



The Implementation of Social Protection: Realising NDP Commitments

2010/11 - 2012/13

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This report is also available on our website at: **www.socialprotection.go.ug**

Views expressed in this report are not necessarily those of the Expanding Social Protection Programme, Ministry of Gender, Labour and Social Development or their partners.

FOREWORD

Social protection is now a well-embedded concept within development discourse as one of the means of addressing risk, poverty and vulnerability. While eliminating poverty remains a core objective of development among policy makers and practitioners, the new realities of rapid economic, social and environmental change have brought with them intensified forms of risk and vulnerability as well as inequalities and exclusions that have left millions of people worldwide exposed to insecurity. This holds particularly true in the Ugandan context, where despite commendable strides in reducing national poverty rates, a substantial proportion of the population remains poor, or vulnerable to falling into poverty.

In response to this, the Government of Uganda developed a five year National Development Plan (NDP) 2010/2011 to 2014/15, under the leadership of the National Planning Authority, as the national planning framework. The National Development Plan (NDP) is the Government of Uganda's five-year plan for attaining "Growth, Employment and Socio-economic Transformation for Prosperity." It sets out the binding constraints that have inhibited progress towards this overarching goal, as well as clear national and sector-wide objectives for overcoming these constraints. "Expanding social protection measures to reduce vulnerability" has been clearly stated as an objective within the NDP, and is seen as a critical input to reducing poverty and inequality at a national scale. This report presents findings on how effective social protection issues were addressed during the NDP implementation period. The findings of this report will also inform the overall mid-term review of the NDP.

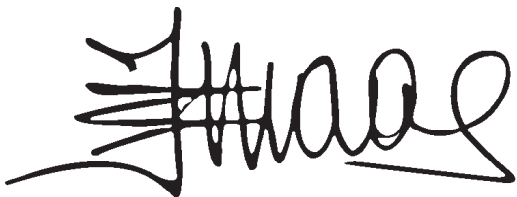
It is important to note that social protection commitments have been mainstreamed within national budgets and sector plans. Social protection under this sector carries a specific vote function to which resources are allocated annually. However, actual resources allocated do not fall in line with achieving these outputs and outcomes over the NDP period. Resources allocated to "social protection and vulnerable groups" have been inadequate and dwindling over the NDP period. As compared to all of the other sectors, the SDS is allocated the least resources, which impacts on its ability to meet social protection targets. Regardless, progress and achievements have been made towards social protection related interventions.

We note that apart from Social Development, social protection has manifested itself across other sectors. In Agriculture, the objective of enhancing agricultural production and productivity has been addressed through national public works programs such as ARLEP, KALIP, and NUSAF II – implemented and managed through the Office of the Prime Minister. In Labour and Employment, the provision of Worker's Compensation is addressed; and finally, in Education and World Food Program addresses the objective of Increased access and equity of primary education for girls and boys.

Various challenges have however hindered progress towards realizing social protection objectives and these include among others; the fact that social

protection is not nationally prioritized. The national focus is upon economic growth and national production as reflected in the NDP. The heavy reliance on donor funding and limited national financial commitment raises concerns over the sustainability of existing social protection interventions. In addition, there has been a lack of consultation with districts in identifying national priorities, and aligning district experiences with the NDP.

As policy makers and implementers as well as a ministry in charge of social development, we need to take the short and long term recommendations put forward by this study seriously if we are to achieve effective planning towards a harmonised and well implemented social protection sector.

A handwritten signature in black ink, appearing to read 'Pius Bigirimana', with a stylized, cursive script.

Pius Bigirimana
Permanent Secretary

Acknowledgements

The research team wishes to thank members of the Social Protection Technical Group from National Planning Authority, Ministry of Gender, Labour and Social Development for invaluable input into the design of the tools. Special thanks also go Bernard Sabiti, Phiona Sanyu, and Charles Male for facilitating data collection at field level, and to Francis Fuller Bbosa for the statistical analysis that has greatly informed this report. To all the people we interviewed at national level and during district consultations, we say thank you as production of this report could not have been possible without your input.

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Sincerely

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Executive Summary

Social protection is now a well-embedded concept within development discourse. Whilst eliminating poverty remains a core objective of development policy makers and practitioners, the new realities of rapid economic, social and environmental change, bringing with them intensified forms of risk and vulnerability and more entrenched inequalities and exclusions, have left millions of people worldwide exposed to insecurity (Kabeer and Cooke, 2010). This holds particularly true in the Ugandan context, where despite commendable strides in reducing national poverty rates, a substantial portion of the population remain poor, or vulnerable to falling into poverty.

In response to this, the Government of Uganda developed a five year National Development Plan (NDP) 2010/2011 to 2014/15, under the leadership of the National Planning Authority, as the national planning framework. In line with this, the National Development Plan (NDP) has been the Government of Uganda's five-year 'blueprint' (from 2010-2015) for attaining "Growth, Employment and Socio-economic Transformation for Prosperity." It sets out the binding constraints that have inhibited progress towards this overarching goal, as well as clear national and sector-wide objectives for overcoming these constraints. "Expanding social protection measures to reduce vulnerability" has been clearly stated as an objective within the NDP, and is seen as a critical input to reducing poverty and inequality at a national scale. The purpose of this study is to understand how effectively social protection issues were addressed during the NDP implementation period. It is one of several cross-cutting studies that will feed into the overall mid-term review of the NDP, which is currently being conducted.

Uganda's social protection system plays a critical role in the socio-economic transformation of the country – particularly in enabling countries to attain middle income status. It can be seen as framed around lifecycle risks and vulnerabilities, with support offered to vulnerable citizens at the stages where they are most vulnerable. In this vein, the NDP's social protection related objectives, strategies, and interventions can also be seen as coinciding within the lifecycle, and the different stages of vulnerability: birth, school age, youth, working age, old age, with covariant shocks cutting across the lifecycle. Concerted efforts have been made over the past decade to formalize social protection in Uganda, with a goal to to reduce extreme poverty, risks and vulnerability for socio-economic transformation. This goal is operationalized through the following categories: Social security (which includes direct income support and social insurance); social care services; and complementary services.

The National Planning Authority has addressed this goal through various sectors and sub-sectors within the NDP. Specifically, the remit of social protection is addressed within the Social Development Sector through the following multi-sectoral strategy (as discussed in Chapter 3):

Diversify and provide comprehensive social protection measures for the different categories of the population

Social protection commitments have also been mainstreamed within national budgets and sector plans. Social protection under this sector carries a specific vote function to which resources are allocated annually. However, actual resources allocated do not fall in line with achieving these outputs and outcomes over the NDP period. Resources allocated to "social protection and vulnerable groups" have been inadequate and dwindling over the NDP period. As compared to all of the other sectors,

the SDS is allocated the fewest resources, which impacts on their ability to meet social protection targets. Regardless, progress and achievements have been made towards social protection related interventions.

Apart from Social Development, social protection has manifested itself across other sectors. In Agriculture, the objective of 'enhancing agricultural production and productivity' has been addressed through national public works programs – ARLEP, KALIP, and NUSAF II – implemented and managed through the Office of the Prime Minister. In Labour and Employment, the provision of Worker's Compensation is addressed; and finally, in Education and Sports, we discuss the World Food Program and how it addresses the objective of "Increased access and equity of primary education for girls and boys."

Through the process of conducting this review, the team has identified a number of challenges that have impeded the progress towards realizing social protection objectives. Firstly, social protection is not nationally prioritized. The national focus is upon economic growth and national production - as reflected in the NDP, budget allocations, and consultations with various ministries – with social development on the fringes. Secondly, the heavy reliance upon donor funding and limited national financial commitment raises concerns over the sustainability of existing social protection interventions. Thirdly, there has been a lack of consultation with districts in identifying national priorities, and aligning district experiences with the NDP. Fourthly, there is a multiplicity of social protection related policies, without implementation plans and budgets associated. Fifthly, there are numerous small programs implemented by various organizations with minimal outreach. And lastly, the draft national Social Protection Policy Framework is still in draft form, and therefore has not able to provide the strategic direction necessary.

As NPA moves towards the second National Development Plan, the team have put forward some key recommendations for more effective planning towards a harmonized and well-implemented social protection sector, which are divided by short-term recommendations (those to be implemented in the remainder of this NDP period) and long-term recommendations (proposed for the next version of the NDP).

Acronyms

ABPR	Annual Budget Performance Report
CDO	Community Development Officer
CHIS	Community Health Insurance Scheme
CIS	Community Information System
CSO	Civil Society Organization
DEO	District Education Officer
DFID	Department for International Development
DPO	Disabled People's Organization
ESP	Expanding Social Protection
FAL	Functional Adult Literacy
HIV/AIDS	
ICT	Information Communication Technology
LOGICS	Local Government Information and Communication System
MoA	Ministry of Agriculture
MDA	Ministries Departments and Agencies
MDG	Millennium Development Goals
MFPED	Ministry of Finance Planning and Economic Development
MGLSD	Ministry of Gender Labour and Social Development
MoES	Ministry of Education and Sports
MoH	Ministry of Health
MTEF	Medium term expenditure framework
NAADS	National Agricultural Advisory Services
NDP	National Development Plan
NDR	National Development Report
NGO	Non Government Organisation
NPA	National Planning Authority
OECD	Organisation for Economic Cooperation and Development
OVC	Orphans and Vulnerable Children
PCHIS	Private Commercial Health Insurance Scheme
PER	Public Expenditure Review
PRDP	Peace and Recovery Development Programme
PTA	Parents Teachers Association
SCG	Senior Citizens Grant
SGBV	Sexual and Gender Based Violence
SHIS	Social Health Insurance Scheme
SMC	School Management Committee
TPHA	Third Party Health Administrators
UBOS	Uganda Bureau of Statistics
UN	United Nations
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Education Fund
UNMHCP	Uganda National Minimum Health Care Package
UPE	Universal Primary Education
VFG	Vulnerable Family Grant
WFP	World Food Programme

TABLE OF CONTENTS

ACKNOWLEDGEMENTS	v
EXECUTIVE SUMMARY	vi
TABLE OF CONTENTS	ix
1. INTRODUCTION	1
1.1 BACKGROUND	1
1.2 OBJECTIVES OF THE NDP SOCIAL PROTECTION REVIEW	3
1.3 METHODOLOGY	3
1.3.1 INCEPTION PHASE	4
1.3.2 CONTENT ANALYSIS	4
1.3.3 FIELD DATA COLLECTION (NATIONAL AND DISTRICT)	5
1.3.4 ANALYSIS AND REPORT WRITING	5
1.4 STUDY LIMITATIONS	6
1.5 A CONCEPTUAL FRAMEWORK FOR ANALYSIS	6
2. POVERTY, INEQUALITY AND VULNERABILITY IN UGANDA	7
2.1 POVERTY AND INEQUALITY	7
2.2 VULNERABILITY ACROSS THE LIFECYCLE	8
3. THE SOCIAL PROTECTION SYSTEM IN UGANDA	11
3.1 THE EVOLUTION OF SOCIAL PROTECTION	11
3.2 VISION AND GOAL	12
3.3 EXPANDING SOCIAL PROTECTION	13
4. THE NATIONAL DEVELOPMENT PLAN AND SOCIAL PROTECTION	13
4.1 DESCRIPTION OF THE NATIONAL DEVELOPMENT PLAN	13
4.2 SOCIAL PROTECTION WITHIN THE NATIONAL DEVELOPMENT PLAN	15
5. OPERATIONALISING SOCIAL PROTECTION COMMITMENTS IN THE NDP	20
5.1 SOCIAL DEVELOPMENT SECTOR	20
5.1.1 BUDGET ANALYSIS AND PLANNING	20
5.1.2 IMPLEMENTATION OF INTERVENTIONS	25

DIRECT INCOME SUPPORT	33
SOCIAL INSURANCE	37
SOCIAL CARE SERVICES	45
5.2 AGRICULTURE SECTOR	41
5.2.1 BUDGET ANALYSIS AND PLANNING	41
5.2.2 IMPLEMENTATION OF INTERVENTIONS	42
5.3 LABOUR AND EMPLOYMENT	44
5.3.1 BUDGET ANALYSIS AND PLANNING	44
5.3.2 IMPLEMENTATION OF INTERVENTIONS	47
5.4 EDUCATION AND SPORTS	48
5.4.1 BUDGETING AND PLANNING	48
5.4.2 IMPLEMENTATION OF INTERVENTIONS	49
5.5 PUBLIC SECTOR MANAGEMENT	51
6. CONCLUSION	52
6.1 SUMMARY OF KEY POINTS FOR THE NDP MIDTERM REVIEW	52
6.2 CHALLENGES AND LESSONS LEARNT	53
6.2.1 PLANNING AND STRATEGY CHALLENGES	54
6.2.2 IMPLEMENTATION CHALLENGES	55
6.3. RECOMMENDATIONS	56
6.3.1 SHORT-TERM RECOMMENDATIONS	56
6.3.2 LONG-TERM RECOMMENDATIONS	60
PLANNING	60
IMPLEMENTATION OF INTERVENTIONS	62
ANNEX A: TERMS OF REFERENCE	64
ANNEX B: CONSULTATION RECORD	70
ANNEX C: RESULTS MATRIX FOR SOCIAL PROTECTION	72
REFERENCES	74

1 INTRODUCTION

1.1 Background

Social protection is now a well-embedded concept within development discourse. Whilst eliminating poverty remains a core objective of development policy makers and practitioners, the new realities of rapid economic, social and environmental change, bringing with them intensified forms of risk and vulnerability and more entrenched inequalities and exclusions, have left millions of people worldwide exposed to insecurity (Kabeer and Cooke, 2010).

This holds particularly true in the Ugandan context, where despite commendable strides in reducing national poverty rates, a substantial portion of the population remain poor, or vulnerable to falling into poverty. Literature highlights that, regardless of which poverty measures are used, poverty rates are shown to have decreased from 31% in 2005/6 to 24.5% in 2009/10 (Wylde, et al 2012). However, over 7.5 million people still live in extreme poverty (ibid), and a substantial proportion of the population remain poor or vulnerable to falling into poverty. Even among those living above the poverty line, 43 per cent of the population – or 13 million people - have dangerously low consumption levels and face an eminent danger of falling into poverty at any time (Wylde, et al 2012).

The reasons behind this are complex and multi-faceted, although contributing factors are high population growth (which has exceeded the rate of poverty reduction); the breaking down of traditional care systems and the 'informal social protection' infrastructure; and, notably, three decades of the world's worst and most protracted conflict, which has left millions of families in the North of Uganda without assets and trapped in vicious cycle of intergenerational poverty (Gelsdorf, et al 2012).

The Poverty Status Report (2012) affirms the critical importance of tackling vulnerability to safeguard the gains made in achieving social and economic transformation. In this regard, the Government of Uganda has made firm commitments to establishing a comprehensive social protection system that will provide its citizens with a minimum level of social and economic support. This is intended to both protect citizens from falling into chronic poverty and vulnerability, as well as promote opportunities for human development and economic growth.

In 2010, the Government of Uganda developed a five year National Development Plan (NDP) 2010/2011 to 2014/15, under the leadership of the National Planning Authority, as the national planning framework. In line with this, the National Development Plan (NDP) has been the Government of Uganda's five-year 'blueprint' (from 2010-2015) for attaining "Growth, Employment and Socio-economic Transformation for Prosperity." The role of social protection is alluded to in the following sections of the NDP:

- In section 2.2.1, "weak Public Sector Management and administration," is mentioned as one of the binding constraints, which inhibits the GoU's capacity to effectively implement social protection measures;
- In Section 3.2, the NDP objectives call for growth with equity which is the key role of SP;
- Under 3.2, it mentions that additional policies for transformation and social protection need to be targeted at the welfare of those unable to work or who lack basic resources";
- Social protection contributes to attainment of NDP objective (a), which pertains to increasing household incomes and promoting equity

- The role of social protection is further highlighted in the NDP under the principles of the plan, e.g. to promote social equity with harmony.
- Furthermore, pages 275 to 285 in the NDP define the role of social protection, and why it is needed in the Ugandan context.

It sets out the binding constraints (further discussed in Section 4.1 of the report) that have inhibited progress towards this overarching goal, as well as clear national and sector-wide objectives for overcoming these constraints. “Expanding social protection measures to reduce vulnerability” has been clearly stated as an objective within the NDP, and is seen as a critical input to reducing poverty and inequality at a national scale.

Given this objective, the purpose of this study is to understand how effectively social protection issues were addressed during the NDP implementation period. It is one of several cross-cutting studies that will feed into the overall mid-term review of the NDP, which is currently being conducted.

This paper draws upon the following categories and definitions of social protection (see Table 1):

Table 1: Social Protection categories, as recognized by the GOU

Category	Definition	Sample interventions
Direct Income Support/ social transfers	Regular and predictable transfers in cash or in kind to poor and vulnerable households and individuals	Senior Citizens Grants & Vulnerable Family Grants (SAGE); PRRO; NUSAF, ALREP and KALIP
Social Insurance	Provides income support on the basis of previous individual and / or employer contributions	NSSF, Public Service Pension Scheme, Workers Compensation
Social care services	Social care services are community based services that provide varying forms of support to vulnerable groups. The type of social care services currently provided fall into a few main categories: programmes for the elderly and persons with disabilities, including support of community- based care and formal institutions; programmes for children include institutions and community-based support for OVCs; finally, there are a number of programmes focused on sexual and gender-based violence (SGBV) including institutions and community-based psycho-social care and support. The Community Development Officers (CDOs) and staff in districts and sub-counties undertake a wide range of work to support and mobilise community-based support for vulnerable groups (including women, children, the elderly, and people with disabilities).	Community based rehabilitation; Disability and Elderly Programme; Youth and Children's Affairs Programmes
Complementary Interventions	Services which enable families and individuals who are excluded from accessing basic government services to overcome the economic barriers to accessing these services. Several of the activities under the OVC programme are likely to be relevant for the complementary category	WFP Karamoja Early Childhood Development Programme

There are a few qualifications to this study that should be stated early on. Firstly, this version of the NDP took a much broader, 'cross-cutting' definition of social protection, and hence did not define interventions according to these categories. A narrower definition and classification of social protection were developed after the NDP was published, and should help to guide the next version of the NDP.

Secondly, other popular global social protection strategies often design their interventions around the life-cycle, which often includes support to pregnant and lactating mothers, a child benefit, youth unemployment interventions, etc. This version of the NDP did not incorporate a life-cycle approach to social protection, although the authors incorporated a life-cycle lens to the analysis for guiding the framing of interventions for the next version of the NDP.

Thirdly, the purpose of the study is not to conduct an evaluation of social protection programmes, but rather to use programmes as a means of understanding the extent to which social protection objectives, strategies and interventions have been implemented and operationalised.

1.2 Objectives of the NDP Social Protection Review

After two and half years of implementing the NDP, the National Planning Authority is in the process of undertaking a Mid-Term Review, with the aim of assessing performance against "intended objectives, targets and desired results towards socio-economic transformation". To inform this process, the National Planning Authority, with support from the MGLSD, commissioned this review to investigate the extent to which social protection issues were addressed during NDP implementation. This study is one of the many sectoral studies/assessments being conducted to inform the review of the NDP.

The scope of the report is structured around the following main themes:

- Introduction to the report, including methodology and conceptual framework utilised
- Background on vulnerability and social protection in Uganda (referencing the life-cycle and the evolution of formal social protection in Uganda);
- Main findings, which analyse how social protection objectives have been translated into sector priorities, financial commitments, and implemented as programs
- Conclusion, challenges are identified, and key recommendations for both the current, and next phase of the NDP, are presented

The specific objectives of the report are as follows:

1. Establish the extent to which social protection issues have been addressed in the planning and budgeting processes in sectors and local governments.
2. Identify the extent to which social protection issues/concerns were addressed in the implementation of projects/programmes at national and local government levels
3. Identify the gaps, emerging issues and lessons learnt to inform the remaining NDP implementation and the next NDP.
4. Make recommendations for how the social protection objectives in the NDP can be attained in the next phase of implementation

The full terms of reference for the study can be found in Annex A.

1.3 Methodology

This report is based heavily on content analysis of national documentation, consultations with key officials at key ministries implementing social protection, and district level field visits for further consultation and understanding of implementation.

The following criteria were used in the selection of districts:

- Regional balance - districts were purposively selected from six major regions in order to gain a balanced understanding of social protection issues and concerns around planning and implementation. The districts represented the North, South, West, Central, Eastern and Karamoja.
- Adequate representation of SAGE - Two districts (Kyegegwa in the South, and Nebbi in the North) have been purposively selected because they are the oldest districts where SAGE was implemented
- Random selection - The other four districts were randomly selected (within each region) to ensure neutrality

Table 2: Study districts

REGION	District	Rationale for selection
Northern	Nebbi	Purposively selected
Western	Rukungiri	Randomly selected
Southern	Kyegegwa	Purposively selected
Eastern	Jinja	Randomly selected
Karamoja	Napak	Randomly selected
Central	Rakai	Randomly selected

The research team adopted a phased approach to the research:

1.3.1 Inception phase

The inception phase of the study involved the following activities:

- Reviewing background literature, including white papers and journal publications, to gain background understanding of the context and assignment. This includes:
 - Policy documents contained on the ESP website
 - Social protection publications relating to Uganda (e.g. assessments and reviews of cash transfers and public works), concept papers setting the context of social protection in Uganda
- Clarifying the scope of the assignment, as stated in the terms of reference
- Developing research methodology and data collection tools (discussed below)
- Deciding upon sample districts and programs to focus upon for the study
- Establishing a timetable and consultation record
- Completing and submitting an inception report, and PowerPoint presentation of the inception plan for NPA

1.3.2 Content analysis

As a part of this assignment, we undertook a thorough analysis of the following documents:

- National Development Plan
- Local government development plans
- Sector Development Plans, which include:
 - Agriculture
 - Health
 - Education
 - Social Development
- Medium term expenditure framework

- Budget framework papers for the various sectors to establish resource commitments towards social protection
- Local government development plans
- Local government budgets

The purpose of this analysis was to identify and document social protection concerns within objectives and strategies of the National Development Plan; Sector Strategy Papers and Priority Sector Investment Plans; National Budget Framework and Medium Term Expenditure Framework; Local Government Plans and Budgets. This enabled us to corroborate between commitments made in the literature, and actual operationalization of social protection on the ground.

1.3.3 Field data collection (national and district)

The original consultations targeted people at the national level, including the following key ministries, departments and agencies:

- National Planning Authority (NPA)
- Ministry of Finance (MoFPED)
- Ministry of Gender, Labour, Social Development (MGLSD)
- Ministry of Health (MoH)
- Ministry of Education (MoES)
- Ministry of Agriculture (MoA)
- Office of Prime Minister (OPM)

As a part of our cascading approach, consultations with national level ministries are critical in order to understand:

- Their rationale for why certain social protection programmes and interventions were, or were not, implemented
- Their explanation for the direction of budget trajectories (if budgets and commitments for social protection interventions have increased, or decreased, the reasons behind this)
- Understanding any constraints, or opportunities, that contributed to their operationalization of social protection
- Given that the understanding of social protection has evolved significantly since the conceptualisation of the NDP, these consultations enable us to gauge how they believe social protection (and the programmes included in this remit) have evolved.

A full consultation record can be found in Annex B.

At the district level, we conducted key informant interviews with the Chief Administrative Officer, the Planner, District Community Development Officer, and the Finance Officer. In the districts possible, we also conducted focus group discussions with the CDOs from various counties, and selected 2-3 CDOs from the focus group to have follow-up interviews with. The purpose of district level consultations is to determine the extent to which social protection concerns were addressed in implementation of programmes/projects in the last two and a half financial years.

1.3.4 Analysis and report writing

The research team touched base regularly during fieldwork, which made it possible to identify and address information gaps. Further data analysis and report writing were undertaken as desk-based work.

1.4 Study Limitations

There were certain limitations that the team experienced in carrying out this work:

- Due to time restrictions and limited availability of respondents, we were unable to conduct any consultations with development partners or NGOs. Despite the limited time however, the review team was able to hold a significant number of consultations with government at local and national level.
- Given the extremely limited timeframe in which to conduct fieldwork, and the number of districts required for the scope of the study, we were only able to spend two days in each district. However, we counteracted this with a predominant focus on content analysis, and a secondary focus upon local level consultations.
- Many of the districts visited lacked comprehensive data, particularly on budget information for previous years. In some instances, available data was only available for the current financial year, limiting our ability to draw comparisons across a number of years.
- The scope of the study was to analyse six districts, with the remit of using them as descriptive case studies. Given the limited days in each district, there was no scope to conduct FGDs with the beneficiaries, which omits a grounded perspective of how people are experiencing the programme from the study. However, we attempted to counteract this through discussions with the CDOs, who shared their experiences of community engagement with the programmes.
- Social protection was an unfamiliar term for many respondents (particularly in the districts), which impacted their ability to articulate relevant 'issues and concerns', and further link these with their plans, budgets and actions.

1.5 A conceptual framework for analysis

To achieve the above objectives, the study utilized a 'cascading approach,' which can be described in three phases: conceptualization, planning and implementation.

Conceptualization: How has social protection been conceptualized within the NDP?

As our starting point, we analysed all the primary, complementary, social and enabling sectors within the NDP. We identified those sectors that had social protection related objectives, and mapped out those sectors, objectives, strategies, and interventions. This formed the basis to which social protection was envisaged, or conceptualized, in the NDP.

