

**REPUBLIC OF UGANDA**



**GUIDELINES FOR THE DEVELOPMENT OF  
PROGRAMME IMPLEMENTATION ACTION  
PLANS AND MINISTRY, AGENCY AND  
DEPARTMENT PLANS**

**SECOND EDITION**

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## **ABBREVIATIONS AND ACCRONYMS**

AWP	Annual Work Plan
BFPs	Budget Framework Papers
CBOs	Community Based Organization
CoC	Certificate of Compliance
CNDPF	Comprehensive National Development Planning Framework
CRRF	Comprehensive Refugee Response Framework
DP	Development Partner
DRM	Disaster Risk Management
DRR	Disaster risks reduction/response
EAC	East African Community
EOC	Equal Opportunities Commission
HRBA	Human Rights based Approach
LG	Local Government
MDA	Ministry, Department and Agency
MoFPEP	Ministry of Finance Planning and Economic Development
MPS	Ministerial Policy Statements
MTR	Midterm Review
NDP	National Development Plan
NHRPF	National Human Resource Planning Framework
PIAPs	Programme Implementation Action Plans

## GLOSSARY OF KEY WORDS AND TERMINOLOGIES

**Programme:** A programme refers to a group of related interventions that are intended to achieve common outcomes within a specified timeframe. Programmes have been identified on the basis of key development issues that need to be addressed to achieve the overall goal, objectives of NDP III along with corresponding strategies of NDP III and aspirations towards achievement of Uganda Vision 2040.

**Sub-programme:** A disaggregated groupings of interventions within the program concerned. Sub-Programmes, just like Programmes, should be results based and aim to achieve more concrete results and direct impacts.

**Programme Implementation Action Plan:** This is a results-oriented actor-specific plan for achieving the objectives of a respective NDPIII programme. It provides details of the activities and resources required to deliver the NDPIII programme results.

**Outcome:** An outcome represents a specific result a programme is intended to achieve.

**Intermediate outcome:** An intermediate outcome or intermediate result is a critical outcome or result that must occur in order to reach the higher-level, end outcome/objective.

**Output:** Products and services delivered. Completed product of a specific activity, whether executed internally by the organization or by an external stakeholder.

**Indicator:** An indicator is an instrument that is used to measure change over time. This can be at impact, outcome, intermediate outcome and output level.

**Action:** Individual tasks of work processes undertaken in the production and delivery of outputs.

**Strategic Plan:** Represents an integrated set of strategic goals and operational objectives and activities needed to achieve a desired result.

**A baseline situation/condition:** A situation at a certain moment, and can be used as a reference point to establish trends (e.g. as a result of policy, programme and project intervention/s).

**Cross-cutting issues:** These are issues that can contribute to accelerating or derailing the progress of development across many MDAs. They are; gender, environment, human rights, equity, disability, nutrition, accountability and anti-corruption, population and science, innovation and information and communication technology. Others are; child health, social protection, climate change, HIV/AIDS, culture, and disaster preparedness.

**Short Term:** A planning period between 1 and 3 years.

**Medium Term Planning:** The type of planning that usually takes a period of 5-10 years.

**Long-term planning:** The inspiration type of planning and usually for a period of not less than 10 years.

**Planning Call Circular:** This is the official written communication specifying the procedures, processes, timeframes and roles and responsibilities involved in a planning cycle by national and local government units. In Uganda, Planning call circulars are issued by the National Planning Authority at the start of each planning cycle.



**Coordination:** The process of ensuring that different organs or actors work together in harmony to achieve a common or shared goal.

**Environmental sustainability:** The management and protection of the ecological system in such a condition and to such a degree that atmospheric functions are maintained over time, at levels sufficient to avoid and reduce risks of future catastrophes, and which give future generations the opportunity to enjoy an equal measure of utilization of environmental functions.

**Programme:** A group of related projects, services or activities directed towards the attainment of (usually similar or related) objectives within a specified period of time.

**Project:** A planned undertaking, designed to achieve certain specific objectives within a specified period of time. A set of activities constitute a project.

**Sustainable development (SD):** A process of change in which the exploitation of resources, the direction of investments, and the orientation of technological development and institutional changes are in harmony, and enhance both current and future potential to meet human needs and aspirations.

**Sustainable development (SD) dimensions:** the ecological, social, economic (and institutional) issues involved in defining sustainable development.

## **FOREWARD**

The Uganda Vision 2040 whose aim is to transform the country from a peasant to a modern and prosperous Country within 30 years is an all-encompassing perspective plan and guide for development planning in the country. As outlined in the country's Comprehensive National Development Planning Framework (CNDPF), the Vision is to be operationalized through National Development Plans (NDPs) which in turn are implemented through Sector and Local Government Plans. It is therefore the responsibility of sectors, Ministries, Departments and Agencies (MDAs) to formulate policies, strategies and programmes consolidated into Sector Development Plans that are aligned to the NDPs in order to realize the Vision aspirations.

As provided for in the National Planning Authority (NPA) Act Section 7 (2a, 2b and 2c), development planning in the country is to be undertaken in consultation with and under the guidance of NPA. To this end, the Authority produced the Sector Development Planning Guidelines in 2015 to guide the sectors and MDAs in development of their plans. The overall aim of the guidelines was to ensure harmonized development of SDPs and MDA plans which are aligned to the NDPs in terms of timeframe, objectives, strategies and programs.

The 2015 guidelines have been instrumental in the development of the Sector, Ministry and Agency plans (2015/16 to 2019/20) that are aligned to the second NDP. The Certificate of Compliance Assessment undertaken by NPA found that out of the sixteen sectors, fifteen have development plans aligned to the NDPII. At the MDA level, out of the 135, 81 percent have plans aligned to the NDP. This notwithstanding, a number of developments have emerged that have implications on the planning process. Key among these include the adoption of the National Human Resource Planning Framework (NHRDPF), the enactment of the Public Finance Management Act (PFMA), 2015, the shift to programme based planning and budgeting, among others. These guidelines have therefore been revised to incorporate these changes and to enhance their usability.

On behalf of Government, the National Planning Authority and on my own behalf, I wish to thank the various stakeholders who provided valuable contributions toward the revision of these Guidelines. Specifically, I wish to extend my recognition and gratitude to the Authority, Management and the technical team of the National Planning Authority for providing the technical support and quality assurance of the guidelines. In a special way, I would like to thank UNDP for the continued financial and technical support to NPA, and specifically for funding the revision of these Guidelines.

These guidelines are intended to support the formulation of standard Programme Implementation Action Plans (PIAPs) and Ministry, Department and Agency (MDA) Strategic Plans which will not only facilitate harmonious implementation of the plans but also support effective monitoring and evaluation of progress of implementation and therefore achievement of objectives of National Development Plan and aspiration of the Uganda Vision 2040. I therefore call upon Ministries, Departments, Agencies and all other stakeholders to utilize these guidelines in the development and implementation of their Strategic Plans.

For God and my Country,

**Pamela Mbabazi**

Chairperson, National Planning Authority

## **SECTION ONE:**

### **INTRODUCTION**

#### **1.1 Background**

Uganda's development planning processes are guided by the Comprehensive National Development Planning Framework (CNDPF) adopted by Cabinet in 2007, to guide short, medium, and long-term integrated development planning. Accordingly, a 30-Year Vision (the Uganda Vision 2040) was developed and is to be implemented through a series of three 10-Year National Development Plans and six 5-Year National Development Plans (NDPs) that respectively entail 10-Year and 5-Year development strategies and priorities (including programs and projects). The production of these plans is also in line with the National Human Resource Development Planning Framework (NHRPF).

To-date, two 5-Year NDPs have been developed and implemented. These include; NDPI (2010/11-2014/15) which focused on attaining growth, employment and socio-economic transformation for prosperity, and NDPII (2015/16 – 2019/20), which is in the final year of implementation is focusing on strengthening Uganda's competitiveness for sustainable wealth creation, employment and inclusive growth.

The motivation of developing these guidelines stems from the NPA Act 2002, CNDPF and the NHRPF. The Act requires NPA to produce comprehensive and integrated development plans in terms of a perspective vision and the long and medium-term plans. NPA is mandated to develop national and decentralized capacities for development planning, [NPA Act 2002, Section 7(2) (d)] through standardizing planning processes, issuance of planning guidelines, as well as retooling and training of planners at sectoral and local government levels. In addition, the Authority issues a Certificate of Compliance (CoC) that ensures alignment of sector and local government planning and budgeting frameworks with the national development plans. This is a requirement under PFMA Act 2015 section 13 (6) and 13 (7).

In 2015, NPA produced the Sector Development Planning Guidelines (SDPGs) to facilitate production of the Sector Development Plans (SDPs) that are aligned to the second National Development Plan (NDP II). This followed a Mid-term Review of NDP I which revealed that a number of sectors did not have SDPs and for the sectors that had them the process of their development was not guided by a common planning framework across sectors. Over the NDPII period, sectors were able to produce plans aligned to the NDPII. The Certificate of Compliance (FY2018/19) found that out of the sixteen sectors, fifteen have development plans aligned to the NDPII. At the MDA level, out of the 135, over 60 percent have plans aligned to the NDP. The guidelines were therefore been instrumental in guiding Ministries, Departments and Agencies (MDAs) in development of individual strategic plans.

At the time of formulating the guidelines, consideration was made to enable integration of complementary planning tools including international development agenda such as the Agenda 2030

Sustainable Development Goals (SDGs), Africa Agenda 2063 and the East Africa Vision 2050, among others. However, during the course of implementing NDP II, new developments emerged that were not anticipated at the time of designing sector development planning guidelines. Uganda committed to the achievement of different Global and regional development agendas that needed to be integrated into the national planning frameworks. These include harmonized framework for implementation of SDGs, Africa Agenda 2063, Instabul program of Action, and international focus on disaster risk response and refugees, respectively articulated in Disaster Risk Management (DRM) and the Comprehensive Refugee Response Framework (CRRF). At the national level, changes have taken place in the policy and legal framework such as the approval of National Human Resources Development Framework (NHRDF) and National Planning Authority (Development Planning) Regulations, and a number of emerging guidelines for cross-cutting issues have also been developed such as disability guidelines, climate change, nutrition and integration of refugees.

In addition, the third National Development Plan (NDP III) that will guide national development agenda for the next five years 2020/21 -2024/25 has adopted a programme approach to planning and budgeting. The NDP III brings on board reforms in planning, coordination and delivery of services – in respect to Programmes (which have replaced sectors) and MDAs, the requirement for articulation of the goal, objectives and interventions of national programmes relevant to the MDA, as well as development of prefeasibility and feasibility studies for projects to enlist in the public investment plan for NDP III.

It is against this background, that these guidelines have been revised based on the lessons learnt from use of these guidelines as well as the emerging developments that have impacted the planning frameworks. The revised guidelines will support harmonized development of Programme Implementation Action Plans and MDA plans which are aligned to the National Development Plans with regards to timeframes, objectives, strategies and programme outcomes.

## **1.2 Purpose and objectives**

The purpose of these guidelines is to enhance synchronization of decentralized development planning processes and production of PIAPs and MDA Strategic plans for Uganda.

Specific objectives are to:

1. Provide an integrated framework for development of PIAPs and MDA strategic plans to ensure that the plans support achievement of aspirations of NDPIII and the Uganda Vision 2040;
2. Clarify the institutional framework governing programme planning as well as MDA strategic planning in Uganda and spell out the key stakeholders and their roles in the decentralized planning framework;
3. Articulate a strategic planning process and cycle as specified in the National Planning Authority (Development Plans) Regulations 2018;
4. Support the Programme Working Groups and MDAs to promote inclusiveness, participation and accountability as well as compliance with relevant international frameworks;
5. Provide a structure for the PIAPs and the MDA Strategic Plans.

### **1.3 Users of the Guidelines**

The primary users of the guidelines are units and individuals responsible for coordinating production of the strategic plans. These include:

- i) Programme Working Groups (PWGs)
- ii) Designated PWG Secretariats;
- iii) MDA Policy and Planning units;
- iv) National Planning Authority Programme and MDA coordinators;
- v) Development Partners in aligning their country assistance strategies to NDP III priority programs and projects;
- vi) MFPED – benchmarking the requirements for alignment of plan and budget;
- vii) Office of the Prime Minister for performance coordination of programmes and MDAs
- viii) Planning units for Local governments– expected to use the guidelines as reference materials especially in relation to benchmarking of their LG planning guidelines;
- ix) Civil society organizations, faith-based organizations, and community-based organizations;
- x) Private sector organizations and enterprises that would wish to integrate their activities within programme and MDA plans;
- xi) Citizens that are required to participate in the primary stages of the planning process to ensure that their needs form the basic foundation for development planning;
- xii) Researchers and academia – use the guidelines as the basis for formulating research questions and guiding diagnostic and evaluative studies.

### **1.4 How to use the guidelines**

The guidelines should be cited as the Programme Implementation Action Plan and MDA Strategic Planning Guidelines, 2020. These planning guidelines will serve as the overarching toolkit for facilitating PWGs and MDAs in production of their PIAPs and strategic plans. However, in an attempt to keep the guidelines precise and concise, and where complementary guidelines already existed some details were left out and these can be obtained from cross-referenced materials. In addition, the guidelines should be utilized in their entirety including amended schedules/annexes and cross-referenced materials. To ensure that users understand and uniformly apply the terms, concepts and practices, a glossary of key terms has added to the guidelines.

### **1.5 Structure of the guidelines**

The guidelines are divided into four sections for ease of use by the intended users.

**Section 1: Introduction.** This Section provides a brief background to the guidelines, the purpose and objectives, scope, the intended users, the principles of the guidelines.

**Section 2: Legal, Policy and Institutional Framework.** This Section outlines an overview of the regulatory and policy frameworks, development planning ecosystem covering global and regional agenda, as well as the institutional coordination arrangements for the national development planning in Uganda.

**Section 3: Development of Programme Implementation Action Plans.** This describes the process of development of the PIAP.

**Section 4: Development of MDA Strategic Plans.** This describes the process of development of the MDA Strategic Plans.

## **SECTION TWO:**

### **LEGAL, POLICY AND INSTITUTIONAL FRAMEWORK UNDERPINNING THE PLANNING PROCESS**

#### **2.1 Legal and Policy Frameworks**

##### **2.1.1 Legal Framework**

The legal and regulatory frameworks provide a basis and context in which development planning should be undertaken. The regulatory framework also bestows planning mandates, responsibilities and functions to various actors. This section identifies and presents the various legal and regulatory frameworks underpinning development planning in Uganda.

##### **i The 1995 Constitution of the Republic of Uganda (Amended 2005)**

Under the National Objectives and Directive Principles of State Policy, the Constitution of Uganda section XII provides for Balanced and equitable development. Sub Section (i) asserts that the State shall adopt an integrated and coordinated planning approach. Article 176, (2b) of the Constitution of the Republic of Uganda (1995 as amended) adopts decentralization as the principle applying to all levels of local government and, in particular, from higher to lower local government units to ensure peoples' participation and democratic control in decision making.

In order to actualize, the integrated and coordinated planning, the constitution under Article 125 provides for the establishment of the National Planning Authority (NPA) as the overall statutory agency responsible for coordination of the national development planning processes and production of National Development Plans in Uganda.

##### **ii National Planning Authority Act 2002**

NPA Act 2002 establishes the National Planning Authority (NPA) and mandates it with production of comprehensive and integrated national development plans elaborated in terms of perspective vision, long and medium-term development plans. The Act under section 8(1) designates the Authority as the national coordinating body for decentralized planning and under section (5) the ministry or sector shall prepare a plan and shall submit to the Authority whose duty shall be to harmonize all the plans from various ministries or sectors for the purpose of formulating a national plan. NPA is mandated to produce consolidated national development plans that integrates plans and strategies for sectors and local governments.

The Act under section 7 (2) (d), obliges NPA to support development capacity for national planning and in particular provide support and guidance to the national and local bodies responsible for decentralized planning processes.

It is in line with this obligation and responsibility that these planning guidelines have been developed.

### **iii Local Government Act, Cap 243**

The Local Government Act, Cap 234 (Sections 96 & 97) mandates and obliges line ministries to offer policy and technical guidance and advice, support supervision, advise on projects involving direct relations with local governments, and establishment of minimum national standards of service delivery in the sectors under their jurisdiction.

### **iv The National Physical Planning Act, 2010**

The NPP Act 2010 (section 6(1)) calls for integration of physical planning with social and economic planning at the national and local levels.

The entire country has been designated as the national physical planning area. It is therefore pertinent that sectors understand physical planning requirement so as to better situate/localize their development priorities. Moreover, Uganda is experiencing a high rate of urbanization estimated at 5.2% per annum. About 20% of Uganda's population lives in urban areas and it is projected that, by 2050 about half of Uganda's population will be living in urban areas. A planned urbanization process leads to orderly urban centres which are a catalyst and contributors towards national economic growth, centres for innovation and entrepreneurship and a source for high social services.

### **v The Public Finance Management Act (PFMA), 2015**

Sections 13(6) requires that the Annual Budget shall be consistent with the NDP, the Charter of Fiscal Responsibility and the Budget Framework Paper. The PFMA provides the cycle and timelines for development and approval of national, sectoral and local government workplans and budgets. The PFMA articulates the symbolic relationship between planning and budgeting. It is therefore critical that the budgeting process is preceded with thorough planning and work programming. Effort has been made in the guidelines to harmonize the planning and budgeting cycles.

### **vi National Planning Authority (Development Plans) Regulations, 2018**

The regulations operationalize the NPA Act (2002) by providing guidance on processes and procedures for preparation, development and integration of the national, sectoral and local government development plans. It requires sectors to prepare five-year sector development plans consistent with the goals and objectives of the long term and medium-term national development plans. It further prescribes what sector development plans should contain. It requires a Sector Development Plan to provide strategic direction of the sector for the planning period in line with the medium-term.

In particular, the regulation spells out processes, procedures and systems for facilitating: (i) multi-sectoral planning, (ii) integration of economic, social and spatial planning, (iii) harmonized development of programs and projects, (iv) integration and mainstreaming of cross-cutting issues in development planning and (v) monitoring and evaluation of development plans. The regulations are purposed in ensuring that sector and MDA development plans are aligned to the overall national strategic direction and enhancing inter government institutional linkages and synergies in planning.



