

UNDP UGANDA

**DEMOCRATIC GOVERNANCE MID-TERM
OUTCOME EVALUATION**

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Table of Contents

| | |
|---|-----|
| Table of Contents | ii |
| List of Abbreviations | iii |
| Executive Summary | v |
| 1.0 Background | v |
| 3.0 Major Findings of the Evaluation | vi |
| 3.1 Design | vi |
| 3.2 Implementation | vi |
| 3.3 Impact and Results | vi |
| 4.0 Major Recommendations | vii |
| 1.0 Introduction | 0 |
| 1.1 Overview of the UNDP Democratic Governance Programme | 0 |
| 1.2 Purpose and Scope of the Evaluation | 1 |
| 1.3 Methodology | 2 |
| 2.0 Evaluation Findings | 4 |
| 2.1 Outcome 1: Democratic Processes Deepened and Democratic Institutions Strengthened | 4 |
| 2.2 Outcome 2: Capacity Enhanced for Promotion and Administration of Justice, Promotion and Protection of Human Rights | 13 |
| 2.3 Outcome 3: Promoted Transparency and Accountability | 18 |
| Factors likely to affect Democratic Governance Outcomes | 23 |
| 3.0 Monitoring and Evaluation | 24 |
| 5.0 Partnerships and Coordination | 25 |
| 4.0 Conclusions | 29 |
| 4.1 Management considerations (design and Implementation) | 30 |
| 4.2 Management Considerations (Partnerships and Sustainability) | 30 |
| 4.3 Relevance | 30 |
| 4.4 Sustainability | 30 |
| 4.5 Effectiveness | 31 |
| 4.6 Efficiency | 31 |
| 5.0 Overall Recommendations | 32 |
| Annex 1 Terms of Reference | 36 |
| Annex 2 Documents consulted | 42 |
| Annex 3 List of people consulted | 46 |
| Annex 4 Evaluation Matrix | 47 |
| Annex 5 UNDP Strategic Plan 2008-2011, P. 27 – Democratic Governance | 73 |
| Annex 5 Logical Theory | 75 |

List of Abbreviations

| | | |
|----------|---|--|
| AMICAALL | - | Alliance of Mayors' Initiative for Community Action on AIDS at the Local Level |
| ACFODE | - | Action for Development |
| ADB | - | African Development Bank |
| ALD | - | Aid Liaison Department |
| APRM | - | African Peer Review Mechanism |
| BoU | - | Bank of Uganda |
| CAO | - | Chief Administration Officer |
| CBOs | - | Community Based Organizations |
| CCF | - | Country Cooperation Framework |
| CCA | - | Common Country Assessment |
| CPAP | - | Country Programme Action Plan |
| CPR | - | Crisis Prevention and Recovery |
| CSOs | - | Civil Society Organizations |
| DANIDA | - | Danish Agency for International Development |
| DDP | - | Deepening Democracy Programme |
| DG | - | Democratic Governance |
| DEI | - | Support to Directorate of Ethics and Integrity |
| DENIVA | - | Development Network of Indigenous Voluntary Association |
| DFID | - | Department for International Development |
| DHRD | - | District Human Rights Desk |
| DIPC | - | District Integrity Promotion Centres |
| DoL | - | Division of Labour |
| EPRC | - | Economic Policy Research Centre |
| EU | - | European Union |
| FHRI | - | Forum for Human Rights Initiative |
| FOWODE | - | Forum for Women in Development |
| GTZ | - | German Technical Services |
| HUR�PEC | - | Human Rights and Peace Center |
| IG | - | Inspector of Government |
| IMF | - | International Monetary Fund |
| IPs | - | Implementing Partners |
| JLOS | - | Justice, Law and Order Sector |
| LC | - | Local Council |
| LCC | - | Local Council Courts |
| LG | - | Local Government |
| LLGs | - | Lower Local Government(s) |
| LoGSIP | - | Local Government Strategic Investment Plan |
| MDGs | - | Millennium Development Goals |
| MFPED | - | Ministry of Finance Planning and Economic Development |
| MoGLSD | - | Ministry of Gender Labour and Social Development |
| MoLG | - | Ministry of Local Government |
| MoU | - | Memorandum of Understanding |
| MYFF | - | Multi-Year Funding Framework |
| NEPAD | - | New Partnership for Africa's Development |
| NPA | - | National Planning Authority |
| NRM | - | National Resistance Movement |
| NSSF | - | National Social Security Fund |

| | | |
|---------|---|---|
| PCP | - | Programme Component Paper |
| PSIDP | - | Parliamentary Strategic Investment and Development Plan |
| PDM | - | Participatory Development Management |
| PEAP | - | Poverty Eradication Action Plan |
| PRSP | - | Poverty Reduction Strategy Paper |
| PPDA | - | Public Procurement and Disposal Authority |
| RBM | - | Results Based Management |
| RBA | - | Rights Based Approach |
| TPIs | - | Technical Partner Institutions |
| UBOS | - | Uganda Bureau of Statistics |
| UCOBAC | - | Uganda Community Based Association for Child Welfare |
| UHRC | - | Uganda Human Rights Commission |
| UJAS | - | Uganda Joint Assistance Strategy |
| UMI | - | Uganda Management Institute |
| UNAIDS | - | Joint United Nations Programme on AIDS |
| UNDAF | - | United Nations Development Assistance Framework |
| UNDP | - | United Nations Development Programme |
| UNDP CO | - | United Nations Development Programme Country Office |
| UNV | - | United Nations Volunteers Programme |
| UWONET | - | Uganda Women's Network |
| VAGs | - | Voluntary Action Groups |



Executive Summary

1.0 Background

The UNDP Democratic Governance Programme was designed to support achievement of the objectives set out in the United Nations Development Assistance Framework 2003–2007. The programme is part of the CPAP 2006-2010, which is based on Uganda's priority needs and challenges as identified in the Common Country Assessment, the UN Development Assistance Framework and the Poverty Eradication Action Plan 2004/5-2008/9. The UNDP Democratic Governance (DG) Programme, following CPAP and key priorities within the national priorities, has the following outcomes:

- Outcome 1: *Democratic Processes Deepened and Democratic Institutions Strengthened*
- Outcome 2: *Capacity Enhanced for Promotion and Administration of Justice, Promotion and Protection of Human Rights*
- Outcome 3: *Promoted Transparency and Accountability*

2.0 Objectives of the Evaluation

This evaluation is part of the overall assessment of progress being made towards achievement of the objectives of the CO programme, and will assist in preparing UNDP's contribution to the mid-term review of the UNDAF that is planned for 2009. The evaluation covers projects and interventions that have been supported directly from UNDP core resources, and other resources mobilized within the framework of the UNDP Democratic Governance Programme. Although the evaluation is being carried out in the second year of the CPAP, it also covers projects that were carried over from the CCFII the period – from 2001 to the present. Specifically the evaluation aims to enable the CO and Government of Uganda to do the following:

- Assess the relevance of the governance programme to CPAP outcomes and the current needs and priorities of the country, including the contribution of the programme to attainment of the MDG targets;
- Assess the impact of the programme in building the capacities of national institutions to develop and implement sustainable development policies and strategies, and to promote practices that foster good governance;
- Analyse the relationship between the different programme elements (outputs, activities, etc.) were logical and commensurate with the time and resources available;
- Suggest an exit strategy for t projects that only partially support the achievement of the outcomes and results, or have been supported by UNDP Uganda beyond the recommended time-frame of 5 years;
- Assess how the programme has addressed cross-cutting issues;
- Suggest linkages with other CPAP and CPR programmes.

3.0 Major Findings of the Evaluation

3.1 Design

UNDP outcomes were all designed to answer important elements in the area of governance as articulated in the PEAP Pillar 4. The 3 outcomes are relevant and of importance to democratic governance in Uganda as well as achieving the MDGs. DG projects were frequently attributed with shaping the political culture on issues of accountability and transparency, participatory planning and administration of justice at the local level. There is also a need to refocus some of the outcomes to ensure that they are well defined. The design of a results framework is of paramount importance so that a results management approach can be used in the implementation of the DG programme.

3.2 Implementation

In assessing implementation effectiveness of DG programme strategies, there is a general perception that impact is undermined by trying to do too much within the governance stream both in terms of thematic and geographic coverage. In general, projects seem to be most effective when they focus on a small number of areas and do not overextend their capacity to provide high quality service and follow-up support. The institutionalization of project gains after the CPAP period and forging of new partnership are some of the key issues that will positively impact on the implementation of project.

Although UNDP is already working with some CSOs, it will be important for more work to be done with CSOs to enhance the impact of DG programmes.

The funding modality funding UNDP uses for the disbursement of funding for project is still an issue to resolve. The fact the UNDP is still not able to contribute to basket funds has implications on its effective participation in collective implementation efforts that are relevant to the DG outcomes.

3.3 Impact and Results

The milestones towards achieving impact of the DG programmes are varied. Support to some upstream and downstream work in relation to the Africa Peer review Mechanism (APRM), Participatory Development Management (PDM) and the Alliance of Mayors' Initiative for Community Action on Aids at the Local Level (AMICCALL) has had significant impact on the all the 3 outcomes. However, the evaluation also found that the impact of DG programmes is sometimes reduced when initiatives are 'thin on the ground' and project resources (inputs) are dispersed too widely, such as in the case of Local Council Courts (LCC) and PDM.

Regarding future planning, stakeholders stressed that UNDP should not do what everybody else does and must remain 'cutting edge' in its approach to governance work in order to affect real change. A central challenge is striking the right balance between advocating for democratic governance principle – and running the risk of alienating potential partners – and simply supporting the status quo through more 'traditional' kinds of governance projects .

4.0 Major Recommendations

4.1 General Recommendations

A. Programme Design

Recommendation 1:

Before the new Country Programme is developed, UNDP must conduct a baseline assessment to clarify the outcome areas in the new programme. These should be built around the development problem in the context of democratic governance, poverty alleviation, crisis prevention and recovery and environmental sustainability, and should take into consideration UNDP's strategic objectives and comparative strengths.

A balance should be struck between upstream and downstream interventions. Although projects in the field are very important, they need to be supported by strong policy dialogue and knowledge sharing work at the national level.

Recommendation 2:

To further leverage UNDP's strategic position on democratic governance and advocacy for governance outcomes, emphasis should be placed on increasing internal and external visibility and knowledge sharing from the programme outputs.

Reporting on programme implementation is affected by the numerous changes in UNDP reporting guidelines, which sometimes affect the efficiency of implementing partners to report satisfactorily on their outcomes;

B. Programme Implementation and Management

Recommendation 3:

All implementing partners and UNDP staff should be trained in Results Based Management (RBM) so that they can understand and appreciate its utility, value and potential.

Recommendation 4:

Although there are internal challenges in the use of basket fund modalities, the UNDP country office should engage in high level discussion with its headquarters to agree on how to respond at country level because basket funding is the preferred funding modality for Government of Uganda (GoU) and most donors have adopted it as well. Besides, it offers a good opportunity for strengthening reporting towards results and outcomes. Staying out of the basket funding methodology robs UNDP of the potential influence over other players in the governance area.

Recommendation 5:

Communication should be sent out urgently on the new financing modality to all IPs and possibly a workshop held to discuss the details and reflect as well as generate solutions on the implications of the new modalities.

Recommendation 6:

The scope of the democratic governance portfolio should be reduced as it is currently too broad. To ensure objectivity in the selection of projects a baseline assessment should also be used as the starting point in building an exit strategy in some areas.

C. Monitoring of Outcomes**Recommendation 7:**

To enhance shared learning and the use of project results, UNDP should consider conducting Joint Evaluation and Monitoring of the outcomes through the existing donor sub-groups and Government partnerships.

Recommendation 8:

Before outcome evaluation are conducted project level data (both programme and financial) should be analyzed by UNDP to ensure that there is usable data available for outcome analysis.

D. Programme Coordination

The UN has a strong comparative advantage, based on its position as a trusted partner with the government, arising from its neutrality and provision of sustained support. These key attributes can be very useful in enhancing its coordination role across government and with other development partners and should be taken advantage of.

Recommendation 9:

There should be an explicit strategy and initiative developed and implemented on knowledge and information sharing. This will go a long way in enhancing dialogue with other development partners and to reduce duplication among the work of development partners.

Recommendation 10:

With the closing of the Coordination Unit at MFPED, a capacity assessment of Aid Liaison Department is necessary to ensure that the role of MFPED as an executing agency is clear and does not get lost in the new modalities. The implications of this on UNDP staff should also be reflected in capacity assessment.

Recommendation 11:

The Democratic Governance Programme should conduct an internal analysis of the donor sub-groups that are relevant to their work and identify which ones they will participate in and which ones they will work through other partners.

4.2 Recommendations on Programme Outcomes***Outcome 1: Democratic Processes Deepened and Democratic Institutions Strengthened***

UNDP has strategically positioned itself as a key player in influencing policy processes. Support to upstream and downstream processes is beneficial to outcome achievement as evidenced by the work of APRM and PDM. There is clear evidence that deepening democracy is possible within a multiparty environment, especially when promoted

through programming that targets critical cross-cutting development issues such as PDM and the work on HIV/AIDS through AMICCALL.

Recommendation 12:

Outcome 1 needs to be formulated so that it focuses on two areas: a) Deepening democracy and b) Strengthening Democratic institutions. This will help in the development of measurable outcome indicators.

Recommendation 13:

More attention should be given to institutionalization of project gains, to sustain them beyond project life.

Recommendation 14:

UNDP should explore the possibilities of supporting election work in Uganda by working closely with the recently launched Deepening Democracy Programme.. UNDP has vast knowledge on election work globally, and the value added of this support is important to the overall democratic governance outcomes.

Outcome 2: Capacity Enhanced for Promotion and Administration of Justice, Promotion and Protection of Human Rights

Promotion of local level administration of justice can have beneficial spillovers. For example, although local council courts were set up to adjudicate local level cases, most of them have ended up being reformatory in their work. Equally importantly, working closely with the implementation partners are constitutionally mandated to promote human rights has the major advantage that any recommendations or policy alternatives can easily find their way into the policy making processes.

Recommendation 15:

UNDP should consider mechanisms through which it can contribute to collective funding approaches in sectors like JLOS and the Accountability Sector. This will be a better way of sustaining the results of projects in Outcomes 2 and 3. Work with CSOs in this area should be strengthened.

Recommendation 16:

As part of the knowledge sharing strategy more work is required to build synergies among the different project components under this outcome because of the close connection in project outputs and the cross-cutting nature of some of the interventions.

Outcome 3: Promoted Transparency and Accountability

Influencing behavioral change towards managing corruption will take time and will require long-term commitment from all partners including UNDP. In that regard, procurement reform should be supported across all sectors and in all downstream and upstream institutions.

Recommendation 17:

UNDP should consider refocusing the support in some of the projects under this outcome which have been supported for close to 9 years. Although the projects are focusing on tackling general attitude towards corruption and enhancement of integrity in

the Ugandan community, it is clear that they have to be refocused and not just rolled over at the expiry of programme cycles.

1.0 Introduction

1.1 Overview of the UNDP Democratic Governance Programme

The UNDP Democratic Governance Programme (UNDP/DGP) was designed to support achievement of the objectives set out in the United Nations Development Assistance Framework (UNDAF) 2003–2007 for Uganda. The programme is part of the Country Programme Action Plan (CPAP) 2006-2010, which is based on Uganda's priority needs and challenges as identified in the Common Country Assessment (CCA), the UNDAF and the Poverty Eradication Action Plan (PEAP) 2004/5-2008/9¹. The Governance Programme also provides supports to the achievement of the MDGs at country level.

The UNDP/DGP comprises three complementary components that are aimed at improving governance by (a) deepening democratic processes and strengthening democratic institutions (b) promoting administration of justice and observance of human rights, and (c) enhancing transparency and accountability in the management of public affairs.

Component 1 – Outcome: Democratic processes deepened and democratic institutions strengthened. This component provides support (i) to implementation of the African Peer Review Mechanism (APRM) process to foster adoption of policies, standards and practices that promote political stability, high economic growth and sustainable development (ii) to parliament of Uganda to strengthen its capability to execute its legislative and oversight functions (iii) to the Ministry of Local Government (MoLG) to facilitate implementation of Participatory Development Management (PDM) at local level, and (iv) to the Alliance of Mayors' Initiative for Community Action on Aids at the Local Level (AMICAALL) to intensify the fight against HIV/AIDS.

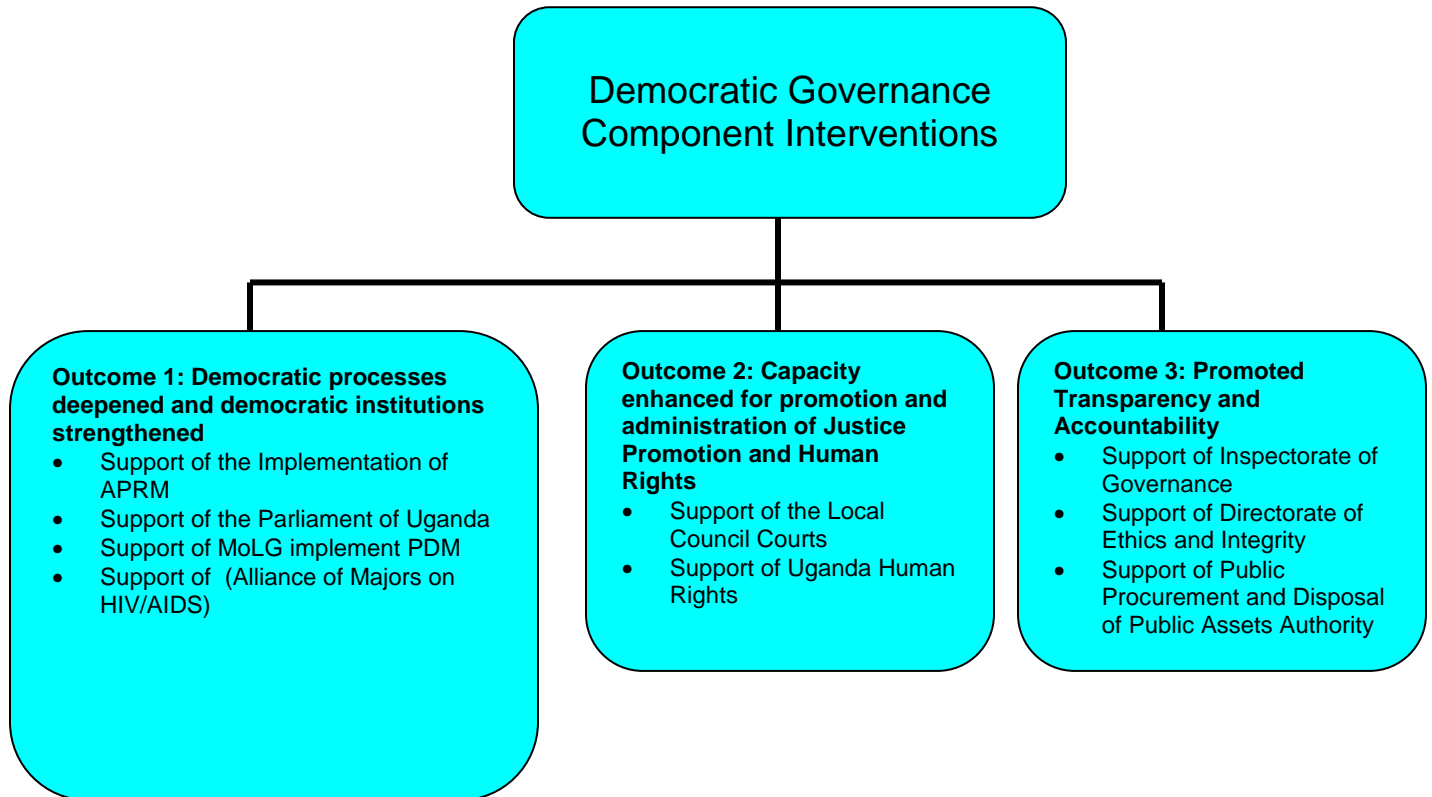
Component 2 – Outcome: Capacity enhanced for promotion and administration of justice, and promotion of human rights. This component provides support (i) to MoLG to set up and strengthen local council courts at LC1 and LC2 in order to facilitate effective and faster dispensing of justice at local level, and (ii) to Uganda Human Rights Commission UHRC) to build its capacity to foster observance of human rights in the country.

