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| http://upload.wikimedia.org/wikipedia/commons/thumb/1/15/Coat_of_arms_of_the_Republic_of_Uganda.svg/200px-Coat_of_arms_of_the_Republic_of_Uganda.svg.png |  |
| **PROGRAMME DOCUMENT**  ***Country: Uganda*** |  |

**Programme Title**: Governance and Peace Strengthening (GPS) Programme

**Programme Number: TBC**

**Implementing Partner:** UNDP

**Responsible Parties:** Judiciary, Parliament, Select Ministries Departments and Agencies (MDAs): Ministry of Justice (MoJCA)/Governance and Security Programme Secretariat (GSPS), Ministry of Local Government (MoLG), Office of the Prime Minister (OPM), Ministry of Internal Affairs (MoIA), Ministry of Foreign Affairs (MoFAs), Ministry of Gender Labour and Social development (MOGLSD), Private Sector Foundation Uganda, Select Civil Society Organisations (CSOs), Faith Based Organisations (FBOs) and Cultural Institutions

**Associated partners:** Select District Local Governments (LGs), Select Private Sector entities and Media organisations/ and/or houses.

**Start Date:** January 2021 **End Date:** December 2025 **PAC Meeting Date:** TBC

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| **Brief description Governance and Peace Strengthening Programme**  Tenets of good governance such as quality public services, transparency and accountability, effective participation at the national and sub-national levels are key for an inclusive and sustainable development. No wonder these tenets have been underscored in Uganda’s Vision 2040, the 2030 agenda for development and the Sustainable Development Goal (SDGs) especially goal 16 on peace, justice and strong institutions.  Uganda has made significant progress in good governance. This is demonstrated through enactment of legal and policy frameworks to foster transformative and accountable governance, holding of regular elections, establishment of structures at local and national levels to promote effective local governance, enacted of a mechanism to boost local economic development and instituting a recognized infrastructure for peace, to mention but a few. The progress notwithstanding, governance challenges remain that affect Uganda’s pursuance of its Vision 2040. The Government of Uganda recognizes the importance of key governance factors such as transparency, accountability, efficient institutions, responsive citizenry as well as peace in accelerating Uganda’s progress. The government in the National Development Plan III has identified ‘governance’ as one of three critical SDG Accelerators. Moreover, out of the 20 NDP-III priority programmes, the government has focused three programmes in Governance, namely: Governance and Security Programme; Legislature, Oversight and Representation programme and Administration of Justice Programme. Against this background, the UNDP’s supported Governance and Peace Strengthening (GPS) Programme is designed to support in the implementation of these three NDP-III programmes which, inter alia, foster good governance through improved service delivery and democratic accountability at the national and Local Government levels.  At the global and regional level, the GPS programme is aligned to i) Sustainable Development Goal (SDG) 16 on Peace, Justice and Accountable Institutions; SDG 5 on Gender and Women Empowerment; ii) UNDP’s Renewed Strategic Offer for Africa that is aimed at enabling the SDGs, Africa Agenda 2063 and UNDP Strategic Plan 2022-2025, especially the signature solutions of governance, resilience and gender equality; the strategic direction of structural transformation and leaving no one behind; and the enablers of digitization and innovation.    Building on the lessons and successes of past UNDP governance programming interventions, the GPS interventions will be centered around three broad thematic areas: i) Access and Administration of Justice; ii) Strengthened Accountability in Public Service Delivery; and iii) Promoting Peace, Social Cohesion and Resilience. Each of the three thematic areas will comprise specific activities to be implemented via the Judiciary, Parliament, Select Ministries Departments and Agencies (MDAs) and in partnership with Private Sector Foundation Uganda and select private sector entities, select Civil Society Organisations (CSOs), Faith Based Organisations (FBOs), Cultural Institutions, District Local Governments (LGs), and Media organisations/ and/or houses. |

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| Contributing to UNSDCF Outcome | Outcome 1: By 2025 Uganda has inclusive and accountable governance systems and people are empowered, engaged, and enjoy human rights, peace, justice, and security.  Outcome 3.2: By 2025 gender equality and human rights of all people in Uganda are promoted, protected, and fulfilled in a culturally responsive environment |
| Contributing CPD outputs | Output 1.1: Institutions and systems at national and subnational levels enabled for effective and accountable service delivery in line with national, regional, and international obligations and commitments (IRRF 1.2.1, 2.2.1, 2.2.2).  Output 1.2: Strengthened capacity of people, especially marginalized and vulnerable groups, to participate in and benefit from governance and development at all levels (IRRF 2.2.2/2.2.3).  Output 1.3: Capacity of state and non-state actors at local, national, and regional levels strengthened to sustain peace and security (IRRF 3.1.1/3.2.1/3.2.2) |
| Indicative Output(s) with gender marker2: | Output 1: Equitable access and administration of Justice for targeted institutions and audiences enhanced through gender responsive institutional capacity strengthening, digital solutions, and legal aid services (GEN2).  Output 2: Accountability in public service delivery enhanced through inclusive, targeted institutional capacity development for political representation and local economic development (GEN 2).  Output 3: State, non-state actors, private sector, women, youth capacity strengthened to promote civic engagement and a culture that values gender, human rights, integrity, and democracy (GEN 3)  Output 4: Equitable and sustained regional and national practices, infrastructures, and systems for peace building, cohesion and conflict management (GEN 2). [[1]](#footnote-2) |

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| --- | --- | --- | --- |
| Contributing Outcome (UNSDCF/CPD, RPD or GPD): See below | Total resources required: |  | US$ 25,510,000 |
| Total resources allocated: | **UNDP TRAC:** | US$ 4,000,000 |
|  | **Donors:** |  |
|  | **South Korea** | US$ 4,862,515 |
|  | **Japan** | US$ 2,620,138 |
|  | **Government of Uganda:** | In kind (Personnel) |
|  |  |  |
| Unfunded |  | 14,027,347 |
|  |  |  |

Agreed by (signatures):

|  |  |
| --- | --- |
| Government | UNDP |
| Ministry of Finance Planning and Economic Development  Print Name: | Print Name: |
| Date: | Date: |

LIST OF ACROYNMS

|  |  |
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|  |  |
| ADF | Allied Democratic Forces |
| ADR | Alternative Dispute Resolution |
| AfCFTA | African Continental Free Trade Area |
| APRM | African Peer Review Mechanism |
| AU | African Union |
| AWP | Annual Work Plan |
| CARITAS | International Confederation of Catholic Organizations for Charitable and Social Action |
| CD | Country Director |
| CPD | Country Programme Document |
| CSO | Civil Society Organizations |
| DCD | Deputy Country Director |
| DDEG | Discretionary Development Equalization Grant |
| DDT | Dichlorodiphenyltrichloroethane |
| DIM | Direct Implementation Modality |
| DPC | Direct Project Costs |
| DRC | Democratic Republic of Congo |
| DRR | Deputy Resident Representative |
| EC | Electoral Commission |
| ESIA | Environmental and Social Impact Assessment |
| ESMF | Environmental and Social Management Framework |
| ESMP | Environmental and Social Management Plan |
| FBO | Faith-Based Organisation |
| FPIC | [Free, Prior and Informed consent](https://www.iser-uganda.org/images/downloads/FPIC_and_its_applicability.pdf) |
| GDP | Gross Domestic Product |
| GEF | Global Environment Facility |
| GMS | General Management Services |
| GOVT  GSPS | Government  Governance and Security Programme Secretariat |
| HACT | Harmonized approach to cash transfers |
| ICT | Information Communication Technology |
| IFP | Infrastructure for Peace |
| IG | Inspectorate of Government |
| IGAD | Intergovernmental Authority on Development |
| IRRF | Integrated Results and Resources Framework |
| JLOS | Justice Law and Order Sector |
| LC | Local Council |
| LCC | Local Council Courts |
| LED | [Local Economic Development](https://www.mbarara.go.ug/services/local-economic-development-led-initiatives) |
| LG | Local Governments |
| LPL | Local Price List |
| MDAs | Ministries, Departments and Agencies |
| M&E | Monitoring and Evaluation |
| MoGLSD | Ministry of Gender, Labour and Social Development |
| MoICT | Ministry of Information, Communications and Technology |
| MoJCA | Ministry of Justice and Constitutional Affairs |
| MP | Member of Parliament |
| NAP | National Action Plan |
| NDP | National Development Plan |
| NECOC | National Emergency Coordination and Operations Centre |
| NGO | Non-governmental Organization |
| NRM | National Resistance Movement |
| NSA | Non-State Actors |
| NUP | National Unity Platform |
| NURP | National Unity, Reconciliation and Development Party |
| OAI | Office of Audit and Investigations |
| OHCHR | Office of the United Nations High Commissioner for Human Rights |
| OPM | Office of the Prime Minister |
| PAC | Project Appraisal Committee |
| PACA | Participatory Appraisal for Competitive Advantage |
| PFMA | Public Financial Management Act |
| PIMS | Project Information Management System |
| PSC | Project Steering Committee |
| PSO | Procurement Support Office |
| PTC | Project Technical Committee |
| PWD | People with Disabilities |
| QA | Question and Answer |
| RBA | UNDP) Regional Bureau for Africa |
| RPD | Regional Programme Division |
| RR | Resident Representative |
| RRF | Results and Resources Framework |
| SBAA | Standard Basic Assistance Agreement |
| SDG | Sustainable Development Goal |
| SESA | Strategic Environmental and Social Assessment |
| SESP | Social and Environmental Screening Procedure |
| SP | Strategic Plan |
| SSC | South-South and Triangular Cooperation |
| TA | Technical Assistance |
| ToC | Theory of Change |
| ToR | Terms of Reference |
| TRAC | Target for Resource Assignment from the Core |
| UHRC | Uganda Human Rights Commission |
| ULGA | Uganda Local Governments Association |
| UN | United Nation |
| UNDAF | United Nations Development Assistance Framework |
| UNDG | [United Nations Development Group](https://sustainabledevelopment.un.org/unsystem/index.php?page=view&type=6&nr=919&menu=1442&template=375) |
| UNDP | United Nations Development Programme |
| UNODC | [United Nations Office on Drugs and Crime](https://www.unodc.org/) |
| UNSCR | [United Nations Security Council Resolution](https://www.un.org/womenwatch/osagi/cdrom/documents/Background_Paper_Africa.pdf) |
| UNSDCF | United Nations Sustainable Development Cooperation Framework |
| UNSMS | United Nations Security Management System |
| UPF | Uganda Police Force |
| UPL | [Universal Price List](https://popp.undp.org/SitePages/POPPSubject.aspx?SBJID=184&Menu=BusinessUnit) |

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# Situational analysis and development challenge

Governance matters for sustainable development, as participatory, transparent, accountable, effective and equitable governance mechanisms, processes and institutions have become one of the key strategies of development in the recent decades. Good governance and quality public services are crucial for enhancing competitiveness, growth and sustainable development. Governance for development needs in countries like Uganda also need to be broader and deeper (including a national and decentralized levels). A whole-of-government approach can help promote more effective institutions. Moreover, an effective public sector must also engage with the private sector on issues such as integrity and public service delivery.

Development experience has also shown that countries with more effective and accountable governing institutions consistently perform better on a range of development issues from social cohesion to economic growth, sustainable human development and peace. No wonder that Sustainable Development Goal (SDG) 16 has become a cornerstone of the 2030 Agenda for Sustainable Development. It is peace, inclusiveness and effectiveness of public and social institutions that will determine the ability of countries to achieve the SDGs and promote human dignity, welfare and development. Conflict, violence, corruption and organized crime are major threats to sustainable development.

This suggests that ‘good governance’ is both an end and a means to deliver the 2030 agenda for sustainable development in all countries. In this regard, there is a need in countries across the world to promote participatory, transparent, accountable, effective and equitable governance systems that foster democratization and accountability reforms, engage in rule-of-law reforms, carry out anti-corruption seeking strategies, and sustain these through the mobilization of the poor through the prioritization of pro-poor spending by governments.

Since the reintroduction of multiparty democracy in the 1990s, Uganda has made significant progress in the areas of good governance. Not only has the country conducted regular elections, but also adopted a number of legal and policy frameworks to foster transformative and accountable governance, including establishment of structures at local and national levels to promote effective local governance including local economic development, civic engagement in decision making, etc. Despite the remarkable progress, governance challenges remain that affect Uganda’s pursuance of its Vision 2040 to transform from a largely peasant to a modern and prosperous country and to the achievement of an upper middle-income status by 2040. Such governance challenges include: slow pace of implementation of some key reforms and policies, gaps in accountability, decline in values and fragility resulting from frustration over service delivery gaps, tensions and conflicts over natural resources, among others. Socioeconomic and political inclusion, particularly that of women, youth, and other vulnerable groups, also remains challenge, while the gap between the rich and the poor has widened. These compounding challenges continue to ravage the prospects of quality and good governance in Uganda and thereby loss of trust in key service delivery institutions and in their capacity to execute basic functions, particularly the provision of the public good. While the challenges facing Uganda are not necessarily new, they are stronger and more pressing than in the past. The COVID-19 pandemic has also exacerbated the challenges. Transcending poverty and the underdevelopment challenge among other things therefore call for taking care of the basic good governance dimensions such as balancing policy formulation and implementation as well enforcing regulation such that duty bearers and citizens are enabled to pursue and benefit for development opportunities

Fortunately, the Government of Uganda recognizes the importance of key governance factors such as transparency, accountability, efficient institutions, responsive citizenry as well as peace in accelerating Uganda’s progress. For example, to accelerate Uganda progress to the Vision 2040 and towards the SDGs, the government in the National Development Plan III has identified ‘governance’ as one of three critical SDG Accelerators (along with Industrialization and Environment). Moreover, for the NDP-III priority programmes, the government initially adopted only one governance programme namely ‘Governance and Security Programme’ with aims to achieve an improvement in the corruption perception and democratic indices; increased case disposal rate; and increased percentage of districts with one frontline Justice, Law and Order Sector (JLOS) service points. Recently in recognition of the separation of powers among the Executive, Legislature and Judiciary, the government added two new governance programmes in the NDP-III namely the Legislature, Oversight and Representation Programme and the Administration of Justice Programme - in addition to the initial, Governance and Security Programme.

Further, the Government of Uganda has been concerned for quite some time about, efficiency in the delivery of basic public services, trust in regulatory institutions and government reach to the grassroots. As part of broad reform and change agendas, Uganda has been developing and revising its governance institutions, frameworks and tools. Not only are the regulatory rules, oversight systems and procedures for the socioeconomic services sector at the forefront of proposed actions by government, but the frequent health and economic crisis as well as natural disasters have also put the role of governments, the scope of their activities and their effectiveness in advancing the good governance agenda at center stage.

Similarly, technology is changing the challenges and opportunities related to good governance at an astonishing pace. For example, in the recent years, e-governance has a considerable potential for modernizing public administration, improving public service delivery and promoting good governance. E-governance reduces costs, improves services for citizens and increases effectiveness and efficiency of the public sector. Moreover, e-governance enables the link between government and citizens government and businesses enterprises and interagency relationships. While E-governance is a big opportunity to bring services to citizens, but it has many challenges ranging from large inequality in accessing internet among citizens to data privacy and protection. Citizens are unlikely to use e-government service without a guarantee of privacy and security. Thus, government has a responsibility to provide leadership in developing a culture of privacy protection and security. In that regard, e-government initiatives remain an important driving force for realizing of Uganda 2040 Vision.

In this background, it is important to highlight more specifically the progress made by Uganda, while outlining remaining challenges on various aspects of governance.

In the areas of democracy and development, Uganda has made significant progress since the reintroduction of multiparty democracy in the 1990s including:

1. Holding of regular elections as provided for in the Constitution including the 2021 general election which saw the re-election of the NRM and President Museveni to lead the country for the next five years.
2. Enactment of legal and policy frameworks to foster transformative and accountable governance, key among them: the Administration of Judiciary Act 2020 that will among other things enable the efficient and effective performance of the Judiciary and reinforce the separations of powers, increase geographical presence of access to justice institutions; five electoral reform amendment bills enacted in 2020, such as the Electoral Commission (Amendment) Act 2019; Political Parties and Organizations (Amendment) Act 2019; Parliamentary Elections Act (2019); Presidential Elections Amendment Act (2019); and the Local Government Amendment Act (2020). Furthermore, the Government enacted the National Transitional Justice Policy (NTJP) in 2019, giving effect to the operationalisation of the Juba Peace process, including the constitutional obligation to provide remedy to victims of human rights violations via a legal and institutional framework for investigations, prosecution, and adjudication of international crimes within the formal system; reconciliation processes, as well as reparations and alternative justice approaches.
3. Establishment of structures at national and local levels to promote effective local governance, civic engagement in decision making, including enhancing national and decentralized planning and budgeting as well as delivery of services. With regards to rural socioeconomic transformation, the Government has in 2021 enacted a mechanism to boost local economic development through the introduction of the Parish Development Model (PDM) that positions the parish level as the epicenter of multisectoral community development, planning implementation, supervision and accountability.
4. There is a recognized infrastructure for peace and functional dialogue mechanisms at different levels including at the local level.