Section 16 of the Regulations obliges sectors to prepare five-year sector development plans consistent with the goals and objectives of the long term and medium-term national development plans. It further prescribes what sector development plans should contain. The sector development plan shall:

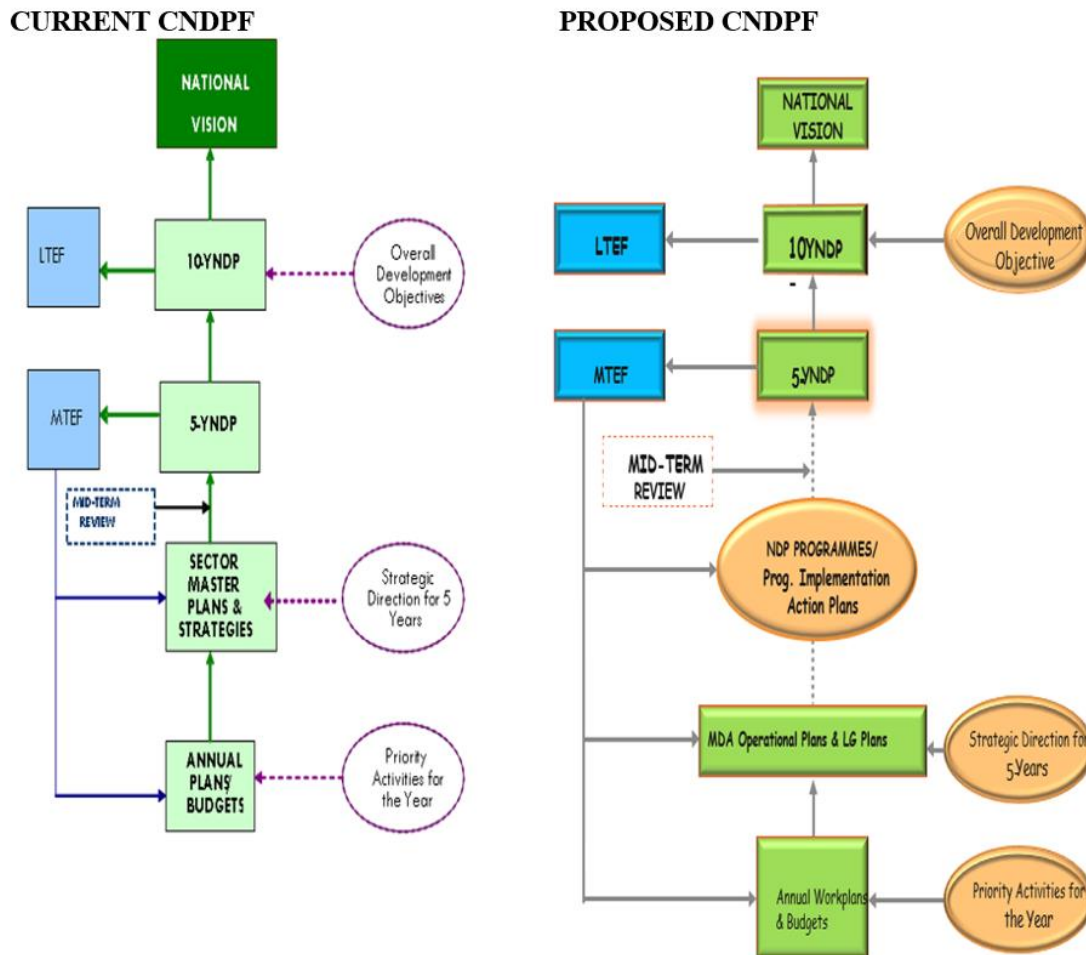
- i) Provide strategic direction of the sector for the planning period in line with the medium-term national development plan.
- ii) Highlight its contribution towards the realization of the medium-term national development plan.
- iii) Specify the objective, strategy for achieving the objective, intervention, key activities as well as target indicators to achieve the desired results identified in the sector.

### **2.1.2 The Policy Framework**

#### **i Comprehensive National Development Planning Framework**

The overarching policy framework for development planning in Uganda is the Comprehensive National Development Framework (CNDPF), which was adopted by Cabinet in 2007. The CNDPF outlines instruments and systems guiding development planning at national, sectoral and local government levels. It further articulates principles and practices to be followed in developing national and decentralized long term to medium term plans.

**Figure 1: Current and Proposed CNDPF**



The CNDPF remains the overall strategic document guiding the country towards achievement of the Uganda Vision 2040 through a series of NDPs. The adoption of the programme approach to planning and budgeting led to the introduction of the Programme Implementation Action Plans (PIAPs) which replaced the sector development plans (See figure 1). These PIAPs will enhance collaboration between entities to deliver common results. They constitute a link between the MDA strategic plans and the LG development Plans to the NDPIII. PIAPs will be results and action based with annualized targets and costs for the five-year period. They will be the basis for development of MDA and LG plans.

## **(II) National Human Resource Development Planning Framework**

The National Human Resource Development Planning (NHRDP) Framework under Memorandum CT (2017) 156, provides for production of 10-Year National Human Resource Plan (NHRP) and 5-year National Human Resource Plan (NHRP). This requirement to produce each set of NDPs with attendant Human Resource Plans is entrenched in the NPA (Development Plans) Regulations (S.I

No. 37 of 2018). In this regard, NPA will produce a 10-Year Human Resource Plans and 5-Year Human Resource Development Plan as subsidiary documents to the NDPs.

### **2.1.3 Complementary Planning Frameworks**

In addition, to the above policy frameworks, there are other frameworks and guidelines issued and adopted by Government of Uganda in order to achieve sustainable development and address cross cutting issues affecting the economy. The following guidelines should be used hand in hand with these guidelines;

- i) National Nutrition Planning Guidelines for Uganda, 2015
- ii) National Disability-Inclusive Planning Guidelines for Uganda, 2018
- iii) National Physical Planning Standards and Guidelines, 2011
- iv) Human Rights Based Approach (HRBA) planning Tool, 2015
- v) The Population and Development (POPDEV) planning instrument
- vi) Gender Responsive Planning Guidelines
- vii) Environment mainstreaming Guidelines
- viii) Climate Change Action Mainstreaming guidelines, 2018
- ix) National HIV/AIDS Mainstreaming Guidelines, 2018
- x) National Physical Planning Standards and Guidelines 2011
- xi) Other cross cutting planning instruments.

### **2.1.4 Global and Regional Development Agenda**

Uganda's development planning is influenced by developments in the global and regional spheres. The key global and regional development agenda that influence Uganda's development planning processes and systems include but are not limited to the following:

- i) 2030 Agenda for Sustainable Development;
- ii) Africa Agenda 2063;
- iii) The Istanbul Program of Action;
- iv) East African Vision 2050;
- v) Sendai Disaster Risk Management (DRM) framework (2015-2030).

The National Development Plans (NDPs) integrate global and regional development agenda that are pertinent to Uganda's development (See Annex 1 Pg 44). Similarly, MDAs and local governments have to identify relevant aspects of these development agenda and integrate them into their respective strategic/development plans in line with NDPIII programme requirements. In addition to the international development agenda, MDAs have to identify and integrate protocols and conventions signed and/or ratified by government that are relevant to them.

## **2.2 Development Planning Coordination Arrangements**

### **2.2.1 National Level Planning Institutions**

The legal and policy framework described above bestows development planning responsibilities to different agencies in the public and private sector. National level planning institutions holding stakes in MDA planning functions include:

- i) The National Planning Authority that is responsible for overall guidance, technical support and mentoring MDAs as they go throughout the development planning cycle;
- ii) Ministry of Finance, Planning and Economic Development that is responsible for providing financial resources, technical guidance and mentoring on budgeting requirements all of which help and MDAs to execute their Development Plans;
- iii) Uganda Bureau of Statistics that is responsible for providing most of the datasets used in planning process as well as offering technical advice and capacity building to MDAs in data collection and management;
- iv) Office of the Prime Minister that is responsible for monitoring and evaluation and coordination of implementation;
- v) Office of the President for overall oversight.

### **2.2.2 Presidential Economic Council (PEC)**

The Presidential Economic Council (PEC) is a body under the Presidency charged with the task of dealing with strategic issues bearing on the realisation of the Vision 2040 and the NDP. Its technical secretariat is headed by NPA and its other members include Government MDAs, players from the private sector such as the Uganda Manufacturers' Association (UMA) and Private Sector Foundation Chairpersons. Under the PEC, is the Economic Unit whose role is to oversee all aspects of the economy and is responsible for keeping H.E the President, accurately and fully informed and updated constantly on the performance of the economy and the general economic issues. This is meant to facilitate rational decision making on economic matters at the national and international levels. The Unit is also responsible for advising the President on economic matters relating to macro and sectoral performance and to research, analyse and prepare briefs on economic related information and issues so as to facilitate H.E the President's decision making on economic matters.

Given the direct link with the principal leadership of the country (The Presidency), PEC provides a rare opportunity for MDAs to obtain inputs and buy-in of the political leadership of the country into the strategic Plans. This facilitates alignment of development plans with the philosophy and priorities of the ruling government – this makes it easier for the plans to attract the required resources for their implementation. It also forms a channel through which the plan priorities are disseminated to highest authority in the country.

#### **i. Programme level Planning**

Planning in programmes is a responsibility of all actors in the programme working groups. Coordination of the planning process is often carried out by the Policy and Planning Unit of the Lead

Agency (Ministry) or the secretariat for respective programme. Ministries, Departments and Agencies (MDAs) do engage in strategic planning processes leading to production of 5-year institutional strategic plans that are aligned to NDPs.

## **ii. MDA top management committees**

These shall comprise the Head of Departments of MDAs. They shall review and approve SDP technical papers produced by the Policy and Planning Units of MDAs before submission to the Programme Working Groups (PWG).

## **iii. Policy and Planning Units of MDAs**

The PPU of MDAs shall coordinate the production of technical papers for submission to the PWGs. Before submission to the Technical Working Groups the content of the technical papers shall be approved, at least in general terms, by the Top Management Committees of the respective MDAs.

## **iv. Local Government Level coordination of planning**

At the local government level, the Local Government Act, Cap 243 (Section 35 (1)) designates Districts Councils as the planning authorities for the districts. The Act mandates the district technical planning committees to coordinate and integrate all the sectoral plans of lower level Local Governments for presentation to the district council (Section 36 (2)).

The local governments are of two levels – Higher Local Governments (Districts) and Lower Local Governments (Municipalities, Sub-counties and Divisions). National Planning Authority (Development Plans) Regulations 2018 require Districts to prepare their comprehensive and integrated development plans incorporating plans for Lower Local Governments. The planning departments are expected to coordinate production of these plans and should be dully approved by the District Councils. The local government plans shall conform to medium term national and sector development plans. NPA has formulated detailed guidelines on the preparation of LGDPs to support LGs in their planning as well as aligning them to SDPs and the NDP.

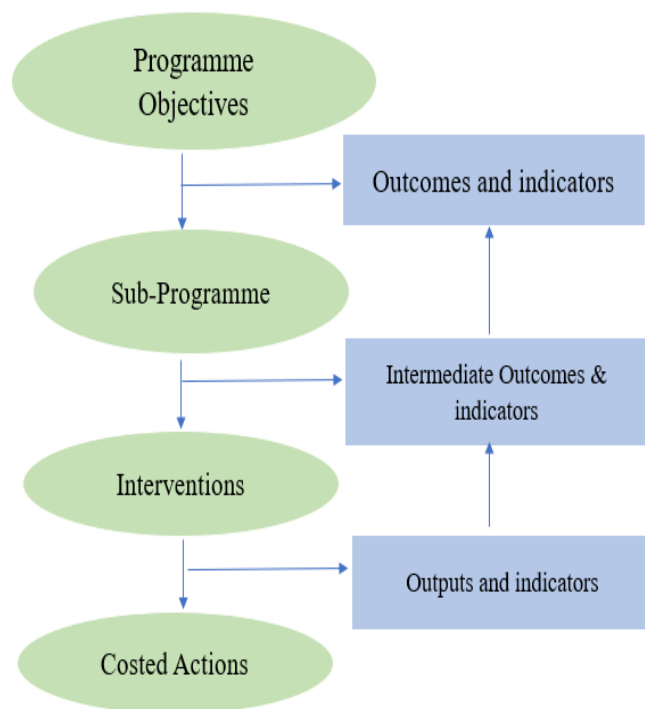
## SECTION THREE:

### DEVELOPMENT OF THE PROGRAMME IMPLEMENTATION ACTION PLAN

#### 3.1 Definition of a Programme Implementation Action Plan

A PIAP is a results-oriented actor-specific plan for achieving the objectives of a respective NDPIII programme. It provides details of the activities and resources required to deliver the NDPIII programme results. The key elements of the PIAP are shown in Figure 2.

**Figure 2: Elements of the NDPIII PIAP Results Chain**



#### Key Definitions

**Programme Outcomes:** Changes brought about by public interventions upon individuals, social structures, or physical environment

**Sub-Programme:** A disaggregated groupings of interventions within the program concerned.

**Intermediate outcome:** An intermediate outcome or intermediate result is a critical outcome or result that must occur in order to reach the higher-level, end outcome/objective.

**Outputs:** A good or service provided by an MDA. Eg patients' treatments, Functional Intensive Care Units (ICUs), irrigation dams.

**Actions:** types or categories of work process undertaken in the production and delivery of outputs. Eg nursing, Establishing ICUs, constructing irrigation dams

### 3.2 Principles of developing Programme Implementation Action Plan

The guiding principles for preparation of action plans include:

- i. **Goal/outcome based** – they aim to achieve a specific goal that has been derived from key development issues that need to be addressed. This goal has already been defined in the NDPIII.
- ii. **Participatory** – there should be extensive stakeholder engagement to ensure all relevant issues are captured. The drafting of the PIAPs should consider concerns, capacities and competencies of individual stakeholders who contribute to the achievement of the programme goal.
- iii. **Inclusive** – the planned activities should consider the diverse social groups and special needs disadvantages and vulnerable groups.
- iv. **Within the NDPIII Medium Term Expenditure Framework** – plans should be realistic and activities should be budgeted within the NDPIII resource envelope projections
- v. **Realistic and tangible** – the PIAP should clearly define expected outputs and measure by which progress will be assessed.

### 3.3 Process and Contents of Programme Implementation Action Plan

The PIAP formulation process consist of three main stages, namely: (i) Consultations (ii) Plan formulation, and (iii) Plan Approval, submission and dissemination. The stages are interrelated and during execution, it is possible that some of them will be run concurrently rather than in sequence. These stages are described in subsequent sections.

#### 3.3.1 Consultations

To ensure that all key stakeholders participate in the PIAP development planning processes, consultations will be done at two (2) levels; programme and Local Government levels;

##### i Programme level Consultations

At the programme level consultations will be of two types, consultations within and across programme.

- a. **Consultations within the programme:** these consultations shall take place among players/actors in a single programme/Programme Working Group (PWG). At the least these actors include MDAs, Development Partners, Private Sector and Civil Society. The engagements shall aim at building consensus on programme actions, indicators and targets, costs and projects.
- b. **Consultations across programme:** The aim is to identify and harness the inter-programme linkages. Through consultations, joint priority sub-programs and projects would be identified, appraised and selected.

The key data and information expected to be obtained from the programme level consultations (inter and intra) include:

- i) Emerging programme and cross cutting issues
- ii) Data on cross- programmes projects
- iii) Coordination modalities for cross – programmes projects
- iv) Resource commitments (financial and physical).

## ii Local government level

The PWGs are expected to obtain input from the LGs on their priorities for integration in the PIAPs. Similarly, PWGs are expected to provide programme policy guidance to LGs including programme priorities, resource envelope and technical backstopping.

In obtaining inputs from LG for PIAPs, PWGs are required to carry out consultations with LGs. These consultations should involve key stakeholders involved in LG development planning processes. The PWGs should select local government actors that are relevant to them. Since the District & Municipal Planning units are responsible for consolidation of Local Government Development Plans, it is highly advised for programme secretariats consult the local government planning units and vice versa during the preparation of PIAPs and LGDPs, respectively.

### iii Target Stakeholders

In order to ensure harmonization of the diverse views from key stakeholders, consultations will target the following:

- a) **Policy makers**– this category targets actors who are primarily responsible for executive leadership, oversight, review and approval of key process outputs in the plan development process. At the programme level, they include; The programme Leadership/Steering Committees (Ministers, Permanent Secretaries and Directors), MDA Top Policy Management Committees, Members of Parliament, Board members and Governing Councils in the case of agencies, while at the LG level, they include District Chairpersons, District Council, Resident District Commissioners and Chief Administrative Officers.
- b) **Technical Officers**- This category targets actors whose primary responsibility is to plan, execute, monitor and evaluate development policies, projects in programmes, Ministries Departments and Agencies as well as Local Governments. At programme level, they include; The Programme Working Groups (PWGs), The PWG Secretariats, The Programme Technical Working Groups (PTWGs), The MDA Policy and Planning Units, The MDA Technical Departments., At the Local Government level, the include members of the District Technical Planning Committees.
- c) **Special Interest Groups**- This category targets individuals and groups whose plight and interests need to be specially targeted in order to ensure equitable distribution of development benefits. This category has unique needs that may not be voiced through general consultations. They include vulnerable and marginalized groups and individuals such as; Women, Youth, PWDs, Refugees, and Persons living with HIV and AIDS.
- d) **Policy Ministries and Agencies**- this category targets MDAs that play a central role in guiding planning, Budgeting, Implementation, Monitoring and Evaluation of Government policies and programs. They include; Ministry of Finance, Planning and Economic



Development, National Planning Authority, Office of Prime Minister, Uganda Bureau of Statistics and Ministry of Local Government.

- e) **Non- state actors-** this category targets development actors other than the public sector (Government). They include; Development Partners, Civil Society Organizations, Private Sector, Religious leaders, Cultural leaders and Media.
- f) **Research and Academia-** this category targets individuals and institutions responsible for generation of knowledge and its translation into products and services. They include; Universities and other tertiary institutions, research institutions and freelance researchers.

### 3.3.2 PIAP Formulation

The preparation of the PIAP requires a good understanding of the NDPIII programme including the desired goals, key issues to be addressed, objectives to be pursued, interventions and relevant stakeholders to implement the programme. This information is already assessed and articulated in the NDPIII. An understanding of the programme will enable the PWG to identify the priority activities, estimate the required costs and identify all relevant implementing parties.

The contents of the PIAP are summarized in Box 1.

#### ***Box 1: Example of Table of Contents***

##### **Table of Contents**

##### **Foreword**

- A. Programme Summary**
- B. Implementation Reforms**
- C. Implementation Actions/Activities**
- D. Financing Strategy/Framework**
- E. Implementation Arrangements**
- F. Monitoring and Evaluation Framework**

##### **Annexes:**

##### **Annex 1: List of Projects**

##### **Annex 2: Detailed Action Matrix**

##### **Annex 3: Programme Results Framework**

The information required to populate the contents of the PIAP are elaborated in the sections that follow.

#### **A. Programme Summary**

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The information required in this section is provided in the NDPIII.

The PWG is required to:

- i) Provide a brief context of the programme – This highlights the key development challenges to be addressed under the NDPIII;
- ii) State the Programme Goal and objectives;
- iii) Outline the programme outcomes and indicators. Table 1 shows an example of how to present these outcomes and indicators.

**Table 1: Programme Outcomes and Indicators, Example of the Development Plan Implementation Programme**

Outcome	Indicators	Performance Targets					
		Base year	Baseline	2021/22	2022/23	2023/24	2024/25
Objective 1: Strengthen capacity for development planning							
Effective and efficient allocation and utilization of public resources	1.1 Percentage of budget released against originally approved budget.						
	1.2 Percentage of funds absorbed against funds released.						
	1.3 Budget alignment to NDP (%)						
Objective 2: Strengthen budgeting and resource mobilization							
Fiscal credibility and Sustainability	Revenue to GDP ratio						
	Domestic revenue to GDP (%)						
	Supplementary expenditure as a %ge of the initial approved budget						
	Arrears as %ge of total expenditure for FY N-1						
	Budget transparency index						

- iv) Outline the Sub-programmes, intermediate outcomes and corresponding indicators. **Sub-programmes represent more disaggregated groupings of interventions within the program concerned. Sub-Programmes, just like Programmes, should be results based and aim to achieve more concrete results and direct impacts.**

Sub-programmes can be defined according to the value chain of the programme or following the objectives of the programme. This should encourage synergies among stakeholders to work together to deliver the intermediate outcomes and subsequently the programme outcomes. A programme working group should identify not more than 5 programmes. An example of sub-programmes is provided using the Development Plan Implementation programme.

The Development Plan Implementation sub-programmes include:

1. Development Planning, Research, Statistics and M&E;
2. Resource Mobilization and Budgeting ;
3. Accountability Systems and Service Delivery.

Table 2 shows an illustration of how to present the sub-programme intermediate outcomes and indicators.

