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# UGANDA

COUNTRY DEVELOPMENT COOPERATION STRATEGY 2016-2021

Date Approved: 12/06/2016

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## Abbreviations, Acronyms, and Initialisms

ADS	Automated Directives System
AOR/COR	Agreement Officer Representative/Contracting Officer Representative
BAU	Business as Usual
BE	Basic Education
BFS	Bureau for Food Security
BTGx	Beyond the Grid X
CCVA	Climate Change Vulnerability Assessment
CDC	Center for Disease Control and Prevention
CDCS	Country Development Cooperation Strategy
CLA	Collaboration, Learning and Adapting
CSO	Civil Society Organization
D2FTF	Digital Development for Feed the Future
DA	Development Assistance
DFID	Department for International Development
DO	Development Objective
DRG	Democracy, Human Rights and Governance
EAC	East African Community
EFM	Eligible Family Members
ENR	Environment and Natural Resources
EPCMD	Ending Preventable Child and Maternal Deaths
EU	European Union
FTF	Feed the Future
GCC	Global Climate Change
GDP	Gross Domestic Product
GHG	Green House Gas
GIS	Geographic Information System
GIZ	German International Cooperation

GOU	Government of Uganda
HRH	Human Resources for Health
HSS	Health Systems Strengthening
HWC	Human-Wildlife Conflict
IM	Information Management
IR	Intermediate Results
ISSD	Integrated Seed Sector Development
LARC	Long Acting Reversible Contraception
LES	Locally Employed Staff
LGBT	Lesbian, Gay, Bisexual, and Transgender
LWP3	The Lab's Worldwide Priority 3
M&E	Monitoring and Evaluation
MCH	Maternal and Child Health
MEL	Monitoring, Evaluation and Learning
NCCP	National Climate Change Policy
NDP II	National Development Plan
NOX	New Office Annex
NRM	Natural Resource Management
ODF	Open Defecation Free
OECD/DAC	Organization for Co-operation and Development/Development Assistant Committee
OVC	Orphans and Vulnerable Children
PA	Protected Area
PAD	Project Appraisal Document
PEPFAR	U.S. President's Emergency Plan for AIDS Relief
PM	Permanent Methods
PMI	Presidential Malaria Initiative
PMP	Performance Management Plan
PPL/LER	Policy, Planning, and Learning's Office of Learning, Evaluation, and Research
SACCO	Savings and Credit Cooperative Organization

SDG	Sustainable Development Goals
SRGBV	School Related Gender Based Violence
STIP	Science, Technology, Innovation, and Partnership
TB	Tuberculosis
UN	United Nations
UNICEF	United Nations Children’s Emergency Fund
UPE	Universal Primary Education
USDH	US Direct Hire
USG	US Government
USPSC	US Personal Service Contractor
WASH	Water, Sanitation, and Hygiene
WFP	United Nations World Food Programme
WHO	World Health Organization

## A. Executive Summary

In partnership with the people of Uganda, USAID/Uganda is firmly committed to address the fundamental challenges constraining the country's development. Uganda is in the midst of a demographic tsunami with its population doubling every 16 years. Uganda's systems must be transformed to rapidly increase agricultural productivity, curb accelerating environmental degradation, alleviate the burden of communicable diseases, and educate and train a more and increasingly younger population of Ugandans that need to be both more productive and more involved as citizens. The rapidly growing population exacerbates high levels of youth unemployment and amplifies pressures on social, natural and other resources. Inadequately addressed, these issues will lead to a growing number of marginalized Ugandans without access to public or other services; lacking resilience to shocks and stresses; and held back from their progress; and, thus, unable to realize their individual or collective potential.

USAID/Uganda's strategic approach is designed for short-term results linked to long-term substantive returns, working within, rather than parallel to, Uganda's local country systems; and engaging Ugandans in ways in which the country's development is done "with" and "by" them rather than "to" them. The approach recognizes the need for: (i) deepening USAID's partnership with the people of Uganda and their institutions; (ii) making more deliberate efforts to understand the ever-evolving context in which USAID operates; and (iii) helping Uganda build the capable, enlightened and accountable leadership at all levels of society and government that will allow USAID and other donors to ultimately step aside as, increasingly, Ugandans themselves drive sustainable development forward. USAID's approach furthermore appreciates that Uganda's development challenges are intertwined and mutually reinforcing. In response, USAID/Uganda proposes an integrated approach that will adeptly bring together a range of interventions to help thousands of Uganda's families reach their hopes and dreams and the country as a whole to more fully realize the potential inherent in its resources and its people.

USAID has previously focused on addressing concrete and immediate health, education or market needs through implementation at local levels. This approach has often been stymied by systemic challenges in the respective sectors of intervention. USAID/Uganda has learned that it must understand and work within local systems, even those that pose risks. Although USAID/Uganda will continue intervention in historic sectors and Agency funding streams, this change in approach will require a mind-shift to orient interventions toward disparate yet targeted challenges within respective local systems. With three integrated development objectives, aiming at increased resilience, addressing the demographic drivers and strengthening the systems, the Mission will continue to collaborate, learn and adapt to improve programmatic decision-making, its operations, and the impact of its investments.

## B. Development Context, Challenges, and Opportunities

The average Ugandan is a fourteen-year-old girl.<sup>1</sup> She is one of six children, living in a rural area; her family is poor and it finds itself vulnerable to economic, political and environmental shocks. She has a one-in-four risk of becoming pregnant during adolescence, is at high risk of being engaged in early marriage, and will likely drop out of school before reaching secondary level. Her status is the result of a combination of factors: poor nutrition, low performance in school, cultural expectations related to early marriage and family size, and systems not supporting her ambitions to thrive. Development in Uganda must address the needs of typical Ugandans the fourteen-year old-girl exemplifies if it is to generate the sustainable, broad-based prosperity and shared stake in the future that will ensure Uganda's long-term stability.

### Stats & Figures

- Uganda ranks **163 out of 185 nations** in the 2015 United Nations Human Development report.
- Uganda ranked **142 out of 175 countries** in the 2014 Transparency International Corruption Index, down from 127 out of 178 countries in 2010.
- WHO estimates that **\$33 per person** must be spent in Uganda in order to provide good health care. Current provision, inclusive of US Government assistance, stands at \$11 per person – only one third of what is needed.

For this strategy to be successful, understanding context matters. The Uganda of today is vastly different than the Uganda of the 20<sup>th</sup> Century. It enjoys relative political stability and, at the same time, shows signs of multi-faceted fragility. Its macroeconomic policies are fundamentally sound but do not address the widespread and increasingly chronic economic vulnerability of most Ugandans. Uganda has an important role in promoting security in the region, acting as a partner with the U.S. government and as a mediator in conflicts in Burundi, South Sudan, the Democratic Republic of Congo, the Central African Republic, and Somalia. As long as these conflicts persist, significant resources for national development are diverted. These conditions undermine prospects for Uganda's long-term prosperity and development.

Several other trends indicate that Uganda's progress is in jeopardy. Civic space is closing and corruption is on the increase. Rapid population growth is threatening to undermine development gains since the 1980s. Nearly 70 percent of Ugandans live on less than \$2.50 per day, and that has remained constant for the past 40 years. As long as the majority of the Ugandans live in poverty, their capacity to drive change will be stymied. Constraints on Uganda's development coalesce around three areas: a pervasive lack of resilience to external shocks and stresses<sup>2</sup>, demographic pressures which

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<sup>1</sup> Youth are the most populous of the demographic cohorts and, among them, the 14-year-old girl represents the median. Her hypothetical situation is so fragile that structural biases will continue to allow her to fall behind and development will not be inclusive of those in her situation if nothing changes. If programming decisions are taken in consideration of the hypothetical 14-year-old girl, who might safely be considered among the least likely of Ugandans to thrive, attention will be paid to the mechanisms that will allow her, her household and her community to thrive.

<sup>2</sup> Resilience is defined by USAID Uganda as the ability of people, households, communities, countries, and systems to mitigate, adapt to, and recover from economic, environmental and social shocks and stresses.

## Stats & Figures

- While maternal and child mortality rates have decreased over recent years, the absolute numbers are still high, 343 maternal mortality ratio per 100,000 and 54.6 child mortality per 1,000 (WB, Maternal mortality ratio, Mortality -under 5, 2015)
- Only **70%** of the adult population of Uganda is literate (WB, Adult literacy, 2015), in spite of the fact that Government's definition falls far short of international literacy norms. Illiteracy is far higher for women at **38%** than men at **21%** (WB, Literacy, -gender, 2012)
- A recent survey reported **78%** of primary school children and **82%** of secondary school students reported sexual abuse at school. (SoUC, Analytical overview, 2016)
- 35% of Ugandan children are malnourished with significant effects on brain development, and an estimated **2.5 million children in Uganda** live with disabilities. (SoUC, Analytical overview, 2016)

strain available public services, and weak systems dominated by networks of corruption and patronage. The complex web these constraints weave requires a comprehensive and 'joined-up' response, because focusing on one constraint without giving due consideration to the other interrelated factors limits the potential for long-lasting change, and solving them concomitantly gains greater efficiencies and value.

Even if the situation of the 14-year-old girl in Uganda is fragile, she is also living in a time and country with opportunities. If systems are responsive and her household is resilient, these opportunities can be managed to allow her to reach her potential. She has more access to information than she has ever had before. Her community is engaged in advancing development and has a tradition of working together to improve services in the neighborhood. Her government focuses on building the appropriate infrastructure, affording her accessible schooling, health care and social supports so that when she and her cohort grow, urbanize and flourish they have a strong footing and have been nurtured in positive child and youth development. The GOU has led efforts to establish relative peace and stability in Uganda. With prospects for further regional integration, a proliferation of tertiary education institutions and an educated population fluent in English, there are opportunities for service sector growth. On the whole, Uganda is noted for having appropriate policies to address many of its challenges. However, Uganda's local systems, institutions and development actors must work to leverage these opportunities to better support

the 14-year-old girl.

Uganda possesses a unique blend of natural resources that offer tremendous potential to support its development ambitions. 34 percent of land is arable and its climate permits two or even three harvests per year. Fresh water is abundant, as are wetlands. Uganda has significant mineral reserves and oil reserves. It is among the most biodiverse countries in the world and an international tourist destination for birds, gorillas, elephants and big cats. Over the next twenty years, Uganda will be one of the fastest urbanizing countries in the world. In 2015 Uganda was rated as the most entrepreneurial country in Africa, and its bulging youth population is creative, energetic and innovative. These conditions, rightly channeled and governed, provide



a powerful platform for expanding opportunities to all Ugandans.

**Sixty-one percent of Ugandans are living on less than \$2 a day (IFs, Reference report. 2015).** Poverty has been chronic for decades and while recent official data cites poverty at 19.8 percent, the data utilizes \$1.35 as the poverty line. When taken to \$2 dollars per day, poverty stands at 61 percent similar to the rate in 1970. Youth unemployment is high and labor is underutilized. Uganda's Vision 2040 cautions that youth unemployment is becoming a social and economic threat. Agricultural productivity is low, and not internationally competitive, while environmental degradation is significant, resulting from population pressure on land for cultivation, illicit exploitation of forests, wetlands and wildlife for commerce and subsistence, climate change, poor soil conservation, rapid urbanization, overfishing, and poorly-managed oil and mineral exploitation. The high burden of communicable diseases such as malaria and HIV/AIDS, combined with overall weak health systems, and very low levels of education mean that the majority of the Ugandan population has extremely low resilience in the face of external shocks and stresses. In the absence of adaptation, climate factors could compromise the Government of Uganda's (GOU) 'Uganda Vision 2040' targets. National-level studies show that if no adaptive action is taken, annual costs to the economy could be in the range of US \$3.2 - 5.9 billion within a decade, with the biggest impacts being on water, followed by energy, agriculture, and infrastructure (CDKN, 2015).

**Uganda's multiple successes are being outstripped by its demographic growth.**

Based on current projections, the population is set to double to nearly 80 million by 2040, (IFs, 2015). Uganda's total fertility rate is the eighth highest in the world (WB, 2014), and Uganda is the only country with a population of its current magnitude that is still growing at this sustained rate. The average Ugandan woman gives birth to 5.8 children during her lifetime. (WB, 2014) 40 percent of the pregnancies are unplanned and four out of ten women give birth by the age of 18. (UDHS 2011)

The high birth rate has led to extremely high dependency ratios: over 78 percent of Ugandans are under the age of 30 (NPHC, 2014). Thirty-seven percent of Ugandans are under nine years old. This "youth bulge" represents a vast development opportunity for Uganda, if it is able to harness the potential of its young people. Instead, weak systems, including poor education, and lack of access to land among young people, severely limit the ability of Uganda's youth to positively contribute to the country's development and the bulge of unproductive, unfulfilled youth presents a risk to the country's political stability.

**Systems in Uganda are weak** and are plagued by corruption, patronage and neo-patrimonialism that generate high levels of inefficiency, public distrust, and poor services to Ugandans. The low capacity of systems and institutions leads to many systems being effectively non-functional. In the case of USAID/Uganda interventions, support to strong and effective leadership within communities, institutions, the private sector and the Government of Uganda must be balanced with the need to responsibly steward U.S. taxpayer resources.

In its response to these challenges, USAID/Uganda will support integrated approaches with tailored innovations that are evidence-based, adaptively managed, and infused with the idea of inclusive development. Some integrated approaches will have a regional focus, designed with partners, based on contextually specific evidence to address regionally specific challenges in community and

household resilience, demographic drivers, or local systems. USAID will move from learning to adaptation, building more flexible adaptation incentives into some of its interventions. Supporting inclusive development throughout the program cycles, USAID/Uganda will consult typically excluded stakeholders (and beneficiaries) during design, implementation, and evaluation. The idea of the fourteen-year-old girl as the average Ugandan is the lens through which this strategy will be implemented, with all interventions being targeted to empower her to take charge of her future and to build a life that is longer, healthier, and more productive and fulfilling than that of her parents. In recognizing that shocks are perennial features of Uganda's landscape, the programs will be designed to be shock responsive.

### The transition from USAID/Uganda 2011-2015 CDCS

**In the development of the new strategy, the major lesson from the previous CDCS is that the process is equally as important as the results.** The way in which this strategy has been developed will itself contribute to its success, by building on an organizational culture that promotes continuous learning, critical thinking, teamwork, leadership opportunities for all, adaptability and openness to change, and a high tolerance of uncertainty: all invaluable assets to make development work for Ugandans.

This second USAID/Uganda Country Development Cooperation Strategy has been designed through a rigorous and participatory process, with a number of consultative and learning events involving both Ugandan stakeholders and USAID implementing partners. This process has been both evidence-based and iterative, taking into account a problem-based analysis of Uganda's development context carried out by the University of Denver's Pardee Center, using its sophisticated International Futures (IF) multivariate analysis tool to forecast development trends using longitudinal data. Several other assessments and analyses have informed the development of the strategy, including those commissioned by USAID.

#### USAID commissioned assessments and analysis:

International Futures Analysis, University of Denver, 2015  
Inclusive Development Analysis, 2015  
Conflict Assessment Framework update, 2015  
Political Economy Analysis, 2015  
Climate Change Vulnerability Assessment, 2013  
Environmental Threats and Opportunities Assessment (including Foreign Assistance Act Sections 117, 118, and 119 analyses), 2016.  
Democracy, Human Rights and Democracy Assessment, 2016

Assessments and analyses consistently confirm the interrelatedness and interdependence of the challenges Uganda is facing. **The development of the 2016-2021 CDCS has also involved a complete stocktaking of the prior strategy.** Lessons learned from assessments and stocktaking are listed in Annex 7. Lessons Learned from Stocktaking.

The 2016-2021 CDCS will maintain the prior strategy's sectoral focus on health and HIV/AIDS,

economic growth through agricultural development, improved early-grade literacy, sustainable natural resource management, the promotion of accountable, effective democratic governance and the protection of basic human rights for all. This strategy represents a significant evolution from the prior strategy in that its results framework has significant cross-sector integration and serves as a prism to ensure that sectoral programs converge to make sustained transformation possible.

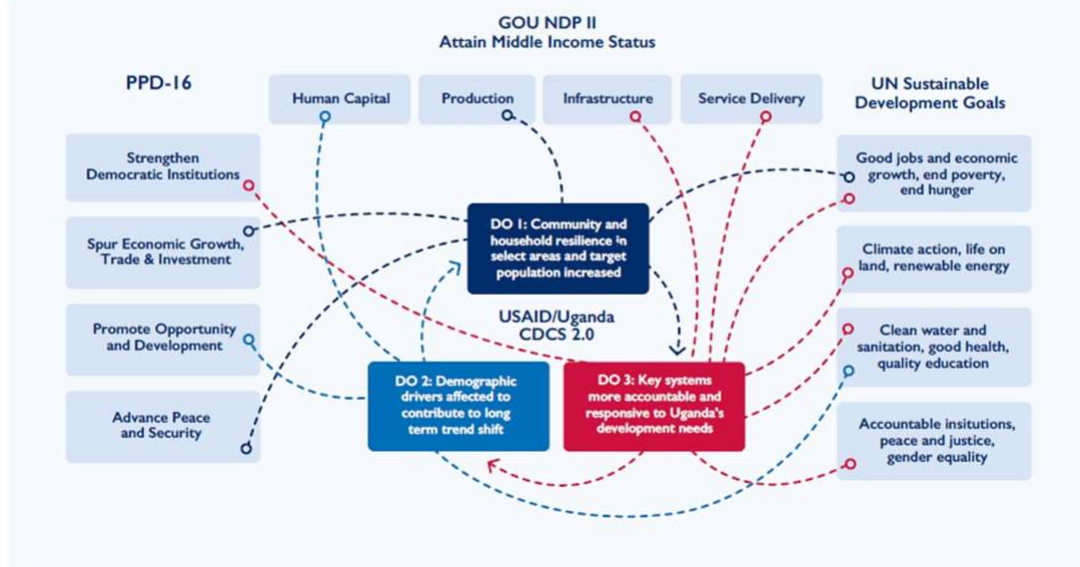
### Country Transition Planning and Partnership for Transformation

Applying the OECD/DAC aid-effectiveness principle of country ownership will be critical to CDCS success. To promote country ownership, USAID will direct its support to areas of overlap between Ugandan and USAID priorities and create opportunities to responsibly use government systems. GOU development priorities are expressed in its second National Development Plan (NDP II), which is the second of six five-year plans that will be developed to align with the 30-year goals of Uganda's Vision 2040. While both the U.S. Government and the Government of Uganda share goals of poverty reduction, economic growth and development, and political stability, there are some differences in perception regarding the best approaches to achieving these goals; however, efforts will be made to align and complement strategic approaches where it makes the most sense to do so. The image below sets out key areas of support and complementarity between NDP II, 2016-2021 CDCS and the UN Sustainable Development Goals.

Strengthening political will for needed reforms and improvements will be another critical element of ensuring CDCS success. USAID's regular assessments of the political-economic context in which it is operating will include analyses of key stakeholders to better understand their respective interests in promoting or stymying advances; to identify individual and institutional champions for constructive change; and to make decisions on how best to support champions. The regular assessments will also help USAID more effectively navigate the downsides of the patrimonial state and maximize opportunities to partner effectively with the GOU and other Ugandan actors whenever and wherever possible.

Uganda has one of the largest bilateral and multilateral donor communities of any country in the world. In addition, there are hundreds of international and local non-governmental, private-voluntary and faith-based organizations carrying out development activities at various scales. USAID/Uganda is the largest bilateral development partner, and, after the World Bank, the largest single development partner overall. Other major donors include the UK's Department for International Development (DFID), the European Union, and the United Nations agencies. Aid modalities range across a wide spectrum, from almost exclusively project-based assistance (USAID) to exclusively direct budget support (European Union).

## ALIGNMENT WITH USG, GOU & SUSTAINABLE DEVELOPMENT GOALS



United Nations agencies in Uganda are actively engaged with the GOU to advance and improve policies in all sectors in which USAID/Uganda is involved. USAID/Uganda will closely follow the progress of the SDGs through systems assessments, and will identify areas to collaborate based on mutual goals. DO2 and DO3 are fully aligned with the four SDG areas, and the USAID/Uganda resilience objective is aligned with the SDGs concerning economic growth and the environment. USAID/Uganda is working closely with DFID on several programs and in analyzing the current situation in Uganda. DFID's systems thinking, and its experience in working with systems and supporting democratic development are important areas of collaboration for the mission. The EU implements a large anti-corruption program, and the World Bank, together with GOU, is investing in infrastructure.

USAID/Uganda chairs and actively participates in various sector working groups, including the Private Sector Donor Group, Nutrition Sector, Donor Group, Water and Sanitation Donor Group and Health Sector Donor Group, also supporting the Leadership in Public Financial Management as well as championing Government to Government support. These various groups engage in a national partnership forum to conduct structured dialogue with the Government of Uganda. USAID/Uganda will take a lead or be a key player in collaborative forums that advance governance, agriculture, natural resource management, health and education. USAID/Uganda has delegated cooperative agreements with DFID that could be further applied to partners such as the European Union.

USAID/Uganda will apply three key principles to guide its alignment with other donors:

- **Complementarity:** Those areas where USAID intervention could complement the work of another donor or donors, for example through filling a gap in a particular thematic or geographic area;
- **Leverage:** Those areas where USAID intervention could leverage, or be leveraged by the work of another donor or donors, thus magnifying the impact of an intervention; and

- Avoidance: Those areas where another donor or donors are already active and effective, and therefore USAID efforts would be most usefully focused elsewhere.

### Selectivity, Focus and Integration

Three areas of focus have been selected: resilience, demographic drivers, and systems. USAID/Uganda does not intend to engage in infrastructure development other than in the energy sector. Areas where other donors are fully invested, such as infrastructure, non-agricultural industry transformation or fisheries will also be outside USAID/Uganda's direct involvement, although partnerships will be necessary to leverage each other's efforts.

The integrated results framework will encourage programming focused on addressing the root causes of constraints to development in Uganda. Depending on root causes, the level and type of integration will vary. Integration can refer to working collaboratively across stakeholder groups, integrating perspectives on development challenges across sectors, integrating activities to converge on the same households in a geographical space, or integrating components in programming that are mutually reinforcing. An integration spectrum (shown below) has been developed to clarify the operational implications of the various levels on integration. The spectrum will be used in activity and project design to determine the most appropriate level of integration and collaboration.

## Integration and Geo-focus Spectrum

	SILOS	COOPERATION	COLOCATION	COORDINATION	COLLABORATION	CONVERGENCE <sup>3</sup>
Definition	Independent activity w little interaction	Activities only interact to share information Independent decision making	Different activities, same location Target group receives inputs from multiple sectors	Common elements implemented separately	Intra & cross-sector activities w complimentary implementation	One or more activities implemented across sectors to same target group in shared target area
Management		Opportunistic	Uncoordinated design	Joint planning Clear roles and formal agreements	Common goal Shared decision making, accountability Coordination and planning structures Management structure Contractual	Fully blended cross-sector planning Shared resources Contractual
MEL				Common sector indicators	Common indicators, learning agenda	Common indicators, learning agenda
Funding	Distinct funding stream	Distinct funding stream	Distinct funding stream	Distinct funding stream	Co-funding / co-mingling	Co-funding / co-mingling
Geo-focus	Tier 1	Tier 1	Tier 1	Colocation +	Tier 3	Tier 3
Instrument	Activity	Activity	Activity	DO, IR, Project	Project, Activity	IR, Activity level, across multiple awards

The optimal level of interventions to strengthen systems is identified to be at district level. This does not mean that USAID/Uganda will exclusively focus on district level interventions<sup>4</sup>. Evaluations

<sup>3</sup> Framework incorporated and modified from SPRING 2014 study. Harris, Jody and Aaron Buchsbaum. 2014. Growing Together? Experiences of Intersectoral Integration in an NGO Nutrition Program: A Study of HKI's Enhanced Homestead Food Production Model in Burkina Faso. Arlington, VA: USAID/Strengthening Partnerships, Results, and Innovations in Nutrition Globally (SPRING) Project.

<sup>4</sup>The PEA and DOP evaluation conclude that in Uganda, the service delivery power is mainly executed on district level. Sub county administrations do not have enough resources.

and assessments have continuously pointed out that for interventions in districts to be efficient, it might be necessary to also work at household, community, regional or national level. The integration spectrum, the geo-focus approach, guiding principles for partnerships and political economy analyses will help to identify those leverage points and specific collaboration mechanisms that will be needed to implement the strategy. The tiers are described in Annex 5.

### Geographic Focus

USAID has developed an analytical tool to identify those corridors, districts and specific sites of intervention where USAID investments are likely to yield the greatest, most cost-effective impact. USAID will use the tool in activity and project design, and to assess the results of its geographic focus in portfolio reviews, leading to possible redirection where appropriate. Various “screens” are a key element of the tool. The “screens” that have been identified are indicated below. USAID will use Geographic Information Systems to map various factors with each “screen.”

- The needs of the population;
- Strategic considerations such as urbanization, economic corridors, and the GOU’s and other donors’ plans for development;
- Current USAID/Uganda investments and where relationships have already been developed within activities; and
- The possibility of close collaboration with domestic partners based on an analysis of where leadership has been historically open to effective collaboration.

USAID/Uganda has identified corridors with potential for a higher intensity of collaboration and integration to achieve certain goals and results in the Results Framework during the initial phase of the 2016-2021 CDCS, outlined in Annex 5. However, not all geographic areas or USAID initiatives lend themselves to integrated approaches. The geographic distribution of activities under certain USAID presidential initiatives will be based on other U.S. government policy considerations. Some activities will inevitably fall under the ‘silos’ category, which is described as Tier I in Annex 5.

## Guiding Principles

The USAID/Uganda learning process led to **Guiding Principles** being established for this strategy design and management. These principles set out the most important considerations and best practices for the strategy implementation and are designed to assist the USAID/Uganda in implementing, monitoring and adjusting all aspects of the CDCS. They represent approaches that the mission will apply across the portfolio, throughout the life of the strategy. Several of these principles are interrelated, mutually reinforcing, or represent varied lenses on the same approach. They should be considered the 'how' of what USAID does in Uganda.

The Guiding Principles are discussed in Annex 6.

