



THE REPUBLIC OF UGANDA

CAPACITY NEEDS ASSESSMENT REPORT (2006)

An Assessment to Determine MGLSD and District Management and Operational Capacity Needs in Providing Leadership, Coordination, and Monitoring and Evaluating the National Response to OVC and AB/Y

MINISTRY OF GENDER, LABOUR AND SOCIAL DEVELOPMENT



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Abbreviations and Acronyms

AB/Y	=	Abstinence and Behavioural change among the Youth
AIM	=	AIDS/HIV Integrated Model District Programme
BCC	=	Behaviour Change Communication
BDR	=	Births and Deaths Registration
CAO	=	Chief administrative Officer
CBMIS	=	Community-Based Management Information System
CBO	=	Community-Based Organization
CBS	=	Capacity Building Strategy or Community-Based Services
CC	=	Core Competency
CDA	=	Community Development Assistant
CDO	=	Community Development Officer
CHAI	=	Community-led HIV/AIDS Initiatives
CORE	=	Communities Responding to the HIV/AIDS Epidemic
CP	=	Competence Profiling
DHAC	=	District HIV/AIDS Committee
DOSA	=	Directions in Organizational Self-Assessment
DPU	=	District Planning Unit
DTPC	=	District Technical Planning Committee
EHMIS	=	Education and Health Management Information System
HRD	=	Human Resources Development
ICRW	=	International Centre for Research on Women
IHAA	=	International HIV/AIDS Alliance
JHU	=	Johns Hopkins University (Bloomberg School of Public Health)
LGDP	=	Local Government Development Programme
LOGICS	=	Local Government Information Communication System
M&E	=	Monitoring and Evaluation
MGLSD	=	Ministry of Gender, Labour and Social Development
MTAC	=	Management Training and Advisory Center
NCC	=	National Council for Children
NIU	=	National Implementation Unit
NGO	=	Non-Governmental Organization
NOP	=	National OVC Policy
NOSC	=	National OVC Steering Committee
NSPPI	=	National Strategic Program Plan of Interventions
OCAT	=	Organizational Capacity Assessment Tool
OD	=	Organizational Development
OVC	=	Orphans and Vulnerable Children
PA	=	Program of Action
PDC	=	Parish Development Committee
PPU	=	Policy and Planning Unit
ROM	=	Results-Oriented Management
RT	=	Regional Team
SCC	=	Social Change Communication
SSDIP	=	Social Sector Development and Investment Plan
SWOT	=	Strengths, Weaknesses, Opportunities and Threats
TOT	=	Training of Trainer
TRC	=	Technical Resource Committee
TTAP	=	Training and Technical Assistance Plan
UAC	=	Uganda AIDS Commission
UPS	=	Uganda Public Service
USAID	=	United States Agency for International Development

Executive Summary

The Capacity Needs Assessment (CNA) was planned, organized and conducted under the auspices of the USAID-funded Uganda Ministry of Gender, Labour and Social Development (MGLSD) CORE Initiatives Project. The Project is implemented by a partnership made up of Care Uganda (lead), International HIV/AIDS Alliance (IHAA), International Centre for Research on Women (IWRG), and the Johns Hopkins University (JHU). Led by IHAA, the assessment was conducted from August to December 2005 nationwide, using a team of 12 persons:

The purpose of the assessment was to determine MGLSD and district management and operational capacity needs in providing leadership and coordination, and monitoring and evaluating the national response to OVC and AB/Y. The findings from the assessment were to form the basis for developing a capacity building plan for MGLSD and districts.

The methodology involved the use of a modified competency profiling tool to collect data from offices directly related to OVC and AB/Y in the MGLSD and districts. A guided questionnaire was used to interview other key respondents (who were not targeted for competency profiling) from the MGLSD, other ministries, bilateral and multilateral agencies, NGOs, CBOs, and local government organisations. An institution/organisation development measurement tool was developed and used to provide baseline data on planning, coordination, monitoring and evaluation, communication and advocacy, and grants management related to OVC and AB/Y. The same tool will be used to measure achievement of the capacity building initiative in the same areas. To measure the existing capacity in the five areas, two broad categories of variables were used: core competencies; and systems/procedures/tools. The existing level for each competence and functionality of the systems, procedures and tools were determined. A composite scoring mechanism was developed (basing on the two variable) to measure the overall institutional development (I/D) at MGLSD and district levels

As can be expected, the findings revealed various levels of human and organizational capacity, and a mix of strengths and weaknesses in the various capacity areas, both within the MGLSD and the districts. The following summarises the key findings:

MGLSD	Districts
<i>Organizational structure</i>	
Proposed new structure not yet formalized	New district structure approved by Public Services
No formal OVC coordination mechanism indicated in new MGLSD structure	Districts at different stages in implementation of the new structure
PIU or OVC Secretariat not mentioned anywhere in the new structure	No sub-county found to have implement the new structure
<i>OVC Coordination</i>	
Coordination between key OVC-related ministries, MGLSD OVC-related departments, MGLSD/districts, and MGLSD/OVC-related statutory bodies was absent or weak	Coordination between key OVC-related departments and CSOs was absent or weak
The proposed NIU was not yet in place and the OVC secretariat was still carrying out the functions that the NIU was supposed to do	There was potential for one or two existing structures to coordinate OVC programming
After development of the NOP and NSPPI, the NOSC and the TRC went into limbo	Use of DHCs for district coordination has some limitations
<i>OVC Planning and Budgeting</i>	