Planning: How have the key ministries planned to operationalize these objectives? As part of the next phase, we evaluated the extent to which these high level objectives had been transformed into concrete inputs, and mainstreamed within sector priorities, national budgets, and policies during the NDP implementation period (2009/10 to 2012/13).

Implementation: How have these plans been implemented?

Lastly, we assessed the extent to which these policies, priorities and budget allocations have been reflected into the actual implementation of social protection programme and government spending during the NDP period (2009/10-2012/13), both at the national and district level. To classify 'social protection programmes,' we shall use the following established categories of social protection:



BACKGROUND

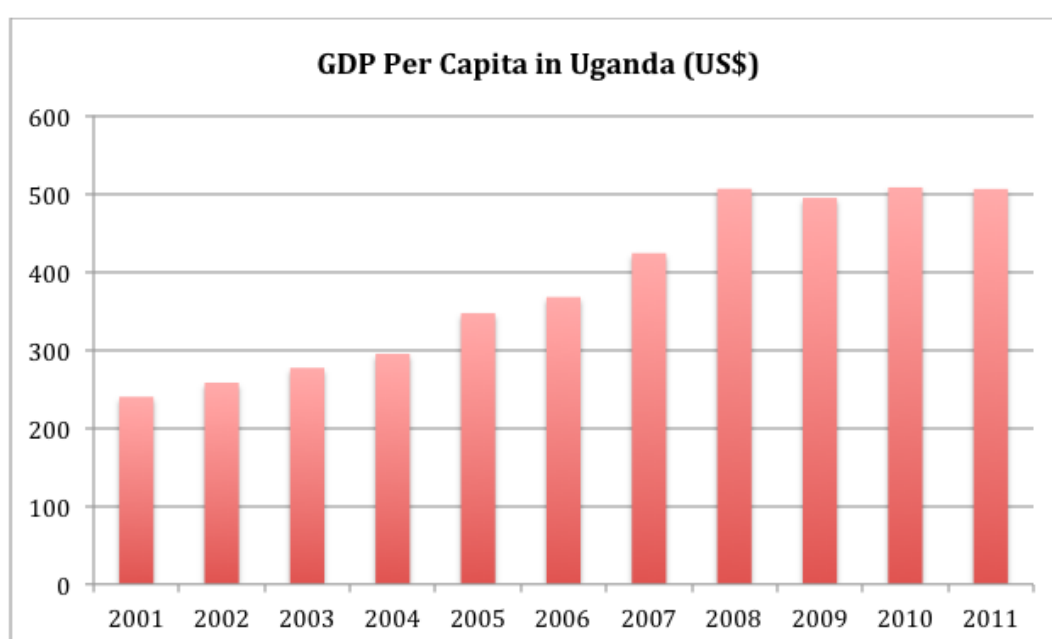
2. Poverty, inequality and vulnerability in Uganda

2.1 Poverty and inequality

In recent years, Uganda has made substantial progress in reducing poverty. No matter which measure of poverty is used, poverty in Uganda has declined considerably in recent years, from 31% in 2005/6 to 24.5% in 2009/10 (World Bank, 2011). A range of factors has contributed to this success with the basis being strong economic growth, as indicated by Figure 2. GDP per capita has more than doubled in the past ten years, owing largely to liberalization, diversification of its exports (mainly fishing and tourism), and private investments, particularly in construction (ibid).

However, this only gives us part of the story. Whilst Uganda enjoyed a growth rate of 9.3% per annum from 2001 to 2008, the rate of growth has declined to 7.2% in recent years. The World Bank projects that growth rates will be around 5% in 2013 – far below its historical rates – and plunging Uganda from being the best performing economy among the East African nations to lagging behind other member nations (World Bank, 2011). Uganda's population growth means that GDP per capita is now a more modest 3.4 percent as compared to 7% prior to 2008 (ibid).

Figure 1: GDP Per Capita in Uganda from 2001 to 2011



Source: IMF, World Economic Database

Many factors have contributed to the declining economy, including the financial crisis of 2009 that has affected the country's terms of trade, increasing its imports in relation to its exports; a prolonged drought has negatively affected the agricultural sector; combined with poorly directed government spending and financial management (World Bank, 2011). In 2013, governance related aid cuts and reduced investor confidence has continued to stifle economic growth (ibid).

It is therefore unsurprising that an average of 7.5 million people still live in extreme poverty – with strong arguments that the poverty line is set at a very low level by international standards, equivalent to 'extreme poverty' or 'food poverty' in other countries. Literature also highlights that around 10% of households were found to be poor in multiple years, and whilst another 15% of households moved out of poverty between 2005 and 2011, 11% slipped into poverty (Wylde, 2012). This high degree of 'churning' amongst the poor is expected, given the dynamism of poverty, and the frequency and nature of household shocks that push families just above or below the poverty line in any given year. Economic growth and poverty reduction have also been uneven throughout the country, with especially poor progress in areas affected by protracted conflict and insecurity, notably the Greater North of Uganda (Levine, 2009; UBOS, 2010). Rural poverty levels in the north remain at 68 percent (2005/06), and the level has not declined significantly since 1992 (UNDP, 2007).

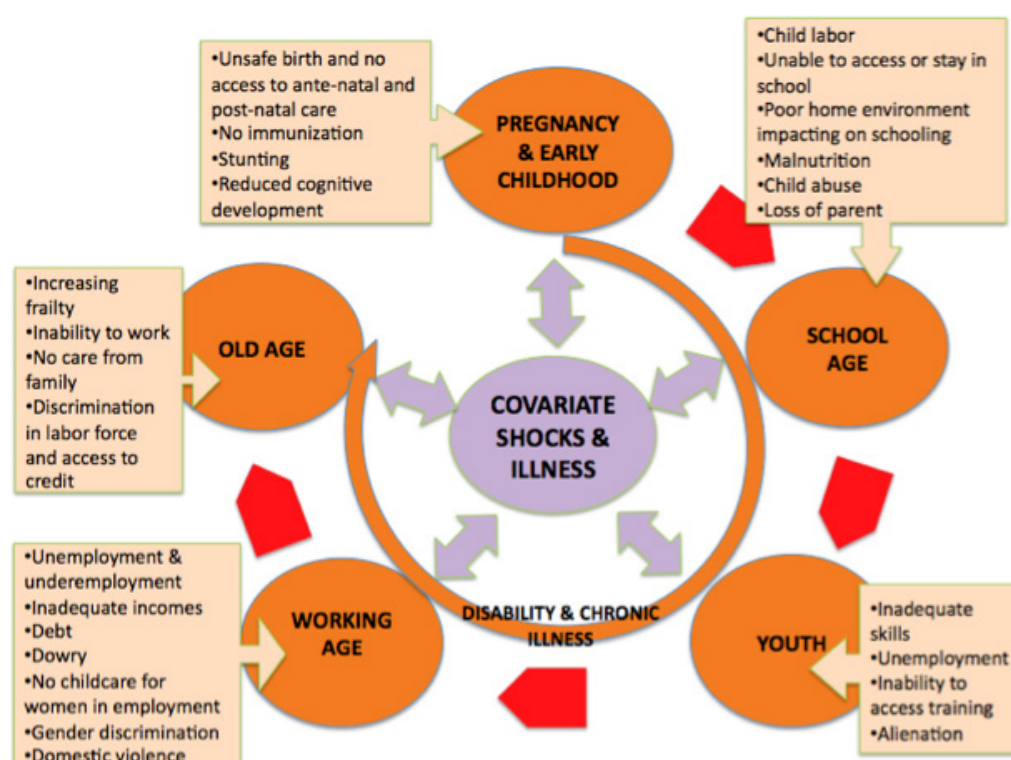
It should also be noted that income inequality as measured by the Gini coefficient increased from 0.365 in 1992/93 to 0.428 in 2002/03 and dropped only slightly to 0.408 in 2005/06 (MoFPED, 2010). Considering that figures above nod point four (0.4) are considered to represent high inequality, there is growing concern in Uganda that high inequality can reduce economic growth and also limit the impact that economic growth has on poverty reduction (World Bank 2011). The high level of income inequality in Uganda may reflect the low levels of taxation and redistribution, although the 'silver lining' is that inequality rates are on a decreasing trend.

Therefore, despite an overall positive trend in Uganda of poverty reduction, social protection policy must bear in mind that national poverty rates paint only a partial picture.

2.2 Vulnerability across the lifecycle

Social protection aims to both tackle poverty and build resilience among individuals and families so that they are less vulnerable to falling into poverty. This section will examine the factors underpinning vulnerabilities within Uganda. It will use the lifecycle as a framework for discussing these vulnerabilities, focusing on the challenges faced by people and families in Uganda at different stages of their lives. It should be noted that by vulnerability, we mean (a) the risk of an adverse event or shock occurring, and (b) a person's ability or capacity to deal with that shock. Those that are particularly vulnerable, therefore, are those that have a high likelihood of adverse events or shocks happening to them, and that have limited abilities to cope with such adverse events.

Uganda's social protection system can be seen as framed around the lifecycle, with support offered to vulnerable citizens at the stages where they are most vulnerable. In this vein, the NDP's social protection related objectives, strategies, and interventions can also be seen as coinciding within the lifecycle, and the different stages of vulnerability.

Figure 2: Vulnerabilities across the lifecycle

Source: MGLSD, 2012

2.2.1 Pregnancy and early childhood

The risks faced by children begin in the womb. In Uganda, maternal mortality remains high at 440 maternal deaths per 100,000 live births (MoH, 2010). In the 2010 Millennium Development Goals (MDG) Report for Uganda, the country's progress has been particularly slow on several health targets, including those related to child and maternal mortality (MoFPED, 2010). While infant and under-5 mortality rates have declined (MoH 2010), Uganda is not on track to meeting MDG 4 - reducing the under-5 mortality by 2015. These generally poor maternal health indicators also undermine, or at least indicate, mixed progress on poverty reduction, and highlight the vulnerabilities that citizens experience in their earliest days of life.

2.2.2 School age

As children grow, increasingly the greatest challenge they face is attending school. There is a strong causal relationship between education (particularly secondary education) and reduced poverty and vulnerability. In 1997, the GoU instituted universal primary education (UPE), which eliminated monetary costs for all children attending public primary schools. The programme has been largely successful (Tumuzusa, 2011). Yet despite UPE, roughly 15-20% of 6-12 year olds are not enrolling in primary school, and even higher numbers are enrolled but not attending, or dropping out due to associated costs and socio-cultural restrictions upon adolescent girls. Literature also highlights that children born to vulnerable families are less likely to attend school, and more likely to engage in child labour (MGLSD, 2012).

2.2.3 Youth

As young people move into the labour market, the challenge they face is not so much unemployment as underemployment. Nonetheless, unemployment rates among those aged 15-24 are significantly higher than for the rest of the population. Reports reveal that in 2002, youth unemployment was estimated to be at approximately 23% and this has increased to 32% (NDP, 2010). The most affected is the young female population (14-30 years), of which 70 per cent are engaged in unpaid family work (UNICEF, 2010). Youth “un”-employment therefore poses a serious political, economic and social challenge to the country and its leadership, and its persistence is making it increasingly difficult for Uganda to reduce its poverty levels (Young Leaders, 2012).

2.2.4 Working age

The challenge of underemployment faced by young people is reflected in the rest of the working age population. The unskilled labour force continues to grow at roughly 4% per year, and considering the economy requires a skilled labour force, this poses a serious threat to unemployment rates (NDP, 2010). This problem is distinctly gendered, as fifty per cent of employed women are in the three lowest paying sectors (agriculture, mining and quarrying). Women, in general, also find it more difficult to secure formal employment, as the ability of young mothers to enter and remain in the labour force is constrained by childcare responsibilities, which may help explain the high levels of poverty among families with young children.

2.2.5 Old Age

As people move into old age, risks increase substantially. As people age they are more likely to experience disability, which limits their ability to work. They increasingly require support from their family members as few older people in Uganda have managed to save for old age. In fact, 93 per cent of older people in Uganda are not in receipt of a pension or any other form of income security. Just as with most vulnerabilities, those posed in old age are gendered, since most older people – 55 per cent – are women, and they are even less likely to access current old age pension schemes (MGLSD, 2012).

2.2.6 Covariate shocks and illness

Covariate shocks, those indiscriminately affecting entire communities, can hit people at any stage of the lifecycle. In 2009/10, more than 57 per cent of households in Uganda experienced an agro-climatic shock such as a flood or drought, resulting in a decline in income and food production. In addition, idiosyncratic shocks, such as illness or death of a household member, have affected 16 per cent of households, leading to a substantial decline in household income. Literature highlights that only 1 per cent of households who experienced shocks received governmental support, underscoring the absence of formal social protection systems during times of greatest risk and vulnerability (ibid).

3. The Social Protection System in Uganda

3.1 The evolution of social protection

Traditionally, informal social networks have helped citizens to cope with these vulnerabilities that surface at different stages of their lives. As in many countries with tightly woven social fabrics, the societal structure of ethnic nationalities in pre-colonial Uganda was based on mutual aid assistance motivated by altruism, social cohesion and reciprocity which ensured the collective well-being of communities (Ouma, 1995). However, the dissolve of informal social protection in Uganda is mainly attributed to the transfer of power in managing affairs; the transition from bartering to a cash economy; the development of towns as administrative and commercial centres; and prolonged conflict and the HIV/AIDS epidemic placing pressures on extended family networks (Devereux et al, 2003; Ouma, 1995).

Over the years, more concerted efforts have been made to formalize social protection, which includes ensuring that citizens are entitled to their rights promised to them through the National Constitution, legislation, and existing policies.

Box 1: Entitlements to social protection in the National Constitution Rights guaranteed to citizens in the National Constitution

Chapter Four of Uganda's Constitution stipulates the rights and freedoms every Ugandan should enjoy, including the right to basics of life and a life of dignity. The relevant provisions in the National Objectives and Directive Principles of State Policy, related to social protection are as follows:

- Protection of the Aged: the state shall make reasonable provision for the welfare and maintenance of the aged
- General Social and Economic Objectives: all Ugandans enjoy rights and opportunities and access to education, health services...decent shelter, adequate clothing, food security and pension and retirement benefits.
- Educational Objectives: State shall take appropriate measures to afford every citizen equal opportunity to attain the highest educational standard possible.
- Protection of the Family: The family is the natural and basic unit of society and is entitled to protection by society and the state.

Article 32 states: Notwithstanding anything in this Constitution, the State shall take affirmative action in favour of groups marginalised on the basis of gender, age, disability or any other reason created by history, tradition or custom, for the purpose of redressing imbalances which exist against them

Source: Background Policy Direction, MGLSD, 2012

Currently in Uganda, social protection entails all public and private interventions that address vulnerabilities associated with being or becoming poor (Draft Social Protection Policy Framework, mimeo). In 2007, a National Social Protection Committee of the Social Development Sector Working Group was established, which became formalized in 2011. This committee acts as the advisory body to the Social Protection Secretariat in the Ministry of Gender, Labour and Social Development (MoGLSD), and is the main technical structure responsible for leading on SP policy development, reform and coordination on behalf of GoU. This committee, or sub-sector, has made important strides in this short time in championing legislation and development of policies on social protection. It has narrowly defined its

over-arching objective, which is “to enhance the resilience of all Ugandans through supporting income security, care and protection for vulnerable groups.”

3.2 Vision and goal

The vision for social protection in Uganda is the following: A society where all citizens, including the most vulnerable are enabled to live a life of security and dignity and provided with the means to build sustainable livelihoods.

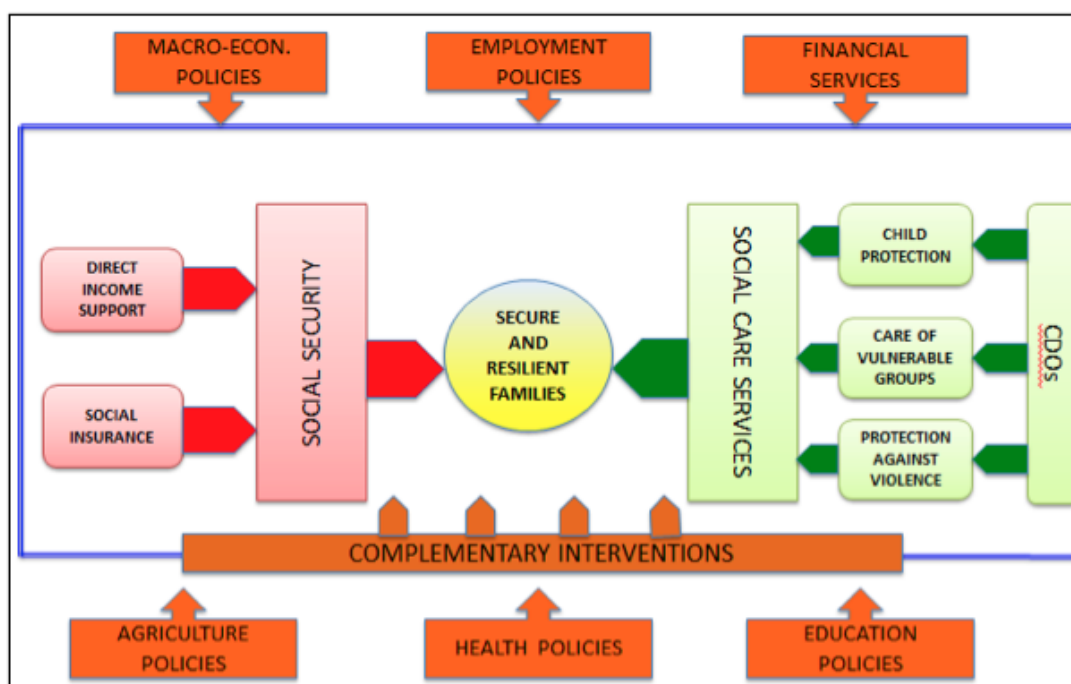
The overall social protection goal is: To ensure income security, care and protection throughout the life cycle.

This goal is operationalized through the following categories:

- Social security (which includes direct income support and social insurance)
- Social care service
- Complementary services

Figure 3 highlights graphically the social protection vision for Uganda

Figure 3: Social Protection Vision for Uganda



While the social protection vision, and its operationalization, cuts across multiple policies and sectors, this has provided a challenge. There is currently no unifying framework bringing the various social protection commitments together. This leads to a lack of clarity on the overall vision and strategic focus of social protection, fragmentation of interventions, and duplication of resources (Watson, 2012). The Government is therefore in the process of developing an overarching comprehensive social protection policy framework (SPPF) to guide all its social protection initiatives (MGLSD, 2012). The SPPF is in response to the NDP strategy of developing a comprehensive SP framework

3.3 Expanding Social Protection

In order to further the national social protection remit, particularly develop a social protection policy framework and implement direct income support for vulnerable citizens, The Expanding Social Protection (ESP) programme in Uganda was brought into fruition through funding from the UK Department for International Development (DFID), Irish Aid, and UNICEF (MGLSD, 2011). The Social Assistance Grants for Empowerment (SAGE) programme targets labour-constrained individuals and households who are at risk and vulnerable to poverty due to their reduced ability to engage in a productive activity. It has two elements:

- Development and implementation of a national social protection vision and policy framework for Uganda, which includes a comprehensive SPPF; a fiscal framework for social protection; an institutional framework for implementing social protection; and the strengthened capacity of GoU to implement social protection interventions
- Design and implementation of a five-year pilot social transfer, the SAGE programme, in 14 districts of Uganda: Apac, Kaberamaido, Katakwi, Kiboga, Kyenjojo, Moroto, Nakapiripirit, Nebbi, Amudat, Kyegegwa, Kyankwanzi, Zombo, Napak and Kole (MGLSD, 2012a)

The pilot cash transfer programme has two different components: the Vulnerable Families Grant (VFG) and the Senior Citizen Grant (SCG). Both components are expected to reach approximately 500,000 people in 95,000 households between September 2011 and February 2015. This represents approximately 15% of households in the pilot districts, although coverage within each sub-county may vary slightly due to changes in demographic structure (MGLSD, 2012c).

The Vulnerable Families Grant provides an unconditional monthly benefit targeted to poor and vulnerable households with extreme labour capacity deficiencies and high dependency ratios. It also reaches households with a high proportion of older people, children, and people with disabilities.

The Senior Citizens Grant provides an unconditional monthly allowance to all older people (aged 65 years and above) in the selected districts (except for Karamoja, where the eligible age has been set at 60 years).

In addition to these interventions, the GoU has also made strides in the implementation of various social insurance schemes. These include developing a bill for public health insurance, which is currently in draft form; reforming the public service pension scheme, which includes dismantling the current monopoly held by the National Social Security fund in managing citizens' pensions.

The implementation of social care services, however, remains weak. Despite the multitude of social care interventions that exist at the district level, there is little overarching coordination, and the provision of these services rests primarily with development partners.

4. The National Development Plan and Social Protection

4.1 Description of the National Development Plan

The National Development Plan is Uganda's planning framework. It stipulates the country's medium term strategic direction, development priorities and fiscal strategies from the period of 2010/11 to 2014/2015. It is the first of six five-year NDPs, with the thrust and focus being on "raising average per capita income levels, improving the labour force distribution in line with sectoral GDP shares, raising the country's human development indicators, and improving the country's competitiveness to levels comparable to middle income countries" (NDP, 2010).

Its predecessor, the Poverty Eradication Action Plans, provided the former overarching plan for the country's development from 1997-2008. The NDP, however, has notable differences from the PEAP:

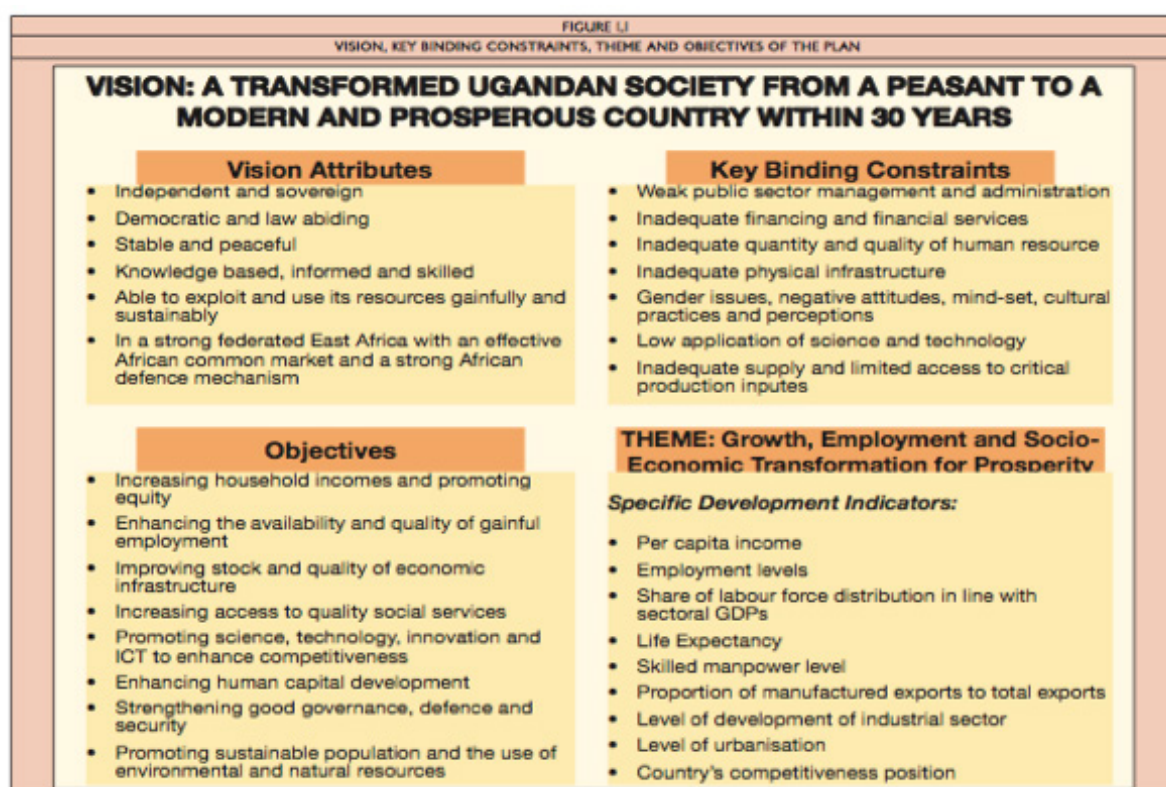
- It acknowledges the importance of coordinating both the political aspirations, as well as the implementation, of key interventions. The document is grounded in both political commitment, as well as sound evidence-based strategies to operationalize this commitment.
- It will provide a guide for the allocation of resources through the Medium Term Expenditure Framework. Over the next five years, the NDP will guide decision-making and implementation of government programmes, including the annual budget process, and the prioritization and direction of Government actions. It will, therefore, be a tool for prioritizing government interventions and mobilizing external resources.

Implemented under the theme "Growth, Employment and Socio-economic Transformation for Prosperity, the NDP set out to achieve eight national development objectives. These include:

- Increasing household incomes and promoting equity;
- Enhancing the availability and quality of gainful employment;
- Improving stock and quality of economic infrastructure;
- Improving access to quality social services;
- Promoting science, technology, innovation and ICT to enhance competitiveness;
- Enhancing human capital development;
- Strengthening good governance, defense and security; and
- Promoting sustainable population and use of environment and natural resources.

Figure 5 presents a summary of the Vision, Objectives, Key Binding Constraints, and Key Indicators that frame the NDP.

Figure 4: Vision, Binding Constraints, Theme and Objectives of the Plan



To achieve these objectives, the NDP uses an “egg framework” to categorize its interventions under four (4) key sectors: Primary growth sector , Complementary Sector , Social Sectors and lastly Enabling Sectors .