Component 3 – Outcome: Transparency and Accountability promoted. This component provides support (i) to the Inspectorate of Government (IG) to strengthen its oversight capabilities (ii) to the Directorate of Ethics And Integrity (DEI) to facilitate its work, and (iii) to the Public Procurement and Disposal of assets Authority (PPDA) to enhance its capacity to promote integrity in public procurement. In addition, this component has a specific intervention to build the capacity of parliamentary accountability committees so that they can play a proactive role in deepening the culture of accountability and transparency within the context of the country's multiparty dispensation. Achievement of this outcome has synergies with Outcome 1.

¹ The Poverty Eradication Action Plan (PEAP) has been Uganda's main development framework since 1997. It has been revised every three years and has now been transformed into a five-year National Development Plan.

The figure below provides a diagrammatic presentation of the three components and their expected outcomes.

Figure 1: Democratic Governance - Outcomes (2003-2007)



The UNDP Governance Programme helps to build capacity through institutional support and skills development in close collaboration with central and local governments. Coordination of this support is done through the Aid Liaison Department in the MFPED.

1.2 Purpose and Scope of the Evaluation

UNDP is entering into a new planning phase that will include development of a new strategic business plan running from 2008 to 2011. The business plan envisages the programmes to be strategic and upstream in nature, with pilot interventions at the community level. This mid-term evaluation is intended to assess the extent to which the governance programme is contributing to the achievement of the UNDAF and CPAP outcomes, and the relevance of current outputs and activities to the new strategic business plan. The recommendations from the review will feed into the preparation of the programme component paper for the democratic governance programme.

This evaluation is part of the overall assessment of progress being made towards achievement of the objectives of the CO programme, and will assist in preparing UNDP's

contribution to the mid-term review of the UNDAF that is planned for 2009. The evaluation covers projects and interventions that have been supported directly from UNDP core resources, and other resources mobilized within the framework of the UNDP Democratic Governance Programme. Although the evaluation is being carried out in the second year of the CPAP, it also covers projects that were carried over from the CCFII the period – from 2001 to the present. Specifically the evaluation aims to enable the CO and Government of Uganda to do the following:

- Assess the relevance of the governance programme to CPAP outcomes and the current needs and priorities of the country, including the contribution of the programme to attainment of the MDG targets;
- Assess the impact of the programme in building the capacities of national institutions to develop and implement sustainable development policies and strategies, and to promote practices that foster good governance;
- Analyse the relationship between the different programme elements (outputs, activities, etc.) were logical and commensurate with the time and resources available;
- Suggest an exit strategy for t projects that only partially support the achievement of the outcomes and results, or have been supported by UNDP Uganda beyond the recommended time-frame of 5 years;
- Assess how the programme has addressed cross-cutting issues;
- Suggest linkages with other CPAP and CPR programmes.

1.3 Methodology

The study applied various participatory methodologies comprising (i) desk review of strategic and other programme documents (ii) key informant interviews (iii) focus group discussions, and (iv) observation. The key informant interviews and focus group discussions were held with officials from UNDP Uganda country office, development partners, government, non-governmental organisations and other implementing partners (IPs). The review team also conducted fieldwork in the local governments of Amolatar, Busia and Lira.

Data generation

Data was generated from quantitative and qualitative sources to enhance its validity by triangulation. Desk literature review focused on key country programme-related documents, namely: annual project reports, review reports, progress monitoring reports and other relevant documents were also reviewed to determine the status of implementation of the programme and the constraints. A full list of documents reviewed is provided in Annex 4.

Meetings were held with staff in the UNDP Uganda Country Office (CO) and other implementing agencies, with development partners and non-state Actors, and with relevant stakeholders at local level. A list of persons interviewed appears in Annex 6. The table below summarizes the categories of the respondents.

Table 1: Respondent Categories

| Level of engagement | Category of Respondent |
|--|--|
| a) National level <ul style="list-style-type: none"> • UNDP Uganda Country Office • Implementing Partners (IGG, DEI, Parliament, UHRC, PPDA, AMICAALL, UCOBAC, FOWODE, MoFPED) • Development Partners (DANIDA, GTZ, Austria, etc.) • Others – State and Non-State Actors (NGO Forum, JLOS etc) | <ul style="list-style-type: none"> • Officials in Democratic Governance Unit • UNDP Resident Representative Officials • Project Coordinator/Managers from the IPs • Officials from GTZ, DANIDA, World Bank, etc • Technical and Programme staff |
| b) District level | <ul style="list-style-type: none"> • Chief Administrative Officers (CAO) • District Planners • District Probation and Welfare Officers • District-based Project Coordinators/Managers |
| c) Community level | <ul style="list-style-type: none"> • Project Beneficiaries • Local Leadership |

Data analysis

The interview and the evaluation processes were guided by an evaluation matrix based on carefully considered questions and issues. The data captured was sorted into analytical categories to generate patterns and trends. A qualitative rating system was used to assess overall performance towards achievement of programme outcomes, taking account of the information generated from the ROAR and support programme reports and evaluations.

Use was also made of the logical theory² to describe the assumptions that explain the individual steps leading to the long term goal of the Democratic Governance programme, and the connections between the program activities and outcomes. This improved the evaluation by helping to ascertain credit for the outcomes. Details of the outputs for the 2006 and 2007 are given in Annex 6:

1.4 Limitations of the Evaluation

a) *Time*: The time allocated for the whole study was very short. The evaluation had to cover 11 projects in less than 30 days, including travel to local governments. The time factor also restricted the number and range of stakeholder inputs. In some cases, interview schedules and logistical arrangements were not completed early enough, so valuable consultation time was taken up with administrative arrangements. Additional consultant time input and better coordination of stakeholder consultations would have strengthened the evaluation quite significantly.

(b) *Sample size*: The quality of this evaluation was also constrained by the small number of local governments sampled. The evaluation team visited only three local governments and did not get a chance to talk to many beneficiaries beyond those at the district level.

² See Diagram in Annex 6

More time and visits to a wider range of local governments would have facilitated a more accurate assessment of changes in democratic governance.

(c) *Availability and involvement of Key Staff at Central Level:* The Coordination Unit at the Ministry of Finance, Planning and Economic Development (MFPED) was closing down and this made it difficult to assess outcomes at the level of the executing agency. Some of the officers in MFPED with institutional memory had been moved to other portfolios and the coordination unit staff, as key stakeholders, were not available during the evaluation. Outcome evaluations would be strengthened by better preparation and availability of key project personnel and beneficiaries.

(d) *Difficulty in Identifying UNDP's Specific Contribution:* Given the range and complexity of factors underpinning good governance, and the number of complementary interventions implemented or funded by other development partners, it was extremely difficult to isolate UNDP's specific contribution or to attribute change to the interventions of any one agency or project. It was, therefore, not easy to determine how efficiently UNDP inputs were applied to generate the required change or how the outputs impacted on the outcomes.

(e) *Financial Analysis:* The TOR did not call for a financial analysis, although consultations with the UNDP staff indicated a desire for such analysis. The team conducted a financial analysis based on the data supplied by the client, however, the results were found to be unusable because of the data format. Entries were not classified as per different component (i.e administration and programme costs), findings from the analysis of advances against expenditures showed unrealistic results, such as more expenditure than disbursement, and double entry of disbursement and expenditures. It was therefore found prudent to leave this data out.

2.0 Evaluation Findings

This section discusses the review findings. Each outcome is discussed separately, starting with an overview and then discussing how each project has been implemented and the impact it has generated.

2.1 Outcome 1: Democratic Processes Deepened and Democratic Institutions Strengthened

2.1.1 Overview

Under this outcome UNDP supports Government of Uganda (GoU) to deepen democratic processes and strengthen democratic institutions. The focus is mainly on strengthening the capacity of national and local governments, including urban authorities, in monitoring governance and implementing decentralized planning. UNDP's contribution encompasses project and non-project activities, including dialogue and policy advice, brokerage and advocacy efforts.

Overall, all support initiatives under this outcome have led to very significant improvements in governance, although there is still room for improvement. The projects under this outcome have performed well individually but there is need to pay more

attention to incorporating cross-cutting issues (such as gender and the environment) into planning and implementation processes, as well as strengthening the linkage between local priorities and local development planning processes. The individual projects are under this outcome are discussed below.

2.1.2 Support to the Implementation of the African Peer Review Mechanism (APRM)

Contribution to Outcome: 1 – Positive
Project implementation: 1 – Good

Project Outline

The African Peer Review Mechanism (APRM) was developed as an instrument for assessing each country's capacity to achieve the goals of the New Partnership for African development (NEPAD). The APRM deals with the areas of democracy and political governance, economic governance and management, corporate governance and socio-economic development. For each of these areas, indicative criteria and indicators have been developed by NEPAD for use by member countries in their APRM review processes. Instruments for facilitating implementation of the APRM have been developed over time. Member States of the African Union voluntarily accede to the APRM.

UNDP support has been directed at assisting GoU to conduct the APRM process in the country to achieve the following outputs:

- Country Self Assessment carried out by Technical Partner Institutions (TPIs) and Country Report and Programme of Action produced;
- External APRM Assessment carried out by Country Review Team;
- Communication and Advocacy Strategy implemented;
- National Programme of Action mainstreamed in the National Development Plans;
- Institutional capacity of the APRM National Commission strengthened to effectively provide leadership for the APRM in Uganda;
- APRM Resource Centre established;
- Institutional capacity of the NPA NEPAD/APRM unit strengthened for effective programme delivery;
- African Governance Inventory regularly updated;
- Synergy with other relevant UNDP CPAP agencies built;
- Delivery of CPAP activities and its resources to NPA NEPAD/APRM Unit monitored and evaluated.

Project Implementation, Intermediate Impacts and Results

APRM Secretariat has been able to deliver the APRM Country Self Assessment Report. This was done through the development of an elaborate methodology that included several desk reviews in thematic areas covered by the APRM, focus group discussions, a statistical survey, public hearings, several workshops and submission of memoranda by various stakeholders.

In all these initiatives there was a lot of awareness built among the various stakeholders on the APRM process and what it meant both for Uganda and for Africa. There is

evidence of several debates in the newspapers and on radio on the APRM process. All the outputs were produced in a space of about one year, which is very impressive.

The APRM secretariat is also supported by a very strong team of commissioners, which includes a diversity of governance actors. The Commissioners represent various shades of the governance spectrum ranging from civil society, private sector, religious organisations, people with disabilities, women, youth, academia, trade unions and government. There is evidence of very cordial working relationships among the commissioners, illustrated by the fact that although the commissioners represent various shades of the Ugandan society, there is no evidence of any descent or tension on the process and issues related to the APRM process.

At the time of this evaluation, the government was responding to the report by the Panel of Experts. This is an important process that gives the government a chance to validate and explain issues that have been raised in the APRM process, showing how influential the output of the APRM has been.

There is also intensive work going on to cost the plan of action. Several ministries and agencies were taking part in this process, which points to the fact that there is evidence of support to the APRM process. The mechanisms of linking this costing to the national budget are being discussed as part of this process.

The APRM secretariat has also participated actively in the revision of the Poverty Eradication Action Plan. The reports from the APRM review have been shared with the steering committee for the revision process. Since the revision process is ongoing, it is apparent that this early engagement may lead to the use of the APRM report in the revision process. Clearly the APRM findings will be very relevant in writing up the governance section of the new National Development Plan.

The APRM is also funded under a basket fund modality with an MoU signed between UNDP, DFID and DANIDA. The basket fund is managed by UNDP and the GoU. And it expires in December 2008. This has been a clear success, with UNDP playing a very important role as the manager of the basket fund. Information from the financial reports indicates that the APRM has had a utilization rate of over 95%.

The evaluation team finds that support to the APRM process is going to an area that contributes clearly to the CPAP outcomes and the deepening of democracy in Uganda. It is very relevant to the national policy processes and Africa.

Key Challenges to Outcome Achievement

Although the APRM process is supported through a basket fund, there is very little support coming from the national budget. This puts the APRM process in a weak position as a government-led process especially as it relates to the sustainability of the secretariat. In this case continued UNDP support to the project may not lead to the achievement of the outcome element of 'institutional strengthening'.

At the time of the evaluation there was no explicit exit strategy developed by the secretariat. It is hoped that as government recognises the role played by the APRM secretariat there could be support coming through the national budget. This is an area

that requires urgent discussions if all the good work that has been supported stays afloat after the expiry of the basket fund.

The APRM secretariat is a project within the NPA, with the staff paid from the UNDP funds. Although this is a short term strategy, it is important for ensuring that government mechanisms for taking on more roles are in place. Although this was the modality chosen for implementation, it is not clear why, for example, there was no effort to use the existing staff on NPA to run this process. Setting up an implementation unit with the NPA increases the transaction costs for implementing the process and may lead to the loss of capacity in situations where the project staff time come to an end.

Conclusion

The APRM process has contributed significantly to the deepening of democracy in Uganda, by facilitating dialogue around critical policy issues that affect Uganda as a state. This process was well designed and implemented with clear results. While UNDP support will still be required in the foreseeable future, it is important to hold discussions the management of the national Planning Authority (NPA) to ensure that the project is mainstreamed in the relevant institutional setup.

2.1.3 Support to the Parliament of Uganda

Contribution to Outcome: 1 – Positive

Project implementation: 1 – Good

Project Outline

The primary aim of the support programme is to develop the capacity of Parliament to enable it effectively carry out its constitutional mandate in support of the democratisation process in Uganda. This support is clearly linked to Pillar 4 on Good Governance in the PEAP. The project also complements the Parliamentary Strategic Investment and Development Plan (PSIDP) and supports the building the capacity of Parliamentarians to enable them to legislate pro-poor policies and strategies to facilitate achievement of the MDGs. Support is also focused on strengthening the institution of Parliament as a pillar in the democratization process through capacity building programmes for Members of Parliament (MPs), as well as re-tooling Parliament.

UNDP support also aims at enhancing the abilities of the accountability of committees of Parliament for effective service delivery, creating an enabling environment for peace and the resettlement, reintegration and socio-economic recovery of conflict affected populations and for building synergies with other institutions on cross-cutting issues. The project provides support for capacity building of the structures of the Ugandan Parliament, namely the Parliamentary Commission, which is the supreme organ in the administration of Parliament, the Honourable Members of Parliament and the Parliamentary service staff. In all, the project activities are harmonised with those articulated in the PSIDP. The project has added significance due to the country's return to multiparty politics.

The project has the following key outputs:

- a) Members of Parliament inducted into the legislative, representative oversight and advocacy functions of the institution of Parliament;
- b) Effectiveness of Parliament in facilitating multi-party politics enhanced;
- c) Ability of MPs to articulate issues regarding pro-poor policy reforms and strategies enhanced to accelerate the achievement of the MDG targets;
- d) Institution of Parliament strengthened;
- e) Delivery of the CPAP activities and its resources to Parliament monitored and evaluated.

Project Implementation, Intermediate Impacts and Results

The first multiparty elections in over 20 years that were held in 2006 produced a very high turn over among members of parliament (MPs) approximating over 50%. This large number of new MPs had to be inducted into their roles and how they should conduct themselves in parliament. The project supported the first induction meeting which was widely covered in the media. Subsequent events were organised on topical issues such as party financing, party discipline and parliamentary procedures. Parliamentary committees and clerks were also trained in several areas related to the functioning of parliament to build professionalism in the institution in the context of the new multi-party dispensation.

The project also supported activities relating to taking parliament to the people. This was support that was specifically geared towards support events where the MPs went back to their constituencies and had meetings with communities and used the issues that they collected to influence the debates in Parliament. This represents the accountability side of parliament and these activities, according to respondents, had an impact on both the MPs and their constituencies.

UNDP support also helped parliament in building coalitions with non-state actors. There is now an established CSO liaison officer who links CSOs and parliament. Through this office the MPs and CSOs that have pertinent issues to raise in parliament are able to mobilize and collaborate in translating these issues into Bills. For example, the research that led to tabling of the Bill on trafficking in human persons was conducted by NGOs.

This support has also facilitated some of the work of the media in covering parliament. Workshops with media personnel have been held to help them understand how the media can work very closely with parliament and report its activities responsibly. There is now a Parliamentary Press Association that coordinates the work of Parliament. A reading of some of the issues raised in newspapers clippings shows that in many cases the reporting of parliamentary issues is accurate, albeit with a sensational slant.

It was also learnt that the relationship between parliament and the executive is progressively improving. The MPs are learning that oversight does not only imply looking at the anomalies in the executive's policies and programmes, but also contributing to improving those policies programmes.

UNDP support also helped to acquire equipment for transcribing of parliamentary proceedings into the Hansard. While in the past it used to take one week to produce the Hansard, currently production takes only seventy two hours. This has been a great improvement in making information available to the general public as soon as possible.