Despite the above achievements, some challenges remain including:

* Institutional capacity and policy gaps especially in oversight mechanism;
* Limited capacity to optimize and fully exploit opportunities available through ICT for business processes;
* Existing of laws, policies and practices which some sections of the population including political analysts say are not yet adequately contributing to fairness, inclusion and equity;
* Access to justice is still hampered by limited resources;
* Geographical factors which militate against equal access of citizens to public service;
* Limited human capital and skills which contribute to administrative inefficiencies;
* Challenges facing the Judiciary in relation to timely and effective case management systems, resulting in case backlogs and ‘slow’ justice; and
* Capacity in maximizing Local Economic Development (LED), leading to llimited revenue base for local government structures, with most of them relying on Central Government support to the tune of 97% of their annual revenue.

In the area of Peace and Development, Uganda is relatively peaceful, with no major internal armed conflicts. The Government has also committed to maintaining regional peace and stability by signing treaties such as the Intergovernmental Authority on Development (IGAD), UNSCR 1325, and the Goma Declaration. Additionally, the Government has been open to processes for post-conflict resolution and dialogue and has set up the Amnesty Commission to aid post-war returnees. Due to the relative peace and stability and geographical location, Uganda continues to host the largest refugee operation in Africa[[2]](#footnote-3), and has established a reputation as a good refugee host, with progressive refugee policies.

However, internal civil unrest is sometimes occasioned in the Karamoja and Teso regions over cattle rustling, and in Western Uganda by incursions of the Allied Democratic Forces (ADF) based in the Democratic Republic of Congo (DRC)[[3]](#footnote-4) and in various parts of the country over natural resources (land, water, forests, wetlands) conflicts such as land grabbing. Violence against women and children, sexual exploitation through trafficking of women and girls are common occurrences leading to absence of peace within households and communities in many parts of Uganda. Again, the continued influx of refugees creates not only an additional economic and social burden on the country, but it also leads to conflicts, including over natural resources, between refugees and host communities.

In the recent years, governance and social issues such as inclusion of women and youth in planning and local governance have become important, as the social fabric, intra-community and inter-generational relations are weakening. Socially transmitted behaviour patterns, knowledge, beliefs, customs, and arts transmitted from one generation to another have greatly influenced mindsets and values in Uganda and thereby the way citizens engage and interact with each other in all aspects of life. Consequently, the social set up has impacted on what is exhibited in the political and economic spheres. A national ethical and values policy was launched by the Government in 2013. Further, traditional, and cultural leaders have been instrumental in advocating for values such as “obuntubulamu” while religious leaders have also been at the forefront of advocating for integrity and peaceful co-existence. This notwithstanding, declining values amongst Ugandans have contributed to complicit attitudes, thereby affecting citizens meaningful participation in development and progress. There is a need to invest in civic engagement, nurturing progressive culture, critical values and mindset change as an impetus to influence development results.

Regarding gender equality and women’s rights, the Government of Uganda has instituted gender responsive and progress Laws and policies that have significantly improved the chances of gender mainstreaming including women progress in the political and socio-economic fronts. The Uganda Constitution provides for Equality and Government Act provides for a minimum of one third of the positions on local councils from village, parish, sub-county, town councils, municipal councils, and district local councils to be occupied by women; the law also allow them to contest for other position, this has boosted women’s political participation at the Local Council level. Due to the progress policy framework, over the years at the national level, there has been increased visibility of women in leadership in political and public offices, an increase in the number of girls in school, there are more women holding key responsibilities in corporations, and women form the majority of traders in markets and other forms of informal trade. In addition, the Gender Policy of 2007, has mandated all MDAs to mainstream gender, specifically to translate the policy into sector-specific strategies and activities; build capacity of staff in gender analysis, planning and budgeting and monitor and evaluate sector programmes for their impact on gender equality. In the last few weeks of the 10th Parliament, several gender-sensitive bills were passed, including: The Succession Amendment Bill (2018), Employment Amendment Bill (2018) and Sexual Offences Bill (2019).

Despite this progress, there are still persistent challenges to attaining gender equality and respect for women’s rights. The formal guarantees have not yet resulted in significant change in the lives of most women and girls in Uganda. There is slow progress with women economic empowerment, social - cultural beliefs and practices continue to contribute to the marginalization of women and have a negative impact on women’s levels of confidence and ability to find their voice. In addition, gaps exist in self-development, there is prevalence of gender-based violence the UPF Annual Crime Report, 2020 observed that of the 18,872 people who were victims of Domestic Violence, 3,408 were male adults, and 13,145 were female adults. The collective persistence of these challenges is greatly impacting on progress of gender equality and women empowerment and thereby on development results.

On the front of youth inclusion, the Uganda National Household Survey 2019/20 put Uganda’s population at 41 Million people with 54% of the population below 18%; making Uganda one of the youngest populations in the world. The report on Uganda’s 2020/2021 elections noted that of the 18,103,603 voters (9,501,809 females, 8,601,794 males) in 2020/2021, youth accounted for 65% of the total registered voters in 2021. Election results also confirmed the rise of a young core of newly elected parliamentarians (MPs) and of district leaders. Amidist the rising context of a youth population, youth are challenged by evolving multi-party-political dispensation and limited career options. This withstanding some youths have been a part of Government and development partner programmes on youth empowerment in the areas of leadership, business innovation, digitization etc. Anchoring on Uganda’s Vision 2040 and provisions of the NDP III, that adopted harnessing the Uganda’s demographic divided as a development strategy, more needs to be done to harness the potential of Uganda’s youth

Finally, the programme will draw on key opportunities such as the existing development frameworks including Uganda’s Vision 2040, the NDPIII as well as key legislations and policies such as Administration of Judiciary Act 2020, transitional Justice Policy, Refugee Act 2006, the LED policy, Action plan of the Prevention of Trafficking in Persons, The UN Strategy for **Peace Consolidation,** Conflict Prevention and Conflict Resolution in **the Great Lakes** region, the Kenya Uganda cross border MoU for Karamoja, Turkana and West Pokot Peace consolidation etc., the newly elected leaders at Parliament and Local Council levels to build on previous debates and interventions on political, social, economic governance and development. The programme will also align with the fourth industrial revolution of digitization. The COVID-19 though a challenge also presents an opportunity to maximize the use of digital solutions for propelling transformative and accountable governance. The programme will also leverage the long-standing partnership that UNDP has with Government of Uganda as well as partner with the existing wide range of CSOs, youth associations and networks and evolving private sector companies; also District Local Governments and community-based institutions that are able to mobilize and support civic engagement and can reach the grassroots to address some of the fragility and risk factors for governance, peace and cohesion.

Against this background, the proposed UNDP GSP programme will support the Government of Uganda’s efforts to responds to the needs of its growing population, with emphasis on enhancing good governance, conflict mitigation and resilience and in alignment with Uganda’s NDP-III.

# Strategy

Taking into consideration the political, social-economic and peace nexus in Uganda as elaborated above, this Programme will address select governance challenges in relation to the respective areas especially (i) gaps in policy formulation and implementation deficits (ii) gaps in accountability (iii) declining values and (iv) fragility resulting from tensions and conflicts over governance long standing issues, cross border issues natural resources to mention but a few.

In doing this the Governance and Peace Strengthening Programme strategy takes into consideration key lessons learned and recommendations underscored about the UNDP Governance Portfolio and support under the Country Programme 2016-2020. The independent evaluation of the Country Programme 2016-2020 commended the relationships that UNDP had developed with key government institutions responsible for rule of law, peace and resilience and the need to continue building on this foundation. For the way forward, the evaluation recommended a more visionary, strategic and targeted interventions for greater impact, more structured focus on strengthening local governance in the context of promoting Local Economic Development and partnering with national government, community-based CSOs and district-level actors. Further greater emphasis for the area of gender mainstreaming was suggested. Key to note also, is that the challenges highlighted in section I, demand a robust and an interconnected approach to strengthen state-society relations and governance norms to ensure effective service delivery, enhance accountable, transparent, inclusive, and participatory governance, reinforce continental institutions and frameworks, human rights and rule of law mechanisms. On conflict prevention, peacebuilding and security, the challenges outlined require effective early warning and early response, enhanced social cohesion and resilient infrastructures for peace, sound cross-border management, facilitation of dialogue and mediation, Humanitarian Development Peace Nexus especially in redress to the protracted refugee caseload, prevention of Violent extremism, Transitional Justice including resilience building for vulnerable communities in Northern Uganda.

The existing lessons, recommendations of the evaluation and trust capital provide UNDP with a comparative advantage, for informing the strategy for the Governance and Peace Strengthening programme.

**Theory of Change**

The Programme’s ToC is anchored on the logic that good governance is fundamental for effective and efficient service delivery and for constructive engagement of all citizens and stakeholders in the development agenda of the country; this is more applicable to Uganda as the country seeks to transitions to a middle economy country by 2040. It is further premised on the understanding that peace and stability is a key prerequisite for sustainable development.

Governance and peace interventions are more often seek to address themselves to political governance processes and institutions and without taking a broader and holistic approach to address other intrinsically interlinked dynamics including social-cultural and local economic governance issues. A balanced focus on the intersectionality of these three is however critical for influencing transformative and accountable governance, sustainable peace, and development results especially in the Ugandan context

This programme will therefore balance substantive and operational focus on political and local economic governance as well as social factors, at the national and sub-national levels. This translates on the one hand to a focus on accountability through effective representation, implementation of inclusive and gender responsive policies, efficiency, and effectiveness of select public institutions to facilitate service delivery and on the other hand, a focus on budget accountability, local socioeconomic transformation to improve local service delivery, local economic development, social accountability social cohesion and fostering human rights.

The programme will be delivered through three thematic areas of focus: on three thematic areas i) Access and administration of Justice; ii) Strengthened Accountability in public service delivery; and iii) Peace, Cohesion and Resilience. These will be channeled through The Judiciary, Parliament, select MDAs, select LGs, Private Sector entities, CSOs, FBOs, Cultural Institutions, and the Media. The interventions will aim to achieve the following programmatic outputs:

1: Equitable access and administration of Justice for targeted institutions and audiences enhanced through gender- responsive institutional capacity strengthening, digital solutions, and legal aid services;

2: Accountability in public service delivery enhanced through inclusive, targeted institutional capacity development for political representation; and local economic development;

3: State, non-state actors, women, youth, and the private sector capacity strengthened to promote civic engagement and culture that values gender, human rights, integrity and democracy; and

4: Equitable and sustained regional and national practices, infrastructures, and systems for peace building, cohesion and conflict management.

1. **Access and administration of Justice:** Strengthening access to justice is central to accountability and enforcement, which are key aspects of good governance. Access and administration of justice could be enhanced through e-justice. Supporting JLOS in this regard provides UNDP with the opportunity to deepen and consolidate development gains with existing JLOS Programmes and legal aid service delivery at national and sub-national levels. The JLOS sector strategy identifies technology (e-justice) as critical to addressing case backlog, plugging inefficiencies, minimising incidents of corruption by reducing human interface, and broadening access, including at sub-national levels. The **specific strategies** that will be applied are the following:

* Strengthen the use of digital solutions to facilitate the delivery of justice and business processes and transactions in the Justice sector.
* Improve capacity of CSOs and academia to complement and monitor the effectiveness of e-governance reforms in the justice sector.

1. **Accountable and inclusive public service delivery:** Inclusive, gender responsive and rights-based policies and laws provide a framework for sustainable and equitable development. Ensuring effective implementation and accountability of policies and legislation requires strong and effective parliament. As a result of parliament’s law making, oversight and representative functions, parliamentarians have crucial responsibilities in the development and implementation of policies and laws that are pro-poor, gender-responsive, and environmental sensitive. The **specific strategies** that will be applied for accountability in public service delivery are the following:

* Enhance Parliament’s performance, including using ICTs, in delivering on its general legislative, representation and accountability roles.
* Promote socioeconomic transformation in rural areas through supporting the national and local Governments, private sector, and citizenry, for example by supporting the operationalisation of the Local Economic Development Policy (LED) and interventions related to gender equality and women's empowerment.
* Foster mindsets change to enhance values, democratic culture, promotion of inclusion, gender responsiveness and protection of human rights to influence transformative governance.

1. **Peace, Cohesion and Resilience:** Good governance contributes to peace by addressing the root causes of tension and ensuring that all citizens are fully engaged and effectively represented. Interventions under this part of the programme will create opportunities to address conflicts over household access to and ownership of resources and opportunities, natural resources and enhance sub-national peace infrastructures and early warning systems for sustainable peace and social cohesion. The programme will also address the peace and humanitarian development nexus and enhance border security. The specific strategies that will be applied cover:

* Supporting efforts for national cohesion, regional stability, peace, and resilience.
* Support citizen engagement and gender-representation and participation, with particular attention to youth and women, using local dialogue sessions that build their peaceful co-existence
* Support efforts for humanitarian assistance preparedness and the bridging of the humanitarian development Peace nexus.

**Programme entry points and targeting**

The programme will target both duty bearers and rights holders. With **duty bearers**, the programme will foster inclusive, transformative, and accountable governance, through capacity building, gender-responsive representation and participation, and e-governance support that provides equitable access to services, expand economic opportunity for all, simplifies administrative and service delivery processes for individuals, groups, and businesses, and facilitates effective resolution of conflicts.

With **rights holders,** the programme willfacilitate and support civic engagement and dialogue, including through community awareness and engagement that targets youth, women and PWDs focused on their responsibilities for development and their contribution for strong nation-building, and not only on their rights, enhancing the use of digital solutions including social media, to promotepeaceful co-existence, and civic participation at national and sub-national levels, working with both state and non-state actors.

UNDP will also invest in e-governance that leverages the use of information and communication technology to achieve ‘*effectiveness’* in business processes, service delivery and accountability. The strategic objective of e-governance is to support and simplify governance for all parties; government, citizens, and businesses by means of digitization. E-governance can reduce costs, increase reach of services, facilitate faster responses, and promote effectiveness. The need and potential for e-governance options has also been highlighted by COVID-19, which has turned the world into a virtual one. Therefore, UNDP will focus interventions to strengthen institutions using digital technologies for increased efficiency and accountability and draw on civil society to serve as a partner in monitoring progress on building more efficient institutions that are data driven, evidence based and able to share information at constituency level and with the public for enhanced accountability. Use of technology also offers opportunities for scalability.[[4]](#footnote-5)

UNDP’s Offer for Africa highlights the potential that digital technologies could have in advancing societal transformation on the continent, for example, through linking local challenges to global solutions and trends. The Uganda CPD also notes that “governance interventions will among others strengthen and institutionalise e-governance systems in the public and private sector for effective coordination, transparency and accountability at national and local levels.” UNDP has been successful in the use of e-governance and has learned lessons from implementation that will be applied to Uganda. Key lessons include the need to address the potential infrastructure challenges to the use of e-governance and the need to invest in building a culture that appreciates and adapts to the use of new technologies.

**ToC DIAGRAM**

**Increased access and administration of justice.**

**Accountable and inclusive public service delivery.**

**Strengthened structures and processes to address conflicts & promote peace.**

By 2025 Uganda has inclusive and accountable governance systems and people are empowered, engaged, and enjoy human rights, peace, justice, and security

Equitable access and administration of Justice for targeted institutions and audiences enhanced through gender responsive institutional capacity strengthening, digital solutions, and legal aid services.

Civic engagement & participation for democratic values, human rights & equitable development



Accountability in public service delivery enhanced through inclusive, targeted institutional capacity development for political representation and local economic development.

State, non-state actors, private sector, women, youth capacity strengthened to promote civic engagement and a culture that values gender, human rights, integrity, and democracy.

