



**CITIZEN PARTICIPATION IN  
INCLUSIVE PLANNING, BUDGETING,  
MONITORING AND ACCOUNTABILITY  
AT LOCAL GOVERNMENT LEVELS**

**SENSITIZATION MANUAL**



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It is our sincere hope that this manual help sensitize citizens to participate in the planning and budgeting processes as well as monitor the implementation of government programs in nurturing the national agenda for an inclusive socio-economic transformation.

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# ABBREVIATIONS AND ACRONYMS

ACDO	Assistant Community Development Officer	LRR	Locally Raised Revenue
BFP	Budget Framework Paper	VSLA	Village Savings and Loans Association
BTVET	Business, Technical, Vocational Education and Training	LST	Local Service Tax
CAO	Chief Administrative Officer	M&E	Monitoring and Evaluation
CBO	Community Based Organisation	MEO	Municipal Education Officer
CDO	Community Development Officer	MDAs	Ministry, Departments and Agencies
CEO	Chief Executive Officer	MoES	Ministry of Education and Sports
CG	Central Government	MoFPED	Ministry of Finance, Planning and Economic Development
CNDPF	Comprehensive National Development Planning Framework	MoGLSD	Ministry of Gender, Labour and Social Development
CSOs	Civil Society Organisations	MoH	Ministry of Health
DDP	District Development Plan	MoLG	Ministry of Local Government
DEC	District Executive Committee	MoPS	Ministry of Public Service
DEO	District Education Officer	MoWE	Ministry of Water and Environment
DHO	District Health Officer	MoWT	Ministry of Works and Transport
DINU	Development Initiative for Northern Uganda	NDP	National Development Plan
DP	Development Partner	NGOs	Non-Governmental Organizations
DPA	District Planning Authority	NPA	National Planning Authority
DPTC	District Technical Planning Committee	NUSAF	Northern Uganda Social Action Fund
DPUs	District Planning Units	NWR	Now Wage Recurrent
DTPC	District Technical Planning Committee	PAC	Parliament Accounts Committee
DUCAR	District, Urban and Community Access Roads	PDC	Parish Development Committee
ESPP	Expanding Social Protection Programme	PDM	Parish Development Model
FBOs	Faith-Based Organisations	PHC	Primary Health Care
FY	Financial Year	PIF	Project Interest Form
GoU	Government of Uganda	PNFP	Private Not For Profit
HLG	Higher Local Government	PRDP	Peace Recovery Development Plan
HoDs	Heads of Department	PWD	Person with Disability
IFMS	Integrated Financial Management System	RDC	Resident District Commissioner
IGG	Inspector General of Government	S/C	Sub County
IMR	Infant Mortality Rate	SACCO	Savings and Credit Cooperative Organisation
IPFs	Inductive Planning Figures	SAGE	Social Assistance Grants for Empowerment
KCCA	Kampala Capital City Authority	SCG	Senior Citizens Grant
LC	Local Council	TC	Town Council
LG	Local Government	ToTs	Trainers of Trainers
LGA	Local Governments Act	UBOS	Uganda Bureau of Statistics
LGAC	Local Government Accounts Committee	UGX	Uganda Shillings
LGDP	Local Government Development Plan	UPE	Universal Primary Education
LGFARs	Local Government Finance and Accounting Regulations	UPOLET	Universal Post O' Level Education & Training
LGFC	Local Government Finance Commission	UWEP	Uganda Women Entrepreneurship Programme
LGHT	Local Government Hotel Tax	VFSG	Vulnerable Family Support Grant
LLG	Lower Local Government	WEF	Women Enterprise Fund
LLHFs	Lower Level Health Facilities	YLP	Youth Livelihood Programme



# INTRODUCTION

## About the Manual

ACODE with support from the Hewlett Foundation, developed this manual for sensitization of citizens for inclusion in the budget process. This manual will empower citizens to participate effectively in the local government budget processes, tracking budgets and monitoring service delivery programmes and demanding accountability from the leaders and service providers in their localities.

The overarching objective of this manual is to facilitate and empower communities to participate, monitor and track budgets and government programmes and demand for accountability in their localities.

Under Uganda's decentralized system, local governments are at the frontline of implementing economic empowerment and social protection programmes. However, accountability at Local Government level remains weak with serious implications for efficacy of government programmes. Weak accountability at local government level is underpinned by among others limited access to information by accountability institutions and low capacity to interpret information and exercise their authority. Recent work under ACODE's Local Government Councils' Score Card Initiative (LGCSCI) revealed that most statutory bodies that are supposed to support Local Government Councils in exercising their oversight role have neither been oriented on their functions nor trained and funded as required. Their performance too is rarely evaluated save for Local Councils in 35 districts which are assessed under ACODE's Scorecard Initiative.

Orienting and training accountability institutions at Local Government (LG) level on inclusion and equity is important for ensuring that economic empowerment and social protection programmes are inclusive. There is, therefore, need to develop tools for inclusive planning and monitoring for accountability institutions while mobilizing the citizens, especially women and the youth to participate in planning and demand for accountability.

## Target Users of the Manual

This manual is intended to foster citizens inclusion in the planning and budget processes at local government levels. It documents planning and budget processes at local government levels and ways through which citizens especially interest groups such a women, girls, youth, people with disability (PWDs) and the elderly among others may be involved in planning, budgeting, and monitoring budgets and service delivery in their communities.

This is premised on the understanding that citizens can participate effectively when they know the issues they are dealing with and understand their roles and those of other stakeholders. Citizens need to be conversant with the budget and key government programmes; know when and who to engage; how to monitor the budget implementation and service delivery; and how to advocate for positive change in their community. All these aspects are ably provided in this manual. This manual can be used by any citizen with basic understanding of English.

## How to Use the Manual

This section guides you through the content plan and structure of each chapter to ensure that you get the best out of the manual by achieving all the respective chapter competences.

Category	Description
Broad purpose of this chapter	This is the general/overall goal of a given session.
Competency	This is a summary of all the learning outcomes. This is what you as the participant/trainee is expected to do efficiently by the end of a given session. At the end of the chapter, assess if you have achieved a given chapter's competency.
Learning Outcomes	You are expected to be well acquainted with what the session will comprise. The learning outcomes therefore (what some used to refer to as objectives), are the building blocks that make up the competency of a given chapter. They break down the areas that should be explored for the competency to be achieved. Study the learning outcomes and be keen to ensure that you have achieved each of the outcomes as you progress through the chapter.
Keywords, Issues and Themes	These are the major words and terms around which a given chapter revolves. They form the backbone of most the content, activities and discussions in the chapter. Mastery of the chapter's keywords, issues and themes will go a long way to aid you to achieve the competency of the chapter.
Crosscutting Issues	There are several crosscutting issues such as gender, women and youth, PWDs, environmental awareness, climate change, patriotism, etc. Such contemporary issues cannot be confined to one given chapter, and it is imperative that you explore and understand the connections between the chapter topic and other crosscutting issues.
End of Chapter Self-Assessment	This is a guided engagement that tasks you to individually assess your progress/achievement for each learning outcome on a YES/NO basis. If your response for a given learning outcome is NO, try to revisit the section and consult your facilitator or colleagues for guidance/help.

## Structure of the Manual

This manual is organized in a logical sequence with chapters progressing organically from simple to complex. Chapter One discusses citizen participation in the inclusive Local Government planning and budget process. Chapter Two presents the legal, policy and institutional frameworks for citizen participation in the planning and budget process. Chapter Three presents key government programmes at the local levels. Chapter Four discusses budget and service delivery monitoring and accountability. Chapter Five discusses inclusive budget advocacy.

## CHAPTER ONE

# PARTICIPATION IN THE INCLUSIVE LOCAL GOVERNMENT PLANNING AND BUDGET PROCESS

**Broad purpose of this chapter**

To build a deeper understanding of the LG planning and budgeting process and how citizens can effectively participate and influence the processes

**Competency**

In this chapter, you will gain a deeper understanding of the LG planning and budgeting processes and explore ways through which you can effectively participate and influence the processes

**Learning outcomes**

By the end of this chapter, you will be able to:

- Explain the LG planning and budget process
- Explain what inclusive planning and budgeting entails
- Explore opportunities that enable citizens to participate in the planning and budgeting processes
- Explore ways through which citizens can participate in LG planning and budgeting processes

**Keywords, issues and themes**

- Planning and budgeting
- Inclusive planning and budgeting
- Opportunities and challenges of citizen participation
- Participatory planning and budgeting

**Crosscutting Issues**

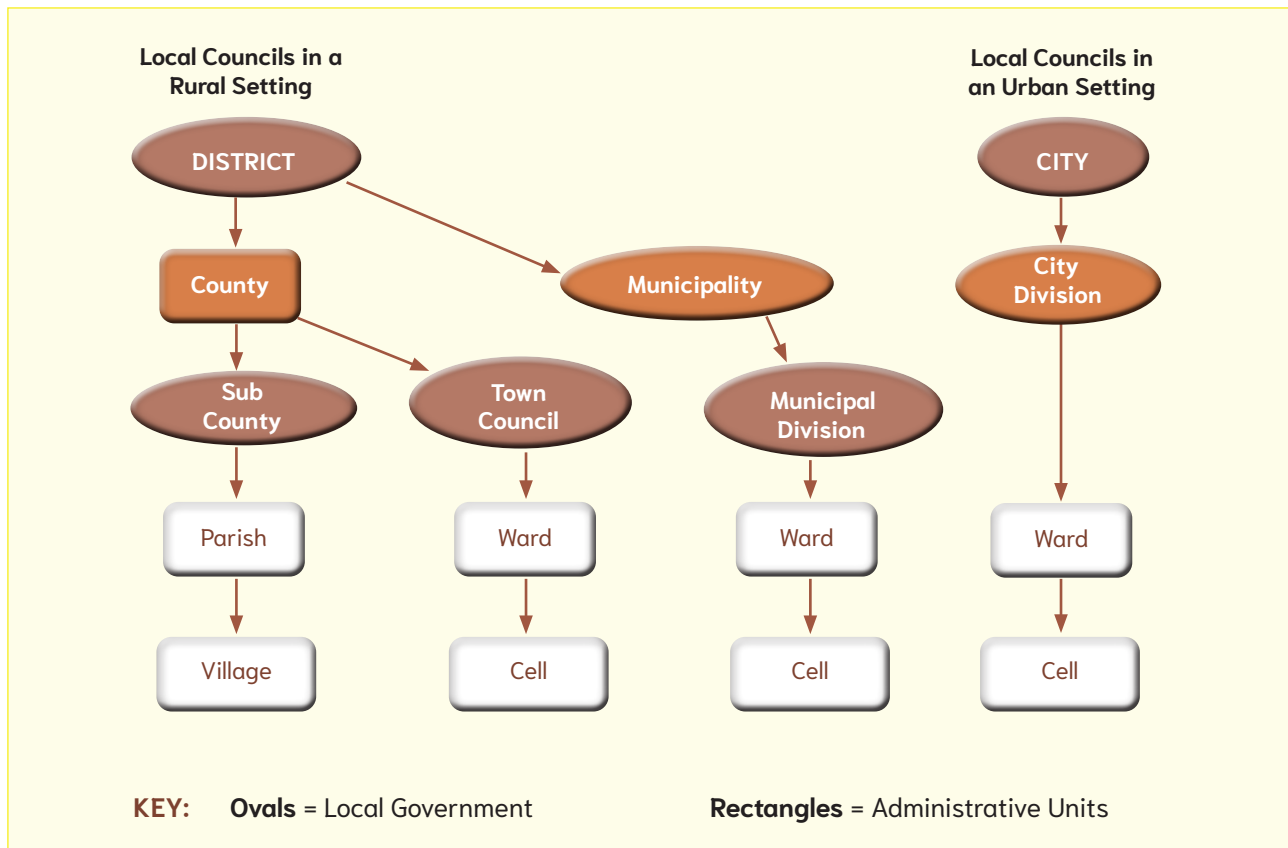
- Gender, Women, Youth, Elderly, PWDs

## 1.1 Uganda's Local Government Structure<sup>1</sup>

As shown in Figure 1.1, Uganda's local government system is made of a five-tier pyramidal structure of local councils (LCs). These local councils are classified as rural councils or urban councils. In rural areas, the five-tier system consists of: the Village (LC1), Parish (LC2), Sub-county (LC3), County (LC4), and District (LC5). In urban areas, it consists of: the Village (LC1), Ward or Parish (LC2), Municipal Division, and City Division (LC3), Municipality (LC4), and City (LC5).

Peri-urban structures consist of Town Councils (equivalent to sub counties) in a purely rural setting and Town boards which are classified rural-emerging trading centres. The legislation classifies a village, a parish/ward and a county as administrative units which exist for purposes of aiding administration of local governments through provision of advice on matters pertaining to the respective administrative unit level and monitoring delivery of services in the area of jurisdiction among other roles.

**Figure 1.1** Structure of Local Government System in Uganda



<sup>1</sup> Adapted from: Kyohairwe Stella (2014), Local democracy and public accountability in Uganda: The need for organizational learning. Commonwealth Journal of Local Governance Issue 15: June 2014

## 1.2 Why Citizen Participation in Planning and Budgeting?<sup>2</sup>

Citizen participation in planning and budgeting represents the idea that citizens can help themselves; that they can articulate their own needs and find the solutions to address them; that they can be active participants rather than mere recipients of government services; that development works better for them if done “bottom-up” rather than “top-down”. Citizen participation suggests that citizens can govern themselves by influencing decision-making processes that affect their lives, their livelihoods, their communities, their environment and their societies.

Citizen participation creates mechanisms where citizens can engage governments for the benefit of the larger population that is often excluded such as people with disabilities, the elderly, vulnerable children, among others. Local Governments need to effectively manage the limited public resources to respond to citizens’ priorities. This can only happen if citizens are part and parcel of planning for these resources.

Citizen participation enables citizens to exact accountability—directly—from public officials to make government more responsive, efficient, and effective. In order to make local governments answerable for their actions, citizens have to take the lead. However, citizens need to be equipped with the relevant information; claim the spaces for participation; feel confident to ask hard questions and demand for corrective actions to be taken. Furthermore, beyond involving citizens in making decisions and exacting accountability, local governments have the responsibility to create opportunities for citizens to continuously engage with them in an inclusionary and participatory manner.

## 1.3 Understanding the LG planning Process

Local governments are mandated under Article 190 of the Constitution of the Republic of Uganda and Local Governments Act (LGA), under Section 35, to prepare a comprehensive and integrated Development Plan incorporating plan of the Lower Local Governments (LLGs). The same section also obliges LLGs to prepare development plans incorporating plans of lower local councils in their respective areas of jurisdiction. Legally, LG Development (LGDP) planning is at two levels: Higher Local Government (HLG) level (District or City Council), and Municipal and LLG level (Municipality, Sub County or Town Council). Thus, development plans are produced at the District, City, Municipal, Town Council, Division and Sub-county levels. The LGDP cycle is a five-year horizon that corresponds with the National Development Planning cycle.<sup>3</sup>

### 1.3.1 Steps of the LGDP Formulation Process

The District Development Plan (DDP) should be developed in a participatory manner, integrating the LLG concerns and other development partners in the district. The LG planning cycle allows the LLGs (Sub-county and Parish) to incorporate the plans of the parishes/wards as well as the plans of the LLG being integrated into those of the districts/municipalities. The LGDP planning cycle should adequately inform the annual budgeting process in local governments. The planning steps and specific timelines followed by LLGs during plan formulation are presented in Annex 1.

### 1.3.2 Stakeholders in the LGDP Process

The primary stakeholders in the LG planning process are the institutions, agencies and individuals comprising HLGs and LLGs. Effective LG planning calls for participation of lower local councils, community institutions, non-governmental organisations, and the private sector so that planning is made more relevant by addressing the real development needs and challenges faced by the people.<sup>4</sup>

<sup>2</sup> Adapted from: Lukwago Daniel (2009), Regenerating Local Governance through Community Participation in Planning

<sup>3</sup> Adapted from: NPA (2014), The Local Government Development Planning Guidelines

<sup>4</sup> ibid



The summary of the main stakeholders involved in the LLG Development Planning process and their roles and responsibilities are presented in Annex 2.

At the Parish level, the structures that play major roles in the planning include; the parish/ward Council, the parish/ward Executive Committee; and the parish/ward Development Committee. Box 1 shows the main LGDP planning tasks that will be handled at the parish/ward level. The roles and responsibilities of each of the parish/ward level planning structures are summarized in Annex 3.

### **Box 1: LGDP Planning Tasks at Parish/Ward Level**

- ▶ Participating in popularizing the national vision, national strategic direction, and relevant crosscutting issues.
- ▶ Analyzing the potentials, opportunities, challenges, and general development constraints faced by the parish/ward.
- ▶ Holding parish/ward planning meetings to discuss parish development situations attended by parish/ward council members, Development Committee members, representatives of community groups, religious organisations, government service institutions, private sector organisations, NGOs working in the area, etc.
- ▶ Receiving and debating aspirations from the community levels and synthesize them into a single list of development issues for submission to LLGs and division for consideration.
- ▶ Ensuring timely compliance to the LGDP planning processes by all stakeholders in the parish/ward.
- ▶ Mobilizing people to in the planning process and implementation of LGDP activities.
- ▶ Monitoring LGDP activities' progress.

Source: NPA (2014), The Local Government Development Planning Guidelines

In addition, NGOs/CBOs, Faith Based Organisations (FBO) and the private sector play key roles which are indicated in **Box 2**.

### **Box 2: Planning Roles and Responsibilities for CSOs/NGOs, CBOs, FBOs & Private Sector**

- ▶ Participating in planning and budgeting meetings of Local Councils within their area of operation;
- ▶ Bringing in their expertise to facilitate Local Council planning processes;
- ▶ Contributing funds/logistics towards the Local Council planning and budgeting process where possible;
- ▶ Making available their plans and budgets for integration into the Local Council plans and budgets;
- ▶ Providing information about their on-going and planned interventions for integration in the LG development plans;
- ▶ Participating in the planning and implementation of LGDP activities;
- ▶ Contributing funding towards the implementation of LGDP.

Source: NPA (2014), The Local Government Development Planning Guidelines

## 1.4 Understanding the LG Budget process

### 1.4.1 Understanding of Budgets

A budget is a statement of expected income and expenditure of local government over a specified period of time, usually July–June every year. The budget outlines how LG programmes will be implemented during the financial year. The budget provides information about the priorities of a LG and its commitment to improve the lives of its people.



A budget has two components: **revenue** and **expenditure**.

- a **Revenue** includes information on the amount of money the LG will collect from various sources. These include:
  - i **Local revenues.** Section 77 (1) of the LG Act 1997 (Ch 243) empowers local governments to formulate, approve and execute their budgets and plans and to collect revenue and spend it. Local revenue is generated from tax and non-tax revenues such as property tax, market dues, and licenses. However, most local governments face serious problems in raising local revenues to support their development needs. This is mainly due very limited economic opportunities, and narrow tax bases.
  - ii **Central government transfers.** Transfers from the Central Government constitute the majority of the LG revenues. Under articles 176(2) (e) and 193(1) of the Constitution of the Republic of Uganda, 1995, the Central Government is required to provide funding to Local Governments in form of discretionary/unconditional, conditional and equalization grants (Article 193(2–4) of the Constitution). The *Box 3* provides definition of each type of grants and Table 1.1, the types of grants from the Central Government to LGs.
  - iii **External Financing:** Financial Donations (whether from local or international donors), also constitute LG revenue.

**Figure 1.2** Components of the Budget



### Box 3: Types of Central Government Grants to Local Governments

- ▶ Discretionary/unconditional grant is the minimum grant that shall be paid to local Governments to run decentralized services and shall be calculated in the manner specified in the Seventh Schedule to this Constitution.
- ▶ Conditional grant shall consist of monies given to local governments to finance programmes agreed upon between the Government and the local governments and shall be expended only for the purposes for which it was made and in accordance with the conditions agreed upon.
- ▶ Equalisation grant is the money to be paid to local governments for giving subsidies or making special provisions for the least developed districts and shall be based on the degree to which a local government unit is lagging the national average standard for a particular service.

