3, polio)	Impl, partner MOH	DHS HMIS	5 years Annual			
HIV prevalence	HIV prevalence among 15-19 and 20-24 year old antenatal clients at MOH sentinel surveillance sites.	MOH	sentinel surveillance	Annual			
Average Test Scores for Primary 4 and 7	Average end of year national examination scores by subject for primary 4 and 7 pupils. Unit of Measurement: Percentage and average test scores	MOES, UNEB	UNEB tabulations of national results	Annual			

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				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
Intermediate Results 8.1: Effective Use of Social Sector Services 1. Coverage rates for basic social services 2. Discontinuation or dropout rates for core services 3. Primary school attendance rates at target facilities	Definition: Coverage (Service Utilization rate) is the proportion of the target population that uses a basic social service. Measures will include: Immunization (DPT3 coverage) Comprehensive HIV/AIDS services (VCT, drug intervention for MTCT, support and care for HIV +ve and OVC, community & psychosocial services, and treatment of OIs) Basic education (Net primary school enrolment) Unit of Measure: percentages and numbers Definition: The proportion of clients that initiate the use of a service but do not complete that use. Core services for this indicator are immunization coverage (DPT3) and primary school retention. Others may be added as appropriate.	Implementing partner Implementing partner MOHS UBOS	Sentinel surveillance Quarterly reports Service statistics Population-based SURVEY	Annual Annual? Annual 5 years	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team
	Immunization (DPT3) Primary education (leaving school before the completion of seven years of primary education). Primary school dropout rates will be tracked for all causes, such as illness, pregnancy, poor sanitation, child labor, hostile school environment, discrimination, care giving and cost.	Implementing partner MOHS UBOS	Sentinel surveillance at target facilities Service statistics Population-based survey	Annual Annual 5 years	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team
	Unit of Measure: percentage Definition: The proportion of children enrolled in primary school who are physically present and attending school on a given day	Implementing partner(s)	Sentinel surveillance at target schools, controlled for seasonal factors. Includes both government and private schools.	Annual	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING		
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	
Intermediate Results 8.1.1: Improved Quality of Social Sector Services								
1. Customer satisfaction with selected social services	Definition: Quality of services and their provision as perceived by the customer. Illustrative social services include: VCT, Immunization, primary education, IMCI, ANC, Delivery, PMCT, Care and support for PLWHAs and orphans and vulnerable children (OVC) services	Implementing partners	Surveys FGDs Exit Interviews Mystery client Participant observation PTAs Records & discussions	Annual (not all services will be surveyed every year)	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team	
2. Service providers' compliance with basic quality standards	Unit of Measure: percentage Definition: Trained service providers (health workers and teachers) who implement and abide by quality improvement guidelines	Implementing partners MOES MOH	EADData, EMIS, HMIS, other surveys	Annual	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team	
3. Compliance of facilities with selected quality standards	Unit of Measure: Percentage Definition: Proportion of facilities (schools and health units) implementing quality improvement guidelines.	Implementing partners MOES MOH	EADData, EMIS, HMIS, other surveys	Annual	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team	
4. Births attended by trained medical personnel	Unit of Measure: percentage Indicator: Proportion of deliveries attended by a trained health worker (doctor, clinical officer, midwife or nurse), public and private sectors, target areas. Unit of Measure: Percentages	MOH Implementing Partner	HMIS Survey DHS	Annual 5 years	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team	

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
Intermediates Results 8.1.2: Increased Availability and Access to Social Sector Services							
1. Socially-marketed products	Definition: Quantity of socially-marketed products distributed (sold?) through all outlets, including oral and injectable contraceptives, ITNs, anti-malarial treatments, condoms, and other products	Implementing partner	Sales records	Annual	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team
2. Population requesting HIV test and receiving results (auditory for USAID)	Unit of Measurement: Quantity/number Definition: The percent of people aged 15-49 surveyed who have ever voluntarily requested an HIV test and received the results.	Implementing partners	Service statistics DHS	Annual 5 years	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team
3. Pupil:teacher ratio	Unit of Measure: percentage Definition: The number of pupils enrolled per qualified teacher, lower and upper primary school	MOES	Service statistics	Annual	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team
4. Complementary services for Title II/HIV/AIDS recipients (Link to SOT)	Unit of Measure: Number of pupils:one teacher Definition: Number of food aid clients in Title II/HIV/AIDS program also receiving non-food aid services Unit of Measure: Number of clients, disaggregated by gender	Implementing partner	Routine monitoring reports	Annual	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
Interim/Endline Results 8.1.3: Increased Positive Behavior Changes Adopted							
1. Reported condom use with non-regular sex partner (Mandatory for USAID)	Definition: Respondents reporting barrier method use during the most recent act of sexual intercourse with a non-regular partner. Unit of Measure: Percentage, disaggregated by gender	Implementing partners	DHS Special surveys	5 years TBD	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team
2. Schools adopting girl-friendly approaches	Definition: Number of schools in targeted areas implementing one or more girl-friendly approaches. Illustrative approaches include counseling for girls, designated senior women teachers, separate latrines, rewards for good performance, mentoring and role models. Unit of Measurement: Number	Implementing partner	Survey of target schools	Annual	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team
3. Health units adopting youth-friendly services	Definition: Number of health units implementing one or more youth-friendly services. Illustrative services TBD Unit of Measurement: Number	Implementing partner MOH	Survey of target facilities HMIS	Annual	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team
4. Age of sexual debut	Definition: Median age at first intercourse, men and women aged 15-24 years Unit of Measure: Median age, disaggregated by gender	Implementing partner	DHS Special survey	5 years TBD	IR 8.1 team	Annual for R4, Portfolio review	IR 8.1 team

