



ESP II Baseline Policymaker Rating (PMR) Findings 2018

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Acronyms

DFID	Department for International Development (UK)
EA	Evaluability Assessment
ESP	Expanding Social Protection
GoU	Government of Uganda
MoGLSD	Ministry of Gender, Labour and Social Development
MoFPED	Ministry of Finance, Planning and Economic Development
NRM	National Resistance Movement
NSPP	National Social Protection Policy
PMR	Policymaker Rating
PMU	Programme Management Unit
PS	Permanent Secretary
RCT	Randomised Controlled Trial
SAGE	Social Assistance Grants for Empowerment
SCG	Senior Citizens' Grant

Executive Summary

The document sets out the process and findings of a baseline Policymaker Rating (PMR) study, which forms one component of the *Political Will and Support for Social Protection in Uganda* evaluation initiative, along with a companion bellwether exercise, to assess the impact of the second phase of the DFID-funded Expanding Social Protection programme (ESP II) (2016-2020), on attitudes to social protection provision in Uganda over time.

Using an adapted version of the innovative PMR approach, developed by the Harvard Family Research Project in the 2000s, the study rates the level of support, influence and knowledge of the Senior Citizens' Grant (SCG), among key institutions and individuals who determine implementation and extension of the programme, which is the first component of the National Social Protection Policy to be implemented to scale.

The exercise was carried out by a group of 17 assessors, drawn primarily from the Ministry of Gender, Labour and Social Development, which is responsible for the SCG, but also from the Ministry of Finance, Planning and Economic Development and independent lobby groups. The assessors first carried out an exercise to identify the institutions and post holders with critical influence over SCG implementation, resulting in the selection of 12 institutions and 13 individuals/post holders for inclusion in the rating process. Next each institution and individual/post holder was rated in terms of support, influence and knowledge of the SCG, with the ratings arrived at through an iterative process of individual, sub-group and then plenary rating based on group discussion and a score was given for the confidence of each rating. The findings were then aggregated to provide an anonymised synthesis of overall levels of support, influence, and knowledge, for institutions and individuals/post holders to form a baseline for assessing the impact of advocacy under ESP II at the end of the programme period.

Findings

In terms of support the rating indicated that there is no active opposition to SCG expansion, but the majority of policymakers (65%) show no or limited support, and only one policy champion was identified among all 25 actors in the rating. Only 28% of the policymakers rated had both high levels of influence and supported SCG expansion, compared to 64% with high influence who did not support expansion, suggesting that there is limited active support for expansion of SCG provision among high influence policymakers.

75% of the institutions rated had limited or no knowledge of the SCG. Individuals had higher levels of knowledge, with 54% having fair knowledge, although none were found to have an in-depth knowledge. Ratings for knowledge and support were consistently positively correlated for institutions, but among individuals the relationship between knowledge and support was less consistent, indicating that other factors may be determining support.

Confidence in the quality of the ratings was rated 2.44 overall out of 3. The figure was 2.62 individuals and 2.25 for institutions, reflecting the difficulty of reducing an institutional position to a single rating.

Conclusion

The PMR exercise succeeded in creating a baseline against which the impact of the ESPII on political will relating to the SCG can be assessed at the end of the programme period.

The exercise also created a community of advocates around the SCG, and increased the understanding and knowledge of the policy environment among PMU personnel, as well as modelling a process for the development of advocacy communities and of advocacy strategies around the other components of the NSPP.

Recommendations

In order to promote SCG expansion there is a need to improve both knowledge of and support for the programme among influential actors. This will require the PMU to increase its advocacy activities, focussing on the identification of selected actors and the execution of strategic advocacy activity.

Knowledge gaps relating to the policy maker context of the other components of the NSPP (including other cash transfer initiatives, health and social insurance and social care) will need to be addressed in order to carry out advocacy on the broader aspects of NSPP implementation.

Baseline Policymaker Ratings Report

1 Introduction

This document sets out the process and findings of the baseline Policymaker Rating (PMR) Study, which forms one component of the *Political Will and Support for Social Protection in Uganda* evaluation initiative, established to assess the impact of the second phase of the DFID-funded Extending Social Protection programme (ESP II) on attitudes to social protection provision in Uganda over time.¹

Box 1: ESPII

The Ministry of Gender, Labour and Social Development (MGLSD) of Uganda, in partnership with the UK Department for International Development and Irish Aid, is implementing Phase two (ESPII) of the Expanding Social Protection (ESP) Programme. The goal of ESP is to reduce chronic poverty and improve life chances for poor men, women and children in Uganda. The programme aims to embed a national social protection system, including social assistance for the poorest and most vulnerable, as a core element of Uganda's national planning and budgeting processes.

Phase one of the programme (ESPI) implemented between 2010 and June 2016 was designed around two components: a) policy support focusing on strengthening leadership on social protection across government, developing a national social protection strategic and fiscal framework, generating evidence on the impacts of social protection, and building government commitment and investment in social protection; and b) the implementation of a direct income support pilot (Social Assistance Grants for Empowerment – SAGE). ESPI was successful in its objectives, and resulted in Cabinet approval of the National Social Protection Policy (NSPP) in 2015, providing a policy mandate for further interventions in social protection, and establishment of a Programme Management Unit (PMU) under MoGLSD to manage the SCG and possible new direct income support initiatives, as well as provide a research and coordination function for cross-governmental social protection interventions. During ESPI the SAGE pilot tested a range of implementation modalities for an efficient, cost effective and scalable social transfer, and the Government of Uganda (GoU) and the Development Partners (DPs) have negotiated a second phase, ESPII running from 2015 to 2020 with the goal of achieving a sustainable social protection system which is institutionalised, financed (with an increasing proportion coming from Uganda's own growing tax base) and reaching beneficiaries across the entire country.

The specific objectives of ESPII are summarised in the following 4 outputs: i) MoGLSD capacity strengthened to lead on social protection, ii) Sustainable and accountable system for cash transfer delivery established at national scale, iii) Senior Citizens' Grant (and other vulnerable groups' grants) delivering regular and reliable payments to beneficiaries across the entire country and iv) increased public understanding of, and demand for, an accountable social protection system.

Source: PMU, 2017 (TOR)

¹ For more details of the three components and overall methodology see the inception report for the *Political Will and Support for Social Protection in Uganda* research project.

The PMR exercise was carried out in Kampala on the 29 and 30 November 2017, in order to develop a measure of knowledge and support for the Senior Citizens' Grant (SCG) among key policy makers and institutions in Uganda at the start of ESPII. The PMR scores created during the workshop will be used as a baseline for measuring and reporting² on the effectiveness of the ESPII programme's policy support and advocacy work over the duration of the programme. A PMR approach was adopted following recommendations set out in the 2016 evaluability assessment which informed the programme's Monitoring and Evaluation Strategy and Plan.

The PMR exercise was facilitated jointly by an international consultant and a national consultant, working in consultation with the ESPII Programme Management Unit (PMU).