4.2 Social Protection within the National Development Plan

Although social protection is not embedded within these key objectives and binding constraints, the NDP specifically mentions social protection in the situational analysis and background context of the sector:

Box 2: Definition of social protection within the NDP

Social Protection: This entails all public and private interventions that address vulnerabilities associated with being or becoming poor. Social protection is a public investment in human capital that facilitates risk taking endeavours and also enables the poor to prevent, cope with and mitigate risks. These interventions currently include: provision of social assistance to the chronically poor; care for the elderly, Orphans and other Vulnerable Children (OVC); special needs education and training; community based rehabilitation services for PWDs; social security for public sector and formal private sector employees; pension for public sector employees and relief services to disaster victims. In addition, the Government has promoted equal opportunities, operation of social security schemes, labour standards and occupational safety (NDP, 2010)

Social protection is also explicitly captured as an objective within the Social Development sub-sector of the NDP (see Box 3):

Box 3: Description of social protection interventions in the NDP**Sector:** Social Development**Strategy:**

Comprehensive social protection measures for the different categories of the population

Interventions:

- i. Formulate a comprehensive social protection policy and strengthen the mechanism for coordination of social protection programmes.
- ii. Diversify social security measures to cover more people, those employed in the formal and informal sector as well as the unemployed.
- iii. Establish a regulatory agency.
- iv. Liberalize the provision of national social security services to allow more providers or fund managers to cover other areas such as hospitalization, housing and pensions.
- v. Establish a data management system for the different categories of vulnerable groups and workers in the formal and informal sectors and the unemployed.
- vi. Establish public and support private health insurance schemes.
- vii. Develop and implement social transfer programmes including cash transfer programmes to the elderly, persons with disability and the poorest quartile of the population, and cash for work for the vulnerable youth.
- viii. Provide adolescent life skills to the youth outside and in school.
- ix. Strengthen institutional rehabilitation services for children with disabilities and those in conflict with the law
- x. Support comprehensive community response programmes for vulnerable groups (OVCs, widows, old persons and ethnic minorities) through partnerships with civil society organizations.
- xi. Expand community based rehabilitation services for older persons, people with disabilities (PWDs) and children with special needs to all districts in the country.
- xii. Provide social protection for abused and neglected children and babies who are in need of care and protection in collaboration with the civil society organizations.

Through these descriptions, and stated social protection strategy, the GoU is recognizing social protection as a policy area that requires government intervention. The NDP has made a visible commitment towards providing social protection to its citizens, and through this commitment, increased its visibility and profile.

However, it is recognized that when the NDP was developed, the National Planning Authority (and the Government of Uganda in general) had a cross-cutting definition of social protection. Therefore, social protection objectives and strategies are also 'scattered' across several other sub-sectors (see Table 3).

GoU's progress towards achieving each one of these interventions will be analysed in Chapter 5.

Table 3: Social protection related objectives within other sectors of the NDP

Mapping of Social protection commitments in other sectors of the National Development Plan

Sub- Sector	Constraints to the Performance of the Sector	Objective	
Agriculture	Inadequate physical infrastructure (such as roads, water and storage facilities)	Enhance agricultural production and productivity	
Labour and Employment		Increase protection of workers through improved compliance with labour standards	
Education and Sports		Increase access and equity of primary education for girls and boys	
		Increase access and equity in secondary education	
Health and Nutrition Sector		Strengthen organisation and management of national health system	
HIV and AIDS	Social support packages for HIV and AIDS affected families have not been well conceptualized in the context of the national response vis-à-vis the broader development agenda resulting in fragmented support to affected families	Build and Maintain an effective national HIV and AIDS response system	
Defense and Security	Inadequate social security that limits exit from the army	Improve staff welfare especially remuneration for the sector	
Public Sector Management		Enhance the Performance of the Public Sector	

	Strategy	Proposed interventions
	Improve agricultural livelihoods in Northern Uganda	<ol style="list-style-type: none"> 1) Increase agricultural production and productivity by addressing the absence of productive assets and agricultural knowledge 2) Rebuild productive market infrastructure in support of farming by rehabilitating rural infrastructure, like community access roads, water points, crushes, markets and others
	N/A	N/A
	Support programme targeted at disadvantaged children and youth	<ol style="list-style-type: none"> 1) Collaborate with NGOs to implement projects for disadvantaged and marginalized groups 2) Recruit and train more Special Needs Education (SNE) teachers to build capacity for provision of SNE and inclusive education in local governments.
	Improve equity in participation of girls, students with disabilities and needy students	<ol style="list-style-type: none"> 1) Implement targeted bursary schemes for girls, students with disability and needy students
	Mobilize efficient financial resources to fund health sector programme whilst ensuring equity, efficiency, transparency and mutual accountability	<ol style="list-style-type: none"> 1) Establish overall adjusted health financing mechanism-based on payment and financial risk pooling aiming at universal coverage and social health protection such as National Health Insurance and other community Health financing mechanisms
	Strengthen the policy, legal, social and community HIV and AIDS response strategy	<ol style="list-style-type: none"> 1) Review and scale up social protection interventions targeting people living with HIV and AIDS, OVCs and other vulnerable groups affected by HIV and AIDS
	Improve pension and gratuity management	<ol style="list-style-type: none"> 1) Validate and pay pension and gratuity arrears 2) Develop and institute a social security framework for the sector
	Implement a Pension Reform strategy	<ol style="list-style-type: none"> 1) Review the current pension arrangements and implement a scheme for pre-retirement training 2) Settle pension arrears



KEY FINDINGS

5. Operationalising social protection commitments in the NDP

Chapter 5 specifically addresses the first two objectives presented in the ToR:

- Firstly, it seeks to establish the extent to which social protection issues have been addressed in the planning and budgeting processes in sectors and local governments.
- Secondly, it identifies the extent to which social protection issues and concerns were addressed in the implementation of projects at national and local government levels

The sectors that have been identified as having social protection issues and objectives are: Social Development, Agriculture, Labour and Employment, and Education and Sports. Within each of these sectors, planning and budgeting towards social protection commitments, as well as implementation of social protection related interventions, will be discussed in turn.

5.1 Social Development Sector

5.1.1 Budget analysis and planning

In Chapter 4, we already highlighted the social protection objective, strategy and interventions within the Social Development sector that the GoU aims to achieve during the NDP period. We now analyse NDP funding commitments, as compared to the actual budgets released to the sector.

Table 4 shows the amount (in millions UGX) originally committed to the National Social Protection Programme in the NDP.

Table 4: NDP commitment towards the Social Protection Programme in the NDP (in millions UGX)

Project	Year 1	Year 2	Year 3	Year 4	Year 5	GoU budget	Off budget	Unfunded	Total
National Social Protection Programme	10,189	9,213	9,986	9865	13824	53086	13420	2101	68602

Source: NDP

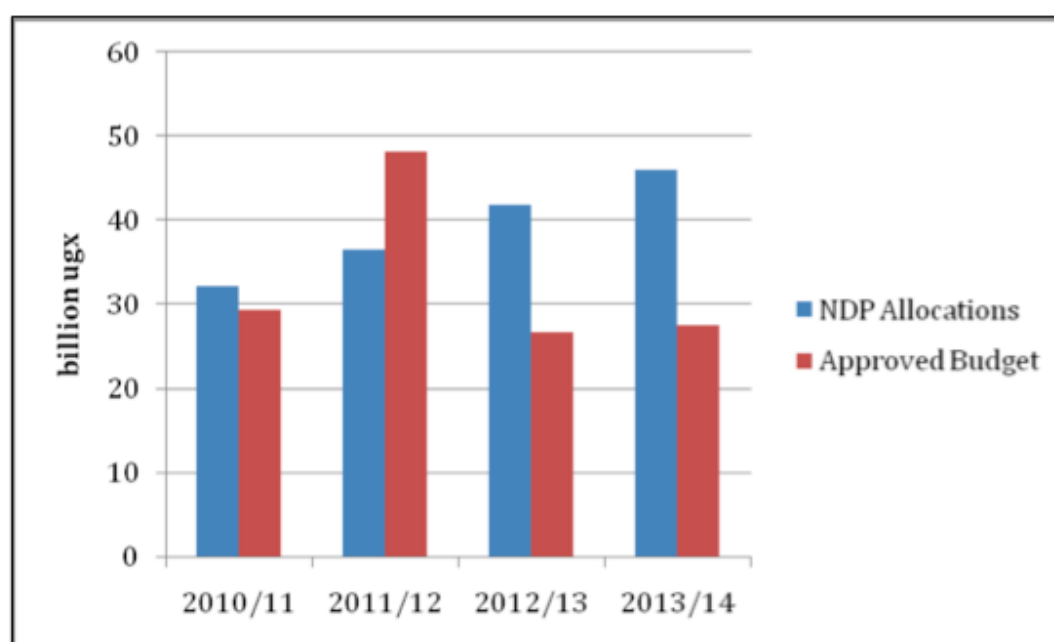
However, further analysis shows that, with the exception of FY 2011/12 (where the sector received more resources than originally projected), approved allocations made to the Social Development sector have been below what was committed in the NDP (see Table 5 and Figure 5).

Table 5: Social Development Budget in NDP versus actual Approvals

	2010/11	2011/12	2012/13	2013/14
NDP Allocations	32,238.42	36,574.35	41,878.99	45,955.93
Approved Budget	29,460.00	48,170.00	26,760.00	27,550.00
as % received	91.4%	131.7%	63.9%	59.9%

Source: NDP and Estimates of Revenue and Expenditure 2012/13

As evidenced in Table 5 (above) and Figure 5 (below),

Figure 5: NDP allocations versus approved budget for Social Protection

Our analysis of the Social Development Investment Plan (SIDP 2) highlighted the following social protection related commitments:

- Provide social assistance in the form of cash transfers to those deemed eligible on the basis of their vulnerability, disability and old age to meet immediate needs
- Support income enhancement for vulnerable groups through lobbying for special quotas from the government funded programmes such as NAADS, SACCOS, PRDP among others
- Identify and support vulnerable groups with psychosocial services (counseling and guidance), provision of life skills, recreation, sexual and reproductive health messages, access to basic services and justice
- Develop a comprehensive social protection framework to harmonize the existing policies and programmes

Commitments have also been made across the Social Development sector budgets. Social protection under this sector carries a specific vote function to which resources are allocated annually. In the table below we provide a comparison of Medium-term Expenditure Framework projections against approved budgets to the various vote functions under the sector.

Table 6: Breakdown of social protection budget projections

Sector Breakdown	MTEF 2009/10	Approved Budget 2009/10	MTEF 2010/11	Approved Budget 2010/11	MTEF 2011/12	Approved Budget 2011/12	MTEF 2012/13	Approved Budget 2012/13
Community Mobilisation and Empowerment	12.88	8.9	11.82	3.49	14.8	3.51	20.96	3.05
Mainstreaming Gender Rights	2.97	2.97	3.43	2.47	2.21	2.6	3.75	2.27
Promotion of Labour Productivity and Employment	2.35	2.35	1.92	1.98	2.34	2.28	3.47	2.11
Social Protection for the Vulnerable	5.21	5.46	8.23	8.14	10.03	10.84	11.28	38.49
Policy, Planning and Support Services	9.05	11.37	9.01	9.9	13.12	11.13	13.88	7.16

Source: MTEF and National Budget Framework

In the above table, it is clear that commitments to the social protection component under the sub-sector have been rising both in the MTEF as well as budgetary allocations.

In terms of realizing these commitments, a results matrix has been developed in SIDP 2 (see Annex C) with plans to increase support to vulnerable persons, social protection mechanisms, and number of social protection related policies increasing every year from 2011/12 – 2015/16. The results matrix presents an action plan for achieving the high level outcome, “Vulnerable persons protected from deprivation and livelihood risks, through the following outputs”:

- Policies, laws, standards and guidelines on vulnerable and marginalised persons developed
- Capacity of vulnerable and marginalised persons developed
- Vulnerable and marginalised persons access to rights increased
- Social protection mechanisms strengthened
- Advocacy, networking and partnerships on social protection strengthened

However, actual resources allocated do not fall in line with achieving these outputs and outcomes over the NDP period. The actual release and expenditure patterns from the Annual Performance Budget Reports (APBRs) show that, despite optimistic projections, inadequate funding has been allocated to social protection interventions within the sector.

In Figures 9 – 11 below, we see in 2009/10 that releases and expenditures for “social protection and vulnerable groups” were higher than estimated, but this amount has been decreasing over the subsequent years.

This is also reflected in the outputs. Whereas in 2009/10, the number of vulnerable people supported exceeded the estimates, in 2010/11 and 2011/12, actual performance fell well below the targets (1700 targeted, and only 400 reached). This indicates that performance in social protection is not up to par with what was set out in the NDP and MTEF, which can be a direct consequence of fiscal commitment being below what was promised. Indeed, the APBR for 2011/12 states that the sector received 63.5% of its planned budget and spent 100% of the release (APBR 2011/12).

Figure 6: Annual Performance Budget Report, Social Development, 2009/10

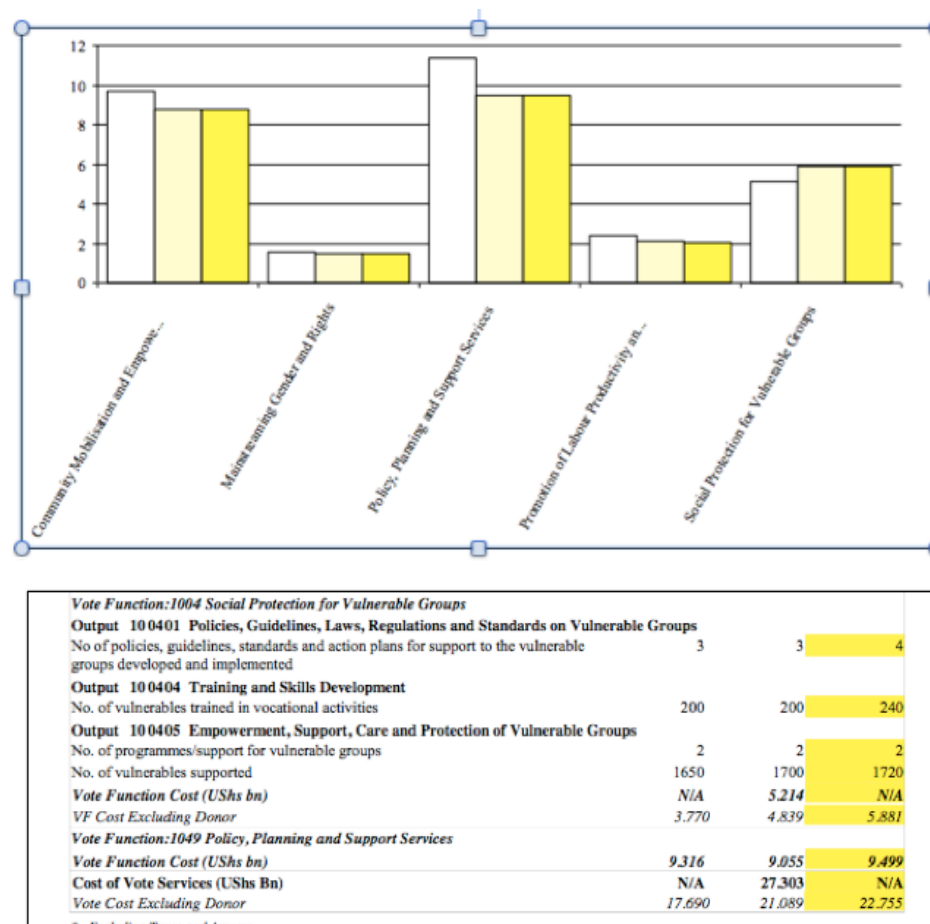


Figure 7: Annual Performance Budget Report, Social Development, 2010/11

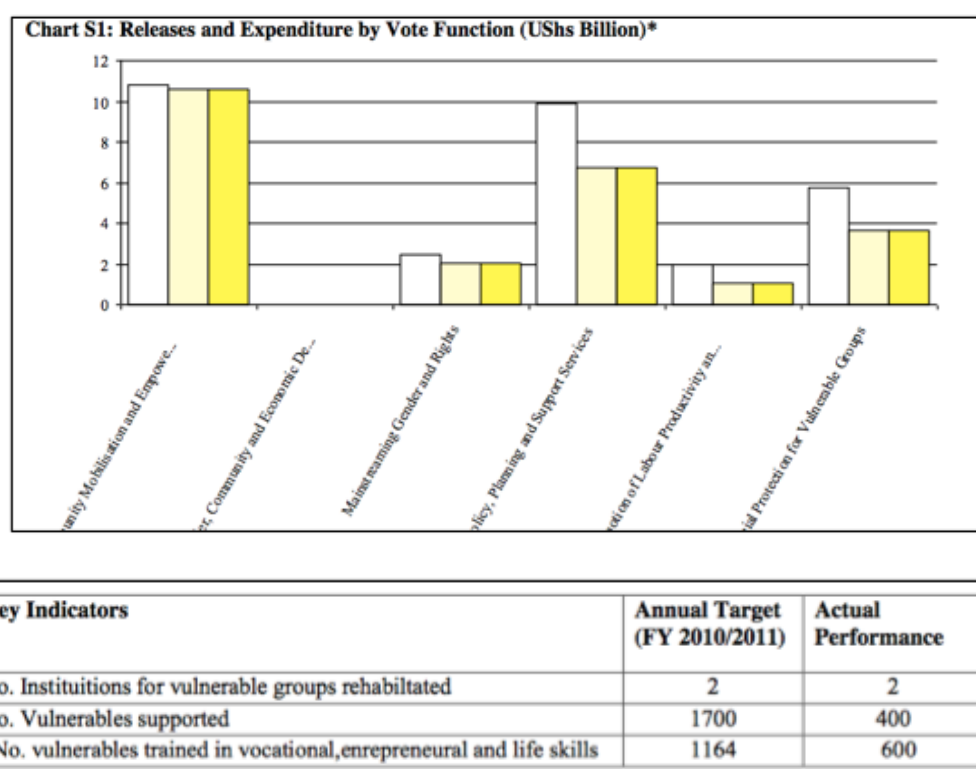
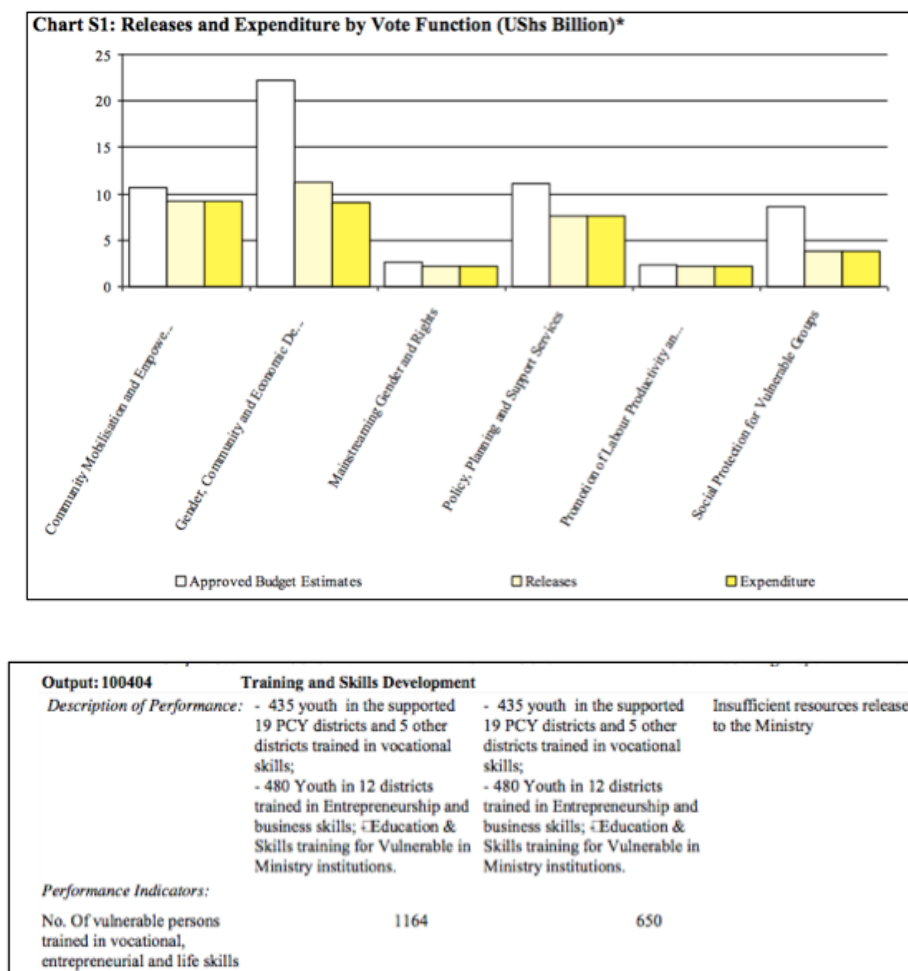
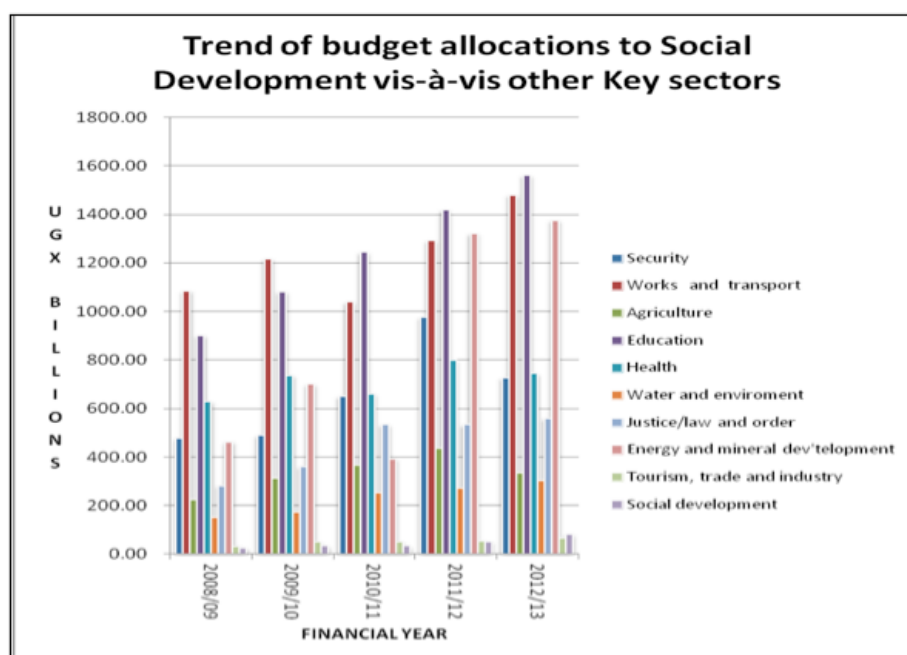


Figure 8: Annual Performance Budget Report, Social Development, 2011/12

It is also worth noting that the social development sector is the least funded as illustrated in the chart below, which also impacts on its inability to meet projected targets.

Figure 9: Budget allocations to Social Development as compared to other sub-sectors

5.1.2 Implementation of interventions

The definition of social protection, as outlined in the NDP, includes both private and public investments. While government spending towards social protection may be less than what was envisaged, development partners and civil society organizations have stepped in to help realize some of the critical interventions put forth in the NDP.

Each of the interventions related to the social protection objective, as well as implementation experiences to date, will be discussed as they relate to the three social protection pillars.

Direct Income Support

- **Formulate a comprehensive social protection policy and strengthen the mechanism for coordination of social protection programmes.**

The MGLSD has developed a draft social protection policy framework, in consultation with a wide range of stakeholders both within and outside government. The policy framework is under national consultations before it shall be presented to Cabinet for approval.

The primary need for the policy is to develop a framework for contextualizing and implementing social protection. At the time of developing the NDP, there was no overarching policy framework to inform planning of interventions. The review notes that while interventions are proposed in the NDP, many of these are scattered across the different sectors, which makes tracking and coordination of efforts difficult. This policy framework seeks to develop a joined up, coherent, comprehensive social protection system in Uganda. Among other things, the policy framework proposes a “national definition” of social protection; provides a set of Specific SP interventions; and provides clear linkages with other sectors to enable tracking and coordination.

It is envisaged that the policy framework shall be finalized by June 2013. The overarching policy framework will lead to the development of three specific strategy papers for direct income support, social insurance and social care services. These will clarify further the strategic approach and priority actions for each of the core social protection pillars.

We now turn to an analysis of how well the following three social protection interventions have been operationalized. Given that all three pertain to diversifying and liberalizing social security measures (which is still in nascent stages), these interventions have been comprehensively addressed.