MGLSD	Districts
No coordinated OVC planning between key OVC-related ministries, MGLSD OVC-related departments, and MGLSD with national NGOs	No coordinated OVC planning and budgeting between key OVC-related departments and CSOs
Lack of evidence-based planning	Lack of evidence-based planning
The national budgetary allocations to the MGLSD are small compared to the mandate of the ministry	OVC now (2006/2007) under PAF funding areas allocation
	District budgetary allocations to OVC are very limited
	Parish Development Committees are different stages of formation
	Bottom-up planning process not clearly followed
	OVC issues give priority in planning and budgeting
	The sub-county budgetary allocation to OVC activities is very limited
<i>Monitoring and evaluation</i>	
No effective OVC MIS at both national and district levels	
OVC planning at national district levels based on national survey	
Most districts have computers but equitable access remains a problem	
No effective coordination between the CBS department and district planners	
No clear authority and responsibility for data management at the sub-county level	
No programme performance measurement plan	
<i>Communication and Advocacy</i>	
No advocacy and communication strategy	
Organisational communication is weak	
No specific structures responsible for MGLSD communication and advocacy	
MGLSD is not widely recognized as the lead agency for OVC programmes	
Many stakeholders are not familiar with the NOP and the NSPPI or the underlying rationale	
No coordinated development, distribution, and quality assurance for OVC IEC/BCC/SCC materials	
<i>Grants Management</i>	
No evidence and/or mechanism at the MGLSD	
Experience with several granting mechanisms but limited success noted only in CHAI and Early Childhood Development and Nutrition project funds	
<i>Staffing</i>	
Poor staffing at both national and district levels	
Lack of motivation	
No induction of new staff	
No regular performance appraisals	
No regular support supervision at both national and district levels	
No HRD programmes at both national and district levels	

In addition to addressing the foregoing findings, the assessment team also made recommendations on key systems, procedures and tools as well as core competencies to develop at both national and district levels.

I. INTRODUCTION

1. Background

The CORE Initiatives Project in Uganda is a joint venture between Care Uganda and the Ministry of Gender, Labour and Social Development (MGLSD). Care Uganda implements this partnership through CORE Initiatives Project Uganda. CORE Initiatives Project Uganda is composed of three other implementing partners: IHAA, ICWR and JHU. Funded by USAID Uganda, the purpose of the project is to expand targeted HIV/AIDS services for youth and critical services for orphans and vulnerable children by facilitating collaboration between the Government of Uganda and civil society as mandated by the approved National OVC Policy (NOP) and National Strategic Programme Plan of Interventions for Orphans and Other Vulnerable Children (NSPPI).

1.1. Programme Scope

The programme has three result areas that include:

1. MGLSD capacity to effectively provide leadership, coordinate, monitor and evaluate the national response to OVC and AB/Y is strengthened
2. Expand availability and quality of OVC services through strengthened Public Private Sector Partnerships
3. Expand availability and quality of AB/Y programming through strengthened Public Private Sector Partnerships

1.2. Programme Implementation

The main bodies responsible for overseeing and participating in the implementation of CORE Initiatives Project in Uganda are MGLSD, USAID Uganda and CORE Initiatives Uganda. Their specific roles are:

1. **MGLSD** is the lead agency for the implementation of the NOP and NSPPI.
2. **USAID Uganda** is responsible for funding the implementation of the CORE Initiative program in Uganda, providing technical support and sitting at the CORE Initiative Uganda Grants Steering Committee.
3. **CORE Initiatives Uganda** is responsible for the overall management and implementation of the project in collaboration with MGLSD and USAID. Specific activities include providing technical design and oversight, strategic oversight, and overall project management

2. Purpose and Objectives

The assessment exercise was carried out to determine MGLSD and district operational and management capacity needs to provide leadership, coordination, monitoring and evaluation of the national response to OVC and AB/Y. The results of this exercise will be used to develop a capacity building plan for MGLSD and a general one for the districts. Because of this a general assessment of the district capacity needs was done as opposed to individual district assessments.

Box 1: Main Areas of Focus

- Management, Planning and Coordination
- Monitoring and evaluation/Quality Assurance
- Advocacy and Communication
- Grants management

3. Methodology

3.1. Approach

A 'modified competency profiling approach' (that included the elements of systems, tools, and procedures) was used to assess operational management and technical/programmatic needs of the MGLSD and districts.

Box 2: Respondent Offices

MGLSD

- Directorate Gender and community development
- Department of youth and children
- OVC Secretariat
- Policy and Planning Unit (PPU)
- Department of Labour
- Personnel Office

District

- District Community Based Services Directorate or District Community Development Office
- Probation and Welfare Office
- Community Development Office
- Community Development Assistant

In addition competency profiling was expected to provide most of the data needed for development of more tools such as:

1. Training programme
2. Recruitment and induction tool
3. Guidelines to using the existing competence based performance appraisal tool
4. Support supervision tools
5. Guidelines for inter and intra coordination mechanisms

3.2. Tools

A modified competency profiling tool was designed and used to collect data from offices directly related to OVC and ABY in MGLSD and the districts. The offices in Box 2 were identified as directly related and responded to the tool.