## Guiding Principles

- 1 Apply a holistic approach to Collaborating, Learning & Adapting
- 2 Ensure broad and inclusive stakeholder engagement throughout the program cycle
- 3 Harness youth-appropriate approaches so that they are included in all we do
- 4 Infuse and prioritize inclusive development – including but not limited to gender empowerment – throughout the portfolio
- 5 Seek to 'do business differently' when current mechanisms, concepts, operations and tools do not work
- 6 Prioritize partnerships that enable Ugandan-led development
- 7 Pursue integrated approaches at various levels when and how it makes sense
- 8 Reinforce strategic choices with selectivity and focus in multiple dimensions
- 9 Maintain a problem-driven focus, while ensuring all program approaches analyze and adjust to the local context, at whatever level is required
- 10 Build in – don't bolt on – Science, Technology, Innovation and Partnership (STIP)
- 11 Apply a facilitative approach to development, and minimize direct service provision over time
- 12 Emphasize operational considerations throughout the strategy lifecycle
- 13 Incorporate anti-corruption mechanisms across the portfolio
- 14 Model strategic communications for transparency and accountability, stimulating others to do the same
- 15 Foster leadership as a lever for change – within the Agency, with partners and with stakeholders



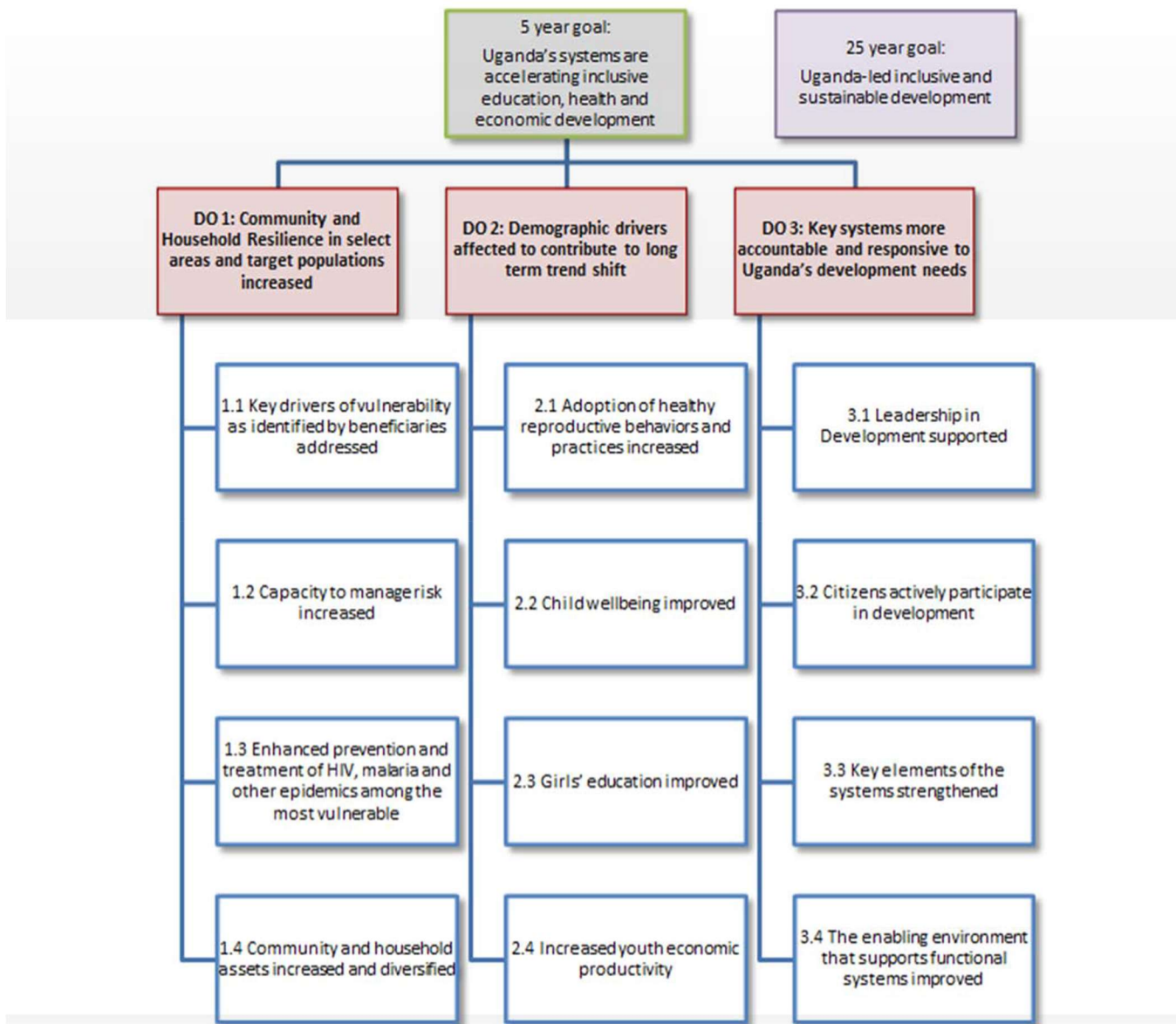
## C. Development Hypothesis and Results Framework

The long-term goal of USAID/Uganda is that its interventions reach a level of success in which Agency support is no longer required in Uganda. This will require a joint effort to strengthen those alliances, initiatives and processes that support and move the country towards longer term aspirations represented in the **25-year goal** of the Result Framework: “Ugandan-Led Inclusive and Sustainable Development”.

To reach the 25-year goal, the systems to deliver outcomes that address the needs of all Ugandans regardless of age, gender, disability or sexual preferences need to be functional to absorb population growth. If those systems do not function well enough to protect the rights of the citizens, donor dependence will not decrease. The **5-year goal** is therefore to work towards “Uganda’s Systems Are Accelerating Inclusive Education, Health and Economic Outcomes”. This is the first building block required to achieve the 25-year goal, but is not sufficient on its own. It is based on the **development hypothesis** that *if communities’ and household resilience in select areas and target populations is increased, and demographic drivers are affected to contribute to a long term trend shift – including a positive demographic dividend, and key country systems are more accountable and responsive to Uganda’s development needs —then* Uganda’s systems will accelerate inclusive education, health and economic development.

Three major challenges in the Ugandan context are threatening to jeopardize the pathway to “Uganda’s systems accelerating inclusive development”, the acute vulnerability of the people, rapid population growth and unaccountable and unresponsive systems. Neither the 5-year nor the 25-year goal will be reached unless population growth is slowed, a greater number of people is more resilient to stresses and shocks, and systems are responsive and accountable. The development objectives therefore correspond to these main bottlenecks to development in Uganda. They are highly interdependent and mutually reinforcing. Each DO cannot be achieved without success in the other two DOs. Systems cannot be strengthened unless the demographic drivers are addressed and resilience of the people increased. Conversely, demographic drivers cannot be affected and the resilience of the people increased unless key systems are more accountable and responsive.

Thus, the interdependence of Uganda’s development challenges is reflected in the Results Framework, and the achievement of results under each Development Objective (DO) relies upon synergy and reinforcement from the interventions planned under the other two DOs along with their intermediate results (IRs). The Results Framework is rooted in systems thinking, an approach that seeks to look at the “whole” of an issue, particularly as embedded in its context. Systems thinking encompasses patterns and structures, rather than individual events, and seeks to focus on flow, movement and interactions. While systems thinking will govern the way in which interventions are holistically planned and conceptualized, activities and projects will continue to be focused on concrete results that are intrinsically linked to the bigger picture. USAID/Uganda will continue to fully investigate and analyze the interrelated root causes of Ugandan development challenges. By paying particular attention to the interrelated nature of problems in the Ugandan development context USAID will better understand the individual nature of each problem and their overall effect on Uganda’s local systems.



The graphic representation of the integrated Results Framework appears vertical on paper and concerned with three separate objectives with mutually exclusive results. In reality, however, the framework tells a *single* story, with the DOs and IRs connecting *both* vertically *and* horizontally. Perceiving the framework this way (as integrated and mutually dependent) enables the strategy to account for a complex Ugandan reality in which various cross-sectoral contexts, factors, relationships and outcomes serve to critically undermine development efforts yet, if leveraged appropriately, are critical for building sustainable, country-led capacity for change. For example, retention of girls in secondary school is a strong contributing factor to a decrease in a country's population growth rate. However, for a girl to finish secondary school, there are several factors that need to be addressed simultaneously. Community leadership must be mobilized to support girls finishing their studies. Household economic status must be improved and diversified and the community must be able to mitigate and recover quickly from stresses and shocks. Finally, the health system must be strengthened to deliver appropriate child, maternal and reproductive and sexual

health services. In this way, the results achieved from a set of activities in one sector are able to reinforce the achievement of other results possibly within another sector. See Annex 8 for a graphic representation of the Wheel of IR Connections, as a better tool to understand the integrated nature of development challenges.

The integrated framework entails a number of shifts in programming that require both enhanced contextualization and a focus on the underlying factors causing a problem. Solutions in one sector might be found by addressing factors in other sectors. This framework strengthens those sectoral synergies, and ensures that factors across all three DOs and their respective IRs are taken into account when programming. As such, the operationalization of the results framework will be realized through projects and activities that will address several IRs, sometimes found in different DOs. Some IRs will be supported by more than one project and/or activity. This will create “overlaps”, especially in measuring performance, but the intention is to ensure that this layering approach strengthens systems to contribute to achieving the goal. Still, their separateness allows for monitoring and accounting for results. Each intermediate result provides select benchmarks to guide learning and adapting for programs to contribute to achieving the IR.

The six anticipated projects are i) Resilience Project, ii) Demographic Drivers Project, iii) Market Systems Project, iv) Natural Resources Management Systems Project, v) Health Systems Project, and vi) Governance and Citizen Participation Systems Project. All projects will address several IRs, both vertically and horizontally across the results framework. For example, the Demographic Drivers project will include all IRs in both DO2 and DO3. An activity aiming to effect IR 2.1 Adoption of Reproductive Health Behaviors will also most likely include several of the IRs under the Systems DO. Resilience, Demographic Drivers, and Health Systems projects will be designed afresh under phase one of the process whereas the remaining three are closely linked to existing projects and therefore will be addressed under phase two of our design process. More details will be fleshed out during the design stages.

## Critical Assumptions and Risks

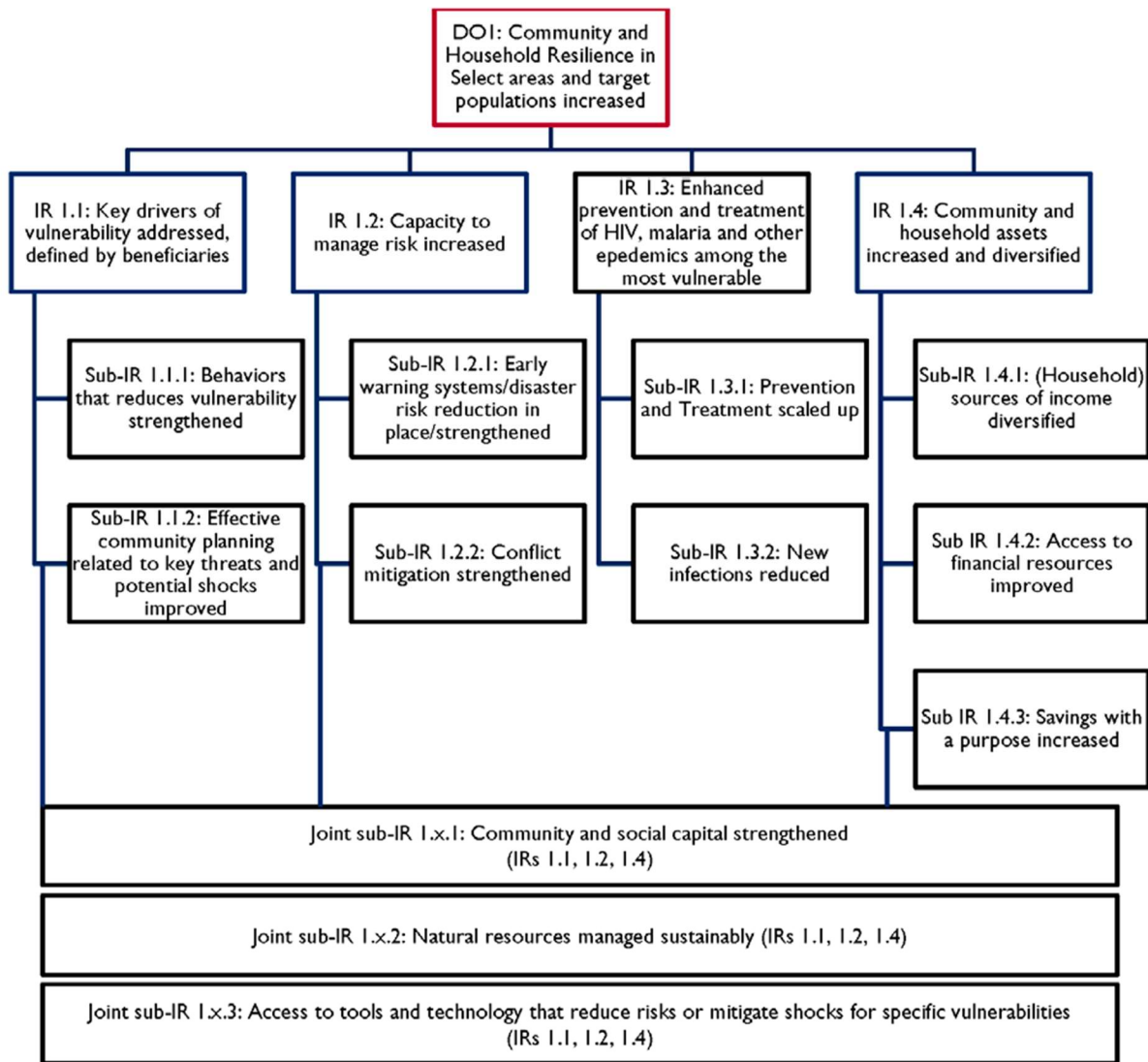
High-Level Critical Assumptions:

- The mission will be able to hire or replace the staff required to implement the CDCS;
- There will be no significant change in U.S. foreign policy;
- Availability of adequate funding for the implementation of 2016-2021 CDCS.

Critical risks that would affect the achievement of the 2016-2021 CDCS include:

- That civil unrest, a climatic shock, or conflict emerges on a scale that overwhelms USAID/Uganda ability to implement its activities.
- That there is a significant shift in U.S. government foreign policy toward Uganda, including changes in foreign assistance levels and composition.
- That the partnership between the GOU and USAID/Uganda deteriorates to the point of directly impacting USAID ability to carry out its assistance program.
- That a major natural or humanitarian disaster emerges that affects the national peace and stability.
- That ongoing, or escalating, instability in the region – including among some of Uganda’s neighbors, and in countries where Uganda has a role in maintaining peace, impact the political situation at home.

## Development Objective I: Community and Household Resilience in Select Areas and Target Population Increased



## DO I Characteristics

**Problem/Context:** 96 percent of Ugandan children are vulnerable. 70 percent experience multidimensional poverty or lives at constant risk; 37 percent are chronically poor, defined as living on less than \$1.85 a day. One in every 19 children is at risk of dying before his or her first birthday. About 70 percent of Ugandans live on less than \$2.50 per day – and this has not changed since 1970. One in every eleven is at risk of death before the age of five. Girls 15-24 years old constitute the cohort with the highest level of new HIV infections.

**Development Hypothesis:** *If communities and households have less vulnerability, are able to manage risks, benefit from prevention and treatment of health epidemics, and have greater levels of diversified assets, then community and household resilience will increase.*

### Critical Assumptions:

- There will be no conflict escalations in the conflict-prone areas of western, central, north and northeastern Uganda that will result in large-scale violence.
- The country will not experience a catastrophic climatic event that will destroy virtually all livelihood prospects of Ugandans.
- Uganda will not experience major disease outbreaks that will overwhelm health systems ability to respond.
- Uganda will be able to manage any increase in internally displaced people and refugees.

**Funding Streams and Initiatives:** Feed the Future, Food for Peace, President's Emergency Plan for AIDS Relief, President's Malaria Initiative, Climate Change Adaptation, Biodiversity

**Measuring Progress:** Depth of Poverty; Prevalence of households with hunger; Stunting; Prevalence of HIV/AIDS; number of vulnerable families graduated.

Vulnerability in Uganda is typified by the absence of social safety nets, poor levels of literacy and secondary education attainment, undernutrition and poor access to electricity. Crises and stresses caused by loss or illness of a key wage earner or family member, deforestation, climate change, HIV/AIDS, malaria and other disease epidemics, and recurring conflict all have an exacerbating negative effect on the ability of households and communities to remain resilient. Seventy percent of Ugandans experience multidimensional poverty (IFs, 2015). For them, a sudden shock or stress in one area can easily cause backsliding and quickly erase any gains the household has made. Chronically-poor households are particularly affected by recurrent and complex crises and emergencies that are commonplace in Uganda. Actions under this DO will align to Feed the Future, Global Climate Change, Biodiversity, Global Health Initiative, Malaria, PEPFAR, Education for All, and Power Africa Initiatives, as well as priorities for improving governance and accountability.

Increasing resilience includes strengthening the ability of households, communities and the country to mitigate the effects of, recover from, and adapt to shocks and stresses. The **development hypothesis** is that *if communities and households have less vulnerability, are able to manage risks, benefit*

*from prevention and treatment of health epidemics, and have greater levels of diversified assets, **then** community and household resilience will increase.* While the focus of DOI is at the community and household level, it will be difficult to achieve resilience without addressing problems with service delivery and emergency response systems at the national, regional, and district levels. Many of the problems faced by households and communities are related to systems that fail to deliver quality, gender-sensitive and reliable services.

This development objective rests on the recognition that some target populations and select areas in Uganda need specific assistance addressing their vulnerabilities in order to progress equitably with the development of the rest of Uganda. As such, key drivers of vulnerability are specific to each population or area, and are best identified by beneficiaries. USAID/Uganda will aid beneficiaries to drive their own development, with this DO acting as a platform to graduate target populations out of vulnerability, where communities and households can meet their own basic needs and mitigate their own risks.

As household vulnerability and poverty vary with geography, so too will the USAID/Uganda response, taking into account high levels of vulnerability in the northeast and the southwest. Marginalization and vulnerability occur across a number of axes, including gender, disability, sexuality, age, location and so on. Programming will continue to employ a gender-conscious lens to more effectively take into account traditional gender roles and dynamics between men and women, as well as young girls and boys, and to promote gender equity. Beyond this, programs will address different axes of vulnerability, and the intersections of these axes, to support all vulnerable groups to build resilience to shocks and stresses.

In five years, target populations will have increased capacity to identify and address areas of vulnerability; and government and other service providers will be delivering higher quality services with greater accountability to the people they serve. Households and individuals will graduate out of vulnerability, while communities will have increased capacity to deal with conflict, adapt to climate change and deal with other vulnerabilities. Since vulnerability is caused by a set of interrelated factors, the level of resilience is likely to be measured by a Composite Resilience Index.

Given the magnitude of vulnerability throughout Uganda, other donors contribute to the achievement of the IRs under the resilience development objective. EU partners will invest over \$200 million in agriculture and food security over a five-year period and DFID will invest in malaria and HIV/AIDS interventions. The UN agencies will target vulnerable communities. USAID will continue to engage with the World Bank on land registration, and will coordinate work with the Democratic Governance Facility and UN agencies to advance peaceful coexistence in areas of former conflict. USAID/Uganda expects to continue building partnership through its current support to the Karamoja Donor Partners Group, and will take advantage of the opportunity to collectively plan and channel technical support through a Karamoja Governance Facility, operated together with DFID and the European Union. USAID/Uganda leadership with a partnership “access agenda” will broaden electricity access throughout Uganda. USAID will continue to work alongside other donors to support the needs of refugees, particularly focusing on refugees’ food security needs.

DOI IRs 1, 2 and 3 each include a series of joint sub-IRs which enable the completion of their respective result areas:

Three cross-cutting Sub IRs reflect the importance of utilizing science, technology, innovation and partnerships as well as managing natural resources. Tools and technologies, especially mobile digital solutions, have demonstrated their value in current programs and will be scaled up. The mission's partnership with the Global Development Lab will deepen in several fronts to improve access of vulnerable populations to services in key sectors. Using innovations and innovative project and activity designs to build more resilient social networks that strengthen social capital will be consistent across the IRs so that there are cross- sectoral linkages and the opportunities provided through synergy are fully valued. Natural resource management challenges are amplified in vulnerable communities and each IR will consider how best to conserve biodiversity and improve natural resource management.

The joint Sub IR **community social capital strengthened** will contribute to the achievement of all IRs in DOI. Developing stronger social networks will enable quicker recovery following shocks and crises. Where social vulnerabilities persist or there are heavy social impacts that are a result of shocks, USAID/Uganda will invest in building social capital and strengthening networks of actors within and across communities in partnership with other donors and the GOU. This will build on and support social protection systems that mitigate and manage risk and provide essential support when it is needed, including among orphaned and vulnerable children. Interventions under this joint sub IR will be developed with the beneficiaries and build on existing methodologies that were developed in activities that are graduating vulnerable children and households out of vulnerability.

The joint Sub IR **access to tools and technology that reduce risks or mitigate shocks** for specific vulnerabilities, will include off-grid energy solutions, for example, to address many vulnerabilities at the community-level and household-level. Energy solutions to vulnerabilities would include access to household based solar panels, solar based irrigation, and schools and health centers linked to off-grid energy solutions.

The third joint Sub-IR, "**natural resources managed sustainably**", will help conserve the natural resource base that underpins the livelihoods of most Ugandans as a source of subsistence and the basis of production and other economic activity. Support for biodiversity management is central to addressing poverty and sustainable economic development in Uganda since much of Uganda's natural capital is safeguarded within national parks and other protected areas. Sustainable management of biodiverse habitats helps create ecologically stable and productive ecosystems that in turn strengthen communities' resilience to climate change and other stresses. Key strategies will include: support for the development of Integrated Water Resource Management Systems; protected area and buffer zone management for forest and wildlife conservation areas; encouraging sustainable use of natural assets such as wood, fisheries, and non-timber forest products; assisting communities gain more benefits from tourism revenue; improved land use planning; and management of ecosystem services.

### **IR 1.1: Key Drivers of Vulnerability Addressed, as Defined by Beneficiaries**

Vulnerability is driven by multiple factors such as food and tenure insecurity, youth unemployment, gender- based violence, the traditional role of women or gender dynamics within the community or household, cultural practices, degradation of natural resource systems, climate change and variability, political, social and economic marginalization, and conflict, as well as

the psychosocial effects of an individual's ability to cope. To effectively target such root causes, beneficiaries need to be at the center of interventions, because they are best positioned to identify vulnerability factors, and because they have knowledge to ensure that interventions are contextually appropriate and sustainable. Including the voice of teenage girls, given their level of invisibility and hardship, demonstrates the importance why this intermediate result is phrased in this way.

The intended beneficiaries are often limited in the degree to which they can participate in local systems, isolated from Uganda's broader network of social services, so USAID will implement integrated programming at the community and household levels that links closely to activities under the other DOs, but that bridges the gap in social services left by shortcomings in the inclusiveness of Uganda's systems. Interventions under this IR will require service delivery elements that are implemented in each system outlined in DO3, but are critical to address vulnerabilities such that they must be delivered in the targeted communities. When communities, households and key populations identify vulnerabilities, strengthen household behaviors (around, for example, WASH, health, education, fuel generation, management of natural resources), and when those communities actually plan to address threats and shocks, then those communities and households will be better equipped to address the drivers of their own vulnerabilities. Achievement of this IR requires both changes in behavior and planning as well as solutions to real problems which cause vulnerability. Those solutions may include the distribution of bed nets to combat malaria, care and treatment for HIV/AIDS, sanitation and hygiene activities, or electricity generation and distribution, integration of climate risk management into local development planning, or development and implementation of community forest and wildlife management plans.

USAID will support interventions that **strengthen behaviors that reduce vulnerability** (Sub IR 1.1.1) in households, building on the successes in current programs. Once challenges have been identified and assessed, USAID will support communities and households in adopting and strategies and behaviors that reduce vulnerability. The interventions will overlap with interventions under other IRs such as diversifying assets, HIV prevention including test and treat, family planning, transfer to more sustainable cooking methods etc. Under this IR, the vulnerabilities are identified by the beneficiaries and community strategies developed to adopt new behaviors. Ensuring inclusion of voices from marginalized groups, especially girls, persons with disabilities, children, and women will require special effort and attention, especially in improving the ability of privileged groups to move beyond traditional cultural norms. In managing household and community risks, USAID will make express reference to "Guidelines on Compulsory Displacement and Resettlement in USAID Programming" which provides a clear and user-friendly synthesis of current good practice around how to manage these types of risks in a way that improves livelihoods and well-being.

**Effective community planning related to shocks and threats** (Sub IR 1.1.2) will occur through community and household self-reliance initiatives, and through improved quality of engagement with government service providers in instances when USAID is supporting those providers under DO3, or through linkages to other donors/actors. Through these sub-IR interventions, USAID will also help communities and households understand the consequences of and address gender-based differences as well as other inclusion challenges. Households and communities will be better able to identify and prioritize vulnerabilities, to address vulnerabilities through self-reliance or accessing support from and engaging with local leaders, NGOs, CSOs, government and/or the donor community, and to hold themselves and service providers accountable. Measurable increases for inclusion will also be accomplished. Local organizations will be



supported with training and technical assistance to improve technical skills; training and technical assistance to upgrade planning, community engagement, monitoring and other institutional capacities; and small grants. The end-results will be: (i) a fixed number of completed activities that reduce community and household vulnerability; and (ii) the strengthened capacity that will be realized through technical assistance, training and first-hand learning experiences gained in completing the activities.

### **IR 1.2: Capacity to Manage Risk Increased**

For sustainable development to take hold, communities and households must strengthen their capacity to manage or mitigate risk and to recover quickly from the aftermath of shocks and stresses. Shocks and stressors for vulnerable families in Uganda extend beyond the conventional wisdom of disasters and drought; they include sickness, loss of a family member, forced removal from land, being a vocal member of the political opposition, and cultural practices in addition to poverty. USAID will promote risk management and recovery from shocks in ways that reduce future risk and strengthen long-term resilience while avoiding approaches that instill dependency. Its interventions will be pro-poor and will foster gender-sensitivity and inclusion, recognizing that the poor often experience the greatest consequences of shocks; that women face particular vulnerabilities in times of crisis and, at the same time can make unique contributions to mitigation, avoidance and recovery; and that populations under threat often become more insular and threatened by those not like them. Interventions will also recognize the benefits of sustainable use of natural resources in preventing shocks and buffering against other risks.

Interventions under this IR will include: (i) developing early warning systems to anticipate crises, conflicts, disasters, climate change effects and epidemic outbreaks; and (ii) working with communities to plan for quick recovery (iii) direct support to families to graduate themselves out of vulnerability and build household resilience. In Uganda, building on the depth and breadth of the social networks can lead to quick recovery. Developing social capital through new network linkages will be important for sharing burdens and mitigating risk.

**Early warning systems/disaster risk reduction will be in place and strengthened** (Sub IR 1.2.1) related to: managing climate risk; and foreseeing and preventing epidemics, conflict and other crises. Support will be provided at both the national and the community level as well as to linking national and the community level efforts.

Support envisaged for climate-related crises is illustrative of the support that would be provided for other types of crises. At the national level, USAID will support local climate research, education and community outreach, foster scientifically-informed awareness on climate change adaptation, and increase access to and subsequent use of quality meteorological data and early warning services in key development sectors. USAID will help communities identify and address manageable climate or disaster risks within their own control, for example: watershed encroachment, forest degradation, overfishing, and overstocking through actions such as improved management practices, improved enforcement of existing regulation, small scale irrigation and better utilization of diversified or drought resistant crops. Biodiversity interventions also support healthy natural resource systems that are part of the foundation for other development outcomes. Improvements in the biophysical resilience of targeted landscapes will directly support community and household resilience.

Innovative approaches to address different conflict drivers and engage directly in **conflict mitigation will be strengthened.** (Sub IR 1.2.2) The conflict risk of a planned development intervention will be assessed, and means to mitigate that risk within particular interventions identified. For example, conflict-sensitive education can help mitigate conflict, and education interventions will take into account the history of conflict in the north and northeast as well as the risks associated with refugees from neighboring conflict- and crisis-affected countries.

**Strengthening community social capital** will build better networks between local organizations and effectuate community plans with sufficient community involvement to reduce the “hand out” mentality and build the capabilities for communities to become effective partners in development, rather than recipients of aid. For instance, linking village health teams with elected officials and local business leaders through an integrated community development plan will strengthen relationships and build new connectivity between families, leading to more resilient local organizations.