2 The PMR Process

The PMR approach was developed by the Harvard Family Research Project in the US in the 2000s (see Coffman and Reed, 2009), to rate levels of influence and support among members of a given institution, e.g. senators or members of Parliament in relation to a particular bill or policy, in order to track changes in the composition of support over time, e.g. changes in the number of MPs supporting the policy of interest in an exercise carried out by actors engaged in policy advocacy. The PMR also includes an assessment of the level of confidence the assessors have in the ratings given, which is informed by their depth of knowledge of the individuals being rated.

PMR has been used in the US to evaluate a range of advocacy efforts (see for example Stachowiak, Afflerback, and Howlett, 2016). The use of PMR in relation to social protection is innovative, but it has recently been identified by DFID as a useful complement to the quantitative methods, primarily quasi Randomised Controlled Trials (RCTs), widely used for evaluating social protection programme performance, as it extends the scope of appraisal into the domain of political economy with a focus on the question of political will, and as such has the potential to enhance programme design, implementation and impact analysis.

At the start of ESPII the PMU commissioned an evaluability assessment (EA) to inform the design of ESPII evaluation approach and methods. The EA recommended that the programme adopt PMR and bellwether techniques to measure the indicator 'Perceived levels of political will and support for SP (gender disaggregated) among National Social Protection Policy (NSPP) coordination committee members and other key stakeholders' under ESPII's Output 4: Increased public understanding and demand for an accountable social protection system. Both methods were specifically designed to track political will and support and therefore were well suited to the measurement of this indicator, although given the nature of the approaches, gender disaggregated analysis was not an option in either case. The suggestion to use the PMR and bellwether techniques was also informed by a desire to adopt approaches that are relatively lightweight so they do not overburden the limited administrative capacity available, and, in the case of the PMR can be done in an interactive manner with PMU staff, so it becomes a tool which can be used more widely to support advocacy development, implementation and monitoring.

² Specific indicators and milestones are outlined in the ESPII logframe.

In order to inform progress against the political will indicator, the PMR approach was used to gather data on how effective the ESP has been in communicating its key messages relating to the SCG, and the attitudes of policymakers to the concept of SCG. The findings presented here form a baseline and the intention is for the methodology to be repeated over time (during the final stages of the programme) to identify changes in political will over time.³

3 Adaptation of the PMR to the Ugandan Context

The ESPII context differs in several ways from the contexts in which the PMR was designed to be implemented, and this has meant that the PMR process had to be adapted. The main deviations from the conventional PMR approach were:

As the NSPP is already in place, the critical issue to be captured in the rating is support for implementation (expansion of provision through the creation of necessary infrastructure and government financing) in line with the NSPP roll out plan, rather than support for legislative or policy change.

The NSPP has multiple dimensions, including cash transfers, public works, contributory social security and care provision, each with different advocates and supporters. As a PMR exercise focuses on attitudes to a single issue, it was not possible to review all the multiple components which make up the NSPP overall in a single exercise, and an overall rating of support for the NSPP would not necessarily be meaningful as those supporting the implementation and financing of some components may not necessarily support others, for example there is some tension between those advocating different kinds of transfers. In order to address this challenge, a single grant, the Senior Citizens' Grant (SCG) was selected as the focus for review as this was identified as an indicator in the ESPII log frame, and was the core focus of the initial SAGE (Social Assistance Grants for Empowerment), intervention.

PMR is conventionally used to measure the levels of influence and support of members of a single institution which is implicated in a specific policy initiative. However, no single institution is solely responsible for NSPP performance, as a range of institutions and post holders play a role in determining its implementation alongside the NSPP coordination committee. For this reason it was not possible to focus on rating policy makers within a single institution in line with PMR convention, as this would not have answered the research question relating to the political will indicator. Instead the approach was modified and a double rating was carried out which rated institutions in one exercise, and post holders of key positions and individuals in another, (referred to as post holders below, for the sake of brevity).

³ The institutions, post holders and individuals rated, should be consistent over time, as should the assessors, to ensure consistency in the findings and the identification of trends in changes in political will.

Individuals without a formal bureaucratic or political responsibility for the NSPP or SCG were included in the exercise in order to accommodate the reality of the Ugandan political context in which a small number of key individuals, can play a significant role in determining policy decisions and programme implementation outcomes.

The institutions, positions and individuals relevant for progressing SCG implementation had not previously been identified, and so the PMR exercise was expanded to include a participatory stakeholder analysis exercise which identified the key actors implicated in implementation.

In the absence of a pre-existing group of experienced advocates working to promote the SCG, a small number of PMU and civil society actors with experience of the policy context were proposed as assessors.

A larger and somewhat more heterogeneous group than would be optimal under normal PMR implementation, including a range of PMU staff, civil society representatives and select government were invited to participate in the rating by the PMU, in order to meet capacity building objectives. This was suboptimal, in terms of the PMR process, and those who were identified as actors to be rated were invited to recuse themselves from the process in order to avoid bias, self-censorship and ethical challenges for participants.⁴ For the full listing of assessors see Annexe 3.

A rating on 'knowledge' was added to the score sheet, alongside 'influence' and 'support', in order to capture an additional dimension of anticipated programme impact, as set out in programme documentation.

As a result of these challenges, an adapted PMR process was carried out, which included a stakeholder mapping exercise to support future advocacy work, as well as creating a baseline rating of key actors.

4 Implementation of the PMR Process

4.1 Identification of the Issue under Review

First the assessors were familiarised with the objective against which the ratings were to be made. As the PMR needs to focus on a single issue, and the NSPP has multiple components, it was agreed to focus on a sub-component of the NSPP which is aligned with the ESPII performance indicators, namely the SCG. This focus was necessary both in order to comply with both PMR process requirements, and also to produce findings relating to the log frame objectives and indicators.

The issue against which the rating was carried out was defined as;

Support for expanding SCG provision through financing and creation of the necessary institutional structures to enable it to become a sustainable component of the NSPP.

⁴ The way the process was designed meant that opportunities for individual bias to affect the ratings were minimal due to the collective nature of each rating score.

4.2 Policymaker Identification through Stakeholder Analysis

A prerequisite for the PMR is a formal stakeholder analysis to identify the institutions and post holders with influence over policy implementation. In the case of the SCG, this relates to financing and the creation of the requisite institutional structures for the intended expansion of provision during the ESPII period.

As no formal stakeholder analysis had previously been completed by the PMU or other assessors, this was accommodated within the PMR workshop. An initial plenary brainstorm was carried out for both institutions and post holders, followed by the identification of ten most important institutions and ten most important post holders by each assessor. The actors were rated according to the total number of votes received. After discussion, 12 institutions and 13 individuals were identified as relevant for inclusion in the rating process.