**Table 1.1** Types of Central Government Grants to LGs

Programmes	CG Grants
Agro-Industrialization	<ul style="list-style-type: none"> <li>▶ Production and Marketing – Wage Conditional Grant</li> <li>▶ Agricultural Extension – Non-Wage Recurrent</li> <li>▶ Production – Non-Wage Recurrent</li> <li>▶ Parish model Grant</li> <li>▶ Production – Dev't</li> <li>▶ Agriculture Extension – Dev't</li> <li>▶ Micro scale Irrigation (pilot and rollout) – Dev't</li> <li>▶ Transitional Dev't – (Ad Hoc)</li> </ul>
Human Capital Development	<ul style="list-style-type: none"> <li>▶ Health – Wage Conditional Grant</li> <li>▶ PHC – Non-Wage Recurrent (Gov't)</li> <li>▶ PHC – Non-Wage Recurrent (PNFP)</li> <li>▶ PHC – Hospital Non-Wage Recurrent (Gov't)</li> <li>▶ PHC – Hospital Non -Wage Recurrent (PNFP)</li> <li>▶ PHC – DHO allocation</li> <li>▶ Health Development – Facility upgrades</li> <li>▶ Health Development – Formula and performance part</li> <li>▶ Transitional Development – Health (Ad Hoc)</li> <li>▶ Primary Education -Wage</li> <li>▶ Secondary Education – Wage</li> <li>▶ Skills Development -Wage</li> <li>▶ Primary Education – Non-Wage Recurrent</li> <li>▶ Secondary Education – Non-Wage Recurrent</li> <li>▶ Skills Development – Non-Wage Recurrent</li> <li>▶ SNE Education – Non-Wage Recurrent</li> <li>▶ Education Dev't – UGIFT Seed Secondary Schools</li> <li>▶ Education Dev't – Formerly SFG</li> <li>▶ Transitional Dev't – Education (Ad Hoc)</li> </ul>
Public Sector Transformation	<ul style="list-style-type: none"> <li>▶ Public Sector Management – Support Services Grant</li> <li>▶ Pension</li> <li>▶ Pension and Gratuity Arrears</li> <li>▶ Gratuity</li> <li>▶ Salary Arrears</li> <li>▶ Transitional Development – PSM (Ad Hoc)</li> </ul>



Programmes	CG Grants
Natural Resource, Environment, Climate Change, Land and Water Management	<ul style="list-style-type: none"> <li>⦿ Support Services Grant – Urban Water</li> <li>⦿ Rural Water &amp; Sanitation – Non-Wage Recurrent</li> <li>⦿ Natural Resources &amp; Environment – Non-Wage Recurrent</li> <li>⦿ Transitional Dev't Grant – Sanitation (Water &amp; Environment)</li> <li>⦿ Transitional Dev't – Water (Ad Hoc)</li> <li>⦿ Piped Water Subgrant</li> <li>⦿ Rural Water &amp; Sanitation Subgrant</li> </ul>
Private Sector Dev't	<ul style="list-style-type: none"> <li>⦿ Trade and Industry –Non-Wage Conditional Grant</li> </ul>
Community Mobilization and Mindset Change	<ul style="list-style-type: none"> <li>⦿ Social Dev't –Non –Wage Recurrent</li> </ul>
Integrated Transport Infrastructure Services	<ul style="list-style-type: none"> <li>⦿ Works &amp; Transport – Dev't Conditional Grant (RTI)</li> <li>⦿ Transitional Dev't – Works (Ad Hoc)</li> </ul>
Multi Programme	<ul style="list-style-type: none"> <li>⦿ Urban Unconditional Grants (o/w Municipal UCG – Wage &amp; Town UCG – Wage)</li> <li>⦿ Urban Unconditional Grant – Wage (o/w Urban UCG – NWR Municipality, Urban UCG – NWR Town, IFMIS Urban, Boards Urban, Ex Gratia Urban, Payroll Printing Municipalities, Urban UCG – NWR Division, Honoraria for Municipal LLG Councillors, Pbs Recurrent Costs Municipality, monitoring UGIFT Programme – urban, City service commission)</li> <li>⦿ Urban Discretionary Development Equalisation Grant [o/w Municipal DDEG (USMID), Municipal DDEG (non USMID), Town DDEG, Division DDEG (Non USMID), Division DDEG (USMID)]</li> <li>⦿ District Unconditional Grant – Wage</li> <li>⦿ District Unconditional Grant – Non-Wage Recurrent (District UCG – NWR District, District UCG – NWR Subcounty, IPPS District, IFMIS District, Boards District, Ex-Gratia District, Payroll Printing District, Honoraria for District LLG Councillors, PBS Recurrent Costs District, Monitoring UGIFT Programme District, District Service Commission)</li> <li>⦿ District Discretionary Development Equalisation Grant (o/w Rural DDEG – LG Grant, District DDEG – LG Grant, Subcounty DDEG – LG Grant, USMID Refugee Hosting Districts)</li> </ul>

Source: MoFPED (Approved Estimates of Revenue and Expenditure (Recurrent and Development))

**b Expenditure** includes information on the programmes and activities the LG will spend money on. These are usually categorized under programmes (formerly sectors), which include: Agro-Industrialization; Community Mobilization And Mindset Change; Development Plan Implementation; Governance and Security; Human Capital Development; Integrated Transport Infrastructure and Services; Manufacturing; Natural Resources, Environment, Climate Change, Land and Water; Private Sector Development; Public Sector Transformation; Sustainable Urbanisation and Housing; and Tourism Development. At LG levels, the biggest proportion of the budget is spent on Human Capital Development especially on Education and Health.

**Expenditure can be categorized by recurrent and development.**

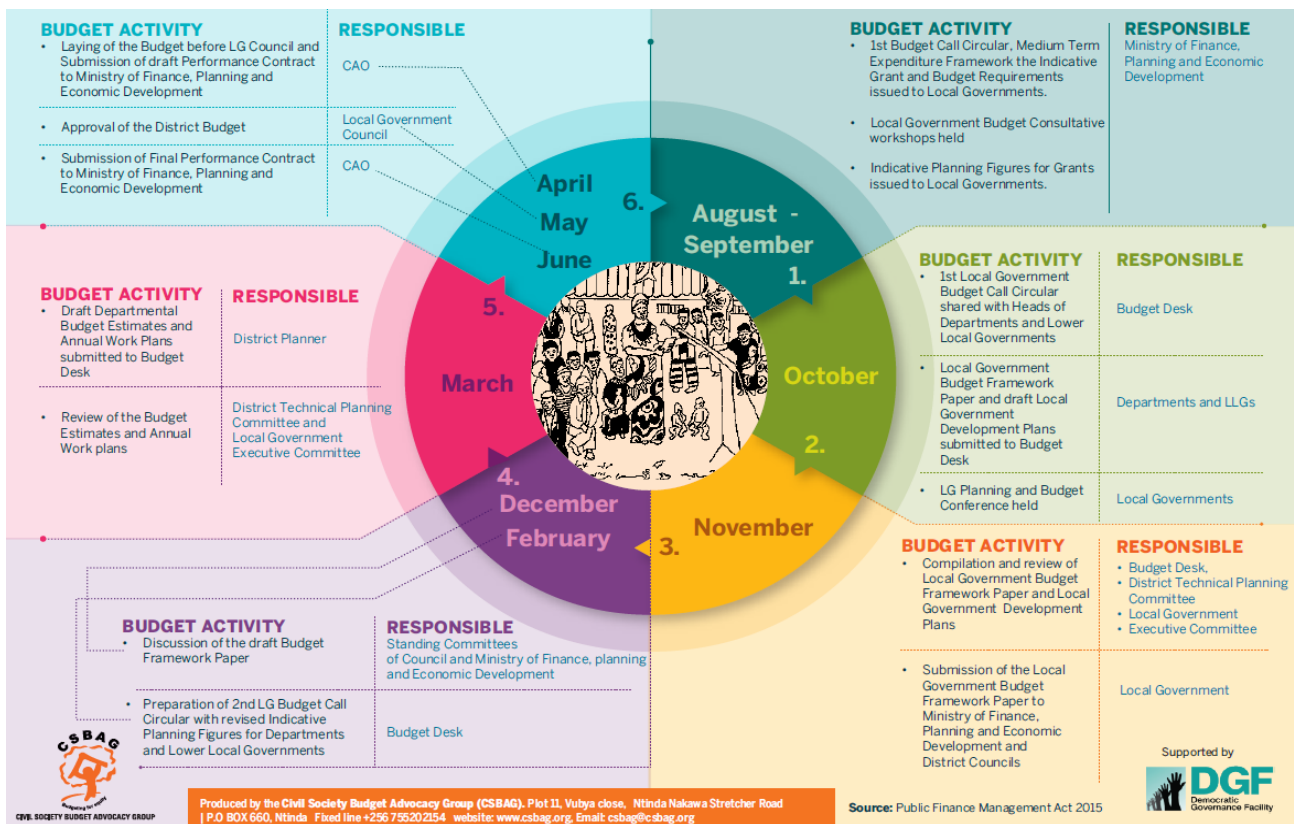
- i Recurrent expenditure:** This includes spending that occurs on a daily basis or within a financial year such as salaries, wage, allowance, travel, training, stationary etc. Most of the LG spending falls in this category.
- ii Development expenditure:** This includes spending on long-term investments geared at creation of wealth or additional services to the local economy, such buildings, roads, bridges, water sources etc.

## 1.4.2 Local Government Budget Calendar

Budgeting is a continuous process. The process starts with the preparation of the budget, which in this case is limited to the selection of projects and activities that will be implemented with the given amount of resources. After a budget is prepared, it must be debated and approved by the LC council (sub-county or district). After the budget is approved, LGs have to spend according to the approved budget. The budget is then audited by the Office of the Auditor General. The process is illustrated in Figure 1.3.

The process of budgeting starts in September until June when the budget is read and approved by the district council. The Public Finance Management Act (2015), as amended, requires that LGs pass a budget not later than the 31st May. The budget process should involve consultations with various stakeholders including NGOs, councillors, private sector and citizens. Table 1.2 shows the key activities and dates that citizens can participate in. Annex 4 provides details of the LG budget process.

**Figure 1.3** Local Government Budget Process



Source: CSBAG

**Table 1.2** Key Activities and Dates of the LG budget Process

Activity	Month	Responsibility
Regional Consultative Budget Workshops with local governments, discussing <ul style="list-style-type: none"> <li>● Draft Grant and Budget Requirements and</li> <li>● LG Planning and Budgeting Guidelines</li> </ul>	Sept	MoFPED
LG Planning and Budget Conference to discuss <ul style="list-style-type: none"> <li>● LLG and Department Annual Workplans for the forthcoming budget</li> <li>● Identification of investments for inclusion in LG DPs</li> </ul>	Oct	Budget Desk (District Planner, CFO, HoDs)
Review of the draft LG BFP and LG DPs by the Technical Planning Committee and the LG Executive Committee	Nov	DPTC, DEC
Approval by LG Executive Committee and Submission of the LG BFP to the MoFPED and Council	Nov	DEC, CAO
Discussion of the draft BFP by the Standing Committees of Council	Dec	DEC (Standing Committees)
Review of the Budget Estimates and Annual Work plans by the Technical Planning Committee and the LG Executive Committee	Mar	DPTC, DEC
Laying of the Budget before LG Council and Submission of draft Performance Contract to MoFPED	Apr	DEC
Approval of the Budget by LG Council	31 May	DEC (Chairperson)

Source: MoFPED (2015), Budget Preparation Guidelines for Local Governments

## 1.5 Understanding Inclusive Planning and Budgeting

Inclusive planning and budgeting processes involve engaging with a range of stakeholders, including government officials, civil society organizations, community leaders, and interest groups, such as women, youth, and people with disabilities. The aim is to ensure that the needs and priorities of all segments of society are considered when making decisions about resource allocation and policy development.

Among the approaches to inclusive planning and budgeting is participatory planning and budgeting and gender-responsive budgeting. These are discussed below:

### 1.5.1 Participatory Planning and Budgeting

Participatory planning and budgeting involve the participation of citizens in the decision-making processes related to development planning and budget allocation. The Local Government Act obliges the local government planning process to be a participatory involving local administrative units, CSOs, private sector organisations and community members. A participatory process mainly involves: appraisal, needs identification, planning, implementation and evaluation. Participatory approaches help local government to identify a common agenda for development by a local community.

Involvement of all stakeholders especially women, youth, PWDs, and elderly in decision making is seen as a key to success of the planning and budgeting. Women, youth and PWDs have to be treated as equal partners in decision making and implementation rather than only as beneficiaries. For this to be effective there may be need for capacity building not only of elected representatives but also of members of community-based organisations (CBOs) and self-help groups in order to ensure their active involvement in planning.

### Guiding Principles for Participatory Planning<sup>5</sup>

Participatory planning at Sub County should:

- a** Consider and incorporate the results of the participatory planning process in parishes that includes the interest groups especially women, youth, PWDs, and elderly.
- b** Involve a wide range of stakeholders in the planning process including technical staff, elected leaders, CBOs, community members, the private sector etc.
- c** Promote mutual accountability between the citizens, elected and appointed LG officials.
- d** Set realistic targets in terms of addressing the challenges and in line with existing resources (human, time, material, and financial).
- e** Be a continuous process but not a one-off exercise, hence the concept of the “five-year rolling” development plans
- f** Include holistic targets incorporating all sectors and plans of NGOs/CBOs in the sub-count, hence the concept of “integrated and comprehensive” development plan. It should also integrate cross-cutting issues, such as gender, HIV/AIDS, and environment.
- g** Be in harmony with planning processes and activities at the district.
- h** Build more on the vision, strength and opportunities than needs to address the community obstacles and challenges.

### 1.5.2 Gender-responsive Budgeting

**Gender** is the culturally and socially constructed roles, responsibilities, privileges, relations and expectations of women and men, boys and girls. Because these are socially constructed, they can change over time and differ from one place to another. On the other hand, **Sex** is the biological make-up of male and female people. It is what we are born with, and does not change over time, nor differs from place to place.

**Gender Responsive Planning** refers to the process of planning developmental programmes and projects which are gender sensitive and which take into account the impact of differing gender roles and gender needs of both women and men.

**Gender Responsive Budgeting** is the process of addressing gender concerns in the budget. A gender-responsive budget is a budget that acknowledges the gender patterns in society and allocates money to implement policies and programmes that will change these patterns in a way that moves towards a more gender equal society. Gender-responsive budgeting is one of the ways by which governments demonstrate their commitment to gender equality by making suitable allocations in the budgets to bridge the gender gap<sup>6</sup>. Gender budgeting serves varied purposes, which include, among others:

- ① identifying the felt needs of women and re-prioritising and/or increasing expenditure to meet these needs;
- ② supporting gender mainstreaming in planning processes;
- ③ strengthening community/civil society participation in planning and budgeting processes;
- ④ tracking public expenditure against gender and development policy commitments;

Local Governments need to think about gender when planning and budgeting. They need to have a vision of the type of roles, responsibilities, and relationships that they want to see for women and men, girls and boys, and design, fund and implement policies and programmes to move towards this goal.

Why does Gender Budgeting focus on Women?

<sup>5</sup> Adapted from: MoLG (2004), Harmonized Participatory Planning Guide for Lower Local Governments

<sup>6</sup> Adapted from: Nisha Velappan Nair and John S. Moolakkattu (2018), Gender-Responsive Budgeting: The Case of a Rural Local Body in Kerala



### Gender Budgeting tends to focus on women because:

- ④ nearly two thirds of the illiterate people in Uganda are women;
- ④ maternal mortality continues to be a leading cause of death for women of reproductive age;
- ④ women are under-represented in decision-making in both government and business sectors, especially at senior levels;
- ④ women's 'economic' work continues to be very different in nature from men's. Women are engaged in less formal, lower status types of work and continue to receive less pay than men for the same work; and
- ④ women also continue to do most of the unpaid work of bearing, rearing and caring for children and other citizens.

## 1.6 Opportunities and Challenges of Citizen Participation in LG Planning and Budgeting Processes

There are a number of opportunities and challenges for citizens especially girls, women, youth, PWDs and the elderly to participate in the planning and budgeting processes. These which are discussed below:

### 1.6.1 Opportunities

- ④ The existing policy, legal and institutional frameworks (see section 2) supports citizen participation in planning and budgeting.
- ④ Existence of government structures such as Parish Development Committees (PDCs) and Local Councils (Sub-county and District) which are mandated to support citizen participation.
- ④ Existence of service user committees such as school and health unit management committees, etc which can be used an to participate in planning and budgeting meetings.
- ④ Existence of community associations like women's groups, youth groups, farmers associations which can be used as platforms to participate in planning and budgeting meetings.
- ④ Affirmative government programmes such as PDM, Youth Livelihood Programme; Uganda Women Entrepreneur programme which require the involvement of committees.
- ④ ICT. Social media platforms are largely used by many young people. For instance, there are over 20 million internet users in Uganda, a majority of whom are youth on Whatsapp, Twitter, TikTok and Facebook. Many decision makers can easily be reached without spending a lot of funds.

### 1.6.2 Challenges

- ④ Ineffective LLG structures to facilitate effective community participation. Most of the PDCs and the LCs are weak, disoriented and demotivated to carry out meaningful consultations with communities.
- ④ Citizens can influence the LG budget during budget conferences. However, most of the budget conferences are normally 'hijacked' and dominated by politicians and technocrats. The process is done in a rush ("it is a mere presentation of papers") with limited dialogue among the participants. There is even no feedback to participants and follow-up on the outcomes of the conferences.
- ④ Lack of knowledge. Most citizens do not know about the planning process and the relevance of their participation.
- ④ Lack of action by leaders. Community members have lost the motivation to participate since year after year, their priorities are not implemented.
- ④ Lack of information. Most citizens lack information and guidance on how to participate in planning and budget processes.

- ⦿ Inadequate feedback mechanisms to communities. While the planning guidelines provide for a feedback session to inform communities on the outcomes of the planning process, most LGs do not have clear feedback mechanisms.
- ⦿ High levels of illiteracy. Most citizens especially women, PWDs and the elderly are illiterate; can't read and write English, yet many most plans and budget documents are in English. This makes it hard for them to effectively engage in the planning and budget process.

## 1.7 How Citizen can participate in LG Planning and Budgeting Processes

**Citizens can participate in LG planning and budgeting processes by:**

- ⦿ Educating themselves about the planning and budgeting process in their area.
- ⦿ Attending meetings on planning and budgeting and to discuss other development activities that affect their community.
- ⦿ Making sure that community associations like women's groups, youth groups, farmers associations attend the meetings that deal with programmes relating to the welfare of your community such as Parish Development Model; Emyooga, etc.
- ⦿ Monitoring the implementation of government programmes in their areas.
- ⦿ Demanding their elected representative/s to report to them on how money is spent. If, for example, they tell them that they will construct two new classrooms at their local school, make sure that they construct them. Otherwise demand for explanation.
- ⦿ Reporting any suspected misuse of money to the police, and higher authority such as the CAO, the IGG's office at their district, the RDC, to their religious leaders.
- ⦿ Creating a critical mass working together through community mobilisation.
- ⦿ Electing leaders whom they believe have integrity and hold them accountable.
- ⦿ Paying taxes and demanding quality services.



### End of Chapter Self-Assessment

After this Chapter, I can:		Yes	No
a	Explain the LG planning and budget process		
b	Explain what inclusive planning and budgeting entails		
c	Explore opportunities to enable citizen participate in the planning and budgeting processes		
d	Explore ways through which citizens can participate in LG planning and budgeting processes		



## CHAPTER TWO

# LEGAL, POLICY AND INSTITUTIONAL FRAMEWORKS FOR CITIZEN PARTICIPATION



### Broad purpose of this chapter

To build your deeper understanding of legal, policy and institutional frameworks for citizen participation in planning and budgeting in Uganda

### Competency

In this chapter, you will build a deeper understanding of legal, policy and institutional frameworks which enables citizens to participate in the LG planning and budget processes

### Learning outcomes

By the end of this chapter, you will be able to:

- 🕒 Explain the current legal, a policy frameworks for citizen participation in planning and budgeting in Uganda.
- 🕒 Explain the institutions that enable citizen participation in planning and budgeting in Uganda.

### Keywords, issues and themes

- 🕒 Legal provisions that support citizen participation
- 🕒 Policy frameworks that support citizen participation
- 🕒 Institutions that support citizen participation.

### Crosscutting Issues

- 🕒 Gender, Women, Youth, Elderly, PWDs

## 2.1 Legal Provisions that Support Citizen Participation

These are contained in the following laws:

### 2.1.1 Republic of Uganda Constitution (1995, as amended)

#### **Article II. Democratic principles**

Sub-section (i) and (ii) state that the state shall be based on democratic principles which empower and encourage the active participation of all citizens at all levels in their own governance; and that the state shall be guided by the principle of decentralization and devolution of governmental functions and powers to the people at appropriate levels where they can best manage and direct their own affairs.

**Article X.** State that the state shall take all necessary steps to involve the people in the formulation and implementation of development plans and programmes which affect them.

Article 38. Civic rights and activities.

Sub-section (1) (2), state that every Uganda citizen has the right to participate in the affairs of government, individually or through his or her representatives in accordance with law; and that every Ugandan has a right to participate in peaceful activities to influence the policies of government through civic organisations.

#### **Article 41. Right of access to information**

Sub-section (1) state that every citizen has a right of access to information in the possession of the State or any other organ or agency of the State except where the release of the information is likely to prejudice ('harm or injure') the security or sovereignty of the State or interfere with the right to the privacy of any other person.

#### **Article 176. Local government system.**

Sub-section (2)(b) state that decentralisation shall be applied at all levels of local government and, in particular, from higher to lower local government units to ensure peoples' participation and democratic control in decision making.

**Article 190.** State that District councils shall prepare comprehensive and integrated development plans incorporating the plans of lower-level local governments for submission to the National Planning Authority.

### 2.1.2 Public Finance Management Act (2015, as amended)

Section 9 (1) and (6) state that each Accounting Officer shall, in consultation with the relevant stakeholders ('including citizens'), prepare a Budget Framework Paper for the vote ('agency, local government'), taking into consideration balanced development, gender and equity responsiveness and shall submit the Budget Framework Paper to the Minister of Finance, Planning and Economic Development; and the Minister of Finance, Planning and Economic Development shall, in consultation with the Equal Opportunities Commission, issue a certificate – (a) certifying that the budget framework paper is gender and equity responsive; and (b) specifying measures taken to equalize opportunities for women, men, persons with disabilities and other interest groups. The section emphasises the need for inclusive budgeting.

Section 13 (2) and (15) state that the proposed annual budget shall be prepared in consultation with the relevant stakeholders ('including citizens'); and the 'ministerial' policy statement shall contain, a certificate issued by the Minister responsible for Finance in consultation with the Equal Opportunities



Commission; (i) certifying that the policy statement is gender and equity responsive; and (ii) specifying measures taken to equalise opportunities for men, women, persons with disabilities and other marginalised groups. The section emphasises the need for inclusive budgeting.

### 2.1.3 Local Governments Act (1997, as amended)

Section 35 (3), states that the district council shall prepare a comprehensive and integrated development plan incorporating plans of lower-level local governments for submission to the National Planning Authority, and lower-level local governments shall prepare plans incorporating plans of lower councils in their respective areas of jurisdiction.

Section 36 (2) states that the district technical planning committee (DTPC) shall coordinate and integrate all the sectoral plans of lower-level local governments for presentation to the district council.

These plans must be developed in consultations with relevant stakeholders (including citizens).

### 2.1.4 Access to Information Act (2005, as amended)

Section 5 (1) and (2), state that every citizen has a right of access to information and records in the position of the state or anybody, except where the release of the information is likely to prejudice ('harm or injure') the security or sovereignty of the state or interfere with right to the privacy of any other person; and the information and records to which a person is entitled to have access shall be accurate and up-to-date so far as is practicable.

Section 37 provides that a person may lodge a complaint with the Chief Magistrate, against the decision of an information Officer who refuse a request for access to information.

## 2.2 Policy Frameworks that Support Citizen Participation

Policies are a set of general guidelines that outline the country's plan for tackling certain issues. The policies which support citizen participation in planning and budgeting include:

### 2.2.1 Comprehensive National Development Planning Framework (CNDPF)<sup>7</sup>

In 2007, Government of Uganda adopted the Comprehensive National Development Planning Framework (CNDPF) which outlines the principles and guidelines to be followed in developing national and decentralized long and medium-term development plans. The main purpose of the CNDPF is to provide a holistic framework for a logical and consistent system of national development planning where short term interventions and activities are guided by long term development aspirations and objectives contained in various sets of succeeding development plans.



**The CNDF is operationalized through three planning elements namely:**

- i The long-term planning framework including the 30-year vision and the 10-year National Development Plan;
- ii The medium-term planning framework including the 5-year National Development Plan that is comprised of Local government and Sectoral Development Plans and Strategies;
- iii The short-term planning framework including annual budgets and work-plans.