### **IR 1.3: Enhanced Prevention and Treatment of HIV, Malaria and Other Epidemics Among the Most Vulnerable**

Individuals and families affected by infectious diseases are extremely vulnerable to economic shocks as well as social isolation. By September 2016, the burden table analysis estimates that 1.5 million Ugandans will be living with HIV/AIDS. Those affected by the epidemic are heterogeneous and geographically dispersed, although there are some particularly affected populations and locations such as youth, Persons with Disabilities, incarcerated populations and the Lesbian, Gay, Bisexual and Transgender populations (LGBTI), which warrant special attention. Malaria is still the leading cause of child death, though significant progress has been made through the President’s Malaria Initiative.

The Government of Uganda bears minimal financial responsibility for its national HIV/AIDS and malaria responses: more than 80 percent of Uganda’s national HIV/AIDS response spending comes from development partners like USAID. There is a tension between managing the epidemic and taking on an ever-growing mortgage of people on HIV treatment without a real commitment from the Government of Uganda to take up treatment costs. Nonetheless, by working to improve disease treatment and prevention among vulnerable populations, household and community resilience will increase, which in turn will create a demand for more inclusive service delivery. This approach is imperative to addressing both the immediate needs of the population and to improving the long-term institutional capacity and sustainability of Uganda’s health sector.

Activities under this IR will support **prevention and treatment of diseases and epidemics** (Sub IR 1.3.1) in line with U.S. government global health initiatives such as the Presidential Malaria Initiative (PMI), Global Health Security Agenda (GHSA), TB control, and PEPFAR. For example, USAID/Uganda will scale up cost-effective disease prevention and treatment by providing anti-malarial bed nets, targeting the prevention of malaria in pregnancy, and carrying out indoor residual spraying, especially in high-risk communities. Outreach events for safe voluntary medical male circumcision will contribute to the prevention of sexually transmitted diseases, including HIV. Programs will support the scale-up of GeneExpert HIV testing, improve the prevention of mother-to-child transmission, and increase the retention of mother-baby pairs in HIV treatment. Activities for orphans and other vulnerable children (OVC) will continue to focus on comprehensive socio-economic community-based packages contributing to community case finding, enrollment and retention of HIV+ children and family members. Most importantly, OVC programs will build family

resilience to reduce risks of HIV infection and achieve PEPFAR prevention, treatment and care outcomes for affected children and their families, especially young adolescent girls 10-19 in coordination with the DREAMS initiative.

**New infections will be reduced** (Sub IR 1.3.2). With a growing population in Uganda and a large percentage of the population already living with HIV/AIDS, infection prevention is the only way to further reduce the strain of the epidemic. People infected by epidemics such as HIV/AIDS experience chronic vulnerability, whereas those infected with malaria experience intermittent vulnerability. Regardless, infection reduction then reduces overall population health vulnerabilities, leading to fewer health shocks, translating into better health and economic outcomes. Interventions supporting ARV treatment will reduce viral load which thus reduces the risks of transmission of infection. Interventions promoting knowledge and encouraging behavior change across the whole population, and reducing medical transmission, through adequate provision of health supplies, health personnel behavior change and adequate staffing, will further reduce new infections. For malaria, new infections can be reduced through continued work with local health systems, the National Malaria Control Program, to distribute and ensure universal coverage of long-lasting insecticide-treated bed nets. Indoor residual spraying for malaria carrying mosquitoes will also help to reduce malaria infections.

#### **Integrating Health and Climate Change:**

Households already experiencing HIV/AIDS and other diseases are significantly more vulnerable to climate change and variability. The Uganda Climate Change and Health assessment (USAID, 2013) found that several diseases that are currently endemic in Uganda will likely increase in prevalence and distribution due to climate change. Integrated health and climate change projects will therefore be designed to manage these climate risks, and climate information will be integrated into health planning. This will inform how USAID/Uganda approaches the geo-focusing of health interventions. For example, projects will be designed to cover new malaria incidence zones resulting from climate change, and HIV/AIDS and malaria interventions will focus on households whose vulnerability is exacerbated by climate change and variability. Health strategies will also include the enhancement of early-warning systems and preparedness for climate change-related diseases; increasing surveillance of disease outbreaks; and responding rapidly to climate-related epidemics. Other strategies will involve increasing the health workforce's capacity (including Village Health Teams) to identify and manage climate-related diseases. The community-based approach of implementing USAID health programs could be used to effectively reach communities and households in need of intervention support where accessibility has been limited by floods and landslides, while the high solar intensity could be harnessed to supply solar energy at health centers and the projected excess rain and flood waters could be harvested to supply health facilities with water.

#### **IR 1.4: Community and Household Assets Increased and Diversified**

As 70 percent of the active labor force is engaged in agriculture, it is still the main pathway out of poverty for most Ugandans, though urban migration is increasing. The numbers confirm this: agricultural growth contributed to 70 percent of poverty reduction between 2006 and 2010 (Kaminski and Christiansen, 2014). In spite of this, many households are either food insecure or only marginally avoid food insecurity and most have multiple income sources. Moreover, the

development of market systems will likely expose households and communities to new cycles of boom and bust, price and income fluctuations, environmental degradation, and social and cultural change. Although specializing in one or two crops can increase a household's level of income by increasing production and marketing efficiencies, it can also make a household more vulnerable to price and climate fluctuations and potentially leave it even more food insecure. A shortage of financial resources and limited access to affordable credit constrains private-sector investment at all levels of the value chain. Households must have better access to financial resources in order to efficiently manage their income, and to maximize the potential return on their productive assets.

Household and community assets include natural resources. Nationwide, natural resources and biodiversity also underpin a critical source of foreign revenue (tourism). Biodiversity programs will contribute to diversifying natural resource-based livelihoods in the short- and longer-term, as well as to improvements in biodiversity related ecosystem services that will support community and household resilience in adjacent areas. Owing to climate change and variability, Uganda is likely to experience lower agricultural productivity, increased numbers of pests and diseases, and weather-related post-harvest issues. (CCVA, 2013) An estimated 73 percent of rural households are highly vulnerable to the impacts of climate change because of their reliance on certain crops vulnerable to climate change and their lack of assets, financial capital, and non-agricultural sources of income that can be used at times of stress. Illustratively, extreme events such as droughts have caused losses to agriculture in the recent past in the range of 1-7 percent of GDP. If climate events become more frequent, as is likely, economic output in key sectors will be reduced, having knock-on effects on other sectors.

### Story of a 14-Year-Old Girl in Uganda

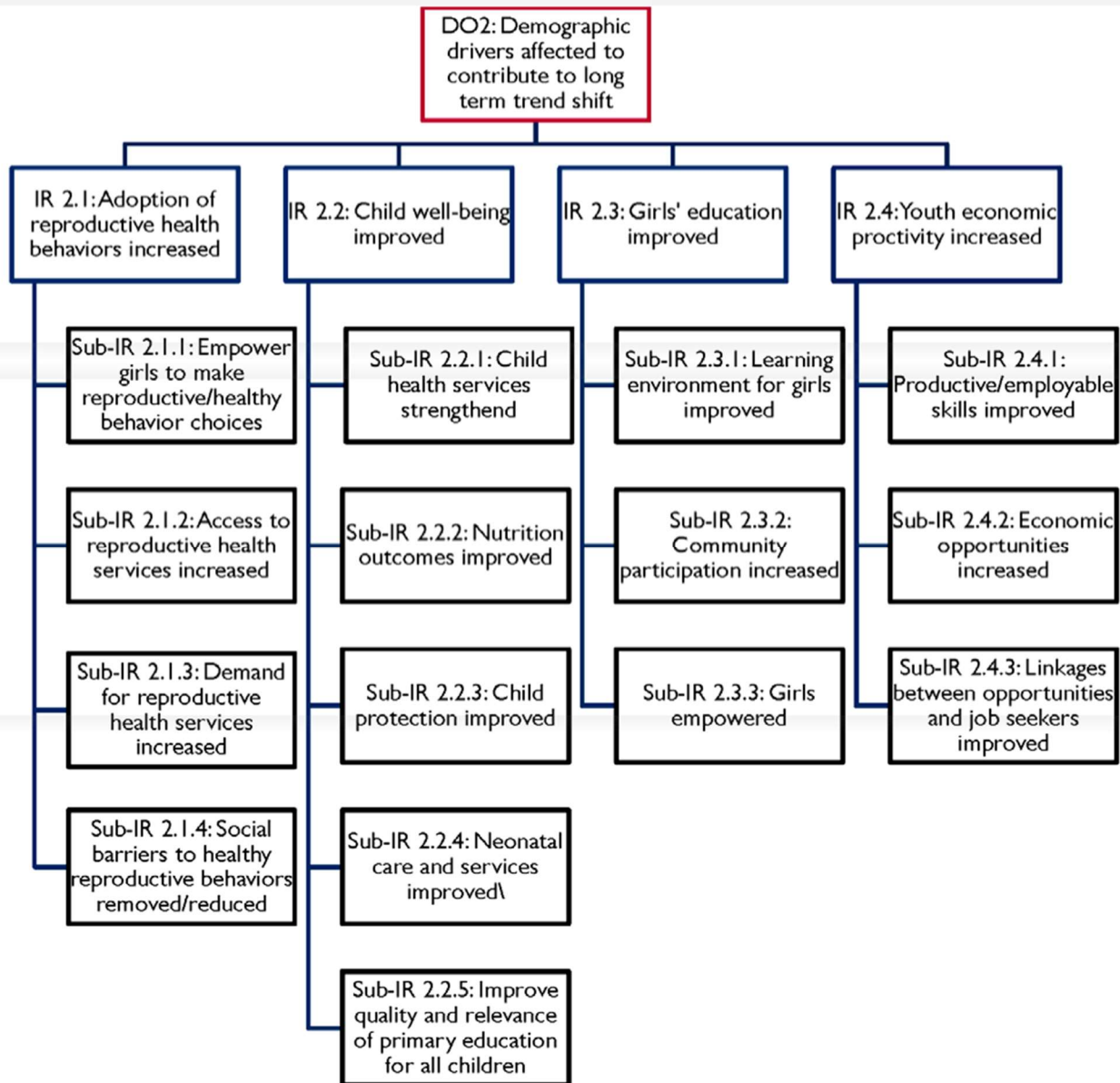
Like most Ugandans, the 14-year-old girl lives in a rural area, in a situation of poverty, largely dependent on subsistence agriculture and extremely vulnerable to environmental shocks and stresses: a year with lower rainfall than usual is likely to leave her and her siblings severely malnourished. However, if her family is supported to diversify their assets by planting a wider variety of crops and engaging in small-scale market enterprise, they are better able to spread their risks and therefore more resilient. The increased household income will improve the chances that the 14-year-old girl and her siblings will attend school, thus decreasing the likelihood the girl will fall pregnant or marry while still in her teens. Greater household purchasing power will increase access to healthcare services and improve the family's health. If the women in the family are supported to engage with the market, the balance of financial power in the family will become more equitable, slowing population growth.

**Income sources of households will be diversified** (Sub IR 1.4.1). Recognizing the different roles that men and women take in agriculture and livelihoods, all family members could achieve a better position within a household if women and under-age girls with children are particularly engaged and empowered in this area. Programs designed to increase economic opportunities and build entrepreneurship, leadership, and workforce readiness will specifically consider the unique needs and realities of girls and women and address gender gaps, while ensuring that men are positively

engaged in gender-equitable approaches, to both mitigate unintended harm, but also to ensure that men become champions for the empowerment of women and girls. Labor productivity is low and will be a focus of Feed the Future efforts. Expanding non-farm economic activities will also target marginalized groups especially utilizing technology and innovation.

USAID/Uganda will **support increased access to financial services at the grassroots level** (Sub IR 1.4.2.) The 'root causes' of limited access to financial services must be addressed systematically and in partnership with national actors and stakeholders if such changes are to have a lasting impact. If families are able to get more out of their current income sources through investment and access to finance, they can in turn invest more in health, education and other basic needs or opportunities to develop and strengthen their resilience. Households can also develop assets and/or a pool of savings, either by creating their own 'safety net', or **saving for a purpose such as investing in new income sources, or their family's development** (Sub IR 1.4.3).

## Development Objective 2: Demographic Drivers Affected to Contribute to Long Term Trend Shift



## DO 2 Characteristics

**Problem/Context:** Uganda's rapidly growing and disproportionately young population is exacerbating pressures related to service delivery, political stability and environmental stress.

**Development Hypothesis:** *If healthy reproductive behaviors increase and child wellbeing and girls' education are improved, coupled with increased youth productivity, then demographic drivers will be affected, and over long term Uganda will realize a true demographic transition.*

### Critical Assumptions:

- Ugandan institutions will be willing to change social-cultural norms about desired number of children and gender roles
- There will be political will and government commitment to support voluntary family planning and other investments that contribute to reduced population growth.

**Funding Streams and Initiatives:** Family Planning, Maternal and Child Health, Basic Education, President's Emergency Plan for AIDS Relief, Water, Sanitation and Hygiene, Nutrition, Food for Peace, Feed the Future, Biodiversity.

**Measuring Progress:** girls reached with health services, rates of population growth, teen pregnancies, desired number of children, retention rates for girls in primary and secondary school, jobs and internships created for youth, reduction in incidents of violence against children in schools.

The demographic drivers behind the extremely high fertility rate in Uganda are deeply rooted in cultural, social and political contextual factors. Those drivers are closely linked to the power balance in households and communities having both a gender and age dimension. From an early age, the messages girls receive encourage them to have more children than their families or the country can support. This is exemplified in the fact that 24 percent of teenage girls have begun having children, and among girls in the lowest wealth quintile the rate increases to an alarming 34.4 percent. (UDHS 2011)

Survival, heritage lines and wealth also shape a couple's preferences in family size, but the gap between the average number of children desired by rural and urban populations is closing (UDHS 2011 and 2015). Girls education is associated with contraceptive use, and use of modern contraception is linked with lower maternal and child mortality rates, improved nutrition, protection against HIV/AIDS infection, and reduced rates of early marriage. Education is also linked to women's increased political and labor force participation and earnings, and a general upward spiral of intergenerational education benefits.

While much of the existing research focuses on the relationship between girls' education and fertility rates, boys' and men's attitudes and behavior also play a crucial role in decisions around pregnancies, desired number of children, and other family planning matters. Educating boys and men can therefore also be an entry point to influence demographic drivers.

The **development hypothesis** is that *if healthy reproductive behaviors increase and child wellbeing and girls' education are improved, coupled with increased youth productivity, then demographic drivers will be affected, and over the long term Uganda will realize a true demographic transition.* In order for this shift to be possible, two critical assumptions must hold true: 1) Ugandan formal and informal institutions will be willing to change social-cultural norms about desired number of children and gender roles; and 2) there will be the political will and capacity necessary to implement the policies required to reduce the population growth rate. USAID/Uganda will monitor these assumptions and adapt as necessary for the successful achievement of this DO.

To contribute to a shift in demographic trends, USAID/Uganda will implement a cross-sectoral approach, intervening in the areas of education, governance, health, and economic development, working within each to improve respective systems. These factors are all important for improving Uganda's ability not only to improve the lives of an already high number of youth, but also to reduce the size of any future youth bulge.

By 2021, the main drivers behind demographic change should be shifted on a pathway towards a more sustainable growth rate. To measure progress towards shifting demographic trends, USAID/Uganda will focus on the main drivers impacting total fertility rate. The desire to have a large number of children is expected to fall, indicating a change in the underlying social and cultural norms. The high teen pregnancy rate is also expected to decrease, indicating an improvement in girls' empowerment and improved futures for children.

Like the majority of her peers, the 14-year-old girl dropped out of school in late primary for one of any number of reasons including an early marriage or pregnancy, peer pressure, health issues, or an unsafe school environment. Her dropout will not only diminish her future earnings and household power, but also the trajectory of her own children. However, if coordinated efforts are made – improving the school environment, discouraging harmful cultural practices, helping her family increase its income, and so on – she is much more likely to stay in school. She would then benefit from increased economic and political participation, enhanced health for her and her future children, and a reduced number of children – benefits that will continue to accrue in future generations.

USAID/Uganda is among the largest development partners for Uganda's family planning program, alongside DFID, UNFPA and the World Bank. These partners are also working with USAID/Uganda to reinforce efforts of the Ministry of Health to strengthen the national health supply chain. The World Bank supports infrastructure development and human resources. USAID/Uganda also coordinates with UNICEF, DFID, the Gates Foundation, WHO, WFP, the World Bank, African Development Bank, GIZ and the Austrian Commission in other areas impacting child survival, including malaria, nutrition, health, and WASH. A member of the Education Development Partners, USAID/Uganda works with the Ministry of Education and Sports to implement the Global Partnership for Education.



## **IR 2.1: Adoption of Reproductive-health Behaviors Increased**

More than 40 percent of births in Uganda in 2011 were unplanned. (UDHS 2011) Family planning services remain an unmet need due to women's unequal negotiating power within the household, their lack of control over income and other productive assets, and persistent social and cultural norms that encourage large families. Increasing access to reproductive health services, including family planning, has been shown to have profound health, economic and social benefits for families and communities, such as mitigating the impact of population dynamics on economic growth, natural resources and state stability. It is critical to support: improved implementation of innovative and evidence-based practices that increase demand for family planning services; more equitable access to high-quality family planning services for all sub-groups, especially for youth and the economically disadvantaged; and greater and stronger political commitment to family planning.

USAID/Uganda will work to **empower girls to make healthier reproductive behavior choices** (Sub IR 2.1.1). Many girls and women lack the knowledge to make informed decisions about their own bodies. USAID/Uganda will empower girls by supporting health and education systems to educate girls on reproductive health topics. Girls will learn how healthy behaviors can reduce poverty within their households and improve their own health and that of their children. A combination of evidence-based and best-practice health communication strategies will be used, including targeted media, interpersonal communications, community mobilization, and the reinforcement of healthy behaviors — building national capacity to impart and learn life skills and informed decision making.

**Access to reproductive health services will be increased** (Sub IR 2.1.2). Family planning demands are unmet for over 50 percent of women desiring services. Certain groups have an even harder time accessing services including women in rural areas, those in the lowest wealth quintiles, and youth, where rates are 58 percent, 74 percent, and 69 percent respectively. (UDHS 2011) Interventions will include making a broad range of family planning methods more widely available and accessible to all, including these particularly excluded groups, enabling girls and women to choose methods most suitable for them. A focus will be given to increasing the range of contraceptive methods available, including long-acting reversible contraception (LARCs) and permanent methods (PMs). Also, strategies will be prioritized that reduce dependence on clinic-based services and optimize limited human resources.

**Demand for reproductive health services will be increased** (Sub IR 2.1.3). Many women do not understand the benefits of spacing and limiting births such as improving their family's economic situation and their ability to invest in the education and health of their children and fostering long-term environmental sustainability for their community. Evidence-based tools such as media socialization and counseling will ensure informed choice, and promote knowledge of contraceptive side effects. Interventions will address provider bias.

**Social barriers to healthy reproductive behaviors will be removed/reduced** (Sub IR 2.1.4). The Sub IRs above are about creating demand and giving women the choices that come with access. For demand to be effective and personal choices to be realized, there are other barriers to women's access reproductive healthcare that must be torn down. These are largely due to traditional gender roles and a lack of power in the household. Men have traditionally been portrayed as either explicitly or implicitly unconcerned or unknowledgeable about reproductive health, and are regarded as

formidable barriers to women's decision-making about fertility, contraceptive use and health care utilization. A focus will therefore be given to working with men and boys to equalize the power balance in households, and to, thus, enhance women's decision-making and the utilization of family planning services.

## **IR 2.2: Child Well-being Improved**

In order to ensure that children not only survive, but also thrive, it is crucial to lower neo-natal and child mortality, improve child health and nutrition, strengthen the education system, and develop systems that support child health and protect children from violence, abuse and exploitation. Given that evidence shows that the loss of a child increases a family's desire for more children, effectively tackling child mortality could be a positive driver in slowing population growth.

Child wellbeing must start at the household level. In addition to women's empowerment, fathers' positive engagement is also critical to success. Activities will emphasize family-centered care and prevention through improved parenting skills and community networks linking households to services. Further gains in child wellbeing can be leveraged through coordination with broader health, education, livelihoods, and social protection systems.

USAID/Uganda has convened thousands of stakeholders nationally and regionally to develop and raise commitment to a National Action Plan for Child Well-Being, which aims to create a sustainable and shared vision for the future of Uganda's children. The mission seeks to continue to support actions within this initiative and consolidate work plans to increase collaboration and partnership towards shared goals using the same indicators to measure progress.

It is important that **child health services are strengthened** (Sub IR 2.2.1). Although Uganda has made significant progress, child mortality remains high, at 90 deaths per 1,000 live births (DHS 2011). The major causes of under-five mortality include malaria, diarrhea and pneumonia. HIV/AIDS also has devastating impacts on Uganda's population, especially among children and youth. Interventions will systematically target those at highest risk in order to prevent disease, and will adopt a multi-sectoral approach to harness the structural and social determinants of health.

To address another factor of health, USAID/Uganda will work towards **improved nutrition outcomes** (Sub IR 2.2.2). The Uganda National Nutrition Plan (2011-2016) highlights that malnutrition is an underlying or contributing cause to 60 percent of deaths among children under five in Uganda. Households experiencing malnutrition or undernutrition are also significantly more vulnerable to climate change and variability, especially if they experience lower agricultural productivity and post-harvest losses. Child wellbeing activities, which may include mothers' groups, health outreach, family-based income generating activities, kitchen gardening, nutrition education and village savings and loan associations, will integrate climate risk management interventions and leverage gains from IR 1.4 that will support households to be climate-smart and adaptive, diversifying programming away from climate-dependent agriculture where possible. USAID/Uganda will also integrate key hygiene actions (safe drinking water, handwashing with soap, safe disposal of excreta and food hygiene) into its nutrition initiatives.

Around 96 percent of children in Uganda suffer from some form of vulnerability, and around 8 percent are considered critically vulnerable. (State of Ugandan Child, 2016) Violence is among the sources of vulnerability. Children in Uganda are susceptible to multiple forms of violence, including

neglect and abandonment, hazardous labor, child trafficking, sexual abuse, and emotional and physical abuse in homes, communities, schools, and/or in the justice system. To address these issues, **child protection will be improved** (Sub IR 2.2.3). through systems that monitor, respond and provide appropriate referrals for to child protection case management. Child protection and OVC programs are essential parts of the Uganda National Children's Policy. An operationalization strategy will be developed that will coordinate efforts to be supported by UNICEF, USAID and other U.S. government agencies and the Ministry of Gender, Labor and Social Development. Workforce strengthening at the national and district levels will be part of this process, including the formalization of para-social workers into government systems.

**Neonatal care and services will be improved** (Sub IR 2.2.4). Neonatal mortality remains a substantial portion of child deaths in Uganda, at 28 percent (JDHS 2011). USAID/Uganda will address the major causes of newborn mortality including birth asphyxia, premature birth, and infections (sepsis/pneumonia) by strengthening the overall functioning of the health system and its ability to provide adequate neonatal care. Other interventions in the areas of nutrition and disease prevention will further contribute to the reduction of neonatal mortality rates.

**Improved quality and relevance of primary education for all children** (Sub IR 2.2.5) will be a priority. Among the already low 32 percent of children who complete primary school, most do not learn basic skills. For example, data from Uganda National Examinations Board (2014) show that only 56 percent and 40 percent of pupils reach appropriate literacy levels in Primary 3 and Primary 6 respectively. This is due to many factors including a lack of trained teachers, high rates of teacher absenteeism, limited materials, and large class sizes, among others. USAID/Uganda will carry out interventions targeting the quality of instruction as well as improvements in the school climate by addressing the prevalence of School-related Gender-Based Violence. Additionally, various contextual issues such as violence in schools, malnourished and/or hungry children, and student and teacher absenteeism inhibit learning. Such significant contextual issues can be best addressed by a fully integrated approach

### **IR 2.3: Girls' Education Improved**

In Uganda, 68 percent of children who enroll in primary school are likely to drop out before finishing the prescribed seven years. (UNESCO) Fewer still will finish secondary school, and drop-outs at secondary level are particularly high among girls, with only 34 percent of girls who enter secondary school completing, in comparison to 45 percent of boys.

Education for girls is empirically proven to be an immensely positive, powerful driver for social change in multiple areas, not only for the girl herself, but also for her family and community. Girls' education is linked to improved healthy behaviors, increased resilience at individual, family and community levels, and delayed marriage and delayed first pregnancy, thus driving demographic changes. Women who marry later tend to have fewer children than those who marry younger. Furthermore, women who are educated are more likely to work outside the home, thus increasing the size of the labor force, reducing the opportunity-cost of bearing children and elevating the potential for economic development.

USAID/Uganda will address both “push” and “pull” factors to encourage girls to attend school, while also supporting access to education and retention. Given the Agency focus on supporting primary education, opportunities to leverage complementary support to improve access and retention at the secondary level will be sought through partnerships with other donors and the private sector, based on the high rates of drop-out above lower primary.

**The learning environment for girls will be improved** (Sub IR 2.3.1). Seventy-eight percent of primary school children and 82 percent of secondary school students are exposed to sexual violence in school. Other types of violence, such as bullying and corporal punishment, are also extremely common. (UNICEF 2015) In addressing ‘pull’ factors, USAID/Uganda will focus on making schools safe and welcoming environments for girls by promoting healthy relationships and role models, and engaging communities to set clear norms and expectations about the nature of schools as a safe space for positive youth development. USAID will also strategically focus support for early-grade literacy as the basis for success in later grades and on the multitude of other health, resilience and socio-economic benefits demonstrated to follow from girls’ education. To further support retention, USAID/Uganda will support additional efforts to improve the learning environment by ensuring there are motivated and trained teachers, an evidence-based curriculum, quality teaching materials, adequate and private sanitation facilities (important given that 30 percent of girls drop out when they start their periods), protection from school-related gender-based violence, and teacher-parent associations and school management committees.

Additionally, **Community participation will be increased** (Sub IR 2.3.2). Given that cultural and social norms mean that retention of girls in school is particularly weak, attention will be given to ‘push’ factors within a girl’s family or community that encourage her to attend school. This will involve educating a wide variety of members from the girl’s community on the importance and benefits of education and the empowerment of girls and women. There are also clear links to USAID work to support electrification at the household level, as this will support girls’ ability to complete homework in the evenings after their household chores.

If environmental degradation and climate change compromises water supplies, there is a major risk that girls will be pulled from school to fetch water from far distances. Furthermore, if climate change negatively affects household income, it is likely that this will negatively affect household willingness to spend its increasingly scarce resources on educating girls. As part of sub IR 2.3.2, girls’ education activities will seek to leverage WASH interventions so as to provide water to households around targeted schools to maximize schooling time and improve the learning environment. In addition, by supporting the integration of climate change considerations into the curriculum, USAID/Uganda will begin to educate the next generation of leaders, and help increase the willingness to integrate climate adaptation into various levels of decision-making.

Across all USAID/Uganda interventions, it is important that **girls are empowered** (Sub IR 2.3.3). Interventions will seek to holistically support girls to access primary education by working with the girl herself to make informed decisions on her future, as well as by supporting vocational training and life skills (in coordination with IR 2.4, DOI and DO3), which will create a skilled and efficient workforce that is capable of meeting the varied needs of a growing economy. With support from the Global Development Lab, STIP solutions to improve the access of out-of-school girls to services and opportunities to participate in learning groups will be tested and rolled out.

## **IR 2.4: Youth Economic Productivity Increased**

The youth bulge, combined with high rates of unemployment and economic dependency, perpetuates the cycle of poverty. Whether Uganda's burgeoning population is a "demographic dividend" or an incipient threat to national stability as a "demographic danger" is dependent to a great extent on the provision of sufficient economic opportunities. USAID/Uganda will address high youth unemployment as both an important demographic driver and an opportunity to place youth at the center of sustainable, Ugandan-led economic development.