The institutions identified are listed below in order of priority;

- Ministry of Finance, Planning and Economic Development
- Ministry of Gender, Labour and Social Development
- Parliament
- Office of The President
- Cabinet
- NRM Parliamentary Caucus
- Office of the Prime Minister
- Uganda Parliamentary Forum on Social Protection
- National Planning Authority
- Equal Opportunities Commission
- Ministry of Public Service
- Ministry of Local Government

The key post holders identified are set out below in order of priority;

- The President
- The Permanent Secretary/Secretary to the Treasury (Ministry of Finance)
- The Permanent Secretary, Ministry of Gender, Labour and Social Development
- The Director of Budget (Ministry of Finance)
- The Speaker of Parliament
- Minister of Gender, Labour and Social Development
- Minister of Finance, Planning and Economic Development
- The Chairperson, Parliamentary Budget Committee
- The First Lady
- The Presidential Advisor on Security
- The Deputy Speaker of Parliament
- The Head, Budget Monitoring and Accountability Unit (Ministry of Finance)

4.3 Rating Criteria

Next the four issues to be rated were discussed; support, influence, knowledge and confidence in the quality of the rating. The criteria for the ratings for each were also discussed. The criteria were revised during the rating exercise in order to fit the Ugandan context, and the final form of words

adopted are set out in tables 1 to 4 below, (adapted from Spark Policy Institute, 2014). Note that the ‘knowledge’ has been added to the conventional categories of ‘support’ and ‘influence’ to match the evaluation requirements.

Table 1: Rating Criteria for Support

Scale	Rating	Definition
Support (<i>support for the issue</i>)	1 Opposition	Evidence this institution/post holder opposes the issue.
	2 Neutral (provides no support)	No evidence this institution/post holder has taken action, or otherwise directly supported this issue.
	3 Somewhat supportive	This institution/post holder has indicated some support, but primarily in one-on-one conversations and small group meetings.
	4 Supportive	This institution/post holder demonstrates support through actions such as: voting, speaking in public, being quoted in the media, encouraging others to support the issue, helping negotiation, promoting the allocation and release of funds.
	5 Extremely supportive	This institution/post holder is known as a champion for the issue, plays a leadership role in advancing the issue, and consistently makes the issue a priority on their agenda.

Table 2: Rating Criteria for Influence

Scale	Rating	Definition
Influence (<i>extent to which institution/post holder has an influence over programme expansion - financing and institutional arrangements</i>). <i>Factors to consider;</i> <ul style="list-style-type: none"> • High position in institutional hierarchy • Reputation/respect/credibility • Representation on key committees • Formal leadership position in relation to budget setting • Informal leadership/advisory position/closeness to President (extremely influential) • Majority party membership/association • Content expertise 	① Not at all influential	
	② Somewhat influential	
	③ Influential	
	④ Extremely influential	

Table 3: Rating Criteria for Knowledge

Scale	Rating	Definition
Knowledge (<i>depth of understanding of the SCG</i>)	1) No understanding or knowledge	
	2) Limited understanding and knowledge	
	3) Fair understanding and knowledge	
	4) Deep understanding and knowledge	

Table 4: Rating Criteria for Confidence

Scale	Rating	Definition
Confidence (<i>your confidence level in your rating</i>)	① Not very confident	Ratings based on third hand information and not verifiable.
	② Somewhat confident	Ratings based on consistent information from one or more source which is not fully verifiable (indirect).
	③ Confident	Ratings based on direct contact with the policymaker or information from a highly trusted, verifiable source.

4.4 The Rating Process

Each institution and post holder were rated in turn on each of the four issues. The process was managed by the consultants and participants were asked to respect the confidentiality of the process and not report on individual opinions outside the process. They were also assured that the findings would be anonymised; neither individual assessor comments nor the ratings for individuals or institutions would be shared outside the room, and all findings would be shared externally only in aggregate form.

First the assessors rated an institution/post holder based on their own individual perceptions, then group discussion took place to reach a group rating (four groups on first day, two on second) and finally through plenary discussion a consensus rating was reached. When a consensus was not achieved after discussion, a majority rating was recorded, based on blinded voting.

The findings were recorded on a flip chart and discussed/revisited before finalisation. The findings were then transferred to a table (see annexe 1⁵) and also in excel format to facilitate analysis.

5 Results

The excel data were then analysed and summary ratings prepared, in line with the PMR methodology which reports aggregate findings rather than providing information on individual or institutional ratings. This creates an overall picture of support, influence and knowledge among key actors to serve as a baseline while anonymising individual ratings in order to preserve confidentiality.

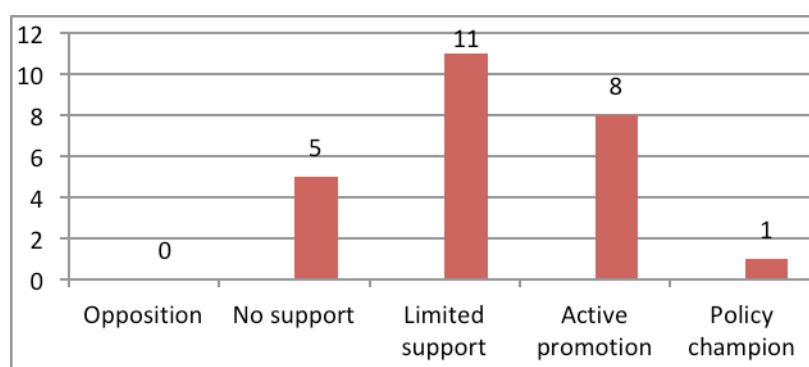
The results for support, influence, and knowledge are presented below together with confidence ratings, analysed both in terms of the combined ratings for all the policy makers reviewed, and also separated into institutions and post holders. The scales used for each are based on conventions adopted in the literature (see Spark Policy Institute, 2014).

5.1 Support

Levels of support for the expansion of the SCG are illustrated in figures 1 to 3. Support was rated from 1-5; a rating of 1 indicates opposition while ratings of 2 and 3 are taken to indicate low support, and 4 and 5 high support. Figure 1 provides summary information across all the policymakers rated, while figures 2 and 3 illustrate support among institutions and post holders.

Figure 1 indicates that overall there is no active opposition to SCG expansion, but that the majority of policy makers (65%, n=16) show no support or limited support.

Figure 1: Total distribution of support (n=25)



Figures 2 and 3 below indicate that only 5 out of 12 institutions and 4 out of 13 post holders were rated as actively promoting or championing SCG expansion, indicating active support from only 33% of all the actors rated. Only one policy champion was identified, from among the institutions rated. No post holder champions were identified.

⁵ The rankings of each institution and post holder have not been included in the table report for the sake of confidentiality.