Equitable and sustained regional and national practices, infrastructures, and systems for peace building, cohesion and conflict management

**Programme strategy and alignment to planning frameworks**

The overall programme strategy is in line with the United Nations Sustainable Development Goal 16: “Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels”.[[5]](#footnote-6)

The programme activities will focus on enhancing select government MDA capacity to implement policy reforms, while promoting citizens’ participation in good governance. The programme will also support parliament and local governments to strengthen responses to citizens’ demands, improve leadership skills and increase government accountability and transparency for enhanced service delivery. The programme will also work in partnership civil society organizations and private sector to impact on development outcomes. In addition, the programme will promote citizen participation in decision making process through innovative approaches and campaigns Further, the programme will help to create space for women, youth, and other vulnerable groups , so that their voices are heard in the decision-making process. Through these strategies and actions, this programme will contribute to the following national, UN and UNDP planning frameworks:

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| **Programme Area** | **National** | **CPD** | **UN Framework** |
| Access to Justice | NDP III objective 5: strengthen the role of the state in development, through programmes such as:  (a) Innovation, Technology Development and Transfer, whereby the government invests significant amounts of resources in research and innovation; the goal of this program is to increase development, adoption, transfer and commercialization of Technologies & Innovations  (b) Public Sector Transformation Programme, the goal of the programme is to improve public sector response to the needs of the citizens and the private sector.  JLOS Strategic Development Plan IV (2017-2021) | Output 1.1: Institutions and systems at national and subnational levels enabled for effective and accountable service delivery in line with national, regional, and international obligations and commitments (IRRF 1.2.1, 2.2.1, 2.2.2). | UNSDCF Outcome 1: By 2025 Uganda has inclusive and accountable governance systems and people are empowered, engaged, and enjoy human rights, peace, justice, and security |
| Accountable public service delivery | NDP III objective 2: that aims to strengthen the private sector to create jobs through the Private Sector Development programme, the goal of this programme is to increase competitiveness of the private sector to drive sustainable inclusive growth.  NDP III objective 4: aims to increase productivity and well-being of the population (4), through programmes like:  (a) Community Mobilization and Mindset Change towards development programmes; the goal of this program is to empower families, communities and citizens to embrace national values and actively participate in sustainable development  (b) Human Capital Development Programme which aims to increase productivity of the population for increased competitiveness and better quality of life for all.  Strategic Plan of the Parliament of Uganda, (2020/21-2024/25)  Local Economic Development Policy, 2014 | Output 1.2: Strengthened capacity of people, especially marginalized and vulnerable groups, to participate in and benefit from governance and development at all levels (IRRF 2.2.2/2.2.3).  Output 3.2.1. Capacities of government and non-government institutions at regional, national, and subnational level strengthened to uphold positive social, cultural norms, values and practices that promote human rights, equality, and non-discrimination (IRRF 1.6.2/2.4.1/2.6.1) | UNSDCF Outcome 3.2: By 2025 gender equality and human rights of all people in Uganda are promoted, protected, and fulfilled in a culturally responsive environment |
| Peace and Resilience | NDP III community mobilization and mindset programme that aims to nurture more positive attitudes of citizens towards development and governance. | Output 1.3: Capacity of state and non-state actors at local, national, and regional levels strengthened to sustain peace and security (IRRF 3.1.1/3.2.1/3.2.2) | UNSDCF Outcome 1: By 2025 Uganda has inclusive and accountable governance systems and people are empowered, engaged, and enjoy human rights, peace, justice, and security |

**Programme Internal Linkage and synergy with other UNDP Country Programmes**

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| **Programmatic Offer** | **Areas of synergy** |
| Nature, Climate, Energy & Resilience Programme | 1. Transboundary systems (Water and Forest) 2. Natural resource governance requirements 3. Accountability, sustainability and human rights aspects in areas such as oil and gas and other industries and popularizing them 4. Risk governance aspects e.g. pending NECOC policy and regulatory framework 5. Natural resource conflict 6. Sexual and gender-based violence |
| Digitalization, Innovation & Smart Cities Programme | 1. Fostering enabling policy environment for Digitalization 2. Collective solicitation of goods, services and policy advise for the e-Governance solutions. 3. E-governance across public sector to increase transparency and reduce corruption. 4. Ensuring equity in access and utilization of digital solutions & technology for women and young females in governance, |
| Structural Economic Transformation and Inclusive Growth Programme | 1. Value Chain identification and support as well as linkage business entities and private sector individual and entities 2. District of coverage in Eastern and Northern Uganda 3. Business and human rights 4. Engagement and dialogue platforms 5. Policy issues e.g. strengthening for regional trade, Preferential free trade area and AfCFTA, Review of tax and interest rates 6. Strengthening policy environment for Government and LG bonds and opportunities. 7. Economic opportunities and livelihoods interventions for refugees and host communities in Northern and West Nile. 8. Youth focus and leveraging across the - Youth 4 Business project, peace dialogues, cultural events, informal economy, and volunteerism. 9. Leveraging of partners, processes, and opportunities such as private sector foundations, Presidential Investors’ roundtable to facilitate/lobby for issues of good governance. |
| SDG’s Integration and Acceleration Programme | 1. Capacity development for Parliament and district Local Governments and Councils for integration of SDGs (Development of training materials, e-tracking mechanisms, etc). 2. Research, data, planning and reporting. 3. Monitoring the implementation and progress of SDGs given parliament’s oversight mandate, which is also supported with the Parliamentary SDGs Toolkit. 4. Promote international trade (AfCFTA) for SDGs. 5. Mobilizing and Scaling Up Financing for SDGs implementation, more especially linking to the component of governance for development. 6. Influencers for SDG acceleration. |

**Assumptions**

The programme is informed by several assumptions. Assumptions related to the context:

1. There will be political stability in Uganda and political will especially among state and non-state actors for change and reform;
2. That the trend of increasing digitalisation and investment of companies in expanding internet infrastructure and access will continue, and result in greater reach and more reliable internet connections;
3. That there will be sufficient resources, including UNDP resources, donor support, adaptable knowledge capital from other UNDP offices and programmes, that can support the implementation of an innovative programme; and
4. That despite restrictions and possible high-cost implications, citizens and civic organisations will leverage existing spaces or be able to create new spaces for engagement on key governance issues, expanding beyond political governance and into economic governance.

Key assumptions relating to stakeholders of the Programme are:

1. Target institutions are willing to recognise the linkage between political, socio and economic factors in influencing Governance and development and there is political will for programme implementation;
2. Target institutions are willing to adapt their policies, strategies, operations, and M&E processes, and develop new ones where necessary, in order to cover the full range of governance issues-political economic and social;
3. Target institutions that are data-driven will be more efficient, and that these enhanced capacities will result in their being more responsive and effective, able to address governance priorities and serve their citizens better;
4. Target institutions will be open to developing systems that reduce opportunities for corruption; and
5. State and non-State stakeholders will be willing and are able to work together for institutional change.

# Results and Partnerships

***Expected Results***

The Programme will seek to achieve transformative and inclusive governance in alignment with Uganda development frameworks; the Uganda’s Vision 2040 that underscores fostering tenets of Good Governance. Further, it contributes to Uganda’s National Development Plan 3’s Governance and Security Programme and directly links to the UNSDCF Outcomes 1: By 2025 Uganda has inclusive and accountable governance systems and people are empowered, engaged, and enjoy human rights, peace, justice, and security and Outcome 3.2: By 2025 gender equality and human rights of all people in Uganda are promoted, protected, and fulfilled in a culturally responsive environment. In addition, the programme contributes to Sustainable Development Goal (SDG) 16 on Peace, Justice and Accountable Institutions and SDG 5 on Gender and Women Empowerment.

Specifically the programme strategy is designed to contribute to the achievement of results in three thematic areas i) Access to Justice; ii) Accountable public service delivery; and iii) Peace and Resilience to ultimately contribute to inclusive and accountable governance systems: more empowered and engaged citizenry; gender equality; and enjoyment of human rights, peace, and security in Uganda. The intervention will be delivered through four programmatic outputs and one operational output as illustrated below:

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| **Outputs and Indicators** | **Strategy/Interventions** |
| **Access to Justice** |  |
| **Output 1: Equitable access and administration of justice targeting specific institutions and audiences enhanced through gender- responsive institutional capacity strengthening, digital solutions, and legal aid services.**  **Indicators.**  1.1. Number of policy and legal frameworks for e-justice developed at national and subnational levels creating equal opportunities, pro-poor growth, and sustainable development (SDGs 5.1, 5.2, 10.3, 16)  Baseline: 1 (2020); Target:3; Frequency: Annual  1.2 Number of target institutions with fully functional e-governance systems to promote efficiency and accountability (SDG 17.15.1/17.8)  Baseline:1 (2020); Target: 3; Frequency: Annual  1.3. Proportion of magisterial areas accessing existing state-funded aid legal service.[[6]](#footnote-7)  Baseline: 39% (2019); Target: 50%, Frequency: Annual | Support development of critical legal frameworks to ensure secure and efficient implementation of E-justice measures, data protection, and digital rights. |
| Support the set-up of critical infrastructure for e-governance for Judiciary, Uganda Prisons, DOPP, UPF, LCC, Legal Aid Schemes, at national and sub-national levels, including case registration, tracking and management systems. |
| Improve cultural uptake of technology through training and other measures. |
| Support the administration of formal and informal justice services through infrastructure development and training |
| Support research, benchmarking documentation, monitoring, knowledge management to inform the justice sector reforms and legal related advocacy. |
| Support efforts at delivering increased and equitable access to legal aid services at the national and subnational levels. |
| Support training of formal and informal justice institutions on Alternative Dispute Resolution as a measure to improve access to justice. |
| **Accountability in public service delivery** |  |
| **Output 2: Accountability in public service delivery enhanced through inclusive, targeted institutional capacity development for political representation and local economic development**  **Indicators.**  2.1. Number of e- solutions initiatives for enhancing business process for legislature and accountability  Baseline 0 (2020) Target 4  2.2. Number of target Parliament Committees that effectively meet minimum core function performance benchmarks  Baseline 0 (2021) Target 3  2.3. Number of target LGs that have inclusive local economic development (LED) strategies and plans in place (IRRF 1.2.1.2)  i. With institutional frameworks for implementation in local and regional governments  ii. With public-private partnerships at scale for accelerating catalytic LED initiatives  iii. With urban development plans and strategies in line with the New Urban Agenda under implementation  Baseline 0 (2020) Target 20  2.4. Number of democracy institutions Parliament, Judiciary) that effectively meet minimum core function performance benchmarks (SDG 16. A.1; modified SP2.2.2) Baseline: 1 (2020); Target: 2; Frequency: Annual | Support the set-up of select e- solutions for enhancing Parliamentary process for legislature and accountability (e-bill tracker, e-library, Parliamentary resolutions tracking system). Selection of solutions will be done through an inclusive and participatory process |
| Support capacity building, induction initiatives and cultural uptake of technology for members of parliament and local councils to enhance their functionality |
| Provide technical assistance to select parliamentary committees, forums and associations (e.g National Economy, Budget; Natural Resources; Public Accounts; Gender Labour and Social Development, Human Rights equal opportunities, [Information, Communication Technology and National Guidance](https://www.parliament.go.ug/sites/default/files/MEMBERSHIP%20OF%20THE%20INFORMATION%2C%20COMMUNICATION%20TECHNOLOGY%20AND%20NATIONAL%20GUIDANCE%20COMMITTEE%20%282021-2022%29.pdf), Legal and Parliamentary Affairs, Public Service and Local Government, SDG Forum , Uganda Women Parliamentary Association (UWOPA) and others; for the analysis of national plans, strategies budgets, and statutory instruments in order to enhance Parliament’s oversight function and improve overall development outcomes. |
| Through orientation, training, and tooling; operationalise the LED architecture at the national, and district levels (select districts) and in select parishes including institutionalisation of District/Regional/National relevant LED forums |
| Strengthen select district commercial, planning, production units, and community mobilization departments to coordinate the planning and implementation of LED in their areas of jurisdiction. |
| Through a catalytic innovation fund, and on a competitive basis, support the design and piloting of the District LED Fund. |
| Support media campaigns at the national and sub-national levels for improvements in the space for civic and community participation in political and economic governance (including LED). |
| **Output 3: State, Non-state actors, private sector, women, and youth capacity strengthened to promote civic engagement and a culture that values gender, human rights, integrity and democracy.**  **Indicators.**  3.1. Proportion of target government and non-government institutions and private sector entities with programmes/ initiatives addressing values and practices that promote human rights, and equality.  Baseline: 20% (2020); Target: 70% (govt: 75%, non-govt: 65%) Frequency: Annual  3.2. Number of youths (disaggregated by sex) reached for targeted civic engagement, Youth Symposiums, Regional Dialogues, leadership training, and Sports, Art, and Culture  Baseline: 200 (2020); Target: 1000 (400Male/600Female) Frequency: Annual  3.3. Number of diagnostics/special studies developed to inform policy option  Baseline: 4 (2020); Target: 10 Frequency: Annual | Support targeted public campaigns dialogues and participatory citizen advocacy on values, leadership, human rights, gender equality, stigma and non-discrimination, socio and economic accountability and the improvement of political and economic governance. |
| Support Youth inclusion and participation in transformative governance through targeted civic engagement, promoting volunteerism, Youth Symposiums Regional Dialogues, leadership training, Sports, Art, and Culture. |
| Facilitate last mile communication through youth champions, role modelling coaches and influencers. |
| Leverage the UNDP gender seal to promote gender equality and women empowerment. |
| Leverage UNDP Accelerator Lab and other actors to undertake research, surveys, and produce innovative data from the public, academia on social trends that can be used to inform policy and planning. |
| Support convening of Gender and Governance Platforms for knowledge sharing and learning |
| Support establishment of a Knowledge Management hub on Governance and Peace |
| Support the private sector to enhance understanding of human rights including implementation of select recommendations of the National Action Plan on Business and Human Rights compliance. |
| **Output 4: Equitable and sustained regional and national practices, infrastructures, and systems for peace building, cohesion, and conflict management.**  **Indicators:**  4.1. Extent to which an infrastructure for peace is functional-IRRF3.2.1.3 (Scale 1-4 i.e., 1. Peace infrastructure is in place without funding 2. Peace infrastructure is in place with some partial/limited funding; 3. Peace infrastructure is in place with partial funding; 4. Peace infrastructure is in place with funding.  Baseline: 3. Partial (2020) Target: 4; Frequency: Annual  4.2. Number of alternative conflict resolution, mediation and consensus building mechanisms at national, subnational, and regional levels targeting the marginalized, especially women and youth  Baseline: 0 (2020) Target: 5; Frequency: Annual  # of women and men accessing/using alternative conflict resolution, mediation and consensus building mechanisms  4.3. Existence of operational end-to-end multi-sectoral early warning systems (EWS) to limit the gender-differentiated impact of: Natural hazards, economic/health shocks (e.g. pandemics) and other risk factors (IRRF 3.3.1.1)  4.4. National plans of action for prevention of violent extremism (PVE) in place under implementation (IRRF 3.2.1.1)  Baseline: Exists partially (2020) Target: Fully; Frequency: Annual  4.5. Number of agreements/MoUs signed for improved border cooperation  Baseline 1. Target 4. Frequency Annual. | Response for cross-border peace, security, cooperation, and sustainable development (including trafficking of girls, harmful practices such as FGM, child marriages, sexual exploitation & abuse, forced labour and resolving conflicts over natural resources). |
| Support the enhancement of sub-national peace infrastructures (including promotion of equal and equitable representation, transitional justice, early warning systems) for sustainable peace and social cohesion. |
| Support efforts at humanitarian assistance preparedness and the bridging of the humanitarian, development, and peace nexus for the most vulnerable. |
| Support efforts for the neutralization and combating of violent extremism (PVE) among youth in regions of Rwenzori and other hotspot areas |
| Support recovery and resilience efforts for conflict-affected individuals and communities in northern Uganda and other war affected regions |
|  |
| **General Management Support** |  |
| **Output 5: Effective Programme management, partnership and advisory support promoted.**  Indicators.  5.1. A mid-term evaluation conducted  5.2. An end of term evaluation conducted  5.3. % of annual resource delivery  5.4. Number of funding partnerships established to effect Programme implementation.  Baseline: 2 (2020) Target: 6; Frequency: Annual | **Monitoring (5%)** Conduct Monitoring and evaluation (including mid-term and end of term evaluation) to track progress, draw lessons and facilitate knowledge building and management. |
| **Communication (1%)** Strengthen advocacy to communicate UNDP support and promote visibility. |
| **Direct Programme Cost (10%):** Staffing, staff training, Office space, utilities, equipment, and operational cost) |
| **General Management Support (8%):** Facilitate personnel, advisory, technical, management and support services for effective delivery of the Project. |

***Partnerships***

The programme will have partnerships with a diversity including

1. Implementing partners and Responsible Parties;
2. Beneficiaries;
3. UN Agencies contributing to the Governance Pillar of the UNSDCF;
4. Partners that provide technical assistance and advise;
5. Development partners that deliver in similar areas.