With just under eight million youth aged 15-30, the country has one of the highest youth unemployment rates in Sub-Saharan Africa (87 percent, UBOS, Labour, 2015). Despite significant progress in female labor force participation throughout the country, pervasive and persistent gender differences remain across sectors and jobs. According to a recent USAID/Uganda youth assessment, youth are interested in agriculture, agro-enterprise development and small business development, but are often constrained by a lack of resources and practical skills, low literacy and numeracy levels, and limited or no access to land and finance, climate change and variability as well as limited marketing information. In addition, USAID will work with youth towards other positive employment outcomes beyond agriculture including leveraging on other trade activities that would result from significant mineral and oil reserves.

Through **improvements in productive/employable skills** for youth (Sub IR 2.4.1)

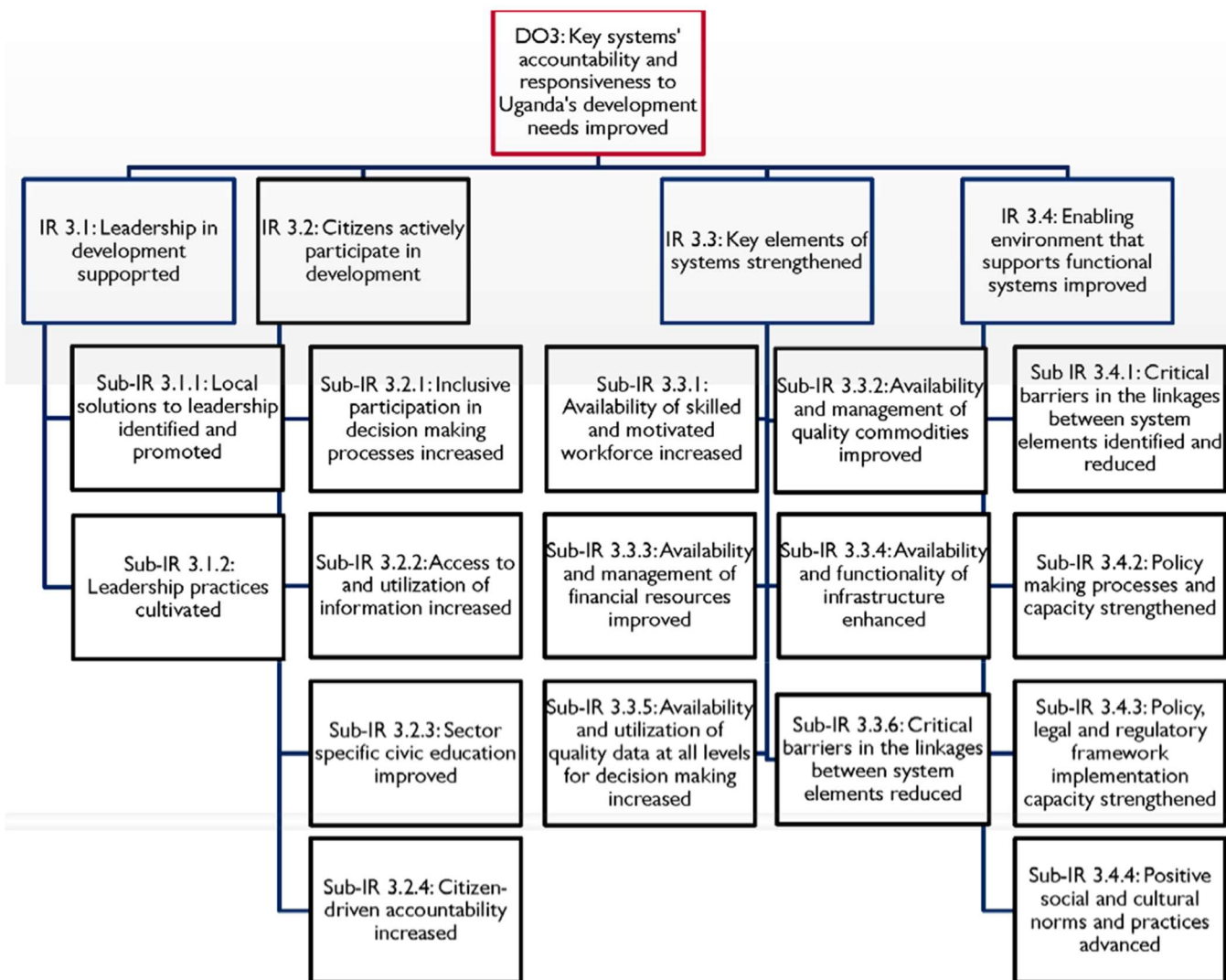
USAID/Uganda will address a skills mismatch between market demand and actual youth skill or education levels, with a special focus on female and rural youth, and youth with disabilities. Aligned with the Agency Positive Youth Development focus, interventions will address soft, or life skill development. Soft skills, sometimes referred to as essential skills, are in high demand in all sectors. Their development will result in pro-social behavior, academic performance and emotional resilience, all uniformly essential for productive employment.

Alternative employment opportunities must be created and **economic opportunities increased** (Sub IR 2.4.2). Through Feed the Future, USAID/Uganda programs will identify entrepreneurial opportunities in the agriculture value chain for male and female youth, and provide youth with the technical and financial skills, including climate-smart and adaptive agriculture and agro-processing, necessary to start businesses. The Mission will support business growth within agriculture and food systems (per the new GFSS frame), including ancillary value chains (like transport), in order to create new wage work opportunity for youth, Conservation enterprises supported through biodiversity programming will also target similar opportunities for youth engagement. USAID/Uganda will also create paid and unpaid internships for entry-level positions on USAID projects. Consideration will be made toward investments in youth cooperatives or associations beyond existing Savings and Credit Cooperative Societies. With investments enabling cooperatives and associations to promote increased productivity, new jobs will be created. Producer Associations (PAs)/Cooperatives have the potential to deliver leading edge initiatives and have significant potential for innovation. USAID targeted support will be directed towards innovations that drive growth based on a better understanding of members needs and current bottlenecks. This support will streamline service delivery; enable PAs interact with the broader market system; and allow PAs to employ a variety of governance, constructs and interactive models that embody core values of member ownership. In terms of capacity, effective PAs are able to defend and protect the interests of their members and/ or link members to required products and services. However, PAs often experience limited participation by women and youth members due to lack of differentiated

services. USAID support will be targeted towards promoting sustainable inclusive business models and a diversity of products and services that take into consideration youth and women. Effective PAs derive their financial support from high levels of engagement of members in economic activities. USAID will also address the entrepreneur and business skills gaps that are critical in enhancing the feasibility of cooperatives.

Youth often face challenges in accessing markets. To create better **linkages between opportunities and job seekers** (Sub IR 2.4.3), USAID/Uganda will work closely with local businesses to leverage resources, develop demand-driven training programs, and increase the capacity of youth to take on available jobs, as already evidenced by the USAID/Uganda Feed the Future Youth Leadership in Agriculture Activity. Empowering youth and encouraging their agency is a priority. Further interventions may include assisting businesses to recruit youth for skill-building internships or mass media communications strategies to inform both employers and youth.

## Development Objective 3: Key Systems More Accountable and Responsive to Uganda's Development Needs



### DO 3 Characteristics

**Problem/Context:** Weak functionality of country systems and slow implementation of policies. Culture of patronage and closing civic space. Leadership behaviors do not advance development.

**Development Hypothesis:** *if Ugandan citizens actively engage and participate in their development and if the capacity of key country systems to provide critical services is strengthened—including the enabling environment supporting functional systems and the development of transformative leadership - then systems will be more accountable and responsive to Uganda’s development needs.*

**Critical Assumptions:**

- A growing number of country stakeholders are willing and able to open up and deepen Ugandan political space.
- The government will increase funding to key systems and reduce corruption.
- Skilled staff and leadership will be available within key systems.
- There will be some political will and commitment to increase accountability.
- Ugandans will be willing to take up their responsibilities as citizens.

**Funding Streams and Initiatives:** Democracy, Human Rights and Governance, Maternal and Child Health, Family Planning, President’s Emergency Plan for AIDS Relief, President’s Malaria Initiatives, Water, Sanitation and Hygiene, Nutrition, Basic Education, Biodiversity, Climate Change Adaptation, Feed the Future, Food for Peace, Private Sector Competitiveness, Power Africa.

**Measuring Progress:** ‘Health of the system composite index’ which measures functionality, citizens’ trust in institutions, fragility and state performance. Construction of this index will be explored during the PMP development in consultation with PPL and a team of M&E advisors.

Effective and well-functioning systems relevant to implementing sound development policies are drivers of sustainable and positive change. Ugandan systems that ought to deliver high quality services and support social and economic development are currently under-funded, ill-equipped and permeated by patronage. Power-holders too often directly benefit from existing governance deficiencies, and structural factors constrain and undermine opportunities for far-reaching reform. (DRG Assessment 2016) This results in both public and private sectors attending to the needs and interests of favored groups and individuals, instead of all citizens.

Malfunctioning systems also constrain USAID/Uganda from achievement of results in all sectors and, more importantly, they constrain broader GOU efforts to achieve the Government’s stated development goals. USAID/Uganda evaluations and assessments continue to identify systems problems to be the main impediments for sustainable success in USAID activities and development progress more generally. Lack of human resources, interruptions in supply chains, lack of evidence-driven planning processes, etc. are sources of failure in TB prevention, agriculture value chains, political systems and primary education. However, these systems’ ‘building blocks’ do not operate in



isolation. Research and evaluations are continuously identifying leadership, enabling environments and citizens' participation as key components that make systems work. Achievements in DO3 will thus enable achievements in DOI and DO2 and due to the horizontal interconnectedness of the Results Framework, IRs in DO3 will be integrated into all activities and project designs, implementation and monitoring.

USAID defines country systems as the combination of: 1) those interconnected sets of actors (governments, civil society, private sector, universities, individual citizens and others) who influence development outcomes for Uganda; 2) the rules (formal and informal) that guide their actions; 3) how they interact with each other, including incentive structures and power dynamics; and, 4) the resources they access (and the mechanisms they use to deploy the resources) to achieve positive development outcomes. The definition captures the interrelated set of components that need to work toward the same development outcome. In Uganda, since formal public systems are weak and not equipped to maintain impartiality or serve the needs of all, relationships and power dynamics drive decision-making and outcomes. Finding the right incentives, and supporting leverage points and relationships and actors that genuinely favor inclusive development, are critical to successful, long-term reform.

In defining USAID/Uganda's priorities, a number of key systems were selected to be strengthened in order to improve the potential to reach the five-year goal and achieve the other Development Objectives, acknowledging USAID comparative advantage in the Uganda development partner landscape. The priorities are illustrated in the graphic below:

PRIORITY AREAS AS DEFINED BY FUTURES ANALYSIS	PRIORITY LIST OF SYSTEMS FOR CDCS 2.0
Health/WASH	→ Health System Social Protection System
Primary Education/Literacy	→ Education System
Agriculture/Food Security	→ Market System in Key Value Chains
Governance & Accountability	→ Governance and Accountability System
Resilience, Climate Change and Sustainable Natural Resource Management	→ Natural Resources Management System

Strengthening systems in Uganda will not be a quick fix, and integrated approaches to transitioning systems to change will be more sustainable than addressing different parts separately. Simultaneously strengthening supply and demand in service delivery as well as the enabling environment for policy implementation will be imperative for achievement of sustainable results. Leadership and an inclusive

and accountable environment from the national level down to local communities and households are imperative to move key systems towards Uganda-led inclusive development. Thus, the **development hypothesis** under DO3 is that *if Ugandan citizens actively engage and participate in their development and if the capacity of key country systems to provide critical services is strengthened—including the enabling environment supporting functional systems and the development of transformative leadership - then systems will be more accountable and responsive to Uganda’s development needs.*

The systems approach will require Mission technical offices to systematically build in governance considerations in programming, continuously monitor the political landscape, and programmatically adapt when shifts in the landscape detected. The systems approach also enables a focus on fighting corruption and patrimonialism in targeted sectors by empowering citizens, reinforcing civil society, building local government capacity and strengthening institutional checks and balances. By acting across multiple levels and across a range of institutions in a coordinated fashion, the effect will increase. Governance concerns will thus be integrated throughout the portfolio and monitored by including DO3 IR and nearly all sub-IRs in activities and projects. There will also be a need to design and implement specific interventions to strengthen governance and accountability support systems that allow for integrated governance interventions in education, market, health, social protection, and natural resource management systems to succeed.

Public service delivery in Uganda is decentralized, making education, health and agricultural production the responsibility of districts. To encourage more accountable and responsive systems, USAID/Uganda must also work with districts and more local level systems, with recognition that leverage points and critical development actors may exist outside these administrations. Linkages and interactions between citizens and the state, district and national, private and public actors can improve systems outcomes.

It will not be possible to achieve accountable and responsive systems in Uganda in only five years. However, in partnership with civil society, GOU, UN, DFID, and EU, some processes that will lead to *more* accountable and responsive systems will be substantially advanced. In 2021, the political space should be more open, citizens’ voices heard on both local and national levels, trust in institutions increased and alliances formed to advance the development agenda of each system. To measure progress, the most relevant dimensions to support functionality will be combined into a ‘health of the system index.’

Selected strategic approaches that will be applied across systems are detailed in Guiding Principles described in Annex 6. They will be implemented through an iterative, adaptive, flexible and collaborative approach. As new tools and approaches related to systems, networks, and end-user analysis are developed the Mission will utilize them to inform this development objectives and its programs. Implementation through facilitating institutional assessments and prioritization will be critical to systems support as will identifying and supporting reform champions as actors relevant to each system that will drive change. Thus, the six systems will be assessed through a Political Economy Analysis lens, in a participatory exercise with relevant Ugandan and external stakeholders to identify leverage points, relationships and possible interventions important to advancing relevant development outcomes in each particular system. Identifying areas where the incentives of key actors align with governance priorities for both private and public institutions will be vital for determining entry points and change agents for USAID/Uganda interventions. Specific approaches and strategies to achieve better development outcomes will inevitably differ between the

key selected systems. Systems might face similar challenges but the solutions will vary. Each system, including USAID/Uganda's approaches and intended partnerships to achieve results, is further described in Annex 3: Systems and Initiatives Papers. All Presidential Initiatives will cut across the Results Framework, contribute to several IRs and be included in system strengthening efforts. The mission envisions incorporating two new initiatives into the 2016-2021 CDCS, which will support and leverage the achievement of all IRs across systems: The Power Africa Presidential Initiative, and the Trade Africa Presidential Initiative.

### **IR 3.1: Leadership in Development Supported**

Ugandan country systems will not move toward greater inclusivity and more sustainable development unless Ugandans themselves take the lead. Numerous evaluations, assessments and other data have revealed the degree to which governance under decentralized systems is dependent on the initiative and force of national and local leaders and their interaction with community.<sup>4</sup> In fact, the role of leadership in development at all levels of society is primary driver for facilitating transformational change. Whether a behavior-change agent promoting proper hand-washing practices throughout her community or an institution championing civil-service reform and anti-corruption, these change agents are of vital importance to national development.

In Uganda the quality of leadership determines success. All USAID leadership development initiatives aim at breaking patronage structures and the exclusion of vulnerable and disenfranchised groups. USAID/Uganda will promote transformational leadership values such as equality, trust, collaboration, accountability, integrity and ethical and development-oriented perspectives. Programs across initiatives will work to foment transformational leaders who inspire, empower, and stimulate followers to exceed their own expectations and better serve the needs of their communities.

USAID/Uganda leadership development initiatives will aim to address three different levels of change:

1. Individual – Building the skills and capacities of opinion-shapers in a range of settings relevant to CDCS objectives to become more effective leaders.
2. Organization – Empowering organizational leaders to implement positive changes within their organizations and sectors; and building their capacity to create environments where leaders at all levels are supported.
3. Community – Empowering community leaders to motivate, guide and support the community achievement of CDCS-related objectives.

To measure progress on IR level, a Leadership index will be developed that monitors progress of individual skills, the organizational development and the outcomes of the targeted institutions and organizations.

Within all systems, **local solutions to leadership will be identified and promoted** (Sub IR 3.1.1). Participatory processes will be employed in which key stakeholders discuss the scope of

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<sup>4</sup> The Democracy, Human Rights and Governance Assessment and the Political Economy Analysis both note that corruption and patrimonialism at district and sub-county levels are no less than at the national level, but since local government has an instrumental impact on the population's everyday life, USAID will focus primarily

on strengthening local leadership and its dynamics.

USAID's six targeted systems and define leadership strengths and weaknesses within the particular system. Based on those processes, and in consultation with Ugandan stakeholders, USAID will identify individuals and institutions with leadership potential and then, with selected participants, create leadership platforms for each of the six systems. The leadership platforms will serve as mechanisms for: (i) shaping expectations, standards and other factors shaping USAID interventions; (ii) developing and monitoring the implementation of leadership development plans; and (iii) encouraging the formation of leadership networks and other vertical and horizontal linkages that will drive system reforms and other development advances. USAID's role will be as a facilitator and, at least initially, the convener of the platforms. The aim will be that, ultimately, convening and related tasks will be assumed by the local leaders themselves.

USAID/Uganda will **cultivate leadership practices** (Sub IR 3.1.2). Based on leadership development plans formulated by members of the leadership platforms supported in Sub IR 3.1.1, USAID will support training, peer-to-peer and other mentorship, technical assistance and other support to strengthen individual, institutional, and community leadership in the six targeted systems. By facilitating leadership development plans, USAID and its implementing partners will: (i) help leadership platform participants identify and build on leadership strengths that exist in the system, and identify and address leadership gaps; (ii) help leadership platform participants examine gender equity and other issues related to inclusivity, good governance, and similar issues; (iii) offer training and other support in areas that are critical in promoting reforms and development more generally which may not have been prioritized by participants, such as stakeholder engagement, building constituencies for reform, etc.; and (iv) build formal and informal networks for these leaders to interact and support one another. Support may be provided in ways that bring actors from different systems together, for instance, to take advantage of the benefits of bringing together the political system and the health system; or bringing together the education system and the social protection system.

### **IR 3.2: Citizens Actively Participate in Development**

The culture of patronage and traditional beliefs in Uganda complicates the relationship between citizens and their leaders.<sup>5</sup> Catalyzing informed citizen engagement to improve the accountability and responsiveness of systems will require approaches that enable citizens to broaden their understanding of issues and organize themselves to more effectively participate in order to demand accountability. Demand-side approaches can only be effective if the GOU is able and willing to respond. Therefore, USAID/Uganda interventions will strengthen citizen–state relations and accountability processes rather than support demand-side actors in isolation.

Citizens have a responsibility to contribute to development, both their own and that of society. This contribution manifests itself in formal structures such as paying taxes, voting, utilizing available health

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<sup>5</sup> The Political Economy Analysis of health and education in Uganda observed that counting on local communities to fill the accountability gap is unrealistic in estimating the current capacity of communities. Uganda has a hierarchical and authoritarian political culture in which respect to authority figures limits the opportunity for citizens to confront leaders.

services, and participating in their children's education, but it also manifests informally through participation in market systems, for example. USAID will support improved citizen engagement, activism and involvement in improving public-sector service delivery and government transparency. The aim will be to ensure that citizens have both the capacity and resources to effectively engage in policies that impact their social and economic development. Interventions will focus on the implementation of community-led activities and approaches, such as community-led sanitation, wildlife conservancy development and management and land-use planning and community policy and leadership dialogues. Programs will raise awareness of healthy behaviors and strengthen participation and community linkages to health unit management committees, school management committees and local government and community support structures.

**Inclusive participation in decision making processes will be increased** (Sub IR 3.2.1).

USAID/Uganda will support or help create platforms for citizens to engage with their leaders at local and national levels; and help strengthen the constructive engagement skills of both government officials and citizens in targeted geographic and topical areas. Mechanisms for participatory-decision making and consultations will also be incorporated in USAID/Uganda programming especially focusing on those marginalized groups, especially women who traditionally lack a strong voice.

USAID will support the creation of spaces where women and other marginalized populations will be enabled to advocate on matters of policy and to participate meaningfully in every facet of civic and political life. This will help replace a culture of intimidation and fear with civic engagement and peaceful activism. Support will include facilitating the creation of engagement platforms; helping platforms develop rules and processes; and training government officials and citizens in constructive engagement, developing inclusive programs for the most marginalized, media relations, and similar skill areas. USAID may also provide small grants to facilitate the joint design and implementation of small projects in order to build trust between government and its citizens.

**Access to and utilization of information will be increased** (Sub IR 3.2.2). Information empowers and builds confidence and capacity as a pathway to development. Among other things, it increases citizens' understanding and capacity to demand certain standards be upheld.

USAID/Uganda will, for example, increase access to and use of digital services by connecting individuals with market and climate information, including digital financial services, mobile money, and meteorological early warning alerts. Complementing civic education efforts described in Sub IR 3.2.3 below, USAID will also support local organizations in making information available on citizen rights and topics related to promoting good governance. Data sets for better district level decision making will also be targeted given the proliferation of districts and fragmentation of information available.

**Sector specific civic education will be rolled out and improved** (Sub IR 3.2.3).

Citizens knowledge of rights and assertion of those rights are keys for strengthening the demand for services and for accountability. Various studies in Uganda confirm that civic education programs are effective and improve the relationship between citizens and service delivery institutions. (PEA and DRG Assessment). USAID/Uganda will tailor civic education programs to the needs and context within each targeted system.

**Citizen-driven accountability will be increased** (Sub IR 3.2.4).

Empowering Ugandans to drive their own development (as opposed to being merely passive recipients of services and other aid) will be an integrated part of all programming in the CDCS. Citizens will have the tools to monitor and advocate for corrective measures when services do not meet their needs by inserting accountability protocols that allow public interest groups to address problems where public institutions have either

been unable to be accountable to the poor. To achieve this, households and communities actively engage with service providers that are trying to meet their needs, so as to directly guide and influence them.

### **IR 3.3: Key Elements of the Systems Strengthened**

Each and every system consists of ‘building blocks,’ parts of the system that are intrinsically interconnected and influence the functionality of each other. If the workforce in a system is not skilled, the commodity chain will not work efficiently. If there are flaws in the strategic information processes, planning workforce availability will not be adequate, etc. Strengthening these building blocks, but also the relationships among them will be critical to improve the functionality of the entire system. Especially given current system weaknesses and the monumental challenge posed by rapid population growth, system strengthening is critical to achieve the objectives in DO1 and DO2. As such, the ability to achieve IR 3.3 has ramifications for the entire results framework.

Although all systems are different, there are elements that are both common and critical across the six systems in which USAID will work. Strengthening essential elements of systems include:

USAID/Uganda will work to develop a **skilled and motivated workforce** that is capable of responsive and efficient delivery of services (Sub IR 3.3.1). The targeted systems face challenges such as absenteeism, vacant positions and limited capacity. USAID will support workforce training, mentorship, HR planning, and the development and implementation of human resource policies that promote inclusivity, transparency and performance. The kinds of support each system will receive will be determined during the course of system assessments.

Sufficient **availability and adequate management of quality commodities** will require strengthened supply chains for essential medicines, education material and agricultural inputs. (Sub IR 3.3.2) Particularly in the health and market systems, the supply chains are extremely weak which has an impact on the functionality and thus the outcomes of the systems. USAID will provide commodities, capacity-building and systems support required to increase the effectiveness, transparency and accountability of supply chains.

**Availability and management of financial resources** (Sub IR 3.3.3) will create effective domestic resource mobilization in support of improved quality, quantity and accessibility of services which will be critical to build functional systems. The public sector is underfunded in Uganda and cannot adequately manage the resources that do exist, while the private sector is under-capitalized. Furthermore, whereas authority for many systems has been decentralized to the district level, funds have not been apportioned accordingly. USAID will provide technical assistance to improve the quality, efficiency, and integrity of public financial management and seek to enhance private sector financial access and capitalization. USAID will also maintain and develop partnerships that aim at strengthening the financial platform for public sector systems. Additionally, USAID will provide assistance such that decentralization of authority is more closely matched by decentralization of available funds. USAID/Uganda will support the country's efforts to prioritize and enhance Domestic Resource Mobilization (DRM) by strengthening revenue-raising capacity of national and subnational governments. DRM offers a critical opportunity to cultivate the tools and capacity to substantially raise new resources to invest in health, education, and other development goals that are orders of magnitude larger than what foreign assistance could provide.

**Availability and functionality of infrastructure** supports development needs (Sub IR 3.3.4). To provide adequate services, the education system will need more class rooms, village health workers

need bicycles, feeder roads must be improved to increase access to markets, etc. USAID will partner with other donors and financial institutions through local guarantees to support small scale infrastructure needs that are climate smart.

**Availability and effective utilization of high-quality data** (Sub IR 3.3.5) created through research and analyses will inform decision-making at all levels. Strategic information capacity is low across all systems. USAID will provide training support, equipment and technical assistance for improved procedures to encourage and strengthen evidence-based decision-making in all organizations that USAID supports.

Strengthening systems will also require that **critical barriers in the linkages among systems elements are reduced** (Sub IR 3.3.6). Analyzing how the elements in the system influence each other will be necessary to identify the barriers that hinder strengthening of the entire system. These barriers can be political agendas, planning processes, disincentives, poor communications, or regulations etc. USAID will provide technical assistance to analyze these systems and their linkage barriers, as well as technical assistance to strengthen each system.

The 14-year-old girl is subject to multiple levels of vulnerability, including social isolation, economic insecurity, gender-based violence, forced marriage, and HIV infection – but even more problematically, she is likely to have extremely limited access to the systems that are intended to counteract these vulnerabilities, particularly if she is from one of the poorest communities. If the systems on which she depends – such as child protection systems, health systems, education systems, justice systems and so on – are supported to become stronger and reach her more effectively, her vulnerability will be significantly decreased, leading to sustainable benefits for her, her family and her community. For example, if the systems around human resources for health are strengthened, ensuring that health workers are effectively trained, recruited, deployed, and remunerated, the 14-year-old girl is more likely to be able to access decent and affordable healthcare in her community. If the market system in her community is supported, she and her family will more easily be able to access nutritious food, as well as diversifying their income sources and increasing their purchasing power for household expenses such as school fees. If the natural resources management system is strengthened, her family will be better able to cook in a way that is environmentally sustainable and doesn't expose their community to increased impact of environmental shocks. If education systems are strengthened so that teachers are well-qualified and supported, and absenteeism is low, she will be more likely to stay in school and learn essential skills. Furthermore, if the interlinkages between these disparate systems are strengthened, the 14-year-old girl will be subject to more holistic support services, and the systems themselves are likely to improve.

### **IR 3.4: The Enabling Environment that Supports Functional Systems Improved**

In a country where entrenched patronage networks and the strong influence of political messages from the elite often set the agenda, it is essential to strengthen the aspects of the contextual environment that enable developmental change. Evidence confirms that Uganda has promulgated good policies to support development, but the weaknesses of its systems have hampered the implementation of these policies<sup>5</sup>. In Uganda, the enabling environment, defined as a set of interrelated conditions—legal, bureaucratic, fiscal, informational, political, and cultural—that impact capacity, will depend on interaction among key stakeholders and the checks and balances that manage networks. Strategic approaches will differ among the systems and be tailored to the specific contextual challenges. Furthermore, USAID/Uganda will work to “climate-proof” projects across the CDCS, and support for the implementation of Uganda’s new climate change policy serves as one of the entry points for focused efforts to strengthen systems that help households and communities to adapt to the impacts of climate change.