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				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
<p>Intermediate Results 8.2: Increased capacity to sustain Social Sector Services</p> <p>1. Market share of socially-marketed products</p>	<p>Definition: Proportion of total supply of selected products (condoms, OCPs, etc.) provided through social marketing</p>	Implementing partners	Survey Service statistics	Annual	IR 8.2 team	Annual for R4, Portfolio review	IR 8.2 team
<p>2. Funds allocated to social sector programs of target local governments that are expended (in fulfillment of minimum conditions) within the financial year</p>	<p>Unit of Measure: Percentage</p> <p>Definition: A funds utilization percentage derived for target local governments is an indication of how effectively target local governments are using funds which are transferred from the center. If local governments have idle resources in various accounts (whether due to capacity constraints, delays in the local tendering process, conditionalities attached to various grants, etc.), then these localities will find it difficult to access additional resources since future fiscal transfers are conditional on submission to line ministries of work plans, quarterly reports and cumulative reports covering financial and physical progress.</p> <p>Unit of Measurement: Percent of funds allocated from the center to target local governments which are expended within one financial year.</p>	Mo/PPHD USAID Economist SO9	Budget analysis District records	Annual	IR 8.2 team	Annual for R4, Portfolio review	IR 8.2 team
<p>3. Health insurance/prepayment plan coverage</p>	<p>Definition: Proportion of the population in target areas covered by health insurance and/or prepayment schemes.</p> <p>Unit of Measurement: Percentage</p>	Implementing partner	Quarterly reports Service statistics	Annual	IR 8.2 team	Annual for R4, Portfolio review	IR 8.2 team

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
Intermediate Results 8.2.1 Improved Decentralized Planning, Management & Monitoring Systems							
1. Social sector activities in District 3-year development plans that are implemented	Definition: The proportion of proposed education and health activities and programs identified in District development plans that are actually carried out.	Implementing partners SO9	Quarterly reports	Annual	IR 8.2 team IR 9.1 team	Annual for R4, Portfolio review	IR 8.2 team IR 9.1 team
2. Civil society monitoring	Unit of Measure: Percentage Definition: : PTAs/school committees/community health associations monitoring financial accountability at the District level	Implementing partners SO9	Quarterly reports	Annual	IR 8.2 team IR 9.1 team	Annual for R4, Portfolio review	IR 8.2 team IR 9.1 team
3. Health and education subdistricts with approved strategic plans and workplans	Unit of Measure: Number Definition: The proportion of health and education subdistricts that meet the Local Governments Act requirement of operating according to approved strategic plans and workplans	Implementing partners SO9	Quarterly reports Special Studies	Annual	IR 8.2 team IR 9.1 team	Annual for R4, Portfolio review	IR 8.2 team IR 9.1 team
	Unit of Measurement: Percentage						

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		AN
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	
Intermediate Results 8.2.2: Increased Private Sector role in Services Delivery						
1. Private sector share of health and education service delivery	<p>Definition: The proportion of services delivered by the private sector, by type of service (family planning, primary education, etc.)</p> <p>Unit of Measure: Percentage</p>	Implementing partner	Survey	Annual	IR 8.2 team	Annual Portfolio review
2. Minimum quality standards for private sector services/facilities	<p>Definition: Minimum performance and quality criteria developed with specific reference to private sector service providers (nursery schools, private midwives).</p> <p>Unit of Measure: Criteria established</p>	Implementing partners	Quarterly reports	Annual	IR 8.2 team	Annual for R4, Portfolio review
					for R4, IR 8.2 team	IR 8.2 team Mission economist

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
Intermediate Results 8.3 Strengthened Enabling Environment for Social Sector Services							
1. Targeted laws and policies modified through private sector and GoU consultative processes	<p>Definition: Number of targeted laws and policies that are developed or modified as a result of consultative processes. Illustrative policies include:</p> <ol style="list-style-type: none"> 1. OVC 2. Anti-Retroviral drugs 3. OI drugs 4. Primary school promotion policy 5. RH/BIY/AIDS education in schools 6. Recruitment/procurement 7. National population policy 	MOHS MOH Implementing partners	Policy analysis Framework Quarterly reports Special studies	Annual	IR 8.3 team	Annual for R4, Portfolio review	IR 8.3 team
2. Parliamentary sessional committees and working groups that address social sector issues	<p>Unit of Measure: Number</p> <p>Definition: Committees and working groups established by Parliament, both formal and informal, that focus on particular social sector issues. Illustrative bodies include the reproductive health working group, etc.</p>	Implementing partner SO9	Quarterly reports	Annual	IR 8.3 team	Annual for R4, Portfolio review	IR 8.3 team
Unit of Measure: Number							