- **Develop and implement social transfer programmes including cash transfer programmes to the elderly**

The Expanding Social Protection Programme has come a long way in helping the GoU to achieve this particular intervention. The findings from an independent study of the ESP's Senior Citizens' Grant (ODI, 2012) have been favourable. Main findings highlight the following:

- **Strong outreach and awareness creation:** in the districts visited, the communities at large and beneficiaries understood eligibility criteria, the targeting process, the key district level actors, payment processes, transfer amounts and frequency, and implementation sites
- **Community buy-in:** Beneficiaries perceived the SCG to be a ‘dependable source for life and livelihood’ and considered it a sign of the government’s commitment to meeting their needs. Communities also agreed that the SCG fairly and transparently targets the most vulnerable,

- **Positive impacts:** Many positive effects of the cash transfer were reported at individual and household/community levels, including being more presentable and purchasing new clothes and shoes; ability to meet basic needs, and take care of children in their care; improved relations between parents and their children/relatives because of reduced dependency; greater self-esteem, and stronger economy

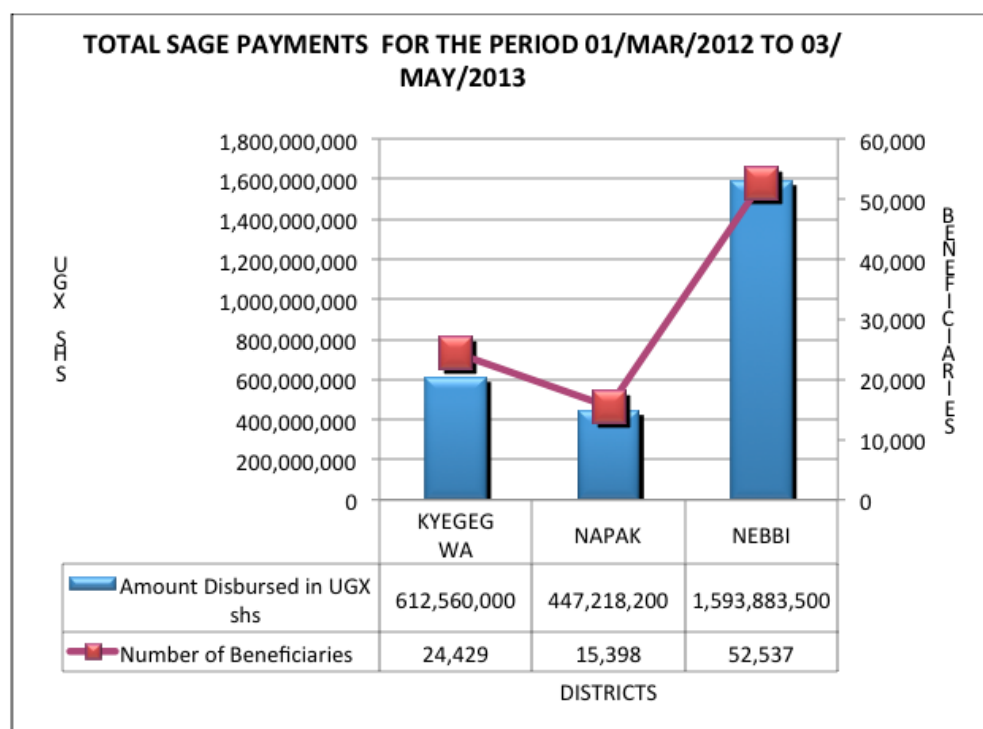
As of June 2013, 74,151 SCG beneficiaries have been reached. The following graph shows the number of SCG beneficiaries and amounts disbursed across pilot districts.

Table 7: SCG beneficiaries by district

District	No. of Sub Counties	No. of Beneficiaries	No. of Payment Cycles	Amount transferred to date (UGX)
AMUDAT	2	1,042	12	379,447,000
APAC	11	8,267	14	1,635,925,300
KABERAMAIDO	12	6,747	22	1,986,763,000
KATAKWI	9	7,891	14	1,872,036,400
KIBOGA	8	4,932	22	1,736,481,900
KOLE	2	2,378	12	755,341,500
KYANKWANZI	2	1,449	12	438,052,400
KYEGEGWA	2	2,162	12	678,207,400
KYENJOJO	18	11,701	22	3,010,420,600
MOROTO	6	4,020	14	800,482,500
NAKAPIRIPIT	8	6,237	14	1,271,791,000
NAPAK	2	2,015	12	880,856,800
NEBBI	15	13,022	16	2,771,947,700
ZOMBO	2	2,288	12	728,239,900
Total	99	74,151		18,945,993,400

We now turn to our study districts, and the following graph shows the number of SCG beneficiaries and amounts paid in the three districts where our research took place. Clearly support is not uniform, although this is dependent upon the number of elderly within each district.

Nebbi has the largest SAGE programme among the districts visited, and according to the Nebbi CDO, the results have been profound. He attests that “people’s purchasing power has increased, its pumped up the local economy...people are purchasing animals, investing in livelihoods...and the health of older people has improved....We can also clearly see impacts on those whose children could not afford school...but now they can buy books and school uniforms.”

Figure 10: SAGE budgets and beneficiaries in study districts

There were, however, a number of implementation challenges also reported. These include difficulties in proving the age of beneficiaries, especially in sub-counties where the civil registration exercise had not yet taken place; staffing gaps at local government level; delays in reporting deaths of beneficiaries; network/system failures at the pay points; long distances to pay points, raising opportunity costs of accessing benefits; and reporting challenges arising from limited automation, especially at lower levels of local government. When asked how these challenges would be addressed, local staff were unsure.

It is anticipated that by the end of the current NDP, SAGE will have rolled out to 73 districts, reaching a total of 664,000 beneficiaries. This number is further projected to increase to 98 districts by 2016/17. Table 7 shows roll out plans for SAGE until 2015, when the programme will be completed.

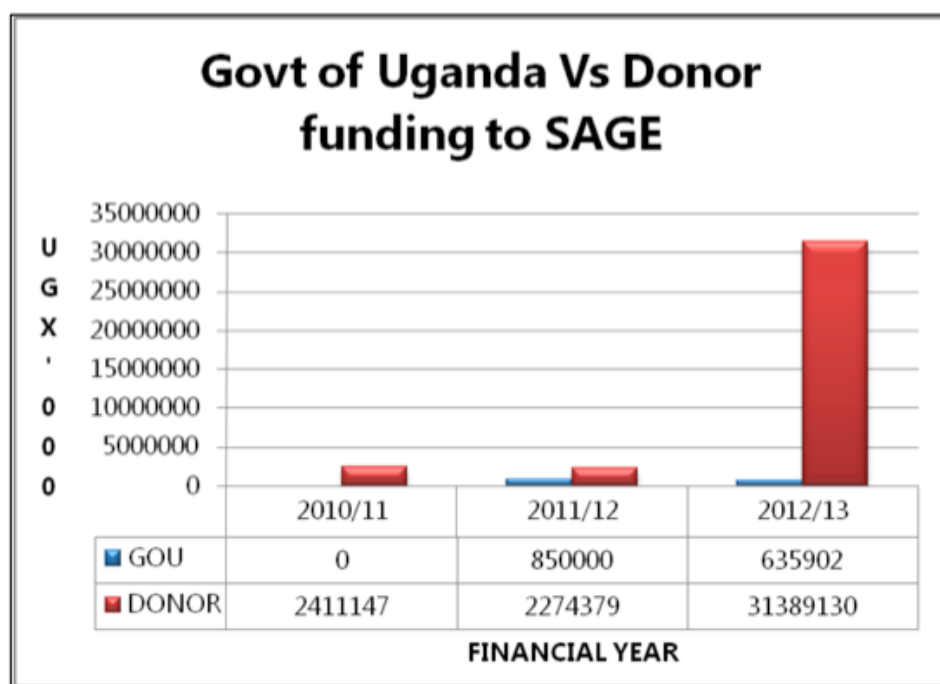
Table 8: Roll out schedule for SAGE

Financial Year	Additional Districts	Cumulative Beneficiaries (EST.)	Budget UGX. Bn
2013/14	24	228,000	UGX 35
2014/15	48	437,000	UGX 108
2015/16	73	664,000	UGX 189
2016/17	98	891,000	UGX 277

Sustainability is clearly a critical issue – an analysis of the allocations to social protection revealed that in FY 2011/12, only UGX 30 million of the 125m committed was released and in FY 2012/13, UGX 500 million was needed but MFPED provided for only UGX 39.5 million. In FY 2013/14 budget, UGX 2 billion was allocated but it is yet to be seen how much of this allocation will actually be released.

Figure 11 shows that there is an unequal balance in donor and government commitment for the SAGE programme, which raises concerns about its longevity once the programme comes to an end. Social protection financing studies, among other initiatives, are underway, as substantive national commitment and investment in expanding this programme is critical for its survival. Currently, GoU commitment of 1% of the grant amounts are a challenge to meet, and this is resulting in vacant posts at district level and subsequent delays in targeting and registration processes.

Figure 11: Gov't of Uganda vs. donor funding to SAGE



A district official in Kyegegwa stated that “operations were suspended for 2 months and the outcry was enormous. The economic and especially the political consequences of abandoning this programme are dire and I hope government will continue the programme even after the donors have pulled out

Social Insurance

- Diversify social security measures to cover more people, those employed in the formal and informal sector as well as the unemployed;
- Establish a regulatory agency;
- Liberalize the provision of national social security services to allow more providers or fund managers to cover other areas such as hospitalization, housing and pensions

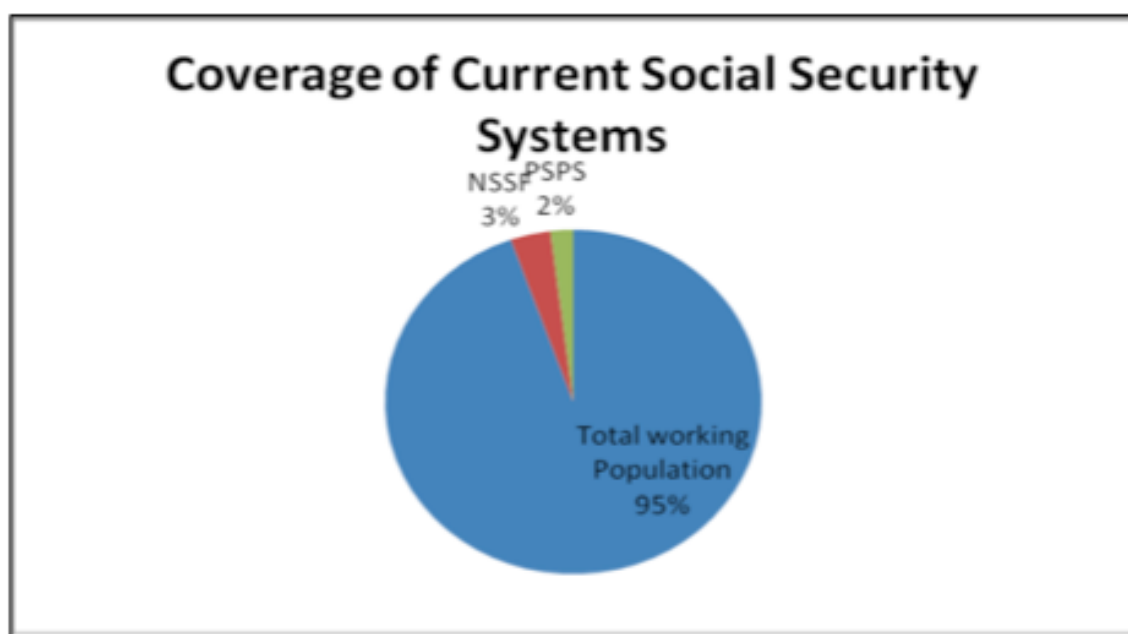
The formal social insurance system in Uganda remains very limited, with only a small percentage of the population able to benefit – largely those working in formal employment. According to the UNHS 2009/10, 85.26% of the total working population is in the informal sector compared to 14.74% in the formal sector (UNHS 2009/10). The two main schemes that are similar to social insurance schemes are the National Social Security Fund and the Public Service Pension Scheme.

- The National Social Security Fund is the largest social security programme, and the products they offer include an old age benefit, a survivor grant, and invalidity benefit and an emigration benefit. It is a provident fund, managed by a semi-autonomous government agency, and has a monopoly over the sector.

- The Public Service Pension Scheme is currently non-contributory and financed out of general tax revenues. The pension payments include a one-off lump sum payment upon retirement based on the number of years of service and the final salary and then monthly payments based on the current salary paid to civil servants in similar positions as the retiree's final position. The system is therefore a generous one, being non-contributory and paying a defined benefit. As a result, the system has been unsustainable, with the majority not receiving their pensions as promised, and payments being in arrears. The scheme currently has 227,600 active members and 31,500 people currently in receipt of an old age pension through this scheme. The total expenditure between FY2007/8 and FY11/12 was 1,485 billion UGX.

Uganda's working population was estimated at 11 million people, increasing from 9.3 million in 2005/6 (UNHS 2009/10). Of these, females constitute 53%. The NSSF is the largest social security scheme and currently has 400,000 active members and pays out around 1,000 applicants every month. The Public Service Pension scheme currently has 227,600 active members and 31,500 people currently in receipt of an old age pension through this scheme. This brings the total number persons covered to 627,000, which represents 5.7% of the total population as illustrated in the chart below.

Figure 12: Coverage of current social security systems



However, challenges with these existing social insurance schemes have been documented (ESP, 2011). Firstly, it is recognised that the PSPS does not cover life-cycle risks such as health or invalidity. Secondly, administrative hurdles also mean that actual payment of public sector pensions on retirement can be challenging. For the NSSF, life-cycle risks such as unemployment and sickness are not currently catered for. Thirdly, and crucially, the fund is a provident fund that provides lump sums rather than a regular pension – so defeating the income security purpose for which social protection arrangements are normally intended.

Lastly, around 93 per cent of Uganda's working population are left not covered by any formal social insurance schemes. Furthermore, the formal sector workers who are covered by the existing schemes tend to be among the least poor segment of the population. In terms of Uganda's poverty and vulnerability reduction efforts, the formal social insurance system at present therefore has limited impact, given that 21 per cent of Uganda's population who work in the informal sector are not addressed through current schemes (ESP, 2011).

As a result of these ongoing challenges, The Liberalisation of the Retirement Benefits Sector Act, 2012, aims at reforming these two schemes, as well as liberalising the whole sector in order to: remove the monopoly over mandatory contributions; provide for fair competition among licenced retirement benefits schemes; consolidate and reform the law relating to retirement benefits; convert the public service pension scheme into a contributory scheme that is more sustainable, and repeal the Pensions Act and the NSSF Act. Amongst other reforms, the Liberalisation Act increases the number and types of benefits available to include survivors, medical, maternity and unemployment benefits amongst others. It will also allow for more fund managers and providers so citizens have more choices regarding whom to invest with.

Uganda Retirement Benefits Authority, established during the NDP period, serves as an independent regulatory authority responsible for regulating the establishment and operation of retirement benefits schemes in Uganda in both the private and public sectors. This is critical, as management and provision of social security by government results in inefficiencies and resource leakages. According to a consultation with the Public Service sector, there are currently thirty-eight business steps involved in a file being submitted, which takes a long time and causes backlogs in processing.

The Inter Ministerial Taskforce on the Reform of the Public Service Pension Scheme recently made the following key recommendations on reform of the public service pension scheme:

- Introduce a Contributory Pension Scheme with a 15% contribution (10% by Employer and 5% by the Employee) with effect from 1st July 2013.
- Health insurance will be an integral part of the new scheme. Therefore, 1% of the members' contributions will be paid into the proposed National Health Insurance.

Given that public pensions are allocated a budget more than 100 times greater than government spending on social care services and direct income support together, it is envisaged that the reforms being introduced will have a major positive impact on improving the equity and sustainability of public expenditure by making the pension a contributory system.

Despite the vision, strides and progress towards reform and liberalisation, there remain significant challenges. One of them is the political commitment and motivation to eventually include the informal sector and unemployed. Evolved social insurance systems, such as those that exist in OECD countries, include both comprehensive social security mechanisms, where tax financing and contributions from the formal sector cover the informal. It would require registration of all citizens (formal and informal), through a social security number or national ID that would then entitle them to benefits. There is a need for progressive and evolved thinking about what the vulnerable are entitled to as citizens, as well as systems to ensure effective delivery of these entitlements. Greater awareness and advocacy around evolved social insurance systems need to take place.

Other challenges include integrating the National Health Insurance scheme into the liberalisation and reform process, which can happen once the Health Ministry decide upon contribution amounts. This has been slow moving, but is an integral step.

The major milestones, challenges and achievements of the reform process thus far, as well as goals and next steps for the remainder of the NDP period, are summarized below.

Box 4: Key points on the liberalisation of the pension sector**Objectives of liberalizing the pension sector:**

- Improve governance: currently, too many leakages in the public pension sector, and should be governed outside of government
- Break the NSSF monopoly and introduce competition
- Improve coverage to SME's, self-employed, and the informal sector
- Attain fiscal sustainability: generous public pension schemes are proving to be unsustainable
- Ensure consistency in benefits across the population: currently, low income public employees cannot live off of their pension

Progress during the NDP period:

- Pension reform is a two step-process: first a regulatory framework must be established, and then the liberalization process. The regulatory framework - the Uganda Retirement Benefits Regulatory Act, 2011- has been established
- Made considerable process with the liberalization bill. The bill is in place, amendments are being worked out, and envisioned that it shall become law by the end of the year

Challenges during the NDP period:

- Once the liberalization bill has passed, efforts to reform the public sector need to begin. A public sector fund needs to be created, but slow-moving process due to human resource constraints (the champions have been removed due to public pension scandal.) The initiative also has to be owned by Ministry of public service, not the Ministry of Finance
- Integrating the National Health Care Insurance into the liberalization bill has been a challenge. Both should be implemented together so that citizens can put in contributions for retirement and health as one joint contribution(similar to the Rwanda system). But difficulty in agreeing on contribution amounts

Goals for the remainder and next phase of the NDP:

- For every public pensioner to receive their pension, and for all those in the formal sector to start contributing to a pension
- For dialogue to be strengthened so politicians can begin to see the importance of bringing the informal into this sector.
- Long-term goals and recommendations:
- The next NDP must move beyond reform, and ensure universal coverage for pensions. The Senior Citizens Grant should be owned by the government, and a commitment to it made in the NDP
- National health insurance should be included in the next NDP
- Establish a data management system for the different categories of vulnerable groups and workers in the formal and informal sectors and the unemployed

Data management includes two components – a monitoring and evaluation system of programme and beneficiaries, as well as a database where all formal and informal workers are registered.

For the former, M&E systems for social protection programme are still considerably weak. The Director of Social Protection argued, “systems are disaggregated...and something is required where people in the districts can regularly pull reports to understand challenges on the ground...”

This was confirmed by our visit with the Commissioner for the Disability and Elderly, who confirmed it was “impossible to pull data on the number of beneficiaries who have received the disability grant...we have no data management system, we only rely on UBOS for statistics.” Similarly, the Ministry of Public Service said that their “systems are always down for about two weeks at a time, which cause further delays to creating files and processing.”

The districts have various MIS systems at departmental level – i.e. health, education, roads, community development, finance, NAADS, FAL, etc. Some districts once had a community information system (CIS) whose data was used by the Uganda Bureau of Statistics (UBOS) but this is no longer functional. There was also the Local Government Information and Communication System (LOGICS) which tracks information on all variables including health, education, community services, etc. This too is not functional anymore as funding for it expired.

M&E frustrations were echoed at the district level, where officials generally complained that there was inadequate funding for ‘data management.’ Rather, programmes were monitored through ‘ad-hoc visits’ (although access to transport and fuel for project visits were also a challenge), and data on programme indicators were not systematically recorded. District level staff also expressed frustration at being asked to collect data, and send to national level, but we are never given any feedback. As one district official stated, “What is the point of collecting data if we do not learn anything from it?”

SAGE seems to be the exception, with well-developed monitoring and evaluation systems in place at the district level, and easy access to information and report generation at the national level. Given the challenges in harmonizing social protection policies into one framework, it is unsurprising that harmonizing social protection programmes into a consolidated M&E system is difficult to achieve. However, it is critical if information is to be utilized to modify and improve operations on the ground, scale-up pilot programme, build a cadre of staff who are informed of their project performance, which all invariably leads to stronger programme implementation.

The second area, a database for both the informal sector, is underway. The Labour and Employment division within the MGLSD is currently developing a database for the formal sector, although it is a challenge to register everyone within the informal sector, which is the majority of the country. The unit that is controlling this initiative is grossly underfunded and understaffed, and although it is a priority, progress at this level of funding will be slow.

- **Establish public and support private health insurance schemes**

The NDP and the Health Sector Strategic Plan prioritize the establishment of health insurance schemes as a key milestone in increasing access to health care. In the Health Sector Strategic Plan, universal accessibility to the Uganda National Minimum health care package (UNMHCP) is articulated. This notwithstanding, nearly 5% of the households in Uganda are experiencing catastrophic payments while 2.3% are impoverished because of medical bills. The establishment of the National Health Insurance Scheme will thus cater for the majority of Ugandans (HSSP 2010, p. 10).

This commitment towards establishing a social health insurance scheme has, however, progressed very slowly. In 2009, a Bill on the Health Insurance Scheme was tabled in Parliament and has not yet been debated – although the reasons for the delay are unclear. The Bill proposes a contributory scheme that will be implemented in phases starting with the public and others in the formal sector, and that gradually rolls out to the formal and informal sectors over time. It also proposes that government shall support Community Health Insurance Schemes (CHIS) to cover the informal sector – through payment of premiums for indigents.

Currently, there are 10 private health Insurance providers, mainly targeting employees in the formal sector. A number of Community Based Health Insurance Schemes are operational in various parts of the country. These also have an umbrella organization-Uganda Community Based Health Financing Association that seeks to bring together the different actors involved .

As with the pension reform bill, the health insurance bill is still in its nascent stages, but health insurance will be an integral part of the new scheme. One percent of members' contributions will be paid into the proposed National Health Insurance.

Box 5: Comments on draft national health insurance scheme (NHIS)

Overview of the NHIS:

The National Health Insurance Scheme is to be comprised of four sub-schemes. These are (i) Social Health Insurance Scheme (SHIS) to mainly cover public servants, (ii) Private Commercial Health Insurance Scheme (PCHIS) to mainly cover private formal sector workers, (iii) Community Health Insurance Schemes (CHIS) to cover informal sector and (iv) Third Party Health Administrators (TPHA) to cater for companies hired to administer health benefits only, without taking risk.

The bill is comprehensive and well thought through, and implementing it in phases – starting with the public service, which is the easiest to do a shared contributory/non-contributory scheme with, is imminently sensible. The biggest potential challenge exists with Community Health Insurance Schemes (CHIS) to cover the informal sector. It states, as a part of the bill that "The Government shall take practical measures to pay a premium into the CHIS for the indigents." This suggests a mechanism of poverty targeting, which countries have had difficulty in implementing. In Vietnam, only 40% of poor are enrolled into the Social Health Insurance scheme for informal workers. In Colombia, less than half of the target group is enrolled. In Mexico, only 43% of those enrolled fall within the poorest 20% (target group) (World Bank, 2008).

Challenges of implementing the scheme:

The Health Insurance Bill does not specify whether enrollment is voluntary or mandatory for CHIS, although both raise concerns. Typically, when enrollment of the informal sector is voluntary, it is low. For instance, only 14% of the informal sector are enrolled in the Philippines, and 15% in Vietnam (ibid). Only China has succeeded, with 80% coverage in pilot counties - but premiums are very low and services provided are minimal. The rates do not differ much with obligatory enrolment. Colombia, for instance, still has only 14% enrollment, even with mandatory membership. One must also consider the challenge of adverse selection, since those enrolling are often more likely to be ill. The Vietnam CBHI scheme was suspended in 2005/06 because of adverse selection (ibid).

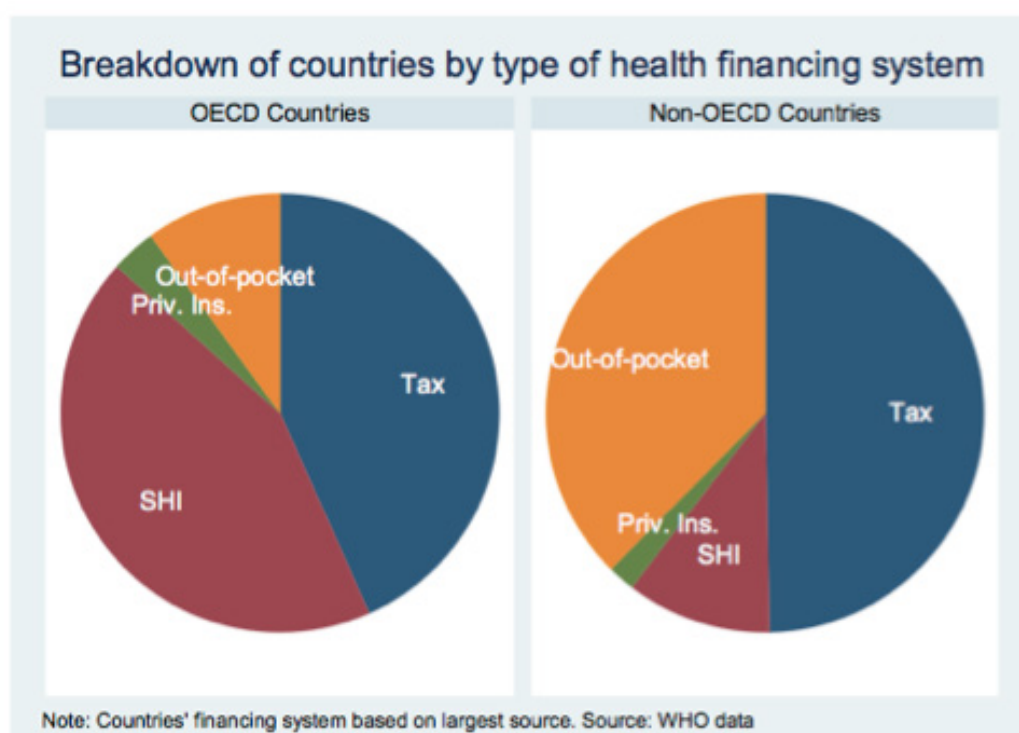
Referring back to the point that data management systems to register all informal workers are still grossly underfunded and under-prioritised. It would be expected that these systems would need to be linked – which does raise concerns around the practical feasibility and funding commitments to reaching the informal sector.