As in IR 3.3, **critical barriers in the linkages among system elements must be identified and reduced** (Sub IR 3.4.1). The elements described in 3.3 are linked and overlap. To improve the enabling environment, those linkages must be identified jointly with key actors and addressed in relationship to the other enabling environment sub IRs. As in 3.3, those barriers can be poor communication between building blocks, disincentives, regulations, leadership and planning processes. The critical barriers will be identified in the systems assessment and interventions monitored closely to verify whether those were critical to improve the functionality of the system. USAID will provide systems assessment tools and exercises, facilitate identification and monitoring progress as well as technical assistance to strengthen weak linkages.

**Policy making processes and capacity will be strengthened.** (Sub IR 3.4.2) Even though the policies in Uganda often are good, the process of forming them might not have been sufficiently informed by evidence or participatory enough to create ownership and commitment to implementation. Improving these processes, and linking them to strategic information will be critical. USAID will help strengthen policy-making processes by strengthening the linkages between Ugandan analysts and decision-makers; providing stakeholders with high quality data and analysis; convening stakeholders to form joint agendas; improving the quality of dialogue between government and other stakeholders in developing and monitoring the impact of policies; and by supporting the creation of feedback loops in which monitoring and evaluation information informs needed policy adjustments whenever appropriate.

**Policy, legal, and regulatory framework implementation capacity will be strengthened** (Sub IR 3.4.3). Strong systems also have a role in upholding the rule of law and can deliver on mandates in a responsive and professional manner rather than at the discretion of an individual. Interventions will support political processes and systems that foster transparent and accountable political settlements to advance priority national development needs and goals, USAID will also enhance functional integration both within the public sector and between public and private sectors by supporting training and research.

**Positive social and cultural norms and practices will be advanced.** (Sub IR 3.4.4) All programs within the CDCS will promote conditions to help overcome the current “commercialization of politics,” patronage networks and relationships that inhibit transparent

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<sup>5</sup> See for example the DRG assessment, Political Economy Analysis, and African Union African Peer Review Mechanism Report on Uganda.



effective policy implementation. Interventions under this sub IR are associated with activities under the Leadership IR and will in addition to those activities include specific anti-corruption measures throughout the Mission's portfolio. USAID will provide technical assistance and capacity building to partner institutions to advance cultural norms that build alliances and trust, instill impartiality, strengthen accountability and ensure transparency.

### **Monitoring, Evaluation, and Learning**

The complexity of the 2016-2021 CDCS calls for an advanced monitoring, evaluation, and learning (MEL) strategy that plays a key role in program development. Investments in MEL must provide decision makers in the Mission, at the Agency and in partner organizations with information and analyses that improves the effectiveness of the activities and projects as they unfold and provides a retrospective assessment of USAID contributions to development in Uganda. By setting appropriate evaluation priorities and sharing generated knowledge USAID will enrich the development community understanding of development processes.

With an integrated results framework which emphasizes horizontal and vertical interconnectedness between DOs and IRs, the MEL approach must be designed to measure, track, and evaluate complexity. Intertwined elements, both within and across Development Objectives, should jointly produce results. These elements are mutually reinforcing and by disaggregating them it will be impossible to measure to what extent they are interwoven. Therefore, the MEL approach will be constructed to both measure the progress and the outcomes of the IRs and DOs *and* their interconnectedness. This will create overlaps and combinations of performance and context indicators as well as a number of indicators that that will complement the required standard indicators.

The 2016-2021 CDCS development objectives are aligned with long-term processes building to a desired change in Uganda. The impact of USAID contribution will not be observed for many years. Given that the MEL system needs to provide ongoing feedback to inform course corrections, nearer term means must be identified to measure changes that are adequate proxies for the longer term goals. With a strategy that aims at Uganda-led development, the results belong to and must be a result of the efforts of Ugandan citizens and their leaders, and not only of the U.S. government. USAID/Uganda seeks to facilitate and catalyze processes which call for a closer stakeholder engagement and develops an MEL approach which clarifies attribution-contribution challenges. It further emphasizes the importance of the MEL system in itself being an iterative and adaptive process.

Collaboration, Learning, and Adaptation (CLA) will be altogether critical to operationalize the strategy, and the linkages between CLA and MEL will be carefully planned and integrated within the program cycle, on all levels. Pause and reflect moments, intra and cross-sectoral learning and clear and defined decision making processes are built into the annual and five-year cycle. By adding Learning to Monitoring and Evaluation (M&E), there is already an attempt to ensure that M&E is not only for accountability. Linking MEL to CLA will further strengthen stakeholder engagement with improved and stronger ownership for course correction decisions. Innovative approaches to

adaptive management and the in-house USAID/Uganda Mission of Leaders concept<sup>6</sup> are critical foundations for enabling and pushing the operationalization of CDCS 2016-2021.

### Construction of the MEL system

To track performance, measure impact, and identify promising or problematic practices for the integrated strategy, the MEL approach must be a multi-level system. Learning agenda questions, evaluations, and indicators track and improve performance on activity, project, sub-national and national levels. The MEL system will include: short-term monitoring efforts of U.S. government specific activities to inform implementation decisions; medium term tracking of key contextual indicators of progress related (but not necessarily attributable) to USAID specific activities; and a set of learning agenda questions that track assumptions and conditions enabling result achievement. It will also include a set of integrated evaluations to examine the performance of the USAID funded activities and projects from which the Mission anticipates the greatest overall leverage. Target setting and integrated assessment modeling will help the Mission plan for and evaluate success and how the integrated model works.

The Performance Management Plan (PMP), which follows the strategy, identifies indicators specific to sectors and systems, presidential initiatives and funding streams with specific reporting requirements. The PMP will include indices that measure interconnectedness and their role in triggering change on a higher level. Citizen participation, for example, has a “free standing” role in governance measurements since it is a key factor in promoting democracy. At the same time, it is an ingredient in achieving resilience and promoting gender equality, both of which call for a repetition of measurements and different ways of measuring empowerment. For learning and accountability, collective progress must be tracked under IR 3.2 since it is a key result that contributes to the achievement of DO3.

Measuring sub national level context indicators facilitates and guides monitoring of performance. For example, the context indicator measuring teenage pregnancies per district will serve as a performance indicator since the aggregated performance of a number of activities aims at reducing teenage pregnancies as a short term change which in the longer term will affect population growth. When “counting the beans” of each activity (as expressed in short term monitoring of USAID services provided) the outcome will be accountable to whether teenage pregnancies have been reduced or not. By constructing an MEL system that consistently measures both, all involved stakeholders can monitor how (and if) the USAID funded activities lead to the change as expressed in the IRs and sub IRs.

The MEL approach will inevitably adopt new and innovative methods at the various levels in the MEL system. Programmatic systems will be mapped, and continuously assessed to identify key entry and leverage points that will inform the selection of indicators measuring systems functionality. Analytical and empirical work on social networks provides an underpinning to thinking about context and will be combined with other systems thinking models. USAID/Uganda will maintain old and develop new methods to monitor performance and verify assumptions. The MEL approach will use a sample of context indicators as modifiers to track key conditions that enable achievement of

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<sup>6</sup> Mission of Leaders is a USAID/Uganda staff professional development program whereby through in-house training, learning, and organizational development the Mission facilitates new cadres of internal leaders and promotes operational guiding principles to improve staff effectiveness.

results. Political economy assessments are integrated in systems analysis and social network mapping to inform activity and project design and course correction decisions. Real time data and dashboards will also be utilized. Since inclusivity is at the heart of the strategy, indicators will also be gender and age disaggregated and try to reflect other vulnerable groups' involvement.

To ensure that the MEL system is designed to provide the highest possible quality information for decision making, an MEL advisory board will add value through consultation, throughout PMP preparation and continuously advising through CDCS implementation. The advisory board consists of prominent MEL experts from the development community including the Bureau for Policy, Planning, and Learning – Learning, Evaluation, and Research Office and the USAID Global Development Lab. Learning from others and maintaining close collaboration with stakeholders will place the USAID/Uganda MEL system at the forefront and provide both the Mission and Agency valuable lessons to advance the development agenda.

### The Learning Agenda

The PMP includes a CLA plan that details how MEL and CLA will be built into the program cycle and advance the intended development results of the strategy. Continuous learning approaches will also be built into implementation to ensure programming and CDCS implementation also remain in line with the Guiding Principles, Geographic Focus and Leadership Charter. The learning approaches will include an array of tools and methods using quantitative and qualitative data, operational research, participatory learning reviews, identifying the 'how' and the 'what', and assessments, studies and evaluations that combine the "what worked" with "are we working on the right leverage point". Portfolio reviews, mid-term stocktaking and CLA perception surveys will continue to inform course correction decisions. Geographic Information Systems continue to be an important tool to assess progress against strategic geographic areas and identify collaboration partners. Stakeholder engagement, both in defining agendas and discussing findings, is a key ingredient in advancing and ensuring that the learning agenda is living and relevant for the development community in Uganda.

During CDCS 2016-2021 development, a few critical knowledge gaps were identified that serve as a start on a tentative (and living) learning agenda:

- How does transformational leadership in organizations, communities and key systems "add up" to advance the development agenda in Uganda?
- What are the key entry points, interests, incentives and actors influencing the key systems as defined in CDCS 2016-2021 and how are those best addressed to reach functional systems?
- Citizens' participation and empowerment is one of the strongest cornerstones of the strategy and will be incorporated across programs. How do we ensure cross-sectoral common definitions while encouraging sector specific customized interventions?
- How do we effectively measure and track the multiplier effect of integration, and of the application of the guiding principles, and its contribution to development outcomes?
- The role of gender equality and inclusiveness of vulnerable groups is key across sectors and the results framework, but how do we ensure we generate the relevant evidence to inform a broader inclusiveness agenda in Uganda?

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## Annex I. Climate Change

### Part I: Climate Risk

**Document the method for climate risk screening:** *Describe the option the Mission used to screen for climate risk, screening conducted by USAID/Washington. List the source(s) of climate information.*

Executive Order 13677 on "Climate-Resilient International Development" requires USAID to assess and address climate risk across all of its investments. The Agency developed a "how to" note to support the implementation of this screening tool. However, given the highly integrated nature of the USAID/Uganda results framework, it was determined that the sector-based tool was not appropriate for screening. As a result, the mission worked with the Africa Bureau's Climate Change Team to develop a list of key questions that were used during consultations with the technical offices to determine the most critical potential risks related to climate change and variability.

We made reference to all the previous analyses that had been conducted for Uganda, both by USAID as well as by the Government of Uganda (GOU), to identify potential risks under the integrated DOs, as well as where further analysis would be needed once specific activities were identified under the DOs and IRs. Specifically, we used the previously conducted analyses to develop questions that the integrated DO teams should discuss to help them identify climate risks and opportunities. We also looked through the previous, more sectoral PADs that had been developed during USAID/Uganda's first CDCS to identify activities that the mission was likely to continue that presented either climate risks or opportunities. Finally, we refined the conceptual framework laid out in the How-to-Note to help the mission determine when they needed to conduct further analysis, when analyses could be deferred to a later stage in the program cycle, or when further analysis were no longer needed.

The climate risk screening enabled the Mission to not only identify the risks, but also significant opportunities for addressing risk via integrated programming.

## Climate Risk Screening Results

Development Objective or Intermediate Result	Agriculture/Market Systems (includes Private Sector)	Energy + Infrastructure	Health-	Water	Education and Youth	Biodiversity
<b>DO 1: Community and household resilience in select areas and target populations increased</b>						
<b>IR 1.1 Key Drivers of vulnerability as identified by beneficiaries addressed</b>	High – The 2013 Vulnerability assessment identified the following climate challenges likely to impact the agriculture sector: temperature increases, seasonal variations in rainfall patterns and the likelihood of increased extreme weather events, These vulnerabilities coupled with the continued deterioration of the natural resource base and eroding ecosystem services, and reduced access to land due to a rapidly rising population are anticipated to impact agricultural productivity and increase disease and post-harvest losses for FTF commodities.	Low	<b>High</b> - Flooding resulting from severe rainfall events will potentially increase the prevalence and frequency of outbreaks of waterborne diseases such as cholera and typhoid. This can occur in areas with poor sanitation infrastructure, which is the case in many parts of Uganda, when flooding causes potable water and wastewaters to mix (Haande, 2008; Muyodi, Hecky, Kitamirike, & Odong, 2009).	<b>High</b> - A continued increase in temperatures may affect the hydrological cycle of forested water catchments through weakened water recharge or retention capacity (USAID, 2014)	Low	Medium – Changes in rainfall patterns and increases in extreme weather events including droughts have already impacted wildlife in Lake Mbuho National Park and adjacent areas. There is also a risk of increased human-wildlife conflict and retaliatory killings as animals leave protected areas in search of water and food resources in competition with local human and livestock populations.
<b>IR Capacity to manage risk increased</b>	<b>Low Risk</b> Opportunity: USAID/ Uganda is already supporting local climate research, education and outreach, fostering scientifically-informed awareness on climate change adaptation, and increasing access to and use of quality meteorological data through the Meteorology Authority	Low	Low	Low	Low	Low
<b>IR Enhanced prevention and treatment of HIV, malaria</b>	Low	Low	<b>High</b> -Malaria. <b>Low</b> -HIV  Households already experiencing HIV/AIDS and	Low	Low	Low

<p>epidemics among the most vulnerable</p>			<p>other diseases are significantly more vulnerable to climate change and variability. Several diseases that are currently endemic in Uganda will likely increase in prevalence and distribution. The risk of contracting waterborne diseases will be amplified (USAID, 2013). In Kabale, malaria is expected to increase in cost from between US\$0.7 - 15.8million in 2010 to between US\$1.55 - 41.7million in 2050 (CDKN, 2015). Climate change will also threaten human health through malnutrition. Access and utilization of health services will be affected if the health facility floods, or if climate negatively affects the household's incomes.</p> <p>There is also potential for zoonotic and other strange diseases to emerge. Increased temperatures could likely reduce potency of medicines and increase their expiry rates. Medical supply chain concerns will likely arise owing to inaccessibility of floods and landslides</p>			
<p><b>IR Community and household assets increased and diversified</b></p>	<p><b>I.4 High:</b> Uganda is likely to experience lower agricultural productivity, increased pests/diseases, and weather-related post-harvest issues. An estimated 73% of rural households are highly vulnerable</p>	<p><b>High -</b> Recently, falling lake levels have constrained electricity generation. Climate change is sometimes cited as a factor. (USAID/ARCC, 2014)</p>		<p><b>High:</b> The projected cost of climate-related water shortage in 2050 is anticipated to be on the order of US\$5.5 billion. About three-quarters of the costs</p>		<p><b>Moderate -</b> Projected increases in temperatures will continue to trigger changes in flora and fauna (USAID/ARCC,</p>



	to the impacts of climate change because of their reliance on certain crops vulnerable to climate change and their lack of assets, financial capital, and non-agricultural sources of income that can be used at times of stress USAID (2013). Climate-induced yield losses for coffee could be in the order of 50-75% by 2050 (CDKN, 2015).	In Uganda, weather greatly affects electricity distribution. Power outages increase in frequency during the rainy season.		arise from a shortage of water for irrigation CDKN (2015).		2014). Shifting flora and fauna are likely to lead to decreased availability of ecosystem resources that provide livelihoods for people (USAID/ARCC, 2014).
<b>DO2: Demographic drivers affected to contribute to long term trend shift</b>						
<b>IR 2.1: Adoption of reproductive health behaviors increased</b>	Low	Low	Low	Low	Low	Low
<b>IR 2.2 Child well-being improved</b>	Low	Low	<b>Moderate:</b> Households already experiencing mal/undernutrition are significantly more vulnerable to climate change and variability, especially if they experience lower agricultural productivity and post-harvest losses.  Water-borne disease outbreaks could increase with heavy rainfall events.  If climate change negatively affects livelihood, households may fail to provide adequate nutrition to their children.	Low	Low	Low
<b>IR 2.3 Girls education improved</b>	Low	Low	Low	Low	<b>Moderate:</b> If climate change compromises water supplies,	Low

					then girls will be pulled from school in order to fetch water from longer distances. If it affects household income, it is likely that decreased income could negatively affect household willingness to spend on educating girls.	
<b>IR 2.4</b> <b>Increased youth economic productivity</b>	<b>High</b> –The 2013 USAID Vulnerability Assessment (VA) identifies impacts on agriculture due to temperature increases (2 degrees C by 2030), changes in seasonal rainfall patterns and increased extreme weather events. Impact on specific crops varies, but coffee and maize-2 FtF commodities-are highly susceptible.  <b>Opportunity:</b> Diversification of crops and other income sources have the potential to reduce climate risks	Low	Low	Low	<b>High:</b> There is high climate risk if youth productive and/or employable skills are in areas that can be affected by climate change (e.g. agriculture, agro-enterprises and agro-processing).	Low
<b>DO 3: Key systems more accountable and responsive to Uganda’s development needs</b>						
<b>IR 3.1</b> <b>Leadership in development supported</b>	Low	Low	Low	Low	Low	Low
<b>IR 3.2</b> <b>Citizens actively participate in development</b>	Low	Low	Low	Low	Low	Low

<p><b>IR 3.3. Key elements of the systems strengthened</b></p>	<p><b>Infrastructure-High:</b> The Uganda Climate Change and Infrastructure assessment indicates that Uganda's agricultural sector heavily depends on physical structures such as roads, bridges, communication networks, storage, and market places that are essential to support the production of goods and services, the distribution of finished products to market, and people's access to basic social services. Oxfam (2013) observed that during weather-related emergencies, the damage to transport, storage, bridges, fuel supplies, and other vital agriculture-related infrastructure can be a big constraint on food production. Coffee quality declines when blocked roads delay transport from farm. Washed Arabica gets over-fermented, changes color, and earns a lower price; it can lose 30-50 percent of its value. Robusta gets moldy if stored or transported wet, or over-dried and breakable during hulling if too hot. In terms of Maize, lorries are not water proof and are often bogged down during transport. There can be significant losses due to discoloration if maize gets wet during transport and storage.</p>	<p><b>Moderate:</b> In Uganda, weather greatly affects electricity distribution. Electricity outages also increase in frequency during the rainy season. These climate risks will only increase with the predicted increases in storm, flood and landslide intensity (USAID, 2014).  Without action, economic sectors that depend on energy will be held back and their growth will be compromised. In Kampala, infrastructure damages arising from floods are estimated at between US\$3.7 - 17.6 million by 2025 and between US\$33.2 - 101.7 million by 2050(CDKN, 2015). Several health programs depend on the delivery and stocking of key health products through transport infrastructure. Therefore, health systems outcomes could be affected by climate change.</p>	<p>Low</p>	<p><b>Moderate:</b> Shifting climate patterns (especially changes in rainfall patterns and associated water scarcity) will bring agriculturalists, agro-pastoralists and pastoralists into greater competition for decreasing water and pasture resources. This could trigger off internal and cross-border tensions and conflicts.</p>	<p>Low</p>	<p><b>Moderate:</b> An increase in temperature or changes in rainfall intensity, distribution, and patterns are likely to have a direct effect on ecosystem functions, services, and species distribution and survival throughout Uganda. This impact is likely to lead to a significant shift in flora and fauna distribution, disturb the ecological balance between species, cause habitat degradation due to increased prevalence of invasive species, and increase the occurrence of wild fires. Increases in temperature will also create conditions that trigger human-wildlife conflicts (USAID, 2014).</p>
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<b>IR 3.4 The Enabling that supports functional systems</b>	Low	Low	Low	Low	Low	Low
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Document how climate risk is addressed in the strategy, and if appropriate, how it will be addressed at the PAD and/or activity levels, and remaining risks. Use the template on the next page to document climate risk for each DO, including low risk DOs. The documentation may be completed at the IR level, if desired. Categories of “low,” “moderate,” and “high” risk are based on expert judgment and should be supported by the climate risk screening analysis. For DOs or IRs that have low risk, you are not expected to complete the columns “Integration into strategy” and “Next Steps.”

<b>Development Objective or Intermediate Result</b>	<b>Risk of DO, IR, or supporting sectors</b>	<b>Integration into strategy (not required for low risk)</b>	<b>Next steps (not required for low risk)</b>	<b>Accepted risks</b>
DO 1: Community and household resilience in select areas and target populations increased				
IR 1.1: Key drivers of vulnerability addressed, as defined by beneficiaries	Potential impact to sectors that affect household resilience (Agriculture, energy, health, water, infrastructure, biodiversity): HIGH. Adaptive capacity of sectors: LOW. Timeframe: 0-5 years.	Integrating climate-risk management into local development planning; Communities to identify and implement local climate adaptation solutions, (Page 21, 23).	Further analysis: Effects of CC on communities in mountainous regions, the cattle corridor, flood plains	

<p>IR 1.2: Capacity to manage risk increased</p>	<p>Potential impact on agriculture, energy, health, water, infrastructure, biodiversity: HIGH. Adaptive capacity of sectors: LOW. Timeframe: 0-15 years.</p>	<p>Contingency planning and promoting local climate adaptation solutions; supporting local climate research, education and outreach; and increasing access to and use of quality meteorological information and early warning services (Page 24)</p>		<p>While the mission will promote climate smart infrastructure for any of its infrastructure investments it is unlikely that the mission will take on large-scale infrastructure investments as part of its risk management portfolio</p>
<p>IR 1.3: Enhanced Prevention and Treatment of HIV, Malaria and Other Epidemics Among the Most Vulnerable</p>	<p>Potential impact on Health &amp; Nutrition: HIGH. Adaptive capacity of sectors: LOW. Timeframe: 0-15 years.</p>	<p>Enhancing early-warning systems and preparedness; increasing surveillance of climate-related disease outbreaks; responding rapidly to climate-related epidemics; increasing the health workforce's capacity to identify and manage climate-related diseases; focusing on households whose vulnerability is exacerbated by climate change and variability; applying the community-based approach to health; harnessing solar energy &amp; harvesting rain water (Page 24, 25)</p>	<p>Further analysis: (i) Effects of climate change on nutrition at the household level; (ii) Nexus of disease, food security and climate change at the community and household level</p> <p>At PAD and IM level: Integrating climate information into health planning</p>	

<p>IR 1.4: Community and household assets increased and diversified</p>	<p>Potential impact on agriculture, water and infrastructure: HIGH. Adaptive capacity of sectors: LOW. Timeframe: 0-20 years.</p>	<p>Diversifying household income sources and assets; increasing access to financial capital, promoting climate-smart agriculture and climate resilient land management practices;</p> <p>Improving post-harvest handling and storage; diversification away from climate-dependent agriculture; promoting IWRM, rain and flood water harvesting and, storage (Page 24, 27)</p>	<p>At PAD and IM level: Integrating climate change and variability into Agriculture project and activities</p>	
<p>DO2: Demographic drivers affected to contribute to long term trend shift</p>				
<p>IR 2.2: Child wellbeing improved</p>	<p>Potential impact to health and Ag production sectors: HIGH. Adaptive capacity of sectors: LOW. Timeframe: 0-15 years.</p>	<p>Leveraging gains from IR 1.4 that will support climate-smart agriculture and diversification away from climate-dependent agriculture (Page 33)</p>	<p>Further analysis: (i) Climate risks to urban and peri-urban areas, (ii) Climate change and population growth (iii) CC impacts on health</p> <p>At PAD and IM level: Integrating climate risk management interventions into education</p>	

IR 2.3: Girls' Education Improved	Potential impact to Education sector: MODERATE. Adaptive capacity of sectors: LOW Timeframe: 0-10 years.	Leveraging WASH interventions so as to provide water to households around targeted project schools; and supporting integration of climate change into curriculum (Page 35)	Further analysis:  (i) Risks of climate change to school attendance (especially for girls)  At PAD and IM level: Integrating climate change into education	
IR 2.4: Youth economic productivity increased	Potential impact on agriculture, water and infrastructure: HIGH. Adaptive capacity of sectors: LOW. Timeframe: 0-15 years.	Supporting climate-smart and adaptive agriculture and agro-processing; and diversification away from climate-dependent enterprises. (Page 36)	Further analysis:  Opportunities to integrate climate change capacity into education and youth training programs  At PAD and IM level: Integrating climate change and variability into Agriculture water and infrastructure	
DO 3: Key systems more accountable and responsive to Uganda's development needs				
IR 3.3: Key Elements of the Systems Strengthened	Potential impact on key elements of Agriculture, marketing, infrastructure, energy, governance and NRM systems: HIGH. Adaptive capacity of	Increasing access to climate information and meteorological early warning alerts, strengthening systems & contingency planning for flood control and disaster management, conservation of highly	Further analysis:  <ul style="list-style-type: none"> <li>● Climate change effects on health service delivery (primarily malaria targeting and service access)</li> <li>● Climate change effects on governance</li> </ul>	

	<p>systems: LOW. Timeframe: 0-5 years.</p>	<p>biodiverse ecosystems as safety nets, promoting</p> <p>Ecosystem-based adaptation, conflict mitigation strategies to integrate changing climate dynamics, strengthening institutional capacity, supporting amendment of regulations and codes with respect to design of infrastructure, climate-proofing of infrastructure,</p> <p>Support energy efficiency and use of renewable energy sources (Page 44, 46)</p>	<p>systems (primarily around land and agro-pastoralism)</p> <ul style="list-style-type: none"> <li>• Climate change effects on transport infrastructure (primarily for effects on access and service delivery)</li> </ul> <p>At PAD and IM level: Integrating climate change and variability into Agriculture, marketing, infrastructure, energy, governance and NRM systems</p>	
<p>IR 3.4: The Enabling Environment that Supports Functional Systems Improved</p>	<p>Potential impact on sectors: LOW - N/A. Adaptive capacity of systems: N/A Timeframe: 0-5 years.</p>	<p>Building capacity for implementation of the new National Climate Change Policy (including the climate change bill soon to be drafted) (Page 47)</p>		



## Part II: Greenhouse Gas Mitigation

What are the major sources of GHG emissions (e.g., personal cars, power plants, landfills, industry, agriculture sector, deforestation, etc.)? How has the distribution and composition of the GHG emissions profile changed over time historically and how is the profile expected to change in the future considering the major emitting sectors and/or sources? How are the sectors and sources that contribute to GHG emissions contributing to the growth and development of the economy and to meeting development objectives? What climate change mitigation or low emissions development plans, targets, commitments, and priorities has the government (national, state and local) articulated?

In Uganda, the major sources of GHG emissions are energy (power demand and supply), the agriculture sector, forest and wetland degradation. The country has one of the lowest greenhouse gas (GHG) emissions per capita in the world, at approximately 1.39 tCO<sub>2</sub>eq in 2011 (well below the global average of approximately 7.99 tCO<sub>2</sub>eq and even below the average of LDCs of 3.21 tCO<sub>2</sub>eq), and contributed only 0.099% of the world's total GHG emissions in 2011 (based on Climate Analysis Indicators Tool (CAIT) data). The agriculture sector, which is a major source of GHG emissions through land use and land use change, also accounts for 24.8% of the country's GDP and employs 72% of the total labor force, most of which are women and youth.