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
Intermediate Results 8.3.1 Increased Community Participation and Advocacy							
1. Target CSOs with advocacy agendas	Definition: Number of targeted CSOs/NGOs that have developed specific lobbying/advocacy agendas on social sector issues Unit of Measure: number	Implementing partner	Survey Special reports	Annual	IR 8.3 team	Annual for R4, Portfolio review	IR 8.3 team
2. Target CSOs implementing advocacy campaigns	Definition: Number of targeted NGOs/CSOs that implement advocacy campaigns on the basis of their advocacy agendas Unit of measure: Number	Implementing partner	Survey Special reports	Annual	IR 8.3 team	Annual for R4, Portfolio review	IR 8.3 team

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
Intermediate Results 8.3.2 Effective Sectoral Policies Implemented 1. Policy Environment Score (PES)	Definition: TRID	Implementing partner	Survey	Annual	IR 8.3 team	Annual for R4, Portfolio review	IR 8.3 team
Unit of Measurement:							

Data Limitations:
 Questionable quality of some data and lack of means for verifications
 Data not disaggregated by gender and disadvantaged group
 Incompatible sources of data like DHS, HHS, routine data, Sentinel sites, coverage surveys.
 Non-comparable methods of data collection and analysis

Performance Monitoring Plan: SO 9 and Key Intermediate Results

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
Strategic Objective : More effective and participatory governance							
1. Financial resources released to local governments as grants	<i>Definition:</i> Channelling finances from the central government to local governments occurs through various systems of transfer. Adequate and timely financial devolution through fiscal transfers is one indication of the effectiveness of governance. Baseline transfer figures for the Ugandan fiscal year 2000/01 included the following (in Uganda shillings) grant transfers: Unconditional grants = 79.1 billion (bn); Conditional grants-recurrent (PAP and non-PAP) = 321.3 bn; Conditional grants-development (PAP capital grants, the PAP District Development Grant and LGDP) = 107.8 bn; and Equalization grants = 4 bn. <i>Unit of Measurement:</i> Number and amount of grants released to districts (LCS) by the central government.	Ministry of Finance Planning and Economic Development's Poverty Action Fund (PAF) data	Data is collected by district and then aggregated for national figures.	Every four (4) months	SO9 team	Annually	SO 9 team
2. Number of ex-combatants reintegrated into communities	<i>Definition:</i> The number of returned abducted children, former rebel fighters and other war-displaced who return and are able to settle or resettle into local communities <i>Unit of Measurement:</i> Number	Implementing partners	Quarterly reports	Annual	SO9 team	Annually	SO9 team
3. CSOs making submissions in parliamentary committees hearings	<i>Definition:</i> Nature and interest area of CSOs participating in parliamentary committees and hearings to be determined. Determination of whether women and other marginalized groups' interests are being addressed in the submissions. <i>Unit of Measurement:</i> The number of CSOs making the submissions	CSO Reports Parliament committee reports	CSO Directory includes (400) organizations which address various issue areas. A base number of CSOs could be used (10% or 40, for example) and/or CSOs which focus on certain constituencies or policy issues could be used as a baseline.	Monthly compilation	SO9 team	Quarterly and Annual reporting	Contractor, SO9 team, Parliament, CSOs
4. Funds allocated to target local governments that are expended (in fulfillment of minimum conditions) within the financial year	<i>Definition:</i> A funds utilization percentage derived for target local governments is an indication of how effectively target local governments are using funds which are transferred from the center. <i>Unit of Measurement:</i> Percent of funds allocated from the center to target local governments which are expended within one financial year.	Ministry of Finance, Planning and Economic Development's Poverty Action Fund (PAF) data	Data is collected by district and then aggregated for national figures.	Every four (4) months	SO9 team	Annually	SO 9 team