**Table 2: Sub-Programme Outcomes and indicators, example of Development Plan Implementation programme**

<b>Sub-programme 1: Development Planning, Research, Statistics and M&amp;E</b>								
<b>Programme Objective (s) contributed to by sub-programme:</b>								
Objective 1: Strengthen capacity for development planning								
<b>Intermediate Outcomes</b>	<b>Indicators</b>	<b>Performance targets</b>						
		<b>Base Year</b>	<b>Baseline</b>	<b>2021/22</b>	<b>2022/23</b>	<b>2023/24</b>	<b>2024/25</b>	<b>2025/26</b>
Effective and efficient allocation and utilization of public resources	Budget alignment to NDP (%)							
	Percentage of budget released against originally approved budget.							
	Percentage of funds absorbed against funds released.							
Effective Public Investment Management	Gross capital formation (% of GDP)							
	Contribution of public investment to GDP							
<b>Sub-programme 2: Resource Mobilization and Budgeting</b>								
<b>Programme Objective (s) contributed to by sub-programme:</b>								
Objective 2: Strengthen budgeting and resource mobilization								
Fiscal credibility and Sustainability	External resource envelope as a percentage of the National Budget							
	Present Value of Public debt stock /GDP							
Improved budget credibility	Funds released as a %ge of the approved budget							
	Green Economy (GE)Public expenditure Review (PER) rating							

**Repeat for all sub-programmes**

## B. Implementation Reforms

This section should list the key reforms for effective implementation of the plan. These have been identified in the NDPIII. The PWG should identify any other critical reforms where necessary and these should be reflected in the activities and costed.

## C. Implementation Activities

This section provides a matrix of priority activities to be undertaken to operationalize the NDPIII interventions and outputs in order to deliver the programme results. Each activity should be recorded with annualized costs for the period of the plan (5 years). Table 3 provides the template of the logical framework linking the activities to the sub-programmes and interventions of the NDPIII programme. The detailed Action Plan will be an annex to the PIAP.

**Table 3: Implementation Activities and Financing (Cost)**

Sub-Programme	Objective	Intervention	Output	Actions	Lead	Vote	20/21	21/22	22/23	23/24	24/25	Total
1.		1.1.	Output 1		MDA X		0.20	0.20	0.25	0.25	0.25	1.15
					MDA Y		0.50	0.85	1.05	1.05	1.05	4.50
					MDA Z		0.50	0.50	0.50	0.50	0.50	2.50
			Output 2									

**PWGs should note that the objectives, interventions, outputs, indicators and targets have already been defined in the NDPIII and its corresponding results and reporting framework.** PWGs should therefore identify corresponding activities, validate output targets, cost estimates and stakeholders relevant to implement specific activities. The following considerations should be taken note during this process:

### a. Identification of activities – Activities should be defined in terms of;

- i) Relevance to the intervention,
- ii) Relevant to the jurisdiction and implementation capabilities
- iii) Priority,
- iv) Realistically achievable,
- v) Specific,
- vi) Result oriented, quantitatively measurable and easily monitored, and have a realistic time scheduling.

Cross-cutting issues such as gender, disability, climate change, environment etc must be considered while identifying actions. The targets and cost estimates of each action should ably show the sequencing of activities.

Note: PIAPs should have strategic level activities. Activities of routine nature should not be included in the PIAP.

- b. Budgeting for actions** – the activities should be underpinned by a budget to control operations and results. All the actions need to be carefully budgeted to have an overview of the total cost of the PIAP and to identify the ways of financing it. **In order to ensure realistic cost estimates, MDAs will continue to determine their budgets and should work within the ceilings of the NDPIII Medium Term Expenditure Framework (MTEF).** In estimating the costs of an action, MDAs shall identify all the types of inputs required, assess the quantities required for each activity, estimate the cost per unit and calculate the implied total activity costs. Final cost estimates will be considered at the PWG level for further submission to the Ministry of Finance, Planning and Economic Development (MoFPED).
- c. Identification of responsible actors** - once the activities have been established, it is important to assign responsibility for performing these activities to specific institutions. Understanding their implementation capabilities is extremely important e.g. legislative, technical etc. This will help in making the best alignment between their mandates and interests and the expected results of the programme.

#### **D. PIAP Financing Strategy**

PWGs should provide a summary of annualised costs for implementing the PIAP by Sub-programme. Table 4 provides the template of the summary costs.

**Table 4: Summary PIAP Annualised Costs by Sub-Programme**

Sub-programme	Annualised Cost Projections (Billions)					
	2020/21	2021/22	2022/23	2023/24	2024/25	Total
Sub-programme 1:						
Sub-programme 2:						
Sub-programme .:						
Sub-programme n:						
<b>Grand Total</b>						

Provide a summary of annualised costs by Vote. Table 5 provides a template to be populated.

**Table 5: Summary PIAP Annualised Costs by Vote**

Lead	Annualised Cost Projections (Billions)					
	2020/21	2021/22	2022/23	2023/24	2024/25	Total
Vote 1						
Vote 2						
Vote 3						

Lead	Annualised Cost Projections (Billions)					
	2020/21	2021/22	2022/23	2023/24	2024/25	Total
Vote ...						
Vote ...						
Vote ...n						
<b>Grand Total</b>						

A PIAP will also have an elaborate resource mobilization and financing strategy. In this regard therefore, PWGs will need to define and specify the strategies through which development resources to finance all the identified activities will be mobilized and managed.

In defining the Financing strategy, PWGs will:

- Identify the main sources of revenue for financing including central government transfers, Non-Tax Revenue (NTR) and potential development partners (DPs) (E.g. NGOs/ CBOs, FBOs, and Private sector). For Development partners specify the distribution of their contribution over the plan period and whether their contribution will be on or off budget;
- State the strategies for raising the required resources;
- State roles, responsibilities and conditions of development partners in financing the plans including a specification of whether the funding will be budget or off-budget;
- State strategic actions that will be taken in mobilizing development partners to finance the plan activities;
- State strategies for ensuring efficiency in resource use; and
- Specify any other aspect relevant financing including innovative financing methods (for example PPPs).

The recommended framework for PIAP financing is presented in Table 6.

**Table 6: Format of PIAP Financing Framework**

Sources of Financing	Total Contributions FY1	Total Contributions FY2	Total Contributions FY3	Total Contributions FY4	Total Contributions FY5	Total Contributions -	(%) Share by source of financing
Central Government Transfers (Total Contribution)							
Non-Tax Revenue							
Development Partners (DPs)- Specify <sup>1</sup>							
DP1							
DP2							
DP2							

<sup>1</sup> NGOs, FBOs, CBOs, PSOs as well as Bilateral donors dealing directly with LGs are all included in this categorisation

Sources of Financing	Total Contributions FY1	Total Contributions FY2	Total Contributions FY3	Total Contributions FY4	Total Contributions FY5	Total Contributions -	(%) Share by source of financing
Etc							
NGOs							
<b>TOTAL</b>							<b>100</b>

## E. Programme Implementation Arrangements

This section should describe the key stakeholders/institutions that have responsibilities for coordination and implementation of the PIAP. It will also highlight the implementation reforms required for effective implementation of the plan.

### Stakeholders in Implementation

Figure 3 shows the generic institutional structure for implementation of the programme.

**Figure 3: Programme Institutional Structure**



This section should expound on the roles and responsibilities of each stakeholder/institution shown in Figure 2. Table 7 outlines the generic roles of the different stakeholders/institutions.

**Table 7: List of some of the key stakeholders/institution and their key roles**

S/N	Institution/stakeholder	Key roles/responsibilities
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S/N	Institution/stakeholder	Key roles/responsibilities
1.	Office of the President	<ul style="list-style-type: none"> <li>Take overall leadership and oversight of implementation of the plan to ensure its attainment.</li> <li>Timely communication of cabinet decisions</li> <li>Mobilizing the population towards achievement of the plan</li> </ul>
2.	Office of the Prime Minister (OPM)	<ul style="list-style-type: none"> <li>Coordination of the programmes</li> <li>Monitoring the implementation of the programmes</li> </ul>
3.	Leadership Committee	<ul style="list-style-type: none"> <li>Provide political and policy guidance and advocacy; review and act as a clearing house for programme policies before cabinet, and advocate for approval of programme-based policies before Cabinet and Parliament;</li> <li>Monitor implementation of programme-based policies and support the PWGs in resolution of impediments to implementation of such policies</li> <li>Monitor programme implementation based on programme outcome targets and support resolution of political or policy constraints during implementation</li> <li>Approve the Half Annual and Annual programme performance reports provided by the PWGs</li> <li>Advocate for mobilisation of resources to support programme implementation where there are financing gaps</li> </ul>
4.	Programme Working Groups <sup>2</sup>	<ul style="list-style-type: none"> <li>Ensure broad stakeholder consultation in discussing key issues and harmonize Government and stakeholder positions;</li> <li>Formulate Programme Implementation Plans in line with the National Development Plan and the Manifesto of the ruling government;</li> <li>Joint clearance of projects for inclusion in the Public Investment Plan, a requirement by the Development Committee;</li> <li>Ensure Implementation of Program Based Budgeting (PBB) for proper alignment to the NDP III;</li> <li>Coordinating inter-ministerial and agency budget allocations in a consultative way ensuring transparency and accountability.</li> <li>Ensuring that consultations are carried out between line ministries, external and internal stakeholders on matters related to the programme;</li> <li>Examine and review of programme related policies and plans, reviewing past performance, emerging policy issues and future spending pressures;</li> <li>Identifying key outputs and programme performance targets both annually and in the medium term;</li> <li>Undertaking monitoring and assessment of programme interventions; and,</li> <li>Preparing semi-annual and annual programme reviews and</li> </ul>

<sup>2</sup> Refer to the Programme Working Group Guidelines, 2020 (MoFPED)



S/N	Institution/stakeholder	Key roles/responsibilities
		reports.
5.	Programme Secretariate	<ul style="list-style-type: none"> <li>• Coordinating the preparation of the Programme Implementation Action Plans (including costing and Monitoring Frameworks) and Programme Budget Framework papers and ensuring alignment with NDP III, Manifesto and Presidential Directives;</li> <li>• Organising and guiding meetings and activities of management structures;</li> <li>• Preparation and dissemination of quarterly, semi-annual and annual programme implementation reports;</li> <li>• Facilitating the annual programme performance reviews</li> <li>• Organising programme monitoring, inspection and other activities to enable collection of physical data to facilitate evidence-based reporting;</li> <li>• Promoting cooperation, learning and synergies within and outside the programmes;</li> <li>• Ensuring timely sharing and dissemination of key information to PWGs and programme institutions to facilitate implementation of programme activities</li> <li>• Facilitating dialogue with partners (DPs, CSOs, etc.) around each programme on emerging policy and technical issues aimed at increasing impact on programme outcomes</li> </ul>
6.	Programme Technical Working Group	<ul style="list-style-type: none"> <li>• Monitoring the implementation of the sub-component programme areas of the PIAP and raising issues for PWGs consideration,</li> <li>• Reviewing and clear sub-component programme areas of the Annual and semi-annual programme performance reports before consideration by the PWGs,</li> <li>• Developing positions papers on policy and strategic issues in the thematic area for consideration by PWG;</li> <li>• Reviewing new project concept notes and make recommendations to PWG for clearance</li> </ul>
7.	Ministry of Finance, Planning and Economic Development (MoFPED)	<ul style="list-style-type: none"> <li>• Providing financial resources</li> <li>• Providing technical guidance and mentoring on budgeting for implementation of PIAPs</li> <li>• Monitoring utilization of resources disbursed for PIAP implementation</li> </ul>
8.	National Planning Authority (NPA)	<ul style="list-style-type: none"> <li>• Providing overall guidance and technical support to programme development planning process.</li> <li>• Offering capacity building to MDAs, LGs where necessary</li> <li>• Monitoring effectiveness of PAIPs through issuance of Certificate of Compliancy.</li> </ul>
9.	Uganda Bureau of Statistics (UBOS)	<ul style="list-style-type: none"> <li>• Providing reliable data for planning,</li> <li>• Giving technical advice and capacity building in data collection and management</li> </ul>

S/N	Institution/stakeholder	Key roles/responsibilities
10.	Ministries, Departments and Agencies	<ul style="list-style-type: none"> <li>Developing their specific MDA Strategic Plans</li> <li>Contributing to the development of the PIAPs</li> <li>Receiving and integrating district programme priorities in their strategic plans</li> <li>mobilizing resources for the implementation of the PIAPs.</li> </ul>
11.	Development Partners	<ul style="list-style-type: none"> <li>Provide technical support to programmes in planning and implementation of PIAP interventions</li> <li>Supporting PWGs secretariats both through TA and Financial</li> <li>Providing Financial resource</li> <li>Integrating some aspects of PIAPs into their programming.</li> </ul>
12.	Local governments	<ul style="list-style-type: none"> <li>Providing input into the PIAPs</li> <li>Aligning their LG plans to the PIAPs</li> <li>Implementing relevant aspects of the PIAPs.</li> </ul>
13.	Civil society and private sector organizations	<ul style="list-style-type: none"> <li>Participating in PWG activities as co-opted members</li> <li>Providing information about their on-going and planned development activities to the programme for input into the PIAPs</li> <li>Contributing to the implementation of the PIAPs</li> <li>Participating in M&amp;E of PIAPs.</li> </ul>

In addition to outlining the roles of each stakeholder involved in the implementation of the programme, membership composition of the following should be identified as well as defining the operation modality of each of the institutional set-ups in terms of frequency and schedule of meetings.

- i Leadership Committee
- ii Programme Working Groups
- iii Programme Technical Working Groups. These can be identified along the sub-programmes.

## **F. Monitoring and Evaluation Framework**

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The PIAPs shall have Monitoring and Evaluation (M&E) strategy that will enable stakeholders to regularly and systematically track implementation of selected priorities and assess progress of the plan with regard to the agreed objectives and outcomes. PWGs are therefore obliged to develop an M&E strategy as an important section of their development plans. The M&E strategy shall also be in line with the NDP M&E Framework for the NDPIII and the Uganda National Monitoring and Evaluation Policy and framework. The M&E strategy will help PWGs to answer the following;

- iv Were the planned activities implemented as planned?
- v Were resources availed and used timely as planned?
- vi Did implementation of activities resulted into the planned outputs?
- vii Did the outputs result in the expected outcomes?

## **Elements of the PAIP M&E Strategy**

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Structurally, the M&E strategy for PIAP will include definition of:

- i Objectives of the M&E strategy
- ii Stakeholders in the M&E Function
- iii Development of Programme M&E System
- iv Reporting Arrangements
- v The programme Results and Reporting Matrix

### Stakeholders in the M&E Function

Some of the key national government M&E stakeholders and reporting frameworks to which the M&E framework will partake are given in Table 8.

**Table 8: M&E Stakeholders and Reporting Frameworks**

Institution	Framework	Key features
Annual Apex Platform	High level Synthesised Oversight Programme and Monitoring report	<ul style="list-style-type: none"> <li>The High-level Synthesised Oversight Programme and Monitoring report will assess the outcomes and impact derived from socio-economic and development interventions by programme. It will facilitate the executive to take informed and action focused decisions to address development challenges.</li> </ul>
The National Planning Authority	The National Development Report	<ul style="list-style-type: none"> <li>The National Development Report is an annual report produced by NPA to provide information on the country's current development status and the progress made against NDP indicators at all levels of the Plan's results framework. The report also covers the contribution of non-state actors</li> </ul>
	Certificate of Compliance Report (COC)	<ul style="list-style-type: none"> <li>The certificate of compliance is an annual assessment of the annual budgets to the Programmes and NDP</li> </ul>
Office of the Prime Minister (OPM)	Government Annual Performance Report	<ul style="list-style-type: none"> <li>The Government Annual Performance report assesses performance of Government MDAs and Local Governments against key objectives outlined in the National Development Plan.</li> </ul>
	Annual National Assessment	<ul style="list-style-type: none"> <li>Annual assessment of minimum conditions and performance measures ascertains local government performance against basic services and functions. The assessment also gauges the level of compliance of local governments to the provisions of the laws and national guidelines.</li> </ul>
Programme Working Group	Programme Review Meetings	<ul style="list-style-type: none"> <li>PWGs will hold bi-annual or annual joint programme reviews where progress against PIAP and budget commitments are assessed and specific undertakings for improvements are adopted including roadmaps to implement them</li> </ul>
Programme Secretariate	Semi-annual and annual programme report	<ul style="list-style-type: none"> <li>Coordinate the preparation of half annual and annual programme report, for collecting and compiling data on all aspects of the programme; action plan, key results performance indicators, etc.</li> <li>The Secretariat shall also manage contracts related to external experts for various studies, including for the mid-term review, and shall organise all evaluation events (such as annual programme evaluation).</li> <li>The Secretariat shall maintain a database for all indicators under each of the programme to aid tracking and reporting</li> </ul>

<b>Institution</b>	<b>Framework</b>	<b>Key features</b>
Programme Line Ministries (Education, Water, Health, Works, etc.)	Programme Management information Systems (HMIS, EMIS, etc.), Ministerial Policy Statements and Annual Reports	<ul style="list-style-type: none"> <li>Most programme line ministries have got established MISs that regularly capture and communicate information regarding performance of the main services and functions that these ministries are supposed to deliver in local governments, the challenges and emerging issues experienced in the process of implementing annual programme budgets. These programme MISs are key in informing the annual programme performance reports that are produced and presented to parliament by line ministries.</li> </ul>
Ministry of Finance	Budget Monitoring and Accountability Mechanisms	<ul style="list-style-type: none"> <li>MoFPED has got a Budget Monitoring and Accountability unit that tracks financial flows to MDAs and LGs and monitors inputs, outputs and progress of implementation of government programmes and projects included in annual budgets of government MDAs.</li> </ul>
	Performance Contracts (Performance Form B)	<ul style="list-style-type: none"> <li>Through Performance Contracts, MoFPED obliges all Government Accounting Officers to report against commitments made in the annual Performance contracts. This reporting is quarterly.</li> </ul>
Ministry of Public Service	Client Charters	<ul style="list-style-type: none"> <li>The Ministry of Public Service (MoPS) has started the process of developing client charters which define service standards and expectations between public bodies, and between service providers and users. Similar charters have been developed and agreed to by local governments.</li> </ul>

## Development of M&E System

The M&E System comprises of the Management Information System (MIS) that needs to be established for internal management of the PIAPs well as for reporting on performance. Therefore, in developing their M&E strategy, programmes are required to link to their Management Information systems and NDP M&E system will entail:

- i Development of performance indicators that are SMART (which should include baseline indicators);
- ii Setting performance targets that will be used to assess performance;
- iii Earmarking methodologies, participants and tools to be used in conducting different M&E activities;
- iv Setting the timeframes for different M&E activities/ events
- v Identifying centres for receiving information generated by M&E events.

## Reporting Arrangements

### i Routine monitoring/reporting

The plan implementation shall be monitored on a routine basis through structured meetings within the different departments and divisions, based on the targets and indicators contained in the Operational Plans. Similar programme specific monitoring procedures shall be put in place at programme level.

### ii Periodic reporting

Periodically e.g. quarterly, standardized written performance reports shall be produced by the same departments and divisions at regular intervals using the guidelines and tools provided to them by the Secretariat of the Strategic Monitoring Committee. The reports will be submitted to the Monitoring Committee as a basis for reviewing progress, examining problems and constraints and recommending corrective action to be taken. MDA-specific reports shall be produced to input into the programme report.

### **iii Annual reporting- Joint Annual Reviews**

During the last quarter of the fiscal year, the programme shall prepare a consolidated annual performance report on the basis of the reports prepared by the implementing departments and MDAs

This report shall serve as the basic document for the Annual Review Meeting with stakeholders, which shall offer the opportunity to jointly assess achievements and shortcomings of the plan implementation and to agree on improvements to be made in order to reach the development objectives and targets put forward by the PIAP. Each annual review meeting (and report) shall be timed in such a way that it can serve as a basis for preparing the Operational Plan and Budget of the following year.