UNDP support also led to the establishment of a forum under which the speaker of parliament interfaces with the speakers of local government councils bi-annually. This has created further opportunity for deepening the democratic culture in Uganda.

Challenges to Outcome Achievement

The support to parliament project is clear and consistent with the parliament's strategic plan, and it offers seeds for further strengthening of the democratic processes in Uganda. It should, therefore, be supported for a little longer. However, there are a number of issues that have to be addressed for the project's objectives to be realized fully.

The parliamentary calendar is a great challenge because of the close linkages between there are a lot of linkages between parliament and the executive. Sometimes some parliamentary activities are suspended because the executive is not ready. This has led to more frequent meetings than anticipated, increasing costs and making planning difficult. There is need to study the bottlenecks that are constraining the proper implementation of the parliamentary calendar so that they can be addressed. Such a study could be funded through the current project financing.

At the programming level, the project managers at Parliament find it odd to go through the Aid Liaison Department (ALD) of the MFPED. They feel that as an autonomous institution parliament should not be subjected to the institutional arrangements of the executive.

The project exit strategy is also still an issue. The programme managers feel that this has to be discussed within the context of the upcoming elections in 2011. After every election there is need to train parliamentarians; therefore, there is a need to ensure that this continues.

2.1.4 Participatory Development Management (PDM)

Contribution to Outcome: 1 – Positive
Project implementation: 2 – Fair

Project Outline

PDM is a government initiative to deepen democratic processes and strengthen democratic institutions (i.e. local councils and their standing committees and technical institutions) to facilitate participatory development at local government level. It aims at empowering the local population to effectively participate in the planning of and management of development programmes that impact on them directly and ensuring that village level priorities form the basis the development plans of higher local governments. Specifically, PDM aims to:

- a) enhance the capacity of MOLG and its partners to coordinate the promotion and facilitation of Participatory Development Management at all levels;

- b) strengthen the capacity of LLGs in 10 districts to promote and facilitate participatory development management in order to achieve a broad-based equitable, self-reliant and sustainable development;
- c) strengthen community institutions by providing them with technical skills and institutional capacity required to participate effectively in local development processes;
- d) build capacity of lower local governments to manage harmonized participatory planning processes using village and parish plans as building blocks.

Implementation, Intermediate Impacts and Results

PDM was initially piloted in one lower local government (LLG) in each of the districts of Lira, Arua, Busia, Jinja, Kabale, Kalangala, Masindi and Mukono. Under CPAP (2006-2010) the PDM modality is being replicated in all lower local governments in 10 districts (the original 8 plus two Northern Districts (Lira and Katakwi). During 2006 and 2007, the capacity of the Political Leaderships and Technical Planning Committees at the district and lower local government levels in 10 districts and their 155 LLGs was enhanced to support the PDM initiative.

Through the training process democratic institutions, which include the councils and technical institutions at all levels, are being strengthened to enable them to handle development challenges. These training interventions also lead to the development of capacities of grassroots communities.

For local level planning processes, the core principle of PDM has been adopted under the National Comprehensive Development Planning Framework (NCDPF) for long-term development planning produced by National Planning Authority (NPA). Under the Framework, planning will inform budgeting, thus ensuring that agreed priorities at the community level are reflected in the local government plans.

The PDM Information System has been integrated into the multi-sector national Community Information System (CIS) being developed by MOFPED, NPA, UBOS, MGLSD and MOLG.

Through the established networks with CSOs, the Icelandic Aid Agency in Kalangala District has adopted the PDM approach to planning for their development activities. UNDP has also adopted PDM approaches for use in the Millennium Village concept.

Challenges to Outcome Achievement

PDM is being implemented in only 10 out of 80 districts and 1 city in Uganda, making it quite a challenge to roll-out the programme in the whole country.

In Amolatar, the evaluation team found mixed feelings about the management of the project on the ground. Some officers complained, for example, that there was almost no follow-up after training, leaving them with little understanding of how to apply what they had learnt. Programme staff attributed this problem to delay in disbursements which in turn led to delayed follow-up work. Although this was noted in 2 districts out of 10 it is an important issue that should be given closer scrutiny.

Clearly the PDM project is useful, but it is not well coordinated within the Ministry of Local Government. The evaluation team did not find clear functional linkages between the project office and the ministry planning function. Given its significance in local development, it is important to mainstream the project in the work of the ministry.

At the local level, respondents pointed to extensive participation fatigue in most of the communities. They noted that this is likely to be an enduring problem because such an intensive initiative must of necessity compete with other productive activities in which the communities are involved. A related problem was absence of mechanisms for managing the high community expectations arising from the various projects that were generated from participatory planning processes, but which could not be funded due to limited resources.

The resources required to conduct an adequate PDM process are quite significant. The attention of the evaluation team was drawn to the inadequacy of resources, both human (some LLGs have vacant key positions of Community Development Officers/Assistants and Parish Chiefs) and financial, to facilitate participation right from the lowest level of governance (i.e. village).

The PDM concept offers opportunities for both upstream and downstream influence, and It contributes significantly to strengthening of the planning process at the local level. The design of PDM is ambitious in its design. However, further engagement by UNDP may not add significant value because of the huge resources required to enable the project meet its objectives. The Ministry of Local Government is supported by several donors under the LGSIP and this may be a better modality for meeting the project's objectives than continuing to run it as a standalone UNDP project.

2.1.5 Alliance of Mayors Initiative for Community Action on AIDS at the Local Level (AMICAALL)

Contribution to Outcome: 1 – Positive
Project implementation: 1 – Good

Project Outline

AMICAALL is a network of local governments, mayors and municipal leaders committed to supporting sustainable responses to the HIV/AIDS pandemic at the local level. The initiative is a response to the recognition that there is a high prevalence of HIV/AIDS in African urban centres and cities, and there is a need to build capacity and coordinate HIV/AIDS response in the local governments. The alliance has been expanding since the late 1990s. Currently the network has national chapters in 13 countries: Uganda, Namibia, Swaziland, Cote d'Ivoire, Burkina Faso, Mali, Tanzania, South Africa, Zambia, Malawi, Central African Republic and Kenya.

The UNDP programme is supporting the scaling up of the HIV/AIDS response in urban areas of the country where the current HIV prevalence is highest at 10.7%, almost twice that of rural areas at 6.4%. The project is being implemented within the framework of the AMICAALL Five Year Strategic Plan of Action (2006-2010) and aims at achieving the following major outputs:

- f) Capacity of local/urban leadership strengthened to address HIV/AIDS concerns;
- g) Mainstreaming of HIV/AIDS fully integrated fully integrated in planning frameworks ;
- h) Comprehensive macro-economic HIV/AIDS study concluded;
- i) Strategic partnerships and synergies developed at local and international levels to enhance HIV/AIDS responses in urban local governments;
- j) Urban community interventions for orphans and other vulnerable children strengthened;
- k) HIV/AIDS response in war conflict areas in northern Uganda enhanced;
- l) Institutional capacity of AMICAALL strengthened for effective programme delivery;
- m) Resource mobilization, utilization and management enhanced to scale up HIV/AIDS response in urban authorities;
- n) Monitoring and evaluation of AMICAALL CPAC activities strengthened;

Implementation, Intermediate Impacts and Results

Through this network AMICAALL has been able to mobilise several mayors in Uganda, sensitize them about the social and economic consequences of HIV/AIDS epidemic in their communities and inspire them to become actively involved in the process. The alliance is also reaching out to district leaders so that they can join hands with their urban colleagues in the fight against HIV/AIDS. This is evidenced from the numerous publications, comprising a guide to community needs assessments and project proposal development, orientation workshop reports for mayors and HIV/AIDS service directories for several local governments. AMICAALL has also built the capacity of several local-level institutions that are charged with coordination of the HIV/AIDS response. Currently there are over 25 taskforces that AMICAALL has worked with this year.

AMICAALL is also part of a global alliance, and has established partnerships with Winnipeg in Canada and the US Conference of Mayors. There are plans to partner with 5 Dutch municipalities as well. These partnerships give AMICAALL opportunity to work with a larger network of institutions that can also support it locally and internationally.

AMICAALL has also been able to mobilize leaders of different political to work together on a common cause without the cause being clouded by political bias. This is very commendable because it shows that local politicians can work together on issues of broad national development regardless of their political leanings.

Urban councils have started committing local resources in their budget towards the AMICAALL cause. This is clear manifestation that AMICAALL is having real impact. Hopefully it will get to a point where it can sustain its activities. In the interim, however, it will need to be supported until it can raise its own funds. It may be good if the urban authorities can be encouraged to find more sources to support the work of AMICAALL.

Challenges to Outcome Achievement

AMICAALL is faced with the daunting task of dealing with an epidemic with limited resources. The rising rate of HIV/AIDS in Uganda means that more effort is required to mitigate its spread. The fact that AMICAALL is an NGO means that its scope of impact is limited.

AMICAALL is dealing with urban centres with their transient populations, which makes its work even more difficult. Urban centres in Uganda are populated by several informal businesses and habitats, and it is difficult to determine the actual numbers of the target population. AMICAALL also has to contend with the widespread, but erroneous perception that urban centres are richer and therefore do not need as much support as rural areas. It, therefore, has to do extra work to market initiatives.

Conclusion

AMICAALL is an innovative and well designed project that it managed by a team of very competent staff. Its implementation has gone a long way to strengthen collaborative work between Mayors in an area of critical concern. UNDP might well consider continuing to support the project for some time to come.

2.1.6 Overall Conclusions on Implementation of Outcome 1

All projects under this outcome were implemented very well. The APRM process has significantly impacted on the governance debate in Uganda at the upstream while, on the other hand, the PDM and AMICCALL projects have significantly impacted at the downstream. This is a good balance that needs to be taken forward in the implementation of this outcome.

UNDP is playing a key role in influencing policy processes to promote governance in the country through the APRM process and the Parliament. It is evident that deepening democracy is possible within a multiparty political environment, and this portends well for Uganda.

2.2 Outcome 2: Capacity Enhanced for Promotion and Administration of Justice, Promotion and Protection of Human Rights

2.2.1 Overview

This outcome focuses on support to Local Council Courts (LCC) and the Uganda Human Rights Commission (UHRC). Several court officials have been trained by the programme and this programme has also attracted support from other stakeholders in the Justice Law and Order Sector (JLOS). Support to the UHRC is intended to strengthen its institutional capacity to promote human rights observance in the country. This is an area where UNDP needs to design and build stronger and strategic partnerships because of the number of development partners that are working in this area.

2.2.2 Support to Local Council Courts

Contribution to Outcome: 1 – Positive
Project implementation: 1 – Good

Project Outline

Improving service delivery to the people in the conflict areas of the north, as envisaged under the National Policy for Internally Displaced Persons (IDPs), has been given

paramount attention by the government of Uganda, with support from development partners. Access to formal justice has become very expensive, inaccessible and time consuming since services are confined to towns and municipalities for security reasons. Disputes at family and community level are being handled in a traditional manner in local council courts (LCCs), which are the courts of first instance for most rural and peri-urban communities.

The project's objective is to establish and enhance the capacity of Local Council Courts I and II to administer justice in conflict affected districts. Passing of the Executive Committee Courts Act 2006 was one of the major achievements under this project. The expected output of the project is to have functioning Local Council Courts at LCI and LCII levels in the 5 districts of Gulu, Kitgum, Pader, Lira and Apach. This project also complements support of UNCDF support to the LCCs under one of its programme components (Component 4: Strengthening Local Administration of Justice). The outputs for this project are:

- e) Revised trainer's manual and LCC guides in English, Acholi, and Langi produced;
- f) Production made of popular versions in English, Langi and Acholi; and printing done for the Constitution, the Children's Act, the penal code, the Land Act, the National Policy on Internally Displaced Persons, the Executive Committee/Local Council Act, and guides;
- g) Information, education and communications materials into English, Acholi and Langi developed and disseminated;
- h) Training of trainers conducted in the 5 districts at district and sub-county levels from local governments and United Nations volunteers;
- i) General legal and human rights awareness for people living in the camps promoted;
- j) Training of local council members on how to use the guides and manuals in the dispensation of justice conducted;
- k) Monitoring, documentation and dissemination of best practices on human rights and legal awareness education done.

Implementation, Impact and Results

The LCC project has trained six persons in each of the local governments who included assistant chief administrators, sub-county chiefs and other local government officials. The evaluation team learned that this was greatly appreciated in the local governments where the training events were held. Because of the cascading approach to this process, the skills that were imparted were shared with a larger number of persons. Clearly this activity was contributing to the outcome of better administration of justice.

Although local council officials hold both administrative and judicial powers at the lowest level of government, they were able to internalize the principle of separation of powers through the Local Council Court Act and attendant guidelines that were published under the project. It was, therefore, possible for communities to receive justice from persons who understood their roles.

Several of the respondents at the community level indicated that the LC courts are the first contact between communities and the justice system. Thus proximity of the LC courts to communities increases access to justice and also help to dispense cases

before they become very serious. In fact the team learned that in many cases these courts have ended up being more reformatory than adjudicative.³ Clearly this shows the impact that LC courts have created as a result of this project.

Rolling out the training of LC courts was at first viewed with skepticism by the traditional justice system stakeholders. Over time, however, that system has come to appreciate the LCCs because implementation has involved magistrates who play a supervisory role over LC courts for quality assurance. This has promoted collaboration among the two providers of local justice and strengthened the system..

Partnerships have also been built in the implementation of the LCC project. Although this project focuses on northern Uganda, other donors have introduced it in other local governments where they have interest. Development partners have financed activities of LC courts through the JLOS' basket funding, indicating that what UNDP and UNCDF started has gained wider currency. This is a very clear example of UNDP's strategic influence, which should be deepened..

Key Challenges to Outcome Achievement

The delay in holding local council elections had negatively impacted on the rollout of the programme. This is because of a court case that was filed by some politicians and led to the court suspending the elections at LC1 and 2. The programme focus had to be revised because there were no LC1 officials. This has meant that the objectives of the project are yet to be fully realized..

Logistical inputs, especially storage facilities, need improvement. Since these LC courts are held in informal settings, their officials often find themselves having to use their own storage facilities, which are sometimes unsuitable. Books and files are sometimes destroyed, and records which are very instrumental in the administration of justice are sometimes not very well kept. In Lira, the team learned that in some cases the judgments are not documented!

LC Courts are voluntary in nature and their officials are not compensated. As a result, it is difficult to attract, motivate and retain the right kinds of people for such serious work. This weakens the LCC work.⁴

There are still many skeptics in the formal administration system. Sometimes they base their opposition on some unfortunate outcomes or when local courts overstep their powers, such as when the LC courts hanged a man in Nakapiripit local government because they thought they had the power to do so.

Conclusion

This project responded to a critical need in the area of administration of justice which is very relevant to the work of the UNDP. The implementation of this project was influenced by some of the larger governance issues that reflect the need for some implementation flexibility in some projects. UNDP should think through its future engagement with this project given that JLOS, which is the main government institution overseeing related work, is well managed and funded. It might be helpful for UNDP to discuss its future

³ Respondents in MoLG and Lira Local Government

⁴ Interview in Lira

engagement with this project with the other development partners with interest in this development area.

2.2.3 Support to the Uganda Human Rights Commission (UHRC)

Contribution to Outcome: 1 – Positive
Project implementation: 1 – Good

Project Outline

UNDP has been involved with the Commission since May 1999 when the two-year Capacity Development Project (CDP) was implemented. UNDP recognized, in its second Country Cooperation Assessment Framework, that the Commission had made great strides but nevertheless required a great deal of support and further strengthening to perform its core functions of monitoring and handling complaints and investigations, providing strategic leadership in key areas such as human rights education and mainstreaming of a rights based approach in development work. The outputs of the project are:

- a) Report on the Poverty Eradication Action Plan (PEAP) compliance with the rights based approach (RBA) launched;
- b) RBA guidelines launched;
- c) The Right to Health Unit in the Commission operationalised as a monitoring mechanism for realisation of the right to health in Uganda with specific emphasis on the neglected diseases;
- d) RBA introduced and rolled out to selected central and local government institutions, including district human rights desks;
- e) Capacity of UHRC staff strengthened in the handling and resolving of complaints related to the right to health with specific emphasis on neglected diseases;
- f) Popular versions of the UHRC Annual report printed and disseminated to the general population.

Implementation, Impact and Results Contributing to the Outcome

UNDP funding has assisted UHRC to widen its outreach tentacles to ensure that human rights issues are promoted and protected up to the local level, and that UHRC executes its constitutional mandate effectively.

UNDP support has helped UHRC to build its internal capacity, and to involve civil society in reviewing various legislation (Bills). This has enhanced the capacities of UHRC and CSOs involved, in addition to providing a strategic and sustainable avenue for promoting and protecting human rights issues in line with the Constitution.

UHRC has also built partnerships with various key stakeholders through information sharing and workshop participation, including UWONET, HURIPEC, FHRI, ACFODE, Parliamentary Council, JLOS and district local government authorities. At the time of the interviews, expectations were high regarding UNDP's continued support to strengthen the capacity of UHRC.

The review team's assessment of the impact of UNDP's support to the UHRC is that UHRC's capacity to handle right to health issues has been significantly strengthened through the establishment of the Right to Health Unit and its health professionals; production and distribution of a number of IEC materials such as the Right to Health Toolkit; and development of Guidelines to Handle Rights relating to the right to health. With RBA guidelines in place, UHRC is lobbying for mainstreaming of human rights into the 5 Year National Development Plan that is currently being developed. With 140 health professionals and planners in the districts of Katakwi, Kaberamaido, Amuria, Soroti, Hoima, Kibaale, Masindi, Sembabule, Rakai, Masaka, Lyantonde, Mpigi and Mubende trained in RBA, the right to health issues will be transmitted to a wider population and there will be increased accountability from government agencies.

Considering the benefits that accrue from strengthening the capacity of democratic institutions such the UHRC, and its achievements so far in implementing the CPAP activities, it is not hard to see that programme resources have been wisely used. Bearing in mind that this situation has largely changed with significant capacity built and esteem raised, it would be safe to say that the UNDP has received value for money. However, UNDP has been supported this project for close to 9 years. In future it will be prudent to end this project and redesign new project support that is based on a clear baseline.

Challenges to Outcome Achievement

One of the key constraints associated with the UHRC project is that some planned activities have taken longer to be implemented than anticipated. For example, development of tools that had been planned to be implemented in one quarter spilled over into another quarter.

Implementation of some of the activities in the UHRC project has also been affected by late release of funds. While UHRC continues to use various avenues to promote and protect human rights as the mandated institution, it faces challenges in achieving broader local participation given that elections for LC1 and LC2 councils are still pending. Additionally, the data collection tools being used are too complex and require simplification.