Under the CNDF, the process of planning shall be participatory, comprehensive and inclusive in terms of representation (of i.e. citizens) and content. The process of planning imagined under this framework, is a mix of top-down ('national to local level') and bottom-up ('local to national level') approach. This ensures that national and local government development plans are consistent with national policies.

<sup>7</sup> Adapted from: NPA (2009), The Comprehensive National Development Planning Framework (CNDPF)

## 2.2.2 National Development Plan (NDP)<sup>8</sup>

Uganda is currently implementing the 5-Year National Development Plan (NDP) III, 2020/21–2024/25. The plan consists of medium-term specific objectives and strategies for the various operational organs of Government. The priorities set out in the NDP III guide the allocation of public resources through the budget.

The goal of NDP III “Increased Household Incomes and Improved Quality of Life of Ugandans”. The key objectives of the Plan are:



### **Enhance value addition in key growth opportunities;**

- i** Strengthen the private sector to create jobs;
- ii** Consolidate and increase the stock and quality of productive infrastructure;
- iii** Enhance the productivity and social wellbeing of the population; and
- iv** Strengthen the role of the state in guiding and facilitating development.

The plan is implemented through 18 programmes, which include<sup>9</sup>: Agro-Industrialisation; Mineral Development; Sustainable Development of Petroleum Resources; Tourism Development; Natural Resources, Environment, Climate Change, Land and Water Management; Private Sector Development; Manufacturing; Integrated Transport Infrastructure and Services; Energy Development; Digital Transformation; Sustainable Urbanization and Housing; Human Capital Development; Innovation, Technology Development and Transfer; Community Mobilization and Mindset; Governance and Security; Public Sector Transformation; Regional Development; and Development Plan Implementation.

The development of the National Development Plan should be a participatory process, involving consultation of all stakeholders (including citizens) to ensure that the ultimate priorities reflect consensus by the key stakeholders. The consultations are carried out at macro, sectoral and local Government levels. These consultations involve various stakeholders including private sector, civil society, development partners and the citizens.

## 2.2.3 The Local Government Development Plans<sup>10</sup>

The Local Governments Act obliges the planning process of LGs to be a participatory involving local administrative units, CSOs, private sector organisations and community members. The Local Government Development Plans (LGDPs) must be consistent with the long- and medium-term national development goals and objectives and strategic direction of the country as stipulated in the 30-year National Vision, the 10-year and the 5-year NDPs.

The development of the Higher (District, City) and Lower (Municipality, Subcounty, Town Council, Division) Local Government plans is coordinated by the District Planning Authority (DPA) which is the District Council operating within the framework of guidelines established by the National Planning Authority (NPA). The DPAs are required to prepare comprehensive and integrated development plans incorporating plans for lower-level Local Governments for submission to the NPA. Further, the Lower-Level Local Governments are required to prepare plans incorporating plans of lower councils in their respective areas of jurisdiction (villages, parishes).

The NPA works closely with the districts to ensure that lower local governments are consulted as well as private sector, civil society and citizens. They are supposed to be a local government planning forum created to solicit views of various stakeholders regarding development planning. The district authorities are provided with guidelines on the sitting of the forum and other modalities.

<sup>8</sup> ibid

<sup>9</sup> Adapted from: NPA (2020), Third National Development Plan (NDPIII) 2020/21 – 2024/25

<sup>10</sup> Adapted from: NPA (2009), The Comprehensive National Development Planning Framework (CNDPF)

## 2.2.4 Annual Budget Process

As stipulated in the Public Finance Management Act, the process of drafting the budget both at Central and Government levels, is supposed to be consultative involving all stakeholders, including citizens. At local levels, citizens can participate directly or through their representatives (i.e. CBOs) in the budget conferences which are held at both LLGs (municipalities, sub counties, town councils) and HLGs (district and cities).

Local Governments are using programme based budgeting approach involving 11 programmes, which include: Agro-Industrialization; Community Mobilization and Mindset Change; Development Plan Implementation; Governance and Security; Human Capital Development; Integrated Transport Infrastructure and Services; Manufacturing; Natural Resources, Environment, Climate Change, Land and Water; Private Sector Development; Public Sector Transformation; Sustainable Urbanisation and Housing; and Tourism Development.

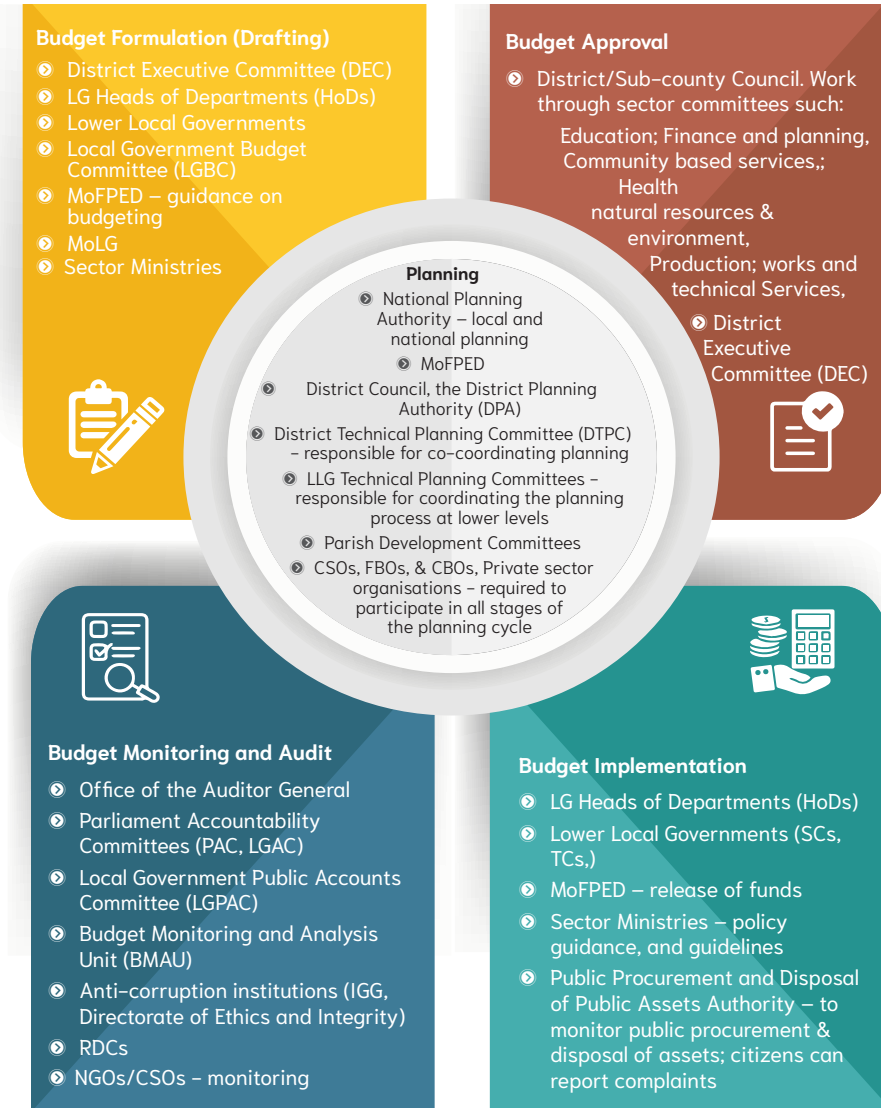
## 2.2.5 The National NGO policy (2010)

Section 5.3 state that the CAO shall provide the NGO community in the district with guidelines to enable them to participate effectively and in a coordinated manner in the district planning and programme implementation. And all NGOs and CBOs engaged in development activities within a district shall share their programme activity plans and budgets with the Local Government Authority for purposes of harmonization of such programme activities into the broader sectoral or area development plans and resource estimates. The CAO shall be responsible for providing the guidelines to facilitate this process.

## 2.3 Institutions that Support Citizen Participation

There are various institutions that support/enhance citizen participation in LG planning and budgeting. These are summarized in the Figure 2.1<sup>11</sup>:

**Figure 2.1** Key Institutions at Local Government Levels



### End of Chapter Self-Assessment

After this Chapter, I can:		Yes	No
<b>a</b>	Explain the current legal, policy framework for citizen participation in planning and budgeting in Uganda		
<b>b</b>	Explain the institutions that enable citizen participation in planning and budgeting in Uganda		

11 Adapted from: Ministry of Internal Affairs (2010), The National NGO Policy



## CHAPTER THREE

# KEY GOVERNMENT PROGRAMMES AT LOCAL LEVELS



<b>Broad purpose of this chapter</b>	To empower you with a deeper understanding of key government programmes at local government levels
<b>Competency</b>	In this chapter, you will be empowered with a deeper understanding of key government programmes at local government levels and explore opportunities and mitigate challenges of participation and benefits of marginalised groups
<b>Learning outcomes</b>	By the end of this chapter, you will be able to: <ul style="list-style-type: none"><li>➤ Identify and describe key government programmes at LG levels.</li><li>➤ Explain what these programmes are intended to achieve.</li><li>➤ Explore the opportunities available to participate, and engage in these programmes in my community.</li><li>➤ Encourage interest groups (women, girls, PWDs, youth, elderly etc) to participate and engage in these programmes.</li></ul>
<b>Keywords, issues and themes</b>	Government programmes   Citizens' participation   Service delivery
<b>Crosscutting Issues</b>	➤ Gender, Women, Youth, Elderly, PWDs, Environment, Population

In order to deliver services to the people, government implements programmes meant to improve the lives of its people. These programmes are implemented by both the central government and Local Government levels. Such programmes include:

## 3.1 Education and Sports

### 3.1.1 Local Government Education Functions

Responsibilities for delivering education and sports services are divided between central and local governments. According to Schedule 2 of the Local Governments Act, the education and sports functions and services for which the district councils are responsible, subject to article 176(2) of the Constitution and Sections 96 and 97 of the Local Government Act, include but are not limited to provision of education services which cover pre-primary (nursery), primary, secondary, teacher education, science technology innovation, special needs and technical and vocational education<sup>12</sup>. However, the recruitment and transfer of secondary school teachers, and vocational instructors is done by the Ministry of Education and Sports (MoES), though wages are paid through grants to LGs. The functions of LGs are explained in Table 3.1 below:

**Table 3.1** Local Government Education Functions

Function	Institutions	LG Mandate/Functions
Pre-primary and primary	<ul style="list-style-type: none"> <li>➤ Primary Schools</li> </ul>	<ul style="list-style-type: none"> <li>➤ Delivery of primary education.</li> </ul>
Secondary education	<ul style="list-style-type: none"> <li>➤ Secondary Schools</li> </ul>	<ul style="list-style-type: none"> <li>➤ Delivery of secondary education.</li> </ul>
Skills development	<ul style="list-style-type: none"> <li>➤ Technical Institutes</li> <li>➤ Technical Farm Schools</li> <li>➤ Community Polytechnics</li> <li>➤ Health Training Institutions</li> <li>➤ PTCs</li> </ul>	<ul style="list-style-type: none"> <li>➤ Delivery of different types of skill development.</li> <li>➤ Empowerment of individuals through provision of employable practical skills.</li> <li>➤ Retain and motivate lecturers in tertiary institutions towards better services to the economy.</li> </ul>
Quality (Education Inspection and Monitoring)	<ul style="list-style-type: none"> <li>➤ District Education/Municipal Education Department</li> </ul>	<ul style="list-style-type: none"> <li>➤ Support supervise, monitor and inspect education service provision.</li> <li>➤ Oversight role over primary teachers.</li> </ul>
Education and career guidance	<ul style="list-style-type: none"> <li>➤ Primary and Secondary schools</li> </ul>	<ul style="list-style-type: none"> <li>➤ Recruitment, training and purchase of specialized equipment and equipping the institutions.</li> <li>➤ Address issues that affect the learners' ability to complete education cycle.</li> </ul>

Source: MoFPED (2022), Approved Estimates of Revenue and Expenditure (Recurrent and Development) FY 2021/22

### 3.1.2 Central Government Education Grants to LGs

The Central Government provides three types of grants to LGs in form of: Wage Conditional Grant, Non-Wage Conditional Grant, and Development. Within the wage and non-wage grants, allocations are earmarked for (a) pre-primary and primary education, (b) secondary education, and (c) skills development.

<sup>12</sup> Adapted from: MoES (2021), Planning, Budgeting and Implementation Guidelines for Local Governments for the Education and Sports Sector FY 2021-2022



The purposes of the grants are to:

- Pay salaries of education staff in pre-primary, primary, secondary and tertiary and vocational institutions
- Fund operation costs of running pre-primary, primary, secondary and tertiary and vocational institutions
- Facilitate inspection, monitoring and support supervision of all institutions
- Finance capital development works of pre-primary, primary and secondary schools

The structure and purpose of sector grants are explained in Table 3.2.

**Table 3.2** Education Grants and Purpose

Grant	Purpose
Wage Conditional Grant <ul style="list-style-type: none"> <li>➤ Pre-primary and primary</li> <li>➤ Secondary education</li> <li>➤ Skills development</li> </ul>	To pay salaries of education staff in pre-primary, primary, secondary and BTJET institutions
Non-Wage Conditional Grant <ul style="list-style-type: none"> <li>➤ Pre-primary and primary and education management</li> <li>➤ Secondary education</li> <li>➤ Skills development</li> <li>➤ SNE</li> </ul>	To fund: (i) operational costs of running primary, secondary and BTJET institutions; (ii) the management and oversight of those institutions including measures to improve learning outcomes and increase enrolment; (iii) sports & co-curricular activities; iv) emergency education response and (v) maintenance works.
Development	To finance capital development works of primary and secondary schools.
Transitional Development	To fund ad hoc capital investments and rehabilitation works, including presidential pledges.

Source: MoES (2021), Planning, Budgeting and Implementation Guidelines for Local Governments for the Education and Sports Sector FY 2021–2022

### 3.1.3 Capitation Grants and Operational Costs of Education Facilities<sup>13</sup>

The allocation of the capitation budget for schools and tertiary institutions is determined using the verified enrolment figures and approved list of schools and tertiary institutions in the Local Government. The allocation for primary and secondary schools is based on the approved unit costs per school and per learner as per Table 3.3. The allocation for tertiary institutions is determined by the MoES. The MoES may review these capitation levels on an annual basis, depending on the resources available, so that the variable component is increased.

The capitation for schools that have significantly higher costs in delivering education services because they lie in **hard-to-reach areas** (as classified by the Ministry of Public Service) may be supplemented by a hard-to-reach capitation of up to UGX 2,000 per learner, in line with greatly increased resources for Education Offices. The unit cost for Special Needs Education is to cater for vocational training and meet boarding expenses.

13 *ibid*

**Table 3.3** Capitation Unit Costs

Type of school	Unit	Minimum per FY (UGX) <sup>14</sup>
UPE	Per school	1,350,000
	Per learner	17,000
	Per learner (SNE)	18,700
USE – government aided	Per learner	175,000
	Per learner (SNE) for inclusive schools	192,500
Special Needs Education	Per learner for exclusive schools	1,230,000
UPOLET – government aided	Per learner	270,000

Source: MoES (2021), Planning, Budgeting and Implementation Guidelines for Local Governments for the Education and Sports Sector FY 2021–2022

### 3.1.4 Education Non–wage Recurrent Grant<sup>15</sup>



The Non–Wage Recurrent Grant should be used by the Higher Local Government Education Departments (DEO/MEO) for the following activities:

- a Management of education service delivery and monitoring.** Budget allocations should be used to enhance the oversight role of the DEO/MEO by for example Carry out monitoring and support supervision; Preparation and presentation of issues requiring attention of education committee of the LG Council; Holding meetings with school head teachers to explain and disseminate various guidelines, policies, circulars issued by the MoES during the year; among others
- b School inspections.** The DEO/MEO is responsible for inspection of schools in accordance with good practices and guidelines determined by the MoES. This includes: Ensuring a minimum of one (1) inspections per school (both government and private) per term and inspection reports produced; Hold departmental meetings to analyze inspection reports and agree corrective actions; Hold meetings with school head teachers to discuss school inspection reports and use these reports to provide recommendation for corrective actions; among others.
- c Sports and Co–curricular Development Services.** LGs are required to allocate a proportion of the remaining non–wage recurrent funds towards facilitation of sports and co–curricular activities at the LG and regional level to motivate learners to engage in school.
- d Maintenance of school infrastructure.** The LG is responsible for ensuring schools are maintained according to the minimum condition standards specified by the MoES.

### 3.1.5 Education Development Grant<sup>16</sup>

The LGs are responsible for planning, procurement, construction of education infrastructure investments. The MoES (the Construction Management Unit including the Engineering Assistants; Secondary and Primary Education Departments) are responsible for formation of policies, setting national standards, providing guidelines, providing construction designs, offering support supervision and monitoring outcomes within the context of Minimum Quality Standards (see Box 4).

**The Education Development Budget is either used for capital investments and capacity development as follows:**

- ⦿ At least 95% of development budget used for capital investments and to fund rehabilitation or construction of service delivery and administrative infrastructure.
- ⦿ More than zero and up to 5% of the development budget or UGX 50 million per Local Government, whichever is lower, will be used to fund investment service costs such as

<sup>14</sup> May vary each Financial Year (FY)

<sup>15</sup> ibid

<sup>16</sup> ibid



developing bills of quantities, engineering supervision and environmental impact assessment costs. The infrastructure development activities must be derived from guiding criteria provided by the MoES, the LGs' 5-year development plan and incorporated in the annual plans and budgets approved by the LGs.

#### Box 4: Minimum Quality Standards for School Infrastructure

##### Every primary school:

- At least one primary school per parish.
- At least seven classrooms, administration block and staffroom.
- Classroom: pupil ratio of 1:53.
- Desk: pupil ratio of 1:1; distance between desks: 60 inches.
- Latrine stance to pupil ratio of 1:35.
- Permanent accommodation for at least four teachers.
- At least one 10,000 litre water harvesting tank per school.
- At least one changing room per school.
- All buildings should provide for special needs.
- All buildings should have earthing/lightening conductor.

- A simple weather station (rain gauge, thermometer, wind gauge).
- A noticeboard strategically placed.

##### Every secondary school:

- Classroom to student ratio of 1:60.
- Desk to student ratio of 1:3.
- Latrine stance to student ratio of 1:40.
- Permanent accommodation for at least four teachers.
- At least one multi-purpose science laboratory per school.
- At least one 10,000 litre water harvesting tank per school.
- At least one changing room per school.
- At least one sick bay per school.

Source: MoES (2021), Planning, Budgeting and Implementation Guidelines for Local Governments for the Education and Sports Sector FY 2021–2022 and MoPS (2021), Compendium of Local Government Service Delivery Standards

## 3.2 Health

### 3.2.1 Local Government Health Functions

The Local Government Act (schedule 2) specifies that Local Governments (LGs) have the responsibility of delivering on the National Health Policy. This includes responsibilities for medical and health services such as: hospitals, but not regional referral hospitals; all health centres (HCs); government facilities; Private Not For Profit (PNFP) health facilities; maternity and child welfare services; communicable disease control, especially malaria, HIV/AIDS, TB and leprosy; control of other diseases; ambulance services; vector control; environmental sanitation; health education; quality monitoring of water supplies; supervision and monitoring of the private sector; and implementation/enforcement of the various Health Acts<sup>17</sup>.

The responsibility centres for implementation of these activities are at four levels: the District Local Government (DLG) level, the health sub-district (HSD) level (HC IVs), lower level health facilities level and the community level. The District Health Officer (DHO), under the supervision of the Chief Administrative Officer (CAO) and Ministry of Health (MoH), provides overall leadership in the delivery of Health Services<sup>18</sup>.

<sup>17</sup> Adapted from: MoH (2020), Sector Grant and Budget Guidelines to Local Governments FY 2020/21

<sup>18</sup> *ibid*

**Table 3.4** Local Government Health Functions

Institution	Roles/Functions
District/Municipal Councils	<ul style="list-style-type: none"> <li>➤ Management of general hospitals and health centres in the respective catchment areas.</li> <li>➤ Supervision and monitoring of the private sector.</li> <li>➤ Implementation/enforcement of the various health acts.</li> <li>➤ Delivering the UNMHCP:                             <ul style="list-style-type: none"> <li>➤ Health promotion, disease prevention and community health initiative elements.</li> <li>➤ Maternal and child health elements.</li> <li>➤ Prevention and control of communicable diseases.</li> <li>➤ Prevention and control of non-communicable diseases.</li> </ul> </li> </ul>
District and Municipal Health Offices	<ul style="list-style-type: none"> <li>➤ Policy implementation and planning.</li> <li>➤ Human resource development management.</li> <li>➤ Quality assurance/support supervision.</li> <li>➤ Coordination and integration of health services</li> <li>➤ Disease and epidemic control/disaster preparedness .</li> <li>➤ Monitoring and Evaluation (M&amp;E) of district health services.</li> <li>➤ Advocacy for health services.</li> <li>➤ Health systems research.</li> </ul>
General (District) Hospitals (Target population of 500,000)	<ul style="list-style-type: none"> <li>➤ Provide preventive, promotive, outpatient curative, maternity, inpatient services, emergency surgery, blood transfusion, laboratory services and other general services.</li> <li>➤ Provide in-service training, consultation and research in support of the community based health care programmes.</li> </ul>
Health Centre IV (Target population of 100,000)	<ul style="list-style-type: none"> <li>➤ Mainly a PHC referral facility where patients are assessed, diagnosed, stabilized, and either treated or referred back to a lower level or to a higher level health facility.</li> <li>➤ The HC IV OPD functions as the entry point to the health system where there are no LLHUs within 5KMs.</li> <li>➤ First point of entry for referrals from the LLHUs and for self-referrals in case of an emergency.</li> <li>➤ Provides 24-hour inpatient and emergency services including emergency obstetric care.</li> <li>➤ Serves the functions of the basic peripheral unit in the constituency where it is located and also serves the function of a HC III, over and above the functions elaborated above.</li> </ul>
Health Centre III (Target population of 20,000)	<ul style="list-style-type: none"> <li>➤ Serves the functions of the basic peripheral unit in the Sub-county where it is located while at the same time performing the supervisory function for all the HC IIs in the Sub-county.</li> </ul>
Health Centre II (Target population of 5,000)	<ul style="list-style-type: none"> <li>➤ Lowest planning unit of the district/municipal health system.</li> <li>➤ Serves as the interface between the health care system and the community at parish level and enables close collaboration between the health service providers and the community structures like the Village Health Teams (VHTs), Parish Development Committees, Women Councils, Youth Councils and Councils for Disabled Persons.</li> </ul>

Source: MoH (2020), Sector Grant and Budget Guidelines to Local Governments FY 2020/21

### 3.2.2 Central Government Health Grants to LGs

The Central Government provides three types of grants to LGs in form of: Wage Conditional Grant, Non-Wage Conditional Grant, and Development. Within the wage and non-wage grants, allocations are earmarked for;

- |                                    |   |
|------------------------------------|---|
| <b>a</b> Wage Conditional Grant,   | <b>e</b> PHC Hospital NWR (Government), |
| <b>b</b> PHC DHO/CHO/MHO Non-Wage, | <b>f</b> PHC NWR (PNFP), and            |
| <b>c</b> Recurrent (NWR);          | <b>g</b> PHC NWR (Government).          |
| <b>d</b> PHC Hospital NWR (PNFP),  |   |

The total funding for PHC NWR constitutes 100% of which 85% is allocated to the lower-level health facilities (LLHFs) whereas 15% is allocated to the LG (District/City/Municipal) Health Office.