### **iv Annual reporting – GAPR**

The Government Annual Performance Report (GAPR) provides a comprehensive assessment of Government 's performance and the results of public spending of the Financial Year. The Report focuses on the performance of Ministries, Departments and Agencies (MDAs) against output targets across all programmes and progress made in the implementation of key actions agreed during the last Government performance retreats. It provides a basis for accountability of the use of resources and the results achieved; to provide a basis for policy discussions within Government and to guide decisions on resource allocations in the Financial Year.

The Reports outline the performance of Government during the previous and current financial year; it assesses progress against the Governments commitments made in the National Development Plan (NDP), Budget Speeches and Ministerial Policy Statements for the financial year.

The review focuses on what has been achieved against what was planned and what difference this has made in terms of improvements in public service delivery. Besides using the guiding framework of the National Development Plan, the report uses the programme structure of financing and organization to assess each and every Ministry, Department and Agency (MDA) and Local Governments (LGs).

Programmes will therefore be required to prepare and provide input into the process of producing the GAPR report on annual basis.

### **v Midterm Review**

The PIAPs will be subject to midterm evaluation to draw lessons from implementation of the plan and inform the remaining plan period. It is critical that PIAPs undergo midterm review at least six months prior to the independent MTR to be undertaken by NPA. The programme MTR will provide data for inputting into diagnostic studies for NDP, NDR and MTR reports. The MTR for 5-year PIAPs will be conducted 2 ½ years into the implementation of the plan.

## vi End of term evaluation

The final performance report and evaluation studies shall look back at the plan as a whole. The focus of the final review, and of the corresponding Final Review Meeting with stakeholders, should be on final impact and outcomes, their relevance, cost-effectiveness and sustainability, as well as analysis of reasons why certain results have been achieved and not others and to derive lessons for possible policy revision and for preparing the next PIAP.

### Developing the PIAP Monitoring and Evaluation Matrix

In order to ensure that the PIAP monitoring and evaluation strategy is in line with the NDP M&E Framework for the National Development plans, Programmes shall use the same monitoring and evaluation matrix as that of NDPs. All PWGs will be expected to develop an M&E matrix which will be at outcome, intermediate outcome and output level. Tables 9 - 11 provides templates for the M&E for the PIAP.

**Table 9: M&E Results Framework, Programme Outcome level**

Objective	Outcome	Indicators	Baseline FY2017/18	Targets				
				2020/21	2021/22	2022/23	2023/24	2024/25
Development Programme 1: Development Challenge/Issue: Overall Programme Goal:								
1.	1.	1.1						
		1.2						
		1.3						
		1.4						

**Table 10: M&E Results Framework, Sub-programme Intermediate Outcome level**

Objective	Intermediate outcome	Intermediate outcome Indicators	Baseline FY2017/18	Targets				
				2020/21	2021/22	2022/23	2023/24	2024/25
Sub-programme 1:								
1.	1.	1.1						
		1.2						

**Table 11: M&E Results Framework, Output level**

Sub- Program me	Intervention	Output	Indicators	Baseline FY2017/18	Targets					MOV	MDA
					2020/21	2021/22	2022/23	2023/24	2024/25		
Sub- program me 1:	1.1										
	1.2										

### 3.3.3 Approval, Submission and Dissemination

The PIAP shall be subject to a two-step approval process. First, the PAIP plan shall be submitted to National Planning Authority for endorsement and certification. Second, the PIAP shall be approved by the Top Programme Leadership Committee. The approved PIAP will be then be submitted/shared with NPA. It is important to note that the PIAP will continuously be reviewed by NPA to ensure alignment to NDP process before these two approval processes.

After all the approval processes have been secured, the PIAP shall be disseminated to the stakeholders and the public at large to mobilize them for the successful implementation.

### 3.4 Linkage of the PIAP to the MDA Strategic Plans

MDAs shall prepare strategic plans that are in line with their respective NDP III PIAPs. The MDAs plan should set out the direction the Ministry intends to take in order to reach its intended goal and should specify the Directorate and Department linked to the relevant NDP III programmes with operational objectives. It will adopt/adapt the PIAP interventions, outputs and activities. The guidance for development of the MDA Strategic Plan is provided in annex 1.

The link between the NDPIII Programmes, Objectives and Interventions to the PIAPs and MDA Plans in illustrated in table 10:

**Table 12: Linking NDP III Programmes, Objectives and Interventions to PIAPs & MDA Plans**

PIAP	MDA Strategic Plans
Programme Goal	MDA Goal
Programme Objectives	MDA Objectives
Sub-programme	
PIAP Interventions	MDA adopted/adapted Interventions
Actions	Adopted/adopted actions

Activities identified in the MDA strategic plan will guide formulation of the vote annual Budget Framework Paper (BFP). Table 11 shows the linkage of the vote to the sub-programme.

**Table 13: Linkage of the vote to the sub-programme**

<b>Vote Function:</b>	
<b>Sub-programme contributed to by the Vote function:</b>	
<b>Adopted Intermediate outcomes</b>	<b>Indicators</b>
<b>Vote Function 2:</b>	
<b>Sub-programme contributed to by the Vote function:</b>	

<b>Adopted Outputs</b>	<b>Indicators</b>



## SECTION FOUR:

### DEVELOPMENT OF THE MDA STRATEGIC PLAN

#### 4.1 Development Planning Cycle

The planning cycle for the MDA plans is integrated within the NDP calendar. The cycle starts immediately the national strategic direction is provided by the National Planning Authority (NPA) through issuance of the Planning Call Circular (PCC). The National Planning Authority (Development Plans) Regulations 2018 require NPA to issue a planning call circular a year before the expiry of the existing medium-term national development plan. MDAs shall commence consultations at least thirty (30) days after NPA has issued the planning call circular. Further that MDAs shall submit to NPA approved plans within six months after the approval of the medium-term national development plan.

The timelines for the key milestones are as presented in Table 12 below.

**Table 14: Timelines for key Milestones in the Strategic Planning Cycle**

#	PROCESS ACTIVITIES	RESPONSIBILITY	TIME LINE
	<b>Phase1: Consultation and Data collection</b>		
1.	Issuance of Planning Call Circular (PCC) to MDAs	NPA	End of 4 <sup>th</sup> Year of NDPII
2.	MDAs constitute Planning Task Teams to steer plan formulation process	Permanent Secretary/Chief Executive of the MDA	Two (2) weeks after receipt of the PCC by MDAs
3.	MDA communicate Planning Call Circular information to the departments	Permanent Secretary/Chief Executive of the MDA	One (1) month after receipt of the PCC by MDAs
4.	Consultations and data collection to inform the planning process	Planning Task Team	Within two (2) months after receipt of PCC
5.	Provide guidance to the District Planning Forums for the LGs to capture relevant issues for input into the MDA planning process	Permanent Secretary/Chief Executive of the MDA	Within two (2) months after receipt of PCC by MDAs
	<b>Phase 2: Plan Formulation</b>		
6.	Review of the previous plan	Permanent Secretary/Chief Executive of the MDA	Third month after receipt of PCC by programmes/MDAs
7.	Carry out situation analysis for the development of the new MDA plan	Permanent Secretary/Chief Executive of the MDA, Planning Task Team	Third month after receipt of PCC by programme/MDAs

#	PROCESS ACTIVITIES	RESPONSIBILITY	TIME LINE
8.	Carry out analysis of cross cutting issues	Permanent Secretary/Chief Executive of the MDA, Planning Task Team	Third month after receipt of PCC by programme /MDAs
9.	MDAs set the Strategic Agenda (Vision, Goals & Objectives based on the analysis in steps 7 and 8 and the consultations above	Permanent Secretary/Chief Executive of the MDA, Planning Task Team.	Fourth month after receipt of PCC by programme /MDAs.
10.	MDAs Articulate the Interventions, actions and projects	Planning Task Team, Heads of departments	Fourth month after receipt of PCC by MDAs
11.	Compilation of the Draft plan	Planning Task Team, Heads of departments	Fifth month after receipt of PCC by MDAs
12.	Validation of the draft plan	Permanent Secretary/Chief Executive of the MDA, Planning Task Team	Fifth month after receipt of PCC by MDAs
<b>Phase 3: Plan Approval and Submission</b>			
13.	Submission of Draft plan to NPA for review and Certification	Permanent Secretary/Chief Executive	Sixth month after receipt of the PCC by the MDA
14.	MDA Strategic Plan approval by programme leadership committee.	Top management committee.	End of sixth month after receipt of the PCC by the MDA.
15.	Submission of approved MDA plan to NPA	Permanent Secretary/Chief Executive	End of sixth month after receipt of the PCC by the MDA
<b>Phase 4: Execution, Monitoring and Evaluation</b>			
16.	Developing Annual work plan and Budgets	Permanent Secretary/Chief Executive	Beginning of each FY on implementation of the SDP
17.	Monitoring and Evaluation	Permanent Secretary/Chief Executive	Continuous throughout the plan period.

## 4.2 Steps in the Plan Production Process

The MDA plan formulation process consist of four main stages, namely: (i) Initiation of planning process (ii) Consultations and Data collection, (iii) Plan formulation, and (iv) Plan Approval, submission and dissemination. The stages are interrelated and during execution, it is possible that some of them will be run concurrently rather than in sequence. For example, consultations are expected to take place before beginning of plan formulation and throughout plan formulation, approval and submission stages. These stages are described in subsequent sections. The detailed activities that MDAs are expected to perform during each of these stages are elaborated in subsequent sections.

### **4.3 Initiation of the planning process**

At the beginning of a planning cycle, NPA shall issue a Planning Call Circular (PCC) to the decentralised planning institutions. The purpose of PCC is to communicate the national strategic direction and usher decentralized planning entities (MDAs and local governments) into a new development planning cycle.

The circular presents general guidelines for preparing the plan, the macroeconomic perspective, programme development priorities, program areas, the schedule for submission of proposals and the criteria for resource allocation between projects and programs. It calls for MDAs and Local Governments to formulate development plans which are mainly focused on the identified programme priority areas. The call circular will spell out the following:

- i) The Theme, Goal and Objectives of the plan;
- ii) Major policy and institutional reforms;
- iii) Priority National Programmes;
- iv) The NDP development roadmap.

The pronouncement of the PCC may take several forms including; national and sub-national planning conferences or circulation/mailing of PCC document. The Authority is expected to issue a planning call circular a year before the expiry of the existing medium-term national development plan.

### **4.4 Consultation and Data Collection**

#### **4.4.1 General Approach**

Consultation and data collection is a key phase in development of the plans. A consultative and participatory process involving all key stakeholders from government agencies, Development Partners, Civil Society and the Private sector will be employed.

Consultation and data collection shall be done at the very beginning of the plan development process and shall continue throughout the entire process. Initial consultations should aim at disseminating information in the planning call circular, and collecting baseline data to input into the situation analysis for the plan and subsequent consultation should keep updating the information and improving the MDA Strategic Plan up to its approval.

The objectives of consultation and data collection exercises are to:

- i Obtain critical inputs from all key MDA players to ensure that their aspirations form part of the plan;
- ii Build consensus on the strategic direction and priorities of the programme and communicate it to guide the various actors (MDAs and LGs) in development of plans that are aligned to the PIAP;
- iii Enhance stakeholder buy-in and ownership in the plan to facilitate effective approval and eventual implementation of the plan;

- iv Enhance intra and inter-Programme/MDA linkages;
- v Ensure that all cross-cutting issues are identified and integrated.

#### **4.4.2 Levels of Consultation**

To ensure that all key stakeholders participate in the strategic planning processes, consultations will be done at two (2) levels; MDA and Local Government levels;

##### **iv MDA level consultations**

At the MDA level consultations will be of two types, consultations within and across MDAs.

**Consultations within the MDA:** these consultations shall take place among players/actors in a single MDA. The engagements shall aim at building consensus on priority interventions and projects as well as aligning MDA vision and goal to the objectives and strategies of the PIAPs to which the MDA contributes.

**Consultations across MDAs:** In line with the broader programme-based approach to planning, consultations will be held across MDAs. The aim is to identify and harness the inter-MDA linkages.

##### **v Local government level**

The MDAs are expected to obtain input from the LGs on their priorities for integration in the strategic plans. Similarly, MDAs are expected to provide policy guidance to LGs including programme priorities, resource envelope and technical backstopping.

In obtaining inputs from LG, MDAs are required to carry out consultations with LGs. These consultations should involve key stakeholders involved in LG development planning processes. The MDAs should select local government actors that are relevant to them from among the following: Production, Education, Health, Works & Technical Services, Gender & Community Development and Natural Resources & Environment. Since the District & Municipal Planning units are responsible for consolidation of Local Government Development Plans, it is highly advised for MDA policy and planning units to consult the local government planning units and vice versa during the preparation of Strategic plans and LGDPs, respectively.

The priority consultation and data collections activities with local government shall include:

- i) Local government priorities including aspirations of lower local governments;
- ii) Programmes and priorities of non-state actors;
- iii) Crosscutting issues and how they are being mainstreamed.

#### 4.4.3 Target Stakeholders

In order to ensure harmonization of the diverse views from key stakeholders, consultations will target the following:

- i) **Policy makers**– this category targets actors who are primarily responsible for executive leadership, oversight, review and approval of key process outputs in the plan development process. They include; The Leadership/Steering Committees (Ministers, Permanent Secretaries and Directors), MDA Top Policy Management Committees, Members of Parliament, Board members and Governing Councils in the case of agencies, while at the LG level, they include District Chairpersons, District Council, Resident District Commissioners and Chief Administrative Officers.
- ii) **Technical Officers**- This category targets actors whose primary responsibility is to plan, execute, monitor and evaluate development policies, programs and projects in Ministries Departments and Agencies as well as Local Governments. They include; the MDA Policy and Planning Units, The MDA Technical Departments., At the Local Government level, the include members of the District Technical Planning Committees.
- iii) **Special Interest Groups**- This category targets individuals and groups whose plight and interests need to be specially targeted in order to ensure equitable distribution of development benefits. This category has unique needs that may not be voiced through general consultations. They include vulnerable and marginalized groups and individuals such as; Women, Youth, PWDs, Refugees, and Persons living with HIV and AIDS.
- iv) **Policy Ministries and Agencies**- this category targets MDAs that play a central role in guiding planning, Budgeting, Implementation, Monitoring and Evaluation of Government policies and programs. They include; Ministry of Finance, Planning and Economic Development, National Planning Authority, Office of Prime Minister, Uganda Bureau of Statistics and Ministry of Local Government.
- v) **Non- state actors**- this category targets development actors other than the public sector (Government). They include; Development Partners, Civil Society Organizations, Private Sector, Religious leaders, Cultural leaders and Media.
- vi) **Research and Academia**- this category targets individuals and institutions responsible for generation of knowledge and its translation into products and services. They include; Universities and other tertiary institutions, research institutions and freelance researchers.

#### 4.4.4 Consultations and data collection methods and tools

The mode of consultations at MDA and local government levels may range from key informants' interviews, focus group discussions, brainstorming and consultative meetings. These methods and tools are described below:

**Key informants' interviews** - here the MDA is expected to purposively target respondents who are knowledgeable or authorities on different topical issues and seek their candid opinion on such issues.

The interview guide should be prepared prior to actual engagement with key questions that should form basis for such engagements.,

**Focus Group Discussions** – these shall entail focused meetings of 7-10 people who have similar interest in the subject matter and more or less share similar views of the matter. They will be consulted together and different perspectives of their views recorded to inform strategic planning process.

**Brainstorming meetings** – these shall be meetings for generating ideas and views from a variety of participants. All divergent views shall be recorded as generated (without challenge) and later on analyzed and synthesized using appropriate themes/subcategories.

**Consultative meeting** - these are facilitator-moderated meetings drawing a bigger number of participants more than 10 and the objective is to validate and build consensus on recurring ideas/emerging views. The consultative meetings should be therefore be held when adequate review of literature and some initial consultations have been done and there are growing body of information collected on the subject matter.

It is however, highly recommended that in order to minimize expenses required during consultations, MDAs should leverage on existing collaborative and participative forums such as Joint Annual reviews, Local Government Budget Conferences etc.

#### **4.4.5 Outcomes of the consultation**

The consultative process should generate adequate information to gauge performance of the outgoing plans and point at perceived priorities of the new plan. Since consultation is an ongoing process, the information collected shall be required for the respective planning phases. By and large, the following information is expected to be generated from the consultation and data collection phase:

- i) The prevailing physical, social and economic characteristics of the MDA, where applicable;
- ii) The development situation, focusing on opportunities and potentials for wealth creation by each MDA;
- iii) The situations, opportunities and potentials of key stakeholders; including private sector, civil society organisations and development partners;
- iv) An estimate of the human resource in both public and private sector; and
- v) Gender, disability, human rights, environment and other crosscutting issues.

#### **4.5 Plan Formulation**

This phase elaborates the technical stages to get through in order to develop the MDA plan. It entails analytical stages such as review of the previous plans and situation analysis, and strategic planning steps such as agenda setting, articulation of strategies, programme/projects, plan implementation and coordination arrangements, costing of the plan, as well as monitoring and evaluation. The activities and processes to be conducted in each of these annotated stages are described in subsequent sections.

**Note: Annex 3 provides a structure of the strategic plan with a short description of each of its chapters.**

## **4.5.1 Situation Analysis**

### **4.5.1.1 Approaches to a situation analysis**

Situation analysis stage entails identifying contextual factors affecting the institutions planning ecosystem including the policy and regulatory environment, institutional arrangements, human and other resources. It should briefly analyze the MDAs historical performance (covering the previous five years) highlighting issues that are critical to attaining its preferred future state. The situation analysis should also involve scanning the environment for signals and trends that are likely to influence the future of the institution and its planning ecosystem. Relatedly, the situation analysis shall identify potentials and opportunities in the environment that need to be exploited as well as threats and obstacles to be addressed.

The following steps should be undertaken:

#### **a. Review of relevant information**

Reviewing existing information can help in identifying the relevant information to the development of the strategic plan of the institution. This exercise is designed to generate potential vision, mission, objectives. The following secondary source of information can be consulted:

- Mandates and statutes: these define the function and responsibility of the institution. They can influence the mission, vision and objectives.
- National planning frameworks, Policies and strategies such as the Vision 2040, the third National Development Plan. These should influence the institutional strategic direction.
- Past strategic plans: brainstorm of the current Mission, Vision, Objectives and results.
- International Obligations: reviewing global and regional development frameworks that the country has committed to achieving and understanding the relevance to the institution in order to domesticate them

#### **b. Performance review**

The M&E results should feed back into the planning process. This step involves an analysis of past institutional performance based on what was set out to be achieved. This is informed by a internal progress reports, studies and evaluations. In reviewing performance, the focus can be on: What were the main findings; What were the key achievements and challenges; What lessons were learnt and how can these inform the way forward for the next plan?. Specifically:

- Examine how the indicators that describe the MDA have been performing where applicable disaggregated by sub-regions. Provide the necessary statistics and/or indicators if possible disaggregated by MDAs. Can be presented in graphs, bar charts etc.

- Analysis of progress made against relevant development goals (SDGs, Africa agenda 2063, EAC Vision 2050 etc). (Section 3.5.1.2 provides more guidance on integration of cross-cutting issues into the strategic plan)
- Description of state of cross cutting issues relevant to the MDA. Focus on: describing each of the crosscutting issue relevant to the MDA showing how its relevant to the performance; Providing basic information/ statistics on the issue e.g. most affected population, affected areas, incidence, prevalence, recent development interventions promoting the respective crosscutting issue in the MDA budgetary and non-budgetary allocations on the crosscutting issue etc; Effects/development concerns arising out of the issue. (Section 3.5.1.3 provides more guidance on integration of cross-cutting issues into the strategic plan)

### c. Stakeholder analysis

Stakeholder analysis attempts to understand the perceptions, expectations of stakeholders involved in the actualisation of the plan (beneficiaries, implementors etc). This entails the following:

- Identifying stakeholders: who are the key services recipients
- Interaction with the stakeholders: this will involve engaging the stakeholders to get their opinions on the institutions performance in relation to service delivery. Some of the questions that may be useful include: what do you expect from the institution; what have we delivered; were you satisfied and why; what areas can be improved.
- Document the results: this can be presented in a simple matrix where the main views and responses from each major type of stakeholder are document and analysed.