A guided questionnaire was developed to interview other key respondents (who were not targeted for CP) from the MGLSD, other ministries, bilateral and multilateral agencies, NGOs, CBOs and Local Government officials. This was done to give a holistic picture of the planning, budgeting, coordination, M& E and implementation of the national response to OVC and ABY. Information from these respondents was also used to complete the capacity needs picture and to triangulate information from competency profiling.

3.3. Study Population

A total of seven districts were assessed. Box 3 shows the districts covered per region.

3.4. Measurement of Institutional/Organisational Development (ID/OD)

In order to monitor and evaluate the capacity building efforts, an ID/OD measurement tool was developed. This tool (composite score) will measure ID/OD achievements in the targeted areas of OVC/ABY:

1. Planning
2. Coordination

Box 3: Study Population

Region	District/s
Central	▪ Masaka
Eastern	▪ Kapchorwa
Northern	▪ Lira ▪ Kitgum ▪ Pader
South Western	▪ Bushenyi ▪ Rukungiri ▪ Kanungu
Western	▪ Bundibugyo ▪ Masindi

3. M&E
4. Communication and Advocacy
5. Grants Management

To measure the above elements two broad categories of variables were selected:

1. Core competencies
2. Systems/processes/tools

Selection of the variables was based on the assumption that building the levels of core competencies and putting in place appropriate systems/processes/tools was a key and realistic ID result that the CORE Initiatives Project can achieve in the given project period and resources (as articulated in the project proposal document).

For each of the five components the required core competencies and the key systems/processes/tools were identified using the competency profiling tool and information collected from other respondent's interviews. For each of the identified core competencies the existing level was determined (both at MGLSD and districts). The expectation was that the existing level for each competence will be an average score of all the identified respondents that have gone through the competency profiling exercise. In a similar way for each of the systems/processes/tools identified the existing levels of functionality were determined. Using the same process, indicators for levels of competence and functionality were determined.

For core competencies measurement, a modified (from the original 6 to 4 point ratings) nominal Amod Scale was used. For the systems/processes/tools functionality measurement, a functionality 4 point scale was developed. The modified (from six to four ratings) Amod Scale and the Functionality Scale are shown in Tables 1 and 2 below.

Table 1: Amod Scale

Assessment	Score
Expert <i>Can perform this task/competency without supervision and assistance, and with more than acceptable speed and quality of work.</i>	4
Competent <i>Can perform this task/competency without supervision and/or assistance</i>	3
Apprentice <i>Can perform this task/competency but not without constant supervision and/or assistance</i>	2
Novice <i>Cannot perform this task/competency satisfactorily for participation in a work environment</i>	1

Table 2: Functionality Scale

Assessment	Score
<i>Developed and fully functional</i>	4
<i>Developed but not fully functional</i>	3
<i>Developed but not functional</i>	2
<i>Not developed</i>	1

An aggregate measure of a combination of all the variables (competencies and systems/processes/tools) was taken as the “composite score” for ID/OD. Two composite scores were provided for: one for the Districts and another for the MGLSD.

3.5. Determining the baseline composite score

For each of the two (MGLSD and districts) total for competency score was $4 \times n$ (where n is equal to the number of competencies selected for inclusion in the capacity building plan i.e. competencies that the Project intends to build). The % score on competencies was thus:

$$\frac{Z \text{ (actual score)}}{4 \times n} \times 100$$

Similarly the total for systems was $4 \times y$ (where y is the number of systems selected for building/strengthening). The % score of systems was thus:

$$\frac{W \text{ (actual score)}}{4 \times y} \times 100$$

The composite score was $\frac{\% \text{ score of competencies} + \% \text{ score of systems}}{2}$

The measurements of the variable at the assessment time were to be used as baseline information on which capacity building initiatives were to be monitored. The composite score at the time of the assessment was used as baseline information on which all future evaluations of ID was to be based.

3.6. Future measurements

Yearly composite score assessments of ID/OD (using the same tools) are planned in each of the selected Project districts, and results will be compared to the baseline.

II. FINDINGS AND DISCUSSION

A. Coordination

Clear OVC & AB/Y administrative and coordination structures, and technical and administrative roles and responsibilities

At the time of the assessment the MGLSD was in the final stages of approving the 'Report on Restructuring of The Ministry of Gender, Labour and Social Development' Policy, OVC Policy and the Community Mobilization and Empowerment Policy. The current and the proposed MGLSD are shown in Appendices 1 and 2. It is hoped that by the time the capacity building exercise starts the proposed structure and roles and key functions will have started to be implemented.

1.1. Organisation Structure for CBS Department at the District

Findings and Observations

1. The Ministry of Public Services had reviewed and restructured the local government and staffing levels. The report was published in 2005. In the new arrangements Districts were divided into three models (Model 1, 2 and 3). Urban authorities were also divided into these three models. The models are shown in Appendices 3(a) – 3(c). Classification of the model structures was based on three variables: population, local revenue out turn, and geographical area. Model 3 had an average score of 27 or below; model 2 had an average score of 28 to 39; while model 1 had an average score of 40 and above.
2. Districts visited were at different stages of implementation of the new local government staff restructuring (2005). While some districts (such as Masindi) had already laid-off staff some (such as Bushenyi and Rukungiri) were still holding on to the old structures. While most district authorities were keen to move on to the new structure, many did not have the resources to pay terminal benefits of persons not able to be accommodated into the new structure. The new structure was found to require a higher caliber of staff compared to the old structure. A higher caliber of staff meant an increased wage bill, which many districts would find difficult to meet. Many of the district authorities also expressed concern on the ability to hire and maintain such a caliber of staff especially at sub-county levels.
3. Recruitment into Community-Based services was found to be affected by the perception of the administrative and political heads on importance of the sector. In Masindi where the political perception of importance of the sector was noted decisions had already been arrived at to boost the community development personnel capacity. At the time of the district visits there was a ban on district recruitment from the Ministry of Public Services. All districts visited had therefore inadequate staff capacity both at district and at sub-county levels. In Kapchorwa district it was found that 90% of the Community Development Assistants were volunteers.