*Implementing partners and Responsible Parties*

Partners at this level will work closely with the programme to plan and design more detailed activities for implementation. These partners will also have key responsibilities during implementation and will be involved in monitoring and evaluation. Key among these are:

* **The Judiciary and GSP Secretariate based at the MoJCA. These** will be directly involved in the implementation of interventions targeting improvement of coordinated justice chain linked solutions, with intervention targeted through, the Judiciary, **GSP Secretariate** the Uganda Prisons, Office of Director of Public Prosecution, and the Local Council Courts.
* **Parliament:** Engagement and support to Parliament will be core to this programme. As a key partner, Parliament will be supported to carry out its role in ensuring productive political and economic governance through robust policy formulation and oversight of the executive branch, including through budget oversight and the work of the Public Accounts Committee.
* **Ministry of Local Government:** Will be at centre of operationalising the LED, the ministry will be supported to establish structures and roll-out LED interventions in targeted districts.
* **Ministry of Internal Affairs:** This ministry will be engaged in the planning and implementation of interventions to strengthen borders and promote cross-border security and cooperation.
* **Office of the Prime Minister:** This Office will be central to any interventions addressing refugees, and the peace and humanitarian development nexus.
* Ministry of Gender Labour and Social Development- for gender mainstreaming and youth engagement.
* **Civil Society Organizations:** Civil society organizations, including Faith Based Organisations and Human Rights Organizations, will be mobilized at national and sub-national levels to participate in programme implementation as sub grantees, and to foster linkage between the duty bearers and rights holders in the respective thematic focus areas of the programme.
* **Private Sector:** The programme will work in partnership with PSFU and select private sector entities will play a project implementation, and as a target group for fostering improvement in governance, accountability, especially in the dimension of economic governance and business for human rights. There will also be partnerships with private institutions to create civic awareness and enhance engagement about LED, gender mainstreaming and Human rights.

*UN Agencies pillar 1 and 3:*

In alignment with the UNSDCF’s pillar 1 on transformative and inclusive Governance as well as pillar 3 on Human well-being and resilience the programme will seek to collaborate with UN Agencies namely: OHCHR, UN Women, UNODC and UNESCO in programme planning, implementation, monitoring, and reporting, to foster synergies and leverage the comparative advantage of the respective UN agencies.

*Partners that will provide technical assistance*

There will be deliberate effort to synergise and utilise specific expertise that the programme requires for effective implementation. Entities and institutions that have expertise linked to the programme include:

* **Ministry of Information and Communication Technology (MoICT)**: This ministry is responsible for all interventions utilising technology in Government agencies. It is also responsible for proposing legislation that would promote internet access and digital rights for all.
* **Ministry of Environment and Natural Resources and the Ministry of Energy and Mineral Development:** Support to these ministries will aim to strengthen structures for the implementation of policies and legislation that will ensure transparency and accountability in the management of natural resources.
* **Academia and professional associations:** The programme will work with academia to benefit from their expertise in conducting research, monitoring and advocacy to enhance the effectiveness of the governance reforms implicated. Further, connection will be pursued with professional associations such as the Uganda Law society in access to access and administration of Justice
* **Regional institutions** like the East African Community (EAC) and the Intergovernmental Authority for Development (IGAD)will be approached to mediate and support regional commitments and cross border dynamics.
* **Uganda Local Governments Association (ULGA):** As an Association of District and Lower Local Governments in Uganda, the programme will leverage their support in the operationalization of the LED architecture at the district level.

*Development Partners*

UNDP will work closely with development partners contributing to the thematic areas covered in the programme i.e., access to justice, accountability, peacebuilding, and cohesion as well as the cross-cutting areas of gender mainstreaming and women empowerment, youth inclusion and human rights. Development partners that contribute to these areas include: the Netherlands, Norway, Sweden, Denmark, Austria, Ireland, Iceland, Japan, South Korea to mention but a few.

***Risks and Mitigation measures***

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| **Risk** | **Mitigation Measures** |
| **Covid-19, new strand is slowing work.** | * Popularize the use of virtual means to foster business continuity in programme planning delivery and reporting. * Work with Government to strengthen the COVID-19 response, including through developing a strategy and an implementation plan; funding vaccines purchases; and digitization of health services (data visualizations, telehealth, etc). |
| **Slow onboarding of the envisaged programme key stakeholders** | * Early, continuous engagement with Government to clearly explain all the interventions and illustrate how they flow from Uganda’s national development plan and complement government’s own efforts in those domains. |
| **General Mistrust between citizens and the State.** | * Identify specific spaces of engagement to foster trust between citizens and the State. * Build on relationships and trust capital of key stakeholders that UNDP works with. |
| **Heavy focus on digitalization and possible internet restrictions and limited digital infrastructure.** | * Focus on reforming the legal framework for e-governance and government control of the internet, to create greater space for digitization. * Invest in building ownership and cultural uptake for digitization, so that the population would push for greater digitalization and digital space. * Have contingency plans in case of internet restrictions. * Pilot in targeted sites, learn lessons, and then scale up. * Develop checklists on the minimum requirements for implementation, and ensure they are in place before commencement. * Address potential infrastructure challenges. |
| **Delayed legislative processes.** | * Timely engagement with duty bearers, such as Parliament and targeted influencers. |
| **Risks of violence and human rights violations.** | * Continuous civic engagement at a strategic level, targeted at influencers, to encourage them to denounce violence and human rights violations. |
| **Regional instability and fragility.** | * Work closely with the UNDP Africa Regional Office and in Headquarters on broader regional interventions that foster the root causes and interventions that enable stability and peace in the region. |

***Stakeholder Engagement***

Strategies for engagement of stakeholders throughout implementation include:

* **Joint planning and monitoring:** All activities will be implemented following joint planning and approval by the steering committee. There will be quarterly planning meetings bringing together all implementing partners and key stakeholders to reflect on progress, discuss planned activities and approve them as appropriate for implementation. Joint planning will ensure monitoring of progress in relation to budget utilization, and results achieved which will be a basis for drawing recommendations for next steps.
* **Reflections and learning:** Learning forums will be organized at all levels of activity implementation to review progress to ensure coherence, promote synergy for efficiency and limit duplication of services. Implementing partners in communities will equally engage community members and volunteers to discuss progress, challenges and include them in reports that will be shared with stakeholders. To ensure that learning is utilized, recommendations and commitments made by implementing partners will be documented and forwarded to the steering committee for review and approval. Approved adjustments by the steering committee will be documented as amendments to work plans that will be rolled out in the subsequent phases.
* **Coordination:** It will be the role of the coordinating agency to ensure that all stakeholders remain committed to programme implementation as planned and involve all stakeholders within their jurisdiction. The coordinator will prepare for reflections and planning meetings, compile and share reports and ensure that all partners get access to reports prepared.

More specifically, key stakeholders will be engaged as follows:

**State Agencies at national level:**Active involvement in their planning processes, provide technical support to implementation and joint participation in monitoring and leaning processes. Technical support will be provided on demand basis and all efforts will be made to ensure that it is context appropriate.

**State Agencies at local government level:** Active involvement in review of existing interventions, and identification of entry points for UNDP support, particularly with LED implementation. They will support process of developing structures, facilitate implementation including operationalisation of platforms, provide technical support and training, as well as documentation of key lessons learned and good practices.

**Non-State Actors:** These include NGOs, CSO, faith-based organisations, cultural institutions, academia, and the media. They will be supported to design innovative projects that aim to enhance awareness amongst citizens, especially the most marginalised. They will be encouraged to use all forms of media that is appropriate for target audiences.

**Citizens/Communities:** They will be engaged through the work with non-State actors. Efforts will be made to ensure that citizens are engaged through various approaches including media, community meetings and other means of community engagement. They will also be involved in the early warning mechanisms and local peacebuilding infrastructures.

**Private Sector:** They will be engaged under the various programmes, both individually where required, and as a collective, for instance during engagements on the National Action Plan (NAP) on Business and Human Rights.

***South-South and Triangular Cooperation (SSC/TrC)***

Through benchmarking and study visits, as well as identifying and adopting scalablemodels, the programme will apply South-South and Triangular Cooperation for innovation, knowledge transfer and replication. Specifically, replication of lessons and practices shall be pursued with countries such as Ghana, Mauritius, India, and Estonia, and at a broader level, with the AU. The respective countries are not just examples of how the pursuit of political, social and economic governance but can enhance the general livelihoods of huge segments of the population, they are also good examples of development progress in the areas of administration and access to justice, rule of law, digitization and e-governance to facilitate the achievement of governance and development goals. The trajectories there of resonate with Uganda aspirations and additionally, the countries are willing to share their experiences. However, individual country level South-South Cooperation (SSC) is not enough; it needs a complement-Triangular Cooperation (TrC), not just with the engagement of global development institutions such as the UNDP, but regional ones such as the AU.

Considering that development is also about pragmatism; about learning from experience and recognizing how human beings, groups, communities, markets and business opportunities change; sharing ideas and generating and connecting knowledge; a system will be put in place (including for monitoring and evaluation), technology, training and management that can make the south -south exchange possible and beneficial.

Development has become multidirectional and African countries are carving out their space on the global stage, including through regional cooperation and self-reliance. During this, they are beginning to share home-grown solutions that are powerful because they are locally relevant and contextually appropriate. They have even started to institutionalise and measure SSC. The AU, with support from various agencies, has put into place platforms that allow for knowledge generation and storage and that facilitate knowledge management and sharing; databasing and sharing information on national level expertise; and providing technical and advisory services for SSC and TrC. The programme will tap into the AU SSC platforms.

***Knowledge***

* The programme will undertake baseline studies for selected programme outcome and output indicators at inception. The study will be the basis for measuring change midway and at the end of the programme. There will be midline evaluation and end of project evaluation that will be used to determine the change that the programme will have contributed to.
* Operationalization of, and lessons learnt on the LED model will be documented as a UNDP knowledge product and shared with the Ministry of Local Government to inform decision making and scaling to other districts.

***Evaluation matrix***

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| --- | --- | --- | --- | --- |
| *Evaluation* | *Baseline*  ***November 2019*** | *Midterm evaluation*  ***November 2023*** | *End of project evaluation*  ***November 2025*** | *Grants baselines and evaluation*  ***Annual*** |
| *Evaluation question* | *What is the current state of programme indicators?*  *Are the proposed targets realistic and achievable?* | *What progress has the project achieved since in caption?*  *Is the programme on course?* | *What has the* programme *achieved to date?*  *What lessons learnt during* programme *implementation?* | *What change has the grant brought about?* |
| *Suggested methods for answering the question* | *Literature review and Quantitative data collection.* | *Qualitative and quantitative data collection* | *Qualitative and quantitative data collection* | *Qualitative and quantitative data collection* |

The programme will be evaluated using the evaluation criteria of relevance, effectiveness, efficiency, sustainability, and impact. The questions below will inform the evaluation exercise.

* Relevance: To what extent is the programme intervention and its intended outputs or outcomes consistent with national and local policies and priorities and needs of intended beneficiaries. To what extent is the programme responsive to UNDP corporate plan and human development priorities of empowerment and gender equality issues.
* Effectiveness: To what extent have the programme intended results (outputs or outcomes) been achieved or the extent to which progress toward outputs or outcomes has been achieved.
* Efficiency: To what extent are resources or inputs (such as funds, expertise, and time) converted to results.
* Sustainability: To what extent will the benefits of the programme continue after external development assistance has come to an end.
* Impact: What changes in human development and people’s well-being were brought about by the programme, directly or indirectly, intended, or unintended.

In addition to programme evaluation, there will be grants awarded and evaluated in accordance with the programme objectives. They will be evaluated to measure contribution made towards the programme objectives and the reports will be used as part of literature to be reviewed at programme evaluation.

Monitoring will be undertaken periodically following established monitoring guidelines and reports will be prepared and shared with the coordinating agency. In addition to reports, there will be publications about lessons and innovations in English and local languages. These will be shared in communities and with local media as appropriate.

There will be quality control at the coordinating agency to ensure that all information shared is in line with national and donor policies and guidelines. As such, publications will be undertaken by the coordinating agency with approval of the steering committee.

***Sustainability and Scaling Up***

* The project has been designed to substantiate efforts of government of Uganda and will contribute to the implementation of sector strategies, including those of JLOS, The Judiciary and Parliament.
* Specifically, the programme will work with and through existing sector planning structures and processes, like the sector working groups, and seek to strengthen these, for instance, by encouraging use of data during meetings and promoting informed civil society participation as part of the normal conduct of business.
* Given that the Ministry of Information and ICT will be responsible for all interventions utilizing technology, the ICT infrastructure will remain under the management and control of the Ministry. This will allow scaling and utilization by the Government agencies.
* Training will be based on a training of trainer’s mechanism. During implementation, officials from these institutions will be trained as trainers. Upon being equipped with new skills, they will be able to scale-up training in their institutions.
* Piloting of LED and the documentation of the model for scale up is another sustainability and scale-up measure. The Ministry of Local Government will be at the core of the operationalization of LED. The established LED structures in the targeted districts will remain operational under the Ministry. Documentation of the model, highlighting lessons learnt, will enable scaling to other districts by the Ministry of Local Government.
* Civil Society and Faith Based Organizations that will be sub grantees for the implementation of some interventions will remain in charge of the various projects for oversight and scaling. This will ensure sustainability of the interventions.

# Project Management

***Cost Efficiency and Effectiveness***

The Programme will be undertaken using UNDP’s Direct Implementation Modality (DIM). The DIM modality requires that all activities of the Programme be directly implemented by the Programme in accordance with UNDP’s relevant policies, rules, regulations, procedures, and practices. The implementation will leverage on expertise, technical capacities, and alliances in the field from other UN Agencies as well as from state and non-state partners which will foster greater efficiency, coverage, and coherence. Also, to amplify results, the Programme will seek for collaboration and complementarity with the other UNDP Country programmes namely Digitalization, Innovation and Smart Cities Programme, Structural Economic Transformation and Inclusive Growth Programme, Nature, Climate, Energy & Resilience Programme and the SDG’s Integration and Acceleration Programme more especially for policy level engagements and targeting of coverage. Further, partnership will be pursued with other UN and non-UN initiatives with regards to youth programming and gender mainstreaming.

***Programme Management***

With the aim of ensuring alignment to national priorities, coherence, and risk mitigation, the Programme will function under a Programme Steering Committee (PSC) that will provide strategic guidance and supervision to the Programme, with quality assurance, technical discussions, and recommended priorities being provided by the Programme Technical Committee (PTC). The composition of these committees will include representatives of the Government of Uganda, Development Partners, UN Family, and other stakeholders that would be relevant to the programme’s implementation strategy and results framework. More details on standard terms of reference and membership of the PSC, and PTC are explained in section “VIII - GOVERNANCE AND MANAGEMENT ARRANGEMENTS”.

The programme will have a national and District level presence especially in relation to the LED interventions, peace building and cross border initiatives.

The day-to-day management of the programme, including coordination, planning, execution, reporting, monitoring, evaluation, lessons learned and mid-term evaluations, among others, will be ensured by the Governance and Peace Strengthening team. Quality assurance and audit support will be facilitated by the Management Support Unit and all required operational support will be provided by UNDP Operations Unit, notably in areas of procurement and ICT. The Governance and Peace Team will work closely and collaboratively with UN Agencies, State and Non-state partners involved in programme implementation (known as Responsible Parties) to achieve the programme results and activity implementation. The team will manage financial and administrative matters. Specialized assistance for large scale international procurement may draw on expertise and services from UNDP Procurement Support Office (PSO) based in Copenhagen, Denmark UNOPS and from the UNDP Regional Service Centre based in Addis Ababa, Ethiopia.

The Governance and Peace team will liaise with other Programme beneficiaries, both state and non-state to inform them and update about programme activity implementation linked to such beneficiaries. In specific regard to Programme activities and anchoring on the United Sustainable Development Cooperation Framework, liaison will be made with UN Agencies that hold shared responsibility and accountability outputs. Programme staff and consultants will also be deployed for short periods to provide technical support to national partners.

Equally, knowledge products and services may be drawn from across the UN System, at national, regional, and global level. The programme will also benefit from the knowledge products (brochures and eLearning) developed by any other international and regional institutions.

The Programme will utilise and comply with UNDP guidelines on reporting, monitoring & evaluation. Throughout the entire implementation period programme progress, milestones, emerging issues, risks and any contemplated programme revision or extension will be tracked by the programme team. Also, lessons learned exercises, mid and final reviews, and audit will be conducted in accordance to UNDP rules and regulations. Sound field monitoring and spot-checks during implementation will also be conducted to ensure timely reporting and adjustments, if necessary. More details on this subject are available in section “VI - MONITORING AND EVALUATION.

Equitable access and administration of justice targeting specific institutions and audiences enhanced through gender- responsive institutional capacity strengthening, digital solutions, and legal aid services.