Figure 2: Institutional distribution of support (n=12)

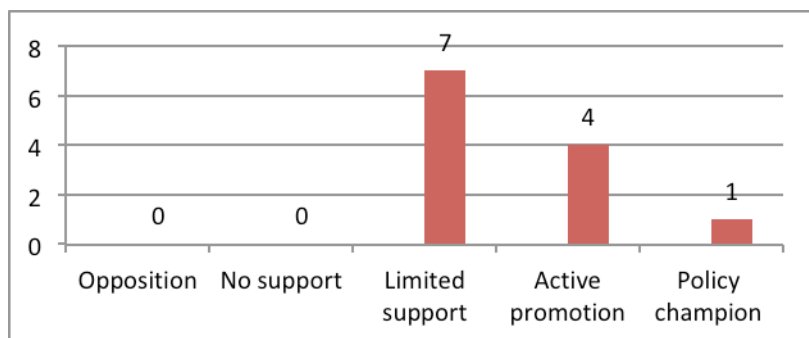
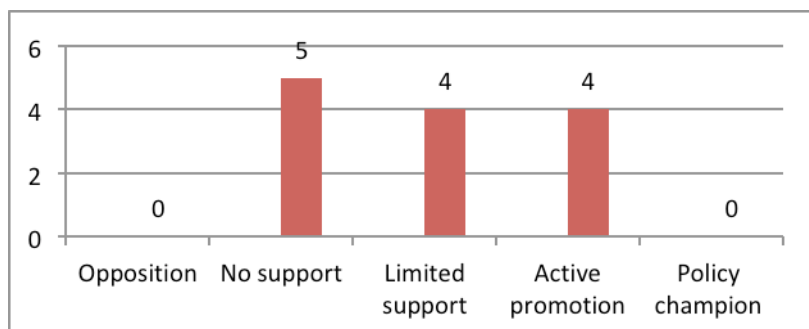


Figure 3: Post holder distribution of support (n=13)

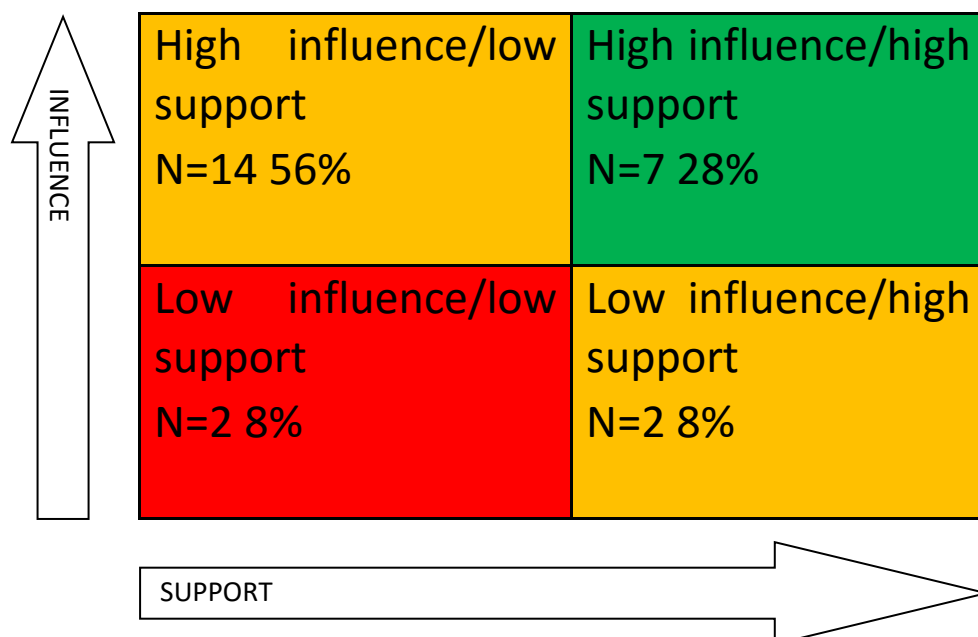


5.2 Influence and Support

The combined ratings for support and influence are presented in figures 4 to 6 below. Influence was rated from 1-4, and ratings of 1 and 2 are taken to indicate low influence, and 3 and 4 high influence. As the ratings take the form of continuous variables, the findings are summarised as matrices, which locate the combined support and influence rating for each policymaker into one of four quadrants (following Stachowiak et al, 2016).

The combined ratings for all the policy makers are summarised in figure 4 below.

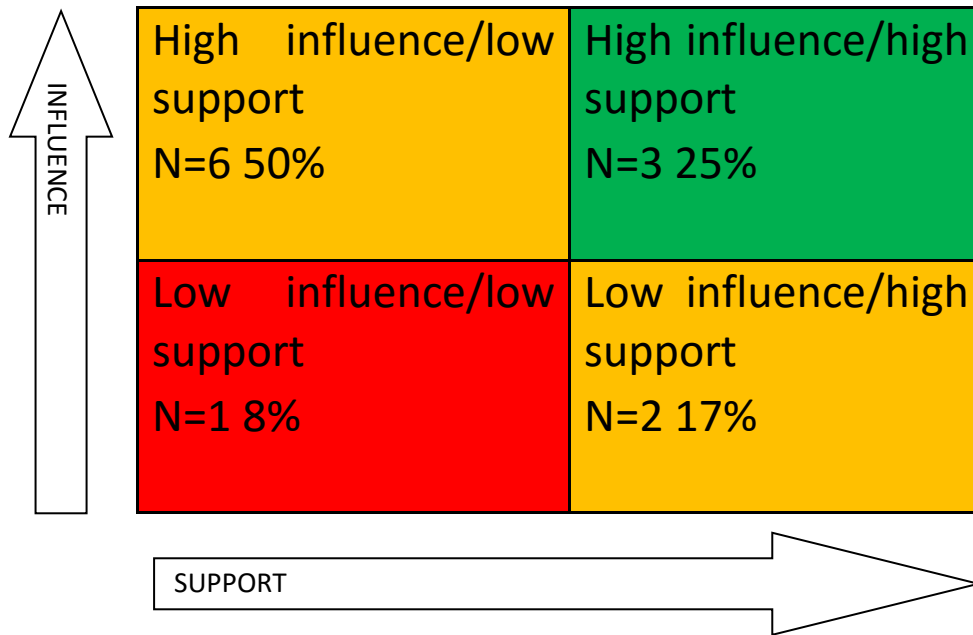
Figure 4: Summary influence and support rating, combining institutional and post holder ratings (n=25)



The figure indicates that only 36% of the total policymakers rated (9 out of 25) were considered to be highly supportive of SCG expansion, and of these only 7 (28% of the sample) had high influence (those in the top right quadrant). This compares to 64% of those rated as high influence who were not supportive of expansion.

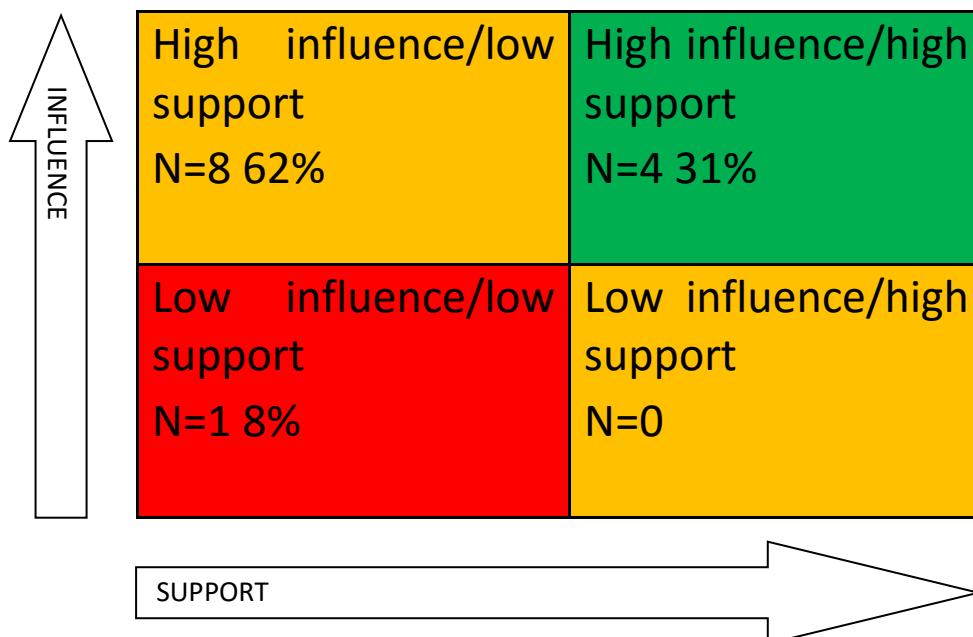
The ratings for institutions are illustrated in figure 5 and are similar, with only 25% being located in the top right quadrant with high influence and high support, and 58% of institutions rated as having low support for SCG expansion.