Having a separate scheme for formal sector - via a Private Commercial Health Insurance Scheme (PCHIS) - also raises considerations around the political economy of the initiative. If the public service have a Social Health Insurance scheme, the formal sector have their own scheme, who will politically support the CHIS for the informal sector? Considering that the majority of Ugandans are employed in the informal sector, the scheme needs significant government backing – either through private partnerships, and/or a tax-financed system.

Recommendation:

Most National Health Insurance schemes are financed via a hybrid system (see Figure 12) – a combination of out of pocket, tax, private insurance and social health insurance. However, tax-financed systems (as in OECD countries) are politically popular because everyone uses it – not just the indigent or informal workers. In other countries, such as Rwanda, CHIS for the informal sector are heavily donor backed – which does raise concerns of the long-term sustainability of the initiative

Figure 13: Hybrid health financing systems



Source: World Bank, 2008

There are clearly challenges of financing – particularly in an environment where fiscal resources for non-productive sectors, such as Health, are much lower than originally projected in the NDP. Regardless, significant strides have been made toward “ensuring universal access to quality health services” through the National Health Insurance Scheme. It is still too early to determine whether these services will in fact reach the most vulnerable – but the fact that they have been included in the NHIS Bill is an achievement and step in the right direction.

Social care services

- **Develop and implement social transfer programmes including cash transfer programmes for persons with disability**

There are currently three programmes for the disabled within the Commission for Disability and the Elderly. They include the Disability Grant, the Community Based Rehabilitation Program, and the Victim Assistance Program for Mine Survivors (see Table 8 for a program overview):

Table 9: Government of Uganda disability programmes

Program	Description	Budget	Beneficiaries
Disability grant	Community groups receive technical assistance and grants for income generating activities based upon submitted proposals.	Roughly 3 million UGHX for 2010 -2013	Implemented nationwide but no count of beneficiaries
CBRP	Community-based rehabilitation for people living with disabilities is a project that includes government support for community- based care initiatives in 18 districts (mainly in the form of developing guidelines, M&E, transportation, and IT equipment).	986 million from 2009 - 2012(PER, 2012)	
	Implemented in 25 districts, but no count of beneficiaries		
Victim Assistance or Mine Survivors	Funded by UNDP in 2009, this programme includes a component for psychosocial support provided by CDOs. Additional expenditure outside of CDO salaries in the previous line item are not included, since the specific programme budget funds a range of activities all of which fall outside of the social protection sector.	N/A	N/A

There is also assistance provided to children with special needs, where the Commissioner for Disability and Elderly target the children in the community, and then connect them with the Ministry of Health to provide them with hearing devices, and Ministry of Education to provide them with schooling.

The Commission for the Disability and Elderly has made some notable achievements during the NDP period – namely approving the National Policy for Older Persons and developing the “Guidelines on Special Grants for People with Disabilities.” These were developed and disseminated to guide utilization of funds disbursed to 48 Local Governments. According to the Planning Commissioner for Disability and Elderly, “the policies’ and guidelines helps us to ensure that partner NGOs, CSOs, and district staff are all following the same protocol, and that we are working towards joint strategies and objectives.” The Ministry feels strongly that its work in the communities has transformed people’s perceptions of the disabled, and they see them more as contributing members of society.

However, challenges also exist, the biggest barrier appears to be funding and the capacity of the district level staff. Whilst the district staff should have special skills (e.g. literacy in sign language), the funding is not there for this type of investment. Also, whilst districts have been multiplying and coverage increasing, resources have not multiplied with this larger remit. This affects the amount that each group can receive as a grant, and the number of groups that can benefit. District level budget estimates for people with disabilities are discussed in sub-section x.

- **Support comprehensive community response programmes for vulnerable groups (OVCs, widows, old persons and ethnic minorities) through partnerships with civil society organizations**

There are several international and local NGOs partnering with the GoU to deliver the remit of care to OVCs, widows, the elderly, etc. In Rakai, the Sun Rise OVC Project is implemented through a Technical Service Organisation called Save the Children Alliance. In Jinja, the district officials did not name the civil society organisations, but stated that there are initiatives "to keep OVC children in school, fight for their rights, end child labour." In Napak, UNICEF, UN Women and Save the Children International offer support to OVCs in form of relief and psychosocial support. District level budget estimates towards these programmes and other community-based programmes are presented in the analysis below. District officials stated that these programmes work in close collaboration with local government, and government officials are involved in technical training, monitoring, and ensuring that programs are in line with the OVC Policy and Implementation Guidelines published by the Commission of Children's Affairs.

Whilst most community response programs are supported by civil society and development partners, investment is required from the GoU to tackle this sustainably for the long term. The Assistant Commissioner of Youth and Children's Affairs aptly stated,

The national budgets for OVCs have been steadily decreasing...with a stronger reliance on development partners. It is as if the children in this country are being mortgaged, and it is the responsibility of people out of this country to look after them.

As also noted in the Public Expenditure Review,

The emphasis in the OVC Policy and the NSPPI is largely on the assumption of ongoing donor/ CSO support for implementation in these areas. There is a similarly somewhat limited commitment to delivery in the National Plan of Action on Older Persons.... commitments made in the policies for older persons and OVCs were not met with an allocation of resources to allow them to be implemented...The emphasis is on developing a cash transfer programme and expanding social care services, but there is no specific commitment in terms of the scale or scope of services to be delivered. The conclusion from this assessment of the policy and strategic context is therefore that there is a somewhat limited level of commitment to social protection in terms of government interventions. (PER, 2012)

- **Provide social protection for abused and neglected children and babies who are in need of care and protection in collaboration with the civil society organizations.**

A National Strategic Programme Plan of Interventions for Orphans and Other Vulnerable Children (2011/12-2015/16) was developed, in line with the objectives set out in the NDP, the priorities within the SIDP 2, and the OVC Policy. Within this programme plan, support to 'street/ abandoned/neglected children' are included as a category of 'critically vulnerable children'. This is being operationalized by a few key initiatives.

Given that 25% of child pregnancies result in abandoned children the Ministry of Youth and Children's Affairs have taken the responsibility of picking up these children and placing them in the Naguru Reception Centre, which is a government funded initiative.

In addition, the Youth and Children Affairs programme includes M&E, renovation, and maintenance of institutions for children, the resettlement of street children and feeding, education and clothing to children in institutional care. Total expenditure between FY07/08 and FY11/12 was UGX 6 billion.

DFID also support civil society organisations to include support to one-stop centres for abused girls and women (MGLSD, 2012). Other OVC programmes, such as strengthening the quality and number of orphanages, are heavily donor funded and budgets and beneficiary numbers for these programmes are not available.

- **Strengthen institutional rehabilitation services for children with disabilities and those in conflict with the law**

Limited evidence has been found on institutional rehabilitation for children with disabilities and in-conflict with the law in the literature review or consultations. This did not emerge as a significant area of spending, nor was it reflected as a priority area by the Commission of Children's Affairs.

- **Expand community based rehabilitation services for older persons, people with disabilities (PWDs) and children with special needs to all districts in the country.**

From drawing upon district level budgets and analysis of district development plans, it appears that government commitments to community-based services are either stagnant or reducing. Figures 14-19 show district budget estimates towards community based services, which will be discussed below.

Figure 14: Budget estimates for community-based services in Napak

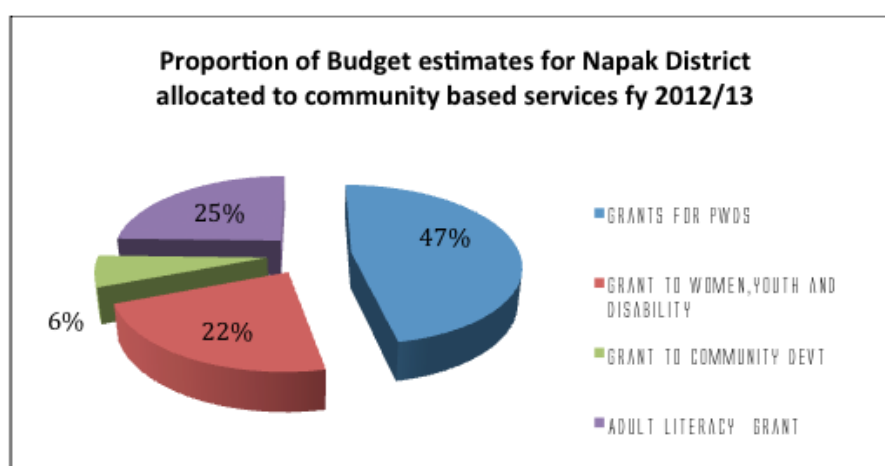


Figure 15: Budget estimates for community-based services in Rukungiri

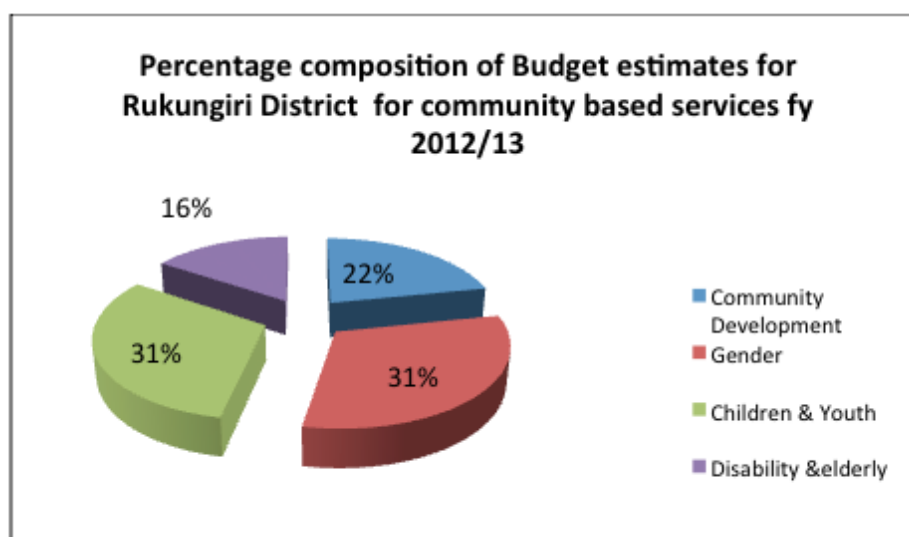


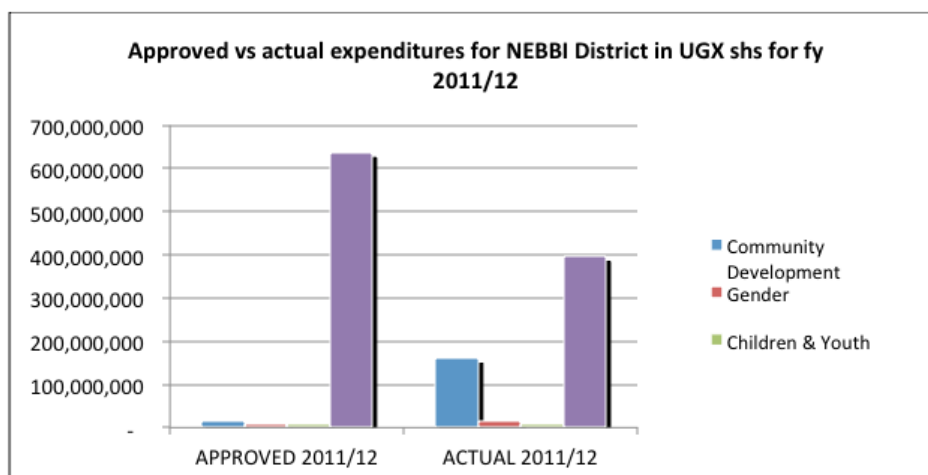
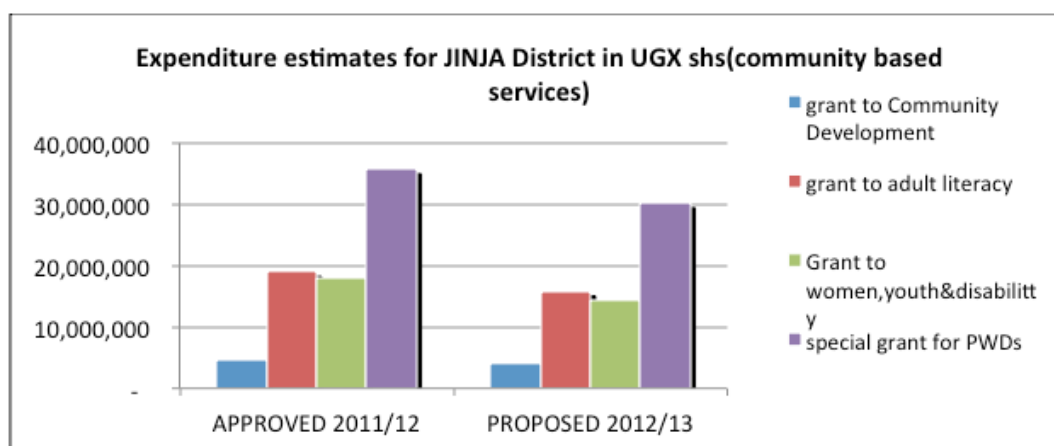
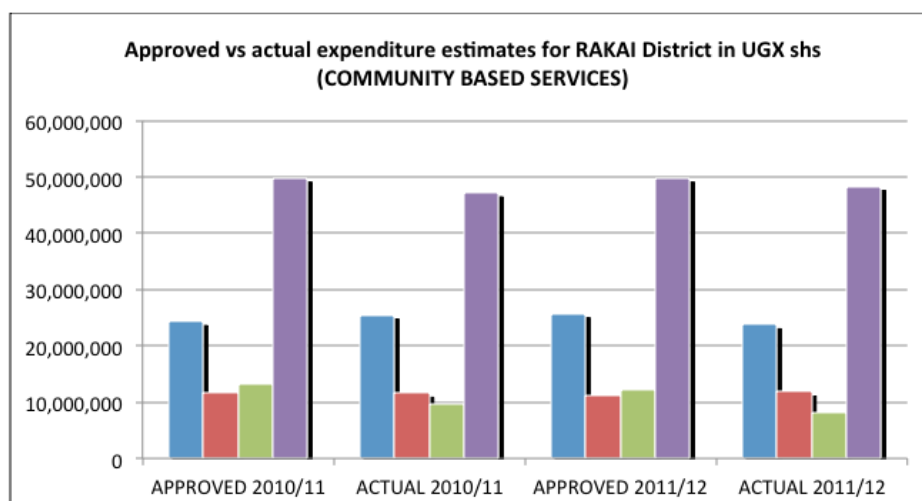
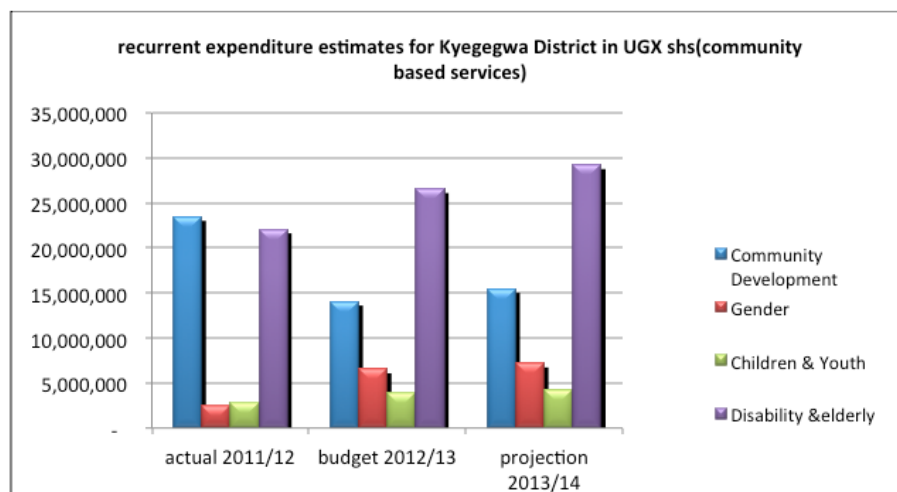
Figure 16: Budget estimates for community-based services in Nebbi**Figure 17: Budget estimates for community-based services in Jinja****Figure 18: Budget estimates for community-based services for Rakai**

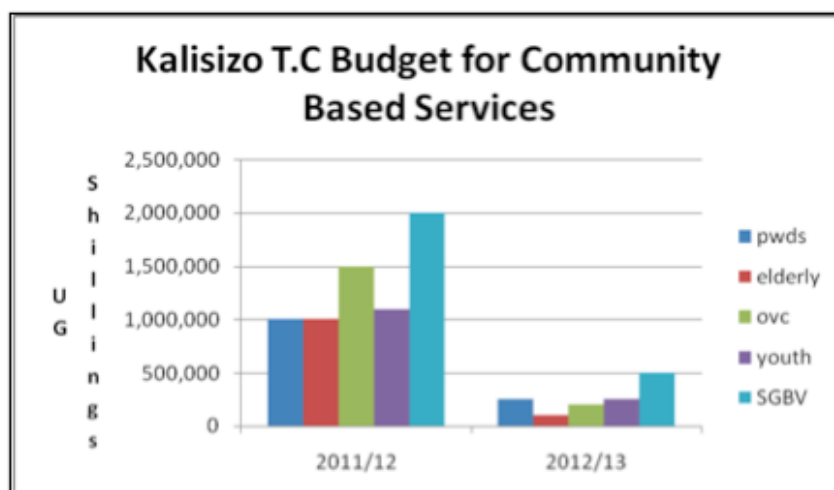
Figure 19: Expenditure estimates for community-based services for Kyegegwa

We can draw some significant lessons from the district budget estimates on community-based services. Firstly, community-based services for people with disabilities take the lion's share of the local budget (with the exception of Rukungiri), and programmes for children have the lowest budget allocations. Although district officials did not comment on this, the Commissioner for Children's Affairs attribute this to the fact programmes for OVCs and vulnerable youth rely mainly on private and public partnerships for funding and implementation, and are not a government priority:

If you invest in children and adolescents, you can unleash their potential and give them opportunities, breaking the cycle of poverty early on. Poor children turn into poor adults unless you invest – but the government has failed to realize this. There needs to be more awareness of the costs, and opportunity costs, of insufficient investment in children.

According to the Commissioner of Disability and Elderly, local level budgets for disability programmes have remained stagnant over the past 3 years, which is more or less reflected in the budgets (other than Nebbi). However, district level officials claim that the conditional grants that they receive to implement such programmes are dwindling every year, and the amount that each group receives to implement income generating activities (from 500,000 to 3 million UGX) is “a drop in the ocean” and insufficient to catalyse any form of change.

The following budget from a local town council in Rakai shows a drop in funding for community based services in general, although it is not known whether this is representative across sub-counties:

Figure 20: Sub-county budget allocations for community based services

According to the sub-county official,

“Previously we got more revenue. There is now a reduction in revenue collection. My department is supported from local revenues. Community services department is vulnerable. At sub county level we do not have donor funds.”

A reduction in funding for community-based services is also reflected in the Approved District Budget in Napak (see Table 8).

Table 10: Budget for community-based services in Napak

	2010/11	2011/12	2012/13
Community based services	1,183,361,690	465,912,000	711,863

It is apparent from the District Development Plans (DDPs) and budgets across the study districts that, at a local level, social protection translates mainly to SAGE and community based services. Funding is already low, as compared to other local budget sectors, given that DDPs reflect NDP priorities of production and growth. According to the DDP in Kyegegwa:

The Poverty Reduction Strategy is focused on improving the productivity of the poor by achieving strong growth within an enabling environment. This will catalyze and sustain contributions of the poor through development

Further reduced allocations in coming years is a real concern for local governments:

There is no hope of districts affording to deliver community based services without adequate resources from the central government. Typically these programmes receive little direct funding from government. Even the money that goes to OVC programming at district level is from development partners, and there are no such resources going to sub county levels. There is nothing going to the elderly. – District official in Jinja

The resources are definitely not enough. Demand is very high. Given the socioeconomic situation of rural communities, everyone is at risk of poverty and vulnerability and they all need community-based services. At lower local governments where actual implementation takes place the resources become even thinner as they mostly have to depend on local revenue. – District official in Rakai

5.2 Agriculture Sector

5.2.1 Budget analysis and planning

Referring back to Chapter 4, NDP constraints, objectives, strategies and interventions pertaining to Agriculture are as follows:

Sector:
Agriculture

Constraints to the Performance of the sector:

- High risks and cost of investment
- High cost and limited availability of improved farm inputs
- Limited human resource capacity
- Weak institutions and structures
- Traditional and cultural attitudes
- Poor management of natural resources
- Inadequate physical infrastructure
- Absence of data and information
- Land tenure and access to farmland
- Standards, food safety and quality assurance infrastructure
- Inadequate Meteorological services
- Inadequate pest and disease control
- Inadequate production and post-harvest facilities
- Limited extension support
- Weak value chain linkages

Objective:

- Enhance agricultural production and productivity
- Improve access to and sustainability of markets. Create an enabling environment for competitive investment in agriculture. Enhance institutional development in the Agriculture sector

Strategy:

- Improve agricultural livelihoods in Northern Uganda

Proposed interventions:

- Increase agricultural production and productivity by addressing the absence of productive assets and agricultural knowledge
- Rebuild productive market infrastructure in support of farming by rehabilitating rural infrastructure, like community access roads, water points, crushes, markets

It is apparent that the majority of the constraints and objectives presented within the Agriculture sub-sector are focused upon production, markets and investment. Those that can be construed as social protection in nature are the following:

- Constraints: inadequate physical infrastructure
- Objective: Enhance agricultural production and productivity
- Strategy: Improve agricultural livelihoods in Northern Uganda
- Proposed interventions:
 - o Increase agricultural production and productivity by addressing the absence of productive assets and agricultural knowledge
 - o Rebuild productive market infrastructure in support of farming by rehabilitating rural infrastructure, like community access roads, water points, crushes, markets

The implementation of these interventions will be further discussed in the next section (5.2.2)

It should be noted, however, that social protection is not within the remit of the Agriculture Sector. Analysis of the Agriculture Development Sector Investment Plan, national budgets, and consultations with the Ministry of Agriculture corroborate they are not implementing any programmes that are of a social protection nature. As stated in consultations with the Ministry of Agriculture,

Investments under the Development Sector Investment Plan have been packaged under four Programmes representing the key areas of opportunity: (i) Enhancing Production and Productivity; (ii) Improving Access to Markets and Value Addition; (iii) Creating an Enabling Environment, and (iv) Institutional Strengthening in the Sector. Under these programmes, social protection does not feature as an approach.

Further to this, the Public Expenditure Review's mapping of social protection categories, agricultural interventions were not categorized as a form of social protection (PER, 2012).

It should also be recognized that social protection is not necessarily the most appropriate policy response for everyone. Using the example of small-scale farmers, as a first priority, they need support from the agriculture sector in the form of agricultural extension services, seeds and tools, or support from Roads. However, these forms of support are not characterized as social protection.

Consultations with the Ministry of Agriculture reaffirm the viewpoint that social protection is outside their purview:

Our own understanding of Social protection is not clear. Perhaps NAADS can be considered social protection because it helps vulnerable farmers, but we have never thought of it as such. - NAADS Director, Ministry of Agriculture

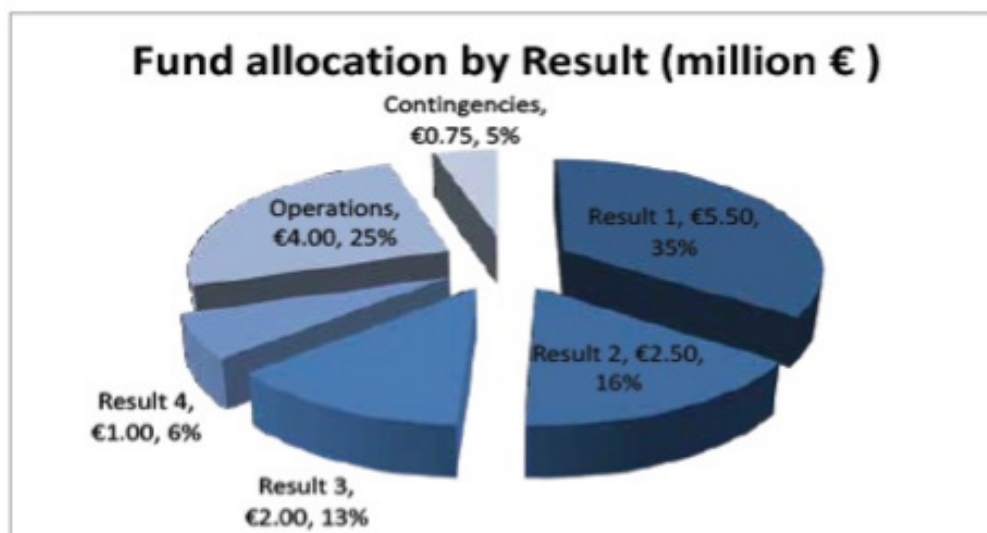
The constraints, objectives and interventions that are of a social protection nature have been addressed through public works schemes implemented by the Office of the Prime Minister (OPM), under the Peace, Recovery, and Development Plan (PRDP) for Northern Uganda. Our analysis therefore turns to the following public works programmes: NUSAF 2, KALIP and ALREP.