Accountability in public service delivery enhanced through institutional capacity development for political representation; local economic development and equitable natural resource governance

State, non-state actors, women, youth, and the private sector capacity strengthened to promote civic engagement and culture that values gender, diversity, cohesion, human rights, integrity, and democracy; and

Strengthened, equitable and sustained regional and national practices, infrastructures, and systems for peace building, cohesion, and conflict management.

# Results Framework

|  |
| --- |
| **Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:**   1. Outcome 1.0. By 2025 Uganda has inclusive and accountable governance systems and people are empowered, engaged and enjoy human rights, peace, justice and security (Related SDGs: 1-1717). 2. Outcome 3.2. By 2025 gender equality and human rights of all people in Uganda are promoted, protected and fulfilled in a culturally responsive environment. (Related SDG: 1, 2, 3, 4, 5, 6, 8, 10, 11, 12, 13, 14, 16, 17) |
| **Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:**  **For outcome 1.0**  1. Primary government expenditures as a proportion of approved budget, by sector (Sustainable Development Goal – SDG 16.6.1) Baseline (2019): 90.2% Target 98%  2. Proportion of women and youth in elected positions at various levels (SDG5.5.1,5.5.2, 16.7.1; Integrated Results and Resources Framework (IRRF) 2.2): (a) Parliament, (b) LC 1-5 Baseline Women: (a) 35%, (b) Local Council (LC) 1- LC5 - 41.4% Youth: (a) 1.1%, (b) LC 1- LC5 -11.56% Target Women: (a) 38%, (b) LC1- LC5 - 44% Youth: (a) 2%, (b) LC1- LC5 - 15%  3. Governance index: Baseline 55 (2018), Target 60  **For outcome 3.2**   1. Gender Inequality Index Baseline (2019): 0.531 Target 0.2 2. 2. Percentage of population with trust in the justice system Baseline 59 % (2019) Target 65 % 3. 3. National budget compliance to gender and equity Baseline 61% (2019) Target 75% |
| **Applicable Output(s) from the UNDP Strategic Plan:**  SP Output 2.2.1: Use of digital technologies and big data enabled for improved public services and other government functions SP Output 2.2.2: Constitution-making, electoral and parliamentary processes and institutions strengthened to promote inclusion, transparency, and accountability  SP Output 2.3.1: Data and risk-informed development policies, plans, systems and financing incorporate integrated and gender-responsive solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent risk of conflict |
| **Project title and Atlas Project Number:** |

| **EXPECTED OUTPUTS** | **OUTPUT INDICATORS[[7]](#footnote-8)** | **DATA SOURCE** | **BASELINE** | | | TARGETS (by frequency of data collection) | | | | | | DATA COLLECTION METHODS & RISKS |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Value** | **Year** | **Year 1** | | **Year 2** | **Year 3** | **Year 4** | **Year 5** | FL |  |
| Output 1:  1: Equitable access and administration of justice targeting specific institutions and audiences enhanced through gender- responsive institutional capacity strengthening, digital solutions, and legal aid services. | 1.1. Number of policy and legal frameworks for e justice developed at national and subnational levels creating equal opportunities, pro-poor growth, and sustainable development (SDGs 5.1, 5.2, 10.3, 16). Baseline: 1 (2020); Target: 3; Frequency: Annual | Justice, Law and Order Sector (JLOS) annual report JAP and GPSP reports | 1 | 2020 | 1 | | 1 | 1 | 0 | 0 | 3 | Document review (JLOS, JAP and GPSP records and reports) |
| 1.2 Number of target institutions with fully functional e-governance systems to promote efficiency and accountability (SDG 17.15.1/17.8). Baseline:1 (2020); Target: 3; Frequency: Annual | Government performance reports (GAPs) | 1 | 2020 | 1 | | 1 | 1 | 0 | 0 | 3 | Document review (Government performance reports) |
| 1.3. Proportion of magisterial areas accessing existing state-funded aid legal service.  Baseline: 39% (2019); Target: 50%, Frequency: Annual | JLOS annual report | 39% | 2019 | 41% | | 43% | 45% | 48% | 50% | 50% | Document review (JLOS JAP and GPSP records and reports) |
| Output 2:  Accountability in public service delivery enhanced through inclusive, targeted institutional capacity development for political representation and local economic development. | 2.1. Number of e- solutions initiatives for enhancing business process for legislature and accountability. Baseline 0 (2020) Target 4 | JLOS annual report | 0 | 2019 | 1 | | 1 | 1 | 1 | 0 | 4 | Document review (JLOS records and reports) |
| 2.2. Number of target Parliament Committees, forum and Associations that effectively meet minimum core function performance benchmarks  Baseline 0 *(Taking note that the 11th Parliament commences in 2021)* Target 10 | Parliament Committee Reports  Hansard | 0 | 2021 | 1 | | 1 | 1 | 0 | 0 | 3 |  |
| * 1. # of target LGs that have inclusive local economic development (LED) strategies and plans in place (IRRF 1.2.1.2)  1. With institutional frameworks for implementation in local and regional governments 2. With public-private partnerships at scale for accelerating catalytic LED initiatives.   Baseline 0 (2020) Target 5   * 1. # of target LGs that have attract funding for LED initiatives   Baseline 0 (2020) Target 5 | Government performance reports (GAPs) | 0 | 2020 | 5 | | 10 | 15 | 17 | 20 | 20 | Document review (GAP) |
| 2.4. Number of democracy institutions Parliament, Judiciary) that effectively meet minimum core function performance benchmarks (SDG 16. A.1; modified SP2.2.2)  Baseline: 1 (2020); Target: 2; Frequency: Annual | Parliament reports, Judiciary reports | 1 | 2020 | 1 | | 1 | 0 | 0 | 0 | 2 | Document review (Parliament and Judiciary reports) |
| Output 3: State, non-state actors, private sector, women and youth, capacity strengthened to promote civic engagement and a culture that values gender, cohesion, human rights, integrity and democracy. | 3.1. Proportion of target government and non-government institutions and private sector entities with programmes/ initiatives addressing values and practices that promote human rights, and equality.  Baseline: 20% (2020); Target: 70% (govt: 75%, non-govt: 65%) Frequency: Annual | Sector reports and HRC reports | 20% | 2020 | GOVT 62%  Non Govt 55% | | GOVT 65%  Non Govt 58% | GOVT 70%  Non Govt 62% | GOVT 72%  Non Govt 64% | GOVT 75%  Non Govt 65% | GOVT 75%  Non Govt 65% | Document review of sector reports and HRC reports. |
| 3.2. Number of youths (disaggregated by sex) reached for targeted civic engagement, Youth Symposiums, Regional Dialogues, leadership training, and Sports, Art and Culture  Baseline: 200 (2020); Target: 1000 (400 Males, 600 Females) Frequency Annual. | Training and Event reports | 200 | 2020 | 200 | | 200 | 200 | 200 | 200 | 1000 | Document review of training and events reports |
| 3.3. Number of diagnostics/special studies developed to inform policy option  Baseline: 4 (2020); Target: 10 Frequency Annual | Research reports and records | 4 | 2020 | 2 | | 2 | 2 | 2 | 2 | 10 | Document review of Research reports and records |
| Output 4: Equitable access and sustained regional and national practices, infrastructures, and systems for peace building, cohesion and conflict management. | 4.1. 4.1. Extent to which an infrastructure for peace is functional-IRRF3.2.1.3 (Scale 1-4 i.e., 1. Peace infrastructure is in place without funding 2. Peace infrastructure is in place with some partial/limited funding; 3. Peace infrastructure is in place with partial funding; 4. Peace infrastructure is in place with funding.  Baseline: 3. Partial (2020) Target: 4; Frequency: Annual | Government performance reports (GAPs) | 3 (Partial) | 2020 | 4 | | 4 | 4 | 4 | 4 | 4 | Document review (GAP reports |
| 4.2. Number of alternative conflict resolution, mediation and consensus building mechanisms at national, subnational, and regional levels targeting the marginalized, especially women and youth  Baseline: 0 (2020) Target: 5; Frequency: Annual  # of women and men accessing/using alternative conflict resolution, mediation and consensus building mechanisms | Government performance reports (GAPs) and JLOS annual report | 0 | 2020 | 1 | | 1 | 1 | 1 | 1 | 5 | Document review (GAPs and JLOS annual reports) |
| 4.3. Existence of operational end-to-end multi-sectoral early warning systems (EWS) to limit the gender-differentiated impact of: Natural hazards, economic/health shocks (e.g. pandemics) and other risk factors (IRRF 3.3.1.1)  Baseline: Exists partially (2020) Target: Exists Fully; Frequency: Annual | Sector reports | Exists partially | 2020 | Fully exists | | Fully exists | Fully exists | Fully exists | Fully exists | Fully exists | Review of sector reports, GPSP reports |
| 4.4. National plans of action for prevention of violent extremism (PVE) in place under implementation (IRRF 3.2.1.1)  Baseline: Exists partially (2020) Target: Fully; Frequency: Annual | Sector reports | Exists partially | 2020 | Fully exists | | Fully exists | Fully exists | Fully exists | Fully exists | Fully exists | Review of sector reports |
| 4.5. Number of agreements/MoUs signed for improved border cooperation  Baseline 1. Target 4. Frequency Annual. | Agreements/ MOUs | 1 | 2020 | 1 | | 1 | 1 | 1 | 0 | 4 | Review of agreements/ MOUs |
| Output 5: Effective programme management, partnership and advisory support promoted. | 5.1. A mid-term evaluation conducted  Baseline: 0 (2020) Target: 1 | Evaluation report | 0 | 2020 | 0 | | 0 | 1 | 0 | 0 | 1 | Document review of Evaluation report |
| 5.2. An end of term evaluation conducted  Baseline: 0 (2020) Target: 1 | Evaluation report | 0 | 2020 | 0 | | 0 | 0 | 0 | 1 | 1 | Document review of Evaluation report |
| 5.3. % of annual resource delivery  Baseline: 0 (2020) Target: 100% | Finance reports | 0 | 2020 | 85% | | 85% | 85% | 85% | 100% | 100% | Document review of Annual Finance reports |
| 5.4. Number of funding partnerships established to effect project implementation.  Baseline: 2 (2021) Target: 10; Frequency: Annual | Project reports.  Partnership agreements | 0 | 2020 | 2 | | 2 | 2 | 2 | 2 | 10 | Document review of project reports and agreements |

# Monitoring And Evaluation

In accordance with UNDP’s programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans: *[Note: monitoring and evaluation plans should be adapted to project context, as needed]*

**Monitoring Plan**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Monitoring Activity** | **Purpose** | **Frequency** | **Expected Action** | **Partners**  **(if joint)** | **Cost**  **(if any)** |
| **Track results progress** | Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs. | Quarterly, or in the frequency required for each indicator. | Slower than expected progress will be addressed by project management. | UNDP/IP | 40,000 |
| **Monitor and Manage Risk** | Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP’s Social and Environmental Standards. Audits will be conducted in accordance with UNDP’s audit policy to manage financial risk. | Quarterly | Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken. | UNDP,  Project Steering Committee,  Responsible Parties | 20,000 |
| **Learn** | Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project. | At least annually | Relevant lessons are captured by the project team and used to inform management decisions. | UNDP/IP | 100,000 |
| **Annual Project Quality Assurance** | The quality of the project will be assessed against UNDP’s quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project. | Annually | Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance. | PSC | 10,000 |
| **Review and Make Course Corrections** | Internal review of data and evidence from all monitoring actions to inform decision making. | At least annually | Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections. | PTC, Project Board, UNDP | 20,000 |
| **Project Report** | A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period. | Annually, and at the end of the project (final report) | Preparation of reports for the Project Board consideration and approval. This will be used to give progress and highlight achievements | UNDP/IP | 20,000 |
| **Project Review (Project Board)** | The project’s governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project’s final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences. | Annually | Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified. | UNDP and RR | 40,000 |
| **Total** |  |  |  |  | 250,000 |

**Evaluation Plan**[[8]](#footnote-9)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Evaluation Title** | **Partners (if joint)** | **Related Strategic Plan Output** | **UNDAF/CPD Outcome** | **Planned Completion Date** | **Key Evaluation Stakeholders** | **Cost and Source of Funding** |
| Mid-Term Evaluation | Government  UN Partners delivering on similar outcome  Development Partners funding the programme | Output 1.1, 1.2 and 1.3  Output 3.2.1 | Outcome 1.0 and Outcome 3.2 | 2023 | Judiciary, Parliament, select MDAs: MoJCA)/GSPS, MoLG, OPM, MoIA, MoFAs, MOGLSD, Private Sector Foundation Uganda, select CSOs, FBOs, Cultural Institutions select District LGs, Private Sector entities and Media organisations/ and/or houses. | 40,000  UNDP |
| End of Project Evaluation | Government  UN Partners delivering on similar outcome  Development Partners funding the programme | Output 1.1, 1.2 and 1.3  Output 3.2.1 | Outcome 1.0 and Outcome 3.2 | 2025 | Judiciary, Parliament, select MDAs: MoJCA)/GSPS, MoLG, OPM, MoIA, MoFAs, MOGLSD, Private Sector Foundation Uganda, select CSOs, FBOs, Cultural Institutions select District LGs, Private Sector entities and Media organisations/ and/or houses. | 40,000  UNDP |
| Diagnostics / Special studies | To be select according to the area of study | Output 1.1, 1.2 and 1.3  Output 3.2.1 | Outcome 1.0 and Outcome 3.2 | Annually | Wil select according to the area of study | 100,000  UNDP |
| Total |  |  |  |  |  | 180,000 |