Overall Conclusions of Outcome 2

This outcome is supported by several larger development partners. For example, JLOS which is directly focusing on justice issues has a strong sector working group with several donors that can leverage more resources than UNDP. Furthermore, the Local Government Sector Working Group is now fully functioning and controls substantial resources under the LoGSIP. UNDP may have to have to consider how best to continue participating in this sector, if at all, taking these considerations into account. What is clear, though, is that there is further work on human rights to be done. Currently several parts of northern Uganda are emerging from conflict and there is overwhelming need for intervention there.

Promotion of local level administration of justice can have beneficial spillovers. For example, although the LCCs were set up as adjudicative institutions, most of them have ended up being reformatory in their work as well.

Working closely with other implementation partners that have the constitutional mandate to further the promotion of human rights (e.g. i.e. the UHRC, MoLG and the UAC) has the major advantage that recommendations or policy alternatives coming out of this partnership can influence policies and policy making processes.

2.3 Outcome 3: Promoted Transparency and Accountability

This outcome was designed to support capacity building of integrity institutions, including training of procurement and disposal entities (PDEs) to ensure that they adhere to the provisions of the law and promote transparency and accountability in public sector procurement. Another area of support is in enhancing ethics and integrity in public institutions at central and local government levels. A key factor in achievement of this outcome is effecting attitudinal and behavioural change among public officers. Support under this outcome has been provided to the Inspectorate of Government, the Directorate of Ethics and Integrity, and the Public Procurement and Disposal of assets authority (PPDA).

2.3.1 Support to Inspectorate General of Government

Contribution to Outcome: 1 – Positive
Project implementation: 1 – Good

Project Outline

The Inspectorate of Government is one of the critical organizations mandated to fight corruption in the public sector. The Project is intended to strengthen the capacity of the inspectorate to fulfill its mandate of fighting corruption and inducing a strong culture of transparency and accountability in public management. The project focuses on strengthening capacity to carry out timely investigations and prosecutions, especially those related to high profile cases; conducting studies on policy and systems in selected institutions to identify corruption prone processes, and recommending specific measures to address loopholes; and promoting implementation of the leadership code and providing support in preparation of the National Integrity Survey III. The specific outputs of this project are:

- a) Capacity of the Inspector General of Government (IGG) to conduct investigations and, prosecutions strengthened
- b) System and policy studies undertaken of corruption-prone processes in selected departments to identify specific corruption patterns and recommend remedial actions
- c) Preparations of the National Integrity Survey III supported
- d) Technical assistance in the form of a resident advisor provided to build the capacity of the staff in undertaking high profile investigations and prosecutions
- e) International anti-corruption day held to raise awareness of corruption and of the role of United Nations Convention against Corruption.

Implementation, Impact and Results Contributing to the Outcome

Government needed to be advised on how to improve the transparency and accountability in their systems, and this has been done with one institution – the National Social Security Fund (NSSF)

With UNDP support the IGG has been able to institute a national integrity survey every four years. The objective of the survey is to generate empirical information that can be discussed, analysed and used to help Government, civil society, the private sector, and other stakeholders to improve implementation of the strategies promoting good governance and reducing corruption.

The IGG has contributed to strengthening transparency and accountability in the public sector through concerted training programs whose outputs can be seen in improved reports and reduced investigation time.

Other activities funded under this project have taken the fight against corruption the young generation in tertiary institutions. A program to sensitize their leadership has been active in Makerere, Kyambogo, Mukono and Mbarara universities, and there are plans to extend it to other institutions.

More human resources have been trained and the IGG is expanding its operations country wide. There are now ten regional offices and three more are being opened. The ultimate objective is to cover the whole country.

Key Challenges to Outcome Achievement

The IGG is facing several challenges in implementing the program. Late disbursement of funds is one major challenge which significantly affects delivery on outputs. Also, UNDP at times does not notify implementing partners of budget cuts in time to enable them to make timely revision of their work plans.

Furthermore, the IGG faces an uphill task in inducing attitudinal and behavioral change among public servants. Part of the problem is that the public glorifies corrupt officials as heroes, which further encourages moral degeneration. Corruption itself keeps changing faces; the more it is exposed, the more sophisticated it becomes. Therefore, even greater vigor and rigor is required on the part of the IGG.

There should be strong laws to protect whistle blowers. The evaluation team learnt that the IGG is advocating for the passing of this law, which will be called the Witness Protection Law. This is a step in the right direction.

2.3.2 Support to Directorate of Ethics and Integrity (DEI)

Contribution to Outcome: 1 – Positive
Project implementation: 1 – Good

Project Outline

The project is one of the critical components of the transparency and accountability portfolio of UNDP Uganda. The main development objective of the project is to put in place a harmonized and widely agreed upon ethics and integrity system in government – especially in local governments – that helps improve transparency and accountability in government operations. This includes assessing ethical issues, designing appropriate interventions and a tool for measuring progress, and building the capacity of the

Directorate of Ethics and Integrity (DEI) to promote ethical decision making. The outputs for this project are:

- g) A baseline report on strengthening the ethics and integrity in local governments developed;
- h) A monitoring tool for mainstreaming ethics and integrity in local governments developed;
- i) Capacity building and information-sharing materials for local governments developed;
- j) Training manuals on ethical decision making for lower local governments developed;
- k) A clients charter for local governments developed to improve their operational efficiency;
- l) Training and workshops for local leadership on ethical decision making conducted.

Implementation, Impact and Results

In 2004, the UNDP democratic governance program did not include DEI, but this changed later after government complaint and money was duly allocated. The focus of DEI was primarily on fighting corruption and mainstreaming of ethics and integrity in government operations. This has been instituted through the formation of a Forum of Integrity Promotion at the district level in different districts. Relevant committees have been formed in these districts and launching of their activities is expected soon.

The program has enabled significant capacity building in the directorate. Manuals have been written to replace handouts which are easily misplaced. DEI trains extensively in ethics and integrity both locally and internationally, like the case of southern Sudanese civil servants who do their training at Uganda Management Institute.

DEI has initiated the formation of District Integrity Promotion Centers (DIPCs) in several local governments to change perceptions over its work so that it is seen as an institution that promotes integrity rather than one that deals only with fighting corruption.

The team learned from DEI that several stakeholders find this appealing. The DIPCs are coordinating mechanisms for promotion of ethical conduct, integrity and accountability in local governments, an innovation that has been received with great enthusiasm. The review team was informed that DIPCs comprise everyone at the district level with an oversight role, and they promote awareness on issues of accountability and integrity. Currently UNDP support has targeted 25 local governments, in addition to the 16 that were set up last year. In a move to instill a driving force into the committees, an incentive was introduced in the form of rewards for integrity champions. However, this has not been sustained due to insufficient funds.

The work done by the DIPCs has attracted other partners who have provided some funding. For example, the launch of the DIPC Support programme was funded from the Millennium Challenge Account. In the process, the project has also produced some unexpected but positive results: consequences. For example:

- The visibility of the organisation was not anticipated. Initially the DIPC seemed to some people to be a political tool, but this perception has changed the organ is now appreciated by a wide spectrum of stakeholders;
- The DEI workshops have generated commitment. Unlike other workshops where participants arrive before facilitators, the directorate team report early and leave only after the last person has been handled, sending out a clear message that the team is focusing on achieving results;
- People at the grass roots level have embraced DIPC and are always calling upon the DEI to intervene in cases of corruption;
- Forming integrity committees was an idea developed by the districts themselves, and was not imposed by the directorate.

Key Challenges to Outcome Achievement

The biggest challenge concerns UNDP reporting formats. The respondents in DEI felt that most of these formats were developed elsewhere and abruptly introduced to the IPs. They felt that the reporting system should be localized whereby they report to UNDP Uganda, who then report to UNDP headquarters. The team also suggested that development partners should at some point consider using one agreed format for reporting that meets the needs of various funders.

Conclusion

The project design is consistent with UNDP outcomes. The implementation of the project has been very good and the project has targeted the right areas. UNDP should engage more with this work.

2.3.3 Support to the Public Procurement and Disposal of Public Assets Authority (PPDA)

Contribution to Outcome: 1 – Positive
 Project implementation: 1 – Good

Project Outline

The aim of the project is to build capacity of PPDA to effectively establish public procurement systems in the country. UNDP supports the capacity building function of the Training and Capacity Building (TCB) department of PPDA, which entails developing procurement and disposal capacity. This is accomplished through training of PPDA staff, establishment of systems and procedures and restructuring the public procurement and assets system to enforce compliance with the procurement requirements under the new procurement law. This in turn is aimed at ensuring improved accountability, integrity and transparency and increased value for money in utilization of public funds. The outputs for this project are:

- l) PPDA regulations, statutory instruments and associated training modules developed;
- m) Guidelines and an institutional framework developed for the formation of a local procurement professional body for procurement practitioners;

- n) Training of Trainers and a resource pool generated to build the capacity of central and local government;
- o) Procurement plans for procurement and disposal entities developed;
- p) Institutional linkages and capacities identified;
- q) User guides and manuals for PPDA regulations developed;
- r) Training policy and a national training framework drafted
- s) Awareness created among stakeholders on procurement procedures and requirements.

Implementation, Impact and Results

The UNDP governance program has made tremendous strides in enhancing transparency and accountability in public procurement. Funding through the programme has greatly contributed to institutional capacity building and performance improvement. The activities have included training personnel in government institutions, internal training within PPDA, providing support to key entities, and enhancing monitoring and evaluation. The current situation suggests that there is need to extend procurement knowledge to all government institutions including Ugandan embassies abroad and educational institutions.

UNDP support in this area has introduced several important changes. Among other things (i) public knowledge about PPDA has apparently increased (ii) the quality of bids being submitted has improved (iii) the number of and quality of complaints raised by the public is raining by the day (iv) practitioners have organized into a fully registered association and, and (v) there is evidence that transparency and accountability in public procurement is arguably improving.

Sustainability strategies revolve around capacity building. The PPDA has training as its priority, especially using a hands-on approach. Individual consultants are also being encouraged to invest in their technical knowledge. Government should seriously consider funding this function because of its centrality to the performance of the whole public sector.

Key Challenges to Outcome Achievement

The main challenges to effective reform in public procurement comprise the following:

- The lengthy procurement process has led to the stagnation and frustration of many programs;
- UNDP disburses funds rather late and this does not allow timely deliveries;
- There is also lack of harmony in the planning and budgeting process. There should be coherence to enable comprehensive outputs;
- There is still lack of capacity and this affects the final outcome;
- Contracts used to be awarded by ALD, but it has been closed down. A new should be instituted immediately.

Overall Conclusions on Outcome 3

This project was well designed and well implemented. Because there are still several needs that have not yet been met, UNDP continue with the project for some time.

Support to the project portfolio should be harmonized to maximize impact. For instance, it is very important that the support to DEI and IGG should be considered as part of a broader goal strengthening accountability systems across government. UNDP could register greater impact in this area by working with other oversight institutions, such as the like the Accountability Sector Working Group. This will expand the project's scope and legitimacy, and strengthen UNDP's partnership approach in the process.

Influencing behavioral and attitudinal change on corruption takes time and will require long-term commitment by all partners including UNDP. Procurement is a key function in service delivery and should, therefore, be well understood and supported across all central and local government institutions.

Factors likely to affect Democratic Governance Outcomes

Several factors are affecting or are likely to the outcomes specifically in the areas of programme design, positioning and implementation. These include the following;

- *Inadequate Baseline, Targets and Indicators*

The team learned that the original programme had not been designed based on a formal baseline assessment.⁵ Rather, the baseline was determined based on Pillars of the PEAP and consequently the CCA. In the absence of a clear baseline, developing achievable targets and monitoring and evaluating the programme are difficult. Indicators are essential for establishing the cause and effect chain for a results based management system. The current CPAP is unsuitable for monitoring and measuring results. Before the new PSP is developed, UNDP must conduct a proper baseline assessment of the democratic governance situation in Uganda so that measures are clear.

- *Reporting Results*

As the baseline for the programme is not clear in the CPAP, it follows that managers find it difficult to report, especially on the cross-cutting issues. For example the 2006 ROAR indicates that work on integrating gender issues more closely would be done but this was not followed up during the reporting for the ROAR 2007 which is silent on this action. The corporate reporting document for the UNDP is the ROAR. Staff indicated they were challenged to report on outputs, and the 2007 ROAR report highlights many of these challenges. The ROAR is to be phased out, but according to the ME unit, an Annual Development Plan combined with the Management Development Plan was to take its place. No concrete linkages were previously established between actions that linked operations and management hence the need for this change.

- *Funding and staff limitations*

UNDP's limited funding impacts its influence in the democratic governance sector. According to interviews with partners and programme staff, implementation is driven by available funding sources, which is not strategic. For example, the PDM project is a very useful one, but UNDP funding and coverage support for it is very limited, making it very hard for the programme to generate the required impact on local level planning deepening of democratic governance country wide.

UNDP Uganda programme staff struggle to find time to manage projects, provide strategic policy advice and leverage extra-budgetary resources. This is problematic

⁵ Discussion with UNDP staff – DG programme officer

especially for institutional capacity building initiatives as experience has shown that longer implementation timeframes are needed for capacity building programmes to be effective.

- *Tension Between Upward and Downstream Interventions*

In order for the democratic programme to be strategic and in line with UNDP's objectives and operational drivers, the programme must balance upstream policy and reform initiatives and downstream activities. It is necessary to address institutional capacity gaps to enhance public service delivery. Low capacities at the local government negatively impact on the delivery of other UNDP programme objectives, and creating an enabling environment for enhancing public services delivery, reducing poverty and facilitating crisis prevention and post-crisis recovery.

The team reviewed downstream projects - such as PDM, LCC and others relating to institutional capacity building, and promotion of transparency, accountability and democratic governance - and found that activities for improving planning were not linked to those supporting accountability and transparency. Making government more responsive to its citizens requires programme interventions that are well linked on both the supply and demand sides of service delivery.

- *Historic relationship with incumbent implementing partners*

Findings indicate that UNDP has a historic relationship with many of its implementing partners which have created expectations that do not allow for a more dynamic and strategic programme scope. For example, most of the new CPAP programmes were carry-overs from the previous programme cycle. While this was useful for continuity, the transition to the new programme cycle should have been based on careful analysis of the performance, achievements and expected results by the implementing partners.

- *Increasing demand for special initiatives*

The evaluation team learned that demand for special initiatives, including HIV/AIDS, has increased, putting pressure on already overstretched capacities for project backstopping and management. Staff say this redirects focus from upstream (i.e. policy advice and resource mobilization) to project backstopping. For example, the HIV/AIDS programme expanded in 2005-2008 from one to four projects, causing the programme officer to spend too much time on management and oversight of the HIV/AIDS project, and not enough on policy matters.

Because of its cross-cutting issue, HIV/AIDS should be appropriately mainstreamed into all UNDP programme activities. Thus, expanding the HIV/AIDS portfolio should be given significant consideration.

3.0 Monitoring and Evaluation

This section discusses the relevance of monitoring and evaluation of the programme and concludes that the system in place could be better. The context for M&E at UNDP, the second MYFF, indicates need for change to a results based management system. Fortunately UNDP managers are increasingly aligning with this system.

From the interviews it emerged that staff is not sure how to assess best practices. The team learned that the basis for monitoring and evaluation of the democratic governance programme is the CPAP ME plan. However, according to the ME officer at UNDP, the

concepts of baseline, targets and indicators based on the current plan have been misunderstood. In terms of effectiveness, the team learned that current CPAP baselines have contradictions, and the targets and indicators are not clear.

Baseline target indicators are the basis for reporting on results and therefore must be consistent. The baseline value must also be presented before the targets from which indicators logically follow. Targets have been presented before process in many cases, and 'time' and 'what,' are not made clear for either targets or indicators. According to staff, in addition to presentation issues, the current CPAP baseline is contradictory. The M&E unit says the CPAP M&E plan, as it is, cannot be effectively operationalized in its current form. The team learned that the Atlas system used by the UNDP country office collapsed its priorities into 10 areas out of compromise, possibly creating the problem.

UNDP planners considered the baseline as the value of the indicator each year rather than the value of the indicator *at the start of intervention*. The M&E officer advised that many of the indicators and baselines have been replaced by annual values. There is also confusion between end of programme and annual targets. To determine change, the team must determine the existing capacity from the beginning before setting the target.

In terms of partnerships and donor coordination around outcomes, the team learned that PEAP is the entry point for all monitoring and evaluation reporting, and there should be no conflict in terms of joint reporting with external donors. At the outcome level, for example, PEAP defines the indicators. The challenge is that at the output level the office has to work within the confines determined by available resources and capacities.

5.0 Partnerships and Coordination

This section considers the relevance and effectiveness of partnerships for achieving the democratic governance outcomes. The team interviewed key partners at government ministries, civil society groups, bilateral and multi-lateral donors. Donor coordination is very important to avoid duplication and overlap and to maximize outputs but it is even more crucial in the governance area, given the dynamic nature of the operating environment and the broader strategic goals that transcend inter-agency or inter-governmental politics.

Stakeholders emphasized the need for more thorough examination of completed, ongoing and planned governance work by all agencies before developing new governance initiatives. This will help to ensure complimentary, integrate lessons learnt and identify comparative advantage. Donor consultation is also required at regular intervals throughout implementation. All governance projects would benefit from better ongoing coordination with relevant national agencies to ensure that the initiatives are streamlined and complimentary.

With respect to resource mobilization, programmes such as APRM and LCC have shown the potential leverage that can be obtained by sourcing parallel funding from other donors and aligning UNDP initiatives with larger programmes supported by the donor partners.

Partnership Strategy Modalities

The UNDP partnership strategy is outlined in the CPAP. In particular, it conceives the Paris Declaration as a critical milestone adopted by the international community in determining progress towards achievement of the Millennium Declaration and the Millennium Development Goals. The adoption of the Paris Declaration on Aid Effectiveness has major implications for UNDP and the UN system as a whole, opening up new windows of opportunity while calling for more boldness in forging partnerships, going beyond inward-looking reforms and embracing global processes that will make aid more effective for both partner countries and donor countries.

The CPAP outlines the importance of partnership strategies in addressing the country programme priorities through joint programming or cost sharing where possible. UNDP strategy is to use its limited resources as seed money to leverage basket funding to generate multiplier dynamics with better resourced bilateral or multilateral development partners in the donor community and the UN system. According to the CPAP, 'coalescing donor energies and resources towards these objectives is the partnership strategy that UNDP has established and will continue to expand upon.' Partners include government departments and institutions, specialized UN agencies, NGOs/CBOs, the private sector and training and research organizations.