The structure and purpose of sector grants are explained in Table 3.5.

**Table 3.5** Health Grants and Purpose

Grant		Purpose
Wage Conditional Grant		<ul style="list-style-type: none"> <li>➤ Pay salaries for all health workers in the health</li> <li>➤ Facilities and hospitals. The salaries for the LG health</li> <li>➤ Management teams fall under the LG Unconditional</li> <li>➤ Grant</li> </ul>
Non-Wage Conditional Grant	PHC (Health Offices)	Fund service delivery operations by the Health Department supervision, management, and epidemic preparedness.
	PHC Health Centers (Gov)	<ul style="list-style-type: none"> <li>➤ Fund service delivery operations by the Government.</li> <li>➤ Health Centres (HC) for prevention, promotion, supervision, management, curative, epidemic preparedness.</li> </ul>
	PHC Health Centers (PNFP)	Fund service delivery operations by the Private Not-For-Profit (PNFP) HCs for prevention, promotion, supervision, management, curative, epidemic preparedness.
	PHC Hospital (Gov)	Fund service delivery operations by Government Hospitals for prevention, promotion, supervision, management, curative, epidemic preparedness.
	PHC Hospital (PNFP)	Fund service delivery operations by PNFP Hospitals for prevention, promotion, supervision, management, curative, epidemic preparedness.
Development Conditional Grants	Facilities upgrading	Fund the upgrading of HC IIs to HC IIIs in the sub-counties with no HC IIIs but have HC IIs and construction of new HC IIIs in sub-counties with no HC IIIs at all.
	Infrastructure maintenance	Finance major repairs to health infrastructure. Equip and complete existing public health facilities. Maintenance and repairs of existing health facilities.
	Transitional Ad Hoc	Continue to fund hospital rehabilitation and other specified capital investments in selected LGs.
	Sanitation	Funds sanitation related activities such as community sensitizations and advocacy work that contribute to the reduction of morbidity and mortality rates from sanitation related diseases.

Source: MoH (2022), Health Sub Programme Grant, Budget and Implementation Guidelines for Local Governments FY 2022/23

### 3.2.3 Allocating the respective Grants across LGs and Health Facilities

#### Wage Conditional Grant

Staff salaries are financed from the Health Conditional Wage Grant. The basis of allocation of conditional wage grants across LGs is the salary scales, filled positions, and recruitment plans. Annually the District Health Officer (DHO)/City Health Officer (CHO)/Municipal Medical Officer of Health (MMOH) is required to budget for all health workers in accordance with the staffing norms.

#### Non-wage Conditional Grant

##### PHC NWR for the District/City/Municipal Health Offices

Out of the total funding available for the PHC NWR sub grants (excluding hospital grants), 15% is allocated for DHOs/MMHOs/CHOs to use for their health services management functions, specifically for “Health Management and Supervision.” This funding pool is allocated across LGs through the following steps:

- a Each LG is allocated a fixed amount to cater for the minimum cost of running its Health Office (see Table 3.6; example for FY 2022/23).
- b After these minimum costs have been catered for, the remainder is allocated across all LGs based on the variables and weights.

**Table 3.6** Fixed Allocations for District/City/Municipality Health Offices

Office	Allocation per FY (UGX) <sup>19</sup>
District Health office	20,000,000
City Health Office	20,000,000
Municipal Health Office	10,000,000

Source: MoH (2022), Health Sub Programme Grant, Budget and Implementation Guidelines for Local Governments FY 2022/23

### 3.2.4 PHC NWR for LLHFs (Government and PNFP)

Out of the total funding available for the PHC NWR sub grants (excluding hospital grants), 85% is allocated for LLHFs (HC II, III, and IV) to use for health service delivery. The amounts allocated to each LG for health facilities, and then within LGs across health facilities, are determined through the following steps:



- a LG is allocated an amount for each of its LLHFs to cater for its Fixed Minimum Costs of operating (see Table 3.7; example for FY 2022/23).
- b After these minimum costs have been catered for, the remainder is allocated across LGs based on the variables and weights.
- c The total allocation of the PHC NWR sub grants to each LG is then arrived at by adding the results of the previous two steps.

<sup>19</sup> May vary each Financial Year (FY)

**Table 3.7** Fixed Allocations for District/City/Municipality Health Offices

Office	Allocation per FY (UGX) <sup>20</sup>
<b>Government Health Facilities</b>	
HC II	2,000,000
HC III	4,000,000
HC IV	20,000,000
<b>Private Not For Profit (PNFP) Health Facilities</b>	
HC II	1,000,000
HC III	2,000,000
HC IV	4,000,000

Source: MoH (2022), Health Sub Programme Grant, Budget and Implementation Guidelines for Local Governments FY 2022/23



### Conditional Development Grant

The Development Grant Allocation formula has three components:

- a Basic formula: allocation is arrived at using a basic formula which has two variables namely, Number of existing GoU HC IIIs, HC IVs and hospitals which has a weight of 50% and the population per GoU or PNFP health facility (Hospital, HC IV, HC III), including refugees which also constitutes 50%.
- b The Local Government Performance Assessment (LGPA) – i.e., allocation based on the LG Health performance assessment results.

## 3.2.5 Minimum Quality Standards (Infrastructure Standards)

The National Health Policy specifies the following as the nationally agreed minimum basic infrastructure requirements per level of health facility (Table 3.8), to be used in the delivery of health services. Therefore, the budgeting and planning process for LG health infrastructure investments to be funded either using the health development grant or the Discretionary Development Equalization Grant (DDEG) should take these into account.

**Table 3.8** Basic Infrastructure Requirements per Level of Health Facility

Level of Health care	Basic infrastructure requirements
General Hospital	<ul style="list-style-type: none"> <li>➤ Buildings: outpatient department, administration offices, operation theatre (2 rooms).</li> <li>➤ Wards: female, paediatric, maternity, male.</li> <li>➤ Beds: 100–250 beds (Obs. &amp; Gyn– 25; Paediatric – 25; Medical – 25; Surgery – 25).</li> <li>➤ Mortuary; Placenta pit and medical waste pit; incinerator.</li> <li>➤ Staffing: 185 staff.</li> <li>➤ Staff houses: 80 housing units.</li> <li>➤ Catchment population: 500,000 people.</li> </ul>

<sup>20</sup> May vary each Financial Year (FY)

Level of Health care	Basic infrastructure requirements
HC IV	Buildings: outpatient department, administration offices, operation theatre, drug store with health sub district (HSD) office. <ul style="list-style-type: none"> <li>➤ Wards: general, maternity, female, male.</li> <li>➤ Beds: 24 beds (maternity – 6; children – 6; women – 4; male – 8).</li> <li>➤ Mortuary; Placenta Pit and Medical Waste Pit/incinerator.</li> <li>➤ Staffing: 50 staff.</li> <li>➤ Staff houses: 18 housing units.</li> <li>➤ Catchment population: 100,000 people.</li> </ul>
HC III	Buildings: Outpatient department, maternity ward, general ward. <ul style="list-style-type: none"> <li>➤ Beds: 14 beds (maternity – 4; children – 2; women – 2; male – 4).</li> <li>➤ Laboratory services.</li> <li>➤ Placenta pit and medical waste pit/incinerator.</li> <li>➤ Staffing: 19 staff.</li> <li>➤ Staff houses: 10 housing units.</li> <li>➤ Catchment population: 20,000 people.</li> </ul>
HC II	Buildings: Outpatient department, emergency delivery unit. <ul style="list-style-type: none"> <li>➤ Beds: 2 beds for emergency delivery.</li> <li>➤ Placenta pit and medical waste pit/incinerator.</li> <li>➤ Staffing: 11 staff.</li> <li>➤ Staff houses: 4 housing units.</li> <li>➤ Latrines stance separated by gender.</li> <li>➤ Catchment population: 5,000 people.</li> </ul>

MoH (2022), Health Sub Programme Grant, Budget and Implementation Guidelines for Local Governments FY 2022/23 and MoPS (2021), Compendium of Local Government Service Delivery Standards.

## 3.3 Water and Environment

### 3.3.1 Local Government Water and Environment Functions<sup>21</sup>

The Local Government Act (Cap 243) specifies that LGs have the responsibility to deliver water services – the provision and maintenance of water supplies in liaison with the Ministry of Water and environment (MoWE).

In the water sub-programme, districts have the primary responsibility for the construction of water facilities/points in rural areas and to support the operation and maintenance of water services by community-based organizations such as Water User Committees. Municipalities and urban councils and districts are also responsible for the development, management and operation of urban water services, apart from those managed by the National Water and Sewerage Corporation, although construction of facilities is typically funded from CG projects, such as the Water and Sanitation Development Facility. Other activities include providing water for production and the promotion of rainwater harvesting. Districts are also responsible for hygiene and sanitation interventions around water points.

In the environment sub-programme, districts' responsibilities include monitoring and oversight of environmental compliance, including forestry, river and wetlands management.

21 Adapted from: MoFPED (2021), Approved Estimates of Revenue and Expenditure (Recurrent and Development) FY 2021/22

### 3.3.2 Central Government Water and Environment Grants to LGs<sup>22</sup>

The Central Government provides two types of grants to LGs in form of: Non-Wage Conditional Grant, and Development, which are earmarked for (a) Rural Water and Sanitation (District), (b) Natural Resources & Environment, (c) Development Conditional Grant, and (d) Transitional and Support Services Grant. The structure and purpose of sector grants are explained in Table 3.9.

**Table 3.9** Water and Environment Grants and Purpose

Grant		Purpose
Non-Wage Conditional Grant	Rural Water and Sanitation (District)	<ul style="list-style-type: none"> <li>➤ Deliver sanitation and hygiene outreach and information dissemination around water points; operations of the district water office and community mobilization and sensitization in water source development.</li> <li>➤ To support community mobilization and capacity building towards maintenance of rural water sources by sub-county local governments.</li> </ul>
	Natural Resources and Environment	Funds are meant for protection of natural resources, including forests and wetlands and monitoring compliance to environmental and social standards in water source development.
Development Conditional Grant	Water and Environment	Development, rehabilitation and major repairs of rural water infrastructure that enables access to clean and safe water.
Transitional and Support Services Grant	Support Services Non-Wage Recurrent – Urban Water	Funds the operation and maintenance of piped water systems in small towns within a district, bridging the gap between local revenue collection and operation costs.
	Transitional Development-Sanitation	This funds sanitation activities in a limited number of districts.

Source: MoWE (2021), Grant Budget and Implementation Guidelines for Local Governments FY 2021/2022

**Table 3.10** Basic Standards for Water and Environment

Level	Basic Standards
Urban	<ul style="list-style-type: none"> <li>➤ Average walking distance to water point: 0.2 Km</li> <li>➤ Public tap stand: population size – 1:150 people</li> <li>➤ Water Kiosk population size – 1:150 people</li> <li>➤ Water consumption capacity: 25 litres per person</li> <li>➤ Waiting time at a water source: 30 minutes</li> </ul>
Rural	<ul style="list-style-type: none"> <li>➤ Average walking distance to water point: 1 Km</li> <li>➤ Water consumption capacity: 25 litres per person</li> <li>➤ Waiting time at a water source: 10 minutes</li> </ul>
Both	1 safe water source e.g. borehole, sanitary well, etc: 300 people (one safe water source per village)
Environment	<ul style="list-style-type: none"> <li>➤ Environmental awareness campaign: once annually</li> <li>➤ All wetland boundaries must be demarcated</li> </ul>

MoPS (2021), Compendium of Local Government Service Delivery Standards.

<sup>22</sup> Adapted from: MoWE (2021), Grant Budget and Implementation Guidelines for Local Governments FY 2021/2022



## 3.4 Agro-Industrialisation

### 3.4.1 Local Government Production and Marketing Functions<sup>23</sup>

The Local Government Act (Chapter 243) specifies that the Local Government has the responsibility for “all decentralized services and activities which include but are not limited to – crop and animal husbandry, fisheries extension services” as well as entomological services and vermin control. The services provided by Local Government include responsibilities for controlling diseases, enforcing agricultural laws and regulations, inspection and certification of inputs, supporting extension services and agricultural statistics.

Services are budgeted under two functions – for district production and commercial services. The production services provide for agricultural extension and the control of diseases in agriculture, overseen by the Ministry of Agriculture, Industry and Fisheries (MAAIF). Commercial services aim to connect local markets and encourage investment to support the trade of agricultural produce, overseen by the Ministry of Trade and Industry.

Agricultural Extension Service is delivered by LG Production and Marketing Departments as the core and frontline service providers. The frontline extension service providers in all the LGs are expected to:



- ④ Organize the farmers through mobilization and registration of these farmers so that they can benefit from all the agrarian service providers, both public and private;
- ④ Empower farmers with situational analysis demand articulation and priority setting skills that will guide farmers deal effectively with their immediate needs and thus make appropriate demands in terms of services, technologies, information and other relevant interventions;
- ④ Conduct meetings for farmer groups and other value chain actors to guide them on enterprise selection;
- ④ Develop farmers into higher level organizations like producer and marketing groups and train them on group dynamics and leadership skills;
- ④ Link farmers to research and other value chain actors;
- ④ Increase farmer awareness on the existing improved technologies produced by research (NARO) – Improved seeds, artificial insemination, fertilizer use, pest and disease control, soil and water conservation, climate smart agricultural technologies and also appropriate technical skills like post-harvest handling, value addition, farming as a business; and
- ④ Interest the farmers to take on these technologies through demonstrations and intensified discovery methods, focused group discussions and direct trainings.

### 3.4.2 Central Government Production and Marketing Grants to LGs<sup>24</sup>

The Central Government provides three types of grants to LGs in form of: Wage, Non-Wage Conditional, and Development, which are earmarked for (a) Production and Marketing – Wage Conditional Grant, (b) Agricultural Extension – Non-Wage Recurrent, (c), Production – Non-Wage Recurrent, (d) Parish model Grant, (e) Production – Dev’t, (f) Agriculture Extension – Dev’t, (g) Micro scale Irrigation (pilot and rollout) – Dev’t, and (h) Transitional Dev’t – (Ad Hoc). The structure and purpose of sector grants are explained in Table 3.11.

23 Adapted from: MoFPED (2022), Approved Budget Estimates of Revenue and Expenditure for FY 2021/22; Volume II: Local Government Votes

24 ibid



**Table 3.11** Production and Marketing Grants and Purpose

Grant	Purpose
Wage Conditional Grant	Payment of salaries and wages of district staff: an agricultural officer, veterinary officer and fisheries officer (where applicable) and extension worker per sub-county.
Non-Wage Recurrent (NWR) Grant	Supports increased input use of fertilizer and improved seed; water for production; disease control, and; promote value addition and standards of products to favorably compete in local, regional and international markets, collect trade statistics and others.
Development Grant	

Source: MoFPED (2022), Approved Budget Estimates of Revenue and Expenditure for FY 2021/22; Volume II: Local Government Votes

**Table 3.12** Basic standards for Production and Marketing

Category	Basic Standards
Agricultural Extension	<p>Extension worker farmer ratio:</p> <ul style="list-style-type: none"> <li>⊗ Livestock – 1:500</li> <li>⊗ Animal production and entrepreneurship – 1:1000</li> <li>⊗ Entomology – 1:100</li> <li>⊗ Crop production – 1:500</li> <li>⊗ Fisheries – 1:3000</li> <li>⊗ Field office to office time for extension worker – 70:30</li> <li>⊗ Capacity enhancement training for extension workers: min. once in three years</li> </ul> <p>Farm visits by extension worker per year:</p> <ul style="list-style-type: none"> <li>⊗ Livestock – once in two months</li> <li>⊗ Animal production and entrepreneurship – once in four months</li> <li>⊗ Entomology – once in two months</li> <li>⊗ Crops: once in three months</li> <li>⊗ Fisheries – once a month</li> </ul>
Production	<p>Demonstration size to farmer ratio:</p> <ul style="list-style-type: none"> <li>⊗ Mini agriculture development centre: sub-county five acres</li> <li>⊗ Apiculture unit, sericulture unit: sub county level</li> <li>⊗ One acre and one store per sub-county for demonstrating crop production</li> <li>⊗ Aquaculture: one ponds/aquarium/cage tank: 500 households at parish level</li> <li>⊗ % of farmers accessing new technology demonstration sites: 100%</li> <li>⊗ Trainees: session held by extension worker – 1:50</li> </ul> <p>Other infrastructure and communal facilities:</p> <ul style="list-style-type: none"> <li>⊗ Primary market: household ratio- 1:5000 (sub-county)</li> <li>⊗ Slaughter slab: household ratio – 1:1000 (parish)</li> <li>⊗ Cattle dip: household ratio – 1:1000 (parish)</li> <li>⊗ Village tank: household ratio – 1:1000 (parish)</li> <li>⊗ Plant Clinic (small laboratory): household ratio – 1:1500 (sub-county)</li> </ul>

MoPS (2021), Compendium of Local Government Service Delivery Standards

## 3.5 Integrated Transport Infrastructure Services

### 3.5.1 Local Government Integrated Transport Infrastructure Services Functions<sup>25</sup>

The Local Government Act (Chapter 243) specifies that Local Governments have the responsibility to deliver “road services – the construction, rehabilitation and maintenance of roads not under the Central Government”. Roads that are the responsibility of Local Government are classified as District, Urban, or Community Access Roads (DUCAR). District roads link communities to trading centres and national roads and are the responsibility of District Councils. Urban roads are in the boundaries of Cities, Municipalities and Town Councils and are the responsibility of City, Municipal and Town Councils. Community Access Roads are smaller link roads that are the responsibility of Sub-county Governments. National roads are managed by the Uganda National Road Authority (UNRA).

### 3.5.2 Central Government Integrated Transport Infrastructure Services Grants to LGs<sup>26</sup>

The Central Government provides two types of grants to LGs in form of: Non-Wage Conditional, and Development Grant, which are earmarked for (a) Non-Wage Conditional Grant (Uganda Road Fund) and (b) Development Conditional Grant. The structure and purpose of sector grants are explained in Table 3.13.

**Table 3.13** Integrated Transport Infrastructure Services Grants and Purpose

Grant	Purpose
Non-Wage Conditional Grant (Uganda Road Fund)	To conduct maintenance of DUCAR. Maintenance is categorized as follows: <ul style="list-style-type: none"> <li>➤ <i>Routine</i>: periodic maintenance of the road network in a usable/passable condition – light works such as cutting grass, cleaning drainage and filling potholes.</li> <li>➤ <i>Periodic</i>: when works seem to be heavier, especially after say one to three years of normal routine maintenance then periodic maintenance can be carried out on the road.</li> </ul>
Development Conditional Grant	To maintain and rehabilitate District, Urban and community Access Roads funded under the Rural Transport Infrastructure Programme (RTI).

Source: MoFPED (2022), Approved Budget Estimates of Revenue and Expenditure for FY 2021/22; Volume II: Local Government Votes

Development transfers are made for roads rehabilitation funded mainly by the central government under the Ministry of Works and Transport. In addition, Local Governments may choose to spend funding from the discretionary development Equalisation grant for these purposes. Transfers from the Uganda Road Fund (URF) are provided to ensure that public roads are well maintained.<sup>27</sup>

**Table 3.14** Basic standards for Transport Infrastructure Services

Service Description	Basic Standards
Developing and Maintaining Urban, Road network in fair to good condition	<ul style="list-style-type: none"> <li>➤ District, sub county, community roads maintained: 70% annually</li> <li>➤ Frequency of desilting channels: quarterly</li> <li>➤ Roads shoulders should be always well vegetated</li> <li>➤ Maintenance of bridgest: 100% always</li> <li>➤ Unpaved roads should be wide enough to provide for walkways and a carriage way.</li> <li>➤ Travel time: district roads – 1.5 km/50km/hr</li> <li>➤ Functionality of road equipment: 100% all the time</li> <li>➤ Daily operational time for road equipment: 8hrs</li> <li>➤ Servicing of equipment: once in two months on operating at 70% of the standard operating time.</li> </ul>

MoPS (2021), Compendium of Local Government Service Delivery Standards

25 ibid

26 ibid

27 Adapted from: MoFPED (2022), Approved Budget Estimates of Revenue and Expenditure for FY 2021/22; Volume II: Local Government Votes

## 3.6 Trade and Industry Services<sup>28</sup>

At Local Government levels, Trade and Industry Services are aimed at connecting local markets and encouraging investment to support the trade of agricultural produce, overseen by the Ministry of Trade and Industry.

### 3.6.1 Central Government Trade and Industry Services Grants to LGs<sup>29</sup>

The Central Government funding is through two grants; a) Wage Conditional Grant for salaries and wages for district staff which include a commercial officer; and b) Non-Wage Recurrent (NWR) Conditional Grant for activities related to trade development and promotion services, enterprise development services, market linkage services, cooperation mobilization and outreach services, tourism promotion services and industrial development services.