### d. Analysis of institutional factors

The MDA will assess factors that have contributed to its performance with respect to; Financial resources; Human Resources; and Monitoring and Evaluation function.

### e. SWOT Analysis

SWOT analysis is a key analysis framework that enables the integration of other analysis methods such as PESTLE. SWOT stands for Strengths, Weaknesses, Opportunities and Threats. Specifically;

- **Strengths** –the positive and tangible attributes that are internal to the MDA which the MDA should harness to improve its performance e.g. availability of technical staff, strong policy framework, strategic leadership etc. The MDA should identify measures to capitalize on such strengths to enhance realization of its goals and objectives.
- **Weaknesses**- the internal negative attributes/factors that inhibit/constrain the MDA performance ie areas that need improving e.g absence of supportive legal framework, inadequate staffing, unsustainable funding etc. The MDA should identify ways of addressing and minimizing the impacts of such factors in order to achieve its goals and objectives.
- **Opportunities**- the positive attributes/factors existing in the MDAs environment which the MDA should harness to move it forward. These are external to the MDA. They may be

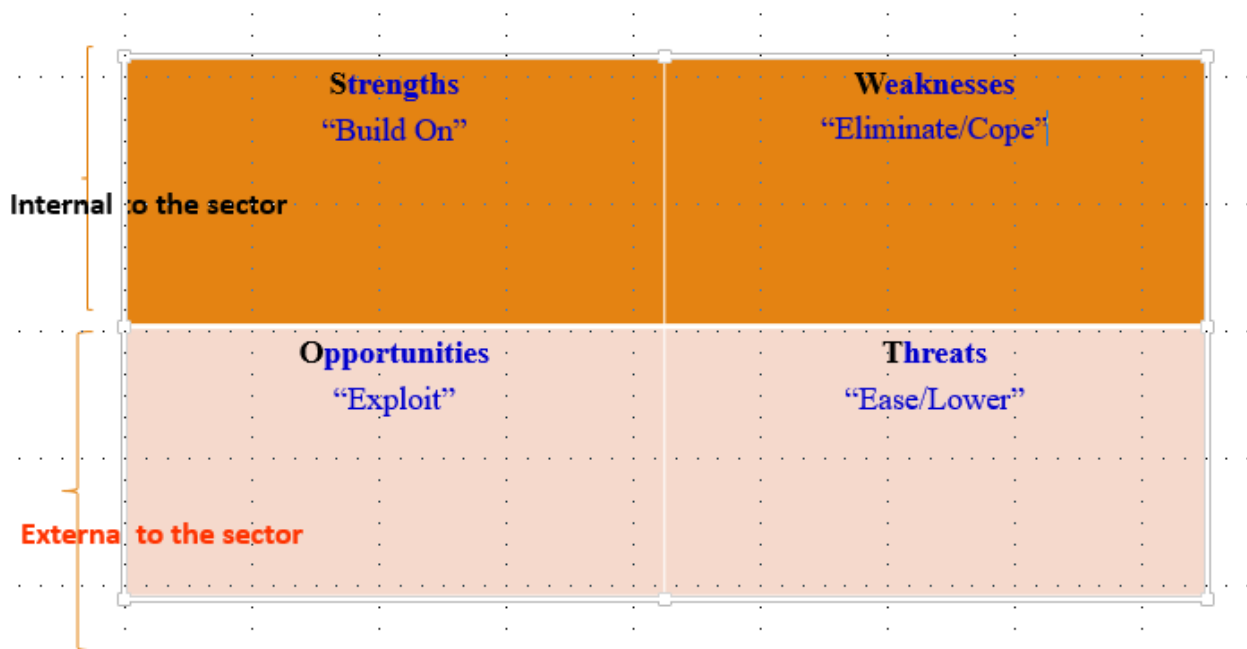


political, economic, social, technological, ecological and legal (PESTEL) environmental factors. For example, prevailing peace, good infrastructure, political good will, potential partnerships and alliances etc. This can be exploited to ensure that the MDA goals are realized faster and more effectively.

- **Threats** - external factors beyond the MDA control that place its goals or objectives at risk. Just like opportunities, Threats also arise out of the political, economic, social, technological, ecological and legal (PESTEL) environmental factors e.g. Insecurity, external economic shocks etc.

The framework for presenting the SWOT is a four-quadrant matrix as illustrated in Figure 4.

**Figure 4: SWOT Analysis Matrix**



MDAs shall identify the strengths to leverage on in order to harness potential opportunities and the weaknesses to be minimized to prevent the threats from becoming reality. Through this analysis MDAs shall also identify potentials and opportunities availed by the external environment as well as constraints and challenges hindering harnessing of opportunities for the betterment of the MDA. It is highly advisable that MDAs do not stop at identifying internal strengths and weaknesses and/or external opportunities and threats but go further to identifying measures to address the pain areas (weaknesses & threats) and harness potentials (strengths and opportunities).

In some texts, SWOT is known by different names and presented differently. However, the principles remain the same. Other common use of SWOT includes: SCOT- Strengths Constraints Opportunities and Threats; POCC- Potentials Opportunities Constraints and Challenges, and SCOR- Strengths Challenge Opportunities and Risks.

MDAs are encouraged to adopt SWOT because it is a robust tool for facilitating assessment of internal Strengths and Weaknesses as well as external Opportunities and Threats and it is simple to use.

**PESTEL Analysis** is intended to provide a framework for exhaustive analysis of the external environment – adding perspectives to SWOT analysis. These perspectives are political, economic, social, and technological (PEST) factors, which is often extended to cover environmental/ecological and legal aspects as well (PESTEL).

For completeness, MDAs are expected to apply the broader perspective – PESTEL Analysis. What this means is that in analysis of opportunities and threats, it will be critical that all the six dimensions are addressed –political, economic, social, technological, ecological and legal aspects.

#### **4.5.1.2 Integration of Global, Continental and Regional Development Frameworks**

All plans should integrate respective international frameworks in line with their mandate and NDPIII priorities. The 2030 Agenda for Sustainable development, the Africa Agenda 2063 and the East African Community Vision 2050 all place sustainable development at their centre with the premise that equitable and lasting development requires careful balance in production, consumption and use of natural resources to ensure that today's consumption does not compromise the needs of future generations. The development frameworks converge on issues related to the 5 P's i.e. People, Prosperity, Planet, Peace and Partnerships. Although similarities exist, these, agenda diverge with the continental and regional frameworks focusing more on integration and cultural aspects. In line with this, a mapping of International and Regional Development Agenda to NDP III programs has been done and appended as **Annex 1:** to further guide MDAs in effective integration and alignment of these development agenda to MDA development plans.

In general, domestication of international development agenda into the plan follows these simple six steps:

- i) Identify development agenda that Uganda has signed and/or ratified;
- ii) Identify the goals that are relevant to your MDA;
- iii) Identify the indicators and targets that have been agreed at national level;
- iv) Identify, adapt and prioritise indicators and targets at MDA level;
- v) Identify priority interventions to achieve the targets for the period;
- vi) Estimate resources requirement for successful execution of adapted goals & targets.

The MDA will be expected to create a link to the goals for each element in the context/situation analysis of the plan, and identifying interventions as well as corresponding indicators. Indicators for measuring progress on the goals will be integrated in the plans monitoring and evaluation frameworks. The goals will therefore be embedded in the plans at intervention, budgeting and results level

#### **4.5.1.3 Integration of cross-cutting issues**

The national development plans and decentralized development plans shall integrate crosscutting issues in accordance with the Planning Regulations and guidelines issued by the Authority and the

Equal Opportunities Commission. The comprehensive national development planning framework and the national development plan shall include the costed interventions in respect of the crosscutting issues, targets and indicators to measure progress of implementation.

The National Planning Authority (Development Plans) Regulations, 2018 defines cross-cutting issues to mean issues that require action from more than one sector. The cross-cutting issues identified by the Regulations include; gender, environment, human rights, equity, disability, nutrition, governance, accountability and anti-corruption, population and development and science, innovation and information and communication technology. Others are; child health, social protection, climate change, HIV/AIDS, culture, and disaster preparedness.

A number of MDAs have specific guidelines for integration and mainstreaming the cross-cutting issues. Where guidelines for integrating specific crosscutting issues in planning have been produced by the responsible agencies, the planning teams shall strictly adhere to such guidelines. Where such guidelines are not in place NPA together with responsible agencies shall produce guidelines. In order to ensure effective integration of cross cutting issues in the plans, MDAs shall describe and adopt crosscutting issues to developments in the MDA. Generally, integration of cross cutting issues requires sectors to focus on the following key steps;

- i) Identify and prioritise the cross-cutting issues that are most relevant to the MDA. These could be issues where protocols and conventions have been signed/ratified by government, arising from international declarations or compliance requirements;
- ii) Study the guidelines for mainstreaming the selected cross cutting issues. Where the guidelines are not explicit, the MDA should review the relevant sources for the example for the case of gender and equity sector may obtain information from gender and equity compacts;
- iii) Identify the performance targets for the respective cross cutting issues over the planning period as agreed upon at the national level;
- iv) Based on the agreed national target determine appropriate target for the cross-cutting issues;
- v) Identify interventions and actions and measures to address the crosscutting issue agreed upon at the national level;
- vi) Cost the interventions and ensure they are consolidated into the MDA plan;
- vii) Determine indicators and targets and incorporate in the plan results framework.

#### **4.5.2 Setting the Broad Strategic Direction of the MDA Strategic Plan: Alignment of the Strategic Plan to the Programmes**

The strategic plan will provide the strategic direction for the planning period in line with the NDP and the programme to which it contributes. Elaboration of the strategic direction will follow the review and situation analysis phase and will involve (i) Review of the broad NDP strategy – Goal,

Objectives and results; (ii) Review and selection of the NDPIII programme(s) that the MDA contributes to; (iii) Development of the MDA strategy – Vision, Mission, Core Values, Goal, Objectives and adopted outcomes the sub-programmes in the PIAPs; (iv) Identifying broad areas of focus the MDA will contribute to (iv) and Determination of the MDA interventions, outputs, activities and costs.

#### **4.5.2.1 Setting the Institutional Vision and Mission**

The **Vision statement** describes where the institution intends to be in the future. It represents a shared sense of direction and incorporates the core values of the institution. It describes what the institution believes in.

A good vision statement should:

- a) Provide a clear sense of direction
- b) Be inspirational
- c) Be short and easily recalled by staff

The **Mission Statement** explains why the institution exists and describes what it does. It brings the institution into focus and shows how it intends to reach the vision aspirations. It is not something that is achieved, but something that is continually pursued, guides the direction of the organization. A mission contains at least three elements: A verb that indicates a change in the “status quo” (increase, lower, generate, eliminate, transform, etc.); the explanation of the problem or condition to be changed and the identification of the specific beneficiaries. The mission reveals the identity of the organization to be recognized in its environment; the values, rules and principles that guide its activity; and cohesion around common objectives, which facilitates conflict resolution and staff motivation.

A good mission statement should:

- Describe what the institution does (current capabilities), who it serves (stakeholders) and what makes the institution unique (justification for existence);
- Be derived from and cover all relevant statutes, in particular Government mandates, instruments and establishing legislation.
- Be Action oriented
- Be short and be easily internalized and recalled by staff

**Core Values** are beliefs that the people in the institution hold in common and endeavor to put in action.

#### **4.5.2.2 Setting the MDA Strategic Goal and Objectives in line with the NDPIII**

The strategic goal and objectives have to be linked to the NDPIII goal and objectives. In line with the programme approach, programmes and sub-programmes have been defined with corresponding goals, outcomes/intermediate outcomes and objectives from which MDAs are expected to align goals, outcomes and objectives.

The MDAs are therefore expected to set their goal based on strategic issues from the analysis and on the direction of the programme most relevant to them.

### Illustration of the linkage between the MDA strategy and the NDPIII

An MDA can contribute to a number of programmes. Within the programme, the contribution of the MDA will be through the sub-programmes which is a further breakdown of the programme into manageable components.

Using the Uganda Cancer Institute (UCI) as an example, the Institute contributes to three NDPIII Programmes; (i) Human Capital Development; (ii) Innovation, Technology Development and Transfer, and (iii) Digital Transformation. Table 13 shows the programmes, sub-programme, objectives, results and interventions that the institute contributes to.

**Table 15: Programmes and Sub-Programmes Relevant to the Uganda Cancer Institute**

NDPIII Programme	Programme Goal	Programme Objectives	Programme Outcome Results	Programme Intervention(s)	UCI Interventions
Human Capital Development  <u>Sub-programme</u> Population Health, Safety and Management	Improving productivity of labour for increased competitiveness and better quality of life for all	Objective 4: To improve population health, safety and management	Reduced mortality due to NCDs from 40 to 30 percent;	1. Prevent and control Non-Communicable Diseases with specific focus on cancer, cardiovascular diseases and trauma. 2. Promote health research, innovation and technology uptake	
Innovation, Technology Development and Transfer  <u>Sub-programme</u> Science Research and Development	Increase the application of appropriate technology in the production and service delivery processes through the development of a well-coordinated STI eco-system	1. To strengthen R&D capacities and applications  2. To increase development, transfer and adoption of appropriate technologies and innovations	1. Increase the Global Innovation Index from 25.3 to 35.0  2. Increase Gross Expenditure on R&D as a percentage of GDP (GERD) from 0.4 percent to 1 percent	1. Conduct ST&I surveys and studies for use in evidence-based planning and policy formulation  2. Develop, oversee and implement programmes in new and emerging areas of space science, marine, nuclear, data and climate science, nanotechnology, biotechnology, among others  3. Establish research collaborations at local, regional and international level	

In line with the above therefore, the goal of the UCI is **“To contribute to human capital development and productivity by reducing the incidence of cancer and increasing survival”**.

To achieve this goal, UCI will pursue the following objectives: (i) Reduce cancer risk by enhancing health promotion and cancer prevention; (ii) Increase equitable access to quality and comprehensive cancer services; (iii) Enhance cancer research, innovation and development at national and international level; (iv) Provide specialized cancer training for both national and international trainees; and (iv) Strengthen institutional effectiveness and efficiency to meet the growing demand of cancer services.

Based on the UCI objectives as stated above, the focus areas for the Institute are; Research, Innovation & Development, Cancer Prevention, Cancer Care, and Specialized Cancer training.

### **3.5.2.3 Identification of MDA interventions and Activities in line the PIAPs**

MDAs interventions and activities have to be drawn directly from the PIAPs. The PIAP interventions and activities will have to be adopted or modified to suit the MDA level. The MDAs will therefore analyze the different programme interventions to identify those which relate to selected development issues of an MDA while pointing out the critical intervention areas and activities upon which an MDA will put emphasis per each programme objectives and interventions. The template below can guide in populating the actions for the identified interventions.

<b>OBJECTIVES</b>	<b>INTERVENTIONS</b>	<b>OUTPUTS</b>	<b>ACTIONS</b>
<b>Objective 1:</b>			
<b>Objective 2:</b>			

#### **NOTE:**

- **The interventions and actions identified should integrate the cross-cutting issues analyzed in the situation analysis. The MDA should make reference to**
- **The MDA is also required to plan for public assets to be acquired and used. This is in line with the Asset Management Framework & Guidelines - October 2020. The asset strategic plan shall cover a minimum of 3 years and shall include details of the assets and their requirements in operations, maintenance, replacement and disposal of the assets. The strategic plan will be an addendum to the plan and shall include rolling plans over the 3-year period.**

### **4.5.3 Development and approval of projects**

Identification and profiling of projects will be guided by the National Project Identification Guidelines issued by NPA (See Annex 4). In the course of project identification, MDAs should ensure that projects are linked to the National Development Plan (NDP) objectives and programs. Project identification is defined to include: new projects identified by MDAs; extension of already ongoing projects; revival of failed projects; seeking loan financing; emergencies and presidential directives, among others.

Several sources of project ideas are considered under the National Project Identification Guidelines including the: National Development Plan (NDP) and attendant plans; Evaluation reports on implemented projects; Ruling Party Manifesto; Presidential directives; Cabinet directives; and Academia research/ publications.

The National Project Identification Guidelines, also provide steps to be followed by MDAs while identifying projects. Step 1 – Analyze all projects undertaken by the MDA since NDPI period (FY 2010/11); Step 2 – Identify conflicts of interest/situational influences; Step 3 – Conduct project consultations; Step 4 – Determine the project name; Step 5 – Prepare the project idea using guidance provided by NPA; Step 6 – Classify project outputs into recurrent and capital; and, Step 7 – Prepare the project using Relevant guidelines such as the Development Committee (DC) Guidelines.

So far, the National Project Identification Guidelines have been utilized in the preparation of the Third National Development Projects Investment Plan (NDPIII) and Investment Plans for different programmes and regions. The Guidelines, have been formulated in such a way to allow MDAs to collect as much information as possible at the initial stages of project consultations. They also link well with the Development Committee guidelines to provide a smooth transition from project identification through preparation and later preliminary evaluation stages.

In the course of National Development Plan (NDP) preparation, NPA is responsible for selection of core projects based on the NDP theory of change and development objectives. NPA will further support programmes and MDAs in project identification as part of its planning role and conduct trainings on project identification where necessary spear led by its Project Development and Investment Planning Department. The department will also support MDAs and the private sector in undertaking feasibility studies and bankable proposals where necessary and more especially for NDP core/flagship projects. Programmes and MDAs are free to consult and seek assistance from NPA on project identification. The National Project Identification Guidelines are summarized under Annex 4.

### **4.5.4 Costing of the Plan**

In order to aid financing of the MDA plans it is critical that MDA plans are dully costed. A costed plan is important to estimate total investment expenditure required for MDA priorities, and factoring them in macroeconomic modelling for NDP investment expenditure. Costed plans also serve as baselines against which financial performance of plans can be benchmarked. Therefore, the MDA preparation Teams shall identify all the types of inputs required, assess the quantity required for each activity, estimate the cost per unit and calculate the implied costs. The recommended costing method is the ‘unit costing’. Strategic Plans shall be costed for the entire five (5) year period and these costs should be annualized. It is therefore a requirement that each plan should have a detailed

cost implementation matrix (see Annex 5) that portrays annualized cost and how they compare with projected MDA budget over the medium-term expenditure framework (MTEF).

#### **4.5.4.1 Defining the Financing Framework**

An MDA plan will have an elaborate resource mobilization and financing strategy. In this regard therefore, MDAs will need to define and specify the strategies through which development resources to finance all the identified activities will be mobilized and managed.

In defining the Financing Framework, MDAs will:

- i) Identify the main sources of revenue for financing including central government transfers, Non-Tax Revenue (NTR) and potential development partners (DPs) (E.g. NGOs/ CBOs, FBOs, and Private sector). For Development partners specify the distribution of their contribution over the plan period and whether their contribution will be on or off budget;
- ii) State the strategies for raising the required resources;
- iii) State roles, responsibilities and conditions of development partners in financing the plans including a specification of whether the funding will be budget or off-budget;
- iv) State strategic actions that will be taken in mobilizing development partners to finance the plan activities;
- v) State strategies for ensuring efficiency in resource use; and
- vi) Specify any other aspect relevant financing including innovative financing methods (for example PPPs).

The recommended framework for MDA financing is presented in Table 14.