Figure 5: Institutional influence and support rating (n=12)



The post holder ratings illustrated in figure 3 are also consistent with this pattern, with only 31% of key post holders being located in the high influence high support quadrant, and 70% being rated as offering low support for SCG expansion.

Figure 6: Post holder influence and support rating (n=13)



There is a consistent pattern in the ratings, which indicates that currently there is limited active support for expansion of SCG provision among high influence policymakers, in terms of both institutions and key post holders. Changes in the percentage of ratings in the top right-hand quadrant (high influence and high support) over the course of ESP II will be monitored to assess programme performance in terms of advocacy.

This data is represented in alternative graphic formats in Annexe 2.

5.3 Knowledge

Knowledge of the SCG was added as an additional element of the PMR, in order to provide a baseline for programme impact indicators. Policymaker knowledge and understanding of the SCG was rated on a scale of 1 to 4, with 1 indicating no knowledge, 2 indicating limited knowledge, 3 fair knowledge and 4 deep knowledge.

The ratings are presented in figures 7 to 9 below. No policymaker was rated as having deep knowledge of the SCG, and the majority (n=15) had no or limited knowledge.

Figure 7: Summary knowledge rating

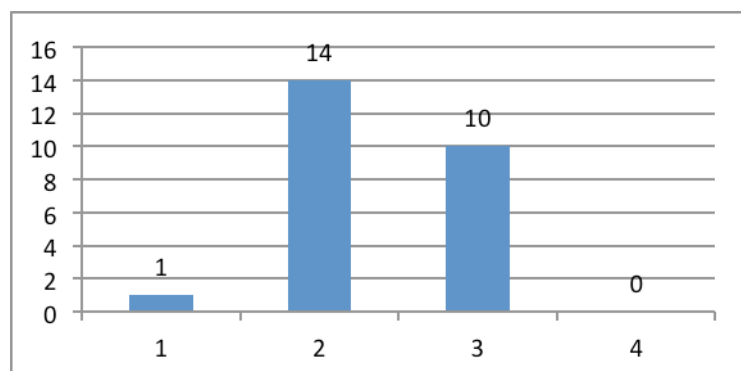
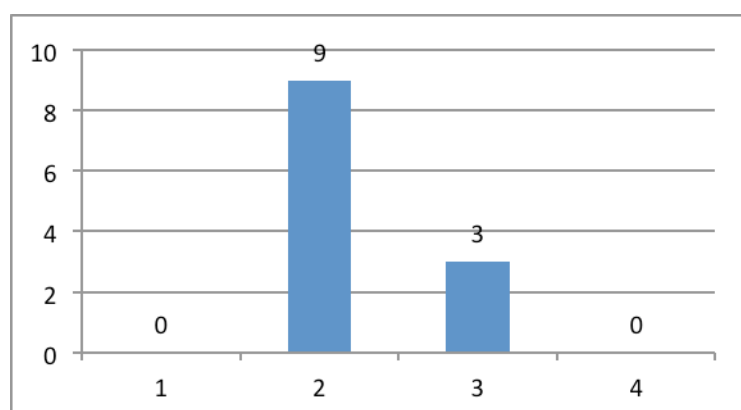


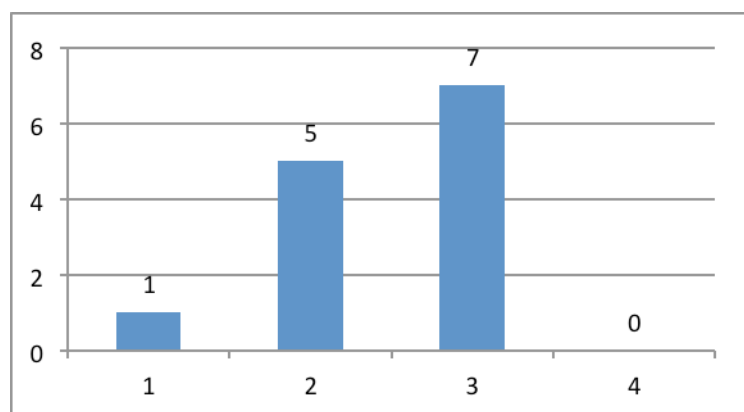
Figure 8 illustrates that 75% (n=9) of the institution had limited knowledge of the SCG, and only 25% had fair knowledge.

Figure 8: Institutional knowledge rating (n=12)



The rating of the post holders was overall higher in terms of knowledge, with 54% (n=7) having fair knowledge, although none had an in-depth knowledge.

Figure 9: Post holder knowledge rating (n=13)

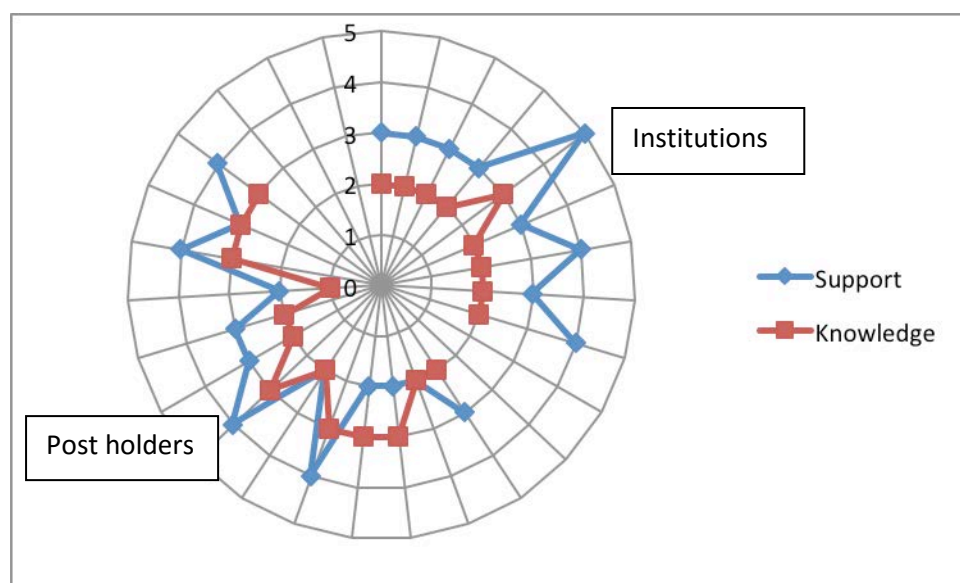


The overall mean knowledge rating was 2.36, with a 2.25 overall rating for the institutions and 2.46 for post holders.