**Table 3.15** Basic standards for Trade and Industry Services

Service Description	Basic Standards
Local trade and marketing infrastructure	<ul style="list-style-type: none"> <li>⦿ Self space for local products: 40% of the shelf space</li> <li>⦿ Primary market: household ratio– 1:5000 (sub county)</li> <li>⦿ Market should have: one hectare of land, water, toilet, stalls, power source, stores, fenced, etc</li> <li>⦿ Slaughter slab: household ratio – 1:1000 (parish)</li> <li>⦿ Group marketing facilities (storage, cold storage facilities), household – 1: 1000 (parish)</li> </ul>

MoPS (2021), Compendium of Local Government Service Delivery Standards

## 3.7 Community Mobilisation and Mindset Change<sup>30</sup>

### 3.7.1 Local Government Community Mobilisation and Mindset Change Functions<sup>31</sup>

The Community Mobilisation and Mindset Change provides community level activities to reduce poverty and plays a pivotal role that creates the necessary conducive environment for the other sectors to effectively deliver services to all sections of the population. The Local Governments Act (Chapter 243) specifies that Local Governments have the responsibility to deliver services related to;

- |   |  |
|---|--|
| <ul style="list-style-type: none"> <li><b>i</b> Social rehabilitation,</li> <li><b>ii</b> Labour matters,</li> <li><b>iii</b> Probation and welfare,</li> <li><b>iv</b> Street children and orphans,</li> </ul> | <ul style="list-style-type: none"> <li><b>v</b> Women in development,</li> <li><b>vi</b> Community development,</li> <li><b>vii</b> Youth affairs,</li> <li><b>viii</b> Cultural affairs.</li> </ul> |
|---|--|

Given this, the Social Development sub-programme aims to promote gender equality, women's empowerment, increase protection of workers, and expand social protection.

Specific functions/services include those related to adult learning (Functional Adult Literacy), Support to public libraries, probation and welfare support, social rehabilitation support, children and youth services, community development, support for women's, youth and disability councils, labour dispute settlement and work-based inspections.

28 ibid

29 ibid

30 ibid

31 ibid

### 3.7.2 Central Government Community Mobilisation and Mindset Change Grants to LGs<sup>32</sup>

The Central Government funding is through one grant; a) Social Development Services –Non-Wage Recurrent (NWR) Conditional Grant – to support decentralized services and community level action to reduce poverty. This includes sub-grants for: Community Based Rehabilitation (CBR); Council activities spelt out in the Women, Youth and Disability Council Acts; Functional Adult Literacy (FAL); Public Libraries; and Special Grants for PWDs.

**Table 3.16** Basic Standards for Community Mobilisation and Mindset Change

Service	Basic Standards
Community development and literacy	<ul style="list-style-type: none"> <li>⦿ Community learning Centre – one per parish</li> <li>⦿ Library and telecentre– one per sub county; utilization: 80%</li> <li>⦿ Induction of CDOs – two weeks form date of assumption of duty</li> </ul>
Cultural and family affairs	<ul style="list-style-type: none"> <li>⦿ Universal services and resources available for all families: healthcare, education, community-based care, security</li> <li>⦿ Provision of parental education and training for positive parenting skills</li> </ul>
Gender, women, and youth affairs	<ul style="list-style-type: none"> <li>⦿ Functional women and youth councils and effective representation</li> <li>⦿ Access to women and youth development funds (UWEP, YLP, etc)</li> <li>⦿ Monitoring of women and youth development initiatives: Quarterly</li> </ul>
Older persons	<ul style="list-style-type: none"> <li>⦿ Eligible age for SAG: &gt; 60 years</li> <li>⦿ Formal adult literacy services: sub-county</li> <li>⦿ Functional elderly councils and effective representation</li> </ul>
Disability	<ul style="list-style-type: none"> <li>⦿ Functional PWDs councils and effective representation</li> <li>⦿ Access to PWDs funds (UWEP, YLP, etc)</li> <li>⦿ Training and skilling of PWDs</li> <li>⦿ Special Needs Education services</li> </ul>
Children	<ul style="list-style-type: none"> <li>⦿ Commemoration of the Day of the African Child and International Day of the Girl Child: each year 16<sup>th</sup> June, and 11 Oct respectively</li> <li>⦿ Compliance to minimum standards of children homes: 100%</li> <li>⦿ Inspection and supervision of children homes: quarterly</li> <li>⦿ Remand home: one per district</li> </ul>
Equity and rights	<ul style="list-style-type: none"> <li>⦿ Mainstreaming of gender, equity and rights issues in LG workplan and budgets</li> <li>⦿ Probation officer: at least one per district</li> </ul>
Labour, industrial relations and productivity	<ul style="list-style-type: none"> <li>⦿ Labour Officer: at least one per district</li> <li>⦿ Inspection of workplaces: at least once a quarter</li> <li>⦿ International Labour Day and Day against Child Labour commemoration: 1<sup>st</sup> May and 12<sup>th</sup> June, annually</li> </ul>

MoPS (2021), Compendium of Local Government Service Delivery Standards

## 3.8 Multi-Programmes/Projects

### 3.8.1 Parish Development Model (PDM)<sup>33</sup>

The Parish Development Model (PDM) is a multi-sectoral strategy to create socio-economic transformation by moving the 39% households out of the subsistence economy into the money economy. The PDM is an approach to organizing and delivering public and private sector interventions for wealth creation at the parish level as the lowest economic planning unit. The goal of the PDM is to increase household incomes and improve quality of life of Ugandans with a specific focus on the total transformation of the subsistence households (both on-farm and off-farm, in rural and urban settings) into the money economy.



**The PDM is implemented along seven pillars, namely:**

- a** Agricultural value-chain development (production, storage, processing and marketing). This is aimed at supporting the creation of employment opportunities, food security and wealth for all Ugandans specifically the households in subsistence production.
- b** Infrastructure and economic services. This is aimed at ensuring reliable transport and economic services for production and marketing.
- c** Financial inclusion. This is aimed at enabling access to appropriate financial products and services such as savings, credit, and insurance and payment systems by subsistence households. The financial inclusion pillar shall be implemented through six components, namely;
  - Community organisation into Enterprise Groups and PDM SACCOs
  - Business Development Services (BDS) and financial literacy
  - PDM Integrated Financial Management Information and Payment System (PDM IFMS)
  - Savings and Credit
  - Agriculture insurance
  - Market linkages through e-market place match-making and off-taker market placements.
- d** Social services. This is aimed at undertaking data collection on services at the Parish, to identify level of service delivery, gaps and propose the necessary remedial interventions.
- e** Community mobilisation and mindset change. This is aimed at implementing a systematic approach of mentorship, counseling, mobilization of community members and identifying issues that affect them. This pillar puts people at the center stage of decision making on issues that affect their lives and participate in determining their pathways out of poverty.
- f** Parish-Based Management Information System (PBMIS). This is aimed at supporting an integrated system for community profiling, data collection, analysis, tabulation, storage and dissemination at all levels, to inform planning and decision making at the sub-national and national levels.
- g** Governance and administration. This is aimed providing coordination and technical support to the implementing structures at the sub-national and national levels.

Under financial inclusion, funding is mainly through the Parish Revolving Fund. The fund follows a grassroots approach in which communities of subsistence households at the Parish level are mobilized into enterprise groups and supported to develop and implement viable community-led income-generating activities that enable them to earn through their own initiative and combined efforts. Households who are members of an enterprise group are supported to open savings in the PDM SACCO. Each household or enterprise group is financed up to an amount approved by the PDM SACCO.

During FY 2022/23, Government provided UGX 1,059.4 billion for the Parish Revolving Funds, with each Parish allocated UGX 100million. The revolving funds are managed by the MoFPED enable direct disbursement/releases to beneficiary PDM SACCO Bank Accounts upon validation and confirmation of particulars of the recipient PDM SACCO details.

33 Adapted from: MoLG (2022), Implementation Guidelines for the Parish Development Model

### 3.8.2 Uganda Women Entrepreneurship Programme (UWEP)<sup>34</sup>



The Uganda Women Entrepreneurship Programme (UWEP) is an initiative of the Government of Uganda that is aimed at improving access to financial services for women and equipping them with skills for enterprise growth, value addition and marketing of their products and services. UWEP is implemented as a rolling programme under the Ministry of Gender, Labour and Social Development (MoGLSD).

The overall goal of the programme is to empower Ugandan women to improve their income levels and their contribution to economic development. Specific Objectives include:

- a To strengthen the capacity of women for entrepreneurship development.
- b To provide affordable credit and support access to other financial services to enable women establish and grow their business enterprises.
- c To facilitate women's access to markets for their products and services.
- d To promote access to appropriate technologies for production and value addition.
- e To strengthen programme management and coordination.

#### The programme is implemented through three components:

- a *Capacity and Skills Development*: It focuses on upgrading needs-based skills development for women to enable them initiate and manage enterprises. Women can apply for these funds to get hands-on training in skills needed for effective implementation of their enterprises and purchase of required inputs. Through Local Governments, individuals or institutions are identified to train the women in appropriate skills. This component takes up 15% of the total funds allocation.
- b *Women Enterprise Fund (WEF)*: Women groups are provided interest-free credit for enterprise development on a revolving fund basis. The women are required to be in groups of 10–15 members to ensure successful implementation of their priority enterprise and full repayment of the Revolving Fund. This component takes up 70% of the total funds allocation.

#### Terms and Conditions of the WEF:

- ⦿ Zero interest for repayments made within the first twelve months (one year) and a service fee of 5% per annum for the repayments made after 12 months. The service fee is meant to cater for inflation.
- ⦿ No physical assets/collateral required;
- ⦿ Repayment period of 1–3 years, depending on the nature of the enterprise;
- ⦿ Each repayment schedule is based on the nature and maturity period of the enterprise;
- ⦿ Accessible for both existing and new groups,
- ⦿ Formal registration of groups not a pre-condition for access (but encouraged after access of funds as part of enterprise sustainability),
- c *Institutional Support (IS)*: It ensures effective and efficient programme management and coordination at all levels. Under this component, beneficiary groups receive basic training in bookkeeping, teambuilding, enterprise planning and implementation, entrepreneurship/business skills and group dynamics. In addition, business counseling is provided to the women to enable them realize their potential. This component accounts for 15% of the total funds allocation.

The primary target beneficiaries of the programme are women within the age bracket of 18–65 years. The programme strongly emphasizes the integration of the following categories of women into beneficiary groups: unemployed women; vulnerable groups e.g. single young mothers, widows and gender based Violence (GBV) survivors; women with Disabilities; women living with HIV/AIDS; women heading households; Women slum dwellers; women living in hard to reach areas, and; ethnic minorities.

34 <https://mglsd.go.ug/uwep/>



**Criteria for selection of beneficiaries:**

- a The beneficiary women groups (10–15 members involved in income generating activities) are identified and selected through a community participatory process that involves Local Council 1 (LC 1) and Women Council leaders as trusted members of the community.
- b The selection of the women group to benefit under the UWEP is undertaken by the Beneficiary Selection Committee chaired by the Senior Assistant Secretary/Sub-County Chief with members including the Chairperson of the Sub-County Women Council and the Community Development Officer.
- c The respective LC 1 Chairpersons confirm that the selected women group members are bona fide Ugandans who reside within their respective communities (the catchment area for the group membership may be a village, parish and must not go beyond a sub-county/town council/city division).

For purposes of continuous involvement of the women and ensuring their representation in programme processes, the Sub-county Women Council Chairperson and the District Women Council Chairperson are co-opted onto the Sub-county Technical Planning Committee (STPC) and the District Technical Planning Committee (DTPC) during the approval of the Enterprise Proposals. The STPC submits the verified women proposals to the Sub County Executive Committee for endorsement and thereafter to the DTPC for approval with relevant documentation. The DTPC also submits the approved women proposals to the District Executive Committee for endorsement to ensure that equity issues are taken care of.

### 3.8.3 Youth Livelihood Programme (YLP)<sup>35</sup>

The YLP is a Government of Uganda financed programme designed as one of the interventions of Government in response to the high unemployment and poverty rates among the youth in the country. The Programme was launched January 24, 2014.

The main objectives of the Programme is to empower the target youth to harness their socio-economic potential and increase self-employment opportunities and income levels.

**Specific Objectives include:**

- a To provide youth with marketable vocational skills and tool kits for self-employment and job creation.
- b To provide financial support to enable the youth establish Income Generating Activities (IGAs).
- c To provide the youth with entrepreneurship and life skills as an integral part of their livelihoods.
- d To provide youth with relevant knowledge and information for attitudinal change (positive mind set change).

**YLP is implemented through three components:**

- a Skills development component (20%): Supports the development of marketable livelihoods skills that create opportunities for self – employment among the poor and unemployed youth. Investment options include: Masonry, carpentry, metal fabrication, hair dressing, tailoring, leather works, Agro-processing, electrical repairs, bakery/cookery, Video-Audio editing, motor mechanics, clay moulding etc.
- b Livelihood support component (70%): Provides productive assets for viable income generating enterprises chosen by the youth. Investment options include, dairy production, high value crops, poultry/egg production, piggery, aquaculture, animal traction, agro-forestry, post-harvest handling, value addition, trade, service sector projects, etc.

YLP support is provided through Youth Interest Groups (YIGs) of 10–15 persons in form of Revolving Funds (Soft Loans-with youth friendly terms).

35 Adapted from: <https://mglsd.go.ug/ylp/>

**Terms and Conditions the funds:**

- ⦿ No interest for repayments made within the first twelve months;
  - ⦿ Only 5% per annum surcharge for the repayments made after the initial 12 months;
  - ⦿ No physical assets/collateral required;
  - ⦿ Flexible repayment period of 1-3 years depending on the nature of the project;
  - ⦿ Accessible for both existing and new groups;
  - ⦿ Formal registration of groups not a pre-condition for access;
  - ⦿ No administrative fees levied on any application;
  - ⦿ The fund size depends on request made by the group ranging from UGX 1-25 million.
- c** Institutional Support (10%): Has two sub-components: (i) Project Implementation Support (PIS): to improve the technical, administrative and managerial capacity of the key implementers of the Project at national, local government and community levels; and (ii) Transparency Accountability and Anti-corruption (TAAC) to promote good governance and accountability at all levels of project implementation. This is implemented in collaboration with the Inspectorate of Government (IG).

**Target Beneficiaries of the programme**

The programme targets unemployed and poor youth aged 18–30 years, including the following categories: drop-outs from schools and training institutions, youth who have not had the opportunity to attend formal education, single parent youth, youth with disability, youth living with HIV/AIDS, youth who have completed secondary school or tertiary institutions (including university) but remain unemployed.

**Beneficiary Selection**

- ⦿ The process of beneficiary selection is facilitated by the Selection Committee comprised of the Senior Assistant Secretary/sub-county Chief, Sub-county CDO/ACDO, Sub-county Youth Chairperson and LCI Chairperson of the area.
- ⦿ Beneficiary selection is done in a community meeting in a transparent and participatory manner.
- ⦿ The process begins with sensitization of the entire community on the Youth Livelihood Programme. Thereafter the Selection Committee announces the receipt of a Project Interest Form (PIF).
- ⦿ Youth from that community and ask them to introduce themselves to the meeting. At this point the actual selection will have started.

**Project Funds Access Guidelines**

The LP Support is accessed by Youth Groups (30% of the group members should be female) that expressed interest, passed the beneficiary selection criteria, and generated viable projects that are approved by the District Technical Planning Committee.

**The eligible beneficiaries should:**

- a** Obtain a Project Interest Form (PIF) from the sub-county distributed free of charge by the sub-county Focal Point Person (CDO/ACDO). It is a one-page form which captures the type of project the youth wish to undertake, the location of the proposed project site, as well as the contact persons for follow up.
- b** Complete the PIF in duplicate (one copy to be submitted to the sub-county and the other to be retained by the youth).
- c** Each PIF issued and returned to the sub-county and entered in a PIF register, maintained by the sub-county.
- d** It should be noted that the PIF is not a Project Application Form. It is an indication of the wish of the youth to participate in the programme and an invitation to the sub-county authorities to follow-up and facilitate the Youth to transform their project idea into a fundable project proposal/application.

- e On receipt of the PIF at the sub-county, the sub-county Selection Committee, based on the information provided on the PIF, gets in touch with the Local Council-One (LCI) Chairperson of the area to mobilize the youth who are behind the PIF submitted, together with the entire community of the village they reside in, for a meeting to be conducted within that village/community.

#### Implementation Arrangements

YLP is mainstreamed into Government structures at the National and Local Government levels.

- ⦿ The Local Governments are responsible for mobilization and sensitization, beneficiary selection, facilitating projects preparation, appraisal and approval of projects, monitoring and supervision.
- ⦿ MGLSD provides the technical guidelines, support capacity building, financing, and overall coordination.

### 3.8.4 Emyooga<sup>36</sup>

This is a presidential initiative on wealth and job creation launched in August 2019 as part of the broad government strategy targeting to transform 68% of homesteads from subsistence to market-oriented production. The initiative is centered on various 18 categories/enterprises/Emyooga covering majority of the hitherto financially excluded Ugandans engaged in similar specialized enterprise categories.

#### Objectives of the Programme

The ultimate objective of the Emyooga programme is to facilitate the socio-economic transformation of households from subsistence to the money economy and market-oriented production.



#### Other objectives include:

- a To increase employment opportunities
- b To improve the household incomes of the target beneficiaries
- c To enhance the entrepreneurial capacity of the beneficiaries through sensitization, skilling, and tooling

#### The initiative has two major components, namely:

- a Establishment of zonal artisan/Jua Kali parks – implemented by the Office of the President.
- b Setting up specialized funds (Emyooga) – implemented by Ministry of Finance Planning and Economic Development.

The Microfinance Support Centre Ltd (MSC) was designated as the lead implementing agency for component two. MSC works collaboratively with the District Emyooga Taskforces that were set up in each district and chaired by the Resident District Commissioners (RDCs/RCCs), Local Governments, Ministry of Trade Industry and Cooperatives (MTIC) among others.



#### Target population

The programme targets all active Ugandans from the age of 18 and above, except for the particular Youth Emyooga SACCOs where members should not exceed 35 years. However, even after 35yrs, a member continues being a member if he/she so wishes.

#### Eligibility

The eligible categories targeted are people, organized in SACCOs, operating the following enterprises/categories: Boda bodas, women entrepreneurs, carpenters, salon operators, taxi operators, restaurant owners, welders, market vendors, youth leaders, persons with disabilities (PWDs), produce dealers, mechanics, tailors, journalists, performing artists, veterans (veteran widows and orphaned children), fishermen, and elected leaders.

36 Adapted from: <https://www.msc.co.ug/emyooga/>

The SACCOs for each category are organized at the Constituency level but with operations at the Parish level, where the Parish Associations are registered. Special consideration is given to densely populated areas like Kampala and Wakiso, where SACCOs may be formed at either, the parish/ward, zone or workplace for Kampala and Sub-county/Town Council for Wakiso. For Emyooga SACCOs with less than five associations, membership is considered at the individual level.



### **Formation of Emyooga SACCOs**

- ❶ Only registered Emyooga Associations composed of members engaged in similar enterprises become members of Myooga SACCOs.
- ❷ The minimum number of associations per Mwooga SACCO outside Kampala is 05 associations. In Kampala City, the minimum number of associations is ten.
- ❸ To join an association, each member pays a one-off membership fee of 10,000/= and a one-off annual subscription fee of 10,000/= to the association.
- ❹ The initial nominal share value for each Myooga SACCO is recommended at UGX 100,000 and Membership is recommended at UGX 50,000.

### **Registration of SACCOs**

The Emyooga Associations are registered at the office of the Community Development Officer, managed by a five-member Committee, including the: Chairperson, Vice Chairperson (Money Counter), Secretary, Treasurer, and Publicity (Money Counter).

The Emyooga SACCOs are registered by the Ministry of Trade Industry and Cooperatives (MTIC), managed by an Executive Committee (elected by the General Delegates meeting), comprised of the Chairperson, Vice-Chairperson, Treasurer, and other two or more members but not exceeding six members. Each Emyooga SACCO has a Supervisory Committee of three members, elected from the delegates by the General Delegates meeting but independent of the Executive Committee (Quality control and supervision and management support).

Bye-laws were customized to facilitate the registration of Specialized Emyooga SACCOs. Also Emyooga Association Constitutions were provided by MSC to ease registration of the SACCO members.

### **Specialized funds (seed capital)**

Apart from the Elected Leaders' SACCOs that access UGX 50 million each, the rest of the 17 constituency SACCOs each accesses a grant of UGX 30 million. The grants are channeled through the Microfinance Support Centre Ltd and disbursed directly to the accounts of beneficiary SACCOs.

To benefit from Myooga seed capital, associations open accounts, pay membership fees, and buy shares in their Emyooga SACCOs.

The Emyooga SACCOs formed per district open bank accounts, which their respective RDCs, RCCs and Ministry for Kampala and Metropolitan Affairs verifies and submit to MSC in preparation for seed capital disbursement.

## **3.8.5 Social Assistance Grant for Empowerment (SAGE)<sup>37</sup>**

In July 2010 the Government of Uganda approved the implementation of the Expanding Social Protection Programme (ESPP). One of the two key elements of the ESPP is the political Social Assistance Grants for Empowerment (SAGE) programme. The main objective of SAGE is empowering recipient households through: Reducing material deprivation; Increasing economic security; Reducing social exclusion; and Increasing access to service.

<sup>37</sup> Adapted from: Oxford Policy Management, Economic Policy Research Centre and University of Makerere (2016), Evaluation of the Uganda Social Assistance Grants for Empowerment (SAGE) Programme Impact after two years of programme operations 2012-2014. Final report

SAGE applies two targeting methodologies for its social transfers: the Vulnerable Family Support Grant (VFSG) and the Senior Citizens Grant (SCG). Following the successful implementation of the pilot, in August 2015, Government announced a phased national rollout of the Senior Citizens Grant.

Under the VFSG, adult women (if they are present in a beneficiary household) are selected by the programme to be the physical recipient of transfers (men are selected if women are not present). However, in June 2015, the MoGLSD phased out the VFSG based on the lessons learnt in the course of the pilot that showed that the Vulnerable Family Grant was contentious and not well accepted by the community, as was the case with the Senior Citizens Grants.

Under the SCG, the transfer is given to older persons (above 80 years of age) and all the older persons who were of age 80+ and belonged to the NIRA database captured by the programme were enrolled. The SCG beneficiaries receive UGX 25,000 per month and is paid every two months.

Responsibility for implementation of SAGE rests with the SAGE Implementation Unit, based within the Social Protection Secretariat in the MoGLSD. An ESPP Steering Committee oversees the work of the Social Protection Secretariat, including implementation of the SAGE programme. Within the pilot districts SAGE is administered by local government officials, including District Chairpersons, Community Development Officers (CDOs), Sub-county Chairpersons, Parish Chiefs and (LC1s).

SAGE cash transfers are delivered to beneficiaries via an electronic payments system by Post Bank Uganda using MTN Mobile Money. Payments are made on a bi-monthly basis. Paypoints are located at one or two central points in each sub-county, such as the sub-county centre.