**Table 16: Format of MDA Financing Framework**

Sources of Financing	Total Contributions FY1	Total Contributions FY2	Total Contributions FY3	Total Contributions FY4	Total Contributions FY5	Total Contributions -	(%) Share by source of financing	Off Budget Contribution
Central Government Transfers Total (Contribution)								
Non-Tax Revenue								
Development Partners (DPs)- Specify <sup>3</sup>								
DP1								
DP2								
DP2								
Etc								
<b>TOTAL</b>							<b>100</b>	

<sup>3</sup> NGOs, FBOs, CBOs, PSOs as well as Bilateral donors dealing directly with LGs are all included in this categorisation

#### **4.5.4.2 Drawing the Costing and Cost Implementation Matrix**

In addition to the financing Framework, MDAs will also develop a Cost Implementation Matrix using a standard template. A Cost Implementation Matrix is a schedule that relates planned objectives, strategies and interventions with estimated costs and also specifies targeted outputs and the responsibility centre for each of the planned intervention. (See Annex 5 for the format of the Cost Implementation Matrix). An MDA will align costing of its outputs to its respective Programme Implementation Action Plan which it contributes.

#### 4.5.5 Institutional and coordination arrangements

This section should describe how use of the existing MDA structures, systems, procedures and regulations, synergies among stakeholders (including non-state actors) will be utilized in the implementation and coordination of the strategic plan. It should also describe the approaches and strategies that will be employed to implement the plan e.g. PPP, private sector led, government led etc.

This section should also describe the key stakeholders/institutions that have responsibilities for coordination and implementation of the plan. It should state the key roles each of the institution will play and how they will relate to harness synergies that exist between the different institutions/stakeholders given their mandates.

#### 4.5.6 Roles of the different institutional structures in the MDA

The strategic plan should list the roles and responsibilities of the major players in the institution. These are the internal stakeholders. They include but not limited to the Board of Directors, Top Management, Finance Committees etc.

#### 4.5.7 Roles of other Key stakeholders

These are external stakeholders they will play a role in implementing the plan. The stakeholders may include but not limited to the following categories; Government, Development Partners, Civil Society and Private sector. Table 15 provides a generic list of external stakeholders.

**Table 17: Other key stakeholders/institution and their key roles**

S/N	Institution/stakeholder	Key roles/responsibilities
1.	National Planning Authority (NPA)	<ul style="list-style-type: none"><li>• Providing overall guidance and technical support to programme development planning process.</li><li>• Offering capacity building to programmes, MDAs, LGs where necessary</li><li>• Monitoring effectiveness of PIAPs and strategic plans through issuance of Certificate of Compliancy.</li></ul>
2.	Office of the President	<ul style="list-style-type: none"><li>• Take overall leadership and oversight of implementation of the NDP to ensure its attainment.</li><li>• Timely communication of cabinet decisions</li><li>• Mobilizing the population towards achievement of the plan</li></ul>
3.	Office of the Prime Minister (OPM)	<ul style="list-style-type: none"><li>• Offering leadership to the programmes</li><li>• Coordination of overall implementation and monitoring</li></ul>
4.	Ministry of Finance, Planning and Economic Development (MoFPED)	<ul style="list-style-type: none"><li>• Providing financial resources</li><li>• Providing technical guidance and mentoring on budgeting for implementation of plans and budgets</li><li>• Monitoring utilization of resources disbursed for strategic plan implementation</li></ul>
5.	Uganda Bureau of Statistics (UBOS)	<ul style="list-style-type: none"><li>• Providing reliable data for planning,</li><li>• Giving technical advice and capacity building in data collection and management</li></ul>
6.	Development Partners	<ul style="list-style-type: none"><li>• Provide technical support to MDAs in planning and</li></ul>

S/N	Institution/stakeholder	Key roles/responsibilities
		<ul style="list-style-type: none"> <li>implementation of plan interventions</li> <li>Providing Financial resource</li> <li>Integrating some aspects of the plans into their programming.</li> </ul>
7.	Local governments	<ul style="list-style-type: none"> <li>Providing input into the strategic plans</li> <li>Aligning their LG plans to the strategic plans</li> <li>Implementing relevant aspects of the strategic plans.</li> </ul>
8.	Civil society and private sector organizations	<ul style="list-style-type: none"> <li>Participating in PWG activities as co-opted members</li> <li>Providing information about their on-going and planned development activities to the MDA for input into the strategic plans</li> <li>Contributing to the implementation of the strategic plans</li> <li>Participating in M&amp;E of strategic plans.</li> </ul>

#### 4.5.6 Communications and stakeholder engagement

To ensure ownership and effective implementation of the strategic plan by all key stakeholders at all levels (national, programme, MDA and LG), it's important to have a communication strategy. The plans will thus have a section on communication and stakeholder engagement strategy. In this section, the MDA will describe the main channels of communication like media, meetings/workshops etc, key things/issues/areas to communicate especially on progress of the plan implementation, frequency of communication by the different channels/methods, key stakeholders involved and their roles including non-state actors (private sector civil society organizations and Development partners). It shall also describe the feedback mechanism to be adopted by the MDA.

### 4.5.7 Risk Management

MDAs are exposed to a variety of risks related to development and implementation of their Plans and hence hindering fulfilment of the strategic objectives. The MDA should design its risk management strategy to effectively ensure that the MDA's reporting objectives are being achieved.

The plan should identify, analyse various potential risks and prescribe possible mitigation, continuous monitoring and management measures during the plan period. These should be embedded throughout all the strategic and operational plans and workplans during the implementation of MDA Plan.

#### 4.5.7.1 Risk categorization

Risks can be categorized as, **External**, **Strategic** and **Operational**. Table 16 provides a detailed explanation of these risks.

**Table 18: Risk Categorization**

External Risks	Strategic Risks	Operational/Preventable Risks
Risks from uncertain and uncontrollable external events	These are risks that the MDA assumes in pursuit of achieving Strategic objectives and the desired change	Risks arising from within the entities' operations that do not generate strategic or long-term benefits. These are risks that might impede the Ministry to achieve the planned outputs and targets
<b>Risk Mitigation Objective</b>		
Reduce cost of impact effectively should risk event occur	Reduce likelihood and occurrence cost effectively	Avoid or eliminate occurrence cost effectively
<b>Control Model/Strategy</b>		
<ul style="list-style-type: none"> <li>• Business Continuity</li> <li>• Disaster Response</li> <li>• Cyber security</li> <li>• Scenario Planning</li> <li>• Crisis Management</li> <li>• Stress Testing</li> </ul>	<ul style="list-style-type: none"> <li>• MDAs Investment Plans (SIPs)</li> <li>• Presidential Investment Round Table (PIRT)</li> <li>• Annual Economic Growth Forum etc</li> </ul>	<ul style="list-style-type: none"> <li>• Legal and Regulatory Framework</li> <li>• Documented Policies and Procedures</li> <li>• Standard Operating Procedures (SoPs)</li> <li>• Internal Controls</li> </ul>

#### 4.5.7.2 Risk Assessment and Analysis

A Risk Assessment based on Impact and Likelihood ratings should be performed as provided by Government of Uganda Risk Management Strategy (RMS). The risk impact and likelihood representation will be based on a 3-Band rating scale as; High, Moderate or Low. This is for both Impact and Likelihood, with symbols and numbers as shown in Table 16.

**Table 19: Risk Impact and Likelihood**

Number	Impact	Likelihood
3	High (H) also Catastrophic	High (H) also Almost Certain
2	Moderate (M) also Medium	Moderate (M) also Possible
1	Low (L) also Minor	Low (L) also Unlikely

#### 4.5.7.3 Risk rating

The overall risk rating is a combination of both the Impact and Likelihood ratings. It is derived by multiplying the two ratings (i.e. Impact x Likelihood). Using the 3-Band rating scale, the highest level of product is 9 and the lowest level is 1. A risk at 1-2 is LOW and depicted by Green colour; a rating at 3-5 is MODERATE and depicted by Yellow colour and a rating at 6-9 is HIGH and depicted by Red colour. Table 18 provides an illustration of risk rank or total with colour and appropriate responses.

**Table 20: Overall Risk Rating and Response**

Overall Rating (Impact x Likelihood)	Response
<b>LOW: (1 – 2)</b>	Occasional monitoring. Tolerate; continue with existing measures and review annually.
<b>MODERATE: (3 – 5)</b>	Steady improvement needed. Continually monitor and perform periodic review.
<b>HIGH: (6 – 9)</b>	Highest priority, very serious concern. Immediate action required and review regularly.

#### 4.5.7.4 Risk Compilation

A risk matrix will be used to compile and systematically describe all the risks properly, including how they affect the achievement of the desired objectives as well as potential mitigation measure. Table 19 provides a template to be followed.

**Table 21: Key Envisaged Risks (Low 1, Moderate 2, High 3; Minor 1, Moderate 2, Significant 3)**

SN	Identified Risk	Risk category	Analysis				Mitigation	Lead Actor
			Causes	Likelihood	Impact	Risk rating		
1.			•	High	Significant	High	•	
							•	
							•	

#### 4.5.8 Developing the Monitoring and Evaluation Strategy

The MDAs strategic plans shall have Monitoring and Evaluation (M&E) strategy that will enable stakeholders to regularly and systematically track implementation of selected priorities and assess progress of the plan with regard to the agreed objectives and outcomes. MDAs are therefore obliged to develop an M&E strategy as an important section of their development plans. The M&E strategy shall also be in line with the NDP M&E Framework for the NDPIII and the Uganda National Monitoring and Evaluation Policy and framework. The M&E strategy will help MDAs to answer the following;

- viii Were the planned activities implemented as planned?
- ix Were resources availed and used timely as planned?
- x Did the MDA achieve what it wanted to achieve i.e. Implementation of activities resulted into the planned outputs?
- xi Did the outputs result in the expected outcomes?

#### 4.5.8.1 Elements of the MDA M&E Strategy

Structurally, the M&E strategy for MDA Development Plans will include definition of:

- vi Objectives of the M&E strategy
- vii Stakeholders in the M&E Function
- viii Development of MDA M&E System
- ix Reporting Arrangements
- x The MDA Results and Reporting Matrix

#### 4.5.8.2 Stakeholders in the M&E Function

Some of the key national government M&E stakeholders and reporting frameworks to which the MDA M&E framework will partake are given in Table 20.

**Table 22: M&E Stakeholders and Reporting Frameworks**

Institution	Framework	Key features
Annual Apex Platform	High level Synthesised Oversight Programme and Monitoring report	<ul style="list-style-type: none"> <li>The High-level Synthesised Oversight Programme and Monitoring report will assess the outcomes and impact derived from socio-economic and development interventions by programme/MDA. It will facilitate the executive to take informed and action focused decisions to address development challenges.</li> </ul>
The National Planning Authority	The National Development Report	<ul style="list-style-type: none"> <li>The National Development Report is an annual report produced by NPA to provide information on the country's current development status and the progress made against NDP indicators at all levels of the Plan's results framework. The report also covers the contribution of non-state actors</li> </ul>
	Certificate of Compliance Report (COC)	<ul style="list-style-type: none"> <li>The certificate of compliance is an annual assessment of the annual budgets to the SDP/MDA plan and NDP</li> </ul>
Office of the Prime Minister (OPM)	Government Annual Performance Report	<ul style="list-style-type: none"> <li>The Government Annual Performance report assesses performance of Government MDAs and Local Governments against key objectives outlined in the National Development Plan, and the medium terms objectives and budget spending across main government MDAs implementing the NDP.</li> </ul>
	Annual National Assessment	<ul style="list-style-type: none"> <li>Annual assessment of minimum conditions and performance measures ascertains local government performance against basic services and functions. The assessment also gauges the level of compliance of local governments to the provisions of the laws and national guidelines.</li> </ul>

<b>Institution</b>	<b>Framework</b>	<b>Key features</b>
Ministry of Finance	Budget Monitoring and Accountability Mechanisms	<ul style="list-style-type: none"> <li>MoFPED has got a Budget Monitoring and Accountability unit that tracks financial flows to MDAs and LGs and monitors inputs, outputs and progress of implementation of government programmes and projects included in annual budgets of government MDAs.</li> </ul>
	Performance Contracts (Performance Form B)	<ul style="list-style-type: none"> <li>Through Performance Contracts, MoFPED obliges all Government Accounting Officers to report against commitments made in the annual Performance contracts. This reporting is quarterly.</li> </ul>
Ministry of Public Service	Client Charters	<ul style="list-style-type: none"> <li>The Ministry of Public Service (MoPS) has started the process of developing client charters which define service standards and expectations between public bodies, and between service providers and users. Similar charters have been developed and agreed to by local governments.</li> </ul>

#### **4.5.8.3 Development of M&E System**

The M&E System comprises of the Management Information System (MIS) that needs to be established for internal management of the institutional plans as well as for reporting on performance. Therefore, in developing their M&E strategy, MDAs are required to link to their Management Information systems and NDP M&E system will entail:

- vi Development of performance indicators that are SMART (which should include baseline indicators);
- vii Setting performance targets that will be used to assess performance;
- viii Earmarking methodologies, participants and tools to be used in conducting different M&E activities;
- ix Setting the timeframes for different M&E activities/ events
- x Identifying centres for receiving information generated by M&E events.

#### **4.5.8.4 Reporting Arrangements**

##### **i Routine Monitoring/Reporting**

The plan implementation shall be monitored on a routine basis through structured meetings within the different departments and divisions, based on the targets and indicators contained in the Operational Plans. Similar MDA specific monitoring procedures shall be put in place at MDA level

##### **ii Periodic reporting**

Periodically e.g. quarterly, standardized written performance reports shall be produced by the same departments and divisions at regular intervals using the guidelines and tools provided to them by the Secretariat of the Strategic Monitoring Committee. The reports will be submitted to the Monitoring Committee as a basis for reviewing progress, examining problems and constraints and recommending corrective action to be taken.

##### **iii Annual reporting- Joint Annual Reviews**



During the last quarter of the fiscal year, the MDA shall prepare a consolidated annual performance report on the basis of the reports prepared by the implementing departments.

This report shall serve as the basic document for the Annual Review Meeting with stakeholders, which shall offer the opportunity to jointly assess achievements and shortcomings of the plan implementation and to agree on improvements to be made in order to reach the development objectives and targets put forward by the Strategic Plan. Each annual review meeting (and report) shall be timed in such a way that it can serve as a basis for preparing the Operational Work Plan and Budget of the following year.

#### **iv Annual reporting – GAPR**

The Government Annual Performance Report (GAPR) provides a comprehensive assessment of Government 's performance and the results of public spending of the Financial Year. The Report focuses on the performance of Ministries, Departments and Agencies (MDAs) against output targets across all programmes and progress made in the implementation of key actions agreed during the last Government performance retreats. It provides a basis for accountability of the use of resources and the results achieved; to provide a basis for policy discussions within Government and to guide decisions on resource allocations in the Financial Year.

The Reports outline the performance of Government during the previous and current financial year; it assesses progress against the Governments commitments made in the National Development Plan (NDP), Budget Speeches and Ministerial Policy Statements for the financial year.

The review focuses on what has been achieved against what was planned and what difference this has made in terms of improvements in public service delivery. MDAs will therefore be required to prepare and provide input into the process of producing the GAPR report on annual basis.

#### **v Midterm Review**

The plans will be subject to midterm evaluation to draw lessons from implementation of the plan and inform the remaining plan period. It is critical that institutional plans undergo midterm review at least six months prior to the independent MTR to be undertaken by NPA. The MDA MTR will provide data for inputting into diagnostic studies for NDP, NDR and MTR reports. The MTR for 5-year plans will be conducted 2 ½ years into the implementation of the plan. NPA working in collaboration other partners (OPM, MFPED & UBOS) will issue standard terms of reference for reviews and let the MDA to customize the ToRs to suit unique requirements of their MDA.

#### **vi End of Term Evaluation**

The final performance report and evaluation studies shall look back at the plan as a whole. The focus of the final review, and of the corresponding Final Review Meeting with stakeholders, should be on final impact and outcomes, their relevance, cost-effectiveness and sustainability, as well as analysis of reasons why certain results have been achieved and not others and to derive lessons for possible policy revision and for preparing the next strategic plan.

#### **4.5.8.5 The MDA Monitoring and Evaluation Matrix**

All MDAs will be expected to develop an M&E matrix which will be at outcome level and at output level. The outcome level will be aligned to the programme outcomes and sub-programme intermediate outcomes while the output level to the programme interventions and activities. Tables 21 and 22 provide frameworks for the M&E for the MDA plans.

**Table 23: MDA Results Framework, Outcome Level**

MDA Goal/Objective	Outcome	Expected results	Baseline FY2017/18	Targets				
				2020/21	2021/22	2022/23	2023/24	2024/25
MDA Goal	1.	1.1						
		1.2						
		1.3						
MDA Objective 1: <sup>4</sup>								
MDA Objective 2:								

**Table 24: MDA M&E Results Framework, Output level**

Objective	Intervention	Output	Indicators	Baseline FY2017/18	Targets					MOV
					2020/21	2021/22	2022/23	2023/24	2024/25	
Objective 1	1.3									
	1.4									
Objective 2	2.1									
	2.2									

## 4.6 Drafting of the Plan

Having gathered adequate background information, charted the strategic direction and articulated priority programs and strategies; the next stage shall be to compile the draft development plan. Based on the minimum requirements for decentralized plans, MDA plans should be presented as a complete policy document – dully signed off, with an executive summary, main text and concluding chapters. The layout of the MDA strategic plan is as shown Figure 5.

<sup>4</sup> The MDA outcomes should/can be related to the intermediate outcomes of the sub-programmes most relevant to it.

**Figure 5: Standard Structure of the MDA Strategic Plan**

**Summary of Structure**

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**Appendix A: Cost Implementation Matrix**

**Appendices A: Results Matrix**

## **4.7 Compliance Assessment and Performance Measurement**

### **4.7.1 Compliance Assessment**

The Public Finance and Management Act (PFMA) 2015, Section 13 (7) obliges the National Planning Authority to issue a Certificate of Compliance (CoC) each financial year to ensure that the National Budget, comprising the programme, MDA and Local Government (LG) budgets focus on implementation of the National Development Plans (NDPs). At the programme/MDA level, CoC assesses whether programme/MDA specific interventions align with the NDP targets and results. This requirement will guarantee that planning and budgeting frameworks are aligned to achieving Vision 2040 through the NDPs. The CoC supports implementation of national priorities as identified in the national planning frameworks – Vision 2040, NDPs, programmes and MDA strategic plans and local government plans. To improve performance levels, programmes should ensure PIAP and MDA strategic plan objectives, outcomes, interventions and outputs are aligned to the NDP III especially at the results level.

### **4.7.2 Linking the Annual workplans and budgets to PIAPs**

In line with the recommendations of various CoC reports, the alignment of plans to the budget will be enhanced by paying greater attention to annual work planning and programming processes. Prior to the start of the budgeting cycle, NPA working with MFPED and other stakeholders will identify priority spending programmes and projects for each budget cycle.

Prior to the start of the annual budgeting cycle, the programmes, MDAs and local governments will be expected to engage in annual work planning and programming retreat to identify and build consensus on priority programmes and projects to form spending priorities for the subsequent budgets. Based on compilation and analysis of programme and local government priorities and projects, NPA will issue a list of national priorities to MFPED. It's these priorities which will claim the first call on national resources coffers.

With the adoption of program-based approach to planning, it is expected that under the coordination of the Office of the Prime Minister, every year, there will be a review of progress of implementation of national programs, as well as planning and programming for subsequent year. Programmes and MDAs are expected to participate in these multi- programming sessions aimed at identification of priority projects and activities for ongoing programs and subprograms.

The annual workplan and programming retreat should be scheduled before the beginning of the annual budgeting cycle (that is communication of the first Budget Call Circular). The ideal timing of these retreats is between 1<sup>st</sup> July and 30<sup>th</sup> August each year to ensure that identified programme and local government priorities feed into the Budget strategy.