PERFORMANCE INDICATOR	INDICATOR DEFINITION & UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				Schedule/Freq uency	By whom (Person/tea m)	Schedule/Freq uency	By whom (Person/tea m)
IR 9.1: Devolution and separation of powers strengthened							
1. Executive branch sponsored bills sponsored or rejected by Parliament	<i>Definition:</i> Proportion of executive branch sponsored bills reaching the floor for a vote that are substantially amended either in committee or before the full Parliament, or which are voted down by the full Parliament. <i>Unit of Measurement:</i> Percentage	Parliamentary Hansard (minutes) Parliament committee minutes	The minutes of parliamentary proceedings are compiled in the Hansard, the official record, which are available to the public and will be retrieved by the contractor	Annually	IR 9.1 team	Annually	Contractor,
2. Target local governments in compliance with the planning, budget and accounting requirements under the Local Government Act.	<i>Definition:</i> Local governments are required to conform to laws and regulations as provided for in the Local Government Act 1997, Local Governments Financial and Accounting Regulations 1998 and Local Governments Tender Boards Rules and Regulation. Assessment of target local governments' ability to exercise their responsibilities speaks to the issue of whether target local governments are utilizing the powers which have been devolved. The assessment process has been conducted annually, beginning in 1999 in order to ascertain local government performance. In the year 2000, 52 local governments were assessed. The following areas were assessed: functional capacity for development planning; staffing and capacity building; mentoring and devolution; financial management; functional capacity in internal audit; functional capacity in engineering; co-financing; communication; operations; and maintenance. <i>Unit of Measure:</i> Performance assessment measure	Ministry of Local Government's Program Management Unit's Annual LGDP Local Government Assessment for Minimum Conditions and Financial Performance	Program Management Unit of the Ministry of Local Government conducts the assessment in the fall/winter of each year by traveling to the districts and compiling the information.	Annually	IR 9.1 team	Annually	IR 9.1 team

PERFORMANCE INDICATOR	INDICATOR DEFINITION & UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				Schedule/Frequency	By whom (Person/team)	Schedule/Frequency	By whom (Person/team)
IR 9.1.1: Increased local government service delivery capacity							
1. Specific commitments in District Development Plan met in target districts	<p><i>Definition:</i> The proportion of commitments to provide specific services, develop plans, etc. that are articulated in the 3-year District Development Plan that are completed or otherwise met.</p> <p><i>Unit of Measurement:</i> Met vs. total commitments</p>	Implementing partner	Examination of local council records	Half-yearly	IR 9.1 team	Annually	IR 9.1 team
2. Development projects jointly designed by local governments and CSOs in target areas	<p><i>Definition:</i> Nature and interest of CSOs participating in the design to be determined and whether women and other marginalized groups' interests are taken into account.</p> <p><i>Unit of Measurement</i> # of local governments in target areas which involve at least (X) CSOs in project design</p>	Implementing partner	Examination of records of planning offices on the local government planning processes and type, # and degree of involvement of CSOs Examination of CSO and NGO reports	Yearly, beginning Year 2	IR 9.1 team	Annually	IR 9.1 team

PERFORMANCE INDICATOR	INDICATOR DEFINITION & UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				Schedule/Freq uency	By whom (Person/tea m)	Schedule/Freq uency	By whom (Person/tea m)
IR 9.1.2: Civil society capacity to influence local and national decisions increased							
1. Target CSOs with a legislative agenda	<p><i>Definition:</i> Target CSOs that have developed a specific written agenda for legislation that they wish to see passed by Parliament.</p> <p><i>Unit of Measurement:</i> Percentage of target CSOs</p>	Select CSOs	<p>Focus groups with select CSOs*</p> <p>*It should be noted that progress on this indicator will take place in stages, with this indicator being illustrative of the first milestone (IR 9.1.2 #1) to be achieved in order for the next milestone (IR 9.1.2 #2, below) to be a reliable indication of progress.</p>	Quarterly	IR 9.1 team	Yearly	Contractor, CSOs, IR 9.1 team
2. Target CSO legislative action items accomplished	<p><i>Definition:</i> The proportion of specific, written legislative agenda items of target CSOs that are included in bills passed by Parliament and enacted into law</p> <p><i>Unit of Measurement:</i> Percentage of agenda items</p>	Select CSOs	<p>1. Focus groups with select CSOs;</p> <p>2. Attendance at select committee hearings/meetings</p> <p>3. Attendance at plenary sessions</p> <p>See above note (*)</p>	Yearly, beginning Year 2	IR 9.1 team	Yearly	Contractor, CSOs, IR 9.1 team

PERFORMANCE INDICATOR	INDICATOR DEFINITION & UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				Schedule/Freq uency	By whom (Person/team)		
IR 9.1.3: Legislative capacity to influence national policy and budget policies enhanced							
1. Parliamentary committees that request data and information on budget matters from the Parliamentary Budget Office and the Parliamentary Research Service	<p><i>Definitions:</i> Percentage of standing and sessional committees in Parliament requesting such information</p> <p><i>Unit of Measurement:</i> percentage of committees</p>	<p>Parliamentary Budget Office (PBO)</p> <p>Parliamentary Research Service (PRS)</p>	<p>The PBO and the PRS are support offices to the Parliament. The PRS regularly tracks inquiries from Parliamentarians in order to assign tasks to the Parliament research staff. The PBO is also responsible for responding to Parliament budget questions.</p>	Quarterly compilation	IR 9.1 team	Quarterly and yearly reporting	Contractor, Parliament Budget and Economics Committees, IR 9.1 team
2. Parliamentary committee meetings to which CSOs are invited in advance	<p><i>Definitions:</i> Proportion of budget Parliamentary committee meetings on budget and policy matters with pre-arranged civil society participation.</p> <p><i>Unit of Measurement:</i> Percentage of meetings</p>	<p>Household record of meeting dates</p> <p>Clerk of Parliament records</p>	<p>A review of the records of dates of public and legislative notices of meetings and dates of holding of meetings and consultations. Interviews can be used to confirm dates</p>	Quarterly compilation	IR 9.1 team	Quarterly and yearly reporting	Contractor, Parl. Commission, IR 9.1 team