### 3.8.6 Peace, Recovery and Development Plan (PRDP)

The Peace Recovery Development Plan (PRDP) was launched in 2009 after an elongated planning process which began in 2007. It was designed to address the needs of Northern Uganda as it emerged from two decades of conflict. The multi-donor framework, focused on four areas: i) Consolidation of state authority, ii) Empowering communities, iii) Revitalisation of the economy and iv) Peace building and reconciliation.

The PRDP covers districts in Acholi<sup>38</sup>, Bukedi<sup>39</sup>, Bunyoro<sup>40</sup>, Elgon<sup>41</sup>, Karamoja<sup>42</sup>, Lango<sup>43</sup>, Teso<sup>44</sup> and West Nile<sup>45</sup> sub regions. The PRDP seeks to strengthen coordination, supervision and monitoring of all development programmes in Northern Uganda to achieve better results. It sets out a development framework to be adopted by the various stakeholders in their interventions in the North. The Plan was prepared on the basis of lessons learnt from the implementation of the various programmes in the North such as the Northern Ugandan Reconstruction Plan (NUREP) and the Northern Uganda Social Action Fund (NUSAF).

The PRDP uses three funding modalities – a PRDP grant (under the District and Sub-county Discretionary Development Equalization Grant), special projects and off-budget finance. The PRDP grant allows local governments flexibility in how they spent PRDP money, with an element of freedom to allocate between sectors (health, education, roads, water, production, environment, lands and local government). Special projects such as NUSAF (I, II, & III), Northern Ugandan Reconstruction Plan (NUREP), Development Response to Displacement Impacts Project (DRDIP), Development Initiative for Northern Uganda (DINU), cut across multiple local governments and in some cases across sub-regions. Off-budget finance consisted primarily of NGO and Development Partner projects not included in GoU budget estimates.

38 Amuru, Pader, Kitgum, Gulu, Nwoya, Agago and Lamwo

39 Tororo, Busia, Butaleja, Pallisa, Budaka, Kibuku

40 Masindi, Buliisa, Kiryandongo

41 Mbale, Manafwa, Sironko, Bulambuli, Bududa, Kween, Kapchorwa, and Bukwo

42 Moroto, Kotido, Nakapiripirit, Abim, Kaabong, Napak and Amudat

43 Kole, Lira, Amolatar, Dokolo, Oyam, Apac, Otuke, and Alebtong

44 Katakwi, Amuria, Soroti, Kumi, Kaberamaido, Bukedea, Serere, Ngora

45 Arua, Moyo, Maracha Adjumani, Koboko, Nebbi, Yumbe, and Zombo



### 3.8.7 Northern Uganda Social Action Fund (NUSAF III)<sup>46</sup>

The third Northern Uganda Social Action Fund (NUSAF III) is a five-year Social Protection and Affirmative Programme implemented under the Office of the Prime Minister. NUSAF III is financed by a World Bank loan of US \$130 million and became effective in March 2016. NUSAF III builds on the lessons of both the first phases (NUSAF I and NUSAF II). The project targeted poor and vulnerable households in 55 districts of Northern Uganda. The NUSAF IV is set to take off in July 2023.

The main objective of the project is to provide effective income support to and build the resilience of poor and vulnerable households in Northern Uganda. Other objectives include:

- a To provide effective household income support to and build Resilience of the poor and vulnerable household in Northern Uganda.
- b To enhance transparency and accountability in public service delivery in Northern Uganda.
- c To strengthen institutional capacity to implement, monitor and evaluate the project at all levels.



**The project has four components:**

- a Labour-intensive public works and disaster risk financing. This aims at providing temporary/seasonal employment opportunities for poor and vulnerable households and has the capability of being scaled up in response to disasters in selected pilot areas. It consists of two sub-components: (i) LIPW; and (ii) disaster risk financing.
- b Livelihood investment support. Aim at extending livelihood support to poor and vulnerable households and, by doing so, increase their productive assets and incomes. It consists of two sub-components: (i) improved household income support programme; and (ii) sustainable livelihoods pilot.
- c strengthening transparency, accountability, and anti-corruption (TAAC). It covers activities which include: (i) sensitization and awareness of targeted communities to prevent misuse of project resources; (ii) enhancing the engagement of citizens and stakeholders; (iii) inspection and monitoring of project activities at all levels by the Inspectorate of Government (IG) and at the community levels by the Community Monitoring Groups (CMGs); and (iv) enforcement through investigation and prosecution.
- d Safety net mechanisms and project management. This aims at providing institutional support for implementation of the project and to help develop the social protection operational tools.

#### **Funding**

- ② Funds transferred to the beneficiary Local Governments to implement sub-projects approved by District Executive Committee (DEC).
- ② Funds transferred to the Department of Disaster Preparedness and Management at OPM to implement the Disaster Risk Financing component.
- ② Funds transferred to the MoGLSD to support the establishment and strengthening of systems to promote the harmonization of the direct income support event of the Social protection sector.

### 3.8.8 Development Response to Displacement Impacts Project (DRDIP) <sup>47</sup>

The DRDIP is a World Bank funded multi-regional project covering four countries in the East African Region. DRDIP-Uganda, is five-year projected implemented under the Office of the Prime Minister and became effective on June 17th 2017. The project provides development and direct income support to the poor and vulnerable within 15 Refugee hosting districts<sup>48</sup> in Uganda. The project addresses the

46 Adapted from: <https://opm.go.ug/northern-uganda-social-action-fund-nusaf-3/>

47 Adapted from: <https://opm.go.ug/northern-uganda-social-action-fund-nusaf-3/>

48 Arua, Koboko, Yumbe, Moyo, Adjumani, Obongi, Madi-Okollo and Terego in the West Nile sub region, Lamwo, in Acholi sub region; Hoima, Kikuube, Kiryandongo in the Bunyoro sub region; Isingiro, Kyegegwa and Kamwenge in the South-Western sub-region.



social economic, and environmental impacts of protracted refugee presence in the host communities and refugee settlements through interlinked investment components.

The main objective of DRDIP is to improve access to basic social services (health, education, water and sanitation), expand economic opportunities and enhance environmental management for refugee host district communities and settlements.



**The DRDIP has four components:**

- a Supporting investments in social services and economic infrastructure and building of the capacity of local government units.
- b Environmental management activities.
- c Investment in traditional and non-traditional livelihoods.
- d Support of the national and local level project coordination activities.

### 3.8.9 Development Initiative for Northern Uganda (DINU) <sup>49</sup>

The Development Initiative for Northern Uganda (DINU) is a Government of Uganda programme supported by the European Union (EU) and supervised by the Office of the Prime Minister (OPM) in partnership with local governments and a wide range of stakeholders<sup>50</sup>. DINU is a multi-sectoral programme aimed at improving livelihoods in 41 districts in the five sub-regions of Acholi, Karamoja, Lango, Teso and West Nile for a duration of six years (2017–2023).

The major objective of the programme is to consolidate stability in Northern Uganda, eradicate poverty and under-nutrition and strengthen the foundations for sustainable and inclusive socio-economic development by focusing on three areas: (i) Food Security, Nutrition and Livelihoods (ii) Infrastructures (transport, logistics, water, energy) and (iii) Good Governance.



**The Objectives of the project include:**

- a To increase food security, improve maternal and child nutrition, and enhance household incomes through support to diversified food production and commercial agriculture and through improving household resilience (notably to climate change) and women empowerment.
- b To increase trade of commodities within the region, within the country and with neighbouring countries through the improvement of transport infrastructure.
- c To strengthen capacity, gender-responsive, good governance (core mandate and general broad mandate) and the rule of law at the level of local government authorities and empower communities to participate in improved local service delivery.



The OPM through the DINU Programme Management Unit, directly manages five key activities with government agencies aiming to support:

- a Youth skilling in agri-business areas (short-term trainings at eight BTVETs: ADRAA Agriculture College, Amelo Technical Institute, Amugo Agro Technical Institute, Ave Maria Vocational Training and Youth Development Centre, Kotido Technical Institute, Lokopio Hills Technical Institute, Nakapiripirit Technical Institute, and Northern Uganda Youth Development Centre.
- b Barazas conducted by OPM.
- c Budget Transparency Initiatives (Ministry of Finance, Planning and Economic Development).
- d Uganda Police Force capacities in Karamoja.

<sup>49</sup> Adapted from: <https://opm.go.ug/northern-uganda-social-action-fund-nusaf-3/>

<sup>50</sup> Key implementing partners: Trade Mark East Africa (TMEA), GIZ-Germany, United Nations Capital Development Fund (UNCDF), United Nations International Children's Emergency Fund (UNICEF), Uganda National Roads Authority (UNRA), CARITAS Switzerland, International Institute of Tropical Agriculture, National Agricultural Research Organisation (NARO), Lutheran World Federation (LWF), CARE-Denmark, Konrad-Adenauer-Stiftung, Center for Health Human, Rights and Development (CEHURD), ADOL Health Care Initiative, and DIAKONIA Sweden

- e Local Government Production Departments (short-term trainings at Makerere University – College of Agricultural and Environmental Sciences).
- f Improvement of agricultural extension service delivery through rolling out the e-extension and agricultural statistics systems (collaboration with Ministry of Agriculture, Animal Industries and Fisheries).

### 3.9 How Interest Groups Especially Women, Youth, PWDs, and Elderly can Participate and Benefit from these Programmes

All the above-mentioned programmes are designed and implemented to benefit the community. The design and implementation should be inclusive to improve the welfare of women, men, boys and girls, and PWDs. Therefore, interest groups need to take keen interest in these programmes by:

- ② Forming or joining groups (such as income generating groups, Village Savings and Loans Association (VSLA), Savings and Credit Cooperative Organizations (SACCOs) to access/benefit from a particular programme.
- ② Obtain a national identity card (ID), since one requires a national to benefit from most government programmes.
- ② Participating in planning meetings where project sites and beneficiaries are identified.
- ② Support implementation by contributing resources (money- co-funding, materials among others) and ensuring that the community contributions are well utilized by the project implementers.
- ② Participate in election of community representatives on community committees such as Village Health Teams, Health Unit Management Committees, School Management Committees, Environment Committees, Road User Committees, Water User Committees, Parents Teachers Associations, among others.
- ② Monitoring the implementation of specific activities on a daily basis such as school construction to ensure work is properly done according to the agreed standards.
- ② Report all cases of misuse and corruption to relevant authorities such as Police, Inspectorate of Government, RDC, State House Health Monitoring Unit, among others.
- ② Engaging the elected leaders and holding them accountable for their decisions or no decisions.



#### End of Chapter Self-Assessment

After this Chapter, I can:		Yes	No
a	Identify and describe key government programmes at LG levels		
b	Explain what these programmes are intended to achieve		
c	Explore the opportunities available to participate, and engage in these programmes in my community		
d	Encourage interest groups (women, girls, PWDs, youth, elderly etc) to participate and engage in these programmes		

## CHAPTER FOUR

# BUDGET AND SERVICE DELIVERY MONITORING AND ACCOUNTABILITY

**Broad purpose of this chapter**

To gain a deeper understanding of the budget and service delivery monitoring in order to have a holistic picture of how the allocation and implementation public resources/goods directly or indirectly affect people

**Competency**

In this chapter, you will be empowered with knowledge of how you can undertake monitoring in your community to ensure government resources are utilized effectively, thus, enhancing accountability

**Learning outcomes**

By the end of this chapter, you will be able to:

- 🕒 Explain what monitoring and evaluation is and the difference between the two
- 🕒 Develop monitoring indicators
- 🕒 Develop budget and service monitoring tools
- 🕒 Undertake monitoring of government programmes (i.e. UPE) in my community
- 🕒 Produce a monitoring report and share it with relevant stakeholders
- 🕒 Access information on budget and service delivery facilities (i.e. school) in my community

**Keywords, issues and themes**

- 🕒 Monitoring and Evaluation | Monitoring indicators | Budget and Service delivery tools
- 🕒 Budget and Service delivery monitoring | Access to information

**Crosscutting Issues**

- 🕒 Gender, Women, Youth, Elderly, PWDs

## 4.1 Introduction

The purpose of community budget and service delivery monitoring is to have a holistic picture of how public resources and services directly or indirectly affect people, especially the poorest and marginalized people. The importance of budget monitoring is derived out of the recognition that allocation of funds does not always lead to disbursement or even efficient utilization of the amount disbursed. The leakage of funds from the system is either caused by misappropriation, outright fraud or over pricing of contracts among other things. It is for this reason that community members need to be involved in budget monitoring of the resources meant for delivery of public services in their communities. The process of budget and service delivery monitoring therefore contributes to the enhancement of accountability and achievement of good governance at LG levels.

Budget and service delivery monitoring is therefore important and critical for communities and CBOs to hold local governments, local leaders and service providers accountable in accordance with policy commitments and development plans.

## 4.2 Importance of Budget and Service Delivery Monitoring?

We do budget and service delivery monitoring because we want to know the following:

- a** Find out whether the funds are reaching the public facilities (such as schools) and how well they are being used:
  - ⦿ How much the facility received?
  - ⦿ How much was spent on important items such as general administration, salaries, purchase of goods etc?
  - ⦿ Availability or records of purchased items (verify with the stores, users, community)
  - ⦿ Funds received are published on facility notice board for public viewing.
  - ⦿ Involvement (active and authorize) of management committees (such as School Management Committee) the transactions of the facility.
- b** Confirm whether the facility is undertaking the activities being funded by the government:
  - ⦿ Schedule of planned activities (workplan and budget).
  - ⦿ Evidence of implementation of planned activities (key outputs).
  - ⦿ Major challenges in implementation of activities.
- c** The find out the quality and utilisation of services in government facilities?
  - ⦿ Availability of staff (teacher, health workers, extension workers etc).
  - ⦿ Availability of materials (i.e. medicines, scholastic materials).
  - ⦿ Availability and quality of infrastructure (ie. buildings, maternity wards).
  - ⦿ Conduct of staff (i.e behaviour, absenteeism, later coming).
  - ⦿ User's satisfaction with the services being offered by facilities.
- d** Check whether the facility is accountable for what it is receiving from government?
  - ⦿ Amount received has been entered in the cash book or voucher.
  - ⦿ Amount spent has been captured in the voucher book.
  - ⦿ Books of accounts are open for scrutiny and auditing.
  - ⦿ When the last Government audit was conducted in the facility.
  - ⦿ Signatories on the facility bank accounts.
  - ⦿ Funds received and accountability of funds utilized are displayed on the public notice board.



- ⦿ Management committees (such as School Management Committee) are active in ensuring proper accountability of funds.
- e Procurement is most of the times abused and you should verify the following:
  - ⦿ Procurement procedures are being followed, by comparing the findings to the standard guidelines provided by government.
  - ⦿ Reasons for failure to follow procurement procedures.
  - ⦿ Members of the procurement committee (if any), and how often they meet.
  - ⦿ Materials and goods procured are recorded and verified to meet the specified specification.
  - ⦿ Utilisation of procured materials and security of stores.

## 4.3 Understanding Monitoring and Evaluation

### 4.3.1 What is Monitoring?



Monitoring is about systematically collecting information about progress of the programme/project to determine whether it is on or off course.

#### Monitoring

- ⦿ Is about tracking the progress of an activity, project, policy or programme i.e. where did we come from? Where are we now? Where are we heading?
- ⦿ Is about observing and writing down the observation of any action that is taking place during the course of implementing a policy, programme or activity.
- ⦿ Involves measuring the actual outputs versus the planned outputs to determine whether project is on course or off.
- ⦿ Is continuous. Every day that a person uses a public service, they are wondering whether they are being served well or not. They are observing and if asked are able to tell whether they were satisfied or not. If they are not satisfied, they are likely to say and if they are satisfied, they are also likely to say so.

Monitoring focuses on measuring **outputs** (process and products related to the programme/project implementation). It is done on a **regular basis** throughout the life of a programme/project and helps ensure that the project stays on track.

### 4.3.2 What is Evaluation?



Evaluation is an assessment of whether a project has met its intended objectives and achieved the expected results or impact.

### Evaluation

- ⦿ A process that attempts to critically, systematically and objectively determine or assess the value added by project in meeting the stated objectives.
- ⦿ Carried out at **periodic intervals** (mid-term review and post-implementation period) to determine what causes a project to deviate from plans, and its effects as well as the impact it has on the target group.
- ⦿ Able to provide the project implementers with an explanation of why things have happened the way they have and provide them with the necessary information to take action.
- ⦿ Evaluation is a **periodical exercise**.

**Table 4.1** Difference between Monitoring and Evaluation

Monitoring	Evaluation
Continuous <ul style="list-style-type: none"> <li>⦿ Regular assessment, to gather information that will be used to improve the implementation of the project.</li> <li>⦿ Routinely collects data on these indicators, compares actual results with targets.</li> <li>⦿ Reports progress to managers and alert them to problems.</li> </ul>	Periodic <ul style="list-style-type: none"> <li>⦿ Thorough assessment of the project carried out within specified periods, in consultation with all stakeholders.</li> <li>⦿ Explores unintended results.</li> <li>⦿ Provides lessons and offers recommendations for improvement.</li> </ul>

In practice, monitoring and evaluation are very similar. In fact, monitoring is sometimes referred to as “on-going evaluation.” Both monitoring and evaluation can be conducted using the same methods.

### 4.3.3 Developing Monitoring and Evaluation (M&E) Indictors

An indicator is used to measure progress of the project and to determine whether or not the project is making progress.

Indicators are used as signals that inform the beneficiaries and service providers that either the project is on course as planned, has stalled or even failed.

What do all these symbols indicate? Would they give you an idea what services you can get or whether the service is available?



Good indicators should be Specific, Measurable, Achievable, Realistic, Timely and Gender Responsive (SMART&G).

- S** **Specific:** focused to enable you get relevant information. For instance, if the programme is about agriculture, the indicators should focus on agriculture, as opposed to primary school education.
- M** **Measurable:** should be able to gather data that will show how much progress has been made. This implies that information on the present situation is available.
- A** **Achievable:** should be something that is attainable within the existing circumstances.
- R** **Realistic:** in line with the available resources, the social, economic and political situation, among other factors. What can be done within a specific time.



- T Timeframe:** have a time frame e.g one year, six months etc. This will enable regular tracking of progress.
- G Gender Responsive:** should take into consideration those aspects of the programme/project aimed at gender equity – fair distribution of roles according to the numbers available for each gender proportionally; gender balance – balancing the needs of both genders, strategic needs of each gender (female or male) and other aspects as might be identified.

**Factors to consider when selecting indicators include:**

- ④ Data availability
- ④ Resources (human and finance)
- ④ Programme needs
- ④ Different stakeholder requirements

#### 4.3.4 Methods of Data Collection

Data describes the situation to be addressed by the programme or project and serves as the starting point for monitoring and evaluation. Data can be categorized into two forms: primary and secondary data.

- a Primary data.** This is original data collected using specific tools such as questionnaires, observation guides etc.
- b Secondary data.** This is data that has been collected for other purposes not directly related to the particular study being undertaken, i.e media reports, records purposes etc.

The methods for collecting and recording information must suit the indicators identified and the local cultural context. Data collection methods should as much as possible be tailored to the identified indicators. The following methods of data collection are general suggestions but must be selected depending on identified indicators.



- ④ **Conducting Interviews:** This is the most commonly used method of data collection. It entails carrying out an interview with affected people. Ways of interviewing include: Face- to-face, and telephone.  
Answers to the questions posed during an interview can be recorded by: writing them down (during or after the interview) audio/video taping the responses, or a combination of both.
- ④ **Observation:** The monitor does not undertake an interview but simply observes the indicators. For example, in observing quantitative indicators like the number of classrooms built, number of people utilizing a specific service at a particular time, the monitor may not necessarily have to undertake an interview to find out such information. It is notable however that, observation and interviewing methods complement each other. A monitor may carry out an interview to fill in the missing gaps of information resulting from an observation.
- ④ **Group discussions:** This is a very quick method of collecting information that can be utilized by monitors. This can be done by calling community members to a local meeting for purposes of discussing services affecting them in their community.  
FGDS should: Involve 8 –12 people (or less); homogeneous/uniformity within group; 1.5 to 2 hours in length (or less).  
Key points for successful FGD: Select a small group of people; Set clear guidelines from the beginning; Identify a moderator of the discussion; Ensure equal participation; and Encourage discussion & involvement
- ④ **Case studies:** The monitor may need to concentrate on monitoring and evaluating a particular service. It is a good method for enlisting detailed information concerning all the processes undertaken in the delivery of a service.

### 4.3.5 Sources of Information

There are several sources from which a monitor can collect information. These may include among others:

- ④ **The community:** This is the most crucial source of information. Community members are very knowledgeable of their own situations and from them the monitor can learn about the status of the community prior to the introduction of the programme or project and the changes that have occurred since the introduction.
- ④ **Media:** The media is a very important source of information, a lot of information can be got from the local newspapers, and radios. The role of the media is to inform the public of the existence of certain social problems like corruption or misuse of public resources.
- ④ **Social media:** This includes WhatsApp, Facebook, Twitter, etc. However, information from these needs to be verified authenticity first before using the information.
- ④ **Websites.** Most government agencies have websites where one can get information such as the budget website: <https://budget.finance.go.ug/>
- ④ **District data bases:** Each department at the District and Sub-county keeps records of its activities. Monitors should utilize this information in informing their fieldwork.
- ④ **Local NGOs:** Some information can be got from the records of local CBOs/NGO's operating in the area. They usually keep records not only of their activities but also for other development efforts of partners involved in areas of their interests.
- ④ Service User Committees; SMC, HUMCs, water user committees; VHTs; road user committees can also provide information.
- ④ Billboards i.e. construction works.

### 4.3.6 Data Management

This is the process of managing the information collected. After collecting the information from the field for example, what does the monitor do with it? In this case the monitor has to know what the information collected will be used for and how to disseminate it to the relevant authority. It is important to note here that, monitors shall only avail this information to the responsible persons.

Data storage ensures that the information collected is well preserved for future use. It entails keeping proper records of all activities undertaken by the monitor and filing of the information collected from the field.

Information can be stored in two forms either in hard copy form, i.e. handwritten/typed reports or in soft copy on computer and other storage devices. It is preferable that information be stored in a typed format because it is more applicable to the conditions of grass root monitors, but whichever form is chosen over the other data should be readily accessible when required for use.

### 4.3.7 Report Production and Dissemination

After monitoring it is important for the monitors to prepare a report and present their findings and challenges to the key service providers (LG officials) and stakeholders. Key stakeholders such as Local Council members, CBOs representatives, community members should be engaged. The report should be produced in a simple format that can be understood by all stakeholders.