1.2. National OVC Management and Coordination Mechanism

Findings and Observations

1. Appendix 4 shows the national OVC management and coordination mechanism as currently set out in the NSPPI. While the NSPPI Core programme areas identify seven key line ministries. (MGLSD, Education, Health, Finance and Economic Planning, Agriculture, Defense and Justices), the team found no formal or informal mechanism for coordination.

The Technical Resource Sub-Committee of the National OVC Steering Committee is supposed to have representatives from these line ministries to give a multi-sectoral and holistic guidance to the national OVC programme. In practice the team found no clear evidence that this was happening. The capacity of the team members to effect changes in their parent ministries was also not very evident. Interviews findings with key officers in the Ministries of Health and Education revealed that the ministries in general had little or no information on the existence of this committee. Outside the Technical Resource Sub-Committee, the team found no formal mechanisms for inter-ministerial referrals nor deliberate efforts to enhance effective synergism and/or collaboration in the areas of coordinated OVC planning, monitoring and evaluation, and sharing of resources and information.

2. Similarly the assessment team found no mechanism to coordinate youth HIV/AIDS prevention activities in the three key ministries (MGLSD, Health and Education) and the Uganda AIDS Commission (UAC).

a. Intra-ministerial OVC, AB/Y Coordination

1. The proposed NIU was not yet in place and the OVC secretariat was still carrying out the functions that NIU was supposed to. It was noted that the NIU does not appear as a formalized unit in the new MGLSD structure and therefore only exists as a directorate/departmental arrangement to handle OVC issues. This factor was noted as a weakness in coordination with other OVC units that do not fall in the directorate of Gender, Culture and Community Development (e.g. labour, planning and personnel)
2. After the development of the NOP and NSPPI, the NOSC and the TRC went into limbo. Reason given for this was that there was no clear agenda after the above two documents had been developed. The NOSC has been meeting on several occasions on an ad hoc basis and on ad hoc agendas. The NOSC and TRC have not yet drawn up a clear programme to define their strategic direction.
3. The Intra-Ministerial Vulnerable Population Taskforce and Projects (provided for under the present structure) was not very active nor did it seem have a defined agenda. Also, this Taskforce does not appear in the new structure. As a result of this, there was no evidence of an active mechanism effectively coordinating vulnerable populations in terms of planning, budgeting, M&E and information and resource sharing between the ministry departments (Youth and Children) and the various projects within the ministry (PEARL, PCY, YES, Jobs for Africa).
4. The Directorate of Labour, the Department of Gender, and the Department of Elderly and Disability were directly related to implementation of NSPPI. In practice there was no direct coordination between the units in terms of planning, budgeting, monitoring and evaluation, and information and resource sharing and mobilisation.
5. There was no linking mechanism/s between the Intra-Ministerial Vulnerable Population Taskforce and Projects (if it will still exist in the new structure) the NIU, NOSC and TRC.
6. There was no formal mechanism that promotes coordinated planning, M&E, resources sharing and operational synergism between the various youth projects within the MGLSD (PEARL, PCY, YES, Jobs for Africa).

b. The National Council for Children (NCC)

The National Council for Children (NCC) was established by an act of parliament in 1996 with the following functions:

1. To advise and promote policy and programmes regarding the survival, development and protection of children in Uganda.
2. To ensure proper planning and coordination of all child-based programmes
3. To review and identify obstacles to implementation of the Programme of Action (PA)
4. To monitor and evaluate programmes and activities of PA
5. To advise on PA budget
6. To act as a clearing house for information and data on the situation of children and activities designed to benefit children in Uganda
7. To disseminate research and development findings on the needs and problems of children of children
8. To work in close co-operation with and to co-ordinate the activities of all persons, institutions, sectors and organizations involved in child-based activities
9. To do all other things incidental or conducive to the efficient carrying out of the provisions of this Statute as the Minister may direct and, by statutory instrument, prescribed

Findings and Observations

1. In respect to the NCC mandate, participation of the NCC in the implementation of the NOP and NSPPI is token (even though the NCC sits on the National OVC Steering Committee)
2. The NCC was not effectively carrying out its statutory role of coordinating and promoting survival, development and protection of children in Uganda.