5.2.2 Implementation of interventions

During the two and half years of the implementing the NDP, progress has been made in improving agricultural livelihoods in Northern Uganda. The flagship interventions to achieve this have included NUSAF 2, KALIP and ALREP. While these programmes have other activities beyond the scope of social protection, they have implemented cash for work interventions aimed at transferring resources to vulnerable youth, enabling them meet their consumption needs while rebuilding productive market infrastructure (e.g. community access roads, water points) through use of labour intensive works.

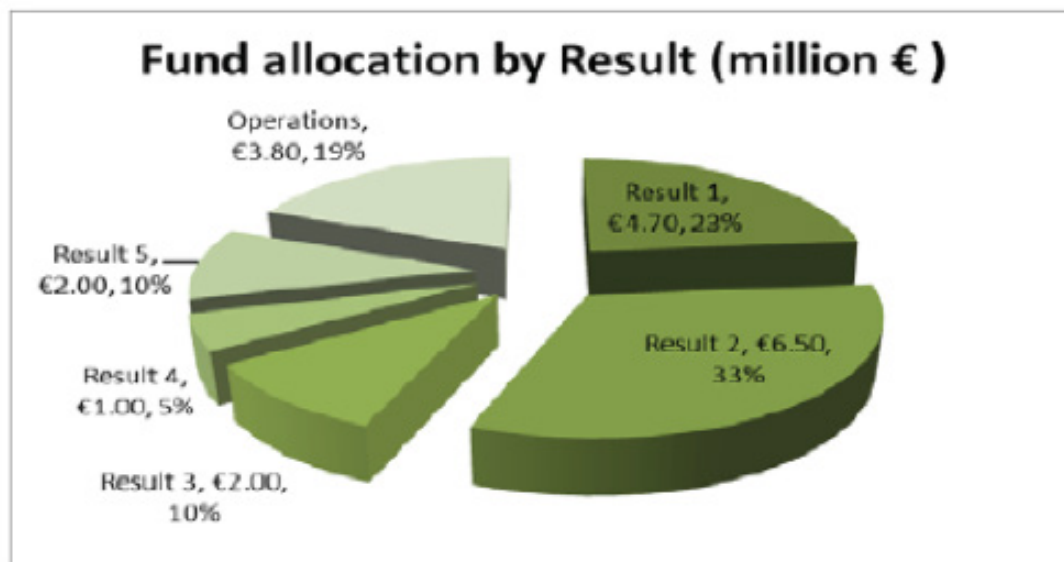
There is debate as to whether these programmes should be classified as social protection, given the short-term nature of the support that they provide. However, borrowing from the Public Expenditure Review on Social Protection (PER, 2011), we have included public works as social protection for two reasons:

- Public works are recognised as social protection instruments in the international literature;
- Social protection should not be restricted to addressing only chronic poverty. Transitory shocks are also highly relevant to social protection (indeed, many pillars of social protection in developed countries respond precisely to such transitory shocks such as unemployment or illness).
- A review of KALIP and ALREP programmes revealed that 35% of KALIP and 33% of ALREP funding is allocated towards public works programmes (see figure below).

Figure 21: Funding towards public works ms

Source: ALREP programme document

In the last quarter (January – March 2013) alone, 3,644 youth benefited from the programme, and constructed 26 dams in Kotido and 24 dams in Kaabong districts. A total income of Ugx. 34,122,000 went to the Kotido youth and Ugx. 31,488,000 to Kaabong youth Under ALREP public works programmes .

Figure 22: Figure showing percentage of funds going to public works under the ALREP and KALIP programmes

Source: NUSAF programme document

Similarly, NUSAF 2 has supported 115 public works projects in the PRDP region. The vast majority of these public works projects involve construction of community access roads in the districts of; Gulu, Kitgum, Budaka, Butaleja, Tororo, Bududa, Bukwo, Kapchorwa, Sironko, Amolatar, Apac, Dokolo, Lira, Kaberamaido, Soroti, Adjumani, Arua, Koboko, Moyo, Nebbi and Yumbe.

NUSAF 2 is funded by the Government of Uganda through an IDA credit of US\$ 100 million and allocated as shown in Table .

Table 11: Funding for NUSAF 2

S/N	Component	Planned No. of		Amount
		Subjects	Primary Beneficiaries	(US\$)
1	Livelihood Investment Support (List)			
1.1	Public works program(PWP)	1,000	250,000	20,000,000
1.2		8,000	600,000	40,000,000
	Sub-total	9,000	850,000	60,000,000
2	Community Infrastructure Rehabilitation(CIR)	1,000	454,821	30,000,00
3	Institutional Development (ID)			
3.1	Project Implementation support (PIS)			9,000,000
3.2	Transparency, Accountability and Anti-Corruption Program(TAACP)			1,000,000
	Sub-Total			10,000,000
	Grand Total	10,000	1,304,821	100,000,000

Source; NUSAF 2 Public Works Handbook

An evaluation of NUSAF 2 highlights that the programme aimed to provide a period of employment to participants to enable them to i) increase consumption, ii) invest in income generating activities and food production, and iii) purchase basic goods and services. Employment was provided for a one-off 22-day period at a wage rate of 4,000 Uganda shillings per day, which enabled a small temporary increase in household consumption. However, the evaluation showed that total value of the cash transferred was not sufficient to relieve the capital constraints to significant agricultural or IGA investment. The programme aimed to support the food insecure, but given the limited labour available in many food insecure households, this group struggled to participate due to the work requirement. The evaluation attributes this to implementation challenges, but also mentions that assets are not likely to result in increases in household incomes, the promotion of productivity or a reduction of food insecurity (McCord, A. et al 2012).

In terms of alignment with the NDP, the review noted that while implementation of NUSAF started before the NDP through NUSAF 1, and subsequently NUSAF 2, an attempt has been made to align NUSAF 2 with the NDP. NUSAF 2 was due to end in NDP-2015 to ensure that planning for Northern Uganda be included in the next phase of the National Development Plan.

5.3 Labour and Employment

5.3.1 Budget analysis and planning

Referring back to Chapter 4, NDP objectives pertaining to Agriculture are as follows:

Sector: Labour and Employment

Constraints:

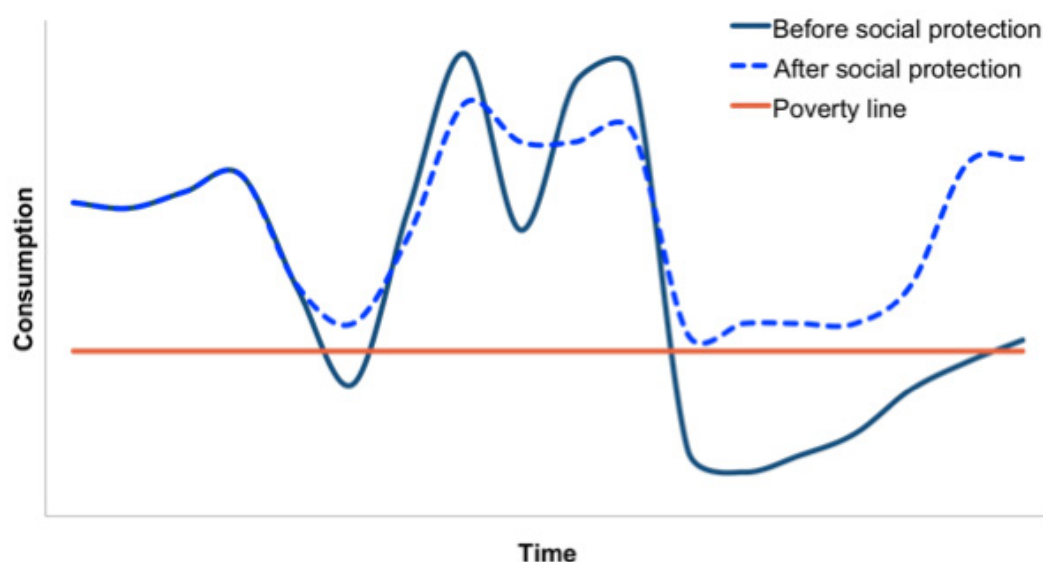
- The current education system prepares graduates to become job seekers rather than job- creators. Little emphasis is placed on entrepreneurship development.
- Inadequate attention to workers' training and retraining including the neglect of farmers in general training policies and programs
- Low levels of income and savings and inadequate financial intermediation to enable potential entrepreneurs to start new enterprises or expand existing ones.
- Poor health conditions owing to malnutrition, lack of access to clean water, unhealthy housing and environmental sanitation limit the productivity of the labour force.
- Lack of infrastructure such as roads and rail denies producers access to markets. The problem is aggravated by the absence of electricity and water for production.
- Despite the existence of technologies elsewhere in the world, Uganda's economic sectors continue to experience major deficiencies in terms of technology use and advancement.
- Non-conducive work environment such as unhygienic and hazardous work environment which is risky to people's lives.
- Weak labour market information system to facilitate efficient planning for the labour force.

Objective:

- Create an enabling environment for increasing high quality employment
- Increase protection of workers through improved compliance with labour standards
- Develop a pool of non-formal employable skills in the country.
- Increase protection of workers through improved compliance with labour standards
- Promote social dialogue and industrial harmony in the employment sub-sector

Labour and Employment is a critical sector that implements Worker's Compensation, a form of social assistance not captured within the social protection objective and interventions discussed above. Workers compensation plays a critical role in protecting workers and smoothing their consumption in the face of workplace shocks (see Figure 21)

Figure 23: Social protection and consumption smoothing



Source: World Bank, 2012

Whilst the sector is predominantly focused upon promoting an environment conducive to entrepreneurship and skills development, the protection of workers is an objective that falls squarely within the social insurance category.

It is worth noting that, in the NDP, workers compensation is not budgeted for, yet claims under workers compensation have been increasing over the years. Similarly, no releases were made to the ministry to cater for this compensation. Our discussion with officials from the Ministry of Gender, Labour and Social Development revealed that in June 2013, claims under workers compensation amounted to 31 billion Uganda shillings as a Labour and Employment sector 'project'. This could be that Workers Compensation is seen as an ongoing initiative, and not a specific time-bound programme – but it is worthy of mention.

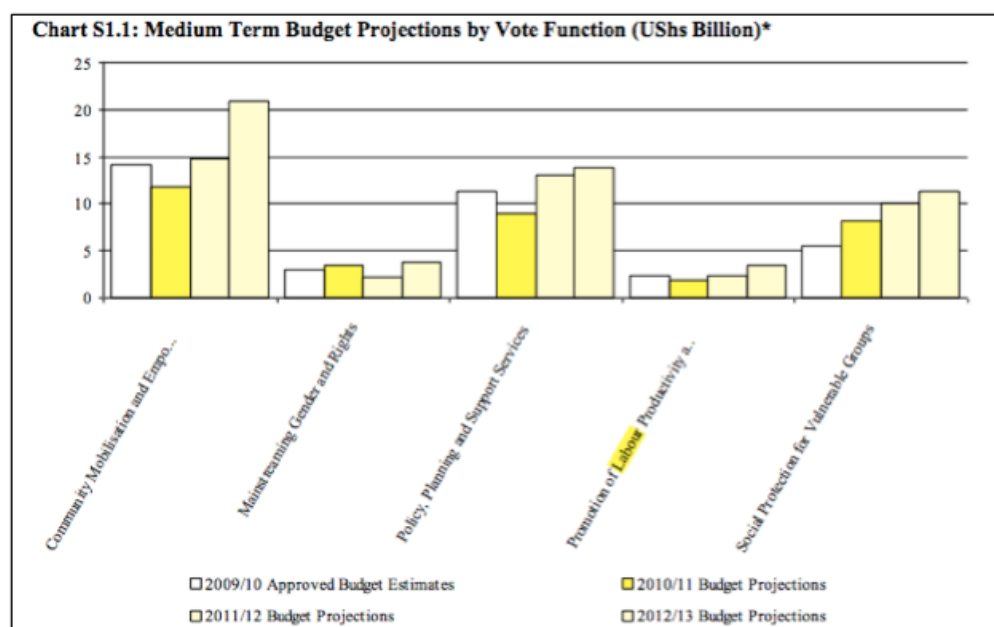
There has been issuance of a Workers Compensation Act that states, in great detail, the compensation that workers are expected to receive for every accident or injury that they experience in the workplace. Having such elaborate regulations in place indicate that there has been policy commitment to the issue.

However, commitment towards providing worker's compensation is diluted in other pertinent national documents. The Social Development Investment Plan (SDIP2) maps out sector priorities in response to these NDP objectives. They are as follows:

- Strengthening Labour Market Information System and employment services;
- Externalization of Labour
- Supporting the Informal and non-formal Sectors
- Strengthening Occupation Safety and Health (OSH) in the Workplaces
- Strengthening Social Dialogue, Tripartism and Social Justice
- Improving Productivity
- Development of Non Formal Employable Skills

It is striking that social insurance, namely workers compensation, is not highlighted as sector priority. Whilst 'strengthening occupational safety and health in the workplace' is a preventative strategy, it does not address the issue of accidents taking place, and how workers would be protected in the likelihood of the event.

Moving on to the national and medium term budget frameworks, we see that financial commitments for "Promotion of Labour Productivity and Employment" have been projected to increase from 2009/10 to 2012/13, albeit slightly. Evidently, budget allocations towards this area are the lowest, as compared to other priorities within the Social Development sector.

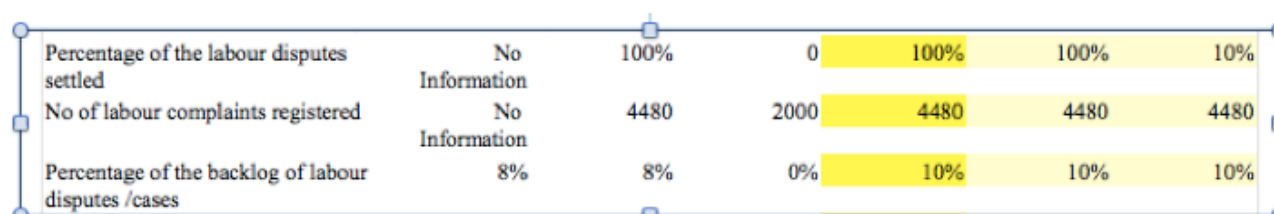
Figure 24: MTEF for Promotion of Labour Productivity – 2009/10 to 2012/12

The National Budget Framework Paper highlights an objective of “creating an enabling environment for increasing employment opportunities and productivity for improved livelihoods and social security for all, especially the poor and vulnerable.” According to the ILO definition of social security, social insurance (and hence protection for workers) is included .

5.3.2 Implementation of interventions

The Annual Performance Budget Reports for the 2009/10 – 2012/13 financial years shed more light upon these statistics. Firstly, workplace inspections contribute to an enabling environment for increased labour productivity. Consequently, there is increased protection of workers through improved compliance with labour standards. There is however, inadequate funding at the Center and in Local Governments to register and undertake sufficient inspections and investigations of workplaces (APBR, 2012/13). As a result, most of the indicators geared towards workplace inspections were not realized. In 2009/10, 360 workplaces in the major towns were due to be investigated; however, only 260 were actually investigated. Whilst 3 occupational accidents were investigated, this number is not set against a target, or benchmarked against previous years.

As depicted below, it is worth noting that the percentage of labour disputes settled are also projected to drop considerably in the 2012/13 financial year – from 100% to only 10%.

Figure 25: Percentage of labour disputes settled

Inadequacy of funds for investigations and settling of disputes appears to be the biggest challenge in realizing the targets set. In 2009/10, only 20% of labour complaints were registered against an annual target of 80%. There was also a 25% backlog of labour disputes to be arbitrated by the industrial court since it was not yet functional. In 2012/13, we see that only 10% of labour disputes will be processed (according to projections). Assuming that these labour disputes are inclusive of workers compensation disputes, this highlights a gap between planning and implementation. Whilst government commitments were made in passing regulations, and meetings have been organized to better enforce this (as stated in the APBR 2011/12), insufficient resources are preventing workers from being adequately protected.

This is further reflected in the Public Expenditure Review, which states that “budget allocations [for workers compensation] are not regular and payments tend to be rather ad hoc, with a significant level of claims in arrears.” (Wylde et al, 2012). According to the PER, 2.5 billion UGX was spent on Worker's Compensation from 2007/8 to 2011/12, although the number of recipients were not captured. Insights from consultations with the Ministry of Labour and Employment further reinforced inadequate resources for ‘human resource development’ and ‘decent protection of workers.’ He did not consider workers compensation as a sector priority or among their achievements.

5.4 Education and Sports

5.4.1 Budgeting and planning

Objectives, strategies and interventions related to social protection within the Education Sector are described below.

Table 12: Social protection related objectives, strategies and interventions within the Education and Sports sector

Objective	Strategy	Interventions
Increase access and equity of primary education for girls and boys	Support programmes targeted at disadvantaged children and the youth	

The WFP School Feeding Programme is considered to fall within the ‘complementary services’ category, as it addresses a barrier to accessing Universal Primary Education. This initiative can be seen as an operationalization of the above objective and strategy, although a feeding programme to encourage enrollment and attendance is not captured within described interventions. In this sense, the programme may not have been conceptualized at the time of the NDP – although it falls in line with NDP priorities for the sector.

The table below shows envisaged resources toward this objective, according to the NDP.

Table 13: Resources committed to the WFP Karamoja Programme in the NDP

Project	Year 1	Year 2	Year 3	Year 4	Year 5	GoU budget	Off budget	Unfunded	Total
WFP Karamoja Programme	100.6	129.36	162.86	202.2	239.06	834.08		7.6	841.68

The Education Sector Strategy from 2007-2014 states the following objectives:

- To increase and improve equitable access to quality primary education
- To improve the quality and relevance of primary education objective
- To improve effectiveness and efficiency in the delivery of Primary Education

WFP's Karamoja School Feeding Programme aims to help the GoU achieve the first objective – provide nutritious meals as an incentive to increase school enrollment, particularly for adolescent girls. As with the NDP, there was no concept of a school-feeding programme at the time of developing the sector strategy, but this initiative directly responds to the sector strategy to “support programmes targeted to disadvantaged children and youth.” Given that this is a privately funded partnership with the GoU, it makes sense that the initiative would not be explicitly stated as a proposed intervention or priority within national plans and budgets. What is important is that that privately funded partnerships are in line with sub-sector strategies and NDP objectives, and the WFP School Feeding Programme clearly is.

The National Budget Framework for 2010 to 2014 does not allocate funds specifically for school feeding, so it is not possible to situate financial commitments towards it as compared to other items in the sub-sector. However, our analyses of the Annual Performance Budget reports suggest that commitments were stronger in 2009/10 as compared to 2012/13.

In 2009/10, for instance, achievements included 700 new students being enrolled to the WFP School Feeding Programme, 15,000 tree seedlings being planted, and 1000 kgs. of bean seeds and 200 bags of cassava cuttings being provided to Karamoja schools. This highlights the nature of the public – private partnership, and the GoU's contribution to maintaining the food rations provided to children. In subsequent years (2011 – 2013), there was no mention of social protection related education initiatives in the Annual Performance Budget Reports or budget speeches. The priority seemed to shift from creating demand and accessibility for vulnerable children to access education, to supply side constraints—namely school construction, physical infrastructure, and hiring more staff. It is uncertain whether this is a reflection of a shift in government priorities in the sector.

5.4.2 Implementation of interventions

According to WFP documents and national consultations, the objectives of the initiative are two-fold:

- 1) to increase enrollment and attendance of girls and boys, and
- 2) to close the gender gap by increasing enrollment and retention of the girl child.

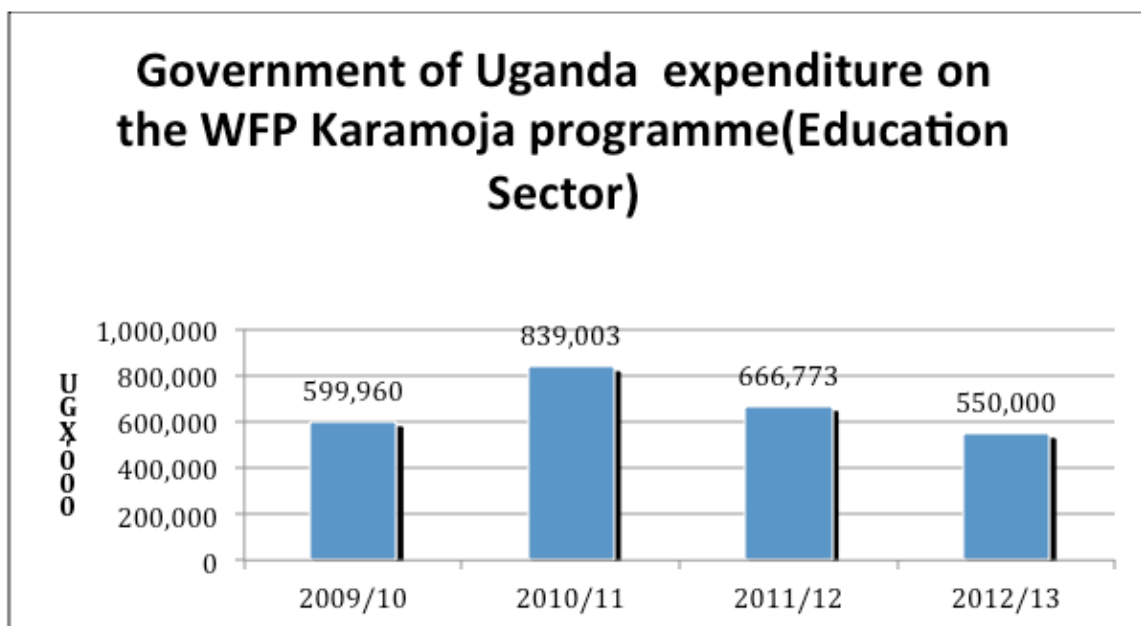
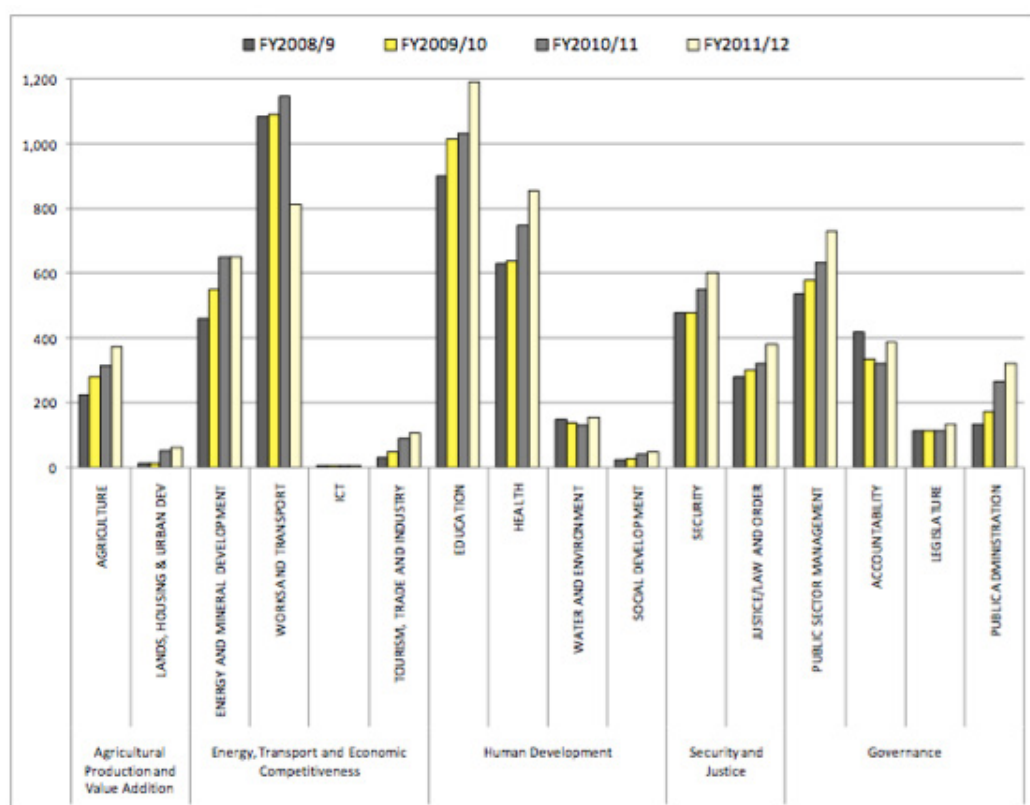
The feeding programme is implemented in seven districts of the Karamoja region (Abim, Kotido, Kabongo, Moroto, Napak, Amudat and Nakapiripirit), and in four selected schools per district.

The MoES staff in the WFP Project Monitoring Unit are supported by WFP to oversee the following tasks:

1. Monitoring delivery of foods and assessing school performance
2. Training of head teachers, school management committees (SMC), Parents Teachers Associations (PTAs) and food focal points in food management. These groups are expected to receive the food rations, mobilise parents and inform them about the programme, encourage them to send their children to school and contribute other items that are not supported by the WFP such as fuel wood, cooking pots, salt, onions, tomatoes, etc.

In terms of financial contributions, the MoES are expected to provide the cost of seedlings for the establishment of school gardens (e.g. fruit trees) and woodlots. They are expected to support the Internal Transport Storage Handling (ITSH) of food. MoES meets a quarterly disbursement of UGX 50,000,000 as counterpart funding to ensure food is delivered from Nalukolongo in Kampala District to the various depots in the project districts.