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/ APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)	SCHEDULE/ FREQUENCY	BY WHOM (PERSON/ TEAM)
IR 9.2: Conflict Mitigated and Reduced							
1. Participatory dialogue agenda	<i>Definition:</i> Civil society organizations and community leaders in conflicted areas jointly develop agendas for dialogue on peace and reconciliation issues. <i>Unit of Measurement:</i> Numerical Score	Contractor data, ACDI/VOCA, survey on dietary diversity	Data will be collected by grantees and contractors and ACDI/VOCA survey data collection will be utilized	Quarterly reports from contractors, ACDI/VOCA Annual Report	IR9.2 team	Annual	IR9.2 team
2. USAID funded development activities being implemented successfully in target areas	<i>Definition:</i> Number of income generating, agricultural, micro-finance, farmite early warning, environmental, education, population, health, HIV/AIDS, decentralization and psychosocial support activities <i>Unit of Measurement:</i> Number of activities undertaken by USAID partners using DAVESB/CSD/BHR resources	SOT, 8, 9	Implementing partners to disaggregate activity data by conflict prone (as defined by Mission) and other areas	Annual	IR9.2 team	Annual	IR9.2 team

PERFORMANCE INDICATOR	INDICATOR DEFINITION & UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING	
				Schedule/Frequency	By whom (Person/team)	Schedule/Frequency	By whom (Person/team)
IR 9.2.1: Participatory Dialogue on Reducing Conflict Enhanced							
1. Number of dialogue engagements held	<p><i>Definitions:</i> Number of formal meetings involving at a minimum CSOs, community leaders and members</p> <p><i>Unit of Measurement:</i> Number</p>	Communities through implementing partners	Partner records and reports	Quarterly	IR9.2 team	Annually	IR9.2 team
2. Number of action items from dialogue agenda resolved or implemented	<p><i>Definitions:</i> Specific action items from participatory dialogue agendas that are discussed and resolved or implemented in dialogue engagements.</p> <p><i>Unit of Measurement:</i> Number</p>	Communities through implementing partners	Partner records and reports	Annual	SOR team	Annual	IR9.2 team
3. Number of representative peace building groups formalized	<p><i>Definitions:</i> The number of new CSOs formed to carry out peace building or reintegration efforts</p> <p><i>Unit of Measurement:</i> number</p>	Communities through implementing partners	Partner records and reports	Quarterly	IR9.2 team	Quarterly feedback to partners	IR9.2 team

PERFORMANCE INDICATOR	INDICATOR DEFINITION & UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION OR CALCULATION	DATA ACQUISITION BY MISSION		ANALYSIS, USE AND REPORTING		
				Schedule/Freq	By whom (Person/teams)	Schedule/Freq	By whom (Person/teams)	
IR 9.2.2: Mitigation of Human Impact								
1. Communities in target areas with reconciliation programs	<i>Definition:</i> Communities that have received training or technical assistance in traditional and non-traditional reconciliation methods and have established programs. <i>Unit of Measure:</i> Number of communities	Implementing partners	Quarterly reports	Quarterly	IR9.2 team	Quarterly feedback to partners & annually -R4	IR9.2 team	
2. Formerly abducted girls and boys in school or vocational training	<i>Definition:</i> Percentage of formerly abducted boys and girls who return to their communities and are enrolled in formal schools or vocational training programs <i>Unit of Measure:</i> Percentage of girls and boys attending, with some measure of retention and successful completion	Implementing partners	School, NGO & vocational institutions records	Quarterly	IR9.2 team	Annual R4	IR9.2 team	
3. Amount of employment and income generated through USAID funded activities in post-conflict areas	<i>Definition:</i> Number of jobs created and total amount of income earned by local people as a direct result of USAID activities <i>Unit of Measure:</i> Jobs: Number Income: Total dollar amount	Implementing partners	Quarterly reports, activity accounts	Quarterly	IR9.2 team	Quarterly feedback to partners & annually - R4	IR9.2 team	