5.4 Knowledge and Support

The relationship between knowledge and support rates is illustrated in figure 10. This illustrates a general association between knowledge and support rates, with greater knowledge being correlated with greater support among both post holders and institutions overall. For institutions, on the right hand side of the figure, higher levels of knowledge were uniformly associated with higher levels of support, but for post holders, on the left of the figure, the association was less robust, with fair levels of knowledge in some instances existing alongside low levels of support, indicating that knowledge is not the exclusive determinant of support, which is mediated by other factors.

Figure 10: Knowledge and support ratings



5.5 Confidence in ratings

Confidence in the quality of the ratings was itself rated on a score of 1 to 3, with 1 indicating 'not very confident', 2 'somewhat confident' and 3 'confident'.

The mean confidence rating overall for the exercise was 2.44. Confidence in the institutional ratings was 2.25, reflecting the difficulty of attempting to rate an entire institution and accommodating a diversity of views within a single rating. Confidence in the post holder ratings was higher at 2.62, and in some cases, was based on direct knowledge of the post holder by assessors.

These findings will also serve as a baseline to appraise the quality and reliability of the ratings, and also to measure changes in the knowledge that the assessors have of the critical actors influencing programme expansion.

5.6 Capacity Building

In addition to deriving the formal ratings, the exercise also contributed to PMU and assessor capacity building. The process created a proto-community of advocates around the SCG, and was reported by PMU participants to have increased their understanding and knowledge of the policy environment, as well as modelling a potential process for the development of advocacy communities and of advocacy strategies around the other components of the NSPP. No adverse potential effects on participants from taking part in these exercises were identified.

6 Conclusions

The adapted PMR exercise was successful in creating a baseline for measuring the success of future advocacy work undertaken through the ESP II to promote expansion of the Senior Citizens' Grant provision, using the indicators set out in the ESP II log frame.

The findings indicate that only one quarter of the institutions and post holders identified as critical for the expansion of the SCG were both supportive and influential, and that two thirds of the institutions and post holders rated were not actively supportive of SCG expansion. Overall policymakers were rated as having a limited knowledge of the SCG, and a correlation between knowledge and support was identified. The implication of these findings is that in order to promote expansion there is a need to improve both knowledge of and support for the SCG among influential actors. This will require the PMU to increase its advocacy activities, focussing on the identification of selected actors and the execution of strategic advocacy activity.

During the PMR process a stakeholder analysis was carried out which will inform and facilitate future advocacy engagement and the implementation of the NSPP advocacy strategy. Significant information sharing took place among the assessor group. The workshop also served to build capacity, so that PMU and civil society participants in the workshop will be able to facilitate future PMR activities in support of the wider NSPP implementation agenda.

Knowledge gaps relating to both key SCG actors and also stakeholders for the other components of the NSPP (Public Employment Programmes, other cash transfer initiatives, health insurance and social care) were identified which will need to be addressed in order to carry out advocacy on the broader aspects of NSPP implementation.

7 Recommendations

The PMR process for the SCG should be repeated at the completion of ESPII in order to assess the success of advocacy activity and the extent to which knowledge of and support for the SCG has changed over time among key policymakers. The same group of policymakers (institutions, post holders and also individuals, if they are still assessed as wielding influence over programme implementation) should be rated, and the composition of the assessor group should be as similar as possible over time in order to ensure the comparability of findings (see Annexe 3).

In order to promote SCG expansion in line with the expanded role of the PMU articulated in the NSPP and ESPII objectives, there is a need to improve both knowledge of and support for the SCG among influential actors. This will require the PMU to increase its advocacy activities, focussing on the identification of selected actors and the execution of strategic advocacy activity. PMU personnel should familiarise themselves with the key issues and actors in the other components of the NSPP; public employment programmes, other cash transfer initiatives, health insurance and social care. This would entail the identification of existing advocates for each issue and participation in (or creation of) advocacy groups to support the extension of provision of each component.

Implementation by the PMU of a series of PMR (including stakeholder analysis) with assessors drawn from among the advocates working on each component of the NSPP would contribute to a variety of objectives;

- i) building a constituency around each component of the NSPP.
- ii) promoting effective advocacy.
- iii) enhancing PMU familiarity with each component and the associated actors and political context.
- iv) creating baselines against which to assess progress in terms of domestic support for the key initiatives outlined in the NSPP; and also:
- v) extending PMU engagement and contribution beyond its previous SCG focus, and repositioning it in line with its mandate to promote a broader social protection agenda as set out in the NSPP.

References

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Annexe 1: Matrix for tabulation of findings

Institution	Support	Information	Knowledge	Confidence	Notes
Ministry of Finance, Planning and Economic Development					
Ministry of Gender, Labour and Social Development					
Parliament					
Office of the President					
Cabinet					
NRM Parliamentary Caucus					
Office of the Prime Minister					
Uganda Parliamentary Forum for Social Protection					
National Planning Authority					
Equal Opportunities Commission					
Ministry of Public Service					
Ministry of Local Government					

Post holder	Support	Information	Knowledge	Confidence	Notes
President					
Permanent Secretary/Secretary to the Treasury (Ministry of Finance)					
Permanent Secretary, Ministry of Gender, Labour and Social Development					
Director of Budget, Ministry of Finance					
Speaker of Parliament					
Ministry of Gender, Labour and Social Development					
Ministry of Finance					
Chairperson, Parliamentary Budget Committee					
First Lady)					
Presidential Advisor on Security					
Deputy Speaker of Parliament					
Head of Budget Monitoring and Accountability Unit (Ministry of Finance)					

Annexe 2: Alternative Graphic Representations of Influence and Support ratings.