**The report should have the following:**

- ④ Executive summary
- ④ Introduction and background
- ④ Objectives, methodology and scope

- ⦿ Challenges faced while conduction monitoring (optional)
- ⦿ Major findings based on the issues monitored (i.e. funding, attendance, facilities)
- ⦿ Conclusions and recommendations.

### 4.3.8 Developing Budget and Service Delivery Monitoring Tools

To effectively monitor public expenditure or delivery of government programmes, community members or CBOs need to develop a good monitoring and evaluation (M&E) tool. The M&E tool helps the community monitors or CBOs to collect and analyse information regarding the implementation of the government programmes.

Based on the programmes discussed in Chapter Three, community monitors or CBOs can develop a budget and service delivery monitoring tool for each of them. Monitoring tools vary depending on the activity to be monitored and the community. The following steps can be used to develop the budget and service delivery monitoring tool.



- a** Develop the monitoring objectives. The monitors should start with developing monitoring objectives, i.e., what they would wish to achieve by monitoring. An objective should be simple but easy to achieve, such as “ascertaining the utilization of UPE funds”.
- b** Developing the indicators. Indicators help to show that the objective has been met. As mentioned above, indicators have to be SMART. Each objective should have its own indicators. For example, using the objective above, indicators can include “amount of funds received”, “display of funds” etc.
- c** Defining the sources of information. For each indicator, monitors should show where they hope to get information. For instance, “school notice board”, “head teachers’ office” etc.
- d** Overall assessment and recommendations. After monitoring, monitors should provide a short paragraph on their overall assessment and recommendations. These should be based on the monitoring findings.

An examples a of community motoring tool template is show in Table 4.2. Detailed examples are provided in **Annex 7**.

**Table 4.2** Example of a Community M&E Tool Template

Objectives	Indictors	Source of information

Overall assessment: .....

Recommendation: .....

## 4.4 Access to Information on the Budget and Services<sup>51</sup>

### 4.4.1 What is Information?

Information is material in any form, including records, documents, memos, e-mails, opinions, advice, press releases, circulars, orders, logbooks, contracts, reports, papers, samples, models, data or material held in any electronic form and information relating to any public or relevant private body which can be accessed by the public under the law.

### 4.4.2 Legal Frameworks on access to information

Laws governing access to information in Uganda are described in Table 4.3.

**Table 4.3** Legal Provisions for Access to and Provision of Information in Uganda

Laws	Provisions
The Constitution of Republic of Uganda (1995) (as amended)	Article 41 (1): Every citizen has a right of access to information in the possession of the State or any other organ or agency of the State except where the release of the information is likely to prejudice the security or sovereignty of the State or interfere with the right to the privacy of any other person. (2): Parliament shall make laws prescribing the classes of information referred to in clause (1) of this article and the procedure for obtaining access to that information.”
Access to Information Act (ATIA), 2005 and later the Access to Information Regulations, 2011,	<ul style="list-style-type: none"> <li>⦿ Operationalises Article 41 (2) of the Constitution of Republic of Uganda.</li> <li>⦿ Section 5 (1): “Every citizen has a right of access to information and records in the position of the state or anybody, except where the release of the information is likely to prejudice the security or sovereignty of the state or interfere with right to the privacy of any other person.” (2) stated that “For the avoidance of doubt, information and records to which a person is entitled to have access under this Act shall be accurate and up-to-date so far as is practicable.”</li> <li>⦿ Section 37: provides that a person may lodge a complaint with the Chief Magistrate, against the decision of an information Officer to refuse a request for access to information.</li> </ul>
The Whistle blowers Protection Act (2010)	<ul style="list-style-type: none"> <li>⦿ The Act provides for the procedures by which individuals in both the private and public sector may in the public interest disclose information that relates to irregular, illegal or corrupt practices.</li> <li>⦿ Section 2 (1): A person may make a disclosure of information where that person reasonably believes that the information tends to show— (a) that a corrupt, criminal or other unlawful act has been committed, is being committed or is likely to be committed; (b) that a public officer or employee has failed, refused or neglected to comply with any legal obligation to which that officer or employee is subject; (c) that a miscarriage of justice has occurred, is occurring or is likely to occur; (d) that any matter referred to in paragraphs (a) to (c) has been, is being or is likely to be deliberately concealed.</li> <li>⦿ Section 6 (2): All forms of information communication technology may be used to convey a disclosure.</li> <li>⦿ Section 17: A person who knowingly makes a disclosure containing information he or she knows to be false and intending that information to be acted upon as a disclosed matter, commits an offence and is liable on conviction to imprisonment not exceeding five years or a fine not exceeding one hundred and twenty currency points or both.</li> </ul>

51 Adapted from: CSBAG & CEW-IT (2017), Taxation, Budget, Access to Information, Mobilization and Advocacy. Training Guide

### 4.4.3 Bodies obligated to provide information

Section 4 of the Information Act (ATIA), 2005 defines public bodies to provide information to only include: government ministries, LGs (cities, districts, municipalities, divisions/sub-counties, wards/parishes, cells/LCIs), departments, statutory corporations, authorities, or commissions. The chief executive of the public body is the information officer to whom a request for information must be made.

### 4.4.4 Opportunities and Challenges for access to information



Government of Uganda has taken significant steps to promote the right of access to information through a number of programmes and initiatives such as:

- ④ The establishment of the Ministry of ICT and National Guidance (MoICT&NG) with a mandate to formulate and implement ICT policies; sustain, manage and oversee ICT infrastructure in the country among others<sup>52</sup>.
- ④ The MoICT&NG developed a centralised government information web portal ([www.gov.go.ug](http://www.gov.go.ug)), which functions as a gateway to all other government websites. The portal is reinforced by the ministry's requirement for all MDAs to have a communications officer, functional website, a presence on social media and email addresses for officials to ensure public accessibility.
- ④ Provision of Public Education Airtime on radio stations in every district across the country to sensitize the public on service delivery and development issues.<sup>53</sup>
- ④ The establishment of the Government Citizens Interaction Centre (GCIC) to enhance the monitoring of service delivery and provide a channel for feedback and suggestions from citizens.<sup>54</sup>
- ④ Establishment of the budget information website (<https://budget.finance.go.ug/>) which contains budget information of all MDAs and LGs.

**However, there are barriers to accessing information in Uganda.** <sup>55</sup>:

- ④ Wide exemptions to accessible information: The ATIA in Part III (section 23 – 34) lists exemptions which are too wide in scope and contradict the Constitution. These exemptions include cabinet minutes and those of its committees, operations of public bodies, commercial information of third parties, among others.
- ④ Culture of secrecy among public officials: Public officials use section 4.8.1(i) of the Code of Conduct and Ethics for Uganda Public Service (2006) and the Official Secrets Act (1964)<sup>56</sup> to avoid providing information to citizens when a request is made.
- ④ Ignorance of the law and its relevance: Government officials in some government ministries, departments and agencies are ignorant about the existence of the law on access to information, its importance and its implementation. In addition, due to low literacy levels, most citizens do not know that they have a right to information.
- ④ High costs of accessing information: Most information is printed in hard copies, and in some cases in electronic version. In both, the person requesting for this information has to photocopy or print the documents which is expensive for most people.
- ④ Tedious procedures involved in requesting information: The law requires that a request for information be made in writing and verbally (for those who can't write) to the information officer, who is required to respond within a period of 21 days after the request is received.

52 Ministry of ICT and National Guidance, <https://www.ict.go.ug/>

53 See for instance, Uganda Radio Network, "Guidelines on the Provision of Free Broadcast Air-Time to Publicize Government Programs", available at <https://ugandaradionetwork.com/story/guidelines-on-the-provision-of-free-broadcast-air-time-to-publicize-government-programs>

54 <http://gcic.gou.go.ug/>

55 Adapted from : CIPESA (2017), Position Paper: The State of Access to Information in Uganda

56 Most citizens cannot afford the cost of downloading information from websites, and this has been worsened by the 12% exercise duty on internet bundles.

## 4.4.5 Making an Information Request



### Procedure for accessing information:

- a** A person who wishes to obtain access to information from an information holder must make a request in writing (see Figure 4.1) or orally to the information officer of the body.
- b** If a person makes a request orally the information officer must reduce that oral request to writing and provide a copy thereof to the requester.
- c** On receipt of a request, the information officer must immediately provide a written acknowledgement of the request to the requester.
- d** If the information officer is able to provide an immediate response to a person making a request and such response is to the satisfaction of the requester, the information officer must make and retain a record of the request and the response thereto.
- e** Save in exceptional circumstances such as where the requester believes that the information is necessary to safeguard the life or liberty of a person or where the request is to a private body, the requester does not have to provide a justification or reason for requesting any information.
- f** A request must:
  - ⦿ provide such detail concerning the information requested as is reasonably necessary to enable the information officer to identify the information;
  - ⦿ if the requester believes that the information is necessary to safeguard the life or liberty of a person, the requester shall include a statement to that effect, including the basis for that belief;
  - ⦿ if the request is to a private body, the requester shall provide an explanation of why the requested information may assist in the exercise or protection of any right;
  - ⦿ identify the nature of the form and language in which the requester prefers access; and
  - ⦿ include an authorization from the person on whose behalf the request is made, in case it is made on behalf of someone else.
- g** Costs/fees for processing information requests. The general rule is that information should not be 'sold'. A requester is not required to pay any fee: (a) on lodging a request; (b) in relation to time spent by an information holder searching for the information requested; or (c) in relation to time spent by the information holder examining the information to determine whether it contains exempt information or deleting exempt information from a document. An information holder may however charge the requester a reproduction fee consisting of the reasonable reproduction costs incurred by the information holder.
- h** Where a request for information is refused, the information officer must give notice to the requester and:
  - ⦿ state adequate reasons for the refusal, based on the contents and substance of the request and the information considered by the information officer;
  - ⦿ make a reference to specific provisions of the national legislation upon which the refusal is based; and
  - ⦿ inform the requester that he or she may apply for a review of the decision in accordance with prescribed law.



**Figure 4.1** Sample of Information Request Form

<p><b>SCHEDULE 1</b> <b>FORMS</b></p> <p><b>THE REPUBLIC OF UGANDA</b> <b>THE ACCESS TO INFORMATION ACT, 2005</b> <b>THE ACCESS TO INFORMATION REGULATIONS, 2007</b> <b>REQUEST FORM</b> <b>(Please use a separate request form for each document requested)</b></p> <p>1. Name of public body (Please state the title of the institution from which you are requesting access to a record)</p> <p>.....</p> <p>.....</p> <p>2. Name of requester</p> <p>.....</p> <p>.....</p> <p>3. Particulars of requester (Please indicate the address to which correspondence related to your request should be sent)</p> <p>Postal address</p> <p>.....</p> <p>.....</p> <p>Physical address</p> <p>.....</p> <p>.....</p>	<p><b>FORM 1</b> <b>Reg. 4</b></p>	<p>Plot No. .....</p> <p>Street .....</p> <p>Town/City .....</p> <p>Telephone No. .....</p> <p>Fax No. .....</p> <p>Email .....</p> <p>Other .....</p> <p>4. Description of record (Please state all the information available to you which will assist in processing your request)</p> <p>Name/Type of document (If known)</p> <p>.....</p> <p>.....</p> <p>Reference/File No. (If known)</p> <p>.....</p> <p>.....</p> <p>5. Contents of document (Give brief description)</p> <p>.....</p> <p>.....</p>
6		7



## End of Chapter Self-Assessment

After this Chapter, I can:		Yes	No
<b>a</b>	Explain what monitoring and evaluation is and the difference between the two		
<b>b</b>	Develop monitoring indicators		
<b>c</b>	Develop budget and service monitoring tools		
<b>d</b>	Undertake monitoring of government programmes (i.e. UPE) in my community		
<b>e</b>	Produce a monitoring report and share it with relevant stakeholders		
<b>f</b>	Access information on budget and service delivery facilities (i.e. school) in my community		

## CHAPTER FIVE

# INCLUSIVE BUDGET ADVOCACY

**Broad purpose of this session**

To build a deeper understanding of how to undertake an effective budget advocacy

**Competency**

In this chapter, you will gain a deeper understanding of advocacy to empower you to effectively undertake budget advocacy

**Learning outcomes**

By the end of this chapter, you will be able to:

- Explain what advocacy and apply the steps to successful advocacy
- Explain how my voice can be heard on issues affecting my community
- Utilize the advocacy spaces at local levels

**Keywords, issues and themes**

Advocacy | Advocacy targets | Advocacy steps | Advocacy spaces

**Crosscutting Issues**

- Gender, Women, Youth, Elderly, PWDs

## 5.1 Understanding Advocacy

When you monitor, it is important to follow-up with your leaders and concerned people to ensure that corrective actions are taken on some of the issues which emerge from monitoring. You can do this through advocacy. Advocacy is a dynamic process involving an ever-changing set of actors, ideas, agendas, and politics.

We do advocacy because we want government to make policies, programmes, and plans aimed at solving the problems of our community. Even when policies, programmes and plans are in place, they are not favorable to the poor and marginalized people. Instead, they further marginalize many of the people in the community who are already disadvantaged and excluded because of their social status (such as being poor). Advocacy is aimed at changing such policies so that they can be properly implemented and so that the common person – the poor and marginalized people can also benefit.

We also advocate when an existing policy, programme or plan put in place by government so that poor people can access a service, but it is poorly implemented. In Uganda, examples of badly implemented policies, programmes and plans put in place for the benefit of poor people are many. Currently there are many problems with UPE implementation, poor health services and generally corruption in public offices which undermine any benefits that should go to improve the lives and conditions of poor people.

We do advocacy because we want to question, challenge, and change attitudes and behaviour of those people who are in positions of authority so that they may be able to appreciate the bad situation that poor and marginalized people face and work to change it, so as to deliver a better service.

### Box 5: What is Advocacy

- ▶ Advocacy is about challenging those in authority to make fair, equitable and favourable decisions, and change policies, programmes and plans in such a way that they are fair, equitable and favour the disadvantaged and powerless people in the community.
- ▶ Advocacy is about speaking up or drawing the attention of the local government officials about an issue or problem that affects the community, cause a public debate and finding solutions that lead to change in the existing bad situation.
- ▶ Advocacy is about taking action so that those in positions of power or responsibility change their negative attitude and behaviour about the poor and disadvantaged people and start treating them as human being like any other person.
- ▶ Advocacy is about developing pro-active strategies and tactics aimed at building the power, clout and energy of the community members so that they are able to claim their rights and entitlements.

#### It is always important to remember that:

First, **advocacy** is about influencing those who make policy decisions. Many people start with a preconception that advocacy is about “being confrontational” and “shouting at the government.” However, advocacy does not have to be confrontational. There is a wide range of advocacy approaches to choose from, e.g. a public vs. a private approach, engagement vs. confrontation, and working alone or in coalition with others.

Second, **advocacy** is a deliberate process, involving intentional actions. Therefore, before implementing advocacy strategies it must be clear who you are trying to influence and what policy you wish to change.

## 5.2 The Basic Elements of Advocacy<sup>57</sup>

While specific advocacy techniques and strategies vary, the following elements (Figure 5.1) form the basic building blocks for effective advocacy. Like building blocks, it is not necessary to use every single element to create an advocacy strategy. In addition, these elements need not be used in the order presented. You can choose and combine the elements that are most useful to you.

**Figure 5.1** The Basic Elements of Advocacy



Source: Ritu R. Sharma ( ), An Introduction to Advocacy: Training Guide

- a Selecting an advocacy objective:** In order for an advocacy effort to succeed, the goal must be narrowed down to an advocacy objective based on answers to questions such as:
  - Can the issue bring diverse groups together into a powerful coalition?
  - Is the objective achievable?
  - Will the objective really address the problem?
- b Using data and research for advocacy:** Data and research are essential for making informed decisions on a problem to work on, identifying solutions to the problem, and setting realistic goals. Good data itself can be the most persuasive argument.
  - Given the data, can you realistically reach the goal?
  - What data can be used to best support your arguments?

57 Adapted from: Ritu R. Sharma ( ), An Introduction to Advocacy: Training Guide

- c Identifying advocacy audiences:** Once the issue and goals are selected, advocacy efforts must be directed to the people with decision-making power and, ideally, to the people who influence the decision makers such as staff, advisors, influential elders, the media and the public.
  - What are the names of the decision makers who can make your goal a reality?
  - Who and what influences these decision makers?
- d Developing and delivering advocacy messages:** Different audiences respond to different messages. E.g. a politician may become motivated when she knows how many people in her district care about the problem.
  - What message will get the selected audience to act on your behalf?
- e Building coalitions:** The power of advocacy is found in the numbers of people who support your goal. Involving large numbers of people representing diverse interests can provide safety for advocacy as well as build political support. Even within an organization, internal coalition building, such as involving people from different departments in developing a new programme can help build consensus for action.
  - Who else can you invite to join your cause?
  - Who else could be an ally?
- f Making persuasive presentations:** Opportunities to influence key audiences are often limited. Careful and thorough preparation of convincing arguments and presentation style can turn these brief opportunities into successful advocacy.
  - If you have one chance to reach the decision maker, what do you want to say and how will you say it?
- g Fundraising for advocacy:** Advocacy requires resources. Sustaining an effective advocacy effort over the long-term means investing time and energy in raising funds or other resources to support your work.
  - How can you gather the needed resources to carry out your advocacy efforts?
- h Evaluating advocacy efforts:**
  - How do you know if you have succeeded in reaching your advocacy objective?
  - How can your advocacy strategies be improved?

Being an effective advocate require continuous feedback and evaluations of your efforts.

## 5.3 Targets for Advocacy

When doing advocacy it is important that you identify the right target with the power and authority to make the decision in your favour. A target is the person or individual in the position of authority at the sub county or district who can give you the decision you want.



**There are two types of targets:**

- a Primary target** is the person or individual with power and authority in the decision-making chain to give you the ultimate decision. Examples of primary targets at local government levels include: Speaker of Local Council, Chairperson, Chief Administrative Officer (CAO), Chairperson of the District Service Commission, Chairperson of the District Contracts Committee, RDC, District Health Officer, Head Teachers, Chairperson of the School Management Committee, Senior Assistant Secretary/Sub-county Chief, among others.
- b Secondary target** is a person who while is not the ultimate decision maker has an influence in the chain of decision making. A secondary target is also called “**gate keeper**”. His or her decision will make a difference whether you will reach the ultimate decision maker or not. In many cases, advocacy efforts fail because of failure to identify such an individual. Examples of



secondary targets at local government levels include: Secretary to Council, Secretary of District Service Commission/District Contracts Committee, Hospital Administrators, Secretary to the CAO, Teachers, among others.

However, in some cases it requires that other non-formal contacts are also used to influence the decision. Some of these include: office secretaries or clerk; spouses, and children of the decision makers; drivers, club managers etc. These are likely to support a cause, join the action or provide information about the issue that would otherwise not be communicated or would take a longer time to communicate them to the authorities.

## 5.4 Steps in Successful Advocacy



**There are four key steps which can help your advocacy to be successful. They are:**

- a** Familiarize yourself with the corridors of power through learning the rules, processes and people that are most important to your issue.
- b** Classify the players to determine your allies, opponents and targets. Both secondary and primary targets need to be targeted. At this stage, it's best to classify targets according to:
  - ⦿ Where they stand on your issue; and
  - ⦿ How much power they have to influence decisions.
- c** Rank the decision-makers. You can use a numbering system to rank decision makers. The numbering system can run from 1 to 5 as follows:
  - ⦿ Definite supporter of your advocacy demands
  - ⦿ Potential supporter of your demands
  - ⦿ Fence sitter (undecided)
  - ⦿ Likely opponent
  - ⦿ Definite opponent
- d** Inform and build relationships. Advocacy requires a series of formal and informal one-on-one contacts with decision-makers, and a steady stream of clear, concise back-up information. To establish a good relationship, do not approach a decision-maker only when you need something. And combine one-on-one visits with briefings and invitations to general events your group may be organizing.

## 5.5 Ways to Make Your Voice Heard

There are three ways to get your message through to the decision makers and policy makers.

- a** Written expressions
 

These can be in of form of letters, petitions, media articles, telephone SMS. Written expressions get a public officials to make a difference. They know that every person who writes represents many others who feel the same but don't write. Follow these tips to be most effective:

  - ⦿ Be clear about what you want.
  - ⦿ Tell a story or example to make the issue real.
  - ⦿ Ask for a direct response with his or her position.
  - ⦿ Personal letters are much better than formal letters or petitions.
- b** Engagement
 

Engagements can include participation in budget and planning meetings, barazas/citizens forums, elections, media debates (radio, TV, Internet, etc); whistle blowing; among others.

Every citizen has the right to engage their leaders (i.e. councillor, chairperson or other elected representative), and service providers. These tips will help make effective engagements:

- ② Mobilise or form groups which are diverse (women and men, youth, people with disabilities, etc).
- ② Discuss in advance how to conduct the engagement.
- ② Know your facts; do research.
- ② If possible, engage in your office or space. Invite the person to tour a health center or whatever facility or site which conveys your message in real and human terms.

**c Actions**

In case, written expressions and engagements do not work, you may take actions (within the law), which may include: demonstrations, boycotts, public interest litigation, and recalling of elected leaders.

**Figure 5.2** Ways of Citizen Engagement with their Leaders



## 5.6 Advocacy Spaces at Local levels

There are several avenues through which citizens can engage in the planning and budget processes at local levels. Some of them are presented in Table 5.1.