The reasons for this were found to be:

- a. Lack of adequate operational resources
- b. Inadequate competent and committed personnel
- c. Lack of clarity between the roles of coordination and promotion of OVC by MGLSD and the coordination and promotion roles of children issues by the NCC. Through the NSPPI, MGLSD was given the mandate to carry out coordination and promotion functions originally (and still by statute) a reserve of the NCC. It was observed that when the NCC was set up it was a vibrant council with a lot of goodwill from donors. However after the departure of the founder Chief Executive, this vibrancy and donor goodwill quickly disappeared leading to the MGLSD taking over many of its former (statutory) roles. The situation was not helped by the fact that even though the NCC was expected to coordinate children activities in different government sectors, it is under the MGLSD. The contradicting roles of NCC and MGLSD will have to be reviewed for proper coordination of children's issues in general and OVC issues in particular. At the time of the assessment it was discovered that a cabinet paper had been written to this effect.
- d. Lack of a clear strategic direction by the NCC (no strategic plan or operational plans)

1.3. District OVC Management and Coordination Mechanism

a. District NGO/CBO Coordination

Findings and Observations

1. NGO/CBO coordination was either weak or not existent in most districts visited. While the CAO or his representative was expected to register all NGOs coming to work in the districts, there was little evidence to show that the COA's office monitored the NGO activities after that. CBOs are registered and certified by the District Community Development Officer. There was little evidence to show that districts and sub-counties were carrying out NGO/CBO coordination activities under this arrangement. Only the large NGOs (with international affiliation) were sending reports to the CAOs. The District and sub-county authorities were aware that they had the responsibility for monitoring NGO and CBO activities but gave the following reasons for not doing so:
 - a. Lack of funds
 - b. Lack of transport
 - c. NGOs did not invite them
 - d. Lack of transparency by the NGOs/CBOs
 - e. Lack of clear District/sub-county NGO monitoring mechanisms
2. On their part the NGOs/CBOs were also aware of the fact that they are expected to be monitored by the local authority. They however gave the following reasons for this not happening:
 - a. Local authority officials demand transport and a safari allowance from them if they are to come.
 - b. Lack of transparency may be due to local authority personnel asking for money when they see a hefty NGO budget.
 - c. Lack of a proactive approach to monitoring by the local authority
 - d. Lack of a clear list of local authority expectations from them
3. Under their own initiatives some district NGOs had initiated their own coordination mechanisms and had affiliated these mechanisms to the National NGO Forum as District NGO Forums. Where these exist they are fully functional with the technical and some financial support from the National NGO Forum. It was however found that these fora are meant for NGO coordination in general matters and are not focused on any thematic area. Their links as well as their ability to influence decisions at both the district and sub-county levels were found to be weak.

b. District HIV/AIDS Coordination

Through the establishment of HIV/AIDS committees a coordinated multi-sectoral response has been possible in the districts. Most districts visited had fully functional HIV/AIDS committees at district level and several were in the process of establishing committees at sub-county levels. The purpose of this district HIV/AIDS coordination is to provide a harmonized response to the epidemic at all levels in the district. This is to be effected through pooled efforts by government and non-government sectors. The mission of these committees is to have a strong unified coordination leadership through efficient technical management and political supervision.

The main objectives are:-

- a. To enhance and sustain advocacy for appropriate HIV/AIDS policies and resources.
- b. To develop integrated and comprehensive plans and monitor activities and resource utilization.
- c. To ensure and promote broad partner participation and wide information sharing.

The thrust of the political coordination focus is advocacy for attention to HIV/AIDS issues, policy guidance, strategic direction, partnership development and social mobilisation. The weight of the technical coordination system is planning, monitoring and evaluation, information sharing and tracking of resource utilization. In general, there is inter-linkage between the technical and political functions in the district.

The NSPPI stipulates that the District HIV/AIDS Committees (DHAC), where they exist and are effectively operating, will be prioritized as the committees to coordinate the implementation. In districts where DHACs are non-existent or non-operational, the District Development Committee, Social Services Committee of the Council, or the Planning Committee, will be the committees to take up the coordination of the implementation function. If all the above committees are non-functional, then other recently structured district committees such as the District Implementing Teams (DITs) could be options for coordinating NSPPI implementation. The aim of these committees would be to bring together the district multi-sectoral actors; district technical personnel, the political arm, the development partners, CSOs, private sector, the community and vulnerable children, to provide a district-specific assessment of the burden, the mapping of needed and initiated interventions, as well as technical implementation support. Among urban authorities, such as the Kampala City Council, its Divisions, and the District Municipal Councils, the focal persons for orphans and other vulnerable children will be the Probation and Social Welfare Officers, Town Clerks and LC5 Secretaries for Children Affairs respectively. In appropriate committees, all the stakeholders, including child advocates, will be brought together to provide direction to the implementation of the NSPPI in urban areas. In the Town Councils and Wards the community development workers will be the focal persons who will bring together all the key actors.

Findings and Observation

The HIV Coordination mechanism (DHACs) is not ideal for the coordination of OVC because OVC issues extend beyond HIV/AIDS. DHACs were also found to be health sector driven. Using this mechanism would further reduce the community based services sector's visibility and positioning at district level. The team however noted that there are many lessons to learn from this mechanism that can be of value in developing or deciding on a district OVC coordination mechanism.

Sub-County Coordination

At the Sub-County level, the NSPPI stipulates that the focal person for orphans and other vulnerable children will be the Community Development Officer (CDO) who will work as part of the team at that level and coordinate with the Sub-County Chief. The CDOs will be the main sector agents who interface with the communities and coordinate the activities of the NGOs, CSOs and other service providers at the lower local government level. The Sub-County Planning Committee will bring together the Sub-County technical team, the political arm and other partners – CSOs, private sector actors, community representatives and the development partners. The MGLSD has targeted having one CDO per sub-county by the year 2004 and two CDAs in all sub-counties by 2008. The CDOs will mobilise communities and individuals to effectively participate in and sustain interventions for orphans and other vulnerable children.