Even with this tiny contribution, Uganda's INDC outlines the activities the country could take to help mitigate the causes of climate change. The INDC identifies Uganda's greatest mitigation potential as existing in the land use, land-use change and forestry sectors. Priority measures to support low carbon development in key priority sectors are:

- Achieve a total of at least 3,200 MW renewable electricity generation capacity by 2030, up from 729 MW in 2013. This seeks to offset wood and charcoal burning, and the consequential deforestation.
- Develop an enabling environment for forestry and wetlands management
- Increase forest cover to 21% in 2030, from approximately 14% in 2013, through forest protection, afforestation and sustainable biomass production measures.
- Increase wetland coverage to 12% by 2030, from approximately 10.9% in 2014, through restoration of degraded wetlands.
- Sustainable energy solutions in public buildings
- Promotion and wider uptake of energy efficient cooking stoves or induction cookers
- Development and enforcement of building codes for energy efficient construction and renovation

	<ul style="list-style-type: none"> <li>• Development and implementation of a long-term transport policy accounting for climate change mitigation concerns.</li> <li>• Development of policies and regulations to promote cleaner fuels, and more fuel efficient vehicle technology</li> <li>• Conservation agriculture techniques for cropping</li> <li>• Livestock breeding research and manure management practices</li> </ul> <p>The cumulative impact of these measures could result in approximately 22% reduction of overall national emissions in 2030, including LULUCF, compared to the business-as-usual (BAU) projection. The BAU emissions baseline for Uganda, including LULUCF, is 77.3 MtCO<sub>2</sub>e/a in 2030, according to projections in the Background Paper for the 2012 Climate Change Policy. Total emissions in 2000 were 36.5/a MtCO<sub>2</sub>e.</p>
<p>Which of these sectors is USAID planning to program in? What opportunities exist to reduce emissions in those sectors? What opportunities exist to reduce emissions associated with USAID activities?</p>	<p>USAID Uganda plans to invest in the energy, agriculture, forestry and wetlands sectors. Investment in renewable electricity generation will offset wood and charcoal burning, and the consequential deforestation. Protection of forests and wetlands and increasing their coverage will increase the country's carbon sinks. Conservation agriculture will also reduce land degradation and GHG emissions. Power Africa investments will support renewal energy projects such as small hydropower plants, solar, wind, and biomass, helping to satisfy growing energy demand in a low-emission manner especially relative to the use of fossil fuels. Biomass investments will be done in a sustainable manner, for example, the utilization of crop residues, which are typically burned in the open and not put to productive use or returned to the soil. In addition, Power Africa is developing an "Electricity Energy Efficiency Roadmap" with the energy ministry in support of Uganda's Sustainable Energy for All (SE4All) Action Agenda.</p>
<p>Does the strategy incorporate ways to reduce GHG? Reference the page number in the strategy. Note in particular if a Goal, the DO, or an IR or sub-IR specifically incorporates mitigation.</p>	<p>DO 3: Key systems more accountable and responsive to Uganda's development needs, specifically, IR 3.3: Key Elements of the Systems Strengthened. Though not specifically designed to reduce GHG emissions, this IR will include forestry, wetlands and general ecosystem conservation interventions that will contribute to reduction of GHG emission.</p>

What are the next steps at the PAD and/or mechanism levels to reduce greenhouse gases?

Given the integrated nature of the CDCS, there will be significant need for further analysis as the mission operationalizes the CDCS through project design, implementation and monitoring and evaluation. To facilitate this screening throughout the program cycle, the mission will be using a decision tree to determine where and how to further assess the areas identified as high and medium risk at the CDCS-level screening when detailed programming emerges. The ENRCC Unit will support sensitization and training within the mission regarding the process and specific requirements for project and activity design as well as monitoring and evaluation needs. Relevant Mission Orders will also include climate risk screening requirements.

### Part III: Additional Requirements for Missions Receiving GCC Funds

Missions receiving GCC funds should answer the following questions in order to guide them to strategically address climate change and development in their R/CDCS.

#### C. Adaptation:

While climate risk screening will help all Missions address the climate risk associated with USAID's development activities, Missions receiving GCC-Adaptation funds should consider the country's development priorities more broadly and not focus only on existing USAID program areas. Answering the following questions in the Climate Change Annex will help identify the highest priorities for Mission adaptation programs that increase climate resilience and yield the greatest advances toward the country's development objectives.

1. How is climate change a current stressor on key development priorities of the country? How is climate change projected to be a stressor on development priorities in the future?

The achievement of long-term sustainable economic growth in the face of climate change is a primary concern in Uganda. Development prospects will only be reached if the impacts of climate change on Uganda are mitigated. Inaction is estimated at between US\$3.1 bn and 5.9 bn per year by 2025, which is more than 20 times the proposed adaptation budget. Climate change is a current and future stressor on the following key development sectors in the country:

#### a) Agriculture and food security

Agriculture is the backbone of Uganda's economy. In FY2013/14, the sector accounted for 24.8 percent of the country's GDP. Climate change will have a major impact on the production of Uganda's leading export crops. By 2050, the value of the coffee crop could fall by half due to contraction of the area that can support its production; an illustrative estimate of the cost of these losses is around US\$1,235m. Weather-related extreme events will affect agriculture. Crops are likely to experience lower productivity, increased pests/diseases, and weather-related post-harvest losses. This will exacerbate food insecurity.

#### b) Water

An increasing incidence of drought will reduce water availability. As a result, Uganda is likely to face severe water shortages during most months of the year. Water scarcity will affect households, agriculture, fisheries, forestry and tourism as well as the production of energy, water transport, sanitation and health. Each drought lasts for around three years, and the damage per drought cost around US\$237 m per year during the past decade.

#### c) Health

Several diseases (e.g. Malaria, lymphatic filariasis, helminthes, trachoma, cholera and typhoid) will likely increase in prevalence and distribution due to climate change. The disease burden will likely reduce labor productivity and increase health expenditure. There is also potential for diseases that are not yet established in Uganda (in humans) to be introduced because of climate change, such as dengue fever, chikungunya, and Rift Valley fever. Climate change also threatens human health through its effects on food insecurity and malnutrition.

#### **d) Energy and infrastructure**

There is a possibility that hydropower potential will decrease due to a reduction in rainfall. The decline is estimated to be around 26 percent by 2050. To keep supply ahead of demand, government will need to invest around US\$1 bn in power, or around US\$200 m per year, equal to about 1 percent of its GDP, in the first five years. Power outages will also increase with the predicted increases in storm intensity, and will adversely impact economic development. Climate change is also expected to exacerbate the deterioration of transport infrastructure and increase the costs of moving people and goods from farm to market intensity. A doubling in the frequency of extreme events every 25 years under climate change would result in damage of infrastructure equivalent to 0.1–0.4 percent of GDP in 2050 decade.

2. *What assessments and analyses have already been done to inform strategic planning around adaptation, and what additional analyses may be needed? What is the quality of the analysis? Are the documents publicly available? (Please consider not only analyses undertaken by USAID, but relevant national or regional analyses undertaken by host governments, other donors, or other stakeholders such as universities, think tanks, or other civil society and private sector organizations.)*

Two main assessments have been conducted in Uganda:

1. *“Uganda climate change vulnerability assessment”* by USAID (2013). This assessment focused on climate change and agriculture as a key development sector in the country, but additional analyses were conducted on climate change and health, climate change and agricultural infrastructure, and climate change and biodiversity.
2. *“Economic assessment of the impacts of climate change in Uganda”* by Climate and Development Knowledge Network - CDKN (2015). This was conducted at the request of the Government of Uganda. It was funded jointly by CDKN and the UK Department for International Development (DFID), Uganda office. It focused on four key development sectors, namely Water, Agriculture, Energy and Infrastructure.

The quality of analysis is good and the documents are publicly available (CDKN report). However, the costs of adaptation are uncertain and more research is needed to develop robust cost estimates. Additional analyses are also needed to cover other key development sectors in details, e.g. biodiversity, tourism, education, governance, and potential impacts on the country’s power supply chain, etc.

Another relevant analysis was by Hallegatte Stephane (et.al). 2016. This study shows that without action, climate change would likely spark higher agricultural prices and could threaten food security in poorer regions such as Sub-Saharan Africa. That climate change will also magnify many threats to health, as poor people are more susceptible to climate-related diseases such as malaria and diarrhea. It recommends good, climate-informed development to reduce the impacts of climate change on the poor.

The Uganda Mission Environment Unit has also asked the USAID Climate Change Adaptation, Thought Leadership and Assessment (ATLAS) project to explore direct and indirect effects of climate change on biodiversity and the resulting implications for its conservation and climate adaptation programming. This analysis will identify climate change impacts on biodiversity and ecosystem services and the resulting impacts on community livelihoods, and will make recommendations regarding programming. The mission is also supporting NARO and IITA to investigate crop response to moisture and temperature changes, and trials on various adaptation technologies (mulching, manuring, short-term varieties of maize and beans, shade trees for small- scale coffee farms, etc.). These assessments will inform new project and activity planning and design.

3. *Does the host government have a national adaptation plan of action, national adaptation plan, or similar planning instrument that is high quality and thorough? To what extent are potential USAID adaptation programs aligned with this plan or plans?*

Over the last five years, Uganda has been proactive about identifying and addressing climate risks to its development. This has included developing a National Climate Change Policy (NCCP), with an associated draft costed implementation strategy. These documents provide a roadmap to Uganda's views of their greatest risks, the associated costs, and priority actions for mitigating the causes of and adapting to the consequences of climate change. Specifically, the NCCP seeks to ensure a harmonized and coordinated approach towards a climate- resilient and low-carbon development path for sustainable development. This will require identifying and promoting common policy priorities as well as adaptation, mitigation, monitoring, detection, attribution and prediction policy responses. The intent is to mainstream climate change issues into planning, decision making and investments while mobilizing the necessary financial resources to implement activities. While detailing the fact that most Ugandans are vulnerable to climate impacts, all of the GoU's climate policy documents specifically emphasize the importance of supporting vulnerable populations, including women and children.

Beyond these already developed documents, the GoU also submitted a road map for the development of a National Adaptation Plan (NAP) to the UNFCCC Secretariat at the beginning of 2015, and launched the agricultural sector NAP process in June 2015. The NAP will compile and communicate priority national adaptation plans by December 2017. The GoU also prepared and submitted an Intended Nationally Determined Contribution (INDC) to the UNFCCC Secretariat in 2015. The long-term adaptation goals of the INDCs prioritize adaptation interventions in the agriculture and livestock, forestry, infrastructure, water, energy and health sectors.

USAID Uganda adaptation programs are fully aligned with these plans. They directly seek to improve government capacity to execute the National Climate Change Policy and its implementation plans and strategies. They seek to build capacity to generate reliable weather and climate information to guide adaptation interventions in key development sectors (agriculture, water, energy, health, etc.). They also support public education, awareness and engagement in adaptation interventions; and research programs to develop, test and promote various innovative adaptation technologies.

4. *Based on available information, how is future climate change likely to impact both your programs and other key development priorities of the country? Consider alternative paths or programs to ensure enduring success of interventions.*

The Ugandan documents, in conjunction with the Climate Change Vulnerability Assessment (CCVA) conducted by USAID, provide an excellent overview of our current understanding of the major climate impacts in Uganda. Temperatures are expected to rise, but predictions for (and trends in) precipitation are less certain. Some documents suggest rainfall has decreased and become less predictable and less evenly distributed, while the analysis conducted through the CCVA suggests that significant long term trends in rainfall are difficult to detect. Other analyses have suggested that rainfall will increase across East Africa, including in Uganda.

As a result of temperature increases (and possible shifts in rainfall patterns), the malaria parasite may spread to new areas of the country, and the ice caps on the Rwenzori Mountains will continue to shrink. Floods, landslides, droughts and other extreme weather events appear to be increasing in frequency and intensity. Increasing floods and droughts are consistent with more rainfall occurring in extreme events (leading to floods) interspersed with longer dry periods (leading to droughts). Changing temperature

patterns in Uganda have also been linked with more frequent and longer lasting droughts and consequent increased cattle death.

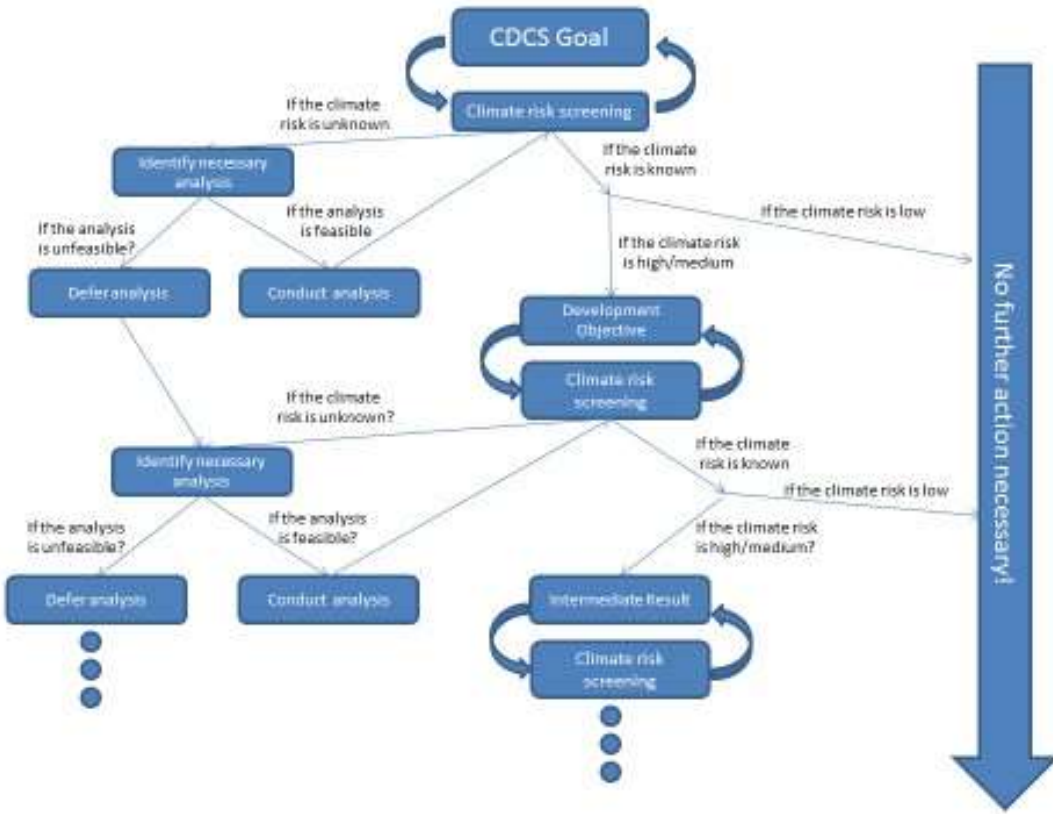
The NCCP suggests that the increased frequency and duration of droughts is likely to be the most significant climate-related change in Uganda. Droughts have, and will continue to, significantly affected water resources, hydroelectricity production and agriculture, among other sectors. In future years, the key production sectors most likely to be affected by climate are agriculture, water, energy and transport (the latter more by flooding than by drought). As agriculture, forestry and fisheries decline, people migrate to urban areas, leading to the formation of slums. Poor climate conditions reduce the performance of Uganda's agricultural sector, which is the mainstay of the economy. This is likely to result in higher food prices, lower domestic revenues and an increase in the current deficit, due to lower export earnings.

The UN's Food and Agriculture Organization determined that the drop in the growth of the Ugandan economy from 6.6 percent in 2004-05 to 5.3 percent in 2005-06 was largely due to the variability of the weather, specifically, its impact on agriculture. Furthermore, in the 2007-08 fiscal year, climate change damages were equivalent to 4.4 percent of the national budget, exceeding the budget allocation for the Environment and Natural Resource Sector.

Recent studies, which require further refinement, have estimated that, in the absence of adaptation actions, the cost of the impacts of climate variability and change in Uganda could range between US\$270 and US\$332 billion over the 40-year period 2010-2050, for the agriculture, water, infrastructure and energy sectors (costs associated with the health sector are likely too uncertain to accurately assess at this point, but are likely to be large as well). Annual costs could be in the range of US\$3.2 billion to US\$5.6 billion within a decade in these four sectors alone. Conversely, it is estimated that Uganda will require US\$ 3.9 billion (approximately US\$ 258 million per annum) over the next 15+ years to address climate change concerns in addition to the existing interventions. In terms of costs over the next 15 years, the greatest costs are in the health and infrastructure sectors, which are at least twice the need in the next sectors of water, agriculture and energy.

Our climate change programming has been directly enabling researchers and decision-makers to be climate smart and adaptive when it comes to development investments for rural households particularly dependent on agriculture. A key strategy at USAID Uganda has been to embed climate change work into the larger Feed the Future agricultural development portfolio. However, under this CDCS, and based on the knowledge that climate change will likely affect various other sectors, we are carefully considering where there is the highest potential for focused climate change resources to have a transformative impact as well as where sector-specific funds can be used to address climate risk and integrate climate change into interventions for key development sectors in the country including biodiversity, health, infrastructure, energy, education, water and livelihoods.

# Decision Tree





## Climate Change References

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## Annex 2. Systems and Initiatives Papers

Beyond the specific DO that is set up to tackle systems strengthening, improving the functionality of key systems in Uganda will cut across all aspects of the Results Framework. This Annex sets out those systems that USAID/Uganda sees as key, and establishes the initial approaches that USAID intends to take in strengthening these systems.

### Key Systems

#### Education System

Universal Primary Education (UPE) in Uganda was introduced in 1997 to provide universal access to schooling. UPE was successful in providing access to education, but insufficient planning for increased enrollment, exacerbated by population growth, has prevented the overall system from “catching up.” UPE was at least partially responsible for a number of “mega-issues”, including reduced teacher attendance and time in the classroom (teachers are outside the classroom during 59 percent of contracted teaching hours in rural areas); pervasive violence, especially GBV, in schools; food insecurity; drop-outs before secondary, especially of girls; and very low functional literacy. Although the Government of Uganda’s education budget funding is inadequate, there is now high-level leadership in place to address these mega-issues. A network of relationships and a platform for change have been created by USAID’s activities.

For USAID, early grade reading, retention and improving girls’ education overall are entry points for improving the education system as a whole. In education diplomacy, USAID is well-positioned to be part of a high-level policy initiative that will address the mega-issues outlined above. District-level interventions, especially CAO-DEO combinations, are another potential efficient entry point for change. Moreover, a platform for change seems to be developing around USAID programs that foster the emergence of key leadership. USAID is also working closely with other development partners in this area: for example, the World Bank / GPE is currently implementing the early grade reading program developed by USAID in 27 districts.

The education system provides essential support at many levels for all other systems in the short, medium, and long terms. USAID has been, or is, closely involved in programming in about 10,000 schools, 86/112 districts, the Core Primary Teachers Colleges, and the national-level ministry, with current activities through 2020. Education is the essential change lever that will enable Ugandan-led sustainable development.

USAID/Uganda is well positioned to be a part of a high-level policy initiative that will address the education system’s “mega-issues.” The mission has taken a convening approach to supporting and facilitating domestic resources and stakeholders to advance the education and child well-being agenda. USAID/Uganda is engaged in several stakeholder groups in Uganda and has taken a leading role in some of them.

## Health System

The Ugandan health system is decentralized and fragmented, with multiple actors, disconnected vertical programs, and susceptibility to political power dynamics. Uganda's health systems are often characterized by donor-recipient relationships where host country policy and implementation may compete with and run parallel to externally-funded interventions. Government is only funding 16 percent of the health system, and 37 percent is out of pocket.

About half of Ugandans have sought care at some point from the private health sector. Health care in rural areas is very limited, and an expanding population is additionally straining an already stretched system. Stock outs and worker scarcity are more common in rural areas. Uganda has passed decentralization reform intended to improve local ownership of health care; however, a deep-rooted disconnect between central and local levels, paired with a centrally-controlled budget, has prevented the smooth functioning of this institutional framework. District governments, and local and central leaders play an important role in the enabling environment and the functionality of the health system; nonetheless, formal and informal roles and lines of accountability remain unclear, exacerbating confusion and weakening the functionality of the system. The private health care sector is sometimes at the forefront of innovation, monitoring and evaluation systems, information systems and patient care. Cultural and religious leaders, NGOs and individual politicians also influence the utilization and demand for health care.

In order to steer focus toward service delivery and quality, strong convergence or overlapping interests must be sought centrally and locally simultaneously. The disconnect between local and central administrative levels weakens monitoring and supervision. The Ministry of Health is attempting to strengthen the information system and public financial management, tighten the governance of the districts, pool donor resources, and impose new solutions for community engagement. Nevertheless, small fixes will not fill the gaps, with only 67 percent of health worker positions filled in rural areas, a lack of medical doctors in rural areas, and the scarcity of transparent information technology and working systems that support a functioning commodity chain.

Health systems are improving in some areas of Uganda. Overall, the situation with drug stock-outs and availability of medicines has improved, and there is now an office of accountability reporting directly to the President, although its effectiveness has not yet been seen. There are efforts to improve the referral system, to modernize the health information system, and to apply measures to strengthen local service delivery. Major weaknesses rest in the availability of skilled labor, the lack of flexible financial resources, and the lack of evidence-based decision making within health sector governance structures. Poor infrastructure not only limits the quality of services but also the morale of service providers.

The 2016-2021 CDCS clearly recognizes the importance of local and country systems, and must support a system in which USAID and other international partners facilitate more and execute less. While continuing to provide some life-saving interventions, USAID/Uganda will begin to focus more time, staffing and resources toward facilitating local country systems in constructing, reforming or

realigning their own building blocks for a functional health sector. USAID/Uganda will prioritize leadership, management, administration and oversight.

USAID/Uganda will work closely with health sector donors, leveraging investments in a variety of areas, including with UNICEF on malaria, child survival, nutrition, and orphans and vulnerable children; with UNFPA on family planning; with the World Bank and Belgian Technical Cooperation on health systems strengthening (HSS); with DFID on family planning and malaria; with Italian Cooperation, the World Bank and IFC on advancing public-private partnerships and health financing; with the Global Fund on HIV/AIDS, TB, malaria and HSS; with the Gates Foundation on malaria; with WHO on HSS, maternal and child health and malaria; with WFP on nutrition; and with the World Bank, the African Development Bank, GIZ and the Austrian Commission on WASH.

The Ugandan health system is fragmented, consisting of many actors and disparate vertical programs. Major weaknesses rest in the availability of skilled health workers, and the lack of flexible financial resources and evidence-based decision making within governance structures. The health sector relies heavily on foreign donor funding, and its poor infrastructure not only limits the quality of services, but also the morale of service providers. USAID/Uganda will continue to provide some life-saving interventions, but will focus more time, staffing and resources toward facilitating local country systems in constructing, reforming or realigning their own building blocks for a decentralized, but better coordinated, functional health sector. The mission will work with both national and local partners to promote effective oversight and evidence-based governance, focusing on health systems accountability and coalition building, engaging civil society, the media and other development partners with applied research.

### **Governance and Accountability System**

A failure to address the increasing constriction of political space will undercut efforts to introduce or consolidate reforms across the board, thus impacting the USG's overall development investments in Uganda. Most citizens do not feel empowered to embrace their roles and responsibilities as members of a multi-party democracy; this dynamic hampers the development of a genuinely effective and inclusive political system. The broken supply/demand cycle of equitable political engagement and services threatens the domestic stability and economic development that are critical for Uganda's development.

Government services are not dysfunctional primarily because they lack the expertise to run an efficient bureaucracy; rather, governance shortcomings serve the interests of the power-holders within the political system. Identifying areas where the incentives of key government actors align with governance priorities for both private and public institutions will be vital for determining entry points and "champions" for USAID interventions under this CDCS. Although significant constraints exist that affect the ability of the political system to be more accountable and responsive to Uganda's development needs, any support should aim at building the necessary capacities for an accountable and development-leaning political system. Despite the precarious nature of the political system in Uganda, there are indications that support to indigenous efforts to deepen democracy have yielded results.

As noted in the 2015 DRG Assessment, for the longer term, a renewed emphasis on the demand-side of political systems is vital, with only a very limited and selective engagement on the supply-side. Expected results from USAID's support for this system include the development of leadership that creates a more inclusive, participatory and competitive political environment, and an environment that fosters the same. The key goal will be to guard against fractures resulting from the lack of a peaceful transition of power. In the Ugandan context, mechanisms to monitor the impacts of the political system should consider the social structure (i.e. the influential public bureaucracy), constitutionality (i.e. changes to the Constitution or policy), and political competition (i.e. exclusiveness at the elite level versus inclusiveness at the mass level), among other factors.

The governance and accountability support system in Uganda will either undermine or support all other systems. The DRG assessment confirms that the political space is decreasing which impacts on citizens' relationships with their leaders across sectors. There is an urgent need to support the demand-side of the political system, which includes non-state actors and leaders whose participation is critical for Uganda's development and U.S. government development investments. The aims will be reinforcing efforts to open up political space and encourage deeper political engagement of the citizenry. Though technical deficiencies exist in Uganda's government institutions, the barriers to addressing the deficiencies are often political and, thus, cannot be resolved through technical assistance alone. Demand-side approaches can only be effective if the GOU is able and willing to respond. USAID interventions will strengthen citizen-state relations, creating space for Ugandans to be engaged and included in accountability processes. Simultaneously, USAID will develop strategies to strengthen accountability institutions. USAID/Uganda will partner with DFID and other EU Development partners to advance the governance agenda. The UN Development Assistance Framework 2016-2020 also sets out planned work on institutional development, transparency and accountability.

### **Market System in Key Value Chains**

The existing market system in Uganda is plagued by structural inefficiencies and distortions. Uganda ranks among the lowest countries in the world in terms of fertilizer use. Only 2 percent of Ugandan farmers use inorganic fertilizer (averaging only 1 kg/ha/year, or about 3% of the average use in Kenya). Furthermore, only 13 percent of Uganda's crop area is planted with improved seed. Yields are less than 30 percent of potential productivity, and post-harvest losses are as high as 40 percent. While maize and coffee exports have been increasing since the start of FTF, much more effort is needed in this area.

Some private sector champions are making substantial investments at firm and farm level. With these investments, significant productivity gains are being achieved relatively quickly among participating firms and farmers. However, at a systemic level, there are many critical weaknesses (such as agriculture inputs value chain and institutional capacity for policy implementation) that still need to be addressed. There are high levels of distrust between the various value chain actors. A key area of focus for current FTF work is to build relationships and incentive mechanisms that foster longer-term win-win relationships rather than one-off transactions.

An important goal of an improved market system is to create incentives for actors to improve services (such as input provision, advice, and market access) for farmers, and to encourage all actors to work within the formalized market system. USAID will engage in the promotion of private sector-led extension services like the village agent model, and will be more direct in its dealings with financial institutions to create incentives for the creation of flexible and innovative products that are mutually beneficial to farmers and the financial sector.

USAID has chosen to focus on three priority value chains based upon their potential to reduce poverty among millions of Ugandans: coffee, maize, and beans. Given the wide gap between the current and potential productivity of these crops, if systemic change can be achieved, the economic impact will be significant and broad-based. Other development partners recognize the importance of the agricultural sector to the economic development of Uganda and are investing in other value chains, such as fish, dairy, rice, horticulture, livestock, and others.

The results of the market system and the health system are mutually reinforcing. A better-functioning health system can lead to higher productivity and incomes, which can then lead to greater use of health systems and improved nutritional outcomes. USAID will further explore the possibilities in leveraging its position to convene donors, the government, and the private sector around problem identification and activity design. The mission will also engage more directly with service providers at all levels to encourage best practices and shine the spotlight on leaders in the field.

USAID partners with private sector actors that are willing to provide services (inputs, extension advice, access to markets, finance) to farmers. USAID also partners with other donors, civil society, and the Government of Uganda to address policy and enabling environment constraints to the agriculture market system. For example, Dutch Cooperation, through its support to Integrated Seed Sector Development (ISSD), has enabled the furthering of seed regulations and trade harmonization, both highly complementary to USAID's interest in promoting the use of quality inputs and private sector-led certification and investment. The World Bank focuses on the agricultural extension policy and the reactivation of GOU extension services, allowing USAID to focus on private sector service delivery and on specific policy issues as they effect the program. Finally, DFID and GIZ work on financial sector deepening for Uganda.