In order to ensure compliance with implementation schedules, the planned cost of annualized activities should correspond to the timely flow of resources as provided for in the MTEF. Consideration of the Ministerial Policy Statements of MDAs and therefore approval of utilization of funds shall therefore be preceded by approval of Plans. When drawing schedules for implementing

the plan, changes and/or improvements in roles/functions, procedures and institutional structures shall be taken into account and bottlenecks regarding human capacity, institutional, administrative and legal issues of the MDA shall be addressed.

#### **4.7.3 Performance Measurement**

Each year, government through OPM conducts assessment of both programme and LGs through the Government Annual Performance Review process (GAPR). In preparing the GAPR report, all MDAs are required to give input arising out of the implementation of their specific SDPs. The programmes and MDA strategic plans therefore will describe how this will be achieved, when and by whom.

#### **4.8 Approval, Submission and Dissemination**

The MDA Strategic Plans shall be subject to a two-step approval process. First, the MDA plan shall be submitted to National Planning Authority for endorsement and certification. Second, the plan shall be approved by the top management committee of the ministry or relevant governing body in case of departments and agencies. The approved plan will be then be submitted/shared with NPA. It is important to note that the MDA plan will continuously be reviewed by NPA to ensure alignment to NDP process before these two approval processes.

After all the approval processes have been secured, the strategic plan shall be disseminated to the stakeholders and the public at large to mobilize them for the successful implementation.



## ANNEXES

### Annex 1: Mapping of International and Regional Development Agenda to NDPIII Programs

<b>NDPIII GOAL AND PROGRAMMES</b>	<b>SDG</b>	<b>AA2063 (PA – Priority Area)</b>	<b>EAC 2050</b>
Goal: Increase Household Incomes and improve quality of life (GDP per capita, poverty, inequality, human development)	SDG: 1,2, 3,4,5, 6, 8,10	Goal 1 – PA: Incomes; poverty and inequality Goal 4 - Sustainable and inclusive economic growth	Socio-Economic Indicators: Poverty; Income Distribution (Gini Co-efficient)
<b>PROPOSED PROGRAMME</b>	<b>SDG</b>	<b>AA2063: (PA – Priority Area)</b>	<b>EAC 2050</b>
1. AGRO-INDUSTRIALIZATION PROGRAM	SDG: 2, 9, 12	Goal 4 - PA 4.2: STI driven manufacturing/ industrialization, Target b Goal 5: Modern agriculture	Goal: Agricultural production and productivity GOAL: Leveraging industrialization (Agro-processing industry)
2. MINERAL-BASED INDUSTRIALIZATION PROGRAM	SDG: 9, 9.2 SDG 6: water use efficiency SDG: 9, 9.2 SDG: 12, efficient waste management SDG 15: Ecosystem mgt, bio diversity offsets	Goal 4 - PA 4.2: STI driven manufacturing/ industrialisation Goal 7 - PA 7.1 Sustainable consumption patterns	GOAL: Leveraging industrialization (Extractive Industries)
3. SUSTAINABLE DEVELOPMENT OF PETROLEUM PROGRAM	SDG 7: natural gas, alternative energies SDG 6: water use efficiency SDG: 9, 9.2 SDG: 12, efficient waste management SDG 15: Ecosystem mgt, bio diversity offsets	Goal 4 - PA 4.2: STI driven manufacturing/ industrialization Goal 7 - PA 7.1 Sustainable consumption patterns	GOAL: Leveraging industrialization
4. TOURISM DEVELOPMENT PROGRAM	SDG 8, 8.9 SDG 15, 15.7	Goal 4: PA 4.4: Hospitality/tourism	Goal: Enhance tourism, trade in goods and other services within the EAC region and with the rest of the world.
5. PRIVATE SECTOR DEVELOPMENT PROGRAM	SDG: 8, SDG: 9, 9.3	Goal 4 – PA 4.2: STI driven manufacturing/industrialisation Growth of SMEs	GOAL: Leveraging industrialization (Industrial Development and SMEs)
6. INNOVATION, TECHNOLOGY DEVELOPMENT AND TRANSFER PROGRAMME	SDG: 17, 17.6	Goal 4 – PA 4.2: STI driven manufacturing	GOAL: Improved access to affordable and efficient Regional transport, energy and communication network
7. SUSTAINABLE ENERGY DEVELOPMENT PROGRAM	SDG 7: efficiency, alternative energies SDG 6: water use efficiency SDG: 12, efficient waste management SDG 1: access to power SDG 15: Eco-	Goal 7- PA 7.5 Renewable energy Goal 1: PA 1.4 Modern and livable habitats (electricity) Goal 7 – PA 7.1 Sustainable consumption patterns	GOAL: Improved access to affordable and efficient Regional transport, energy and communication network

	system management, biodiversity offsets SDG 9		
8. INTEGRATED TRANSPORT INFRASTRUCTURE AND SERVICES PROGRAM	SDG 9 SDG: 12	Goal: 10 Goal: 4 Goal 6 – PA 6.2 Port Operations	GOAL: Improved access to affordable and efficient Regional transport, energy and communication network
9. SUSTAINABLE URBAN AND HOUSING DEVELOPMENT PROGRAM	SDG 11	Goal 1 – PA 1.4: Modern and livable habitats	Cross-cutting issue: Cities of the Future and Human Settlements
10. HUMAN CAPITAL DEVELOPMENT PROGRAM	SDG: 1, 2 3,4,6 SDG: 5,8,10	Goal: 2,3, and 1 (PA 1.3: Social protection) Goal 1: PA 1.4 Modern and livable habitats (water and sanitation) Goal 17: Full gender equality Goal 18: Engaged and empowered youth and children	Enabler: Education, Health Cross-cutting issue: Gender, Women and Youth Empowerment
11. CLIMATE CHANGE, NATURAL RESOURCES, ENVIRONMENT, LAND AND WATER MANAGEMENT PROGRAM	SDG: 6, 12, 13, 14, 15	Goal 1: Modern and Livable Habitats and Basic Quality Services (Water and Sanitation) Goal 7: Environmentally sustainable climate resilient economies	GOAL: Sustainable utilisation of natural resources, environment management and conservation with enhanced value addition.
12. PUBLIC SERVICE TRANSFORMATION PROGRAM	SDG: 16, 17	Goal 12 – Institutions and transformative leadership	Cross-cutting issue: Management framework and Policies
13. COMMUNITY MOBILIZATION AND MINDSET CHANGE PROGRAM	SDG: 16, 16.7, 16.10 SDG 15, 15.6	Goal 16: African Cultural Renaissance is pre-eminent Goal 12 – PA 12.2: Participatory dev't and local governance	Culture and Sports: culture and creative industry, EAC Culture fund, EAC Cultural identity
14. GOVERNANCE AND SECURITY PROGRAM	SDG: 16	Goal 11: Democracy and governance, HR and rule of law Goal 13: Peace, security, and stability are preserved Goal 14: A stable and peaceful Africa Goal 15: A fully functional and operational African peace and security architecture	GOAL: Democratic values, human rights, access to justice and the rule of law Goal: A Peaceful and Secure East Africa
15. DEVELOPMENT PLAN IMPLEMENTATION PROGRAM	SDG: 16, 17	Goal 12: Institutions and transformative leadership Goal 20: Goal 20: Africa takes full responsibility for financing her development	Cross-cutting issue: Management framework and Policies
16. REGIONAL BALANCED PROGRAM	SDG: 1, 1.2 SDG: 2, 2.3 SDG: 5 SDG: 10	Goal 1: Goal 1 – PA: Incomes; poverty and inequality Goal 5: Modern agriculture Goal 17	Socio-Economic Indicators: Poverty; Income Distribution (Gini Co-efficient) Goal: Agricultural production and productivity



## Annex 2: Link Between NDP III Goal, Objectives and Programs

<b>GOAL: Increased household incomes and improved Quality of life</b>		
<b>THEME: Sustainable Industrialization for inclusive growth, employment and wealth creation</b>		
<b>Objectives</b>	<b>Strategies</b>	<b>Programs</b>
1. Enhance value addition in Key Growth Opportunities	<ol style="list-style-type: none"> <li>Promote agro-industrialization</li> <li>Increase local manufacturing activity</li> <li>Promote mineral-based industrialization</li> <li>Harness the tourism potential</li> <li>Promote export-oriented growth</li> </ol>	<ol style="list-style-type: none"> <li>Agro-Industrialization</li> <li>Sustainable Development of Petroleum Resources</li> <li>Mineral-Based Industrialization</li> <li>Tourism Development Program</li> <li>Climate Change, Natural Resources, Environment, Land and Water Management Program</li> </ol>
2. Strengthen private sector capacity to drive growth and create jobs	<ol style="list-style-type: none"> <li>Provide a suitable fiscal, monetary and regulatory environment for the private sector to invest</li> <li>Increase local content participation</li> </ol>	<ol style="list-style-type: none"> <li>Private Sector Development</li> <li>Manufacturing Programme</li> </ol>
3. Consolidate & increase stock and quality of Productive Infrastructure	<ol style="list-style-type: none"> <li>Institutionalise infrastructure maintenance</li> <li>Develop intermodal transport infrastructure</li> <li>Increase access to reliable &amp; affordable energy</li> <li>Leverage urbanization for socio-economic transformation</li> </ol>	<ol style="list-style-type: none"> <li>Integrated Transport Infrastructure and Services Program</li> <li>Sustainable Energy Development</li> <li>Digital Transformation</li> <li>Sustainable Urbanisation and Housing Development</li> </ol>
4. Increase productivity, inclusiveness and wellbeing of Population	<ol style="list-style-type: none"> <li>Improve access and quality of social services</li> <li>Institutionalise HR planning</li> <li>Enhance skills and vocational Development</li> <li>Increase access to social protection Promote STEI</li> <li>Promote devt. oriented mind-set</li> </ol>	<ol style="list-style-type: none"> <li>Human Capital Development</li> <li>Community Mobilization and Mindset Change</li> <li>Innovation, Technology Transfer and Development</li> <li>Regional Development</li> </ol>
5. Strengthen the role of the State in development	<ol style="list-style-type: none"> <li>Increase govt. participation in strategic sectors</li> <li>Enhance partnerships with non-state actors for effective service delivery</li> <li>Re-engineer the Public service to promote invest.</li> <li>Increase Resource Mobilization</li> </ol>	<ol style="list-style-type: none"> <li>Governance and Security Strengthening</li> <li>Public Sector Transformation</li> <li>Development Plan Implementation</li> </ol>

### **Annex 3: Contents of the standard structure of an MDA strategic Plan**

#### **Summary of Structure**

**Cover Page**

**Foreword**

**Acknowledgement**

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**List of Tables**

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**EXECUTIVE SUMMARY**

**10. INTRODUCTION**

**11. SITUATION ANALYSIS**

**12. THE STRATEGIC DIRECTION OF THE MDA**

**13. FINANCING FRAMEWORK AND STRATEGY**

**14. INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTING THE PLAN**

**15. COMMUNICATION AND FEEDBACK STRATEGY/ ARRANGEMENTS**

**16. RISK MANAGEMENT**

**17. MONITORING AND EVALUATION FRAMEWORK**

**18. PROJECT PROFILES**

**Appendix A: Cost Implementation Matrix**

**Appendices B: Results Matrix**

## **Contents of the MDA Strategic Plan Structure**

**Cover Page** (Logo; Name of MDA; Title of Plan; Vision; Theme). 1 page

**Foreword** (By the Minister responsible for the MDA)- 1 page

**Acknowledgement** (Statement by Permanent Secretary/Accounting Officer)- 1 page

**Table of Contents** (Automatically Generated)

**List of Tables** – 1 page

**List of Figures**- 1 page

**List of Acronyms** - 1 – 2 pages

## **EXECUTIVE SUMMARY**

The Executive summary serves as a summary of the strategic plan. An executive summary should: reference the mission, vision, highlight the goal, objectives and key results. Provide the indicative budget and should outline how the plan will be implemented and evaluated on an on-going basis

## **1. INTRODUCTION**

This section will briefly describe what the plan is about and the rationale for the preparation of the plan. It will provide a background and mandate of the MDA. The section will also describe the context within which the plan will be implemented.

### **1.0 Background**

- Briefly explain what the plan is about. The time frame and what it aims to achieve.

### **1.1 Legal framework of the MDA**

- Provides the mandate of the MDA. The mandate outlines the formal expectations regarding the functions that the MDA is supposed to fulfill.

### **1.2 Governance and Organisational structure**

### **1.3 The policy, legal and planning context.**

- Policies and laws governing the MDA
- Planning frameworks relevant to the MDA
  - Linkage to the Uganda Vision 2040
  - Linkage between the strategic plan and the NDPIII and the corresponding Programme Implementation Action Plan (PIAP)
  - Linkage between the strategic plan and global and regional initiatives (Agenda 2030, Africa Agenda 2063, EAC Vision 2050, among others)

### **1.4 Purpose of the plan**

### 1.5 The process of developing the SDP

### 1.6 The structure of the MDA Strategic Plan.

## 2. SITUATION ANALYSIS

This section will review performance under the previous strategic plan, document key challenges and achievements. Also, the SWOT analysis will be done as well as the stakeholder analysis. needs to be conducted in terms of data and trends that influence the MDAs in order to describe the context within which the plan is being developed and also provide a foundation for the strategic direction going forward.

### 2.0 Performance of the Previous Plan

- An analysis of performance in light of the targets, results and standards set in the previous MDA strategic plans, highlighting:
  - Analysis of progress made against the goal, objectives and interventions of the previous plan (including a description of state of cross cutting issues relevant to the MDA). The MDA plan should provide the necessary statistics and/or indicators if possible disaggregated including budget performance. Can be presented in graphs, bar charts etc.
  - Progress on MDA projects

### 2.1 Institutional capacity of the MDA with respect to:

- Financial resources - giving the proportion of financial resources allocated and appropriated by vis-à-vis the overall national budget. The table below should provide details of the funding to the organisation.

**Table XXX: Budget and Allocation over the XXX strategic plan (2015-2020)**

Budget Components	FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20	
	Planned	Released	Planned	Released	Planned	Released	Planned	Released	Planned	Released
Recurrent (wage)										
Recurrent (non-wage)										
Total Recurrent										
Development										
External financing										
Supplementary releases										
Total Budget										
Funding Gap (nominal)										
Funding gap (%)										

Budget Components	FY 2015/16		FY 2016/17		FY 2017/18		FY 2018/19		FY 2019/20	
	Planned	Released	Planned	Released	Planned	Released	Planned	Released	Planned	Released
Share of Development to Total Budget										

- This section should also provide an analysis on budget performance in relation to budget expenditure vis-à-vis releases and allocation.

**Table xxx: Budget expenditure vis-à-vis releases**

	Approved Budget	Released	Spent	% Releases spent
2015/16				
2016/17				
2017/18				
2018/19				
2019/20				
Total				

- Human Resources development and management with regards to:
  - a) Staff establishment specifying the approved, filled and percentage of vacant positions and
  - b) Availability of MDA relevant technical and specialized competences.
- Monitoring and Evaluation function with respect to:
  - c) Existence and functionality of the MDA M&E plan
  - d) Existence of a MDA coordination structure and
  - e) Existence of a functional information system to support the MDA M&E function.

## 2.2 Key achievements and challenges

## 2.3 Stakeholder Analysis

The table below can be used to undertake the analysis of stakeholders based on their power (ability to have an impact on the strategic plan) and interest (degree of support to the strategic plan).

**Table xxx: MDA XXX Stakeholder Analysis**

Stakeholder	Power	Category	Interest/influence
-------------	-------	----------	--------------------

Stakeholder	Power	Category	Interest/influence
			•

Stakeholders with high power and interest require regular dialogue because they directly influence decision-making processes of the MDA. Stakeholders with low power or high power but with low interest are those who are kept informed of progress throughout the plan's period and do not influence the MDAs decisions.

## 2.4 SWOT Analysis

The SWOT analysis is used to determine opportunities and threats that influence an organisation as well as its strengths and weaknesses. SWOT is an acronym that stands for four factors – Strengths, Weaknesses, Opportunities and Threats. One should take care that this analysis is as objective as possible and should concentrate, as much as possible, on the perspectives of the participants in the strategic process as well as those citizens influenced by the operations of the ministry. The Table below provides a template for the SWOT.

**Table xxx: SWOT Analysis**

<b>INTERNAL INFLUENCES</b>	
<b>STRENGTHS</b>	<b>WEAKNESSES</b>
<b>EXTERNAL INFLUENCES</b>	
<b>OPPORTUNITIES</b>	<b>THREATS</b>

## 2.5 Summary of emerging issues and implications

- The analysis should try to answer the 'so- what' question or implication of the statistics given i.e should bring out the main development implications arising out of the data presented.

## 3. THE STRATEGIC DIRECTION OF THE MDA

This will be informed by the performance review of the previous strategic plan ended 30th June 2020. It is also derived from the issues identified from the SWOT analysis and the emerging issues in implementation of the previous plan. It will give a framework for the MDA operations i.e Vision, Mission as well as core value. It will outline the MDA focus over the plan period by elaborating the

goal, sub-programmes, objectives and planned outcomes as well as interventions.

### 3.0 Identification of Vision.

- This describes how the institution will appear when it reaches its full potential. When defining the vision, the following consideration can be made:
- Is the former vision, still relevant?
- In what way would you like your MDA to improve the situation in the forthcoming planning period?
- What kind of role would the employees and the organisation have in the realisation of this vision, what resources are necessary and what requirements have to be met in order to do so?
- What does full potential look like?
- A vision is a joint effort of all employees from different departments of the institution.

### 3.1 Identification of the Mission

A mission statement is a general, comprehensive but short statement based on the mandate that defines how the MDA's will achieve its Vision.

- 3.2 Identification of Core Values.** These are how organizations define the core pillars of their identity and principles which also affect the way they conduct their business. Core value comes from the institution's mission and will require collaborative effort. They inform and guide the way our team members interact with everyone, including clients, vendors and each other.

### 3.3 Identification of MDA goal

The goal will be defined based on the performance review and is a key element of the plan. From the assessment of the previous goal performance, the MDA can agree to maintain or revise the goal. The goal should be defined using the SMART methodology. S- Specific, M – Measurable, A – Achievable, R – Realistic and T – Time bound. The goal should also be inline with the programme goal that the MDA majorly contributes to.

- 3.4 Identification of MDA Objectives and adopted intermediate Outcomes.** These should link to the NDPIII sub-programmes and intermediate outcomes that have been agreed upon by the working group. The Table below shows the template for key results.

**Table xxx: MDA XXX Goal, Objectives and Key Adopted Intermediate Outcome Results**

GOAL AND OBJECTIVES	Outcome/Adopted Intermediate Outcomes	INDICATORS	BASELINES (2018/19)	2024/25 TARGETS
Goal:				
Objective 1:				
Objective 2:				

- 3.5 Identification of MDA Interventions per objective and actions.** These should be in line with the

PIAP actions. They will be costed annually. (See Annex 5 which shows the template for cost implementation matrix).

**Table xxx: MDA XXX Objectives, Interventions and Actions**

OBJECTIVES	INTERVENTIONS	OUTPUTS	ACTIONS
Objective 1:			
Objective 2:			

### 3.6 List of MDA Projects

## 4. FINANCING FRAMEWORK AND STRATEGY

This presents the financing framework of the plan. It provides the overall and disaggregated costs of the Plan, and the strategies for mobilizing the required financing.

### 4.0 Summary of Strategic Plan Budget

- a) Provide the total cost required to implement the plan. The detailed breakdown for the budget is provided in the table below.