Performance of Partnerships

How does UNDP partner with other UN agencies, government ministries, implementing agencies, donor groups and civil society organisations in Uganda? According to information received interviews, partnerships were formed based on the needs expressed through mechanisms for supporting implementation of PEAP. For example, UNDP is a member of the Local Development Partners' Group and also participates in relevant thematic sub-working groups and sector review meetings. The sector working groups are mechanisms that are used in the implementation of the sector-wide approach to planning.

The donor thematic sector sub-groups arose out of the recommendations of the Partnership Principles and UJAS. The sub-groups coordinate planning and mobilize resources around PEAP development priorities including those for democratic governance. Donor coordination includes monthly development partner meetings, sub-group meetings and other ad hoc working groups under the UJAS.

Findings indicate that donor coordination provides a strategic avenue for UNDP managers to provide policy advice, mobilize resources and leverage human development related objectives. UNDP influence in such forums has been rather weak due to its limited core resources. On the other hand, this evaluation finds that donors appreciate the value of UNDP's strategic relationship with government and potential contribution to planning outcomes. UNDP might improve its engagement with donors by servicing the forums with information and knowledge sharing. For example UNDP produces some cutting-edge publications, like the *Uganda Human Development Report* and *MDG Monitoring Reports*. These could be avenues for expanding the knowledge sharing activities with other development partners and influencing the development discourse as a whole. Feedback from stakeholders confirmed broad donor interest in collaboration and coordination with UNDP around around democratic governance outcomes.⁶

⁶ Respondent from the Decentralization Development Partner Group

An issue raised by donors concerning UNDP's role was that although donors coordinate support around thematic areas and use basket funds to provide longer term coordinated support, multi-lateral agencies, in particular EU and UNDP, do not always participate in these funding frameworks.

- *Sectoral vs. Clusters Approach*

A systemic problem affecting coordination across sectors is the tension between the government sector and the UN agencies and donor cluster approach. UNDP's counterpart for local justice administration programmes, for example, is the Ministry of Local Government, not the Justice, Law and Order Secretariat (JLOS). This is particularly challenging for coordinating local justice work. Donors believe that all agents' policy advice must be channeled through the most relevant institutions. For example, although MOLG is implementing access to justice work through pilots, the JLOS should be the entry point for planning support to the Justice Law and Order Sector, which is the focal point for all access to justice programmes. Donors argue that new programme ideas must go through the technical committees of JLOS. UNDP should position itself to support outcomes using existing mechanisms and aid coordination around projects in the relevant sector ministries. In this case the JLOS sector had developed very good mechanisms for coordinating work on access to justice and contributing to a collective basket fund would increase UNDP's overall influence and impact on the ground.

DANIDA approaches work in the access to justice sector by balancing its support activities to address both supply side (services improvement) and demand side (transparency and accountability). In addition, transparency and accountability issues are systemic issues (e.g. public administration). Therefore, reform needs a holistic approach.

- *Timing: Late Interventions*

A common complaint reported by the donors was that lately UNDP coordination and funding of the agreed sectoral interventions were not timely. Uncoordinated intervention resulted in confusion as donors did not know how to proceed. One respondent said,

'It took one year of talking (about the intervention in the area of crisis prevention and recovery) and then it took three years to push the programme through, but by then it was too late.'

Donor consensus was that UNDP should increase its work on policy advice and knowledge sharing within donor sub-groups. Suggestions included the proposal that new support should be channeled through mechanisms that support national focal points (around sector investment plans or PEAP pillars), otherwise it would not have significant impact. A case in point was the recent experience in developing a transition justice report. The activity was not well coordinated, and UNDP and DANIDA both conducted separate studies. The overlap created follow-up problems and effective utilization of resources.

- *Independent Planning and Execution by UNDP*

Donors perceive UNDP to have a 'pseudo-independent' relationship with government. UNDP activities are not effectively linked to sector investment plans through donor forums. One respondent argued that UN agencies do not permit donors with more

competence in a thematic area to lead sector support. A case in point is the legal aid basket fund, a DANIDA initiative, to which UNDP was invited but still does not contribute.

DANIDA highlighted several good practices, such as the Joint Survey on Local Council Courts and Legal Aid Services that both agencies conducted in Uganda and the joint study with the UNDP (2006), which led to the development of a programme on Local Council Courts (LCC). The principle was that the value added by both agencies was realized. Donors argue that most agencies have the same problem as UNDP in that there is tension between GOU sector approaches and donor's cluster approach. However, donors dealt with this problem by aligning support to the PEAP and the sector investment plans. All donor agencies need to coordinate and plan together.

The Division of Labor exercise was cited as an opportunity for donors to harmonize and align their work more effectively because through this process, the donors could choose which sectors they would like to participate in and which role they would like to undertake – either as 'lead,' 'active' or 'silent' partner. However, the government has not yet pronounced itself categorically on the Division of Labor exercise, and it is not clear how influential this work will be. For multi-lateral institutions like the UNDP, which has a wide scope, there is still tension in terms of what the institution has to implement from a corporate level perspective and what the in-country Division of Labor exercise will assign it. Since the UNDP is a signatory of the Paris Declaration on Aid effectiveness, it should internally debate how best to coordinate with other donor organization.

- *Limited Civil Society Capacity*

Literature review and interviews with CSO actors confirmed the shifting position of CSOs in the governance arena. For a long time the political system in place was meant to be inclusive of all factions that had made up Uganda's political landscape in the previous decades. This period of reconstruction provided space for the emergence of indigenous civil society organisations, symbolised by the creation of an umbrella organisation, DENIVA⁷. With social service delivery still beyond the capacity of government and with donor funding to NGOs in Uganda no longer compromised by political instability, a 'laissez-faire' attitude by government towards NGOs characterised the late 1980s and early 1990s.

This era of growth for civil society organisations, with many of them taking on a service delivery role, accelerated as the World Bank and other donors also worked with the government to find ways of strengthening government systems. Contrasted against state inefficiency, CSOs were considered 'less corrupt and closer to the people.'⁸ Owing to the more generous they commanded they started to act without reference to government policies. Government functionaries viewed the resource flows benefiting these stalwarts with a good measure of envy and even cynicism.⁹

⁷ The Development Network of Indigenous Voluntary Associations was established in 1988 after some NGO workers and academics attended a conference in Sudan that inspired the need for indigenous NGOs.

⁸ See De Coninck J (1992), *Evaluating the Impact of NGOs in rural Poverty Alleviation – Uganda Country Study*, ODI Working Paper 51, ODI, London, Tulya-Muhika S., 2002, *Notes for presentation of Preliminary Findings*, Uganda NGO Sector survey 2002, Mimeo

⁹ In 1992-3, for instance, expenditure by NGOs in Uganda was estimated at US\$ 125 million, almost equivalent to the World Bank's contribution to the Rehabilitation and Development Plan that year (Dicklitch 1998: 148).

This era established two important dimensions of ‘civil society’ in Uganda: first, the lasting association – even equation – of ‘civil society’ with NGOs, while its other components (e.g, trade unions and co-operatives) were ignored or even undermined and, second, the tendency for NGO growth to be driven by availability of donor funding rather than the imperative of providing answers to deep seated social problems.¹⁰

The bonanza years for NGOs have come to an end with the strengthening of government structures and systems, especially at local level. The latitude and space for CSO involvement in service delivery has been narrowing and donors are reconsidering funding service delivery activities through NGOs. The larger NGOs, with their burgeoning bureaucracies, are being confronted with the new and difficult challenge of downsizing and are being forced to explore new funding mechanisms, such as consultancies from Government and other state grants.

However, stand alone funding for CSOs still exists. Currently, for example, EU is winding up a big capacity building programme and developing another one on its own. DFID also runs big advocacy programmes. In some cases both institutions fund the same organizations. UNDP has also funded some stand-alone projects at the NGO Forum, which were referred to by one respondent as ‘light weight’ interventions. Clearly UNDP should partner with other agencies when funding CSOs that operate in its chosen governance area. This would be a much better of utilizing its limited resources.

- *Good practices*

Donors shared a common perspective that the UNV programme added value to the DG objectives in Uganda. UNVs, for example, are employed throughout the country and are building capacity in the area of human rights.

Several respondents saw UNDP as an institution that takes on innovation and sometimes ‘risky’ areas, such as support to local council courts in conflict areas and support to the APRM process. The fact that UNDP took a lead in supporting programmes in administration of justice in conflict areas stimulated confidence among other donors, who have since supported the upscaling of this work. The APRM process was also an area which was marred by skepticism in its nascent stages, but the willingness of UNDP to put together core funds for the programme was seen by many as a good practice and clear example of leadership.

The work being supported under the DEI that has led to the development of integrity forums has the potential for developing into a very influential programme in the area of integrity and ethics. Clearly, this is another indication that UNDP is leading the way in the development of good practices. How this programme is nurtured, especially in this last half of the current CPAP, is fundamental to its success. It is therefore important for UNDP to step up its support in this area and interest other donors to pitch in.

4.0 Conclusions

This section describes the main conclusions in terms of a) management considerations and b) programme relevance, effectiveness, efficiency and sustainability.

¹⁰ De Coninck J (1992), *Evaluating the Impact of NGOs in rural Poverty Alleviation – Uganda Country Study*, ODI Working Paper 51, ODI, London,

4.1 Management considerations (design and Implementation)

There are three main areas for internal action: 1) results based management issues – capacity for RBM, especially reporting, is still weak; 2) scope issues – too large and not operating strategically. The need is to work upstream as well as have key downstream interventions for policy learning; 3) CPAP design issues – not aligned to UNDP corporate standards in terms of indicators, target and reporting mechanism and benchmarks. The mechanism exists, and UNDP is participating, but the programme unit must begin to practice and embody UNDP operational drivers.

4.2 Management Considerations (Partnerships and Sustainability)

UNDP has considerable influence in democratic governance work in Uganda and has been invited to operate in new and politically sensitive areas, such as corruption, human rights and capacity building of Parliament. DG projects have been attributed with shaping the political culture on issues of civic engagement, accountability and transparency and administration of justice. Projects like APRM, PDM, DEI and LCC were able to elevate governance issues on the policy agenda and provided the foundation for numerous follow-on activities. While organisational credibility and positioning cannot be solely attributed to DG initiatives, there is no question that the pioneering and follow-on efforts of these projects have created a more enabling environment for the evolution of democratic governance in Uganda and have opened new doors for engagement by UNDP and other development organisations.

4.3 Relevance

The evaluation identified the growing importance of democratic governance in Uganda to achieving development outcomes and MDGs and the highly strategic opportunities the democratic governance (DG) programme have created for future intervention by UNDP and other organizations. DG projects were frequently attributed with shaping the political culture on issues of accountability and transparency, participatory planning and administration of justice at the local level.

There is a strong perception among stakeholders that UNDP is a “trusted” and “neutral” partner because it functions outside bilateral relations and foreign aid policy and does not have a lending mandate. Some stakeholders consider UNDP as a centre of excellence and its publications are seen as strategic in the provision of policy advice to state and non-state actors. UNDP has considerable influence in the area of democratic governance as evidenced by the fact that the organization has been invited to operate in new and politically sensitive areas such as corruption, human rights and capacity building of Parliament of Uganda. As such, DG programmes seem to have a comparative “outside” advantage and play an important role in fostering best practice and improved coordination at all levels.

4.4 Sustainability

Analysis of the project-outcome link reveals that DG programmes have made a major contribution to fostering democratic governance in Uganda by addressing critical issues in parliamentary reform, accountability, capacity development of state and non-state actors, anti-corruption, ethics and human rights. The programmes reviewed were attributed with playing a vital role in stimulating greater demand for good governance and creating a more conducive operational environment for inclusive, rights based approaches.

The evaluation concludes that sustainable change requires a long-term, multi-faceted partnership approach that seeks to strengthen governance systems at all levels. This involves addressing legal impediments, structural barriers, human and financial deficiencies, communication and information blockages, socio-cultural expectations, public appreciation of political processes and barriers to accountability.

It would not be advisable for UNDP to try to work in all areas simultaneously. Strategic choices have to be made in terms of thematic focus. UNDP should continually and sensitively appraise Uganda's unique needs and order its priorities accordingly if it wants to remain progressive and influential in this sphere.

While UNDP was encouraged to narrow its focus within the area of democratic governance, stakeholders also recommended that the organization should continue to work on multiple fronts to create sustainable change through strategic application of upstream and downstream approaches. The DG projects show that that real reform requires a long-term and a sensitive approach to achieving human rights outcomes, and involves identification and empowerment of key "change agents" (including government officials, elected officials, civil society leaders, the private sector, media and local academia) in order to build local capacity and ownership for governance activities and outcomes.

4.5 Effectiveness

In this evaluation we understood effectiveness in terms of the extent to which a development outcome is achieved through project interventions. In assessing the effectiveness of UNDP programme strategies, the review team was of the view that UNDP is trying to do too much within the governance area in terms of thematic and geographic coverage. As such, UNDP is advised to focus on those areas where it has clear comparative advantage.

A common theme running through all programmes is that their effectiveness can to a large extent be attributed to the strength of the project manager and staff and to the level of cooperation established with UNDP Country Office. There is little question that the quality of personnel and their ability to form long-term trusting relationships with diverse stakeholder groups is key to realization of programme objectives. The evaluation concludes that closer coordination with other DG programmes and other donor initiatives is critical to ensure effectiveness and complementarities. A number of potential threats to effectiveness were raised during the evaluation including differing agendas of external actors, and the sensitivity of some areas like human rights and corruption.

4.6 Efficiency

In this evaluation, efficiency is related to the optimal transformation of inputs into outputs. The evaluation established that the impact of DG programmes is significantly reduced when initiatives are "thin on the ground" and project resources (inputs) are dispersed too widely. One-off initiatives are much less likely to produce lasting results and do not send a strong signal to beneficiaries and other agencies about UNDP's priorities and core business. Some stakeholders felt that UNDP programmes were administratively challenging because of the cumbersome and lengthy application, procurement and acquittal procedures. As a result, some external stakeholders reported an unwillingness to engage with UNDP because of the extensive and disproportionate paperwork required to access relatively small amounts of funds. It is important that

UNDP takes this sentiment seriously and studies the bottleneck in order to streamline and expedite administrative procedures to improve efficiency, especially regarding funding disbursement. This will improve its relations with implementing partners.

5.0 Overall Recommendations

4.1 General Recommendations

A. Programme Design

Recommendation 1:

Before the new Country Programme is developed, UNDP must conduct a baseline assessment to clarify the outcome areas in the new programme. These should be built around the development problem in the context of democratic governance, poverty alleviation, crisis prevention and recovery and environmental sustainability, and should take into consideration UNDP's strategic objectives and comparative strengths.

A balance should be struck between upstream and downstream interventions. Although projects in the field are very important, they need to be supported by strong policy dialogue and knowledge sharing work at the national level.

Recommendation 2:

To further leverage UNDP's strategic position on democratic governance and advocacy for governance outcomes, emphasis should be placed on increasing internal and external visibility and knowledge sharing from the programme outputs.

Reporting on programme implementation is affected by the numerous changes in UNDP reporting guidelines, which sometimes affect the efficiency of implementing partners to report satisfactorily on their outcomes;

B. Programme Implementation and Management

Recommendation 3:

All implementing partners and UNDP staff should be trained in Results Based Management (RBM) so that they can understand and appreciate its utility, value and potential.

Recommendation 4:

Although there are internal challenges in the use of basket fund modalities, the UNDP country office should engage in high level discussion with its headquarters to agree on how to respond at country level because basket funding is the preferred funding modality for Government of Uganda (GoU) and most donors have adopted it as well. Besides, it offers a good opportunity for strengthening reporting towards results and outcomes. Staying out of the basket funding methodology robs UNDP of the potential influence over other players in the governance area.

Recommendation 5:

Communication should be sent out urgently on the new financing modality to all IPs and possibly a workshop held to discuss the details and reflect as well as generate solutions on the implications of the new modalities.

Recommendation 6:

The scope of the democratic governance portfolio should be reduced as it is currently too broad. To ensure objectivity in the selection of projects a baseline assessment should also be used as the starting point in building an exit strategy in some areas.

C. Monitoring of Outcomes

Recommendation 7:

To enhance shared learning and the use of project results, UNDP should consider conducting Joint Evaluation and Monitoring of the outcomes through the existing donor sub-groups and Government partnerships.

Recommendation 8:

Before outcome evaluation are conducted project level data (both programme and financial) should be analyzed by UNDP to ensure that there is usable data available for outcome analysis.

D. Programme Coordination

The UN has a strong comparative advantage, based on its position as a trusted partner with the government, arising from its neutrality and provision of sustained support. These key attributes can be very useful in enhancing its coordination role across government and with other development partners and should be taken advantage of.

Recommendation 9:

There should be an explicit strategy and initiative developed and implemented on knowledge and information sharing. This will go a long way in enhancing dialogue with other development partners and to reduce duplication among the work of development partners.

Recommendation 10:

With the closing of the Coordination Unit at MFPED, a capacity assessment of Aid Liaison Department is necessary to ensure that the role of MFPED as an executing agency is clear and does not get lost in the new modalities. The implications of this on UNDP staff should also be reflected in capacity assessment.

Recommendation 11:

The Democratic Governance Programme should conduct an internal analysis of the donor sub-groups that are relevant to their work and identify which ones they will participate in and which ones they will work through other partners.

4.2 Recommendations on Programme Outcomes

Outcome 1: Democratic Processes Deepened and Democratic Institutions Strengthened

UNDP has strategically positioned itself as a key player in influencing policy processes. Support to upstream and downstream processes is beneficial to outcome achievement as evidenced by the work of APRM and PDM. There is clear evidence that deepening democracy is possible within a multiparty environment, especially when promoted through programming that targets critical cross-cutting development issues such as PDM and the work on HIV/AIDS through AMICCALL.

Recommendation 12:

Outcome 1 needs to be formulated so that it focuses on two areas: a) Deepening democracy and b) Strengthening Democratic institutions. This will help in the development of measurable outcome indicators.

Recommendation 13:

More attention should be given to institutionalization of project gains, to sustain them beyond project life.

Recommendation 14:

UNDP should explore the possibilities of supporting election work in Uganda by working closely with the recently launched Deepening Democracy Programme.. UNDP has vast knowledge on election work globally, and the value added of this support is important to the overall democratic governance outcomes.