Findings and Observation/s

1. There was no formal OVC coordination mechanism
2. The Sub-County Technical Planning Committee was in place and was functional. It also showed willingness to coordinate OVC activities as per the NSPPI recommendations.

Parish/Village Coordination

The NSPPI stipulates that at Parish (LC2) level, the Parish Development Committees (PDC) will bring together all the stakeholders, who include the Secretary for Children Affairs, the women council representative, CBOs, religious, cultural and traditional leaders, and the child or community representative.

Findings and Observations

1. In most districts visited PDCs were not formed and where they were formed they were not functional. Sub-counties were not receiving parish plans and in most instances sector heads at sub-county were the ones collecting the necessary planning information from sub-counties.
2. There was no formal mechanism to coordinate OVC initiatives
3. Although in several districts the existence of CSOs working in the OVC area was acknowledged there was no data or reporting from the CSO at parish level

Other innovative coordination mechanisms observed

1. In Kapachorwa an independent body called Kapchorwa Civil Society Organisation's Association (KACSOA) was formed to coordinate NGO/CBO work. The assessment team noted that this body did not have direct links with the local authority.
2. In UNICEF-supported districts success in the use of the District Technical Planning Committee (DTPC) for programme coordination was observed. DTPC had formed multi-sectoral and integrated sub-committees to address issues in a coordinated manner at district and sub-county levels. The advantages of these sub-committees were:
 - a. No new structures were created
 - b. By doing this, key sector interventions can easily be integrated into the district planning, budgeting and implementation activities at no extra cost.

In Masindi the district was developing a process where all NGOs coming to the district would have to sign memoranda of understanding. Some of the elements in these memoranda included:

- a. Joint planning
- b. Declaration of operational budgets
- c. Commitment to regular reporting to the district
- d. Adherence to set national standards of quality

The Masindi district authority believes that this approach has improved coordination and monitoring of NGO activities.

B. Planning

Effective multi-sectoral planning to address OVC and AB/Y issues

1. Planning Cycle MGLSD

The MGLSD planning cycle is shown in Appendix 5. The Ministry has put in place a five-year strategic plan known as the Social Sector Investment Plan (SSDIP). The current plan runs from 2003 to 2008. The SSDIP forms the framework for MGLSD three-year rolling plans and the annual planning and budgeting cycle.

Findings and Observations

MGLSD planning and budgeting was done by the Sector Working Groups. The Sector Working Groups had the following disadvantages:

1. The process of developing the budget framework by the sector working groups is highly compartilised.
2. The process was not allocated enough time.
3. Each department/unit was presenting its plan and budget without prior arrangements to exploit opportunities for synergism, activity referral, sharing of resources and elimination of duplication of activities.
4. The process was not ideal for viewing the MGLSD clientele in a holistic manner. It targets group issues as opposed to the functional issues.
5. The national budgetary allocations to MGLSD are small compared to the mandate of the Ministry.
6. Within MGLSD, issues of children and youth were taken as a priority. This was evidenced by the Ministry allocating nearly half (2.34 billion shillings) of its annual budget (5.17 billion shillings) on children issues in the financial year 2005/6.
7. The quality of planning and budgeting was affected by non-commitment of some donors on the exact amount of resources they were willing to commit. Other donors, such as UNICEF, directly spend in districts with little information given to MGLSD. Donors also have different budget cycles which make integration of donor funding into ministry budgeting difficult.
8. Lack of evidenced planning. The only data the team uses for planning is extracted from various national surveys and this does not provide adequate information for effective planning.
9. The MGLSD staff had the necessary competencies and attitudes to carry out effective planning at departmental level. However the following skills were found inadequate:
 - a. Coordinated/integrated programme planning skills
 - b. Advocacy and communication skills
 - c. Team building and playing skills
 - d. Paradigm shift to look at the ministries clientele in a holistic, coordinated and functional as opposed to target group manner.

2. OVC Planning and Budgeting at District Level

Findings and Observations

1. Long-Term Planning
 - a. All districts had three-year strategic plans at both district and sub-county levels

- b. Even though the national policy is for a bottom up approach in the planning process, there was little evidence of a bottom up approach.
- c. All the district and sub-county plans lacked focus on OVC. It was however noted that some OVC issues were directly or indirectly addressed under sectors like health and education. It was of great importance to note that surprisingly enough even the community-based services sector did not have focus on OVC in the district strategic plans. Some of the reasons as to why OVC issue were not given much attention in the planning and budgeting process included:
 - i. These issues were not emerging as priorities from lower levels (LC2 and 3)
 - ii. OVC is not included in the LGDP areas of funding
 - iii. No clear identification on what OVC areas to plan and budget for (there is no district-based data on OVC on which to base planning)
 - iv. OVC issues were already addressed by NGOs and CBOs
- d. None of the districts visited had a long-term community-based services sector plan from which they would contribute to the district plans.
- e. There was no evidence of an OVC multi-sectoral planning mechanism. Because of this there was no evidence of planned utilization of synergism in the implementation of OVC activities by different key sectors. There was also no evidence of planned inter-sector OVC issue referrals.
- f. Achievement of implementation of strategic plans at both district and sub-county levels is poor. An average of 30% to 40 % achievement rate was quoted. Lack of funds and conditionality of central grants were given as key reasons for this poor achievement rate. There was no evidence of using the strategic plans to actively lobby or mobilize other forms of resources to implement a larger portion of the plans.
- g. In all districts visited no district or sub-county had ever been successful in getting all or part of the 10% unmarked funds available at district and sub-county levels.
- h. It was noted that all districts visited did not plan for AB/Y activities except for the activities under the Ministry of Education's Presidential Initiatives on AIDS Strategy for Communicating to Young People (PIASCYP). The reasons given were that AB/Y was reasonably catered for by NGOs and CBOs and some of these were receiving grants from the districts under projects like CHAI. These NGO and CBO activities were however not reflected in any of the district plans