Actual expenditures for the WFP School Feeding Programme during the NDP period is displayed in the graph below:

Figure 26: Government of Uganda's expenditure on WFP School Feeding**Figure 27: Budget Allocations across sectors**

The drop in funding from 2010 to 2012/13 is noteworthy, especially in light of the Budget Speech for 2012/13:

The education sector has the largest share of our national budget with a total provision increasing from Shs 1,418 billion in the financial year ending, to Shs 1,669 billion in the next financial year. This amounts to 17% of the total budget.

What can then explain why government funding on the WFP School Feeding Programme is lower than previous years? Literature and consultations allude to the fact that although the overall budget to the sector has increased, and is substantially larger than allocated budgets for other sectors (see Figure 23), priorities have shifted away from increasing access for vulnerable students in particular, to addressing supply side constraints. In the District of Napak, district education priorities include:

- Infrastructure (classroom construction and teachers' houses)
- Teachers' salaries
- Community schools
- UPE/USE
- Training of SMCs

The DEO of NPAK corroborated that the WFP School Feeding Programme in Napak is dwindling its resources. He stated,

Between 2009 and 2012, children were provided with porridge (45g), posho (150g), beans (45g) and cooking oil (0.5mls) per day. However in 2013, these items were reduced to only porridge.

This coincides with the Budget Speech for 2012/13, highlighting Education Sector priorities to be “reducing teacher and pupil absenteeism, provision of scholastic materials, and enhancing school inspection.”

5.5 Public Sector Management

Lastly, NDP commitments toward social protection made in Public Sector Management are captured below:

Table 14: Social protection related objectives, strategies and interventions within the Public Sector Management

Objective	Strategy	Interventions
Enhance the performance of the public sector.	Implement a pension reform strategy	Review the current pension arrangements and implement a scheme for pre-retirement training. Settle pension arrears

Under this sector, social protection commitments are related to the implementation of a pension strategy reform. As already discussed, the shaping of the pension reform has been under the liberalization process of the sector. For further discussion and analysis, please see Social Insurance under Section 5.1.2

IV CONCLUSION

6. Conclusion

6.1 Summary of key points for the NDP midterm review

By way of conclusion, we shall respond to the following questions posed to all cross-cutting studies in the NDP mid-term review:

- To what extent do the NDP implementation priorities address social protection?
- How far have funding commitments been honoured/has implementation taken place in regards to social protection?
- Have the most appropriate monitoring indicators been formulated and tracked for social protection interventions?
- Going forward what is the best way of strengthening the inclusion of social protection within the NDP?

6.1.1 To what extent do NDP implementation priorities address social protection?

As we tried to highlight in this report, the main categories of social protection (e.g. direct income support, social insurance, social care services, and complementary services) have featured in the NDP. Most of them are captured within the Social Development sector, specifically under the following strategy, and the twelve interventions associated with this strategy:

Comprehensive social protection measures for the different categories of the population

However, the NDP strongly promotes 'growth and equity' over addressing vulnerability, and other NDP strategies and interventions are reflective of this. There is a clear focus towards infrastructure, job creation and an emphasis upon primary 'growth' sectors over the social sectors. It is also clear that, leveraging the agreement that social protection would be delivered vis a vis public-private partnerships, the predominant onus of implementation has been allocated to NGOs and development partners. Social care services, in particular, have taken a backseat in national priorities.

6.1.2 How far have funding commitments been honoured/has implementation taken place in regards to social protection?

Funding commitments to 'social protection for the vulnerable' have been increasing in both the MTEF as well as budget allocations during the NDP period. However, the actual release and expenditure patterns from the Annual Performance Budget Reports show quite a different pattern, with amount released decreasing steadily during the NDP period. Therefore, while financial commitments were made at the outset, they have not been achieved, and this has resulted in the inability to fulfill social protection targets (as outlined in the SIDP 2).

This is also reflected at the district level, where resources allocated to social care services has either remained stagnant or decreased during the NDP period. Analysis of district programmes also show that

community based programmes for the disabled receive the lion's share of resources, and children's programmes receive the smallest budget allocations. As aforementioned, this is largely due to the reliance of private partnerships to deliver these services. Furthermore, sub-counties – who must rely on local revenues for programmes implementation, which have declined during the NDP period – seem to face an abrupt reduction in resources for implementing social protection interventions.

Lastly, while districts where SAGE is implemented address risks and vulnerabilities associated with old age, this is not the case in non-SAGE districts. There are virtually no resources or programmes catered to the elderly in non-SAGE districts. In SAGE districts, the GoU is struggling to meet their existing financial commitment towards the programme. This raises concerns over the GoU's commitment and ownership of a robust, national social protection system.

6.1.3 Have the most appropriate monitoring indicators been formulated and tracked for social protection interventions?

The Monitoring and Evaluation system for social protection programmes and interventions remain fragmented, making it difficult to formulate and track useful indicators.

District and national consultations revealed that establishing a central M&E system to track social protection programmes was a priority during the NDP period, but this has not been achieved due to funding constraints. Our own experience was that it was not possible to retrieve data on numbers of beneficiaries of OVC and disability programmes, grants disbursed, etc. at a national level.

M&E frustrations were echoed at the district level, where officials generally complained that there was inadequate funding for 'data management.' Rather, programmes were monitored through 'ad-hoc visits' (although access to transport and fuel for project visits were also a challenge), and data on programme indicators were not systematically recorded.

SAGE does seem to be the exception, with well developed monitoring and evaluation systems in place at the district level, with easy access to information, report generation at the national level, and tracking of relevant indicators (e.g. numbers of beneficiaries; numbers grievances submitted and processed; transfers disbursed, etc.) at the district level. However, it is critical that this level of monitoring and tracking continue after 2015, when the SAGE programme will be completed, and an effort be made in the next phase of the NDP to harmonize this system with other national social protection programmes.

6.1.4 Going forward what is the best way of strengthening the inclusion of social protection within the NDP?

Section 7.2 summarises key recommendations for strengthening social protection in the existing, as well as the next version, of the NDP

6.2 Challenges and Lessons Learnt

Through the process of conducting this review, the team have identified a number of challenges that have somewhat impeded the progress of effectively planning and operationalizing social protection objectives, as presented in the National Development Plan. Several lessons have been learnt on how to more effectively engage in operationalizing social protection for the remainder of this NDP, as well as the next version. They will be discussed according to 'planning and strategy challenges, and 'implementation challenges'. The implementation challenges are further broken down by the three main social protection pillars: direct income support, social care services, and social insurance.

6.2.1 Planning and strategy challenges

Starting at the highest level, social protection is not nationally prioritized. The national focus is upon economic growth and national production - as reflected in the NDP, budget allocations, and consultations with various ministries – with social development on the fringes. The language used by ministry officials are grounded in terminology such as 'productive sectors' and 'consumptive sectors,' - whilst agriculture is a productive sector and deserving of more resources, social protection is a consumptive sector, and thus less deserving. This kind of political economy poses an enormous challenge to MoFPED, who are acting in line with the priorities set out in the NDP, and therefore dedicating inadequate government resources to social protection.

Following on from this, another major challenge presented is the sustainability of existing social protection interventions. Whilst programmes such as the Senior Citizens Grant are politically popular, they receive the lion's share of their resources from donors, with very limited government commitment or ownership. This poses a threat to its future beyond the life of the ESP project. Lack of government commitment also reflects inadequate resources to national social protection programmes, such as the disability grants, which are too small an amount to truly make a difference. If social protection is to effectively reduce poverty and inequality in Uganda, there must be greater financial commitment, and movement towards 'owning' the social protection agenda.

Furthermore, budget allocations for local governments are inadequate, particularly at the sub-county level, where they have been hard hit by a reduction in local tax revenues. There is a strong need to further understand budget local budget allocations, and the proportion going to fund civil staff salaries versus programme implementation.

Another major challenge has been NPA's lack of consultation with districts in identifying national priorities. Although social protection (namely community based services) are seen as critical interventions at the district level, there was no alignment of local level priorities with national planning. For the next NDP, a concerted effort should be made to integrate district level priorities and experiences so there is greater coherence.

In addition, there is a multiplicity of social protection related policies, without implementation plans and budgets associated. A plethora of policies do not move the social protection agenda forward. The development of each policy should be accompanied by clear articulation of tasks, roles, responsibilities, and budgets to operationalize them – which is currently not the case. In fact, most policies (particularly the OVC policy) is not complemented with adequate resources to realize the commitments made.

Given the challenges in harmonizing social protection policies into one framework, it is unsurprising that harmonizing social protection programmes into a consolidated M&E system is difficult to achieve. As it stands, the districts have various MIS systems at departmental level, but they are disconnected and many are not functional.

In addition, M&E officials complained that there was inadequate funding for 'data management.' Rather, programmes were monitored through 'ad-hoc visits', and data on programme indicators were not systematically recorded. District level staff also expressed frustration at being asked to collect data, but were never given any feedback on its analysis.

Lastly, data management systems to register all informal workers are still grossly underfunded and under-prioritised, which hinders the extension of services (particularly social insurance) to the informal sector.

6.2.2 Implementation challenges

Direct Income support

There are a number of implementation challenges that ESP has experienced in the implementation of the SCG. Firstly, proving the age of beneficiaries, especially in sub-counties where the civil registration exercise had not yet taken place was a challenge. Secondly, the programme experienced staffing gaps at local government level. Thirdly, there were delays in reporting deaths of beneficiaries; network/system failures at the pay points, long distances to pay points, which raised beneficiaries' opportunity costs for accessing benefits. Lastly, reporting challenges had arisen from limited automation, especially at lower levels of local government.

Social insurance

Despite the vision, strides and progress towards reform and liberalisation, political commitment and motivation to eventually include the informal sector and unemployed remains a challenge, and there is a need for progressive and evolved thinking about what the vulnerable are entitled to as citizens, as well as systems to ensure effective delivery of these entitlements.

Once the liberalization bill has passed, a public sector fund should be created – however, with the champions of the initiative removed due to the public pensions scandal, this has been a slow-moving process. A further challenge has been posed by the fact that the initiative is owned by the Ministry of Finance, rather than the Ministry of Public Service.

Another challenge has been the mismanagement of the Public Service Pension Scheme and the National Social Security Fund. During the NDP period, governance issues have contributed to thousands of employees not receiving their pensions, and a severe backlog in the disbursement of payments. Resolving this issue will pose constraints upon funding commitments for other social protection priorities for the remainder of the NDP, and possibly the next version of the NDP.

It should also be noted that, despite lobbying for funds to be directed to Worker's Compensation, MGLSD have yet to receive committed funds for this, which has led to the sub-par performance in processing cases and disbursing payments.

Other challenges include integrating the National Health Insurance scheme into the liberalisation and reform process, which can happen once the Health Ministry decide upon contribution amounts. This has been slow moving, but coordination between the two initiatives is critical for ease of management and implementation. For instance, integration would enable citizens to put in contributions for retirement and health as one joint contribution.

Challenges also exist with the current design of the National Health Insurance Scheme, as it does not specify whether enrollment is voluntary or mandatory for CHIS, although both raise concerns. Typically, when enrollment of the informal sector is voluntary, it is low. The rates do not differ much with obligatory enrolment. Colombia, for instance, still has only 14% enrollment, even with mandatory membership. One must also consider the challenge of adverse selection, since those enrolling are often more likely to be ill.

Having a separate scheme for the formal sector - via a Private Commercial Health Insurance Scheme (PCHIS) - also raises considerations around the political economy of the initiative. If the public service has a Social Health Insurance scheme, the formal sector has their own scheme, who will politically support the CHIS for the informal sector? Considering that the majority of Ugandans are employed in the informal sector, the scheme needs significant government backing – either through private partnerships, and/or a tax-financed system. It is foreseen that financing this scheme will prove a challenge, particularly

in an environment where fiscal resources for non-productive sectors, such as Health, are much lower than originally projected in the NDP.

Social care services

There are numerous social care services (many implemented by partner organisations), which have minimal outreach. There needs to be consolidation and support for larger initiatives with significant government spend, rather than support for small, community based programmes that do not have scope for national scale-up.

The implementation of social care services also remains weak. Despite the multitude of social care interventions that exist at the district level, there is little overarching coordination, and the provision of these services rests primarily with development partners rather than through the GoU.

6.3. Recommendations

Social protection is clearly mentioned in the National Development Plan, and has been presented as an objective, a strategy, as well as a set of actions across various sectors within the NDP. This has given the area of social protection political and strategic prominence, and sets the stage for goals and achievements within the sector.

As a result, social protection has featured in the budgeting and planning processes of many sectors, particularly Social Development. This has been translated into sector priorities and outcomes, output targets, and relevant policies and programmes. Social protection has been prioritized, mainstreamed into planning processes, and implemented across districts and sub-counties. The work of the social protection sector in identifying a clear definition for social protection, pillars for categorizing social protection interventions, and making significant progress towards a unifying social protection policy framework are noteworthy achievements that were made during the NDP period.

As NPA moves towards the second National Development Plan, we have put forward some key recommendations for more effective planning towards a harmonized and well-implemented social protection sector. These are divided into short-term recommendations (to be implemented during the remainder of the NDP period) and long-term recommendations (suggested for the next version of the NDP).

In both these sections, recommendations are further divided into 'planning' (which involves strategies moving forward) and 'implementation' (which pertains to the implementation of interventions). It should be noted that, given the remit of this study to input into social protection concerns within the NDP, most recommendations are captured at the planning level, with a few notable exceptions. Putting forth recommendations for strengthening interventions requires more in-depth evaluations of the programme interventions themselves, which was outside the scope of this study.

6.3.1 Short-term recommendations

Planning

- Publicising the SCG as GoU's flagship programme

The Senior Citizen's Grant, with its size, funding, commitment to scale, and early achievements, is heralded as a tremendous success. If promoted and publicized as Uganda's flagship social protection programme, with national resources allocated for the next 10-15 year horizon for national scale-up, has the potential of being the most prominent old age pension in Africa. The SCG has enormous potential

to be a part of Uganda's national growth strategy and lift the country to middle-income status, yet the current NDP does not frame it as such. It is recommended that formulating a strategy to bolster, publicise and expand the SCG be taken forward in the remaining period of this NDP; more explicitly mentioned as a part of the national growth strategy in the next NDP; with clear budgets and implementation plans to operationalize this.

- Develop Uganda's social care and social security strategies

The GoU has already made significant strides in recognizing that social security and social care are separate categories that should not be consolidated, and therefore require their own separate strategies. However, it is suggested that further work be done to establish strategies around both these categories, and focus upon large programmes, with large areas of government spending, and a long-term horizon in terms of budgeting and implementation.

There are no countries in Sub-Saharan Africa with a clear social care strategy – so if well developed, Uganda can be the leaders in this arena. A possible way forward is to establish partnership with councils that have significant experience in this area, such as the Glasgow Council in Scotland, who can work with the GoU over the long-term to develop and implement an effective social care strategy. There is currently limited focus and direction towards establishing a government owned social care system, yet this is a clear national responsibility. It is suggested that in the remainder of this NDP period, the GoU undertake a detailed scoping study of current social care services, with a plan for the next NDP phase to operationalize a partnership and long-term strategy.

- Obtain approval of the SP policy framework to guide the development of SP programmes and other interventions

Currently, the social protection policy framework paper is drafted and near finalization, but requires an expedient approval process during the remainder of the NDP period. In this paper, we have highlighted the importance of this framework to bring together the various social protection commitments across sectors, harmonise the various policies that speak to the multiple social protection commitments, and establish a communication strategy across the multiple ministries and stakeholders. The policy framework should outline the links and complementarities between the social protection sub-sector and other sectors of government programming (ESP, 2012).

Without this unifying policy framework, there is a lack of a coherent vision or strategic approach to the social protection sector, which leads to fragmentation in interventions. In order to effectively move the social protection agenda forward and realize existing commitments, approval of the SP policy framework is foundational and critical.

- Commitment is required from the GoU to scale-up the SAGE programme

The current literature has established that the SAGE programme is critical in promoting economic growth in Uganda, supporting human development (particularly among vulnerable families), reinforcing the 'state-citizen contract', empowering citizens, and achieving middle-income country status (ESP, 2011). Early research shows that the SAGE programme has already heralded significant impacts across these areas (Watson, 2012), and this study has shown that citizens at the district level rely upon the continuation of this support. It is therefore paramount that the GoU commit resources to rolling out and scaling-up the SAGE pilot programme. As it stands, the GoU has not committed funds for the expansion of SAGE, and have only set aside counterpart funding for the implementation of the pilot programme.

The roll-out of SAGE is a government responsibility, and halting its expansion will be politically unpopular, cause unrest in local communities, thwart the progress made thus far in SAGE district, as well as the potential for national progress. It is imperative that the GoU review commitments made in this NDP, and

plan for financial commitments in the next NDP, to allow for the incremental scale-up of SAGE.

- **Ring-fencing the GoU money allocated to SAGE**

Following on from the previous recommendation, it is critical that funds for SAGE are ring-fenced to avoid disappointing beneficiaries in the face of budget cuts. Recipient families rely on SAGE transfers as a predictable income source, and unexpected cuts of the transfers reduces families' consumption, increases their vulnerability, and hurts the political popularity of the programme. These funds should be earmarked to avoid such further incidents in the future.

- **Develop a strategy for social protection financing**

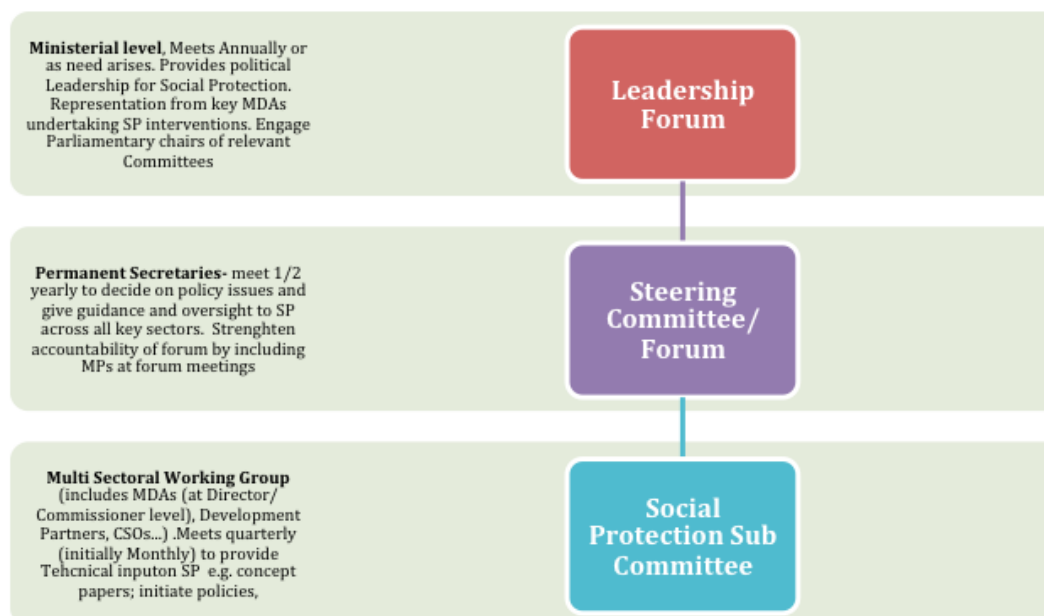
Building off the previous two recommendations, there needs to be strong, clear budget direction in both social security and social care. The GoU has already undertaken a social protection financing study, and based upon the recommendations that emerge, there needs to be further work in operationalizing a financing strategy for the remainder of this NDP, as well as the next NDP phase. Tax financing is a critical part of turning the SCG into a flagship programme, and therefore needs further analytical thinking and implementation.

- **Capacity building and training for those making social protection policy decisions**

With an increased focus upon social protection, it is critical that civil servants increase their knowledge and awareness of the role that social protection plays in a national context. For instance, if the next NDP is to have a stronger social protection remit, NPA require enhanced understanding of the role that social protection plays in achieving greater equality and strengthening local economies. If the informal sector is to eventually be included as beneficiaries of social protection, there is a need for progressive and evolved thinking about what the vulnerable are entitled to as citizens, as well as systems to ensure effective delivery of these entitlements. This means that greater awareness and advocacy around evolved social insurance systems need to take place. It is recommended that social protection training and capacity building is a government priority for the remainder of this NDP period, which will benefit the next version of the NDP.

- **Establish a clear strong institutional framework for delivery of transfers as well as coordination for SP interventions**

Building a national social protection system is a long-term process involving a gradual extension of services and coverage. Investment in institutional systems, processes and capacities is therefore required in the short, medium and longer terms to gradually build the systems and capacities necessary for policy development and delivery of a basic government service. Therefore, a clear need exists to establish a semi- autonomous institution for the delivery of transfers, as well as a structure to coordinate all SP interventions (MGLSD, 2012d). This will involve a Leadership Forum, such as an inter-ministerial committee on Social Protection composed of Cabinet Ministers from key ministries; a Steering Committee, consisting of Permanent Secretaries who give guidance and oversight to SP across all key sectors; and a technical SP sub-committee, consisting of technical officers from the relevant ministries (See Figure 28). Given that social protection cuts across multiple sectors, greater coordination between sectors, as well as an institutional structure that is focused upon strengthening of current systems and processes, is critical if social protection objectives (in the current as well as future versions of the NDP) are to be achieved.

Figure 28: Proposed institutional framework for Social Protection

Source: MGLSD, 2012d

Implementation of interventions

- **Consider the implications of the Health Insurance Scheme component of the Health Insurance Bill**

As discussed in the previous section, the Health Insurance Act does not specify whether enrollment is voluntary or mandatory for CHIS, although both raise concerns. Typically, when enrollment of the informal sector is voluntary, it is low. For instance, only 14% of the informal sector is enrolled in the Philippines, and 15% in Vietnam. The rates do not differ much with obligatory enrolment. Colombia, for instance, still has only 14% enrollment, even with mandatory membership. One must also consider the challenge of adverse selection, since those enrolling are often more likely to be ill. The Vietnam CBHI scheme was suspended in 2005/06 because of adverse selection. Whilst suggesting specific amendments to the Health Insurance act is beyond the scope of this paper, it is suggested that the Ministry of Health consider these implications and adjust the CHIS component to avoid the traps that other countries have experienced.

- **Consider the implications of targeting the informal and formal sector separately in the National Health Insurance Scheme**

Having a separate scheme for formal sector - via a Private Commercial Health Insurance Scheme (PCHIS) - raises considerations around the political economy of the initiative. As previously argued, if the public service have a Social Health Insurance scheme, and the formal sector have their own scheme, who will politically support the CHIS for the informal sector? Considering that the majority of Ugandans are employed in the informal sector, the scheme needs significant government backing – often partially through a tax-financed system. This requires ‘buy-in’ from the public, which often comes from a public system that everyone can benefit from. As with the recommendation above, it is suggested that the implications of a separate health insurance schemes for both the formal and informal be more carefully considered.

In addition, if the informal sector is to indeed be supported through the CHIS, there needs to be greater commitment and allocation of resources allotted to registering informal workers. As it stands, this initiative (under the jurisdiction of Labour and Employment) has been under-prioritised and underfunded.

- **Consider hybrid-funding for the National Health Insurance Scheme**

The GoU should look to financing the NHIS via a hybrid system - a combination of out of pocket, tax, private insurance and social health insurance. However, tax-financed systems (as in OECD countries) are politically popular because everyone uses it – not just the indigent or informal workers. In countries such as Rwanda, CHIS for the informal sector are heavily donor backed – which is not recommended, given concerns of the long-term sustainability of the scheme.

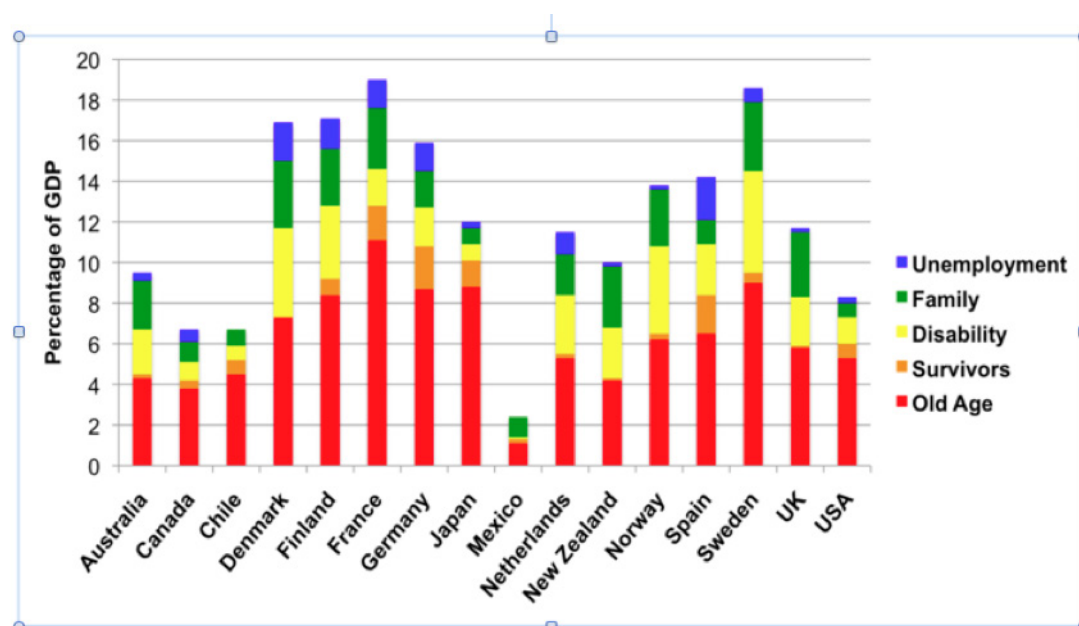
6.3.2 Long-term recommendations

Planning

- **Moving social protection strategy to coincide with the life-cycle approach**

Progressive social protection systems, as seen in developed countries, are established around the life-cycle (see Figure 29).