Outcome 2: Capacity Enhanced for Promotion and Administration of Justice, Promotion and Protection of Human Rights

Promotion of local level administration of justice can have beneficial spillovers. For example, although local council courts were set up to adjudicate local level cases, most of them have ended up being reformatory in their work. Equally importantly, working closely with the implementation partners are constitutionally mandated to promote human rights has the major advantage that any recommendations or policy alternatives can easily find their way into the policy making processes.

Recommendation 15:

UNDP should consider mechanisms through which it can contribute to collective funding approaches in sectors like JLOS and the Accountability Sector. This will be a better way of sustaining the results of projects in Outcomes 2 and 3. Work with CSOs in this area should be strengthened.

Recommendation 16:

As part of the knowledge sharing strategy more work is required to build synergies among the different project components under this outcome because of the close connection in project outputs and the cross-cutting nature of some of the interventions.

Outcome 3: Promoted Transparency and Accountability

Influencing behavioral change towards managing corruption will take time and will require long-term commitment from all partners including UNDP. In that regard,

procurement reform should be supported across all sectors and in all downstream and upstream institutions.

Recommendation 17:

UNDP should consider refocusing the support in some of the projects under this outcome which have been supported for close to 9 years. Although the projects are focusing on tackling general attitude towards corruption and enhancement of integrity in the Ugandan community, it is clear that they have to be refocused and not just rolled over at the expiry of programme cycles.

Annex 1 Terms of Reference

Evaluation of the UNDP Governance Programme

Background and Context

Uganda has just emerged from a period that can be described as crisis of good governance, characterised by cycles of unrest, misrule, struggle for power, civil wars and gross violation of human rights, until the advent of the National Resistance Movement under the leadership of H.E President Yoweri Museveni. Several political and economic reforms have been put in place, such as liberalization of the economy and privatization, decentralization, public service reforms and democratization. Alongside the reforms, new strategic institutions were established to address specific concerns such human rights, corruption and abuse of office, public procurement etc. Furthermore, the 1995 Constitution was also promulgated by a Constituent Assembly to pave the way to democratic rule in the country. In addition, affirmative action was taken to address gender concerns and issues of equity and marginalization.

The Poverty Eradication Action Plan (PEAP) was developed in 1997 to serve as the country's main development strategy and planning framework for fighting poverty. Government's overriding aim as espoused in PEAP is the reduction of the total number of people living in absolute poverty to less than 10% of the population by 2017. Attaining this target would go a long way in enabling Uganda to achieve the targets set under the Millennium Development Goals (MDGs). It should be noted that democratic governance is a necessary condition for the country to realize the goals and aspirations of its people. In recognition of this, good governance is one of the major pillars of the Poverty Eradication Action Plan.

In the spirit of partnership, the United Nations formulated the second United Nations Development Assistance Framework of Uganda (2006-2010) building strongly on development challenges and identified areas of cooperation proposed in the 2004 Common Country Assessment (CCA). The UNDAF provides a development assistance framework for the implementation of the Millennium Declaration (MD) and achievement of the MDGs with Uganda's own priorities as identified in the national development framework.

Deriving from UNDAF, County Programme Action Plan (CPAP) of 2006-2010 embodies agreed areas of assistance between the UNDP and the Government of Uganda. CPAP identifies 10 outcomes for the CO that help in supporting the achievement of the development agenda identified in the UNDAF and the Country Programme Document (CPD) and the challenges identified in the CCA. To achieve the set outcomes, UNDP designed three programmes, namely, Poverty Reduction, Crisis Prevention and Recovery and Democratic Governance. As elaborated below, Democratic Governance Programme addresses three outcomes of the CPAP.

Description of the Democratic Governance programme

The Democratic Governance programme supports the following goals of UNDP based on the Multi-Year Funding Framework (MYFF) 2001-2007: Goal 2 – Fostering democratic governance and Goal 5 – Responding to HIV/AIDS. After consultations between UNDP Uganda and the Government as well as development partners and stakeholders, it was decided that the democratic governance programme addresses the following three CPAP Outcomes: Democratic processes deepened and democratic institutions strengthened, capacity enhanced for promotion and administration of justice and transparency and accountability in government institutions improved.

In order to achieve the above CPAP outcomes, the programme has various projects, which will be covered under this evaluation. The consultants will receive detailed briefing on the various projects under the democratic governance programmes upon commissioning the assignment. The principal premise of UNDP support has been capacity building through institutional support and skills development in close collaboration with the central and local governments. For purposes of coordination, UNDP Uganda has worked closely with the Aid Liaison Department in the Ministry of Finance Planning and Economic Development as a counterpart. Under each Outcome, relevant institutions have been supported as indicated below:

Outcome 1: Democratic processes deepened and democratic institutions strengthened

- Support to the Implementation of African Peer Review Mechanism (APRM);
- Support to the Parliament of Uganda;
- Support to Ministry of Local Government to implement Participatory Development Management (PDM);
- Support to AMICAALL (Alliance of Mayors on HIV/AIDS);
- Support to Ministry of Finance, Planning and Economic Development to conduct Macro-Economic Assessment of HIV/AIDS Impact in Uganda.

Outcome 2: Capacity enhanced for promotion and administration of justice, promotion and protection of human rights

- Support to the Local Council Courts;
- Support to Uganda Human Rights Commission;
- UNV Support to the Promotion of Human Rights in Uganda.

Outcome 3: Promoted Transparency and Accountability

- Support to Inspectorate of Government;
- Support to Directorate of Ethics and Integrity;
- Support to Public Procurement and Disposal of Public Assets Authority.

Under this component, there is also a specific intervention to build the capacity of the Parliamentary Accountability Committees, within the context of multiparty dispensation, which play a proactive role in deepening the culture of accountability and transparency in the country. It should also be noted that other than APRM and Macro-Economic Impact Study of HIV/AIDS, most of the projects were carried over from the previous country programme – Second Country Cooperation Framework (2001-2005).

Rationale for evaluation

UNDP is entering into a new planning phase with a new strategic business plan from 2008-2011. The business plan envisages the programmes to be strategic and upstream in nature, with pilot interventions at the community level. The programme evaluation is intended to assess the extent to which the governance programme is contributing to the achievement of the UNDAF and CPAP outcomes and to assess the relevance of current outputs and activities to the new corporate business plan. The recommendations will feed into the preparation of the programme component paper for the democratic governance programme.

The evaluation is also to help clarify underlying factors affecting the programme delivery, highlight unintended consequences (positive and negative), highlight significant country circumstances that either facilitate or hinder the attainment of programme objectives and outcomes and recommend actions to improve performance and generate lessons learnt in future programming.

Scope and Objectives of evaluation

This evaluation is part of the overall assessment of the progress being made towards attainment of the intended objectives of the CO programme and to prepare UNDP's contribution to the mid-term review of the UNDAF planned for next year. The evaluation will cover only projects and interventions that have been supported directly from UNDP Core Resources or other resources mobilized within the framework of the GOU/UNDP Democratic Governance Programme. Although the evaluation is being carried out in the second year of the CPAP, it is expected that for projects that were carried over from CCFII the period will be from 2001 to present time.

Specifically the evaluation is to allow the CO and the Government to do the following:

- Assess the relevance of the governance programme to CPAP outcomes and the current needs and priorities of the country, including the contribution of the programme to attainment of the MDG targets;
- Assess the impact of the programme in building the national capacities of the Ugandan institutions to develop and implement sustainable development strategies/policies and introduce good practices in support of good governance;
- Analyse the relationship between the different programme elements (outputs, activities, etc.) were logical and commensurate with the time and resources available;
- Suggest an exit strategy for the projects that only partially support the achievement of the outcomes and results or have been supported by the UNDP Uganda beyond the recommended timeframe of 5 years;
- Assess how the programme has addressed cross-cutting issues;
- Suggest linkages with other CPAP programmes of Poverty Reduction and CPR.

Objectives

- The programme evaluation is specifically aimed to look at three specific aspects of the programme: design; implementation and Impact.

Design: Examine the relevance of the programme objectives, outcomes, outputs and activities in relation to the national development priorities, corporate policy framework of UNDP, the Millennium and Paris Declarations and other key policy frameworks of UN system. This also includes the type and nature of implementing partners selected for the programme, partnership strategy followed for collaboration with development partners and non-state actors, synergies with the other programmes of the CO; incorporation of the cross-cutting themes; the geographic focus in terms of the spread and relevance at the different levels of government, etc. Determine the appropriateness of the implementing partners and the activities implemented to the attainment of the overall programme outcomes.

Implementation: Examine the efficiency of the implementation of the programme with particular reference to: delivery of outputs and inputs; implementation of activities; M&E systems; networking with state and involvement of non-state actors to influence effective implementation of the programme. This also involves identification of the factors that either enhance or impede the effectiveness and efficiency of the programme implementation.

Impact of the programme: Examine the impact of the programme in terms of the specific project output contribution to the outcomes and results of the CPAP and UNDAF. Determine if indeed the different project outputs are linked to the outcomes of the CPAP and UNDAF and the planned impact on the target groups has indeed been and can be achieved.

Lessons Learnt: Deriving from the analysis of the design, implementation and impact of the programme – suggest the lessons learnt and identify the niche for the UNDP operations, given the outcomes and results to be achieved. This exercise is to feed into the development of the Programme Component Paper.

Outputs/Deliverables

The evaluation is expected to produce the following outputs:

- An inception report within one week of the signing of the contract. This report is expected to detail out the tasks to be performed and methodology to be adopted;
- An evaluation report within 4 weeks of the signing of the contract with clear strategic recommendations on the adjustments and realignments to the current programmes. The evaluation report should contain the lessons learnt concerning best and worst practises in producing the desired outputs at project level, suggest ways to improve the performance and delivery of the programmes and identify the critical linkages amongst the different programmes of UNDP Uganda;
- Suggest an exit strategy for the projects that only partially contribute to the outcomes of the CPAP and UNDAF;
- Undertake at least two briefing sessions with the management of the CO to inform the progress of the evaluation.

Methodology

The evaluation will involve desk reviews of work plans/budgets and progress/ expenditure reports, holding interviews and discussions with relevant officials in the key supported institutions and development partners as well as field visits, especially in the case of projects that have had district and lower local government outreaches.

For purposes of validation of findings, there will be a briefing at the beginning and de-briefing at the end of the assignment. In particular the de-briefing will involve all stakeholders who have been associated with the programme, including development partners.

Implementation arrangements

| | |
|----------------------------|-------------------------------------|
| Duration of the assignment | 3 weeks |
| Timeframe | beginning 11 th February |

Composition of the team

The programme evaluation is to be executed by a team of 2 national consultants, under the overall guidance of the team leader, who will have wide international experience in managing evaluations in the area of democratic governance. The team leader, who must be well versed with evaluation of programmes, will work with the 2 national consultants, who are expected to be well versed with the governance and development challenges, policy direction, etc. in the country.

Expertise and experience – governance programme evaluation consultants

- At least 7 years of work experience in managing programme implementations and evaluations;
- Masters Degree in Social Sciences or Public Administration;
- Experience of managing governance-related programmes and projects in the Africa region;
- Solid foundation and experience in results based management/logical framework approach and other strategic planning approaches, evaluation methods and approaches (quantitative and qualitative);
- Experience in UN (UNDAF) planning processes and addressing cross-cutting issues is added advantage.

Before the end of the mission, the consultants should support the evaluation team leader in drafting the report to the UNDP Country Office, as well as present their findings to relevant stakeholders. From this stakeholders' feedback workshop, the comments and suggestions will have to be incorporated into the final version of the report and submitted once again to the UNDP CO.

The team leader will take the overall responsibility for the quality and timely submission of the evaluation reports to the UNDP Country Office, but the consultants are expected to support the team leader in shaping the final report.

Expertise and experience – international team leader

The international consultant should have an advanced university degree and at least 10 years of work experience in managing evaluations. The team leader should have broad knowledge of UNDP programme development and implementation modalities, especially in the area of democratic governance; results based management expertise (especially

results-oriented monitoring and evaluation); capacity building and institutional development expertise and familiarity with policymaking processes (design, adoption and implementation), especially as the evaluation is to touch upon policy advice/dialogue and other upstream issues. Experience of working with the UNDP in the Africa region and East Africa in particular will be an asset. The team leader should also have good knowledge of the UN system and especially experience of managing UNDAF and CPAP revisions is a definite asset.

Before the end of their mission, the evaluation team leader will submit a draft report to the UNDP Country Office, as well as present their findings to relevant stakeholders. From this stakeholders' feedback workshop, their comments and suggestions will be incorporated into the final version of the report and submitted once again to the UNDP CO. The team leader will take the overall responsibility for the quality and timely submission of the evaluation reports to the UNDP Country Office.

Specifically, the team leader will perform the following tasks:

- Lead and manage the evaluation mission;
- Design the detailed evaluation scope and methodology (including the methods for data collection and analysis) for the report;
- Decide the division of labour within the evaluation team;
- Draft related parts of the evaluation reports;
- Finalize the whole evaluation report.

The team leader is ultimately responsible for drafting and presenting the report to the UNDP Uganda CO.

Remuneration

Consultants will be paid in accordance with established UN rates, based on experience, qualifications and previous earnings from similar assignments.

Application

Qualified candidates are invited to send an updated resume containing details of educational and professional qualifications and work experience together with contact telephone numbers and email addresses below on or before Qualified women are encouraged to apply.

Applications can be sent/emailed or submitted to: The Resident Representative; UNDP Uganda; P. O. Box 7184; **Kampala**.

Attention: Ms. Pamela Odudoh

Email applications can be sent to the following email: pamela.odudoh@undp.org

Evaluation Workplan

| | Calendar weeks from the start of the assignment | | | | | | | | No of person days |
|---|---|---|---|---|---|---|---|---|-------------------|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | |
| Activity | | | | | | | | | |
| <u>Preparatory Stage</u> | | | | | | | | | |
| Contract signing and initial planning meetings with client | | | | | | | | | 1 |
| General mobilisation and document reviews | | | | | | | | | 2 |
| Development of the inception report | | | | | | | | | 5 |
| Discussing the inception report and debriefing form UNDP | | | | | | | | | 1 |
| Sub total | | | | | | | | | 9 |
| <u>Fieldwork Missions</u> | | | | | | | | | |
| Undertake interviews in the 11 support programmes (approx. 2 days/ programme) | | | | | | | | | 22 |
| Undertake field-work in selected districts | | | | | | | | | 6 |
| | | | | | | | | | 28 |
| <u>Data Analysis</u> | | | | | | | | | |
| Analyse data | | | | | | | | | 3 |
| Draft report | | | | | | | | | 7 |
| | | | | | | | | | 10 |
| <u>Validation of Report</u> | | | | | | | | | |
| Conduct validation workshop | | | | | | | | | 1 |
| Client reviews report | | | | | | | | | 3 |
| Comments incorporated | | | | | | | | | 2 |
| <u>Final Report</u> | | | | | | | | | |
| Write final report | | | | | | | | | 6 |
| Debriefing of client on final report | | | | | | | | | 1 |
| | | | | | | | | | 13 |
| Total number of consultancy person days | | | | | | | | | 60 |

Annex 2 Documents consulted

- GOU/UNDP (2005): **Evaluation of Increased Public Sector Efficiency, Transparency and Accountability**. GOU/UNDP Good Governance Poverty Eradication Programme (Evaluation Report) September 2005.
- Uganda Human Rights Commission (2006): **9th Annual Report to the Parliament of Uganda, 2006**
- Uganda Human Rights Commission (2008): **Report on a Consultative Round Table on the Land Bill, 26th March 2008**.
- Uganda Human Rights Commission (2007): **Report on a Workshop on Health Services and the Rights to Health in Uganda, Hoima, December 2007**

- Uganda Human Rights Commission (2007): **Report on a Workshop on Health Services and the Rights to Health in Uganda, Sembabule**, November 2007
- Uganda Human Rights Commission (2008): **Report on a Workshop on Health Services and the Rights to Health in Uganda**, Kampala, March 2008
- UNRC (2007): **Health Services and the Right to Health in Uganda; Sembabule District) Workshop Report**, November 2007
- UNRC (2008): **The Right to Health Training on Complaint Handling Guidelines and Checklist (Workshop Report)**, Kampala, March 2008
- UHRC (2007): **Health Professional and Health Planners (Workshop Report), Kaberamaido**, 2007
- MLOG (2004): **The Ministry of Local Government: Local Councils Administration of Justice – Revised Trainers Manual for Local Council Courts**, March 2007
- **Common Country Assessment of Uganda 2004**
- GOU/UNDP (2006): **Democratic Governance Component Interventions: GOU/UNDP Country Programme 2006-2010**
- **United Nations Development Assistance Framework – Uganda 2006-2010**
- Civil Society (2007) **Country Self-Assessment: The way we see ourselves: A Civil Society Submission for the Africa Peer Review for Uganda**, August 2007
- UGMP Governance Report (2007). **Citizen Mobilization and Activism for Good Governance: The Bumpy Road Ahead: 2007 UGMP Governance Report**
- UGMP Report (2006) **The Promises and Challenges of Good Governance in Uganda: A Civil Society Assessment**, 2006 UGMP Report
- **Inspectorate of Governance: Corporate and Development Plan (CADP) 2004-2009. ‘Aspirations for your Better Outcomes,’** April 2004
- Parliament of Uganda (2007): **A Guide to Operations of Committees**, October 2007
- **Parliament and the Public: The Public’s Role in the Legislative Process**, October 2007
- **The Eighth Parliament 2006-2011**
- Parliament of Uganda (2007) **Parliamentary Strategic Investment and Development Plan 2007-2011**
- **Statutory Instruments Supplement No. 51: The Local Council Courts Regulations**, 2007
- **The Abridged and Simplified Version of the Local Council Courts Act, Act 13 of 2006**
- – **Uganda Programme HIV/AIDS Service Directory:**
 - Bombo Town Council
 - Mbarara Municipal Council
 - Mityana Town Council
 - Arua Municipal Council
 - Kabale Municipal Council
 - Mbale Municipal Council
 - Kitgum Municipal Council
 - Masaka Municipal Council