2. Annual District Planning and Budgeting

Findings and Observations

1. The diagram of annual planning and budgeting at the district level is presented in Appendix 6. Every year districts and sub-counties receive indicative planning figures from the MOF. Using a bottom-up approach the planning process is able to develop village, parish, sub-county and district plans.
2. At sub-county level the CDAs are supposed to facilitate parishes and/or parish development committees (PDCs) in integrating village plans into annual parish development plans. These are then sent to the sub-counties with clear indications of what the parishes will fund with their grants, leaving the rest to the sub-counties. This was found not to be taking place.
3. CDOs are supposed to coordinate multisectoral planning at sub-county levels. They are supposed to be secretaries to the STPC. The STPC prepares annual sub-county development plans to be presented to the LC3 council for approval. The sub-counties then send their approved plans to the districts with clear indications of what the sub-county will

fund with their grant leaving the rest to the districts. A similar process occurs at the district. This process was found to be functioning well.

4. Most sub-county community-based services departments were still run by CDAs. Because of this caliber of staff, the coordination of sub-county planning process was being done by some other officers. This denies the sector the opportunity to take this lead role which the assessment team saw as vital in improving the sectors profile and visibility.
5. Local councils (LC2, 3 and 5) have a final say in the planning and budgeting process. This sometimes leads to planning and budgeting of activities that are politically motivated as opposed to being priority needs.
6. Abolition of graduated tax was observed to have greatly affected the planning process as well as most operations at the districts. Originally 5% percent of the districts budgets came from graduated taxes. This money was essential for the 10% match needed for the central grant. This has led to the districts being unable to even pay salaries for essential staff and provision of essential services. This creates a big challenge to donors, programmes/projects intending to partner with districts.

C. Directing

Accomplishment of the OVC and AB/Y mission and objectives (NSPPI & NOSP) while simultaneously helping subordinates accomplish their own career objectives (Programme performance measurement, directing and re-directing).

The Ministry of Public Services guidelines spell out clearly the expected outputs of MGLSD, districts and the different sectors. The guidelines also go further to give Result Oriented Management (ROM) performance indicators for districts and sectors.

Findings and Observations

1. There was no clear link observed between expected performance measurements based on the annual MGLSD and district plans and the performance measurement based on the Ministry of Public Services prescribed outputs.
2. At both the central (MGLSD) and district levels there was no system or plan in place to measure performance. There was therefore no system in place to measure the performance indicators spelt out in the NSPPI.

D. Staffing

Efficient and effective HR to manage OVC and AB/Y programs

Findings and Observations

1. Both the MGLSD and the districts had not fully implemented the new organizational structures. Most proposed positions were still not filled and the worst hit are sub-counties. The Department of Youth and Children is operating at about 50% of the required human resource capacity. Recruitment is dependant on the Ministry of Public Service and the Ministry of Finance. MGLSD capacity to influence the decisions of these two key ministries was difficult to determine.
2. As a result of political interference and/or lack of competent people wanting to work in rural areas, recruitment is sometimes not done on merit.
3. While new staff received their letter of appointment, these letters did not include detailed job specifications that would help them best understand the job. Adverts in the papers do not also give detailed job profiles. This leads to persons being recruited without knowing what they are exactly required to do.

4. MGLSD and districts do not have an induction policy or programme for newly recruited staff. At the District level most of the staff in Community-Based Services had not received formal induction.
5. The concept of line management was not clearly understood both at MGLSD and district levels. This was a result of leadership styles that were found to be more transactional as opposed to transformational. This could be attributed to the conservativeness of the civil service management culture, which promotes a 'power distance' approach to work relations.
6. MGLSD in general and the Children and Youth Department in particular were not carrying out support supervision to districts on a regular basis. MGLSD was also not doing the mandated support supervision of National NGOs working on children and Youth affairs. The reason given for this was lack of adequate financial and human resources. The situation was similar at district level. At both the center and the districts there were no tools available to use for support supervision. The MGLSD had started developing one some years back but the process was never completed.
7. There was no evidence of efforts to try and integrate supervisory visits at both MGLSD and district levels
8. Both MGLSD and the districts did not have an HRD policy or programmes. Funding to HRD activities are reducing year to year and in many of the cases the little training that has been done is sometimes not well aligned to tasks or roles.
9. Most officers interviewed in the Children and Youth Department and at the districts had not received a performance appraisal in the last two years. Those in supervisory positions had seen the new performance appraisal tool and had had training on its use. There was a general feeling that further training on the tool is required and there was need to develop operational guidelines to make the user more OVC and/or AB/Y focused when using it.
10. In general the MGLSD personnel were found to have the competencies to produce the results outlined in the ROM and MGLSD restructuring document. The team noted that there were however some micro skills that were not well developed. At district level the competency levels were low in many of the core competence areas. (Appendix 7).