**Table 5.1** Advocacy Spaces at Local Government levels

Process	Possible Actions	Tools that can be used
Sub County and District Budget Conferences	<ul style="list-style-type: none"> <li>② Participate (in invited) and make presentations on critical budget issues and service delivery issues affecting the community.</li> <li>② CBOs can request to make a statement (through a representative).</li> <li>② Disseminate reports of their budget monitoring activities.</li> </ul>	<ul style="list-style-type: none"> <li>② Statements</li> <li>② Position papers</li> <li>② Budget monitoring reports</li> </ul>

Process	Possible Actions	Tools that can be used
Review of the draft Budget Framework Paper (BFP) and District Development Plan (DDP) by the Technical Planning Committee (TPC)	<ul style="list-style-type: none"> <li>➤ Review the draft BFP and DDP and provide written observations, comments and recommendations.</li> <li>➤ Make formal submissions to the TPC</li> <li>➤ Make formal submissions to the Budget Desk.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Review and analysis reports</li> <li>➤ Engagement with TPC</li> </ul>
Preparation of draft Local Government Budget estimates & Annual Work plans	<ul style="list-style-type: none"> <li>➤ Participate and contribute towards the discussion and setting of district priorities.</li> <li>➤ Engage sub county and district councilors.</li> <li>➤ Make formal submissions to the Budget Desk.</li> <li>➤ Develop and present position papers.</li> <li>➤ Organise pre-budget dialogues</li> <li>➤ Mobilise and engage citizens through the media.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Statements</li> <li>➤ Position papers</li> <li>➤ Media (radio, TV, social media)</li> <li>➤ Media articles on the proposed budget</li> </ul>
Consideration and Approval of the Budget by Sub County and District Council	<ul style="list-style-type: none"> <li>➤ Engage sub county and district councilors on budget allocations.</li> <li>➤ Develop and present position papers.</li> <li>➤ Mobilise and engage citizens through the media</li> </ul>	<ul style="list-style-type: none"> <li>➤ Petitions</li> <li>➤ Position papers</li> <li>➤ Public dialogues</li> <li>➤ Media (radio, TV, social media)</li> <li>➤ Media articles on the proposed budget</li> </ul>
Budget implementation	<ul style="list-style-type: none"> <li>➤ Monitor the implementation of the budget (i.e. tracking sector spending).</li> <li>➤ Organise citizen baraza on service delivery</li> <li>➤ Publish information on government releases and spending.</li> <li>➤ Participate in all sub-county, and village meetings.</li> <li>➤ Mobilise citizens to participate in all sub-county, and village meetings.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Petitions</li> <li>➤ Budget monitoring report</li> <li>➤ Citizen meetings / barazas</li> </ul>
Auditing the budget	<ul style="list-style-type: none"> <li>➤ Engage LGPAC on the findings of the Auditor General's reports</li> <li>➤ Produce and disseminate extracts of Auditor General's report findings</li> <li>➤ Organise public dialogues on Auditor General's report</li> </ul>	<ul style="list-style-type: none"> <li>➤ Public dialogues</li> <li>➤ Extracts of Auditor General's report findings</li> <li>➤ Media (radio, TV, social media)</li> </ul>



## End of Chapter Self-Assessment

After this Chapter, I can:	Yes	No
a Explain advocacy and apply the steps to successful advocacy		
b Explain how my voice can be heard on issues affecting my community		
c Utilize the advocacy spaces at local levels		

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# ANNEXES

## Annex 1: Lower Local Government Planning Process

Steps	Process Activities	Methodology	Lead Actors	Time Line
Step 1	LLGs receive planning call information from CEO and circulate the information to all key actors in the LLG planning process	Written plan call information received from HLG CEO and circulated to all actors	LLG CEO	August
Step 2	LLGs form Planning Task Teams responsible for supporting the STPC the LDGP formulation process	Formal appointment of task team members	LLG CEO guided by District Planning Unit	August
Step 3	LLG embark on consultations and collection of basic data that will inform the LGDP formulation	Desk-based documents review, consultation with HLG, CSOs, private sector and other sources	LLG Task Planning Team coordinated by LLG CEO	October – November
Step 4	Conducting parish/ward/community planning meetings to identify development priorities/issues	Planning meetings	Parish chief/town agents facilitated by the LLG/Division Planning Task Team	
Step 5	LLGs hold planning forums to discuss LLG development situations	Sub-county planning forum	LLG CEO, LLG Planning Task Team, DPU	December
Step 6	LLGs analyze key development issues/ constraints, potentials, opportunities and challenges for the LLGs	Sector technical planning meetings	LLG Planning Task Team with guidance from DPU	January
Step 7	LLGs customize the broad National Development Strategic direction; sector- specific strategies, priorities, and standards; and relevant crosscutting issues	Working meetings for LLG planning Teams	LLG Planning Task Team with guidance from DPU	January
Step 8	LLGs submit their development issues for integration in HLG development issues	Written submission by the LLG chief executive to CAO via the DPU	LLG	Early February
Step 9	LLGs analyze and compile the development resource envelope that will be the basis for selecting the investments for the LGDP in the LLG and determining the plan funding gap	Desk-based review of local revenue projections and other financial commitments; consultation with HLG planning team and respective LLG development partners (CSOs, private sector, NGOs, donors, FBOs, etc)	LLG planning Teams with guidance from DPU	By Late February

Steps	Process Activities	Methodology	Lead Actors	Time Line
Step 10	LLGs elaborate and set Development outcomes, goals strategic objectives and interventions to comprise the LLG development plans	Working meetings for LLG planning Teams	LLG planning Teams facilitated by District Planning Task Team	February – April
Step 11	LLG submit to HLG development priorities for integration in HLG plans	Written submission to HLG CEO via the DPU	LLG CEO	End of April
Step 12	LLGs receive feedback from HLG regarding final list of LLG priorities integrated in HLG plans for them to modify their draft Development plans	Written feedback communication	LLG CEO	Mid June
Step 13	LLG plan documentation, LLGs prepare LGDP documents including elaboration of project profiles, project costing, etc	LLG plan drafting meetings	LLG planning teams, facilitated by District Planning Task Team	Mid June – End August
Step 14	Draft LLGs development plan is presented to internal committees for debate	Committee meetings	LLG technical(TPC) and political (LLG/MC Executive Committees, Council Sector Committees)	September
Step 15	LLG development plan approval by Council	Formal meetings	LLG Council	By End of October
Step 16	Printing and dissemination of final LLG development plan to (upwards to the HLG; horizontally to all LLGs political leaders and technical departments and development partners at the LLG level; downwards to parish/ward and village/ cell councils)		LLG Chief Executive/ and Planning Office	November
	Beginning of LLG Annual Planning/Budget Cycle for year 1 of LGDP			November

Source: NPA (2014), The Local Government Development Planning Guidelines



## Annex 2: Stakeholders at LLG level and Their Roles & Responsibilities in LG Development Planning Process

Stakeholders	Roles and responsibilities
Municipal/Sub-County/Town/Division Council	<ul style="list-style-type: none"> <li>⦿ Participating in the planning forum</li> <li>⦿ Discussing and approving the five-year Development Plan;</li> </ul>
Executive Committee	<ul style="list-style-type: none"> <li>⦿ Approval of development issues and priorities for submission to higher local government.</li> <li>⦿ Reviewing of draft development plans before presentation to council</li> <li>⦿ Monitoring the implementation of LGDP activities</li> </ul>
Municipal/Sub-County/Town/Division chairperson	<ul style="list-style-type: none"> <li>⦿ Endorsing Municipal/Lower Local Government development plan before it is disseminated</li> </ul>
Council Planning Unit	<ul style="list-style-type: none"> <li>⦿ Providing secretariat for MC TPC and the Planning task team in the LGDP formulation process</li> <li>⦿ Drafting Planning call circulars for CEOs signature based on national and HLG planning call circulars</li> <li>⦿ Handling all documentation of the draft comprehensive Five year Municipal Council Development Plan</li> <li>⦿ Providing technical guidance to the LGDP planning cycle in the Municipal Council</li> <li>⦿ Management of Municipal Council Information Systems</li> <li>⦿ Giving feedback to the division and wards about the results of the planning process.</li> <li>⦿ Coordinating other stakeholders on behalf of CEO to achieve effective implementation, monitoring and evaluation of the LGDP in the Municipal Council.</li> <li>⦿ Liaising with the HLG and NPA on all technical matters regarding management and coordination of the local government development planning cycle</li> </ul>
Community Development officer	<ul style="list-style-type: none"> <li>⦿ Providing secretariat for LLG/Division TPC and the Planning task team in the LGDP formulation process</li> <li>⦿ Handling all documentation of the draft comprehensive Five year LLG Development Plan</li> <li>⦿ Giving feedback to the parish/wards/village/cell/community about the results of the planning process.</li> <li>⦿ Facilitating the planning meetings of lower level councils</li> <li>⦿ Liaising with the HLG/MC on all technical matters regarding management and coordination of the local government development Planning process Mobilization of community actors, CSOs, private sector and FBOs to participate in the planning process</li> </ul>
Technical Planning Committee	<ul style="list-style-type: none"> <li>⦿ Taking lead in the formulation of LGDP (with support from planning task team)</li> <li>⦿ Reviewing and customizing the broad national development strategic direction; sector-specific strategies, priorities and standards; and relevant crosscutting issues;</li> <li>⦿ Appraising individual projects for LGDP;</li> <li>⦿ Coordinating and integrating sector plans, division plans and/or lower level council priorities into the development plans of their jurisdictions</li> <li>⦿ Discussing and agree the draft LGDP to be presented to the respective Executive Committees</li> <li>⦿ Reviewing the respective local government performance.</li> <li>⦿ Undertaking any other activities for implementing the LGDP planning cycle.</li> </ul>

Stakeholders	Roles and responsibilities
Municipal/LLG Planning Task team	<ul style="list-style-type: none"> <li>➤ Collecting and analysing data for the LGDP formulation;</li> <li>➤ Support Municipal Council sectors in identifying sector specific development outcomes, goals, strategic objectives, outputs, strategies and interventions to inform the LGDP</li> <li>➤ Support the LLG/MC/Division TPC in the following;</li> <li>➤ Customizing the broad national development strategic direction; sector-specific strategies, priorities and standards; and relevant crosscutting issues;                             <ul style="list-style-type: none"> <li>➤ Synthesizing all development issues/constraints, potentials, opportunities analysed as well as those received from lower level council planning meetings</li> <li>➤ Consolidating Municipal Council sector development outcomes, goals, strategic objectives, outputs, strategies and interventions;</li> <li>➤ Final drafting of LGDP including elaboration of project profiles, project costing, implementation plan, M&amp;E plan and communication and feedback strategy</li> <li>➤ Analyzing and compiling the development resource envelope that will be the basis for selecting the investments for the LGDP and determining the plan funding gap</li> <li>➤ Facilitating planning forum/meetings</li> <li>➤ Undertake any other activities in the LGDP formulation process as may be determined by the CEO</li> </ul> </li> </ul>
LLG/MC/Division CEO	<ul style="list-style-type: none"> <li>➤ Take lead of the planning process in their respective local governments</li> <li>➤ Issuing the Planning Call Circular to Divisions and other actors in the MC</li> <li>➤ Endorsing all correspondences to various actors regarding implementation of the Local Government development planning cycle</li> <li>➤ Endorsing Five Year LGDP after approval by the Council</li> <li>➤ Submitting approved LGDP to HLG and other stakeholders</li> <li>➤ Endorsing the different instruments operationalising the approved local government development plans</li> <li>➤ Undertaking any other activities in the Local Government development planning cycle</li> <li>➤ Coordinating and facilitating the TPC and the planning task team to execute the municipal LLG planning processes.</li> <li>➤ Undertaking any other activities in the Local Government development planning cycle</li> </ul>
Civil society and private sector organizations (eg. NGOs, FBOs, CBOs)	<ul style="list-style-type: none"> <li>➤ Participating in LLG/MC/Division TPC activities related to LGDP (upon being co-opted to the committee)</li> <li>➤ Providing information about their on-going and planned interventions to the LLG/MC/Division TPC for integration in the development plan</li> <li>➤ Contributing to formulation of LLG/MC/Division plan.</li> <li>➤ Contributing to implementation of LGDP financing strategy</li> <li>➤ Participating in the planning, implementation and M&amp;E of LGDP activities</li> </ul>

Source: NPA (2014), The Local Government Development Planning Guidelines

## Annex 3: Planning Roles and Responsibilities for Stakeholders at Parish/Ward Level

Stakeholders	Roles and responsibilities
parish/ward Council	<ul style="list-style-type: none"> <li>⦿ Discussing and approving a list of development issues/priorities for submission to LLG/division councils for integration</li> <li>⦿ Attending planning meetings</li> <li>⦿ Monitoring the LGDP development activities implemented in their areas</li> <li>⦿ Participating in popularizing the national vision and national strategic direction</li> </ul>
parish/ward Executive Committee	<ul style="list-style-type: none"> <li>⦿ Discussing and recommending to parish/ward council a list of development issues/priorities for submission to LLG/Division councils for integration</li> <li>⦿ Initiating, encouraging, supporting and participating in self-help projects;</li> <li>⦿ Mobilizing people, materials and technical assistance for parish/ward self-help projects;</li> <li>⦿ Monitoring projects and other activities undertaken by the Government, Local Governments and NGOs in the area;</li> <li>⦿ Providing feedback to the Village/Cell Council, Sub-county/Division on the development activities and concerns of the village;</li> <li>⦿ Participating in popularizing the National Vision and national strategic directions and relevant cross-cutting issues</li> </ul>
Parish Chief/Town Agent and parish/ward Development Committee	<ul style="list-style-type: none"> <li>⦿ Regularly updating and compiling parish/ward information/data bank;</li> <li>⦿ Identifying parish/ward development potentials/opportunities, development challenges, priorities;</li> <li>⦿ Integrating Village/Cell development priorities and proposals into parish/ward development priorities and proposals;</li> <li>⦿ Formulating/reviewing draft parish/ward action plans and annual work plans;</li> <li>⦿ Appraising parish/ward proposals with technical support of the LLG/Division Technical Planning Committee;</li> <li>⦿ Identifying and recommend to parish/ward Council, priorities to be implemented using parish resources and those to be forwarded to LLG/Division;</li> <li>⦿ Facilitating village/cell level planning meetings.</li> </ul>

## Annex 4: Local Government Budget Process

Activity	Month
Budget Desk prepares the first Local Government budget call circular and shares with HoDs and LLGs. This includes: <ul style="list-style-type: none"> <li>⦿ Allocations to LLGs</li> <li>⦿ Allocations to departments</li> </ul>	October
Departments and LLGs prepare inputs for the LG BFP and draft LG DPs and submit to Budget Desk, including <ul style="list-style-type: none"> <li>⦿ Identification of Investments for inclusion in LG Budget</li> <li>⦿ Preliminary Budget estimates and Annual Workplans</li> </ul>	October
LG Planning and Budget Conference to discuss <ul style="list-style-type: none"> <li>⦿ LLG and Department Annual Workplans for the forthcoming budget</li> <li>⦿ Identification of Investments for inclusion in LG DPs</li> </ul>	October
Budget Desk Compiles LG BFP and LG DPs	November
Review of the draft LG BFP and LG DPs by the Technical Planning Committee and the LG Executive Committee	November
Approval by LG Executive Committee and Submission of the LG BFP to the MoFPED and Council	November
Discussion of the draft BFP by the Standing Committees of Council	November
Budget Desk prepares Second LG Budget Call Circular <ul style="list-style-type: none"> <li>⦿ Revised IPFs for Departments and LLGs</li> <li>⦿ Instructions to address feedback on compliance with budget requirements.</li> </ul>	February
Draft Departmental Budget Estimates and Annual Work Plans submitted to Budget Desk	March
Budget Desk Compiles Draft Budget Estimates and Annual Work plans	March
Review of the Budget Estimates and Annual Work plans by the Technical Planning Committee and the LG Executive Committee	March
Laying of the Budget before LG Council and Submission of draft Performance Contract to MoFPED	April
Approval of the Budget by LG Council	31 May

Source: MoFPD (2015), Budget Preparation Guidelines for Local Governments

## Annex 5: Examples of Community Monitoring Tools

### Universal Primary Education<sup>58</sup>

What to monitor	Indicators	Sources of information
Quality and quantity of school buildings	Quality and quantity of school buildings; Cracks in buildings; Quality of school buildings; Quality of roofing; Quality of floor of classrooms; Availability of teachers houses; Availability of blackboards	<ul style="list-style-type: none"> <li>➤ Observation</li> <li>➤ Interviewing headmasters, teachers, pupils, parents</li> <li>➤ PTA and SMCs</li> </ul>
Quality and quantity of school furniture	Number of desks per class; Type of wood; Quality of desks	<ul style="list-style-type: none"> <li>➤ Observation</li> <li>➤ Interviewing headmasters, teachers, pupils, parents)</li> </ul>
Quality and performance of pupils	Number of children in school; number of pupils per class (P.1 to P.7); Number of teachers; Performance of pupils in PLE; Availability of text books; Availability of teachers during class time; Availability of head teacher at school; Time management of teachers; Absentism of pupils; Absentism of teachers; Performance of teachers; Available school library/book store Availability of meals; Duty roster; General time table; Staff meetings; Support supervision visits	<ul style="list-style-type: none"> <li>➤ Observation</li> <li>➤ Interviewing headmasters, teachers, pupils, parents)</li> <li>➤ School documents (registers, attendance lists)</li> <li>➤ Visitors books</li> <li>➤ Minutes of staff meeting</li> </ul>
Extra-curricular activities	Sports items (foot and net balls); Play grounds	<ul style="list-style-type: none"> <li>➤ Observation</li> <li>➤ Interviewing</li> <li>➤ School records</li> </ul>
Utilization of funds	Display of funds of notice boards; Display of accountability on the notice board; How much money has the school received this year?); Who authorizes withdraw of funds; Involvement of teachers in spending decision	<ul style="list-style-type: none"> <li>➤ Observation</li> <li>➤ Interviewing headmasters, teachers, pupils, parents, PTA, school management)</li> </ul>
Functioning of the School Management Committee	Composition of the SMC (female and male); How often do they meet; Involvement in the management of school resources ( funds etc)	<ul style="list-style-type: none"> <li>➤ School records ( SMC mintues)</li> <li>➤ Interviewing headmasters, teachers, PTA, SMC members)</li> </ul>

General Observations or Remarks .....

Recommendations: .....

## Primary Health Care<sup>59</sup>

What to monitor	Indicators	Sources of information
Quality and quantity of health centers	Number of buildings; Appearance of buildings; Nature/ type of roofing used; Sanitation; Water sources; Quality of water tanks; Waste disposal pit; Rubbish pit	<ul style="list-style-type: none"> <li>⦿ Observation</li> <li>⦿ Interviewing</li> </ul>
Quality of health services	Grade of health center; Services offered; Opening and closing hours of health centers; Availability of drugs; Availability of injections; Sterilization of injections; Storage of health equipment and drugs; Number of children immunized every month; Number of pregnant mothers visiting health centers; Number of bed; Ambulance Record books	<ul style="list-style-type: none"> <li>⦿ Observation</li> <li>⦿ Interviewing</li> <li>⦿ Health center records</li> </ul>
Performance of health centers	Availability of health workers; Number of health workers; Payment of health workers; Behavior of health workers; Health Management Committee (HMCs); Level of staffing	<ul style="list-style-type: none"> <li>⦿ Observation</li> <li>⦿ Interviewing</li> <li>⦿ Health center records)</li> </ul>
Utilization of funds	Display of funds on notice boards; How often does the hospital get money; How much money has the health center received this year?; Who authorizes withdraw of funds; Procurement vouchers, receipts	<ul style="list-style-type: none"> <li>⦿ Observation</li> <li>⦿ Interviewing</li> <li>⦿ Health center records</li> </ul>
Functioning of Health Unit Management Committee (HUMC)	Composition of the HUMC (female and male); How often do they meet; Involvement in the management of health centre resources ( funds etc)	<ul style="list-style-type: none"> <li>⦿ Health Facility records (HUMC minutes)</li> <li>⦿ Interviewing in-charge health workers, HUMC members)</li> </ul>

General Observations or Remarks.....

Recommendations: .....

## Water and Sanitation<sup>60</sup>

What to monitor	Indicators	Sources of information
Proper utilisation of funds	Display of funds on notice boards; How often does the sub county get funds?; How much funds the sub county received this year?; Who authorizes withdraw of funds; How are community water user committees involved the management of funds; Availability of Procurement records; Cost of construction of water sources	<ul style="list-style-type: none"> <li>⦿ Observation</li> <li>⦿ Interviewing Sub county, water user committees, Senior Assistant Secretary/ sub county chief etc</li> <li>⦿ Sub county records</li> </ul>
Access to safe water in every village	Types of water sources in the village; Number of water sources (boreholes, spring well) constructed; Number of functional safe water sources; Community contribution; Distance from the nearest water source by farthest households	<ul style="list-style-type: none"> <li>⦿ Observation</li> <li>⦿ Interviewing Senior Assistant Secretary/ Sub county, water user committees, Senior Assistant Secretary/sub county chief etc</li> <li>⦿ Sub county records</li> </ul>

59 Adapted from: Rakai Community Monitoring Group

60 Adapted from: Tororo Community Based Monitors



What to monitor	Indicators	Sources of information
Household sanitation and hygiene	Number of pit latrines in the village; Number of households with rubbish bins, kitchen, bathroom; Number of utensils used to collect water per house holder; Availability of drying rack; Boiled drinking water; Hand washing facilities	<ul style="list-style-type: none"> <li>⦿ Observation</li> <li>⦿ Interview of household members</li> </ul>
Functioning of Water User Committees	Composition of the Water User Committees (female and male); How often do they meet; Involvement in the management of water sources	<ul style="list-style-type: none"> <li>⦿ Observation</li> <li>⦿ Interview of household members</li> <li>⦿ Minutes of village water user committees</li> </ul>

General Observations or Remarks: .....

Recommendations: .....

## Feeder Roads Maintenance

What to monitor	Indicators	Sources of information
Proper utilisation of funds	Display of funds on notice boards; How often does the sub county get funds?; How much funds the sub county received this year?; Who authorizes withdraw of funds; Tender documents; agreements, contracts, vouchers of payments done; Cost of road maintenance	<ul style="list-style-type: none"> <li>⦿ Observation</li> <li>⦿ Interviewing Senior Assistant Secretary/sub county chiefs etc</li> <li>⦿ Sub county records</li> </ul>
Value for money in road maintenance	Number of roads maintained or constructed; Number of kilometers maintained; Quality of construction work; length, width, quality of marrum; Quality/reputation of contractors; Period of construction; Duration of periodic maintenance of roads; Condition of roads in the sub county	<ul style="list-style-type: none"> <li>⦿ Reports of completion of work</li> <li>⦿ Observation</li> <li>⦿ Interviewing Senior Assistant Secretary/sub county chiefs etc</li> <li>⦿ Sub county records</li> </ul>
Community involvement road maintenance	Number of community consultation meetings; Community contribution; Number of community members working on roads; Amount and frequency of money paid to community workers	<ul style="list-style-type: none"> <li>⦿ Minutes of community meetings</li> <li>⦿ Interviewing Senior Assistant Secretary/sub county chiefs, community members etc</li> <li>⦿ Sub county records</li> </ul>




General Observations or Remarks: .....

Recommendations: .....

## About ACODE

ACODE is an independent public policy research and advocacy Think Tank registered in Uganda. Our mission is to make public policies work for people by engaging in contemporary public policy research, community empowerment to demand for improved service delivery and advocacy. ACODE has for the last eight consecutive years been ranked in the Global Go To Think Tank Index as one of the top think tanks in the world.



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