- (2004) – **Uganda Chapter: HIV/AIDS Urban Workplace Programme; A Guide for Managing HIV/AIDS in Urban Workplace**, November 2004
- (2006) – **Uganda Programme: Report on Orientation Workshop for the Newly Elected Majors, Kampala**, August 2006
- (2006) – **Uganda Programme: Report on the Proceedings Alliance Annual General Assembly, Kabale**, October 2006
- (2005) – **Uganda Programme: Annual Report 2005**
- (2006) – **Uganda Chapter: The Constitution of the Alliance of Majors and Municipal Leaders Initiative for Community Action on AIDS at Local Level**, October, 2006
- – **Uganda Programme: Strategic Plan 2006-2010**
- (2006) – **Uganda Programme: Strengthening HIV/AIDS Response in Urban Local Governments**, Annual Report 2006
- (2007) – **Uganda Programme: Strengthening HIV/AIDS Response in Urban Local Governments**, Annual Report 2007
- **Programme for Implementation of the Africa Peer Review Mechanism (APRM) Uganda, (2006-2008)**, GOU/UNDP
- **Support to Local Council Courts in Conflict Affected Districts in Uganda**, GOU and UNDP/UNCDF
- **Implementation of PSIDP during the first session of the 8th Parliament of Uganda** – May 2006-June 2007
- **UNDP's Crisis Preventism and Recovery (CPR) Response in Northern Uganda: UNDP CPR Strategic Plan, 2008-2011**
- **The Evaluation Policy of UNDP Uganda, 2006**
- **PDM Evaluation Brief April 2008**
- **Workplan 2006:**
 - AMICAALL
 - IGG
 - APRM/NEPAD
 - PPDA
 - ALD/MoFPED
 - PDM
- **First Quarter Workplan 2008**
 - PDM
 - FOWODE
 - Parliament
 - Department of Ethics and Integrity
 - IGG
 - AMICAALL
 - Local Council Courts (MoLG)
 - MoFPED
- **Progress Report on Good Governance Programme**
 - Department of Ethics and Integrity (Jan-June 2007)
 - IGG July-Sept 2007
 - Jan-June 2006

- Jan-Dec 2007
- Jan-June 2007
- FOWODE – **Fourth Quarter 2007**
- Mo LG(2007) – **Local Council Courts Jan-June 2007**
- PPDA **July-Sept 2007**
 - **Annual Report 2006**
- Uganda Human Rights Commission(2007) **July-Sept 2007**
 - **Oct-Dec 2007**
- APRM/NEPARD **Jan-Dec 2006**
 - **July-Sept 2007**
- PDM/MoLG **Jan-Dec 2007**
 - **Jan-June 2006**
 - **Annual 2006**
- **Parliament July-Sept 2007**
- **AMICAALL Jan-June 2006**
 - **Jan-Dec 2006**
 - **Jan-June 2007**
- **PPDA Jan-July 2006**
- **APRM/NEPAD Jan-June 2006**
- **UCOBAC (2007)Rapid Assessment of the Human Rights Situation in Kumi and Soroti (UCOBAC), December 2007**
- **Ministry of Local Government (2007) Revised Trainers Manual for Local Council Courts, March 2007**
- **Ministry of Local Government (2007) District-Level PDM Replication Orientation Workshop (PDM – Activity Report) July 2007**
- **Ministry of Local Government (2007) Exploring Linkages between PDM and other Development Initiatives in Programme Local Governments (Study Report), February 2007**
- **Ministry of Local Government (2007) PDM Village Community Facilitators Trainers Training for Barr, Adekwokok, Amoro, Ogur and Amach sub-counties in Lira district (Adekwokok sub-county) March 2007**
- **Ministry of Local Government (2007) Training of Trainers of Village Community Facilitators from Odwor, Ollilim, Okwang and Orum sub-counties in Lira (Adekwokok sub-county) workshop Report, March 2007**
- **Ministry of Local Government (2007) PDM Village Community Facilitators Trainers of Training for Town Council and Sub-county teams in Katakwi district (workshop report), March 2007**
- **Ministry of Local Government (2007) PDM Manual for Community Facilitator on Training Community Groups in Participatory Implementation and Management of Community Projects**
- **Ministry of Local Government (2007) District and Sub-county PDM Stakeholders Capacity Enhancement Workshop in Lira District (Workshop report), February 2007**
- **Ministry of Local Government (2007) Activity Report for Lower Local Government Orientation Workshop for PDM Replication, Sept-Oct 2007**

Annex 3 List of people consulted

To be finalized

| | | |
|---------------------------|----------------------------|---------------------|
| Dison Okumu | Director P & C Office | Parliament |
| Joseph A. Kayuza | Coordinator | PDM/MoLG |
| Dr. John B. Mugisa | Executive Secretary | AMICAALL |
| Esther Loeffen | First Secretary | Netherlands Embassy |
| Mr. S. Mukisa | Executive Director | UCOBAC |
| Alice Kayongo-Mutebi | Programme Officer | UCOBAC |
| Jane Kaberuka | SPIO | IGG |
| Smith Byakura | Focal Person | IGG |
| Ashaba Aheebwa | Director E&I | DEI |
| Patricia Nduru | Focal Person | UHRC |
| Roselyn Karugunjo Ssegawa | Director I&M | UHRC |
| Sylvia Ufoyuru | Programme Manager | APRM/NEPAD |
| Patricia Mutabwire | Commissioner LC, Devt | LCC/MoLG |
| Michael Mugeni | Mayor | AMICAALL-Busia |
| Richard Okello | Planner | Amolator-PDM |
| Abdu Isodo | CAO | Lira – LCC |
| Jane Stella Ogwang | Probation officer | LCC |
| Francis Okello | Planner Lira | PDM |
| Geoffrey N. Kakira | Manager Training & CB | PPDA |
| Patrick Kagaba | Ag. Director Training & CB | PPDA |

Annex 4 Evaluation Matrix

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|---|---|--|---|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| Outcome 1: Democratic Processes Deepened and Democratic Institutions Strengthened | | | | | |
| Aspect: Assessing status of Outcome 1 and factors affecting it | | | | | |
| Relevance | <p>For Outcome 1, what were the intended outcomes of the UNDAF and CPAP Results Frameworks?</p> <p>What are the baselines used for Outcome 1 and its indicators?</p> | <p>Analysis of the UNDAF Results Framework as well as the CPAP for a description of the intended outcomes, the baseline for the outcomes and the indicators used.</p> | <p>CPAP CCF Country Programme SRF/ROAR UNDAF Monitoring and evaluation reports Partners' reports Project Documents:</p> <ul style="list-style-type: none"> ➤ Support to the Implementation of the African Peer Review Mechanism Project Document ➤ Support to the Parliament of Uganda Project Document ➤ Support to the Ministry of Local Government to implement Participatory Development Management (PDM), Project Document ➤ Support to AMICAALL | <p>Documents content analysis for all documents listed</p> | <p>Quality of data, and timely access to data</p> |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|--|--|---|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | | | (Alliance of Mayor on HIV/AIDS) Project Document ➤ Support to Ministry of Finance, Planning and Economic Development to conduct Macro Economic Assessment of the Impact of HIV/AIDS in Uganda, Project Document | | |
| Relevance | What are the trends in policy formulation, changes in human development indices over time and other changes related to the outcome as articulated from contextual data outside UNDP. | We shall also review the contextual data that is relevant to the project. This will include analytical reports and studies that are not done by the UNDP but are relevant to the different outcomes of the studies | UN Official source data Research papers UNHS Reports Poverty Studies Governance Reports APRM Reports Publications on specific governance issues | Content analysis of listed documents | Quality of data, and timely access to data |
| Relevance | How relevant and strategic were the programme objectives in addressing national development goals (e.g. PEAP, MDGs)? | Look at analysis of national goals in the programme documents Look at the logic of change in the results matrix of the | CPAP CCF Country Programme SRF/ROAR UNDAF Project Documents: ➤ Support to the implementation of the | Content analysis and validation interviews with project staff | Quality of data, and timely access to data and respondents |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|---|---|---|---|------------------------------|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | How appropriate were the programme outputs and outcomes in addressing programme objectives? | governance project and support programme matrices | <p>African Peer Review Mechanism Project Document</p> <ul style="list-style-type: none"> ➤ Support to the Parliament of Uganda Project Document ➤ Support to the Ministry of Local Government to implement Participatory Development Management (PDM), Project Document ➤ Support to AMICAALL (Alliance of Mayor on HIV/AIDS) Project Document ➤ Support to Ministry of Finance, Planning and Economic Development to conduct Macro Economic Assessment of the Impact of HIV/AIDS in Uganda, Project Document | | |
| Relevance | What is the informed assessment of different stakeholders on relevance of the outcome? | Opinions of key stakeholders | <p>Interviews with:</p> <p>Partners</p> <p>Project managers</p> <p>Project staff:</p> <ul style="list-style-type: none"> ➤ Support to the | Stakeholder key informant interviews, Focus Group Discussions | Timely access to respondents |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|---|--|--|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | | | implementation of the African Peer Review mechanism <ul style="list-style-type: none"> ➤ Support to the Parliament of Uganda ➤ Support to the Ministry of Local Government to implement Participatory Development Management (PDM) ➤ Support to AMICAALL (Alliance of Mayor on HIV/AIDS) ➤ Support to Ministry of Finance, Planning and Economic Development to conduct macro-economic assessment of the impact of HIV/AIDS Impact | | |
| Lessons Learnt | What is the evaluator's opinion and recommendation of the clarity and credibility of the outcome and how it can be improved? | Analysis of findings and synthesized recommendations of different respondents | Analysis of all documents from the projects and interviews with stakeholders | Content analysis of document and consultants' group discussion | Quality of data, and timely access to data |
| Aspect: Assessing the relevance of outcome/outputs | | | | | |
| Effectiveness | What factors have | Identification of major | Opinions of project staff and | Key informant | Assess to |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|---|---|--|--|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| and degree of change | <p>affected Outcome 1 either positively or negatively?</p> <p>What factors enhanced or impeded programme effectiveness?</p> | changes in the context and their impact on the governance programme | <p>the stakeholders</p> <p>Research reports on governance issues in Uganda relevant to each of the support programmes</p> | interviews and review/content analysis of research reports | respondents and Quality of data, and timely access to data |
| Relevance | How appropriate were the programme outputs and outcomes in addressing programme objectives? | Links between support programme outputs and corresponding outcome | <p>Project Documents:</p> <ul style="list-style-type: none"> ➤ Support to the implementation of the African Peer Review Mechanism project document ➤ Support to the Parliament of Uganda project document ➤ Support to the Ministry of Local Government to implement Participatory Development Management (PDM), Project Document ➤ Support to AMICAALL (Alliance of Mayor on HIV/AIDS) Project Document ➤ Support to Ministry of Finance, Planning and | Document review/content analysis of key documents | Quality of data, and timely access to data |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|---|---|---|---|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | | | Economic Development to conduct macro-economic assessment of the Impact of HIV/AIDS in Uganda project document | | |
| Effectiveness and lesson learnt | To what extent was the programme implementation efficient and effective with regard to the delivery of outputs? | Generate the estimate of resources (project, soft assistance) UNDP dedicates to the outcome | CPAP CCF Country Programme SRF/ROAR UNDAF Project Budget documents for: <ul style="list-style-type: none"> ➤ Support to the Implementation of the African Peer Review mechanism ➤ Support to the Parliament of Uganda ➤ Support to the Ministry of Local Government to implement Participatory Development Management (PDM) ➤ Support to AMICAALL (Alliance of Mayor on HIV/AIDS) ➤ Support to Ministry of Finance, Planning and | Budget analysis of the different programmes and comparisons between budget, actual expenditure and volumes of funds | Quality of data, and timely access to data |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|---|---|--|------------------------------|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | | | Economic Development to conduct macro-economic assessment of the Impact | | |
| Degree of change | Can we identify the key priority factors that are driving change in the outcome? | Factors that are ranked as priority in driving outcomes in each of the support programmes | Interviews with partners and staff for: <ul style="list-style-type: none"> ➤ Support to the Implementation of the African Peer Review mechanism ➤ Support to the Parliament of Uganda ➤ Support to the Ministry of Local Government to implement Participatory Development Management (PDM) ➤ Support to AMICAALL (Alliance of Mayor on HIV/AIDS) ➤ Support to Ministry of Finance, Planning and Economic Development to conduct macro-economic assessment of the impact | Key informant interviews and document review | Timely access to respondents |
| Degree of change | Examine local sources of knowledge about factors influencing the outcome. | Stakeholders' opinions and views and the factors influencing the outcome | Interviews with stakeholders and partners Analysis of research studies on governance | Key informant interviews and document review | As above |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|--|--|---|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| Lessons Learnt | What are the programme's unintended consequences (positive and negative)? | Analysis of the outcomes both by the project and other contextual factors related to the project | Interviews with stakeholders and analysis of the research studies and progress reports for the support programmes | Key informant interviews and document reviews | As above |
| Aspect: Assessing the strategic positioning of UNDP | | | | | |
| Degree of change | Are UNDP operations implementing a results based management process? | UNDP Managers' perspectives on results based management of the governance programme | Interviews with UNDP managers and analysis of monitoring and evaluation reports | Key informant interviews | As above |
| Efficiency | Is there coherence of different programmes in UNDP and possibilities of building synergies that are being used to deliver the outcome of the governance programme? | UNDP Managers perspectives on the interlinkages between programmes in the UNDAF and CPAP | CPAP CCF Country Programme SRF/ROAR UNDAF Project Budget documents: <ul style="list-style-type: none"> ➤ Support to the Implementation of the African Peer Review mechanism ➤ Support to the Parliament of Uganda ➤ Support to the Ministry of Local Government to implement Participatory Development | Document review and content analysis | Quality of data, and timely access to data |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|--|--|---|--------------------|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | | | Management (PDM) <ul style="list-style-type: none"> ➤ Support to AMICAALL (Alliance of Mayor on HIV/AIDS) ➤ Support to Ministry of Finance, Planning and Economic Development to conduct macro-economic assessment of the Impact | | |
| Aspect: Assessing the Production of Outputs | | | | | |
| Effectiveness | Are individual project outputs effective in contributing to their associated governance outcome? | Support programme outputs and linkages and outcome | Project Budget documents: <ul style="list-style-type: none"> ➤ Support to the Implementation of the African Peer Review mechanism ➤ Support to the Parliament of Uganda ➤ Support to the Ministry of Local Government to implement Participatory Development Management (PDM) ➤ Support to AMICAALL (Alliance of Mayors on HIV/AIDS) ➤ Support to Ministry of Finance, Planning and Economic Development to | Document review and content analysis | |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|---|--|---|---|------------------------------|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | | | conduct macro-economic assessment of the impact | | |
| Relevance | For each support programme, are there functional linkages between project outputs and outcomes? | Support programme results matrix and its logic of change | Project Matrix documents for: <ul style="list-style-type: none"> ➤ Support to the Implementation of the African Peer Review mechanism ➤ Support to the Parliament of Uganda ➤ Support to the Ministry of Local Government to implement Participatory Development Management (PDM) ➤ Support to AMICAALL (Alliance of Mayor on HIV/AIDS) ➤ Support to Ministry of Finance, Planning and Economic Development to conduct macro-economic assessment of the impact | Document review and content analysis | As above |
| Aspect: Assessing the partnership strategy, formulation and performance | | | | | |
| Relevance | Is there consensus among UNDP stakeholders and partners that the partnership strategy for the | Opinion and views of UNDP partners on the governance programme | Interviews with stakeholders Monitoring reports for the support programmes | Key informant interviews | Timely access to respondents |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|---|--|--|--|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | governance programme was the best one to achieve the outcome? | | | | |
| Relevance | How were the partnerships formed and how did they perform? | Opinions on the participatory nature of the partnerships and level of ownership | Interviews with UNDP Programme Managers | Key informant interviews | Timely access |
| Effectiveness | How did the partnership strategy affect the achievement of or progress towards the outcome? | Stakeholders' view on the effectiveness of the partnership | Stakeholders views, progress and monitoring reports for the various programmes | Key informant interviews and focus group discussions | As above |
| Efficiency | Were the outputs produced via partnerships? | Opinions of stakeholders on their ownership of different outputs | Stakeholders views and monitoring reports for the various partner outputs | Key informant interviews and focus group discussions | As above |
| Sustainability | How relevant are programme interventions in building national capacities of Ugandan institutions for good governance? | Evidence of national capacity building among the partner stakeholders | Reports on capacity development Stakeholders opinions on capacity built | Document review and content analysis | Quality of data, and timely access to data |
| Sustainability | What sustainability mechanisms exist to sustain programme interventions beyond the programme cycle? | Evidence of mechanisms in place of sustaining programme beyond UNDP and the interest | Stakeholders views on sustainability Strategies documents on sustainability | Key informant interviews and focus group discussions | Timely access |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|--|---|---|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | | of related partners | | | |
| Outcome 2: Capacity Enhancement for the Promotion and Administration of Justice, Promotion and Protection of Human Rights | | | | | |
| Aspect: Assessing status of Outcome 2 and factors affecting it | | | | | |
| Relevance | For Outcome 2, what were the intended outcomes of the UNDAF and CPAP Results Frameworks? What are the baselines used for Outcome 1 and its indicators? | Analysis of the UNDAF results framework as well as the CPAP for a description of the intended outcomes, the baseline for the outcomes and the indicators used. | CPAP CCF Country Programme SRF/ROAR UNDAF Monitoring and evaluation reports Partners' reports Project Documents: ➤ Support to Local Council Courts ➤ Support to Uganda Human Rights Commission ➤ UNV Support to the Promotion of Human Rights in Uganda | Document review and content analysis | Quality of data, and timely access to data |
| Relevance | What are the trends in policy formulation, changes in human development indices over time and other changes related to the outcome as articulated from contextual data outside | We shall also review contextual data relevant to the project. This will include analytical reports and studies that are not done by the UNDP but are relevant to the | UN Official source data Research papers UNHS Reports Poverty Studies Governance Reports APRM Reports Publications on specific governance issues | Document review and content analysis | Quality of data, and timely access to data |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|--|--|--|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | UNDP? | different outcomes of the studies | | | |
| Relevance | <p>How relevant and strategic were the programme objectives in addressing national development goals (e.g. PEAP, MDGs)?</p> <p>How appropriate were the programme outputs and outcomes in addressing programme objectives?</p> | <p>Look at analysis of national goals in the programme documents</p> <p>Look at the logic of change in the results matrix of the governance project and support programme matrices</p> | <p>CPAP CCF Country Programme SRF/ROAR UNDAF Project Documents:</p> <ul style="list-style-type: none"> ➤ Support to Local Council Courts ➤ Support to Uganda Human Rights Commission ➤ UNV Support to the Promotion of Human Rights in Uganda | Document review and content analysis | Quality of data, and timely access to data |
| Relevance | What is the informed assessment of different stakeholders on the relevance of the outcome? | Opinions of key stakeholders | <p>Interview with:</p> <p>Partners Project managers Project staff:</p> <ul style="list-style-type: none"> ➤ Support to Local Council Courts ➤ Support to Uganda Human Rights Commission ➤ UNV Support to the Promotion | Key informant interviews and focus group discussions | Timely access |
| Lessons | What is the evaluator's | Analysis of findings | Analysis of all documents | Document | Timely access |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|---|--|--|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| Learnt | opinion/recommendation of the clarity and credibility of the outcome and how it can be improved? | and synthesized recommendations of different respondents | from the projects and interviews with stakeholders | reviews, content analysis and key informant interviews | |
| Aspect: Assessing the relevance of outcome/outputs | | | | | |
| Effectiveness and degree of change | What factors have affected Outcome 1 either positively or negatively? What factors enhanced or impeded programme effectiveness? | Identification of major changes in the context and their impact on the governance programme | Opinions of project staff and the stakeholders Research reports on governance issues in Uganda relevant to each of the support programmes | Key informant interviews and document review | As above |
| Relevance | How appropriate were the Programme outputs and outcomes in addressing programme objectives | Links between support Programme outputs and corresponding outcome | Project Documents: ➤ Support to Local Council Courts ➤ Support to Uganda Human Rights Commission ➤ UNV Support to the Promotion | Document review and content analysis | Quality of data, and timely access to data |
| Effectiveness/ lesson learnt | To what extent was the programme implementation efficient and effective with regard to the delivery of outputs? | Generate the estimate of resources (project, soft assistance) UNDP dedicates to the outcome | CPAP CCF Country Programme SRF/ROAR UNDAF | Document review and content analysis | As above |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|--|--|---|--------------------|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | | | Project documents for: <ul style="list-style-type: none"> ➤ Support to Local Council Courts ➤ Support to Uganda Human Rights Commission ➤ UNV Support to the Promotion | | |
| Degree of change | Can we identify the key priority factors that are driving change in the outcome? | Factors that are ranked as priority in driving outcomes in each of the support programmes | Interviews with partners and staff for: <ul style="list-style-type: none"> ➤ Support to Local Council Courts ➤ Support to Uganda Human Rights Commission ➤ UNV Support to the Promotion | Key informant and focus group discussions | As above |
| Degree of change | Examine the local sources of knowledge about factors influencing the outcome. | Stakeholders' opinions and views and the factors influencing the outcome | Interviews with stakeholders and partners Analysis of research studies on governance | Key informant interviews | As above |
| Lessons Learnt | What are the programme's unintended consequences (positive and negative)? | Analysis of the outcomes both by the project and other contextual factors related to the project | Interviews with stakeholders and analysis of the research studies and progress reports for the support programmes | Key informant interviews | As above |
| Aspect: Assessing the strategic positioning of UNDP | | | | | |
| Degree of | Are UNDP operations | UNDP Managers' | Interviews with UNDP | Key informant | As above |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|--|---|---|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| change | implementing a results based management process? | perspectives on results based management of the governance programme | managers and analysis of monitoring and evaluation reports | interviews | |
| Efficiency | Is there coherence of different programmes in UNDP and possibilities of building synergies that are being used to deliver the outcome of the governance programme? | UNDP Managers perspectives on the interlinkages between programmes in the UNDAP and CPAP | CPAP CCF Country Programme SRF/ROAR UNDAF Project Budget documents for: <ul style="list-style-type: none"> ➤ Support to Local Council Courts ➤ support to Uganda Human Rights Commission ➤ UNV Support to the Promotion | Document review and content analysis | Quality of data, and timely access to data |
| Aspect: Assessing the Production of Outputs | | | | | |
| Effectiveness | Are individual project outputs effective in contributing to their associated governance outcome ? | Support programme outputs and linkages and outcome | Project Budget documents for: <ul style="list-style-type: none"> ➤ Support to Local Council Courts ➤ Support to Uganda Human Rights Commission ➤ UNV Support to the | Document review and content analysis | Quality of data, and timely access to data |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|---|---|--|--|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | | | Promotion | | |
| Relevance | For each support programme, are there functional linkages between project outputs and outcomes? | Support programme results matrix and its logic of change | Project Matrix documents for: <ul style="list-style-type: none"> ➤ Support to Local Council Courts ➤ Support to Uganda Human Rights Commission ➤ UNV Support to the Promotion | Document review and content analysis | Quality of data, and timely access to data |
| Aspect: Assessing the partnership strategy, formulation and performance | | | | | |
| Relevance | Is there consensus among UNDP stakeholders and partners that the partnership strategy for the governance programme was the best one to achieve the outcome? | Opinion and views of UNDP partners on the governance programme | Interviews with stakeholders Monitoring reports for the support programmes | Key informant interviews and document review | Timely access |
| Relevance | How were the partnerships were formed and how did they performed? | Opinions on the participatory nature of the partnerships and level of ownership | Interviews with UNDP Programme Managers | Key informant interviews | Timely access |
| Effectiveness | How did the partnership strategy affect the achievement of or progress towards the | Stakeholders' view on the effectiveness of the partnership | Stakeholders' views, progress and monitoring reports for the various programmes | Key informant interviews and focus group discussions | Timely access |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|---|--|---|--|---|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | outcome? | | | | |
| Efficiency | Were the outputs produced via partnerships? | Opinions of stakeholders on their ownership of different outputs | Stakeholders views and monitoring reports for the various partner outputs | Key informant interviews and document review | Timely access |
| Sustainability | How relevant are programme interventions in building national capacities of Ugandan institutions for good governance? | Evidence of national capacity building among the partner stakeholders | Reports on capacity development Stakeholders' opinions on capacity built | Document review and focus groups | Quality of data, and timely access to data |
| Sustainability | What sustainability mechanisms exist to sustain programme interventions beyond the programme cycle? | Evidence of mechanisms in place of sustaining programme beyond UNDP and the interest of related partners | Stakeholders views on sustainability Strategies documents on sustainability | Document review and focus groups | Quality of data, and timely access to data and timely access to respondents |
| Outcome 3: Promotion of Transparency and Accountability | | | | | |
| Aspect: Assessing status of Outcome 3 and factors affecting it | | | | | |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|---|---|--|---|---|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| Relevance | <p>For Outcome 3, what were the intended outcomes of the UNDAF and CPAP Results Frameworks?</p> <p>What are the baselines used for Outcome 1 and its indicators?</p> | <p>Analysis of the UNDAF Results Framework as well as the CPAP for a description of the intended outcomes, the baseline for the outcomes and the indicators used.</p> | | | |
| Relevance | <p>What are the trends in policy formulation, changes in human development indices over time and other changes related to the outcome as articulated from contextual data outside UNDP?</p> | <p>We shall also review the contextual data relevant to the project. This will include analytical reports and studies that are not done by the UNDP but are relevant to the different outcomes of</p> | <p>UN official source data Research papers UNHS Reports Poverty Studies Governance Reports APRM Reports Publications on specific governance issues</p> | <p>Document review and content analysis</p> | <p>Quality of data, and timely access to data</p> |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|--|--|--|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | | the studies | | | |
| Relevance | <p>How relevant and strategic were the programme objectives in addressing national development goals (e.g. PEAP, MDGs)?</p> <p>How appropriate were the programme outputs and outcomes in addressing programme objectives?</p> | <p>Look at analysis of national goals in the programme documents</p> <p>Look at the logic of change in the results matrix of the governance project and support programme matrices</p> | <p>Interviews with:</p> <p>Partners</p> <p>Project managers</p> <p>Project staff:</p> <ul style="list-style-type: none"> ➤ Support to the Inspectorate of Government ➤ Support to the Directorate of Ethics and Integrity ➤ Support to public Procurement and Disposal of Public Assets Authority | Document review, content analysis and key informant interviews | Quality of data, and timely access to data |
| Relevance | What is the informed assessment of different stakeholders on the relevance of the outcome? | Opinions of key stakeholders | <p>Interviews with partners</p> <p>Project managers</p> <p>Project staff:</p> <ul style="list-style-type: none"> ➤ Support to the Inspectorate of Government ➤ Support to the Directorate of Ethics and Integrity ➤ Support to public Procurement and Disposal of Public Assets Authority | Key informant interviews | Timely access |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|---|---|--|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| Lessons Learnt | What is the evaluator's opinion and recommendation of the clarity and credibility of the outcome and how it can be improved? | Analysis of findings and synthesized recommendations of different respondents | Analysis of all documents from the projects and interviews with stakeholders | Consultants meetings and document review | Quality of data, and timely access to data |
| Aspect: Assessing the relevance of outcome/outputs | | | | | |
| Effectiveness and degree of change | What factors have affected Outcome 1 either positively or negatively? What factors enhanced or impeded programme effectiveness? | Identification of major changes in the context and their impact on the governance programme | Opinions of project staff and the stakeholders Research reports on governance issues in Uganda relevant to each of the support programmes | Document review and key informant interviews | Quality of data, and timely access to data |
| Relevance | How appropriate were the programme outputs and outcomes in addressing programme objectives | Links between support programme outputs and corresponding outcome | Project Documents: <ul style="list-style-type: none"> ➤ Support to the Inspectorate of Government ➤ Support to the Directorate of Ethics and Integrity ➤ Support to public Procurement and Disposal of Public Assets Authority | Document review and content analysis | Quality of data, and timely access to data |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|---|---|---|---|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| Effectiveness and Lesson Learn | To what extent was the programme implementation efficient and effective with regard to the delivery of outputs? | Generate the estimate of resources (project, soft assistance) UNDP dedicates to the outcome | CPAP CCF Country Programme SRF/ROAR UNDAF Project Budget documents for: <ul style="list-style-type: none"> ➤ Support to the Inspectorate of Government ➤ Support to the Directorate of Ethics and Integrity ➤ Support to public Procurement and Disposal of Public Assets Authority | Document review and content analysis | Quality of data, and timely access to data |
| Degree of change | Can we identify the key priority factors that are driving change in the outcome? | Factors that are ranked as priority in driving outcomes in each of the support programmes | Interviews with partners and staff for: <ul style="list-style-type: none"> ➤ Support to the Inspectorate of Government ➤ Support to the Directorate of Ethics and Integrity ➤ Support to public Procurement and | Key informant interviews | Timely access |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|---|--|---|--|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | | | Disposal of Public Assets Authority | | |
| Degree of change | Examine the local sources of knowledge about factors influencing the outcome. | Stakeholders' opinions and views and the factors influencing the outcome | Interviews with stakeholders and partners Analysis of research studies on governance | Key informant interviews and document review | As above |
| Lessons Learnt | What are the programme's unintended consequences (positive and negative)? | Analysis of the outcomes both by the project and other contextual factors related to the project | Interviews with stakeholders and analysis of the research studies and progress reports for the support programmes | Key informant interviews | As above |
| Aspect: Assessing the strategic positioning of UNDP | | | | | |
| Degree of change | Are UNDP operations implementing a results based management process? | UNDP managers' perspectives on results based management of the governance programme | Interviews with UNDP managers and analysis of monitoring and evaluation reports | Key informant interviews | As above |
| Efficiency | Is there coherence of different programmes in UNDP and possibilities of building synergies that are being used to deliver the | UNDP managers perspectives on the interlinkages between programmes in the UNDAF and CPAP | CPAP CCF Country Programme SRF/ROAR UNDAF | Document review | Quality of data, and timely access to data |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|--|--|--|--|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | outcome of the governance programme? | | Project Budget documents for: <ul style="list-style-type: none"> ➤ Support to the Inspectorate of Government ➤ Support to the Directorate of Ethics and Integrity ➤ Support to public Procurement and Disposal of Public Assets Authority | | |
| Aspect: Assessing the Production of Outputs | | | | | |
| Effectiveness | Are individual project outputs effective in contributing to their associated governance outcome? | Support programme outputs and linkages and outcome | Project Budget documents for <ul style="list-style-type: none"> ➤ Support to the Inspectorate of Government ➤ Support to the Directorate of Ethics and Integrity ➤ Support to public Procurement and Disposal of Public Assets Authority | Document review and budget analysis | Quality of data, and timely access to data |
| Relevance | For each support programme, are there functional linkages between project outputs and outcomes? | Support programme results matrix and its logic of change | Project Matrix documents for: <ul style="list-style-type: none"> ➤ Support to the Inspectorate of Government ➤ Support to the Directorate of Ethics and Integrity | Document reviews, content analysis and key informant | Quality of data, and timely access to data |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|---|---|---|---|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | | | ➤ Support to public Procurement and Disposal of Public Assets Authority | interviews | |
| Aspect: Assessing the partnership strategy, formulation and performance | | | | | |
| Relevance | Is there consensus among UNDP stakeholders and partners that the partnership strategy for the governance programme was the best one to achieve the outcome? | Opinion and views of UNDP partners on the governance programme | Interviews with stakeholders Monitoring reports for the support programmes | Key informant interviews | |
| Relevance | How were the partnerships formed and how did they perform? | Opinions on the participatory nature of the partnerships and level of ownership | Interviews with UNDP Programme Managers | Key informant interviews | Timely access |
| Effectiveness | How did the partnership strategy affect the achievement of or progress towards the outcome? | Stakeholders' view on the effectiveness of the partnership | Stakeholders' views, progress and monitoring reports for the various programmes | Key informants interviews and document review | Quality of data, and timely access to data |
| Efficiency | Were the outputs produced via | Opinions of stakeholders on | Stakeholders views and monitoring reports for the various partner | Key informant interviews and | Timely access |