A well-functioning market system for key agricultural commodities is critical to reducing poverty and expanding economic growth. The market system's ideal end-state includes a well-functioning, efficient market system for focus crops, with well-functioning agricultural input markets, well-functioning markets for agricultural commodities and higher productivity and production of farmers.

The market systems in key value chains in Uganda are plagued by structural inefficiencies and distortions. USAID/Uganda has chosen to focus on three priority value chains – coffee, maize, and beans – based upon their widespread production and strong market potential on the international (coffee) and regional (maize and beans) markets, and their resultant potential to reduce poverty among millions of Ugandans. The marked gap between the current and potential productivity of these crops, if systemic change can be achieved, means that the economic impact would be significant and broad-based. Interventions must work at all levels: supporting an enabling environment, technical capacity building, input systems, production and marketing, investment, availability of finance, and

youth engagement. USAID/Uganda partners with private sector actors as well as with other donors, civil society, and the GOU to address policy and enabling environment constraints to the agriculture market system. The World Bank focuses on the agricultural extension policy which allows USAID to focus on private sector service delivery and on specific policy issues as they affect the program.

### Natural Resource Management System

Environmental health and the natural resource base underpin the stability of all other systems within which USAID/Uganda works and influences. The direct livelihoods of most Ugandans depend upon the environment, both for subsistence and as a basis for production and other economic activity. Despite its importance, Uganda's natural resource base is poorly managed and underfunded, leading to widespread degradation of natural capital. Currently there is a lack of innovative financing mechanisms to support NRM, though there has been some movement in the area of climate change adaptation.

Numerous actors are involved in NRM systems at both the national and local levels, including central and local governments, the judiciary, civil society, individuals, households and communities, the private sector, NGOs and donors. There are overlapping mandates within the central government's ministries, authorities and departments that engage in NRM and related activities; this, coupled with the lack of budgetary support, is a major constraint to effective management. This plays out in the districts, where decentralized NRM is hindered by a lack of resources and coordination among the district ENR staff. While Uganda's NRM and environmental management laws are generally strong (with some notable exceptions, including the Wildlife Law (currently under revision) that does not have strong penalties for wildlife trafficking and crime), their enforcement is weak across the board due to the issues described above, as well as the poor understanding of the value of natural resources at all levels. Insecurity of land tenure threatens NRM systems: when property rights or the role of management is unclear, there is a perverse incentive to degrade a resource before another actor does so. This tendency, layered with the patrimonial structures in place in Uganda, presents a challenge for the fulfillment of mandates and rules with respect to sustainable NRM, and results in resource degradation, declining productivity, and illegal activities, including poaching (wildlife, fisheries, timber) and wildlife trafficking.

However, it is important to note that while population size is often seen as a key driver of environmental degradation, how people are organized and the management and governance systems in place can have a larger impact on the status of the resource base than the sheer number of people. Leveraging leaders, both individuals and institutions, can have a transformative impact in addressing these challenges. USAID/Uganda must assess, understand and manage its interventions in the context of their impacts – both positive and negative – on the natural resource base, as well as from the perspective of what the integration of natural resources management can do to positively impact development outcomes across sectors.

Considering the high population growth rate in Uganda, the systems approach will require a good general understanding of the interaction between demographics and the natural systems in which society is embedded. Human action shapes ecosystem dynamics from the local to the global scale, while societies rely on a wide variety of ecosystem services for their physical and psychological well-being. In Uganda, population growth is recognized as a direct driver of the degradation of the natural

resource base, including reductions in biodiversity, as human demands for resources like food and fuel play a key role in the conversion of forests and other areas to food and energy production and human settlement. Thus, sustained efforts to increase resilience and reduce poverty are an excellent investment from an environmental perspective.

USAID is well-positioned to play a catalyzing role for positive changes within Uganda's NRM system. USAID/Uganda has supported biodiversity programs in the country for over two decades, and has strong relationships with communities, Protected Area (PA) managers, the private sector, other donors, NGOs, advocacy groups, and GOU NRM institutions at both the national and local levels. USAID, in partnership with the GOU, also has ongoing partnerships with other USG agencies, including the US Forest Service and the US Department of the Interior. These partnerships provide critical technical support to Uganda's forestry and wildlife sectors.

Critical to USAID's systems approach with respect to NRM is the understanding that human institutions and ecologies share common features. It is necessary to assess the system, and those nested within it, to determine critical leverage points that, when targeted, can affect multiple components of the system. For instance, a leverage point for influence that affects many industries might be climate change adaptation planning. Alternatively, the protection of certain species can leverage protection of a larger habitat for multiple species and ecosystem services. Specific institutions, for example local planning committees near protected areas, can become catalysts for mass change if they are in the right place at the right time with the right resources.

Recognizing that a healthy natural resource management system is part of the foundation for other development outcomes, the interlinkages of the natural resources management system will be recognized across other sectors and systems – for example, improvements in biophysical resilience in targeted landscapes directly supports household and community resilience.

Sound natural resource management is critical to national development since the natural resources are a major source of wealth and power in Uganda. In addition to the daily dependence of rural livelihoods on natural resources, Uganda's charismatic wildlife, scenic landscapes and overall biodiversity provide a tremendous opportunity for generating tourism revenue and employment for Ugandans. Recent developments in Uganda require further scrutiny, including the initiation of oil exploration and associated infrastructural development, and the inclusion of Uganda among the "Gang of Eight" worst-offending countries in the illegal ivory trade. Demand for charcoal, the spread of mining, and the encroachment of agriculture and human settlements onto forested and protected areas continue to degrade the country's already dwindling forests. Uganda's rapid population growth and resulting need to provide food, energy, income and social services to a bulging youth demographic further strain the country's natural resources and ecosystem. Despite its importance, Uganda's natural resource management sector is poorly governed and underfunded. Although there has been some progress in the area of climate change adaptation, more is required. There is a particular need for innovative financing mechanism. The Norwegian and French development agencies, World Bank and UNDP are currently actively supporting different parts of the NRM system. USAID/Uganda is complementing and partnering in these efforts and have also close relationships with country system key actors that potentially can advance the agenda.



## Social Protection

Uganda's social protection system has inadequate funding and human resources at all levels. Although formal roles are well defined, and formal coordination mechanisms and regulatory frameworks are in place, needs are great and enforcement and protection processes often fail, and informal roles are integral for successful implementation and positive gains.

The Government of Uganda provides a social security system (in terms of direct income support and social insurance) with assistance from donor agencies. Uganda's current social security system targets senior citizens (60+ years old), while the social insurance targets the employed. Uganda's social protection system must advance to a state that requires no external resources, where vulnerable populations are informed and can freely utilize vital resources. Actors must be trained and able to provide adequate resources, so that, ultimately, those vulnerable populations will become empowered, healthy, economically stable and educated. USAID support should contribute to reducing vulnerability and economic strengthening of households through graduation models. To achieve Uganda's national development goals, social protection should reduce poverty, support access for typically excluded citizens, provide a foundation on which to build productive livelihoods, and enable citizens to live a life of security and dignity. These goals aim to empower all citizens to participate in and benefit from the social and economic transformation in the country. An accountable and responsive social protection system should reduce vulnerability and risks, foster human capital development, and interrupt the transmission of intergenerational poverty.

Through the PEPFAR initiative, USAID will work with key line ministries to support and strengthen the social care systems and programs that are currently in place. USAID is focusing on social care and support, but is also working closely with other donors who are focusing on social security.

The social service sector is underfunded in Uganda, and the **social protection system** is not sufficiently prioritized or staffed. Most children experience violence both in and out of school, with one study reporting 78 percent of primary students having experienced sexual violence in school. (State of the Ugandan Child) USAID/Uganda will continue to provide social care and support services for vulnerable children and households, using a graduation model to ensure that that households move from vulnerability to a resilient economic and health status. Child protection policies and laws are poorly implemented at present in Uganda, but USAID/Uganda will support the new National Child Policy and follow-up strategy which will place all current children's policies into a single document. Partnerships and relationships established during recent USAID/Uganda supported Child Forums will be maintained and developed.

## Applicability by Initiative

### Basic Education

The Basic Education (BE) earmark is defined broadly to include all program and policy efforts to improve pre-primary, primary education, and secondary education (delivered in formal or non-formal settings), and programs promoting learning for out-of-school youth and adults. Capacity building for teachers, administrators, counselors, and youth workers is also included. Basic education includes literacy, numeracy, and other basic skills development for learners. The common thread among these elements is

that they help learners gain the general skills and basic knowledge needed to function effectively in all aspects of life. As a guiding principle, to the greatest extent possible, the intent of Congress and USAID is that BE funds be used for programs that can help countries achieve significant results in advancing their national education goals. In other words, BE funds should not generally be used for programs that do not have the advancement of basic education objectives as their primary, overarching objective.

In February 2011, USAID released the Global USAID Education Strategy 2011-2015, detailing how education resources would be strategically invested to achieve measurable and sustainable educational outcomes through enhanced selectivity, focus, country-led programming, division of labor and innovation. The strategy set forth three ambitious goals for USAID programs and investments in the education sector:

- Goal One: Improved *reading skills* for 100 million children in primary grades by 2015;
- Goal Two: Improved ability of *tertiary and workforce development programs* to generate workforce skills relevant to a country's development goals; and,
- Goal Three: Increased equitable *access to education in crisis and conflict* environments for 15 million learners by 2015.

The basic education earmark, along with the USAID Education Strategy, will enable USAID/Uganda to address the strategy five and twenty-five year goals, and DOs 3 (Systems) and 2 (Demographic Drivers). USAID/Uganda has programmed all basic education and higher education funding in alignment with the Global Education Strategy since it was issued in 2011. For basic education, USAID/Uganda's current portfolio supports Goal One, including all three Goal One Result areas. With the extension of the Global Education Strategy until September 2017 and the understanding that the next Education Strategy (2016-2021, currently under development) will maintain the same goals and focus, USAID/Uganda's basic education investments will continue to be aligned in the following ways. As is detailed in other sections of this document, other funding streams under CDCS 2.0, in line with the integrated strategic approach, will also contribute to the achievement of Education Strategy goals. Goal One. It is envisioned that the bulk of BE funding will be for Goal One activities under DO2, specifically IR.2.2 child well-being improved, Sub IR 2.2.5 Improve quality and relevance of primary education for all children and IR 2.3 Girls' Education Improved. USAID/Uganda's current basic education activities are contributing to Result 1.1 Improved Reading Instruction (e.g., local language and English materials development; teacher professional development and school-based support; community engagement and reduced teacher and pupil absenteeism; gender-specific programming); Result 1.2 Improved Reading Delivery Systems (e.g., technical support to national Early Grade Reading initiative, including school-based programming and materials distribution; performance monitoring); and Result 1.3 Greater Engagement, Accountability, and Transparency by Communities and the Public (e.g., strengthened school management committees; behavior change communications campaign; generation and utilization of education data). USAID/Uganda's two basic education activities each have an associated independent Performance and Impact Evaluation, which have and will continue to generate evidence on what is and is not contributing to improved reading outcomes. The Government of Uganda, with technical assistance from USAID, has also expanded the USAID-developed Early Grade Reading methodology, achieving nearly national coverage. These efforts will continue in the early years of CDCS 2.0 and the development of new

activities, anticipated in years four and five, will be informed by evaluation results and ongoing local policy, with a focus on systemic sustainability of proven approaches to improve outcomes. Illustrative activities may include supervision training, pre-service teacher training, coaching and mentoring, etc.

Goal Three. As described above, USAID/Uganda’s current basic education activities primarily contribute to Goal One, but each also have aspects that additionally support Goal Three, principally in terms of trying to improve retention rates by addressing challenges of HIV/AIDS (with PEPFAR funding) and School-Related Gender Based Violence. Though these current activities – and others planned under CDCS 2.0 – should contribute to improved education outcomes, including access rates, in post-conflict areas of Uganda, it is important to note that they do not specifically target these areas nor implement programming that directly responds to the unique needs of these populations. Investments of basic education funds in Goal Three programming could certainly contribute to results under DO2 and will be considered in the event that Uganda receives additional basic education funding and is categorized as eligible for Goal Three programming.

## Biodiversity

Biodiversity is central to addressing poverty and sustainable economic development in Uganda. While much of Uganda’s natural capital is safeguarded within national parks and other Protected Areas, the country’s biodiversity continues to face threats related to human use (e.g. agricultural expansion, oil and gas development, over-harvesting of wood and wildlife), ecological factors (e.g. climate change, invasive plants, wildfire), and trans-boundary influences (e.g. the wildlife and charcoal trade), all of which are fueled by enduring socioeconomic, institutional and political drivers. These drivers of biodiversity loss include rapid population growth, poor governance (including overlapping mandates), poor understanding of the value of natural capital including ecosystem services, low capacity of natural-resource management institutions, policy incentives favoring production over conservation, and a breakdown in traditional land tenure, resource management and dispute resolution systems.

USAID Uganda will continue to use resources from USAID’s biodiversity earmark (including a sub-earmark for Combating Wildlife Trafficking) to address these challenges in targeted areas of high biodiversity. USAID’s Biodiversity Policy – the goal of which is to “conserve biodiversity in priority 2 places and integrate biodiversity conservation as an essential component of human development” – highlights several key objectives that are critical to USAID/Uganda’s programming:

- Support enabling conditions for biodiversity conservation;
- Reduce priority drivers and threats to biodiversity;
- Integrate conservation and development for improved biodiversity and development outcomes;
- Build partnerships to mobilize resources in support of biodiversity conservation;
- Influence key international policies in support of biodiversity conservation; and
- Apply science, technology, and learning to enhance biodiversity conservation practice.

## **Programmatic & Policy Alignment**

Sustainable management of biodiverse habitats helps create ecologically stable and productive ecosystems that in turn strengthen communities' resilience to climate change and other stresses. Habitats with higher levels of biodiversity are more ecologically stable and recover faster from droughts, fires and other environmental disturbances. Species richness and genetic diversity also enhance an ecosystem's resistance to invasive species and reduce the transmission rates of diseases among species. USAID Uganda's biodiversity earmark will support the mission's focus on resilience under DOI and systems under DO3 by strengthening the capacity of both the GOU and communities to manage biodiversity effectively, increasing their awareness and appreciation of the value of biodiversity and natural capital, and increasing the economic benefits for communities derived from sustainable natural resources management.

Given the importance of biodiversity to Uganda, USAID's geographic areas of focus are where there are identified threats to critical biodiversity as required by the Biodiversity Policy. However, the approach is shifting from a close focus on protected areas to a more holistic landscape management approach that will address a broader range of threats to biodiversity from across a single landscape, and link to a wider group of actors for sustainable change. This will facilitate integration with other systems and sectors, and enable USAID to more efficiently leverage resources to achieve its overall objectives while still addressing the critical ecosystems and biodiversity outcomes it is targeting. In addition, the recognition of Uganda's critical role as a transit hub in the East African wildlife trade informs USAID's support to strengthen Uganda's systems, including linkages to regional networks, for the detection, enforcement and prosecution of wildlife crimes. These efforts directly align with the US National Strategy for Combating Wildlife Trafficking. Strong and mutually supporting ecological, social and economic systems are essential for driving transformational change in Uganda.

## **Resource alignment**

Biodiversity earmark (including Combating Wildlife Trafficking sub-earmark) resources will be aligned across the results framework, with a focus on strengthening natural resources management systems under DO3 and developing conservation livelihoods under IR 1.4.

## **Management requirements**

The mission recognizes that interventions using biodiversity funds must follow the USAID Biodiversity Code, which ensures that projects are compliant with the legislative directive and meet the following criteria:

- The program must have an explicit biodiversity objective; it is not enough to have biodiversity conservation result as a positive externality from another program;
- Activities must be identified based on an analysis of drivers and threats to biodiversity and a corresponding theory of change;
- Site-based programs must have the intent to positively impact biodiversity in biologically significant areas; and
- The program must monitor indicators associated with a stated theory of change for biodiversity conservation results.

In addition to ensuring that the biodiversity code is met, USAID/Uganda will continue to report on the required indicators. The mission anticipates continuing to work closely with colleagues in Washington to develop more integrated programming that focuses on the development challenges this strategy will tackle. Frequent learning reviews and the use of tools including targeted political economy analyses will require ongoing collaboration.

**Areas for Further Consideration and Feedback:** Sharing models where integrated programming and landscape approaches using biodiversity funds in combination with other funding streams have been successful, or less than successful, and why.

### Ending Preventable Child and Maternal Deaths (EPCMD)

The US Government is committed to achieving the once-unimaginable goal of Ending Preventable Child and Maternal Deaths (EPCMD) by 2035. In Uganda the Global Health Programs – USAID (GHP-USAID) of family planning, maternal and child health, water, sanitation & hygiene, WASH), and nutrition – contribute to the mission’s efforts to achieving this ambitious goal in Uganda. While efforts in malaria and HIV/AIDS reductions also contribute heavily to EPCMD goals, they are discussed under other Initiatives.

### Programmatic and Policy Alignment

All women deserve to give birth safely, and all children – no matter where they are born – deserve the same chance to survive and thrive. Over the last 30 years, the global community has responded to the urgency of this mission, raising child and maternal survival to the top of the international development agenda. EPCMD activities fall under multiple Development Objectives and Intermediate Results in USAID/Uganda’s 2016-2021 CDCS – in particular, IRs 1.3 (Enhance prevention of epidemics among the most vulnerable), 2.1 (Adoption of reproductive behaviors and practices increased), 2.2 (Child well-being improved), 3.1 (Leadership in development supported), 3.2 (Citizens activity participate in development), 3.3 (Key elements of the systems strengthened), and 3.4 (Improved enabling environment).

To support EPCMD efforts, USAID/Uganda will implement high service delivery interventions such as providing on-the-job training and mentoring, expanding lessons learned from Saving Mothers, Giving Birth, ensuring poor women have access to safe delivery, supporting the provision of a broad mix of family planning methods, and integrating nutrition and agricultural activities. These activities will be complemented by interventions that directly strengthen the health system by increasing health financing, ensuring citizens actively participate in their health outcomes, improving human resources for health (HRH), strengthening commodity and supply chain management (SCM), improving governance, and enhancing the use of data and information. These investments are closely aligned with the Ministry of Health’s national plan, and will make a significant contribution to achieving the objectives of both the HSSIP and the Sharpened Roadmap.

### Management requirements

USAID/Uganda implements five Presidential Initiatives: PEPFAR, PMI, GHI, FTF, and GCC. It is also a

focus country for A Promise Renewed, FP/2020, and SMGL. While each program offers unique opportunities to deepen the impact of USAID programming in Uganda, these programs also place an additional management and reporting burden on the mission.

Furthermore, Uganda's health system is plagued by inadequate resources, ineffective governance, and corruption. Insufficient GOU health sector financing and weak political resolve remain key constraints to delivering and improving the quality of health services. Uganda recently held elections, and politics will likely continue to affect the ability of the GOU to deliver services and engage in policy dialogue with USAID and other development partners.

## **Feed the Future**

Feed The Future (FTF) aims to raise farmers' incomes and to improve the nutritional status of Ugandans in 45 focus districts (38 core focus districts, plus 7 districts in Karamoja, the second zone of influence). USAID is pursuing an integrated value chain approach to improve productivity and incomes for farmers of three widely-grown crops that have strong market demand: coffee, maize, and beans.

Nutrition interventions influence policies, build the capacity and effectiveness of the GOU health systems, and support community-level integrated interventions. The objective is to achieve a 20 percent reduction in poverty and chronic malnutrition among the population in the zone of influence by 2017.

## **Programmatic and Policy Alignment**

The 2016-2021 CDCS expands two critical elements of FTF that were initiated under the prior 2011-2015 CDCS: 1) the systems approach to achieving sustainable impact; and 2) integration to achieve more holistic, inclusive and effective development. FTF has been pursuing a market systems approach towards achieving transformational change in the three focus value chains. Under the 2016-2021 CDCS, the mission will continue to focus on the key elements required for an efficient market system with a greater emphasis on the important role of leadership (in the public and private sectors), as well as improving channels for private sector and civil society engagement and participation. FTF has begun to implement integrated programming with several funding streams (GCC, DG, Nutrition, FFP, and Education). The integrated DOs under the 2016-2021 CDCS Results Framework will open up additional opportunities for improved integration to achieve FTF objectives.

## **Resource alignment**

FTF resources are critical to achieving the CDCS goal, "Uganda's Systems Are Accelerating Inclusive Education, Health and Economic Outcomes."

Agriculture is the mainstay of Uganda's economy, accounting for approximately 25 percent of GDP, employing 70 percent of the labor force, and providing 60 percent of total export earnings (World Bank 2015). Agriculture is also the main pathway out of poverty for Ugandans: agricultural growth contributed to 70 percent of the poverty reduction observed among panel households from 2006 to 2010 (Kaminski and Christiansen, 2014). The market system is plagued by structural inefficiencies

and distortions (50% of seeds are counterfeits, yields are less than 30% of potential productivity, and post-harvest losses are as high as 40%) which, if addressed, could lift millions out of poverty.

FTF is pursuing an integrated approach to addressing the fundamental causes of under-nutrition. This is critical to achieving the 2016-2021 CDCS goals, as indicators for stunting (33%) and underweight (14%) are high, and only 10 percent of children between six and 23 months of age consume a minimal acceptable diet.

Resources will be closely linked to IRs 1.2 and 1.4 to improve community resiliency, 2.2 and 2.4 to improve child wellbeing and increase economic productivity for youths, and to the entirety of DO3, which reflects the integrated nature of systems across the FTF initiative.

### **Management Requirements**

A priority will be to further develop the systems approach to achieving the FTF goals for poverty and nutrition. Initial work has also begun on identifying and tracking measures of systems and systemic change, but additional effort and technical expertise will be required.

### **Areas for Further Consideration and Feedback**

Focus value chains: We do not anticipate changing the focus value chains (coffee, maize, beans) for the 38 core districts. For the Karamoja region, we anticipate layering in a livestock pilot activity.

FTF Districts: The focus districts were originally chosen based upon poverty, malnutrition, and concentration of the three value chain crops. The mission will conduct an in-depth revalidation exercise considering potential synergies/complementarities with other activities, relative concentration of the focus crops within existing districts, and value chain market linkages. The mission will coordinate very closely with BFS during this exercise and seek clearance before any potential changes are made.

### **Global Climate Change**

The goal of USAID's Climate Change and Development Strategy is to *enable countries to accelerate the transition to climate resilient low emission sustainable economic development* through investments in clean energy and sustainable landscapes, increasing the resilience of people, places and livelihoods through investments in adaptation, and strengthening development outcomes by integrating climate change into USAID's programming and policy dialogues. USAID Uganda's climate change programming to date has focused on investments in adaptation designed to address the pressure that Uganda's agricultural households face as a result of the current and potential future impacts of climate change, based on the results of a 2013 vulnerability assessment. The climate challenges identified (including temperature increases, seasonal variations in rainfall patterns and the likelihood of increased extreme weather events), coupled with the continued deterioration of the natural resource base and eroding ecosystem services, and reduced access to land due to a rapidly rising population are anticipated to impact agricultural productivity and increase disease and post-harvest losses for FTF commodities, reduce water availability, thus increasing conflict (human and human-wildlife), and exacerbate the deterioration of transport and energy infrastructure. To address these challenges, the mission has focused on improving the ability of the Ugandan public sector, private sector and civil society to understand and

respond to climate change impacts on agriculture through improved education and research on climate adaptation, capacity support for national and local implementation of the National Climate Change Policy, and improved data quality, access, availability and use. The GOU has committed to mainstreaming climate change across sectors, and USAID's programming under this strategy will need to determine and address, as appropriate, climate risks and opportunities to address and/or reduce those risks. This will support the Executive Order on Climate Resilient International Development.

### **Programmatic and Policy Alignment**

Addressing vulnerabilities to climate change will be critical to Uganda's development, and this cuts across USAID's results framework. A DFID-funded study led by the Climate Development Knowledge Network estimated the cost of inaction in response to climate change to be more than 20 times the GOU's proposed adaptation budget in the Costed Implementation Strategy for the 2015 Climate Policy. Direct adaptation funding is a critical element for DOI's focus on increasing resilience, as it supports risk mitigation (e.g. weather forecasting to farmers) as well as adaptive capacity. In addition, addressing climate risk will be critical to support systems strengthening, and to address demographic drivers, as inaction is likely to undermine other investments.

Several examples of climate risks, and potential ways to address these risks through USAID's programming, are:

- Governance systems in Karamoja and other pastoralist areas may be at higher risk to climate change: prolonged droughts may push pastoralists to compete for water and pastures with neighboring communities in Kenya and South Sudan, and internally in Uganda, which could trigger internal and cross-border tensions. Programs that seek to support an enabling environment under DRG could partly support improvements in policy, legal, and institutional frameworks, and planning and budget allocation for climate change interventions across various sectors.
- HWC will be exacerbated by climate change, which is predicted to be among the leading drivers of biodiversity loss over the next century. Changes in climatic variables will reorganize ecosystems and force climate-sensitive species to disperse to more suitable habitats. Landscape management approaches that take into account these potential shifts will help reduce the risk of HWC.
- Diseases like malaria, trachoma, cholera, diarrhea and typhoid will likely increase in prevalence and distribution in new geographic areas due to temperature and rainfall changes, as well as extreme climate events like floods and droughts. Water scarcity and associated poor hygiene will likely cause water-borne diseases. Ongoing and new WASH and malaria programs will need to consider this in their design and implementation. Health program teams could support disease surveillance and early detection for timely response.

### **Resource alignment**

Strategic use of the mission's limited adaptation funds to catalyze action to address critical climate risks and to take advantage of the opportunities presented by integrated programs will be critical to the success of the 2016-2021 CDCS. USAID can learn from its experience in integrating climate



change responses into support for the agricultural enabling environment. Leveraging large FTF investments have increased the level of attention given to climate change, and ensured that adaptation activities have been integrated into the larger FTF portfolio. These lessons can inform USAID's future efforts to address those areas identified as high and medium risk for climate change throughout the program cycle. Moreover, the mission recognizes that developing a range of non-climate dependent livelihoods (e.g. trade, ecotourism and related service sector industries) is essential to building the resilience of Uganda as a whole.

GCC resources will be aligned across the results framework. Notably, IRs 1.1, 1.2, and 1.4 will be supported to increase household and community resilience; youth economic productivity (2.4) will be shaped by GCC initiatives; and the entirety of the DO3, systems, will be influenced by climate change integration.

### **Management requirements**

Executive Order 13677 on Climate-Resilient International Development requires USAID to assess and address climate risk across all of its investments. The Agency developed a "how to" note to support the implementation of this screening tool. The climate risk screening has helped the mission not only to identify the risks, but also to identify significant opportunities for addressing these risk via integrated programming. However, given the integrated nature of the 2016-2021 CDCS, there will be a significant need for further analysis as the mission determines how to operationalize the CDCS through project design, implementation and monitoring and evaluation. To facilitate this screening throughout the program cycle, the mission will be using a decision tree to determine where and how to further assess the areas identified as high and medium risk in the CDCS-level screening when detailed programming emerges.

### **Areas for Further Consideration and Feedback**

The mission has concerns that, beyond the Environment Unit, there are not appropriately numbers of trained staff to address climate risk screening at the project and activity levels. The mission will need to plan for improving the ability of staff across the mission to consider this in the design process. Training and other support from Washington could also be considered.