**Table xxx: Summary of Strategic Plan Budget**

CLASSIFICATION	2020/21	2021/22	2022/23	2023/24	2024/25
WAGE					
Non-Wage Recurrent					
<b>Total Recurrent</b>					
<b>Total Development</b>					
<b>Total Budget</b>					

- b) Outline which are the major cost drivers over the planning period.

### 4.1 MTEF Projections and Implications for SP Financing

Provide the Medium-Term Expenditure Framework (MTEF) projections for the MDA. This will help



the MDA to identify the funding gaps. The template for the MTEF projections for the MDA is provided in Table xxx.

**Table xxx: MDA XXX MTEF Projections for 2020/21 – 2024/25**

Budget Item	2020/21	2021/22	2022/23	2023/24	2024/25
Wage					
Non-Wage					
Development					
<b>Total</b>					

- vi Identify the funding gaps. This will be the variance between the budget estimates in Table xx and the MTEF projections in Table xx. These gaps can be presented in the table below.

**Table xxx: Funding Gaps**

CLASSIFICATION	2020/21	2021/22	2022/23	2023/24	2024/25
Wage Gap					
Non-Wage Recurrent Gap					
<b>Total Recurrent Gap</b>					
<b>Total Development Gap</b>					
<b>Total Funding Gap</b>					

- vii Provide funding by source. Identify the main sources of revenue for financing the strategic plan. Highlight the percentage contribution for each source for the Plan period. The table below shows the trend of the Plan financing by source.

**Table xxx: XXX Strategic Plan Budget by Source of Funding FY (FY2020/21–2024/25)**

CLASSIFICATION	2020/21		2021/22		2022/23		2023/24		2024/25		TOTAL
FUNDING SOURCE	GoU	Donor	GoU	Donor	GoU	Donor	GoU	Donor	GoU	Donor	
Wage											
Non-wage recurrent											
<b>Total recurrent</b>											
<b>Development</b>											

CLASSIFICATION	2020/21		2021/22		2022/23		2023/24		2024/25		TOTAL
Total Budget											
%ge of Source											

## 4.2 Resource Mobilization Strategy

This section shall clearly give the MDA Indicative Financial Plan including the resource mobilization and expenditure strategies. The strategy will identify and implement innovative measures for increasing allocation from Government, mobilization of NTR, as well as exploration of new innovative sources.

## 4.3 Detailed Cost Implementation Matrix

In addition to the MDA financing Framework, institutions will also need to develop a Cost Implementation Matrix using a standard template. A Cost Implementation Matrix is a schedule that relates planned objectives, interventions and actions with estimated costs and also specifies the responsibility centre for each of the planned actions. These actions should be informed by the actions in the PIAPs. (See appendix A for the format of the Cost Implementation Matrix).

## 5. INSTITUTIONAL ARRANGEMENTS FOR IMPLEMENTING THE PLAN

This section will address the coordination of the implementation of the plan, sustainability arrangements, partnerships and human resource plan.

### 5.1 Coordination of The Implementation Process

#### 5.1.1 Roles and Responsibilities of the MDA

Table xxx summarizes the roles and assignments for the major players at within the MDA including critical MDA committees.

Responsible Person	Roles and Responsibilities
Board of Directors	•
Management	•
Xxx Committee	•
xxx Committee	•

### 5.1.2 Roles and Responsibilities of Other Stakeholders

## 5.2 Sustainability Arrangements

- a) Institutional Sustainability Arrangements;
- b) Financial Sustainability Arrangements;
- c) Partnerships and Collaborations;
- d) Human Resource Plan.

## 6 COMMUNICATION AND FEEDBACK STRATEGY/ ARRANGEMENTS

- a) Rationale and objectives of the communication strategy;
- b) Key communication priorities;
- c) Implementation of communication priorities.

Table xxx: Key stakeholders, their influence, and issues and channels of communication

Stakeholder Name	Key issues/areas/messages to communicate with stakeholders	Channels and frequency of communication
	-	Regular mails and correspondences, Telephones calls, meetings, Periodic Mission inspection visits.

## 7 RISK MANAGEMENT

These risks can be operational, strategic, and external risks. Therefore, successful execution of the MDA plan requires the identification, mitigation, and monitoring of these risks. The MDA should provide an outline of the risks; and its risk rating categorized as High (H), Medium (M) and Low (L) and propose mitigation measures and strategies which can be adopted to effectively manage the risks. The table below provides the template for the risk mapping.

Table xxx: Key envisaged risks (Low 1, Moderate 2, High 3; Minor 1, Moderate 2, Significant 3)

SN	Identified Risk	Risk category	Analysis				Mitigation	Lead Actor
			Causes	Likelihood	Impact	Risk rating		
2.			•	High	Significant	High	•	
							•	
							•	

## 8 MONITORING AND EVALUATION FRAMEWORK

### 8.1 Monitoring and Evaluation Arrangements

- a) Progress Reporting;
- b) MDA Performance Annual Review;
- c) Mid-term Evaluation;
- d) End of Term Evaluation.

## 8.2 Monitoring and Evaluation Results Framework

The Result Framework will be used to measure and assess progress during implementation of this MDA strategic plan. (See appendix B for the format of the Results Matrix at both outcome and output level).

### Appendix A: Cost Implementation Matrix

Intervention	Output	Action	Annualised Estimated Costs (in billions of UGX)					Total cost	Budget Component		Unsecured Fund	Source
			Yr. 1	Yr. 2	Yr. 3	Yr. 4	Yr. 5		Recurrent	Capital	Total cost	
Strategic Objective:												
Strategic Objective:												

### Appendices B: Results Matrix

#### MDA Results Framework, Outcome Level

Goal/Objective	Outcome	Indicator	Baseline FY2017/18	Targets				
				2020/21	2021/22	2022/23	2023/24	2024/25
Goal:								

<b>Objective 1</b>								
<b>Objective 2</b>								

### MDA Results Framework Output Level

Strategic Intervention	Output	Performance Indicators	Baseline (FY)	Target (FY)					Means of verification	Assumptions	Responsible Person
				2020/21	2021/22	2022/23	2023/24	2024/25			
Objective 1: To strengthen health promotion and prevention of cardiovascular disease											
									▪	▪	▪
									▪		▪
									▪	▪	▪

## Annex 4: Project Identification Guidelines

### INTRODUCTION

The National Planning Authority (NPA) is charged with Project identification which is an initial stage of the Public Investment Management System (PIMS). In particular, NPA produces the National Development Plan (NDP) Projects Investment Plan (PIP) as an annex to each NDP in line with the Comprehensive National Development Framework (CNDF).

In essence, projects at idea stage are presented in the NDP in the format presented in table 1 below<sup>5</sup>.

**Table 1: The National standard summarized structure for identified public projects**

THE NATIONAL SUMMARIZED STRUCTURE FOR IDENTIFIED PUBLIC PROJECTS	
PROJECT SUMMARY	
Project Title	Let it be as clear as possible, avoiding duplication of names and interventions within the MFPED Public Investment Plan.
NDPIII Program	
Sector	
Sub sector	
Vote	
Vote Function	
Vote Function Code	
Implementing Agency	
NDP PIP Code	
MFPED PIP Code	
NDP Programme	
Project Title	Let it be as clear as possible, avoiding duplication of names and interventions within the MFPED Public Investment Plan.
Location	Location to be clear and specific.
Estimated Project Cost	Quote figures in UGX and give (in brackets) the exchange rate used where funds are in a foreign currency.
Total expenditure on project related interventions up to start of the next NDP	
Current stage of project implementation at commencement of the next NDP	
Funding gap at commencement of the NDP	
Project Duration/Life span (Financial Years)	Date when the project started
	Date when the project is planned to end
Officer Responsible	
Already existing in the NDPI	Yes/No
Already existing in the NDPII	Yes/No
Already existing in the MFPED PIP	Yes/No
PROJECT INTRODUCTION	
Problem Statement	Problem to be addressed
	Causes of the problem
Situation Analysis	Past achievements to address the problem (include figures to support the achievements in terms of outputs and budget allocations)
	Ongoing interventions (include figures to support the achievements of outputs)

<sup>5</sup> NPA reviews this structure from time to time to suit the changing nature of projects and government systems.

<b>THE NATIONAL SUMMARIZED STRUCTURE FOR IDENTIFIED PUBLIC PROJECTS</b>	
	and budget allocations)
	Challenges
Relevance of the project idea	Alignment to Vision 2040, NDP, SIPs and Agency plans
Stakeholders	Direct beneficiaries
	Indirect beneficiaries
	Likely project affected persons
Project objectives/outcomes	Objectives
	Outcomes
Project inputs/activities/interventions	Inputs
	Activities
	Interventions
<b>STRATEGIC OPTIONS</b>	
Strategic options	Alternative means of solving the problem stating the advantage and disadvantages of each
	Alternative means of financing stating the advantages and disadvantages of each
	Comparison of the alternatives, indicate methodologies used in the assessment
	Selected approach, highlight reasons for the superiority of the proposed approach/project
Coordination with government agencies	Indicate the roles of other stakeholders respecting legal and policy mandates, embrace integrated planning, define the roles of each agency in project implementation
<b>PROJECT ANNUALISED TARGETS (OUTPUTS)</b>	
Project annualized targets	Indicate how success will be measured (use format presented in appendix 1)
<b>ESTIMATED PROJECT COST AND FUNDING SOURCES</b>	
Project annualized cost	Costs to be in line with the above targets (use format presented in appendix 2)
<b>RESULTS MATRIX</b>	
Results matrix	Logical flow of results should be ensured (use format presented in appendix 3)
Percentage progress of project implementation	Percentages of how the project will be implemented should be shown by year (use format presented in appendix 4)

## MOTIVATION

With experience, a number of challenges at the identification stage which transcend to other Public Investment Management (PIM) stages including project preparation and appraisal, selection and financing, and Monitoring and Evaluation (M&E) have persisted. Some of the identified challenges at the project identification stage are highlighted in Box 1 below:

### Box 1: Challenges experienced during the project identification stage in Uganda

Inadequate analysis prior to project identification by sectors; Volatility in project concept generation; Duplication and change of names of earlier implemented while identifying new projects; Availability of financing driven projects especially from development partners; Attempt to secure project loans before adequate project identification; Identification of projects by sectors that suit other sector mandates; Categorizing recurrent items as projects with an aim of securing financing; Identification of new projects that are not in the National Development Plan (NDP) during the NDP implementation period; and, Submission of recurrent items as projects for entry into the MFPED PIP.

Whereas the Development Committee Guidelines have been in existence since 2016, these only in part guide PIMS especially at the project preparation phase and not in the identification stage. Based on the

sequencing of PIM, the project identification guidelines should have preceded the DC guidelines to mitigate some of the existing persistent challenges in public investment.

## **OBJECTIVES**

The major objective of the National Project Identification Guidelines is to guide the identification of public sector projects.

Specifically, the guidelines provide:

1. A procedure for project identification in Uganda
2. Standard templates for use in project identification
3. Guide programmes and MDAs whether to implement a new project or request for additional financing
4. Standardize project performance reporting

## **Definition of project identification**

Project identification includes; new projects identified by programmes and MDAs; extension of already ongoing projects; revival of failed projects; loan financing; emergencies and presidential directives, among others.

Programmes and MDAs should adhere to these National Guidelines during the identification of projects.

## **Sources of project ideas**

The sources of project ideas include; National Development Plan (NDP) and attendant plans, Evaluation reports of implemented projects, Ruling Party Manifesto, Presidential directives, Cabinet directives, Academia publications, as well as private sector, community and development partners reports.

However, Programmes and MDAs are advised to stick to the NDP while formulating project ideas.

## **THE NATIONAL STANDARD PROCEDURE FOR PROJECT IDENTIFICATION**

The National standard 7-Step Procedure is provided below.

### Step 1 – Analyze all projects undertaken by the sector since NDPI period (FY 2010/11)

Focus on project objectives, results framework, scope and coverage, budget allocation and absorption, history of successful project completion. Specifically,

- Project extension in terms of scope and or financing is part of project identification
- Information provided on physical and financial performance shall be accurate
- Keep videos and photos of performance in addition to reports
- Storage of data on periods before National Development Period (NDP) is encouraged
- Asset registers for ongoing and completed projects should be maintained
- Programmes and MDAs should report divergencies between, committed, received and approved funds



- Programmes and MDAs should not create new projects under different names having implemented or while implementing projects with similar objectives.

## Step 2 – Identify conflicts of interest/situational influences

Key here is the project motivation, e.g. Inadequate budget allocation to implement recurrent activities, political interference, presidential directives, emergencies, among others., Specifically,

- Programmes and MDAs should prioritize the completion NDP core projects before identifying new projects
- Prioritize projects in the Leading Party Manifesto and Presidential directives
- Expected emergencies should be included in plans based on historical performance/guidance
- Retrospective project documents/feasibilities should be prepared for emergency projects even after their implementation to guide future developments.

## Step 3 – Conduct project consultations

Project consultations should be undertaken with all stakeholders, Specifically,

- Stakeholders should include; those in need of the project, project affected persons, agencies in charge of physical planning, agencies in charge of the environment, agencies in charge of land and resources, among others
- Evidence of availability of land should be secured and provided when requested.
- Agreements with stakeholders and minutes for meeting should be kept
- Possible synergies should be provided to reduce on resource wastage.
- Consultations with the academia
- Identify whether the project is bottom up or top down.

## Step 4 – Determine the project name

Choosing project names should be in line with the outputs to be delivered by the project, Specifically,

- The project name should reveal the project output
- In case of multiple outputs, all outputs should be put in brackets after the project name
- Locations of the outputs should be specified taking into consideration balanced development
- Previous interventions for project in same locations should be declared.

## Step 5 – Prepare the project idea using guidance provided by NPA

All projects for the public sector should be prepared using national guidelines, Specifically,

- National guidance for project identification shall be provided by NPA and reviewed from time to time.
- A National project idea shall be presented along with targets, costs, results framework, and planned performance percentage progression.
- For projects undergoing feasibility preparation, they should enter the NDPIII PIP at pre-feasibility stage in the structure provided by NPA.

### Step 6 – Classify project outputs into recurrent and capital

All items such as preparation of plans, capacity building, procurement of software, preparation of project documents (concept, profile, pre-feasibility, feasibility, business plans, proposals) are of recurrent nature and should not be mistaken to be projects. Specifically,

- a) Preparation of any kind of project documents should be financed by the GOU budget.
- b) Sieve project components whose composition is at least 70 percent of capital nature to make a project.
- c) Interventions whose major outputs are in form of papers, reports, plans, software upgrades, procurement, among others are of recurrent nature and should not be termed as projects.
- d) Project costing shall be at local market prices. In case of procurements in foreign currency, figures shall be provided in UGX and exchange rate as given by BOU be provided in parentheses.
- e) Cashflows for determination of project costs shall be provided on request.

### Step 7 – Prepare the project using National guidelines

All projects for the public sector should be prepared using national guidelines, currently the Development Committee Guidelines. Specifically;

- a) For public projects with donor influence, two formats are required, one in the donor format and another in the National standard;
- b) It is one prepared as per National guidance that is superior before the Ugandan Government.
- c) Conditions by financiers should be respected;
- d) Reservation schemes under the PPDA Act should be embraced.

## **USES OF THE PROJECT IDENTIFICATION GUIDELINES**

The project identification guidelines will serve as a check to ensure that the projects are well identified. Therefore, the guidelines are to serve as an important check before project financing to ensure that the project is not a duplication.

## **ROLES OF INSTITUTIONS IN PROJECT IDENTIFICATION**

The Constitution of Uganda is superior to any other legislation in terms of the Mandates of Institutions. The National Development Plan should be followed when identifying projects.

In case of conflicts: Programmes and MDAs should look into the constitution when confused about roles and responsibilities and Programmes and MDAs should also look into Acts that operationalize institutions.

### **Stakeholders**

- a) All Ministries, Departments and Agencies (MDAs) should annually assess project progress to ease performance tracking;
- b) The Auditor General's Office (AGO) shall monitor the accuracy of information provided on financial performance of projects;
- c) The National Planning Authority (NPA) should evaluate projects at the end and prior to extension of project financing; and provide clearance of project identification before financing.

- d) The Office of the Prime Minister (OPM) shall monitor the accuracy of information provided on project physical performance and provide reports annually;
- e) The Office of the President should take oversight of all ongoing projects;
- f) Ministry of Finance Planning and Economic Development (MFPED) to allocate funds and monitor budget performance of projects;
- g) Parliament to assess capacity of Programmes and MDAs to implement ongoing projects before approval of additional budgets for projects.

**List of appendices to table 1:**

**Appendix 1: Format for presentation of project annualized targets**

<b>Project 1</b>	<b>Actual outputs</b>						
<b>Output</b>	<b>2018/19</b>	<b>2019/20</b>	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>	<b>2023/24</b>	<b>2024/25</b>
Output 1							
Output 2							
ETC							
<b>Project 2</b>	<b>Actual outputs</b>						
<b>Output</b>	<b>2018/19</b>	<b>2019/20</b>	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>	<b>2023/24</b>	<b>2024/25</b>
Output 1							
Output 2							
Output 3							
ETC							

**Notes:** Actual outputs are baselines and should reflect actual achievement, i.e. what is in place at the time of project inception, projected planned outputs should be up to the final year of the project and all expected project outputs should be provided.

## Appendix 2: Presentation of project annualized costs (UGX billions)

Output	Source		Cumulative expenditure up to next NDP commencement period							
			Total previous expenditure	Actual						
				2018/19	2020/21	2021/22	2022/23	2023/24	2024/25	Total
Project 1	GOU									
	Donor	Loan								
		Grant								
	Other									
Project 2	GOU									
	Donor	Loan								
		Grant								
ETC	GOU									
	Donor	Loan								
		Grant								

### Notes:

- All project costs should be presented in Ugandan currency in billions (UGX billions)
- In case costs are available in foreign currency, then the foreign exchange rate should be clearly stated that can be used to convert to local currency.
- Projects entirely implemented using foreign currency should be costed in millions.
- Projected implemented by both foreign and local currency should be presented in local currency.
- Total previous expenditures should first be presented, then actual expenditures for the previous two years followed by projected expenditures.
- Actual (projected) expenditures should be informed by actual (projected) outputs.
- Costing should be informed by market prices, cashflows and bills of quantiles.

## Appendix 3: format for presentation of project Results Matrix

Objective Hierarchy and Description	Indicators	Means of Verification	Baseline	Target	Assumptions
Goal					
Outcomes					
Outputs					
Activities					

**Notes:** Outputs should be consistent with the annualized targets; Baselines should be consistent with previous performance provided in earlier reports and where to actual annual outputs presented in the earlier presentations; The goal should be linked to the objectives of the NDP; Outcomes should link to the strategic objectives in the NDP.

#### Appendix 4: Structure for presentation of percentage progress of project implementation

	Actual percentage progress		Projected percentage progress						
Output	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25	ETC	TOTAL
Output 1									
Output 2									
ETC									

**Notes:** Actual percentage progress should be as per project implementation, Actual percentage progress should rhyme with funds disbursement, Projected progress should be in line with remaining funds, Total progress should be 100 percent to indicate project completion.

### Annex 5: Format of cost implementation matrix

Intervention	Output	Actions	Total Cost	Annualized Estimated Costs (UGX)					Budget Component		Unsecured Fund
	As outlined in the MDA Results and Report Matrix	Aligned to the Respective PIAP	Summation of (3,4,5,6,7) = (8,9)	Yr.1 (3)	Yr.2 (4)	Yr.3 (5)	Yr.4 (6)	Yr.5 (7)	Recurrent (8)	Capital (9)	Total Cost (8,9)
Intervention 1	Output1	1.									
		2.									
	Output2	1.									
		2.									
Intervention 2	Output 1										
	Output 2										
Intervention 3	Output 1										
	Output 2										
Etc.											