| Annex 5: Outcome Matrix Evaluation for the of the UNDP Governance Programme | | | | | |
|--|---|--|---|---|--|
| Evaluation criteria | Questions/Issues | Evidence | Data and information sources | Data collection process and method | Assumptions |
| | partnerships? | their ownership of different outputs | outputs | document review | |
| Sustainability | How relevant are programme interventions in building national capacities of Ugandan institutions for good governance? | Evidence of national capacity building amongst the partner stakeholders | Reports on capacity development Stakeholders' opinions on capacity built | Document analysis | Quality of data, and timely access to data |
| Sustainability | What sustainability mechanisms exit to sustain programme interventions beyond the programme cycle? | Evidence of mechanisms in place of sustaining programme beyond UNDP and the interest of related partners | Stakeholders' views on sustainability Strategies documents on sustainability | Key informant interviews, focus group discussions and document review | Timely access |
| | | | | | |

Annex 5 UNDP Strategic Plan 2008-2011, P. 27 – Democratic Governance

F. Democratic governance

84. To consolidate and deepen democracy, free and fair elections must go hand in hand with efforts to support all people in attaining the opportunity to participate in the decisions affecting their lives. Local, regional and national governments must use their capacity and resources to deliver effective economic and social policies that promote human development and manage the public services that citizens expect. Moreover, governance needs to be grounded in the principles of human rights, transparency and honesty, and gender equality embodied in the United Nations Charter and internationally agreed mandates.

85. At the request of programme countries, UNDP supports democratic governance goals through strengthening core institutions at all levels: national, regional and local/decentralized. The general challenges of consolidating and deepening democracy apply to developed as well as developing countries. They are most urgent in states emerging from conflict, where violence has contaminated the reservoir of social trust needed for social cohesion and mutual tolerance. UNDP collaborates with other United Nations entities, such as the United Nations Department of Peacekeeping Operations and the Peace building Commission, which have related but distinct mandates to support countries develop transitional governance structures.

Fostering inclusive participation

86. UNDP supports national authorities in strengthening civic engagement at the local, regional and national levels. Mechanisms and opportunities for this engagement include electoral laws, institutions and processes, mobilization channels (such as political parties and civil society s) and communications channels (access to information networks, e-governance and independent media). UNDP democratic governance initiatives are designed to support the efforts of programme countries to enhance participation in public policy dialogues and decision-making. Collaboration with UNCDF and UNV is strong in this area, along with many other United Nations s and external partners.

87. UNDP supports governments in the identification of effective interventions strengthening participation by the poorest social sectors, as well as by women, youth, persons living with disabilities and indigenous people. Low or eroding civic participation is of concern for many countries, raising questions about public confidence and government legitimacy. Support to mobilize civic engagement among these groups is a basic foundation for strengthening their access to the policymaking process. In its work on electoral systems and processes, UNDP collaborates closely with the Electoral Administration Division of the United Nations Department of Political Affairs, following a division of labour agreed by the United Nations General Assembly.

Strengthening accountable and responsive governing institutions

88. Enhancing accountability and responsive institutions is a critical element of democratic governance for human development. UNDP support to national governments focuses upon three branches of government: (a)

strengthening legislatures, regional elected bodies and local assemblies; (b) supporting public administration reforms, in national governments and local authorities and (c) promoting access to justice and the rule of law. In these areas, programme priority is given to strengthening the mechanisms of responsiveness and public accountability to the concerns and interests of poor people, women and other vulnerable or excluded groups. UNDP supports effective national public policy processes in which the public sector at local, regional and national levels develops the capacity and resources to manage policies and services. Expanded capacity of governing institutions helps create a facilitating environment for delivering other goals for poverty reduction, crisis reduction, and environmental protection. UNDP works closely with the World Bank on economic governance, with the United Nations Task Force on the Rule of Law on justice, with UNIFEM on gender equality and with the United Nations Human Settlement Programme and UNCDF on issues of local and regional governance, decentralization and localization of the MDGs.

89. One main initiative in this area is to focus on multi-sectoral accountability mechanisms. UNDP has amassed considerable experience on specific interventions to improve accountability to the poor and those women who are excluded, such as access to justice, gender-based budgeting, parliamentary oversight and citizen report cards. But until now, many interventions have focused on a single sector. Challenges in accountability systems include the interaction among institutions and sectors – between government and parliament, civil society and government or rule-making institutions and justice enforcement mechanisms, for example. In this area, UNDP and DESA collaborate in particular on public administration reform, public sector ethics, decentralized governance and e-governance.

Grounding democratic governance in international principles

90. At the 2005 World Summit, member states emphasized that the United Nations should ‘strengthen linkages between the normative work of the United Nations system and its operational activities.’ UNDP will respond to requests from national partners to build national institutional capacity for implementing human rights, gender equality and anti-corruption standards appropriate in each context. UNDP will work closely with partner organisations, including the office of the United Nations High Commissioner for Human Rights, the United Nations Office on Drugs and Crime and UNIFEM, within the framework of relevant international agreements.

91. A strategic initiative in this area will develop nationally owned democratic governance assessments. Methods and approaches will be identified for nationally owned democratic governance assessments designed to serve the needs of policymakers, identifying the institutions and processes for reform, setting milestones and benchmarks and developing systematic indicators to monitor progress. The results will be integrated into planning exercises by national partners, and in national human development reports, poverty reduction strategy papers, the African Peer Review Mechanism, MDG reports and localization of the MDGs.

Annex 5 Logical Theory