# Multi-Year Work Plan [[9]](#footnote-10)[[10]](#footnote-11)

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **EXPECTED OUTPUTS** | **PLANNED ACTIVITIES** | **Planned Budget by Year** | | | | | **RESPONSIBLE PARTY** | **PLANNED BUDGET** | | |
| Y1 | Y2 | Y3 | Y4 | Y5 | Funding Source | Budget Description | Amount |
| **Access and administration of Justice:** | | | | | | | | | | |
| **Output 1: Equitable access and administration of Justice for targeted institutions and audiences enhanced through gender responsive institutional capacity strengthening, digital solutions, and legal aid services (GEN2).** | 1.1 Activity: Support development of critical legal frameworks to ensure secure and efficient implementation of E-justice measures, data protection, and digital rights. | 0 | 50,000 | 50,000 | 0 | 0 | MoJCA)/GSPS Secretariat | UNDP Partners & Donors | Technical support | 100,000 |
| 1.2 Activity: Support the set-up of critical infrastructure for e-governance for Judiciary, Uganda Prisons, DOPP, LCC, Legal Aid Schemes, at national and sub-national levels, including case registration, tracking and management systems. | 1,000,000 | 1,000,000 | 1,000,000 | 500,000 | 500,000 | Judiciary, Uganda Prisons MoJCA)/GSPS Secretariat DOPP, MoLG, selected LGs & Legal Aid Schemes. | UNDP Partners & Donors | Meeting costs, Equipment, Trainings, Technical Support, Consultancy Costs | 4,000,000 |
| 1.3 Activity: Improve cultural uptake of technology through training and other measures. | 0 | 50,000 | 50,000 | 50,000 | 50,000 | Judiciary, Uganda Prisons MoJCA)/GSPS Secretariat, DOPP, MoLG, selected LGs & Legal Aid Schemes. | UNDP Partners & Donors | Workshop and training related costs | 200,000 |
| 1.4 Activity: Support the administration of formal and informal justice services through infrastructure development and training. | 100,000 | 500,000 | 500,000 | 100,000 | 100,000 | Judiciary of Uganda | UNDP Partners & Donors | Equipment and Training costs | 1,300,000 |
| 1.5 Activity: Support research, benchmarking documentation, monitoring, knowledge management to inform the justice sector reforms and legal related advocacy. | 30,000 | 30,000 | 30,000 | 30,000 | 30,000 | MoJCA)/GSPS Secretariat | UNDP Partners & Donors | Consultancy cost, Travels, Report publication. | 150,000 |
| 1.6 Activity: Support efforts at delivering increased and equitable access to legal aid services at the national and subnational levels. | 0 | 100,000 | 100,000 | 50,000 | 50,000 | Uganda Law Development Center (LDC)  Legal Aid schemes selected LGs. | UNDP Partners & Donors | Grants to Implementing Partners | 300,000 |
| 1.7 Activity: Support training of formal and informal justice institutions on Alternative Dispute Resolution as a measure to improve access to justice. | 0 | 100,000 | 100,000 | 100,000 | 50,000 | MoLG and selected LGs | UNDP Partners & Donors | Workshop and training related costs | 350,000 |
| **Sub-Total for Output 1** | | | | | | | | | **6,400,000** |
| **Accountability in public service delivery** | | | | | | | | | | |
| **Output 2: Accountability in public service delivery enhanced through inclusive, targeted institutional capacity development for political representation and local economic development (GEN 2).** | **2.1 Activity:** Support the set-up of select e- solutions for enhancing Parliamentary process for legislature and accountability (e-bill tracker, e-library, Parliamentary resolutions tracking system). Selection of solutions will be done through an inclusive and participatory process | 0 | 150,000 | 30,000 | 0 | 0 | Parliament | UNDP Partners & Donors | Meeting costs, Equipment, Trainings, Technical Support, Consultancy Costs | 180,000 |
| **2.2 Activity:** Support capacity building, induction initiatives and cultural uptake of technology for parliament, and local councils and women leaders to enhance performance. | 50,000 | 100,000 | 50,000 | 30,000 | 30,000 | Parliament  MoLG  MoGLSD | UNDP Partners & Donors | Workshop and training related costs | 260,000 |
| **2.3 Activity:** Provide technical assistance to parliamentary committees on SDGs, Finance and Economy; Natural Resources; Public Accounts; Private Sector Investment and others; for the analysis of national plans, strategies budgets, and statutory instruments to enhance Parliament’s oversight function and improve overall development outcomes. | 50,000 | 50,000 | 50,000 | 50,000 | 50,000 | Parliament | UNDP Partners & Donors | Technical Assistance | 250,000 |
| **2.4 Activity:** Through orientation, training, and tooling; operationalise the LED architecture at the national, and district levels (select districts) and in select parishes including institutionalisation of District/Regional/National relevant LED forums | 0 | 50,000 | 50,000 | 50,000 | 50,000 | MoLG,  Select LGs | UNDP Partners & Donors | Technical Assistance, Field travels, consultancy, meeting costs | 200,000 |
| **2.5 Activity:** Strengthen select district commercial planning units, production, and community mobilization departments to coordinate the planning and implementation of LED in their areas of jurisdiction | 0 | 50,000 | 50,000 | 50,000 | 50,000 | MoLG,  Select LGs | UNDP Partners & Donors | Grants to DLGs, Training Support for Youth | 200,000 |
| **2.6 Activity:** Through a catalytic innovation fund, and on a competitive basis, support the design and piloting of the District LED Fund | 0 | 250,000 | 500,000 | 500,000 | 500,000 | MoLG,  Select LGs | UNDP Partners & Donors | Cash for Work Payments | 1,750,000 |
| **2.7 Activity:** Support media campaigns at the national and sub-national levels for improvements in the space for civic and community participation in political and economic governance (including LED). | 0 | 50,000 | 50,000 | 50,000 | 50,000 | MoLG,  Select LGs  Media | UNDP Partners & Donors | Technical Assistance, Field travels, consultancy, meeting costs | 200,000 |
| **Sub-Total for Output 2** | | | | | | | | | **3,040,000** |
| **Output 3: State, non-state actors, private sector, women, youth capacity strengthened to promote civic engagement and a culture that values gender, human rights, integrity, and democracy (GEN 3)** | **3.1 Activity:** Support targeted public campaigns dialogues and participatory citizen advocacy on values, leadership, human rights, gender equality, stigma and non-discrimination, socio and economic accountability and the improvement of political and economic governance. | 0 | 50,000 | 50,000 | 50,000 | 50,000 | Private Sector Actors select CSOs, media | UNDP Partners & Donors | Media coverage | 200,000 |
| **3.2 Activity:** Support Youth inclusion and participation in transformative governance through targeted civic engagement, promoting volunteerism, Youth Symposiums Regional Dialogues, leadership training, Sports, Art, and Culture. | 0 | 100,000 | 100,000 | 100,000 | 30,000 | Youth Actors Select CSOs, UNODC | UNDP, UNODC Partners & Donors | Workshop and training related costs | 330,000 |
| **3.3 Activity:** Facilitate last mile communication through youth champions, role modelling coaches and influencers. | 0 | 50,000 | 50,000 | 50,000 | 50,000 | Youth Actors Select CSOs, UNODC | UNDP Partners & Donors | Workshop and training related costs | 200,000 |
| **3.4 Activity:** Leverage the UNDP gender seal to promote gender equality and women empowerment. | 100,000 | 100,000 | 100,000 | 100,000 | 100,000 | Private Sector Foundation and Private Sector Institutions  MGLSD,  Private enterprises  GES Auditors | UNDP Partners & Donors | Technical Support | 500,000 |
| **3.5 Activity:** Leverage UNDP Accelerator Lab and other actors to undertake research, surveys, and produce innovative data from the public, academia on social trends that can be used to inform policy and planning. | 0 | 50,000 | 50,000 | 50,000 | 50,000 | Academia, UBOS, CSOs | UNDP Partners & Donors | Technical Support | 200,000 |
| **3.6 Activity:** Support convening of Gender and Governance Platforms for knowledge sharing and learning | 0 | 50,000 | 50,000 | 50,000 | 50,000 | MGLSD, Gender Activists, CSOs Private Sector Foundation and Private Sector Institutions | UNDP Partners & Donors | Technical Support | 200,000 |
| **3.7 Activity:** Support establishment of a Knowledge Management hub on Governance and Peace | 0 | 50,000 | 50,000 | 50,000 | 50,000 | UNDP | UNDP Partners & Donors | Technical Support | 200,000 |
| **3.8 Activity:** Support the private sector to enhance understanding of human rights including implementation of select recommendations of the National Action Plan on Business and Human Rights compliance. | 40,000 | 50,000 | 50,000 | 50,000 | 50,000 | MGLSD, UNDP, OHCHR | UNDP Partners & Donors | Technical Support | 240,000 |
| **Sub-Total for Output 3** | | | | | | | | | **2,070,000** |
| **PEACE, COHESION & RESILENCE:** | | | | | | | | | | |
| **Output 4: Equitable and sustained regional and national practices, infrastructures, and systems for peace building, cohesion, and conflict management(GEN 2)** | **4.1 Activity:** Response for cross-border peace, security, cooperation, and sustainable development (including trafficking of girls, harmful practices such as FGM, child marriages, sexual exploitation & abuse, forced labour and resolving conflicts over natural resources). | 100,000 | 100,000 | 100,000 | 100,000 | 500,000 | MoIA  MoJCA  MoFAs  OPM  Select LGs  Select CSOs | UNDP Partners & Donors | Technical Support, Grants, Research, Consultancy | 500,000 |
| **4.2 Activity:** Support the enhancement of sub-national peace infrastructures (including promotion of equal and equitable representation, transitional justice, early warning systems) for sustainable peace and social cohesion. | 50,000 | 50,000 | 50,000 | 50,000 | 150,000 | MoIA  MoFAs  OPM  Select LGs  Select CSOs | UNDP Partners & Donors | Technical Support, Grants, | 250,000 |
| **4.3 Activity:** Support efforts at humanitarian assistance preparedness and the bridging of the humanitarian, development, and peace nexus for the most vulnerable. | 3,300,000 | 3,000,000 | 250,000 | 250,000 | 1,000,000 | MoFA  MoIA  OPM  Select LGs  Select CSOs (CARITAS). | UNDP Partners & Donors | Technical Support | 7,050,000 |
| **4.4 Activity:** Support efforts for the neutralization and combating of violent extremism (PVE) among youth in regions of Rwenzori and other hotspot areas | 0 | 150,000 | 150,000 | 150,000 | 200,000 | MoFA  MoIA  OPM  Select LGs  Select CSOs | UNDP Partners & Donors | Technical Support | 600,000 |
| **4.5 Activity:** Support recovery and resilience efforts for conflict-affected individuals and communities in northern Uganda and other war affected regions | 0 | 200,000 | 200,000 | 200,000 | 500,000 | MoFA  MoJCA  MoIA  OPM  Select LGs  Select CSOs | UNDP Partners & Donors | Technical Support, Grants | 800,000 |
| **Sub-Total for Output 4** | | | | | | | | | **9,200,000** |
| **General Management Support** | | | | | | | | | | |
| **Output 5: Effective project management, partnership and advisory support promoted.** | **5.1:** **Monitoring:** Conduct Monitoring and evaluation (including mid-term and end of term evaluation) to track progress, draw lessons and facilitate knowledge building and management including through SSC. | 200,000 | 200,000 | 200,000 | 200,000 | 200,000 | UNDP M&E Unit  GPS team | UNDP | Admin costs | 1,000,000 |
| **5.2 Communication:** Strengthen advocacy to communicate UNDP support and promote visibility. | 40,000 | 40,000 | 40,000 | 40,000 | 40,000 | UNDP Comms Unit  GPS team | UNDP | Admin costs | 200,000 |
| **5.3 Direct Project Cost:** Staffing, staff training, Office space, utilities, equipment, and operational cost) | 400,000 | 400,000 | 400,000 | 400,000 | 400,000 | UNDP | UNDP | Admin costs | 2,000,000 |
| **5.4 General Management Support:** Facilitate personnel advisory, technical, management and support services for effective delivery of the project. | 320,000 | 320,000 | 320,000 | 320,000 | 320,000 | UNDP | UNDP | Admin costs | 1,600,000 |
| **Sub-Total for Output 5** | | | | | | | | | **4,800,000** |
| **TOTAL** |  |  |  |  |  |  |  |  |  | **25,510,000** |

# Governance and Management Arrangements

The Project will be undertaken using **UNDP’s Direct Implementation Modality (DIM)**. The DIM modality requires that all activities of the Project be directly implemented by the Project in accordance with UNDP’s relevant rules, regulations, and procedures. As detailed below under the Governance and Management Arrangements, the Steering Committee (PSC) will provide strategic guidance and oversight to the Project, with quality assurance, technical discussions and recommended priorities being provided by the Technical Committee (PTC). The composition of these committees, including Government entities Development Partners and other stakeholders as identified, ensures that the Project is aligned and national priorities.

**The Project Steering Committee (PSC)** is an oversight and advisory authority, representing the highest body for coordination, strategic guidance, oversight, and quality assurance; it shall make decisions by-consensus. The body will facilitate collaboration between all project stakeholders for the implementation of the Project. The PSC will review and endorse the Annual Work Plans (AWPs), will provide strategic direction and oversight, will review implementation progress, and will review narrative and financial progress reports. To ensure UNDP’s ultimate accountability, the PSC decisions shall ensure best value for money, fairness, integrity, transparency, and effective international competition. The PSC will be convened by UNDP and meet every six months, or as necessary when raised by a member of the SC. The date and location of meetings will be determined by the SC in advance. The PSC will be chaired by the UNDP Resident Representative. See the full terms of reference (ToR) of the PSC in the Annexure Section.

**The Technical Committee (PTC)** shall serve as the clearing house for all matters to be presented to the PSC and it shall provide technical advisory support to the Project. The PTC shall be co-chaired by UNDP Deputy Resident Representative. The PTC shall hold quarterly meetings (and more frequently as needed) to perform its duties. See the full terms of reference (ToR) of the PTC in the Annexure Section.

**At the UNDP Country Office project level**, the UNDP Governance and Peace Leads will coordinate information sharing and cross-over inputs between UNDP projects. Independent evaluations and audits of the Project will be administered through the DRR who will also ensure the provision of UNDP’s global and common services that will be paid through Direct Project Costs (DPC). The costs for the services provided by UNDP are divided into two categories: GMS (General Management Services) and DPC (Direct Project Costs)[[11]](#footnote-12). As discussed, and decided by the Executive Board of the UNDP, the GMS includes the overhead and back-stopping by UNDP Uganda and the support of the UNDP Headquarters in New York.

**UNDP Country Office will serve the quality assurance role**, supported by the project’s monitoring and evaluation structure. The project will also benefit from shared operations support from the UNDP Country Office that includes access to support on human resources, recruitment, procurement, IT assistance, financial management, communications, and security, overseen by the DRR, Programme Coordinator, and others.

**Project Support**

**Programme component leads**

**Senior Supplier**

**Donor Representative**

**Senior Supplier**

**Donor Representative**

**Project Board (Governance Mechanism)**

**Project Organisation Structure**

**Senior Beneficiary**

Judiciary, Parliament, Select MDAs:MoJCA)/GPS Secretariat MoLG, OPM, MoIA, MoFAs, Select CSOs, FBOs, Cultural Institutions, Private Sector Entities, Select LGs

**Executive**

**UNDP**

**Senior Supplier: UNDP, Other**

**Donors**

**Project Assurance**

**PTC, MSU, designated Audit office**

**Team A**

**Governance, Accountability and public service delivery**

**Team B**

**Peace, Cohesion and Resilience**

***Project Board Roles***

1. Project boards contain four roles:
   1. **Project director** (also called executive): Represents project ownership and chairs the group. The Executive role of the project will be led by UNDP that is the implementing entity of the project.
   2. **Development partners** (also called supplier): Individuals or groups representing the interests of the parties concerned that provide funding and/or technical expertise to the project. This will include donor representative contributing funds to the project.
   3. **Beneficiary representative**: Individuals or groups representing the interests of those who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. The Responsible Parties under the project will constitute the beneficiaries of the project.

# Legal Context

**Option a. Where the country has signed the** [**Standard Basic Assistance Agreement (SBAA)**](http://intra.undp.org/bdp/archive-programming-manual/docs/reference-centre/chapter6/sbaa.pdf)

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Uganda and UNDP, signed on 29th April 1977.   All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by UNDP working in partnership with select Responsible Parties and beneficiaries including: Judiciary, Parliament, Select MDAs: MoJCA)/GPS Secretariat MoLG, OPM, MoIA, MoFAs, MoGLSD, Select CSOs, FBOs, Cultural Institutions, Private Sector Entities, select LGs and Media organisations/ and/or houses. Implementation will be done in accordance with its financial regulations, rules, practices, and procedures of UNDP and only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

# Risk Management

*[NOTE: Please choose* ***one*** *of the following options that corresponds to the implementation modality of the Project. Delete all other options.]*

**Option b. UNDP (DIM)**

1. UNDP as the Implementing Partner will comply with the policies, procedures, and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds][[12]](#footnote-13) [UNDP funds received pursuant to the Project Document][[13]](#footnote-14) are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml>. This provision must be included in all sub-contracts or sub-agreements entered under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor, and sub-recipient:
   1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
      1. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
      2. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.
   2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party’s, subcontractor’s and sub-recipient’s obligations under this Project Document.
   3. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
   4. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a)UNDP Policy on Fraud and other Corrupt Practices and (b)UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
   5. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants’, subcontractors’ and sub-recipients’) premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
   6. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP’s Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

* 1. *Choose one of the three following options:*

*Option 1:*UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party’s, subcontractor’s or sub-recipient’s obligations under this Project Document.