### **Power Africa and Trade Africa**

Power Africa/Uganda is a high-profile initiative that aims to add 1,000 MW of clean energy to Uganda's generation portfolio and 1,000,000 new connections by 2020. Power Africa/Uganda will promote the proliferation of both on-grid and off-grid connections (including mini-grids) and the creation of a robust enabling environment. Power Africa investments will help reduce GHG emissions as compared to the "business as usual" case.

USAID/Uganda will pursue strategic investments in reforming generation, transmission and distribution utilities. It will also focus on overcoming key financial obstacles to renewable energy projects through catalytic investments in feasibility studies and other advisory support for generation projects that have stalled, while also seeking out new transactions to build a pipeline of projects for further development. USAID/Uganda will support existing private sector players to leverage USAID/Uganda's existing

networks and partners to accelerate access to electricity across the country. Whenever possible, energy initiatives will be integrated into CDCS sub-IRs. For example, under IR 1.1, it is anticipated that a number of communities will identify energy access as a vulnerability; under IR 3.3, inadequate access to energy may compromise cold chains.

The Trade Africa Presidential Initiative has the goal of increasing internal and intra-regional African trade, as well as enhancing economic ties within regions and to other global markets. An enduring weakness of the East African Community is the lack of domestication of EAC-level agreements with partner States. USAID/Uganda's contribution to the initiative within the next five years will focus on domesticating EAC protocols. USAID will make efforts to ensure communities supported under IR 1.4 in diversifying and increasing assets benefit from the increased trade that will be facilitated.

### **Programmatic and Policy Alignment**

Activities under Power Africa/Uganda will increase electricity generation and connections and thus help accelerate education, health, and economic development goals. Activities will also complement existing USAID/Uganda efforts and investments, such as Feed the Future (FTF) activities, to increase access to inputs, productivity, post-harvest handling and markets. Improving the enabling environment for electricity generation, transmission and distribution/access, including in off-grid areas, intends to increase electrification and facilitate impact in key development sectors (health, education, agriculture and good governance). For Uganda's systems to become more accountable and responsive to the country's development needs, those systems must see key elements strengthened, including within the electricity supply industry. Service delivery, products and technology outputs, along with crosscutting information and research, require adequate electricity generation, transmission and connections. Power Africa/Uganda will directly contribute to the strengthening of key systems elements as well as the improving the enabling environment that supports systems.

Within the health system, electrification contributes to enhancing the prevention and treatment of epidemics, reproductive health and child wellbeing. Within education, electricity can support improvements in girls' education. Economically, by increasing electricity generation and connections, Power Africa/Uganda will contribute to an increase in community and household resilience and the economic productivity of youth. Energy crosscuts most of the activities USAID/Uganda carries out, and technical resources will contribute to an enabling environment and more inclusive development. The design and implementation of specific energy activities aims at to reach and impact youth, women, and farmers' groups.

### **Resource alignment**

Power Africa's model, which leverages large investments in the power sector, produces great economic and service delivery returns, and improves the functionality of local country systems overall. While resources are aligned appropriately to support the CDCS, more personnel resources are required to increase Power Africa/Uganda's impact.

## **Management requirements**

Power Africa is a transaction-oriented initiative, implying that a great deal of handholding and business development support will be needed. In addition, a great number of other electricity supply industry initiatives have recently been launched, requiring significant donor coordination. Power Africa has three separate M&E systems (the transactions tracker, the relationship management system, and the Power Africa central M&E system) that must be managed, in addition to the eventual USAID/Uganda CDCS M&E system. The accountability required for these systems is important to ensure Power Africa fulfills its mandate as a Washington-led initiative. In planning for the measurement and management of the 2016-2021 CDCS, already constrained staffing levels should be considered, and monitoring systems should be streamlined as much as possible.

## **Areas for Further Consideration and Feedback**

Power Africa has its own results framework, which is aligned with the 2016-2021 CDCS and vice versa. The Lab's Worldwide Priority 3 (LWP3), Beyond the Grid X (BTGx), is a collaboration with Power Africa, and is aligned with the BFS-Lab collaboration for LWP2, Digital Development for Feed the Future (D2FTF). Both D2FTF and BTGx complement each other in Uganda, where digital financial services and tools are accelerating FTF goals (especially access to finance); where these digital devices need electricity in rural areas, off-grid solutions such as solar home systems can be employed to power them.

## Annex 3. Description of the Geofocus Tiers

### Tier 1 – Foundation

Tier 1 acknowledges the existence of technical sector-specific constraints, and accepts their impacts on the flexibility of integration on a geographic scale: there are and will continue to be activities that are mandated to operate in certain areas due to pre-existing criteria.

Accordingly, the selection of geographic focal areas will be driven by technical, policy and congressional requirements.

### Tier 2 – Co-location+

The objective of Tier 2 is to take advantage of the overlap of sector-specific focus areas from Tier 1 and harness catalytic forces to generate greater development impact, through enhanced collaboration or colocation. Catalytic forces may include leadership, political will, private sector networks, landscape-level planning and coordination, urbanization trends, etc. and these forces will drive the strategic integration of interventions. This tier is intended to be flexible and may accommodate a variety of geographic units, not limited to districts or other political boundaries. It may also accommodate a diversity of combinations of investments from different technical sectors under each of the development objectives. This tier will allow the mission to cluster interventions at levels that USAID/Uganda can implement both strategically and effectively.

### Tier 3 – Areas of Intensity

Tier 3 constitutes the concerted integration of specific interventions into targeted “areas of intensity”. This approach will allow for highly integrated strategies that converge USAID resources so as to maximize the results that can be captured at a community or household level. The selection of targeted areas will be needs-based, but areas of intensity will not be limited to those areas that are only the most vulnerable, instead they will reflect the various patterns, drivers and characteristics of vulnerability throughout Uganda.

#### Priority corridors

Six priority corridors have been identified at the mission level in which USAID/Uganda will intensify collaboration with stakeholders to improve development results. These areas were selected based on the following criteria:

- Needs (where needs are the strongest in relation to the results framework)
- Historical Investments and earmarked projects (to build upon previous progress)
- Leadership Potential/Strong Partnerships (with local governments)
- Strategic Opportunities (based on demographic trends in economic growth/trade routes, urbanization, population growth, etc.)
- Other donors’ and GoU investments (seeking complementarities and to fill gaps)

The selection of these corridors was also based on an Urbanization Assessment report conducted by the Geocenter, which recommended programmatic focus on emerging urban centers and the effects of increasing rural to urban migration. The intensified collaboration will facilitate joint learning, jointly planned initiatives and leverage USAID and the Development Communities’ investments in the area.

- **Capital Corridor**

The capital corridor includes the largest urban areas in Uganda – Kampala and Entebbe. This corridor also includes the Wakiso and Mukono districts. The capital corridor is the most population dense area of Uganda. It is the home of the national government and center of commercial activity. Though infrastructure and economics are better in the capital corridor than other areas of the country, it faces unique challenges including urban slums with the highest concentrations of tuberculosis in the country, key populations for HIV/AIDS, and populations of orphans and vulnerable children.

- **Northern Urban Corridor**

Gulu is the central hub of the northern corridor. This corridor includes the districts of Gulu, Pader, Amuru, Lira, Apac, and Kitgum. The northern corridor is an emerging urban center, transportation hub, and commercial center. This corridor is different from others because it is a post-conflict area. The northern corridor remains more vulnerable than other areas of the country to instability and refugee influx from neighboring South Sudan. The Northern Corridor is diverse, yet has high concentrations of ethno-linguistic minorities.

- **Eastern Corridor**

Mbale is the central hub of the eastern corridor. This corridor includes the districts of Mbale, Tororo, Sironko, Manafwa, Jinja, and Iganga. Mbale, like Gulu, is an emerging urban center, transportation hub, and commercial center. The eastern corridor includes the main passages between Kenya and Uganda. The eastern corridor also links business between Kenya and South Sudan. It is generally vulnerable, especially to HIV/AIDS, and less developed than the neighboring central region.

- **Southwestern Corridor**

The southwestern corridor includes the urban hub of Mbarara, which is rapidly urbanizing and expanding as a commercial center. This corridor also includes the largely agricultural districts of Kisoro, Kabale, Kanungu, Bushenyi, Kiruhura, and Isingiro. The southwestern corridor produces agricultural products from crops to livestock yet also house vulnerable populations susceptible to malnutrition, HIV/AIDS, malaria, and food insecurity. The southwestern corridor facilitates cross-border trade with Rwanda and DRC. The western part of Uganda, which could be incorporated into USAID collaboration in the Southwestern Corridor, includes the urbanizing areas in Kasese and Hoima which are home to emerging economic areas, key zones of biodiversity and the country's slowly emerging oil sector. This area is home to large refugee populations including many from the neighboring Democratic Republic of Congo (DRC) yet it remains more stable than districts in the northern corridor.

- **Karamoja**

Karamoja is an isolated and extremely vulnerable area of northeastern Uganda. Karamoja is sparsely populated and no part of Karamoja is an urban center, though there are towns including Kotidi, Kaabong, and Moroto. Karamoja lags far behind every other district in Uganda in human development indicators. The people in Karamoja are largely pastoral and in many cases nomadic. Karamoja is also a post-conflict area, though its history of pastoral conflict is separate from the battle with the Lord's Resistance Army in the northern corridor.

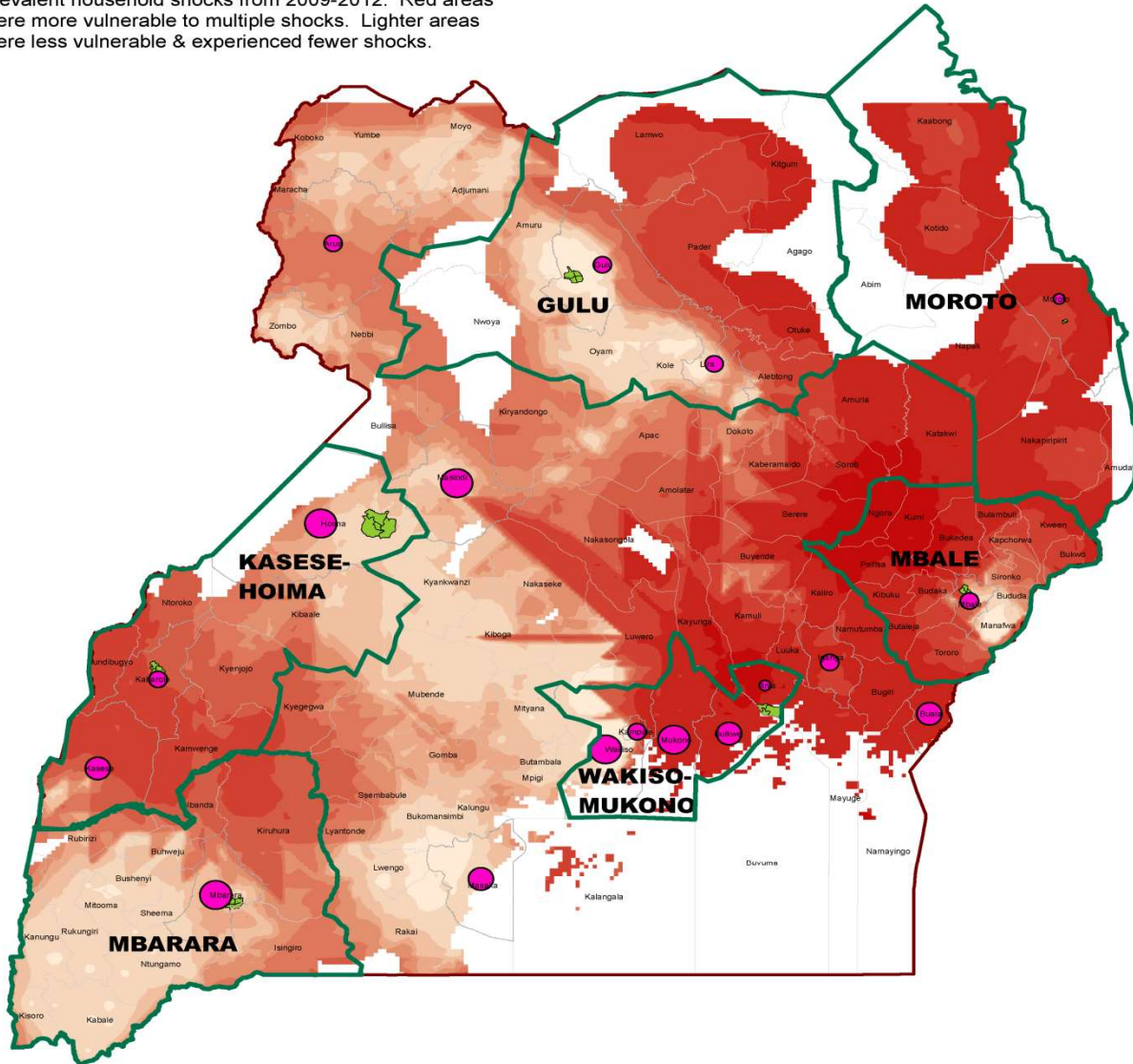
- **Western Corridor**

The western corridor includes Fort Portal and the urbanizing areas in Kasese and Hoima are home to emerging economic areas, key zones of biodiversity and the country's slowly emerging oil sector. It is a focus area of the National Development Plan II which has plans for infrastructure and other investments. The western corridor is home to large refugee populations including many from the neighboring Democratic Republic of Congo (DRC) yet it remains more stable than refugee districts in the northern corridor. Stunting, youth in the informal sector, crimes against children, girls' marriage, and prenatal mortality are all comparatively high and the under five mortality rate

has been increasing in recent years.

**Household vulnerability varies with geography**

Drought & health shocks were the top two (out of six) most prevalent household shocks from 2009-2012. Red areas were more vulnerable to multiple shocks. Lighter areas were less vulnerable & experienced fewer shocks.



**Legend**

- Regional Corridors
- National Boundary
- District Boundary
- Current Municipality Boundaries

**Urban Growth Rate (2002- 2014)**

- 0.10 - 0.20
- 0.21 - 3.0
- 3.1 - 5.3
- 5.31 - 11.9

Data Source(s)  
Admin boundaries- UBOS-2010  
Data: Population Trends- UBOS-  
Names and boundary representation are not necessary authoritative  
November 2016



## **Annex 4. Guiding Principles**

The learning process has led to the establishment of a series of Guiding Principles for the design and management of the 2016-2021 CDCS. These principles set out the most important considerations and preferred practices for this strategy and will position USAID/Uganda to best leverage its resources to create lasting change. These Guiding Principles will assist the mission in implementing, monitoring and adjusting all aspects of the strategy. They represent approaches that the mission will apply across all portfolios, throughout the life of the strategy. Several of these principles are mutually reinforcing, or represent different lenses on the same approach. They should be considered the ‘how’ of what USAID does in Uganda.

The Guiding Principles have evolved in response to lessons emerging from implementation and contextual shifts. They will be tailored to each program and process, as appropriate. They should become a guide for project design or re-alignment, implementation, resource management, monitoring, evaluation, learning and adaptation.

### **Guiding Principle 1: Apply a holistic approach to Collaborating, Learning & Adapting**

Throughout the program cycle, and through organizational leadership and resilience, the mission will:

- Collaborate internally to enable cross-sector integration, problem convergence, enhanced development results, and resilient, effective teams; collaborate externally to maximize limited U.S. government resources, build trust and engage stakeholders;
- Learn systematically, using appropriate data and revealing tacit knowledge to inform and improve programming, management approaches, operation processes and staff engagement;
- Adapt with shifts at activity, project and strategy levels, requiring incentives and behavior changes.

The strategy will be iterative, flexible and responsive to the development context, incorporating ongoing analytical approaches to inform adjustments, addressing development challenge root causes from a long-term perspective.

### **Guiding Principle 2: Ensure broad and inclusive stakeholder engagement throughout the program cycle**

The mission will devote time and resources for effective consultation with stakeholders, to inform project design, monitoring and management. The mission will listen to community needs, solutions and results (to inform U.S. government investments), while encouraging community-led development.

### **Guiding Principle 3: Harness youth-appropriate approaches so that they are included in all we do**

Given the current demographic structure of Uganda's population, incorporating positive youth development into USAID/Uganda program strategies is critical to both youth-centered results and the overall five-year strategy. Youth engagement in design, implementation, monitoring and evaluation are important for the success of the entire program, and must be incorporated into the mission's Program Cycle.

### **Guiding Principle 4: Infuse and prioritize inclusive development – including but not limited to gender empowerment – throughout the portfolio to empower women, youth, indigenous peoples, LGBTI and People with Disabilities.**

The mission will seek to move well beyond gender-aware programming to meaningfully engage and ensure benefits to other marginalized populations in Uganda such as youth, indigenous peoples, LGBTI and Persons with Disabilities. The mission will prioritize analytical and design approaches, management and monitoring tools, and staff and partner capacity-building that seek to incorporate a truly inclusive development approach. This approach will explore an array of interventions, build on evidence, and focus on the unique needs and opportunities of respective systems. The mission will build connections with issues related to youth, household and community-based strategies.

### **Guiding Principle 5: Seek to 'do business differently' when current mechanisms, concepts, operations and tools do not work**

The mission will take informed risks beyond typical implementation modalities, organizational structures and stakeholder engagement mechanisms when those risks lead to greater opportunities to achieve intended results. The mission will cultivate a cultural acceptance of informed risk taking for more effective, efficient, inclusive and sustainable development operations and programming.

### **Guiding Principle 6: Prioritize partnerships that enable Ugandan-led development**

The mission will prioritize partnerships led by Ugandans and Ugandan institutions and which leverage USAID resources to achieve its strategic goal. The mission will mobilize partner resources, expertise and market-based solutions to improve social and economic conditions. The mission will co-create with non-traditional partners that fully comprehend the Ugandan development context. The mission will partner to conduct systems-level assessments, push facilitative approaches, and develop a long-term view. The mission will partner with USAID Global Development lab and other agency mechanisms to achieve greater impact through learning what works in Uganda's development context.

### **Guiding Principle 7: Pursue integrated approaches at various levels when and how it makes sense**

The Agency and its development partners have recognized that complex development contexts need integrated solutions. The mission has witnessed the results of integrated programming within OVC, vulnerable populations and health service delivery programming. Research suggests that there is broad experience with integrated approaches but yet limited evidence of its value in comparison to separated



efforts. Considering transaction and management costs, the mission proposes to build integrated programming when and how it makes sense, testing and learning from integrated approaches over the course of the strategy's implementation. The mission has prepared an integration spectrum which will guide staff in considering roles, resources and operational requirements for integrated approaches throughout the program cycle.

#### **Guiding Principle 8: Reinforce strategic choices with selectivity and focus in multiple dimensions**

In line with the Agency's commitment to 'selectivity and focus', the mission will select critical development issues within its capabilities, focusing on the causal level, applying a limited, resource envelope. The mission will also focus on its fit within the donor partner landscape, keeping an active dialogue with its partners. The mission's fit will be tested during design and strengthened through donor working groups and analytical systems mapping.

The mission will use a multi-tiered geographic focus which recognizes presidential initiative requirements, seeks collaboration opportunities and prioritizes areas of convergence.

#### **Guiding Principle 9: Maintain a problem-driven focus, while ensuring all program approaches analyze and adjust to the local context, at whatever level is required**

The mission will consistently interrogate its problem analysis as part of a living strategy, designing and promoting new methods to understand and address the root causes of development challenges. The mission will study context: cultural, social and historical dimensions which incentivize or counter-incentivize development progress. The mission will invest in analysis that captures landscape dynamics and regional differences that affect USAID/Uganda interventions.

#### **Guiding Principle 10: Build in – don't bolt on – Science, Technology, Innovation and Partnership (STIP)**

With partners, the mission will leverage science and technology to improve results, sustainability and local systems. The mission will incorporate innovative approaches to programming and encourage innovation in the overall Ugandan development context. The mission will seek partners, perspectives and experience which enhance results. The mission will advance USAID Forward, working closely with the USAID Global Development Lab and Bureau for Policy, Planning and Learning to apply promising, innovative approaches to development planning, design, management and oversight.

#### **Guiding Principle 11: Apply a facilitative approach to development, and minimize direct service provision over time**

An ongoing emphasis will be put on applying a 'light touch' to strengthening local systems – including institutions, relationships, and individual actors, while recognizing the need for direct services and system 'reboots' when current systems are failing.

### **Guiding Principle 12: Emphasize operational considerations throughout the strategy lifecycle**

The mission will invest in the operational process of overcoming development challenges through appropriate resources, efficient management and seized opportunities, ensuring a consistent link between the mission's vision and its five-year strategic goal.

### **Guiding Principle 13: Incorporate anti-corruption mechanisms across the portfolio**

The mission will build a culture of transparency, accountability and integrity among implementing partners and beneficiaries and encourage stakeholders to take action to prevent corruption.

### **Guiding Principle 14: Model strategic communications for transparency and accountability, stimulating others to do the same**

The mission will share program approaches, results and costs with local actors, officials and communities to increase accountability for its investments. These efforts will also contribute to the intermediate results of enhanced citizen participation in development, driving demand for accountability toward local leadership.

### **Guiding Principle 15: Foster leadership as a lever for change – within the Agency, with partners and with stakeholders**

The mission will seek opportunities to strengthen the leadership skills and behaviors of mission staff, partners and stakeholders to achieve its strategic goals.

The mission will operationalize these principles through design checklists, principle champions, Program Office coordination and periodic monitoring through desk reviews and field visits.

## Annex 5. Lessons Learned from Stocktaking

**Demographics drive development.** The single biggest challenge to Uganda’s ability to achieve long-term sustainable development is its present rate of population growth, which is far beyond the absorptive capacity of its current economy, social structures, and governance system. Furthermore, neither the Government of Uganda nor USAID/Uganda has given appropriate consideration to the “youth bulge” which, depending on Uganda’s progress toward development, could hold either enormous potential or dire consequences for Uganda’s future.

Uganda requires a **long-term transformation** towards sustainable development which should be measured in decades rather than in years. A long-term perspective should, thus, inform USAID/Uganda short-term strategic choices.

Uganda’s most critical development challenges are both **highly dynamic and closely interrelated**, and programmatic response to these challenges should be equally so: When integration is successfully built into project and activity designs, and deliberately managed in implementation, results of USAID programs have been transformational. A complementary finding is the importance of working with a broader range of stakeholders to achieve transformative impact.

USAID/Uganda’s understanding of the development context must be **evidence-driven, adaptive and contextually-based**, with a participatory learning process at its core: All key assumptions and development hypotheses must be subject to continuous interrogation. The comprehensive application of a deliberate Collaboration, Learning and Adapting (CLA) approach to programs achieves more and better results, but requires investment in staff development to become part of the mission’s organizational and management culture and to enable programmatic shifts.

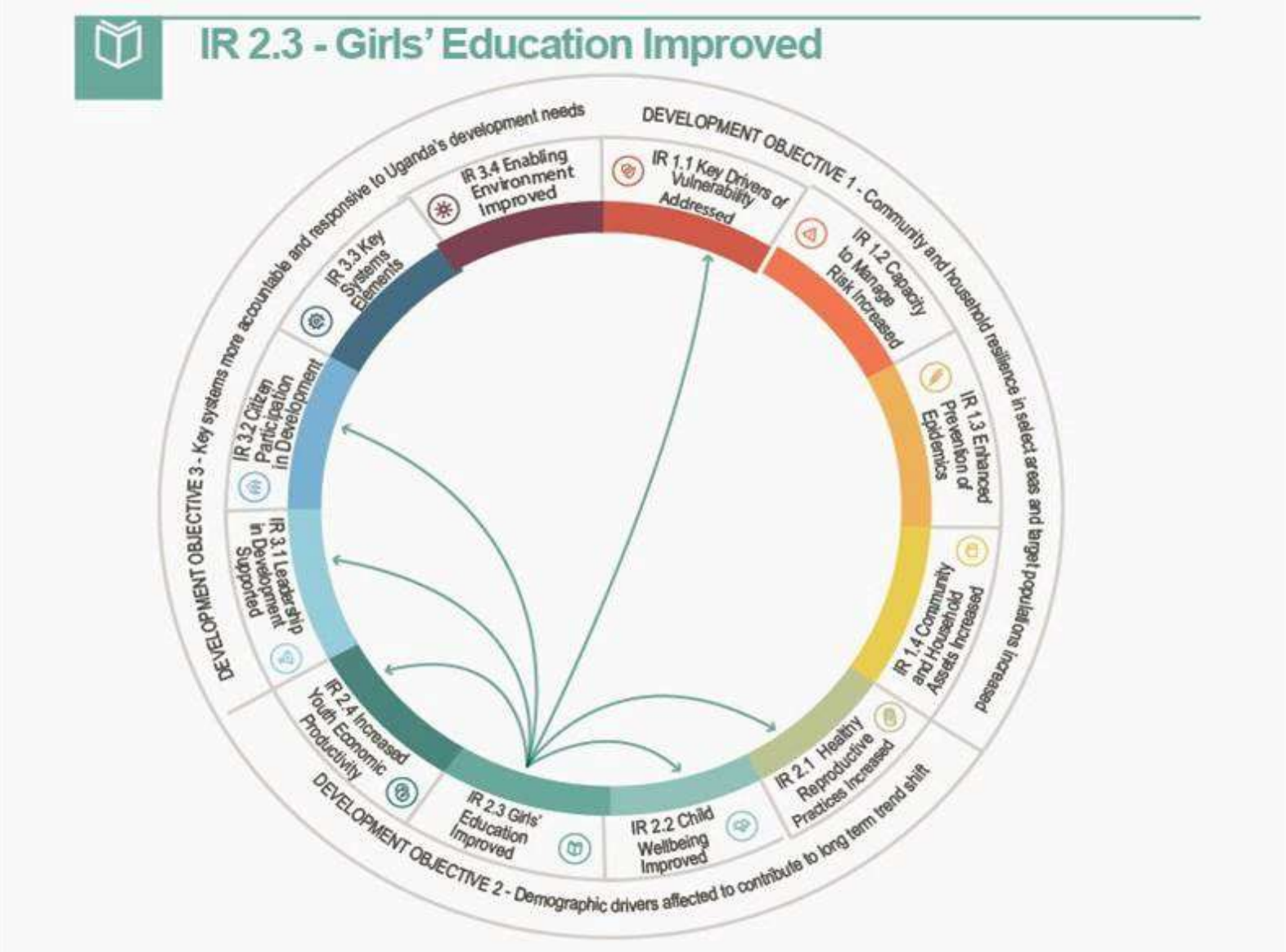
Development assistance is most successful when it is based on **a complete, accurate and ongoing understanding of the political economy and its systems**, and the catalytic role that **leadership** can play in achieving the type of change required.

USAID/Uganda development partnership with the Government of Uganda must take into account **the transactional nature of the Government** and the limits this generates on Ugandans’ capacity to build effective systems at the national and local levels. To balance this, it is necessary to identify and empower champions of reform and, based on an understanding of political economy dynamics, to structure support in ways that institutionalize reforms.

There needs to be a **shift from the output-driven service delivery model** of some USAID programs, which focuses on counting the number of services delivered, towards a model that focuses on measuring the effectiveness of service systems, so that short-term outputs contribute rather than undermine sustainability.

Strategic success and Uganda’s development require inclusion. Women, youth, and other typically excluded populations need meaningful participation, contribution and leadership for everyone to succeed. **If their needs are not met, then Uganda’s needs are not met.**

Annex 6. Wheel of IR Connections: Interrelated Results in Girls' Education





## IR 2.3 - Girls' Education Improved