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- 4 MTEF
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- 11 Food security assessment
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- 13 Food security assessment
- 14 BIOFOR
- 15 Food security assessment
- 16 BIOFOR
- 17 IFPRI
- 18 IFDC
- 19 Food security assessment, UNHS
- 20 BOU and Food security assessment
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- 22 Food security assessment
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- 24 AIMS study
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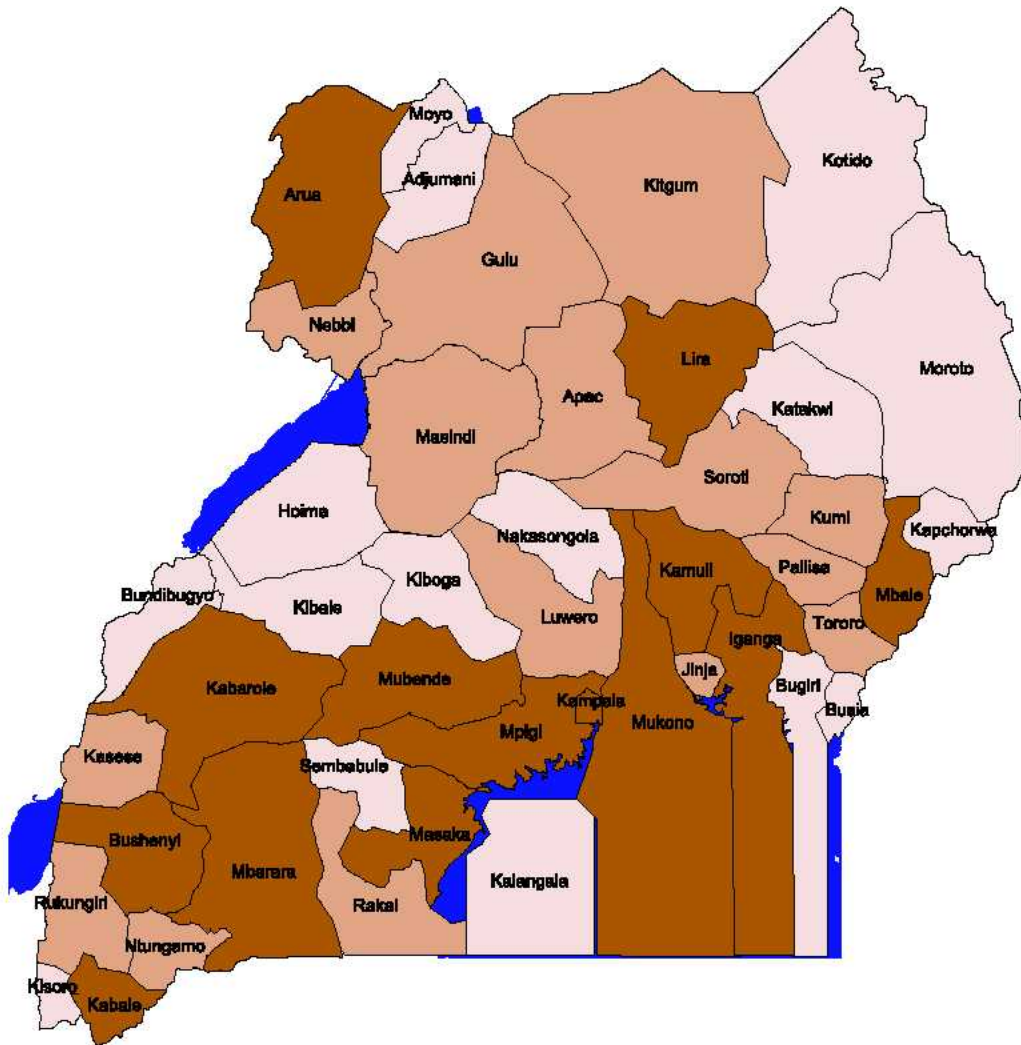
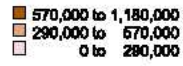
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MAPS

1**UGANDA'S POPULATION BY DISTRICT****2****AVERAGE MONTHLY EXPENDITURE BY REGION****3****HUMANITARIAN NEEDS OF UGANDAN DISTRICTS****4****CURRENT USAID ASSISTANCE TO UGANDA BY DISTRICT****5****USAID / UGANDA'S FUTURE FOCUS**