*Option 2:*Eachresponsible party, subcontractor or sub-recipient agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of the Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Option 3:* UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

*Note:* The term “Project Document” as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

* 1. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
  2. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
  3. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled “Risk Management Standard Clauses” are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

# ANNEXES

**ANNEX 1 : Project Quality Assurance Report**

| **Project QA Assessment: Design and Appraisal** | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Overall Project** | | | | | | | | |
| **Exemplary (5)**  **🞋🞋🞋🞋🞋** | | **Highly Satisfactory (4)**  **🞋🞋🞋🞋⭘** | **Satisfactory (3)**  **🞋🞋🞋⭘⭘** | **Needs Improvement (2)**  **🞋🞋⭘⭘⭘** | **Inadequate (1)**  **🞋⭘⭘⭘⭘** | | | |
| At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary. | | All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary. | At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The Principal criterion must be rated Satisfactory or above. | At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement. | One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement. | | | |
| **DECISION** | | | | | | | | |
| * **APPROVE** – the project is of sufficient quality to be approved in its current form**.** Any management actions must be addressed in a timely manner. * **APPROVE WITH QUALIFICATIONS** – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner. * **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted. | | | | | | | | |
| **RATING CRITERIA**  **For all questions, select the option that best reflects the project** | | | | | | | | |
| **Strategic** |  | | | | | | | |
| 1. **Does the project specify how it will contribute to higher level change through linkage to the programme’s Theory of Change?**  * **3:** The project is clearly linked to the programme’s theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project’s strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks. * **2:** The project is clearly linked to the programme’s theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change. * **1:** The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme’s theory of change.   *\*Note: Projects not contributing to a programme must have a project-specific Theory of Change. See alternative question under the lightbulb for these cases.* | | | | | |  |  | |
| 3 | | |
| **See footnote.[[14]](#footnote-15)**  **Page 5 -13** | | |
| 1. **Is the project aligned with the UNDP Strategic Plan?**  * **3:** The project responds to at least one of the development settings as specified in the Strategic Plan[[15]](#footnote-16) and adapts at least one Signature Solution[[16]](#footnote-17). The project’s RRF includes all the relevant SP output indicators. *(all must be true)* * **2:** The project responds to at least one of the development settings as specified in the Strategic Plan4. The project’s RRF includes at least one SP output indicator, if relevant. *(both must be true)* * **1:** The project responds to a partner’s identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF. | | | | | |  |  | |
| 3 | | |
| See footnote.[[17]](#footnote-18)  Page 19 | | |
| 1. **Is the project linked to the programme outputs? (i.e., UNDAF Results Group Workplan/CPD, RPD or Strategic Plan IRRF for global projects/strategic interventions not part of a programme)** | | | | | | **Yes**  Υ[[18]](#footnote-19) | |  |
| **Relevant** |  | | | | | | | |
| 1. **Does the project target groups left furthest behind?**  * **3:** The target groups are clearly specified, prioritizing discriminated and marginalized groups left furthest behind, identified through a rigorous process based on evidence. * **2:** The target groups are clearly specified, prioritizing groups left furthest behind. * **1:** The target groups are not clearly specified.   \*Note: Management Action must be taken for a score of 1. *Projects that build institutional capacity should still identify targeted groups to justify support* | | | | | |  |  | |
| 2 | | |
| **Evidence**  **See footnote.[[19]](#footnote-20)**  **Page 8-12** | | |
| 1. **Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?**  * **3:** Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project. * **2:** The project design mentions knowledge and lessons learned backed by evidence/sources, but have not been used to justify the approach selected. * **1:** There is little or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence.   \*Note: Management Action or strong management justification must be given for a score of 1 | | | | | |  |  | |
| 3 | | |
| **See footnote.**[[20]](#footnote-21)  **Page 1-5** | | |
| 1. **Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national/regional/global partners and other actors?**  * **3:** An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project’s intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. *(all must be true)* * **2:** Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans. * **1:** No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners’ interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.   \*Note: Management Action or strong management justification must be given for a score of 1 | | | | | |  |  | |
| 2 | | |
| **See footnote.**[[21]](#footnote-22)  **Page 1-6** | | |
| **Principled** | | | | | | | | |
| 1. **Does the project apply a human rights-based approach?**  * **3:** The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project’s strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget.*(all must be true)* * **2:** The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. *(both must be true)* * **1:** No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.   \*Note: Management action or strong management justification must be given for a score of 1 | | | | | |  |  | |
| 3 | | |
| **See footnote.**[[22]](#footnote-23)  **Page 3-5** | | |
| 1. **Does the project use gender analysis in the project design?**  * **3:** A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. *(all must be true)* * **2:** A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. *(all must be true)* * **1:** The project design may or may not mention information and/or data on the differential impact of the project’s development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document.   \*Note: Management Action or strong management justification must be given for a score of 1 | | | | | |  | |  |
| **3** | | |
| **See footnote.**[[23]](#footnote-24)  **Page 1-5** | | |
| **9. Did the project support the resilience and sustainability of societies and/or ecosystems?**   * **3:** Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. *(all must be true)*. * **2:** The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. *(both must be true)* * **1:** Sustainability and resilience dimensions and impacts were not adequately considered.   \*Note: Management action or strong management justification must be given for a score of 1 | | | | | |  |  | |
| 2 | | |
| **See footnote.**[[24]](#footnote-25)  **Page 1-3** | | |
| **10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?** The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.] | | | | | |  |  | |
| Yes[[25]](#footnote-26) | | |
|  | | | | | | | | |
| 1. **Does the project have a strong results framework?**  * **3:** The project’s selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. *(all must be true)* * **2:** The project’s selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. *(all must be true)* * **1:** The project’s selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. *(if any is true)*   \*Note: Management Action or strong management justification must be given for a score of 1 | | | | | |  |  | |
| 3 | | |
| **See footnote.**[[26]](#footnote-27)  **Page 18-22** | | |
| **12. Is the project’s governance mechanism clearly defined in the project document, including composition of the project board?**   * **3:** The project’s governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. *(all must be true)*. * **2:** The project’s governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. *(all must be true)* * **1:** The project’s governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.   \*Note: Management Action or strong management justification must be given for a score of 1 | | | | | |  |  | |
| 3 | | |
| **See footnote.**[[27]](#footnote-28)  **Page 34** | | |
| **13.** **Have the project risks been identified with clear plans stated to manage and mitigate each risk?**   * **3:** Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the programme’s theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders. Clear and complete plan in place to manage and mitigate each risk, reflected in project budgeting and monitoring plans. *(both must be true)* * **2:** Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk. * **1:** Some risks may be identified in the initial project risk log, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and/or no initial risk log is included with the project document.   \*Note: Management Action must be taken for a score of 1 | | | | | |  |  | |
| 3 | | |
| **See footnote.**[[28]](#footnote-29)  **Page 13-14** | | |
| **Efficient** |  | | | | | | | |
| 1. **Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include, for example: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners; iv) sharing resources or coordinating delivery with other projects, v) using innovative approaches and technologies to reduce the cost of service delivery or other types of interventions.**   *(Note: Evidence of at least one measure must be provided to answer yes for this question)* | | | | | | **Yes[[29]](#footnote-30)** |  | |
| **15. Is the budget justified and supported with valid estimates?**   * **3:** The project’s budget is at the activity level with funding sources and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated. * **2:** The project’s budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates. * **1:** The project’s budget is not specified at the activity level, and/or may not be captured in a multi-year budget. | | | | | |  |  | |
| 3 | | |
| **See footnote.**[[30]](#footnote-31)  **Page 25-32** | | |
| 1. **Is the Country Office/Regional Hub/Global Project fully recovering the costs involved with project implementation?**  * **3:** The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.) * **2:** The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. * **1:** The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.   \*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences. | | | | | |  |  | |
| Yes | | |
| **See footnote.**[[31]](#footnote-32)  **Page 25-32** | | |
| **Effective** |  | | | | | | | |
| **17. Have targeted groups been engaged in the design of the project?**   * 3: Credible evidence that all targeted groups, prioritizing discriminated and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.) * 2: Some evidence that key targeted groups have been consulted in the design of the project. * 1: No evidence of engagement with targeted groups during project design. | | | | | |  |  | |
| 3 | | |
| **See footnote.**[[32]](#footnote-33)  **Page 1-2** | | |
| **18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation?** | | | | | | **Yes[[33]](#footnote-34)** | No | |
| **19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.**  \*Note: Management Action or strong management justification must be given for a score of “no” | | | | | | **Yes[[34]](#footnote-35)** | No | |
|  | | |
| **Sustainability & National Ownership** | | | | | | | | |
| **20. Have national/regional/global partners led, or proactively engaged in, the design of the project?**   * **3:** National partners (or regional/global partners for regional and global projects) have full ownership of the project and led the process of the development of the project jointly with UNDP. * **2:** The project has been developed by UNDP in close consultation with national/regional/global partners. * **1:** The project has been developed by UNDP with limited or no engagement with national partners. | | | | | |  |  | |
| 3[[35]](#footnote-36) | | |
| Page 12-13 | | |
| **21. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted?**   * **3:** The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly. * **2:** A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment. * **1:** Capacity assessments have not been carried out. | | | | | |  |  | |
| 3[[36]](#footnote-37) | | |
| Page 8-12 | | |
| **22. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?** | | | | | | **Yes[[37]](#footnote-38)** | No | |
| **23. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation and communications strategy)?** | | | | | | **Yes[[38]](#footnote-39)** | No | |

# ANNEX II: Social and Environmental Screening

|  |  |
| --- | --- |
| ***Project Information*** |  |
| 1. **Project Title** | Governance and Peace Strengthening Programme |
| 1. **Project Number (i.e. Atlas project ID, PIMS+)** | Tbc |
| 1. **Location (Global/Region/Country)** | Uganda |
| 1. **Project stage (Design or Implementation)** | Design |
| 1. **Date** | 2021 |

**Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability**

|  |
| --- |
| **QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?** |
| ***Briefly describe in the space below how the project mainstreams the human rights-based approach*** |
| The human rights based approach forms the core of this programme as demonstrated by its outcomes that seeks to ensure that by 2025, Uganda has inclusive and accountable governance systems and people are empowered, engaged and enjoy human rights, peace, justice and security. As a key factor to promoting the human rights-based approach, the programme will aim at strengthening the capacity of duty bearers (parliament, judiciary, UHRC, and other government entities) on the one hand, and empower the rights holders. The programme will work to strengthen existing legal frameworks in Uganda, including the Ugandan Constitution which establishes key independent institutions of State such as the Judiciary, Parliament, the Uganda Human Rights Commission (UHRC), the Inspectorate of Government (IG) and the Auditor General. The programme will employ innovations to promote civic engagement and build a culture that values human rights and peace and address structural barriers that impede enjoyment of human rights of vulnerable groups such as women, youth, PWDs and other marginalized groups. The programme will also work with civil society (NGOs, CSOs, community groups, trade unions) to promote advocacy, good governance, and respect for human rights. |
| ***Briefly describe in the space below how the project is likely to improve gender equality and women’s empowerment*** |
| Among other objectives, this programme aims to promote inclusive, gender responsive and rights-based policies and laws for economic development that provide a framework for sustainable and equitable development. The programme will achieve this through advocating for policy and legislation to promote women’s rights and gender equality, as well as increased allocation of funding towards gender related interventions in Government programmes. The programme will implement interventions that increase the participation and visibility of women in various positions of leadership in political and public office and their general economic and social empowerment. The programme will support targeted public campaigns and dialogues on values, leadership, human rights, gender equality, stigma and non-discrimination, social and economic accountability, and the improvement of political and economic governance. Gender equality will be at the core of these activities. The programme also intends to leverage the UNDP gender seal to promote gender equality and women empowerment. |
| ***Briefly describe in the space below how the project mainstreams sustainability and resilience*** |
| The peace and governance programme has been designed to substantiate efforts of government of Uganda and will contribute to the implementation of sector strategies that ensure sustainability in the long-term. Given that the Ministry of Information and ICT will be responsible for all interventions utilizing technology, the ICT infrastructure will remain under the management and control of the Ministry. This will allow scaling and utilization by the Government agencies. Capacity buildings and trainings will be designed to ensure trainees can continue using the knowledge and skills acquired to empower others. During implementation, participants will be targeted as training of trainers as well as participants. Upon being equipped with these skills, they will integrate the same with ease in implementation. The Ministry of Local Government will be at the core of the operationalization of LED. The established LED structures in the targeted districts will remain operational under the Ministry. Documentation of the model highlighting lessons learnt will enable scaling to other districts by the Ministry of Local Government. Civil Society and Faith Based Organizations that will be sub granted to in the implementation of some interventions will remain in charge for oversight and scaling. This will ensure sustainability of the interventions. |
| ***Briefly describe in the space below how the project strengthens accountability to stakeholders*** |
| The programme will ensure the application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).  The programme will conduct all programme-related activities in a manner consistent with the UNDP Social and Environmental Standards and implement management or mitigation plans that comply with such standards and engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. The programme will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism. |

**Part B. Identifying and Managing Social and Environmental Risks**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **QUESTION 2: What are the Potential Social and Environmental Risks?**  *Note: Complete SESP Attachment 1 before responding to Question 2.* | **QUESTION 3: What is the level of significance of the potential social and environmental risks?**  *Note: Respond to Questions 4 and 5below before proceeding to Question 5* | | | | **QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High** | | | |
| ***Risk Description***  ***(broken down by event, cause, impact)*** | ***Impact and Likelihood (1-5)*** | ***Significance***  ***(Low, Moderate Substantial, High)*** | ***Comments (optional)*** | | ***Description of assessment and management measures for risks rated as Moderate, Substantial or High*** | | | |
| **Risk 1:** Internet restrictions, delays in support for a national digitalization strategy to connect people to government (because of reduced government control and decentralization | I = 4  L = 5 | High |  | | * Focus on reforming the legal framework for e-governance and government control of the internet, to create greater space for digitization. * Invest in building ownership and cultural uptake for digitization, population to push for greater digitalization & digital space. * Have contingency plans in case of internet restrictions. | | | |
| **Risk 2:** Spike in COVID 19 cases | I = 3  L = 3 | High |  | | * Work with Government to strengthen the COVID -19 response, including through developing a strategy and an implementation plan; funding vaccines purchase; and digitization of health services (data visualizations, telehealth, etc). | | | |
| **Risk 3:** Closing of civic space and of media freedoms | I = 4  L = 5 | High |  | | * On-going top-level engagements with senior government officials w focus on project’s contribution to national development priorities & 2040 vision, citing UNDP’s decades of CSO support & impact which complement government’s own efforts in those domains. | | | |
| **Risk 4:** Resurgence of violence, human rights violations, public unrest | I = 4  L = 5 | High |  | | * Design of early warning & response capacity, training of mitigation actors, * On-going top-level engagements w senior government officials, * Continuous civic engagement at a strategic level, targeted at influencers, to encourage them to denounce violence and human rights violations | | | |
| [add additional rows as needed] |  |  |  | |  | | | |
|  | **QUESTION 4: What is the overall project risk categorization?** | | | | | | | |
|  | | | | | | | |
| ***Low Risk*** | | | **☐** |  | | | |
|  | ***Moderate Risk*** | | | **☐** |  | | |
|  | ***Substantial Risk*** | | | **☐** |  | | | |
| ***High Risk*** | | | **☐** |  | | | |
|  | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)** | | | | | | | |
| Question only required for Moderate, Substantial and High Risk projects | | | | | | | |
| ***Is assessment required? (check if “yes”)*** | | | **☐** |  |  | ***Status? (completed, planned)*** | |
| *if yes, indicate overall type and status* | | |  | **☐** | Targeted assessment(s) |  | |
|  | **☐** | ESIA (Environmental and Social Impact Assessment) |  | |
|  | **☐** | SESA (Strategic Environmental and Social Assessment) |  | |
| ***Are management plans required? (check if “yes)*** | | | **☐** |  |  | | |
| *If yes, indicate overall type* | | |  | **☐** | Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others) |  | |
|  | **☐** | ESMP (Environmental and Social Management Plan which may include range of targeted plans) |  | |
|  | **☐** | ESMF (Environmental and Social Management Framework) |  | |
| ***Based on identified risks, which Principles/Project-level Standards triggered?*** | | |  | **Comments (not required)** | | | |
| ***Overarching Principle: Leave No One Behind*** | | |  |  | | | |
|  | ***Human Rights*** | | | **☐** |  | | |
| ***Gender Equality and Women’s Empowerment*** | | | **☐** |  | | |
| ***Accountability*** | | | **☐** |  | | |
|  | ***1. Biodiversity Conservation and Sustainable Natural Resource Management*** | | | **☐** |  | | | |
| ***2. Climate Change and Disaster Risks*** | | | **☐** |  | | | |
| ***3. Community Health, Safety and Security*** | | | **☐** |  | | | |
| ***4. Cultural Heritage*** | | | **☐** |  | | | |
| ***5. Displacement and Resettlement*** | | | **☐** |  | | | |
| ***6. Indigenous Peoples*** | | | **☐** |  | | | |
| ***7. Labour and Working Conditions*** | | | **☐** |  | | | |
| ***8. Pollution Prevention and Resource Efficiency*** | | | **☐** |  | | | |

**Final Sign Off**

*Final Screening at the design-stage is not complete until the following signatures are included*

|  |  |  |
| --- | --- | --- |
| ***Signature*** | ***Date*** | ***Description*** |
| QA Assessor |  | UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted. |
| QA Approver |  | UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD)**,** Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC. |
| PAC Chair |  | UNDP chair of the PAC. In some cases, PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC. |