Figure 29: Spending on social protection in OECD countries



Developing countries are now increasingly designing their national social protection strategies around the life-cycle, given that it provides modus operandi for systematically addressing risks and vulnerabilities. As Figure 24 shows, the old age pension across the board is seen to be the most politically popular, and therefore, is the most feasible to scale nationally.

The GoU is moving in this direction - particularly in addressing the needs and risks associated with old age (as their flagship programme), vulnerable children, PwDs, and the unemployed. However, a concerted effort should be made in the remainder of this implementation phase of the NDP to move more systematically and coherently to address other vulnerabilities presented in the life-cycle. This includes greater national ownership and commitment to the SCG, as well as a strategy towards addressing other risks and vulnerable groups.

- **The next NDP should have a clear social protection sector**

Given that there was no clear definition of social protection to guide the development of the NDP, social protection related objectives were fragmented across multiple sub-sectors. We have seen that, while achievements have been made, these sectors have fallen short of realizing the social protection commitments set out in the NDP.

It has been established that the provision of social protection is a critical growth strategy to achieving middle-income country status. In accordance with this, greater resources commitments, progress towards a coherent strategy and institutional framework, and expanded coverage of beneficiaries and services are needed. In order to achieve such significant strides in the next version of the NDP, social protection should have its own designated sector within the Social Sector category. This will give the sub-sector a clear mandate, objectives and targets that it can then work towards and be held accountable to. It will also signal greater commitment to leveraging social protection as a national vehicle for growth, equality, and attainment of middle-income country status by 2015. Without a social protection sub-sector, objectives will continue to be scattered, with limited ownership and direction and harmonisation of policies will remain a challenge.

- **Strengthen financial commitments to social protection at national and district level**

To achieve middle-income status and make strides in poverty reduction and inequality, social protection requires more significant government investment. The most evolved and successful social protection interventions, such as the Old Age Pension in Brazil, are nationally funded and owned. Currently, there are insufficient national resources dedicated to implementing social protection, and this is reflective of weak national commitment to the sub-sector. The GoU should consider expanding its tax base, making financial commitments towards expanding the SCG (as it has the most political momentum and proven success), and honouring these commitments to ensure that planning processes are not thwarted. This is particularly critical at the local level where implementation occurs, as the reduction in local revenues during the NDP period has impacted negatively on numbers of beneficiaries and amounts given them.

- **Stronger Monitoring and Evaluation of national social protection programmes**

Although M&E is a clear priority and strategy set forth in the NDP, there are insufficient resources dedicated to this and systems are weak and disaggregated. There is lack of a clear mandate around this – districts report the Ministry of Local Government rather than to MGLSD where social protection is housed. Data is therefore generated, but not utilized to improve operations. It is recommended that in the next NDP, strengthening and harmonizing systems, and utilizing information effectively, be seen as a greater priority in order to improve operations on the ground.

- **More engagement with districts in developing the next NDP**

As mentioned earlier, there is little alignment with interventions and priorities at the district level and those set out in the NDP. It is suggested that for the next NDP, NPA make a more concerted effort to engage with the districts and align planning across sectors to the realities on the ground. The NDP was considered by many to be 'an academic document' without roots grounded in implementation concerns, challenges and priorities. Greater alignment with districts would also result in more effective attainment of social protection targets and outputs.

Implementation of interventions

• Reform of the Public Works programmes to make them social protection interventions

Public works programmes are a part of Direct Income support in the Ugandan context, and are critical for families who have labour supply. However, for current public works initiatives (e.g. NUSAF II, ALREP and KALIP) to be more aligned with social protection interventions, three fundamental shifts need to take place:

Firstly, greater coordination is required between northern Uganda and social protection stakeholders. There is currently limited engagement and coordination between the Social Protection Sub-Committee and the various coordination forums for Northern Uganda such as the KIDP Group, the NURD group and the PRDP. This includes development partner coordination forums. These forums and coordination efforts need to be strengthened (ESP, 2012).

Secondly, there is a need for more frequent transfers. As it stands, employment opportunities are provided as one-off support (for an average of 22 days), rather than regular year-round employment. Successful public works programmes, such as the National Rural Employment Guarantee Scheme in India, offer each individual within a household on average of 100 days of employment support available throughout the year, which has shown to have positive impacts upon economic investment, savings and household consumption (Murdoch, et al, 2012)

Thirdly, the transfer amounts should be increased. A study of NUSAF II showed that given the inadequate support given to participating families, there was only a marginal increase in household consumption support (McCord et al, 2012). Studies of other public works schemes have shown that, where transfer amounts are adequate to meet consumption needs, families also tend to save and invest in the education and healthcare of other family members (Young Lives, 2012). A study of the PSNP in Ethiopia has shown that low transfer amounts result in limited investment in consumption, and none in the human development of other family members (ibid).

• Improve the processes and systems for the SCG prior to government roll-out

Given the challenges that staff and beneficiaries are experiencing with the SCG, an independent study of the SCG programme provided the following recommendations for enhancing the effectiveness of the intervention for its scale-up phase:

- **Improve linkages with other programmes:** Linkages between cash transfer programmes and other social protection services and programmes implemented by the Government and civil society organisations (CSOs) could be enhanced for greater overall effectiveness and impact.
- **Resolve technical problems:** The payment service provider (MTN) should work towards resolving systems failure and network problems as a matter of priority.
- **Lower the age eligibility:** The eligibility age should be lowered to 60 years, as is currently the case for Karamoja. As life expectancy at birth is around 60 years, many of the poorest people in Uganda never reach the age of eligibility for the SCG. Expanding social pension coverage by lowering the eligibility age offers the greatest potential impact in terms of reducing poverty and vulnerability and improving social inclusiveness.
- **Review local government staffing levels and build capacity:** Local government, with its tiered structure from district to village level, operates effectively and has been used for implementation of government programmes, including the SCG. However, there needs to be a clear assessment of staff resources at each level.

- **Strengthen national capacity:** Enhance the technical capacity of the Social Protection Sub-Committee to more effectively coordinate and provide support to the SAGE cash transfer programme, and enhance the capacity of both the sub-committee and the Social Sector Development Working Group to influence decision-making at the highest level.
- **Ensure sustainability:** The SAGE programme is largely donor-funded, but all stakeholders are aware of the need to address sustainability. The Ugandan Government needs to co-finance and prepare to take over the costs of the programme when the pilot phase has ended to continue to support poor and vulnerable citizens. Beneficiaries are expecting to go on receiving the cash transfer beyond the pilot phase, and if the programme ends, it will have major consequences for older people's lives, as well as the lives of their families.
- **Raise the value of the transfer:** In the future, an increase in the amount of the cash transfer should be seriously considered and a mechanism put in place, outside the political structure, for periodic revision of the amount paid to beneficiaries.

Annex A: Terms of Reference

A Study on the extent to which Social Protection issues were addressed during the Implementation of National Development Plan (NDP) 2010/11-2014/15

1 Background

In 2010, Government developed a five year National Development Plan (NDP) 2010/2011 to 2014/15 under the leadership of the National Planning Authority. The NDP aims to accelerate “Growth, Employment and Socio-economic Transformation for Prosperity through pursuance of eight national development objectives as well as unlocking the most binding constraints hindering faster growth and socio-economic transformation.

The national development objectives being pursued are: (i) Increasing household incomes and promoting equity; (ii) Enhancing the availability and quality of gainful employment; (iii) Improving stock and quality of economic infrastructure; (iv) Improving access to quality social services; (v) Promoting science, technology, innovation and ICT to enhance competitiveness; (vi) Enhancing human capital development; (vii) Strengthening good governance, defence and security; and (viii) Promoting sustainable population and use of environment and natural resources.

The most binding constraints hindering development that need to be tackled are: (i) Weak public sector management and administration; (ii) Inadequate physical infrastructure; (iii) Inadequate supply and limited access to critical production inputs; (iv) Low application of science and technology; (v) Inadequate quantity and quality of human resource; (vi) Inadequate financing and financial services; and (vii) Gender issues, negative attitudes, mind-set, cultural practices and perceptions.

The National Planning Authority is in the process of undertaking the Mid-Term Review of the NDP as provided for in the same document. The review will assess the performance against the intended objectives, targets and desired results towards socio-economic transformation. It will also recommend changes if any that are required to achieve the NDP objectives and targets as well as refocusing implementation over the remaining period, addressing emerging issues and informing the next national development plan.

The specific objectives of the mid-term review are as follows: (i) Assess the extent of progress made towards achievement of the NDP theme, objectives, key result areas and sector-level service targets and results; (ii) Assess the extent to which the NDP has been adapted in guiding national policy and strategic direction towards the achievement of national goals and priorities, including regional and international cooperation; (iii) Assess progress towards unlocking the country's most binding constraints; (iv) Assess progress towards the achievement of the NDP macroeconomic and development indicators and targets; (v) Assess the efficiency gains realized through enhancing inter and intra sectoral linkages in public sector management; (vi) Assess the extent to which the national budget has been aligned to and addressed the NDP priorities; and (vii) Make recommendations on policy changes required to achieve the NDP targets.

A number of studies/assessments are planned to inform the review including those on cross-cutting issues of; Gender, culture and mind-set, Disability, HIV/AIDS, Human Rights, Social Protection, Nutrition and environment.

In this regard, the GoU through the Ministry of Gender, Labour and Social Development is implementing a five-year Expanding Social Protection (ESP) programme. The purpose of the ESP is to embed a national

social protection system, including direct income support for the poorest and most vulnerable, as a core element of Uganda's national planning and budgeting processes. The programme is designed around two components:

- i. Policy support focusing on strengthening leadership on social protection across government, developing a national social protection vision, policy and fiscal framework, generating evidence on the impacts of social protection, and building government commitment and investment in social protection; and
- ii. The implementation of a direct income support pilot (Social Assistance Grants for Empowerment – SAGE).

Social protection entails all public and private interventions that address risks and vulnerabilities associated with being or becoming poor. In the Ugandan context social protection comprises three core elements of: Social Security (Social Insurance and Direct income support), Social Care Services and Complementary Services.

- 1) Social Security: this element of the social protection sub-sector provides protection from economic insecurity and is comprised of contributory and non-contributory pillars of:
 - i. Direct Income Support which provides regular and predictable transfers in cash or in kind to poor and vulnerable households and individuals. Illustrative examples include senior citizen grants (social pensions) and vulnerable family grants, disability or child grants and public works and;
 - ii. Social Insurance which provides income support on the basis of previous individual and / or employer contributions to mitigate the impacts of income shocks such as unemployment, retirement, ill-health etc. Illustrative examples include the NSSF, the Public Service Pension Scheme and social health insurance.
- 2) Social care services: This element of the social protection sub-sector includes a range of support that helps to identify and reduce social vulnerability, strengthen resilience and capacity to cope with and overcome mainly social vulnerabilities, and links families and individuals to existing programmes and services.
- 3) Complementary Interventions: This element of social protection are those services which enable families and individuals who are excluded from accessing basic government services to overcome the economic barriers to accessing these services. Examples include school feeding to enable excluded children to access UPE or grants or transport vouchers to enable expectant mothers to attend health clinics.

With the above background, The National Planning Authority with support from the Expanding Social Protection Programme, Ministry of Gender, Labour and Social Development would like to procure the services of a Consultancy firm/independent consultant to conduct an in-depth study on "The extent to which social protection issues were addressed during NDP implementation".

2. Justification for integration of Social Protection issues

As Ugandans aspire to live in a transformed and prosperous society, it is paramount that the development process is concerned with measures to ensure an adequate, acceptable standard of living for a country's vulnerable and excluded citizens.

As regards status of vulnerable people who still live in poverty, 9% of people eat only one meal a day, 16% of children below 5 years are underweight and 50% of children are stunted (25 percent severely) in Karamoja. Additional statistics indicate that 38% of children in Uganda are vulnerable and that out of the 1.3 million older persons, only 7.1% have access to a pension. All this has irreversible long term effects on hunger, human development and the economy. This therefore means that deliberate effort

is required in the policy development, planning and implementation processes to consciously address social protection concerns across all relevant sectors of the economy. This way, Uganda will be on track in attaining a just and fair society where human rights are observed and equal opportunities are provided for all irrespective of age, disability, gender, social class, demographic group or ethnicity.

The study on social protection is in line with Uganda's ambition to become a middle income country. As Uganda moves towards middle income status, the capacity of the government to fulfil the fundamental rights of its citizens, in part through an expanded social protection system will grow. All middle income countries and an increasing number of low income countries provide social protection as a basic service. Crucially many of these countries introduced social protection before attaining middle income levels of GDP. In addition, several countries have adopted social protection to help them achieve international commitments like the millennium development goals. As such the GoU recognized social protection as one of the key areas to unlock the binding constraints to socio- economic development and included it in the NDP 2010/15 alongside other cross cutting issues like gender equality, environment, HIV/AIDS, human rights, social protection and good governance in the inception, the implementation, the monitoring and evaluation of the projects and programs.

Therefore, to realise the NDP theme of; Growth, Employment and Socio-economic transformation, the MDGs and other international commitments, there is need to progressively work towards the empowerment of vulnerable people and thus the need for this study to document the extent to which social protection concerns are being addressed during the NDP implementation and make recommendations for future improvement.

3. Purpose and Objective of the study

3.1 Purpose of the Study:

The main purpose of this study is to inform the NDP Mid-term review, provide accountability on the commitments made in the NDP, as well as evidence based learning on the extent to which social protection issues were addressed during NDP implementation. The study will further provide evidence for addressing emerging issues in order to accelerate attainment of social protection objectives in the NDP.

3.2 Objective of the study

To assess the extent to which social protection issues have been addressed during the NDP implementation

3.2.1 Specific objectives

- i. Establish the extent to which social protection issues have been addressed in the planning and budgeting processes in sectors and local governments.
- ii. Identify the extent to which social protection issues/concerns were addressed in the implementation of projects/programmes at national and local government levels
- iii. Identify the gaps, emerging issues and lessons learnt to inform the remaining NDP implementation and the next NDP.
- iv. Make recommendations for how the social protection objectives in the NDP can be attained in the next phase of implementation.

4. Tasks to be delivered by the Consultant

- a) Identify, document and assess social protection concerns in objectives and strategies of the NDP (2010/11-2014/15)
- b) Select and review priority sector investment plans, budgets, action plans, annual plans and performance reports for the two and a half financial years in key selected sectors preferably

covering all the four sectoral areas (primary, complementary, social and enabling sectors) of the NDP in line with social protection.

- c) Identify and review selected local government plans, budgets and annual performance reports for the last two and a half financial years with aim of ascertaining the extent and nature of mainstreaming social protection issues at local government level as per the NDP.
- d) Identify and conduct interviews with key officials of selected MDAs get their views on the progress and constraints to achieving the SP objectives in the NDP.
- e) Conduct field visits to selected districts and urban authorities to determine the extent to which social protection concerns were addressed in implementation of programs/projects in the last two and a half financial years.
- f) Make policy and planning recommendations on how to address the social protection concerns in mainstreaming gaps and challenges discovered in a, b, c, d and e above, in order to improve NDP implementation.
- g) Produce a study report for incorporation in the main NDP review report.

5. Deliverable/Expected Outputs

- i) An inception report with a detailed methodology within one week of signing the contract
- ii) A draft report within 4 weeks of signing the contract
- iii) Presentation for validation of the draft report to the Sub-committee on cross cutting issues and the social protection sub-committee.
- iv) A final study report in the middle of May 2013.

6. Inputs & Consultancy Team

Two consultants will be expected to complete this task. They should have a mix of international and significant Ugandan knowledge and experience. One of the consultants should have international experience in social protection. One of the two will be considered as the lead consultant. The international consultant will work for 15 days, while the local consultant will work for 25 days and a research assistant will be provided for, for 15 days. ESP will make arrangements and payments for the validation workshop. The skills, experience, tasks and team composition are suggested but consultants are free to determine the skills mix and composition of the team.

6.1 Tasks of the International Consultant

The international consultant will be responsible for the deliverables of this consultancy and will take on the role of team leader.

Specifically, the team leader will be responsible for:

- Prepare the inception report
- Identifying, reviewing and documenting all the relevant literature in the identified sector documents.
- Support the local consultant to develop the research tools for field work.
- Support the local consultant to analyse the field findings and prepare the final report
- Ensure quality of the deliverables.
- Will sign off the final report.
- Make presentation to the SP Sub-committee and Sub-committee of cross cutting issues of NPA

6.2 Tasks of the Local Consultant

- Work with the international consultant to identify, review and document all the relevant literature in the identified sectors

- Develop research tools
- Conduct the field research
- Analyse the data, prepare field reports and share with the international consultant.
- Make presentations to the Sub-committee and cross-cutting issues and SP sub-committee.

The consultants will be expected to discuss the breakdown of activities when presenting the inception report with the NPA technical sub- committee on cross-cutting issues and the social protection sub-committee.

7. Methodology

- Desk review of identified documents of key identified sectors and local governments.
- Consultations/interviews with key stakeholders
- Develop a data collection tool
- Field visits to 6 districts distributed regionally (specifically sampling PRDP, SAGE and none-SAGE districts).
- Facilitation and presentations to the sub-committee meetings
- Facilitating final validation workshop

8. Supervision and Lines of Reporting

In order to deliver quality outputs, the following methods will be used in line with agreed timelines:

- a) Adherence to the contract terms and work plan within agreed timelines
- b) The consultant will work closely with the study focal person in case of any adjustments in activity scheduling of the study.
- c) The consultant will be reporting to the sub-committee on cross-cutting issues through the Head of Department - Population and Social Development planning at NPA.

The consultants will report to NPA through the department of population and social development. On a day to day basis, the consultants will report to the Senior Gender and Social Development Officer at NPA and the Policy and Learning Manager of the ESP/MGLSD.

The inception, draft and final reports will be presented to the sub-committee on cross-cutting issues and the SP sub-committee of the social development sector working group.

9. Qualifications and Competences

The consultants should have the following qualifications and experience:

- i) A thorough understanding and knowledge of social protection issues, management and implementation
- ii) Prior experience working with Ministries, Departments and Agencies (MDAs) of the Government of Uganda (GoU)
- iii) Knowledge of GoU operating procedures and systems
- iv) Understanding of current debates on social protection in Uganda and the region.
- v) Experience in Monitoring and Evaluation
- vi) Experience of not less than 5 years on similar assignments
- vii) Ability to lead and manage a professional team
- viii) Good analytical, interpersonal and report writing skills
- ix) An advanced degree or equivalent professional qualifications in Social Sciences, Development studies, Social Policy, Human rights or a related field.

10. Reference Materials

- i. The National Development Reports (NDR)
- ii. National Development Plan (NDP) 2010/11-2014/15 and its appendices
- iii. APRM Country review report, 2009
- iv. District/Urban Council Development Plans (in selected districts)
- v. National Budget Framework papers and National Budget for the last 3 years.
- vi. Selected sector investment plans, Ministerial Policy Statements, Budgets, annual performance reports
- vii. ESP program reports (MGLSD)
- viii. The Social Protection Public Expenditure Review 2012
- ix. Social Protection Mapping Report 2011

Annex B: Consultation Record

Sector	Name of Respondent	Position	Contact
Ministry of Finance Planning and Economic Development	Dr. Albert Musisi	(Commissioner Economic Policy and Development Research	0773325438
	Mr. Moses Bekabye	Interim CEO Uganda Retirement Benefits Regulatory Authority and Technical Advisor for Economic Affairs	0782474299
Ministry of Agriculture Animal Industries and Fisheries (MAAIF)	Mr. Kivunike Gedfrey	Principal Policy Analyst	
	Mr. Robert Bellarmin Okute	Assistant Commissioner Policy Analysis and Acting Director	
	Agnes Namwawe Wegulo	Social Development Specialist	
Ministry of Public Service	Bernard Amuriat		0706626613
Ministry of Gender Labor and Social Development	Beatrice Ayikoru	Project coordinator (PCY)	
	Mr. John Okiror	Commissioner Planning	
	Ms. Kagya	Commissioner Elderly and Disability	0701611682
	Herbert Baryayebwa	Director Social Protection	0772592920
	Nassar Mukwaya	Executive Secretary National Youth Council	0772412156
	Mr. Mondo Kyateeka	Commissioner Youth and Children	0752405145
	Patrick Okello	Assist Commissioner labour productivity	0776417077
Ministry of health	Dr. Eric Muzira		0706341418
	Dr. Francis Runumi	Commissioner Planning	0414532472/ 0414340874
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Ministry of Education	Mr. Adongo -	School Feeding Liaison Officer	0778846626
Office of the Prime Minister	Mr. Timothy Lubanga	Permanent Secretary	
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	Emily Birungi		0783315202
	David Nsereko	Principal Development Officer Luwero	0772429871
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Napak District	Francis Lomongin	Program Officer	
	Moses Nachuna		
	Assitant CAO		
	Lukwago Anthony	District CAO	
	Charles Anyakun		
	Darius Loduk		
	Joyce Nakoya		
	Eliot Lwakutapa		

	Esther Napeok		
	Paul Adyek	CSO Responsible for youth and disability	
	Peter Jawange	NAADS Coordinator	
	Patrick Dowan	M&E officer	
Kyegegwa District	Mercy Lydia Kamanyire	Chief Finance Officer	0782833905
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	Ahebwa Sam	CAO/Principal Assitant	
	Karyaija Zepher	NAADS district coordinator	
	Matovu Charles	Programme Coordinator	(0782885823)
	Agnes Birungi	CDO in charge of gender and PWD	0782400357
	Kasaija Karya	Acting CAO and District Community Development Officer	
Nebbi District	Saraphine Alia	Nebbi CAO	0774490633
	Oketcha Linos	Finance Officer	
	Olley Ben Robinson	District Planner	(0772832075)
	Charles Muswa	Desk Officer/ Senior Assistant Secretary	
	Peter Okiria	DCDO in charge of OVC disability and youth	(0772683449)
	Richard Olong	Programme Coordinator	
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	Mulumba Deo	Seniro CDO	0772983507
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	Susan Nakawuju	Probation Officer & CDO	0703547162
	Meddie Kanyike	Naads District Coordinator	0772570234
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	Diana Kiwanuka	Kakira Town Concil	0702 430 001
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	Stephen Akwehaire	Buwenge S/C	0782 207 878
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	Stephen	Town Agent Bugembe Town Council	
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Annex C: Results Matrix for Social Protection

Results statements		
No. or %	Targets	
Outcome		
3. Vulnerable persons protected from deprivation and livelihood risks	% of vulnerable persons accessing basic services	
	% of vulnerable and marginalized persons participating in decision making	
	% of vulnerable and marginalized persons in employment	
	% of children in conflict with the law	
	% of human rights violation cases among the vulnerable groups reported	
Outputs		
3.1 Policies, laws, standards and guidelines on vulnerable and marginalised persons developed	No. of institutional framework on social protection developed	
3.2 Capacity of vulnerable and marginalised persons developed	No. of vulnerable persons equipped with skills	
	No. of skills development centres for youth and PWDs constructed	
	No. of most vulnerable individuals provided with social grants	
	No. of marginalized groups provided with seed capital	
	No. of vulnerable children supported to access school in the prioritized levels of education	
	No. of vulnerable children in institutions provided with food and non food items	
3.3 Vulnerable and marginalised persons access to rights increased	% of vulnerable children accessing child protection services	
	No. of vulnerable persons rescued from risky/hazardous situations	
	% of cases resolved by Equal Opportunities Commission	
	No. of rehabilitative institutions for vulnerable groups constructed and or renovated	
	% of cases of children in conflict with the law benefiting from diversion from formal justice system	
	% of cases of children in conflict with the law benefiting from diversion from formal justice system	
3.4 Social protection mechanisms strengthened	No. of duty bearers trained in social protection	
	No. of duty bearers trained in human rights based approach(HRBA)	
	No. of functional child protection committees in the LGs	
	No. Districts with response systems to incidence of violence against children	
3.5 Advocacy, networking and partnerships on social protection strengthened	No. of events commemorated	
	No. of IEC materials developed	

	Indicators					
	Baseline	Year 1	Year 2	Year 3	Year 4	Year 5
	13	15	18	21	23	25
	30	30	30	30	30	30
	N/A	5%	10%	15%	20%	25%
	N/A	5%	5%	5%	5%	5%
	50%	5%	5%	5%	5%	5%
	6	8	7	6	6	5
	3,616	684	1,566	1,770	2,240	2,490
	4	3	5	1	2	1
	66,500	398,455	650,775	720,135	784,245	350,000
	589	2,167	2,235	2,300	2,350	2,500
	N/A	150,000	150,000	150,000	150,000	150,000
	7,850	1,535	3,250	3,482	3,698	2,448
	11%	15%	15%	20%	20%	20%
	2,622	746	1,046	1,046	846	596
	0	50	100	200	400	500
	2	2	2	2	2	2
	10%	15%	20%	20%	25%	30%
	10%	15%	20%	20%	25%	30%
	900	2100	2100	2100	2100	2100
	240	480	620	780	1000	1200
	80	100	100	100	100	117
	36	36	40	50	60	60
	5	5	5	5	5	5
	2	3	2	2	3	2

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