Figure A: Overall policymaker ratings (influence and support)

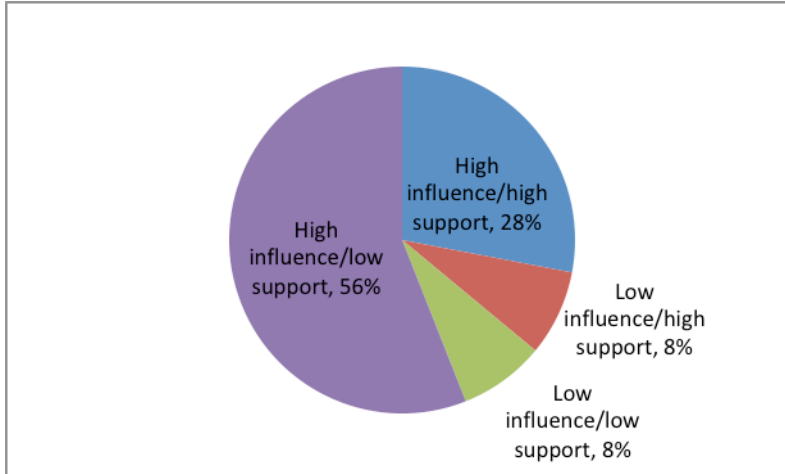


Figure B: Institutional ratings (influence and support)

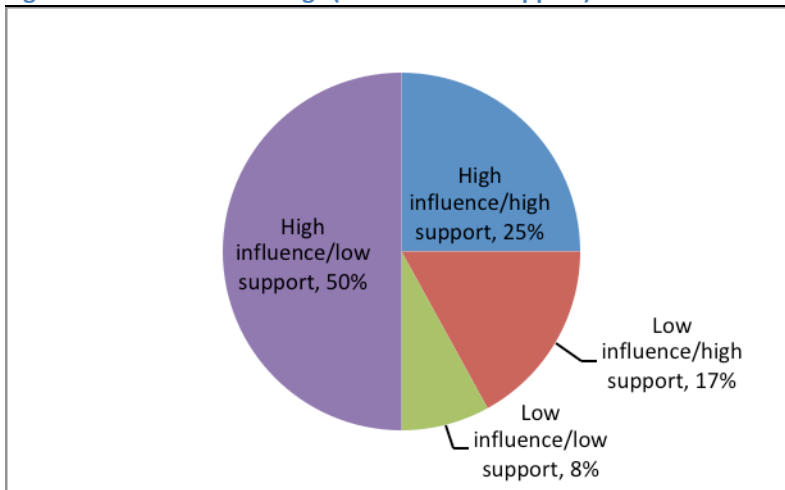
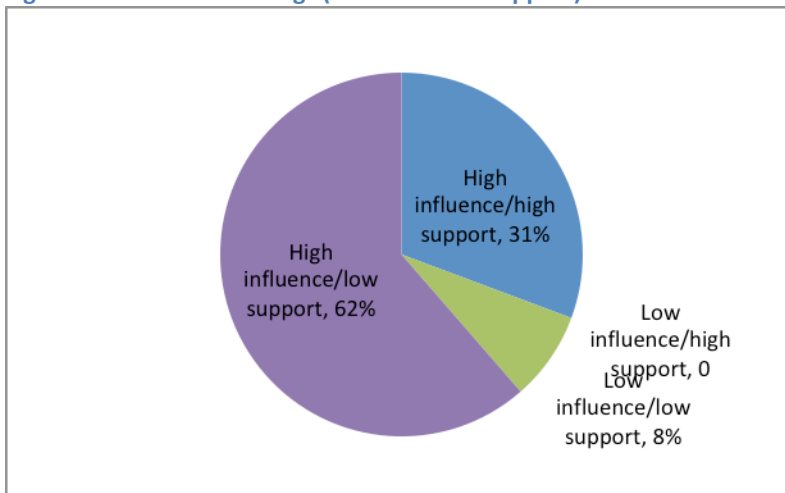


Figure C: Post holder ratings (influence and support)



Annexe 3: Assessors

No.	Title	First Name	Last Name	Title	Organisation	Phone	Email
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16	Mr	Saimon	Agaba	Policy Research & Advocacy Officer	Uganda Parliamentary Forum on Social protection	782624497	agabasaimon@gmail.com
17	Mr	Fred	Were Watega	Head of Programme	Uganda Reach the Aged Association		werefew@yahoo.com

Annexe 4: Terms of Reference

Project Title:	Expanding Social Protection Uganda Phase II
Title:	Social Protection Experts
Assignment:	Baseline Study On Political Will and Support for Social Protection in Uganda
Inputs/Timeframe:	28 days (C1) – 31 days (C2); October / November 2017

Background to the Programme

The Ministry of Gender, Labour and Social Development (MGLSD) of Uganda, in partnership with the UK Department for International Development and Irish Aid, is implementing Phase two (ESPII) of the Expanding Social Protection (ESP) Programme. The goal of ESP is to reduce chronic poverty and improve life chances for poor men, women and children in Uganda. The programme aims to embed a national social protection system, including social assistance for the poorest and most vulnerable, as a core element of Uganda's national planning and budgeting processes.

Phase one of the programme (ESPI) implemented between 2010 and June 2016 was designed around two components: a) policy support focusing on strengthening leadership on social protection across government, developing a national social protection strategic and fiscal framework, generating evidence on the impacts of social protection, and building government commitment and investment in social protection; and b) the implementation of a direct income support pilot (Social Assistance Grants for Empowerment – SAGE). ESPI was successful in its objectives, and resulted in the following key achievements:

1. The National Social Protection Policy (NSPP) and a Programme Plan of Intervention (PPI) was approved by Cabinet in November 2015, providing a policy mandate for further interventions in social protection, and establishment of a Programme Management Unit (PMU) under MGLSD to manage the SCG and possible new direct income support initiatives, as well as provide a research and coordination function for cross-governmental social protection interventions.
2. The SAGE pilot tested a range of implementation modalities for an efficient, cost effective and scalable social transfer, generated evidence for national policy making and implementation. During the pilot phase, the Senior Citizens Grant (SCG) using age to determine eligibility has been implemented in 15 pilot districts. Following the end of the pilot, a decision was made to roll out the SCG in 40 new districts over the next ten years.

Following a successful of ESPI, Government of Uganda (GoU) and the Development Partners (DPs) have negotiated a second phase, running from July 2015 to June 2020. The purpose of ESPII is to achieve a sustainable social protection system which is institutionalised, financed (with an increasing proportion coming from Uganda's own growing tax base) and reaching beneficiaries across the entire country.

The specific objectives of ESPII are summarised in the following 4 outputs:

- **Output 1:** MGLSD capacity strengthened to lead on social protection.

- **Output 2:** Sustainable and accountable system for cash transfer delivery established at national scale.
- **Output 3:** Senior Citizens' Grant (and other vulnerable groups' grants) delivering regular and reliable payments to beneficiaries across the entire country.
- **Output 4:** Increased public understanding of, and demand for, an accountable social protection system.

The transition from the Social Protection Secretariat (established under the Directorate of Social Protection within MGLSD for ESPI) to the Programme Management Unit (PMU) took place between January and August 2016. This largely involved engagement of MGLSD-contracted staff responsible for the day-to-day management of the programme, and reflects a strategic transition from the pilot modality of ESPI towards a sustainable, Government-led national social protection system.

The NSPP articulates the vision and role of social protection and facilitates the development of a comprehensive national social protection system for Uganda built on two pillars, namely: social security, including direct income support, and social care and support services. Implementation of the NSPP and the PPI is a shared responsibility of GoU, the private sector and non-state actors. The roles of the various stakeholders shall vary according to their mandates and functions. The MGLSD shall lead on the implementation of direct income support programmes and delivery of social care and support services.