### SESP Attachment 1. Social and Environmental Risk Screening Checklist

|  |  |
| --- | --- |
| **Checklist Potential Social and Environmental Risks** |  |
| INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the [SES toolkit](https://info.undp.org/sites/bpps/SES_Toolkit/Pages/Homepage.aspx) for further guidance on addressing screening questions. |  |
| **Overarching Principle: Leave No One Behind**  **Human Rights** | **Answer  (Yes/No)** |
| P.1 Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)? | NO |
| P.2 Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project? | NO |
| P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights? | NO |
| *Would the project potentially involve or lead to:* |  |
| P.4 adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | NO |
| P.5 inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? [[39]](#footnote-40) | NO |
| P.6 restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities? | NO |
| P.7 exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals? | NO |
| **Gender Equality and Women’s Empowerment** |  |
| P.8 Have women’s groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)? | NO |
| *Would the project potentially involve or lead to:* |  |
| P.9 adverse impacts on gender equality and/or the situation of women and girls? | NO |
| P.10 reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | NO |
| P.11 limitations on women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?  *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being* | NO |
| P.12 exacerbation of risks of gender-based violence?  *For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc*. | NO |
| **Sustainability and Resilience:** Screeningquestions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below |  |
| **Accountability** |  |
| *Would the project potentially involve or lead to:* |  |
| P.13 exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them? | NO |
| P.14 grievances or objections from potentially affected stakeholders? | NO |
| P.15 risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project? | NO |
| **Project-Level Standards** |  |
| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#SustNatResManGlossary) **Resource Management** |  |
| *Would the project potentially involve or lead to:* |  |
| 1.1 adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?  *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | NO |
| 1.2 activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | NO |
| 1.3 changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | NO |
| 1.4 risks to endangered species (e.g. reduction, encroachment on habitat)? | NO |
| 1.5 exacerbation of illegal wildlife trade? | NO |
| 1.6 introduction of invasive alien species? | NO |
| 1.7 adverse impacts on soils? | NO |
| 1.8 harvesting of natural forests, plantation development, or reforestation? | NO |
| 1.9 significant agricultural production? | NO |
| 1.10 animal husbandry or harvesting of fish populations or other aquatic species? | NO |
| 1.11 significant extraction, diversion or containment of surface or ground water?  *For example, construction of dams, reservoirs, river basin developments, groundwater extraction* | NO |
| 1.12 handling or utilization of genetically modified organisms/living modified organisms?[[40]](#footnote-41) | NO |
| 1.13 utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[[41]](#footnote-42) | NO |
| 1.14 adverse transboundary or global environmental concerns? | NO |
| **Standard 2: Climate Change and Disaster Risks** |  |
| *Would the project potentially involve or lead to:* |  |
| 2.1 areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions? | NO |
| 2.2 outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters?  *For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes* | NO |
| 2.3 increases in [vulnerability to climate change](#CCVulnerabilityGlossary) impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)?  *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding* | NO |
| 2.4 increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change? | NO |
| **Standard 3: Community Health, Safety and Security** |  |
| *Would the project potentially involve or lead to:* | NO |
| 3.1 construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams) | NO |
| 3.2 air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation? | NO |
| 3.3 harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)? | NO |
| 3.4 risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health? | NO |
| 3.5 transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | NO |
| 3.6 adverse impacts on ecosystems and ecosystem services relevant to communities’ health (e.g. food, surface water purification, natural buffers from flooding)? | NO |
| 3.7 influx of project workers to project areas? | NO |
| 3.8 engagement of security personnel to protect facilities and property or to support project activities? | NO |
| **Standard 4: Cultural Heritage** |  |
| *Would the project potentially involve or lead to:* |  |
| 4.1 activities adjacent to or within a Cultural Heritage site? | NO |
| 4.2 significant excavations, demolitions, movement of earth, flooding or other environmental changes? | NO |
| 4.3 adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect, and conserve Cultural Heritage may also have inadvertent adverse impacts) | NO |
| 4.4 alterations to landscapes and natural features with cultural significance? | NO |
| 4.5 utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes? | NO |
| **Standard 5: Displacement and Resettlement** |  |
| *Would the project potentially involve or lead to:* |  |
| 5.1 temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)? | NO |
| 5.2 economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)? | NO |
| 5.3 risk of forced evictions?[[42]](#footnote-43) | NO |
| 5.4 impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | NO |
| **Standard 6: Indigenous Peoples** |  |
| *Would the project potentially involve or lead to:* |  |
| 6.1 areas where indigenous peoples are present (including project area of influence)? | NO |
| 6.2 activities located on lands and territories claimed by indigenous peoples? | NO |
| 6.3 impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  *If the answer to screening question 6.3 is “yes”, then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk* | NO |
| 6.4 the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | NO |
| 6.5 the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | NO |
| 6.6 forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?  *Consider, and where appropriate ensure, consistency with the answers under Standard 5 above* | NO |
| 6.7 adverse impacts on the development priorities of indigenous peoples as defined by them? | NO |
| 6.8 risks to the physical and cultural survival of indigenous peoples? | NO |
| 6.9 impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?  *Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.* | NO |
| **Standard 7: Labour and Working Conditions** |  |
| *Would the project potentially involve or lead to: (note: applies to project and contractor workers)* | NO |
| 7.1 working conditions that do not meet national labour laws and international commitments? | NO |
| 7.2 working conditions that may deny freedom of association and collective bargaining? | NO |
| 7.3 use of child labour? | NO |
| 7.4 use of forced labour? | NO |
| 7.5 discriminatory working conditions and/or lack of equal opportunity? | NO |
| 7.6 occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle? | NO |
| **Standard 8: Pollution Prevention and Resource Efficiency** |  |
| *Would the project potentially involve or lead to:* | NO |
| 8.1 the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [transboundary impacts](#TransboundaryImpactsGlossary)? | NO |
| 8.2 the generation of waste (both hazardous and non-hazardous)? | NO |
| 8.3 the manufacture, trade, release, and/or use of hazardous materials and/or chemicals? | NO |
| 8.4 the use of chemicals or materials subject to international bans or phase-outs?  *For example, DDT, PCBs and other chemicals listed in international conventions such as the* [Montreal Protocol](http://ozone.unep.org/montreal-protocol-substances-deplete-ozone-layer/32506)*,* [Minamata Convention](http://www.mercuryconvention.org/)*,* [Basel Convention](http://www.basel.int/)*,* [Rotterdam Convention](http://www.pic.int/)*,* [Stockholm Convention](http://chm.pops.int/) | NO |
| 8.5 the application of pesticides that may have a negative effect on the environment or human health? | NO |
| 8.6 significant consumption of raw materials, energy, and/or water? | NO |

**ANNEX III**

**OFFLINE RISK LOG**



|  |  |  |
| --- | --- | --- |
| **Programme Title: Governance and Peace programme** | **Award ID:** | **Date: October 2021** |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **#** | **Description** | **Date Identified** | **Type** | **Impact &**  **Probability** | **Countermeasures / Mngt response** | **Owner** | **Submitted, updated by** | **Last Update** | **Status** |
| 0 | Enter a brief description of the risk  *(In Atlas, use the Description field.* ***Note: This field cannot be modified after first data entry)*** | When was the risk first identified  *(In Atlas, select date. Note: date cannot be modified after initial entry)* | Environmental  Financial  Operational  Organizational  Political  Regulatory  Strategic  Other  Subcategories for each risk type should be consulted to understand each risk type (see Deliverable Description for more information)  *(In Atlas, select from list)* | Describe the potential effect on the Programme if this risk were to occur  Enter probability on a scale from 1 (low) to 5 (high)  P =  Enter impact on a scale from 1 (low) to 5 (high)  I =  *(in Atlas, use the Management Response box. Check “critical” if the impact and probability are high)* | What actions have been taken/will be taken to counter this risk  *(in Atlas, use the Management Response box. This field can be modified at any time. Create separate boxes as necessary using “+”, for instance to record updates at different times)* | Who has been appointed to keep an eye on this risk  *(in Atlas, use the Management Response box)* | Who submitted the risk  *(In Atlas, automatically recorded)* | When was the status of the risk last checked  *(In Atlas, automatically recorded)* | e.g. dead, reducing, increasing, no change  *(in Atlas, use the Management Response box)* |
| 1. | Spike in COVID 19 cases | March 2020 | Environmental  Financial  Operational  Organizational  Political  Regulatory | Delay in programme implementation.  Funding deficit  P = 2  I = 3 | Work with Government to strengthen the COVID -19 response, including through developing a strategy and an implementation plan; funding vaccines purchase; and digitization of health services (data visualizations, telehealth, etc). | Programme team | Programme team |  |  |
| 3. | Slow on boarding of the envisaged programme key stakeholders | June 2021 | Operational  Organizational  Political  Regulatory | Delay in deliverables and outcomes,  Loss of public trust in Programme,  P = 3  I = 5 | Early, continuous engagement with Ggovernment to clearly explain all the interventions and illustrate how they flow from Uganda’s national development plan and complement government’s own efforts in those domains. | Programme team | Programme team |  |  |
| 3. | Delays in government legislation | May 2021 | Operational  Organizational  Political  Strategic | Growing mistrust  Delayed programme progress and thereby hindering progress on envisaged outcomes.  P = 2  I = 5 | On-going top-level engagements with senior government officials  Nurture strong programme alignment with national and regional frameworks and development priorities & 2040 vision. African Peer Review Mechanism  Timely engagement with duty bearers, and targeted influencers | RR/DRR | Programme team |  |  |
| 4. | Regional instability / border insurgency[[43]](#footnote-44) / Karamoja border unrest[[44]](#footnote-45) / kidnapping of foreign tourists (caused by terrorist attacks, ADM in DRC[[45]](#footnote-46) | March 2021 | Operational  Organizational  Political  Strategic | Complex border environment, making the progress of cross border initiatives difficult to implement  P = 2  I = 5 | Maintain diplomatic offices  Strengthen Early warning and response capacities  Mediation and dialogues between key stakeholders in conflict prone areas and regions. | Programme team | Programme team |  |  |
| 5. | Slow up take of digital technology. | March 2021 | Environmental  Financial  Operational  Organizational  Political  Regulatory  Strategic  Other | Delay in programme delivery  P = 3  I = 5 | Focus on reforming the legal framework for e-governance and government control of the internet to create greater space for digitization.  Invest in building ownership and cultural uptake for digitization, population to push for greater digitalization & digital space.  Have contingency plans in case of internet restrictions.  Pilot in targeted sites, learn lessons, and then scale up.  Address potential infrastructure challenges. | Programme team | Programme team |  |  |
| 7 | Economic slow down | June 2021 | Financial  Operational  Organizational  Political  Strategic | Unfunded budget priorities  Revision process across UNDP programmes  Some activities cancelled  or reduced  P = 1  I = 5 | On-going top-level engagements with senior government economists and private sector experts with focus on programme’s contribution to national development priorities and 2040 vision | RR/DRR | Programme team |  |  |

1. **Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment).

HACT Assessment reports for partners to be included

1. Gender Equality Marker: measures how much a Programme invests in gender equality and women’s empowerment.: GEN3 (Gender equality as a principal objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality). [↑](#footnote-ref-2)
2. hosting 1.4 million refugees, mostly from South Sudan (861,600) and the Democratic Republic of Congo (DRC) (397,600) [↑](#footnote-ref-3)
3. Uganda applauds US labelling of ADF as a terrorism org - <https://twitter.com/newvisionwire/status/1370747355998343178> [↑](#footnote-ref-4)
4. The AU also works to implement Agenda 2063 continental frameworks for promoting infrastructure development such as The [Programme for Infrastructure Development in Africa (PIDA)](https://au.int/en/ie/pida) which provides a common framework for African stakeholders to build the infrastructure necessary for more integrated transport, energy, ICT and trans-boundary water networks to boost trade, spark growth and create jobs. <https://au.int/en/infrastructure-energy-development> [↑](#footnote-ref-5)
5. Sustainable Development Goals Knowledge Platform, <https://sustainabledevelopment.un.org> [↑](#footnote-ref-6)
6. State legal aid is currently provided for capital offences [↑](#footnote-ref-7)
7. It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant. [↑](#footnote-ref-8)
8. Optional, if needed [↑](#footnote-ref-9)
9. Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32 [↑](#footnote-ref-10)
10. Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years. [↑](#footnote-ref-11)
11. According to UNDP Rules and Regulations, Direct Project Costs (DPC) are provided mostly by Country Offices (COs) in the implementation of Regular and Other Resource-funded programmes and projects (i.e. costs directly related to the delivery of programmes), and include: (1)Payments, disbursements and other financial transactions; (2)Recruitment of staff, project personnel, and consultants, (3) Procurement of services and equipment, and disposal/sale of equipment (3) Organization of training activities, conferences, and workshops, including fellowships (4)Travel authorizations, visa requests, ticketing, travel arrangements and ICT commons services; and, (5) Shipment, custom clearance, vehicle registration and accreditation. [↑](#footnote-ref-12)
12. To be used where UNDP is the Implementing Partner [↑](#footnote-ref-13)
13. To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner [↑](#footnote-ref-14)
14. The theory of change section, which focuses on equal emphasis on political, social economic governance and the innovative utilization of digitization and e-governance as enablers, is linked directly to how the three focus areas are sought to be operationalized, and thereby to the interventions, activities and outcomes. These are furthered linked in the results framework, the M&E framework, and the budget. [↑](#footnote-ref-15)
15. The three development settings in UNDP’s 2018-2021 Strategic Plan are: a) Eradicate poverty in all its forms and dimensions; b) Accelerate structural transformations for sustainable development; and c) Build resilience to shocks and crises [↑](#footnote-ref-16)
16. The six Signature Solutions of UNDP’s 2018-2021 Strategic Plan are: a) Keeping people out of poverty; b) Strengthen effective, inclusive and accountable governance; c) Enhance national prevention and recovery capacities for resilient societies; d) Promote nature based solutions for a sustainable planet; e) Close the energy gap; and f) Strengthen gender equality and the empowerment of women and girls. [↑](#footnote-ref-17)
17. See the articulation of these on pages 12 to 13 of the CPD. [↑](#footnote-ref-18)
18. See pages 12 to 13 of the CPD. [↑](#footnote-ref-19)
19. The programme clearly identifies groups left behind and privileges them in the programming: women, youth, refugees, etc. [↑](#footnote-ref-20)
20. The entire theory of change was based on the results of previous evaluations of UNDP and other programmes. In particular, the part on digitization and e-governance builds on lessons learnt from UNDP programming in this area within Uganda and globally. [↑](#footnote-ref-21)
21. The only reason this is not rated 3 is because clear additional funding sources have not been indicated and the heightened communication lines not established. Indeed, this programme has a firm section on SSC and TrC, which are criteria for a 3 rating. [↑](#footnote-ref-22)
22. **The entire programme is based on the need for good political and socio-economic governance for rights-positive outcomes to the people of Uganda and beyond. The entire spine of the programme document contains the human rights elements (access to justice; transparent and accountable economic governance-including LED; civic engagement for peace and resilience; the rights of refugees; etc.). The Social and Environmental Screening Report also highlights the gender equity dimensions of the programme.**  [↑](#footnote-ref-23)
23. **From the statement of the Development Challenge, through the interventions and activities and to the results framework, M&E and budget, gender responsiveness has been an integral part of the document. The Social and Environmental Screening Report also highlights the human rights dimensions of the programme.**  [↑](#footnote-ref-24)
24. **The Sustainability Section, the Risk and Mitigation Section, and the M&E Section address these concerns adequately.**  [↑](#footnote-ref-25)
25. **This is contained in the Risk Management Section. See also the Social and Environmental Screening Report attached in the Annexes.**  [↑](#footnote-ref-26)
26. **See the Results Framework Section.**  [↑](#footnote-ref-27)
27. **See the Project Management Section.**  [↑](#footnote-ref-28)
28. **See the sections on Assumptions, and the Social and Environmental Screening Report and Risk Log, both in the Annexes.**  [↑](#footnote-ref-29)
29. **Innovative approaches and the use of technologies for programme delivery are part of the theory of change for this programme.**  [↑](#footnote-ref-30)
30. **See budget section.**  [↑](#footnote-ref-31)
31. **See budget section.**  [↑](#footnote-ref-32)
32. **Target groups, including relevant government officials were fully engaged at various stages in. the preparation of the programme document.**  [↑](#footnote-ref-33)
33. **This is part of the M&E framework in the programme document.** [↑](#footnote-ref-34)
34. **See the Results Framework.** [↑](#footnote-ref-35)
35. **All national partners and stakeholders (who already work with UNDP) have been a part of developing aspects of this programme for over a year.** [↑](#footnote-ref-36)
36. **This is clear from the workplan, activities, results framework, and budget.** [↑](#footnote-ref-37)
37. **See the Programme Management section.** [↑](#footnote-ref-38)
38. **See the Sustainability and Scale up section, the Social and Environmental Scan Report and the SSC and TrC section.**  [↑](#footnote-ref-39)
39. Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people. [↑](#footnote-ref-40)
40. See the [Convention on Biological Diversity](https://www.cbd.int/) and its [Cartagena Protocol on Biosafety](https://bch.cbd.int/protocol). [↑](#footnote-ref-41)
41. See the [Convention on Biological Diversity](https://www.cbd.int/) and its [Nagoya Protocol](https://www.cbd.int/abs/) on access and benefit sharing from use of genetic resources. [↑](#footnote-ref-42)
42. Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights. [↑](#footnote-ref-43)
43. <https://twitter.com/UGIndependent/status/1373902305045663746> [↑](#footnote-ref-44)
44. <https://www.independent.co.ug/updf-to-deploy-3000-troops-in-karamoja/> [↑](#footnote-ref-45)
45. <https://twitter.com/newvisionwire/status/1370747355998343178> [↑](#footnote-ref-46)