Uganda's Population by District

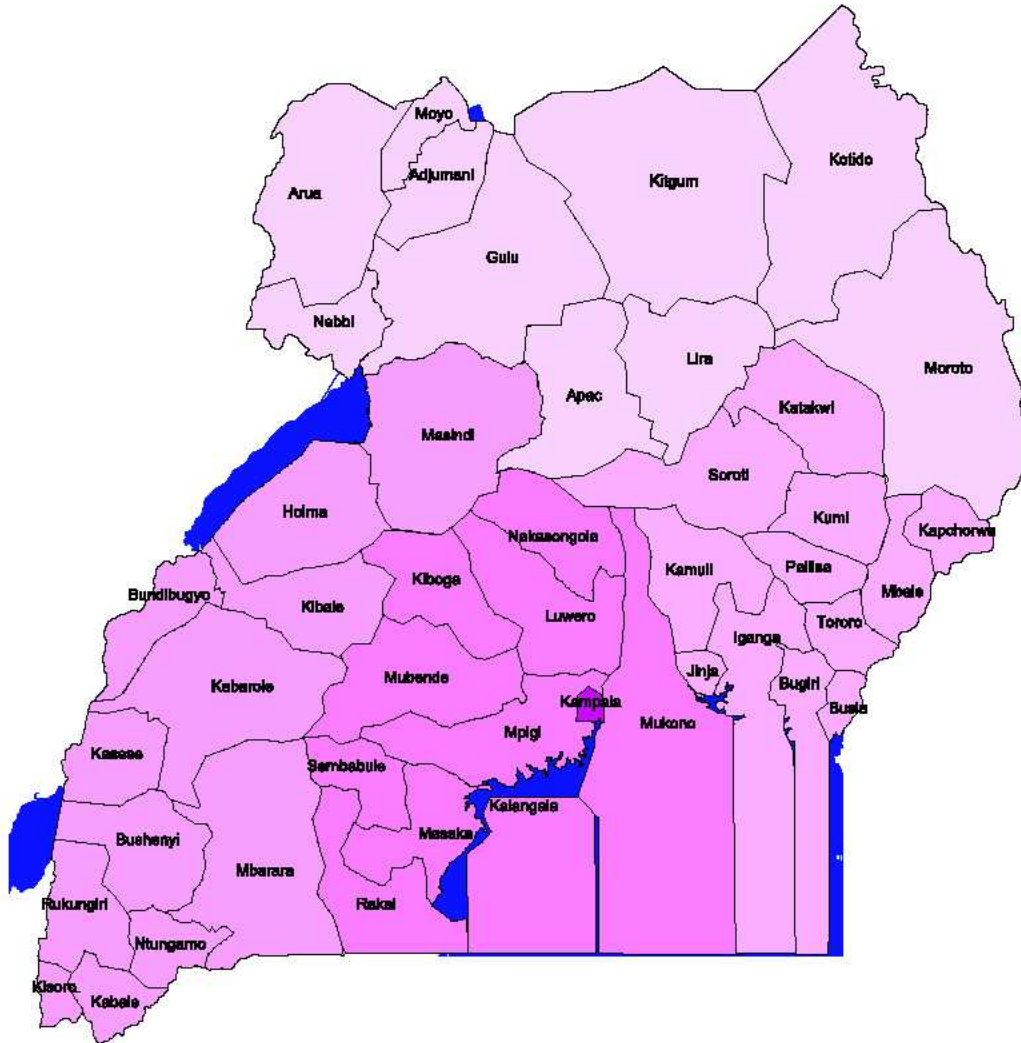
(Uganda Bureau of Statistics)



Average Monthly Expenditure by Region

(Uganda Bureau of Statistics: Uganda National Household Survey 1999/2000)

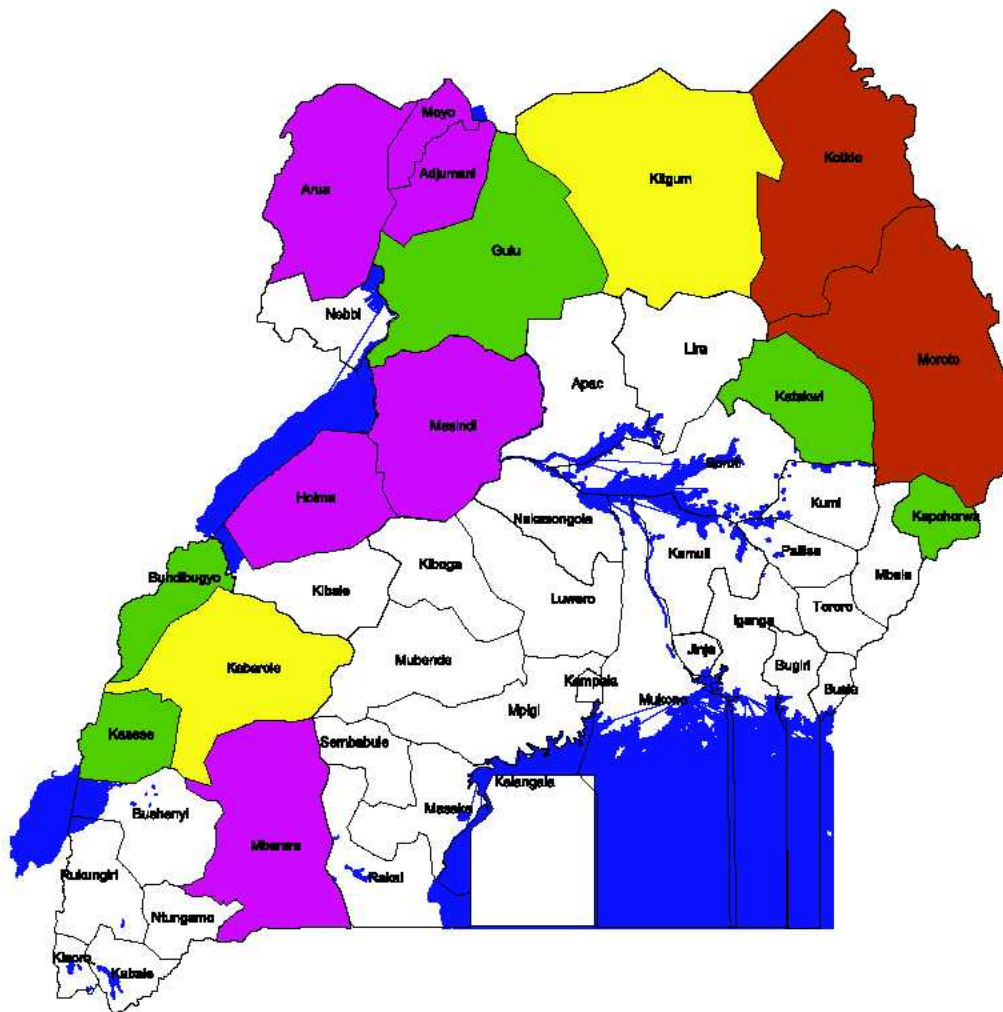
- Kampala 354,500
- Central 159,400
- Western 140,800
- Eastern 120,400
- Northern 72,700