The national roll-out of the SCG to 40 districts over the next 10 years will make it the first government-financed social assistance scheme in the country. The roll-out plan under the ESPII period involves progressively expanding to new districts with GoU funding, as well as GoU taking over from DPs in funding of 14 pilot districts. There will also be modifications to the targeting modality, and a transition from a highly decentralised district-based delivery model to one based on seven Regional Technical Support Units (RTSUs) which will ensure centralised payments and minimised financial and fiduciary risks.

Maxwell Stamp PLC (MSP) was the Management Agent for the Development Partners on ESPI. MSP has now been engaged for ESPII to provide a range of support in the role of a Social Protection Fund Manager (SPFM) from 1 September 2016 to 30 June 2020 in association with Development Pathways. The core function of the SPFM is to provide technical assistance to the GoU (primarily the PMU established under MGLSD) to consolidate a national social protection system in Uganda. In addition, the SPFM will also manage DP financial contributions to the programme. The SPFM will provide good quality and timely technical assistance in support of the implementation of ESP II, provide both long and short term technical advisors, assist in the completion of programme deliverables, contract key service providers, and pre-finance the cash transfers on behalf of the DPs.

Background to the assignment

The purpose of this assignment is to measure the level of political will and support for social protection among key policy makers in Uganda. The study will use a combination of Bellwether and Policymaker Rating methodologies to establish a baseline for measuring and reporting⁶ on the effectiveness of the programme's policy support and advocacy work over the length of ESPII. This

⁶ Specific indicators and milestones are outlined in the ESPII logframe

study draws from the recommendations in the evaluability assessment conducted in 2016 which informed the programme's Monitoring and Evaluation Strategy and Plan.

Scope of Work, Approach and Methodology

The focus of the study will be on measuring the levels of awareness, knowledge and support for a national social protection system [as defined in the National Social Protection Policy] among a purposefully selected group of policy makers.

The study will be jointly conducted by an international consultant with an in-depth understanding and experience in social protection and the application of the Bellwether and Policy maker ratings methodologies and a national consultant with a clear understanding of the development of social policy in Uganda and the national political context.

The consultants will work with the ESP Programme Management Unit and key Social Protection advocates to identify an initial sample of the key policy makers in Cabinet, Parliament and the civil service for the bellwether interviews and the policy maker ratings exercise. Some of the social protection advocates include members of the Social Development Sector Technical Working Group, ESP Steering Committee, Social Protection Thematic Committee, Uganda Social Protection Platform, Uganda Parliamentary Forum on Social Protection and the Local Development Partner Social Protection Working Group.

Policymaker ratings

It's desirable that the consultants adopt a participatory approach for maximising the potential for enhancing learning and the capacity of advocacy partners to effectively plan and execute their advocacy efforts. In particular reference to the policymaker rating exercise, the consultants will facilitate a workshop with selected SP advocates to:

- Support participants to develop clear advocacy objectives including the theory of change for social protection advocacy.
- Support participants to identify key policy makers to be targeted/rated and define criteria on which they will be rated.
- Generate a methodology and tools (including a rating scale) for measuring selected policymaker support and influence.
- Facilitate participants (using the methodology and tools defined above) to rate selected policy makers with the goal of ascertaining the individual policy makers'.
 - Level of knowledge for the national social protection system articulated in the National Social Protection Policy.
 - Level of influence within their domain including on key policy decisions related to approval and financing of the different components of the proposed social protection system.
 - Level of support for the national social protection system.
- Assess participants' level of confidence in the accuracy of the ratings assigned to the policy makers of interest.
- Discuss and advise/provide input into draft semi-structured format of bellwether interviews

and informant selection.

Bellwether interviews

Using the Bellwether methodology, the consultants will also conduct interviews with a selected sample of influential policy makers (both at national and district level) with the aim of:

- gauging the position of social protection on Uganda’s policy agenda in relation to competing social development objectives and policy priorities.
- ascertaining the level of awareness, knowledge and support (or lack thereof and or opposition) to social protection among the selected policy makers
- assessing the likelihood of the selected policymakers to support implementation of the provisions in the National Social Protection Policy

The consultants will analyse the data and prepare a baseline report on political support for social protection in Uganda including lessons learned and specific recommendations on approach, timing and frequency of follow up monitoring studies.

Outputs

- An inception report of no more than seven pages outlining the approach, methodology and tools for conducting the studies as well as a work-plan for the assignment, within 5 days of its commencement, to be agreed by the ESP PMU.
- A draft report of no more than 30 pages, excluding annexes. The annexes should include a record of consultations.
- Policy Maker Ratings workshop presentations
- Power point presentations for the workshop to discuss the preliminary findings with staff of the ESP-PMU and selected advocacy partners.
- A final report of no more than 30 pages, excluding annexes, incorporating reactions obtained from the data validation workshop.

Inputs

The consultants will spend a total of up to 25 days each on the research, which should encompass all tasks set out above, including report writing and participation in workshops as proposed in the input table below. A budget for up to 10-day inputs from a research assistant (s) which the national consultant will nominate may also be included in the consultant’s proposal. The national consultant will manage the research assistant(s) including quality assuring all outputs and will be responsible for ensuring timely and quality delivery of the work.

Task	Days International Expert (of which in-country)	Days National Expert	Date
Review relevant documentation	2	2	TBC
Participate in inception meeting with ESP	0.5 (0.5)	0.5	TBC
Produce inception report, tools and work plan	2 (2)	2	TBC

Facilitate a policymaker ratings workshop	3 (3)	4	TBC
Conduct interviews with a range of senior policy actors and have a short debrief with ESP PMU on the study	11 (11)	13	TBC
Analyse the data	6	6	TBC
Prepare draft report on political support for social protection in Uganda including lessons learned and recommendations on timing and frequency of follow up monitoring.	2	2	TBC
Conduct validation meeting with ESP PMU and collect feedback	0.5	0.5	TBC
Finalise report	1	1	TBC
Total days	28 (16.5)	31	

ESP will arrange and pay for the costs of the policymaker rating workshop.

Management Arrangements

The Consultants will be contracted by Maxwell Stamp in London. The Consultant will report to the Policy and Advocacy Coordinator and will be accountable to the Team Leader and the Head of the PMU. The Policy and Advocacy Advisor will provide technical inputs and quality control to the work.

Confidentiality

All information provided during the course of conducting this assignment cannot be used for other purposes unless explicitly agreed to in writing by ESP PMU.

Minimum Qualifications of the International Consultant

- PhD in Social Policy or a related discipline.
- More than 10 years' experience in social protection for leading international academic, policy or advocacy organisations.
- Experience of research and analysis on Sub-Saharan social policy issues, political economy and drivers of change for social protection.
- Experience of conducting similar assignments for other social policy issues.

Minimum Qualifications of the National Consultant

- PhD in Political Science or a related discipline.
- More than 10 years' experience in political analysis for leading academic, policy or advocacy organisations in Uganda.
- Significant experience of research and analysis on Ugandan social policy issues and drivers of change for social policies.
- Demonstrated contacts at the most senior levels of government - reflected in the consultant's previous work experience.
- Able to demonstrate a wide network of contacts in fields relevant to the assignment.
- Experience of conducting similar work for other social policy issues.