Humanitarian Needs Of Ugandan Districts

(Humanitarian Update - Uganda, UN-OCHA Report for March 2001)

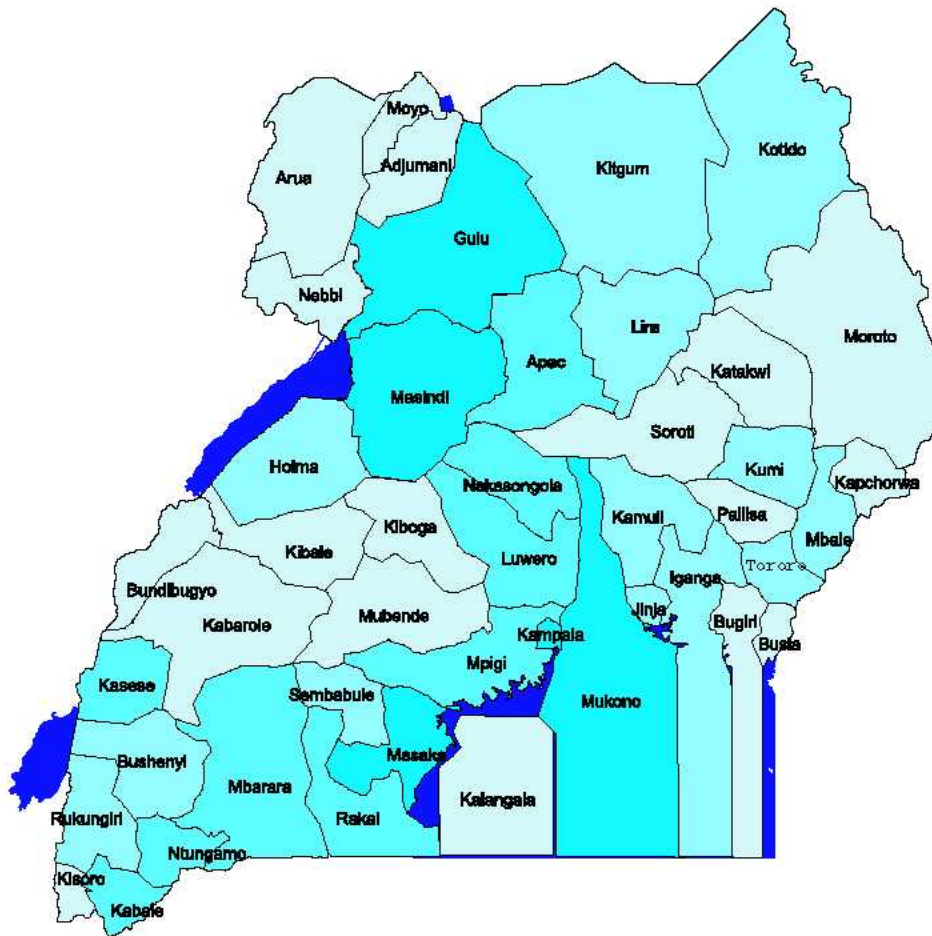
- Drought
- IDPs
- IDPs/Refugees
- Refugees



Current USAID Assistance To Uganda by District

- 11 to 15 USAID Activities In the District
- 8 to 11 USAID Activities In the District
- 5 to 8 USAID Activities In the District
- 1 to 5 USAID Activities In the District

(Note: This map does not include national activities - social marketing, Uganda Private Midwives Association, Parliament and Education. These constituted approximately 24% of the FY00 obligations.)



USAID/Uganda's Future Focus

- Region where SO7, SO8 and SO9 will be present
- Region where two of the future SOs will be present
- Region where one of the future SOs will be present