E. Communication and Advocacy

The assessment team focused on communication to:

- Coordination of programming and activities for OVC and AB/Y among national and district stakeholders.
- Resources and attention given to programming for OVC and AB/Y.
- Familiarity with guidelines and policies for OVC and AB/Y programming.
- Image of MGLSD as the lead agency responsible for OVC and AB/Y programming.

Findings and Observations

In general the assessment team found that communication to spearhead expansion of quality OVC/AB/Y services was not well developed at both the MGLSD and Districts. The MGLSD did not have a communication strategy to OVC and AB/Y issues.

1. Organisational communication

Downward communication was efficient and fairly effective within the MGLSD. It could however be further improved by increasing access to e-mail and other relevant MS programmes as well as provision of an intranet system. MGLSD had a website that was rarely viewed by the staff members. Reasons for this poor use of the website were limited access to both computers and the internet itself made worse by the staleness of the information on the site. The CORE project

has already embarked on the process of improving the website with the inclusion of a web page on OVC and AB/Y.

There was little evidence of formal or consistently informal mechanisms for upward communication.

MGLSD held regular senior management team meetings (chaired by the PS and attended by all directors and heads of departments) and departmental meetings as an effort to improve lateral communication. It was however noted that meetings formats were not action oriented and did not strongly enforce feedback. It was also noted that the existing lateral communication channels did not lead to:

- a. Avoidance of administrative and operational waste or potential misinformation and ensure that lessons learnt in one department/unit are applied in others.
- b. Prevention of work being duplicated or left undone because department/units wrongly presume it is being carried out elsewhere.

2. MGLSD/District Communication

Communication between the MGLSD and the districts was found to be poor. Many districts had not seen an official from MGLSD in the last three years and felt that they were delineated from the centre (they used the word orphaned). Copies of the NOP, NSPPI and other policy/operational documents had not reached most districts. At the time of the assessment exercise MGLSD and partners were in the process of delivering these to all districts using a public/private partnership approach.

3. District/Sub county/Parish Communication

In comparison to the MGLSD/District communication, the district/sub-county/parish communication is much better developed. The main methods of communication are by hand delivery and increasingly the mobile telephone that seems to cover most districts. Although the Department of Community Based Services saw the value of regular meetings with the sub-county staff as a way of improving interdepartmental coordination, this was not being regularly done because of financial constraints.

4. Behaviour/Social Change Communication

- a. MGLSD did not have a strong BCC/SCC unit.
- b. There was no clear mechanism to ensure:
- c. Quality and consistency of BCC material developed by partners in the area of child welfare and protection area.
- d. Development and/or identify appropriate effective OVC/ABY BCC materials
- e. Provision of technical support to implementation partners that are involved in the development of OVC/ABY BCC materials
- f. Equitable distribution/accessibility of OVC/ABY BCC materials.
- g. Many stakeholders are not familiar with the NOP and NSPPI or the underlying rationale. A popular version of the NSPPI has been produced and is currently being distributed. It was however not noted that there was no clear strategy of distribution in terms of target group, methods and monitoring. Given the fact that many people in both rural and urban areas do not understand English, it may be important to translate this version into the key local languages/dialects.

- h. MGLSD is not widely recognized at the lead agency for OVC programmes. There was no evidence of specific activities aimed at advocacy and/or cooperate image promotion was found.

F. Granting and Resource Mobilization

Findings and Observations

1. The major source of funding in MGLSD is the central government budget. The Ministry also receives funding through specific projects that include:
 - Functional Adult Literacy (FAL)
 - Programme for Children and Youth (PCY)
 - Child Labour (ILO)
 - Community Based Rehabilitation
2. There was no evidence of other specific activities that MGLSD undertakes to mobilize extra resources. This was attributed to lack of adequate information on available resources.
3. The MGLD did not have a grants management system in place and prior to the CORE Initiatives Project, it was not involved in grants management. The team noted that within the Core Project a temporary grants mechanism had been put in place and MGLSD staff were gaining the necessary experience in grants management. Three granting rounds had already taken place. At the time of the assessment it was difficult to assess what grants management competencies had been acquired but it was generally thought that the exposure had been too short to expect acceptable operational competence build up. The team also noted that the temporary grants mechanism had been effectively mainstreamed into the day to day MGLSD operations.
4. At the district level, two major granting mechanisms were noted as having had some degree of success. These were the Community HIV/AIDS Initiatives (CHAI) Programme under the Uganda AIDS Project of the Uganda AIDS Commission and the Early Childhood and Nutrition Project under the Ministry of Health. At this level, the CHAI Programme granting mechanism is managed by the DAHC and is probably one of the successful granting mechanisms at the district level. The Early Childhood and Nutrition Project, which closed in 2005, had set up granting management mechanisms at district level that involved the participation of district officials, NGOs and FBOs. These mechanisms were also reported to have been successful.
5. Districts had competent personnel to carry ensure correct accountability and reporting.
6. District CSO relationships had the following weaknesses:
 - a. There were no standard criteria that districts were using to recommend NGOs to the board for registration or to register them in the districts and as a result there was mushrooming of fake briefcase NGOs.
 - b. There were no legal provisions requiring NGOs and CBOs to report to or to be supervised by districts Local Governments. This makes it difficult for local governments to enforce services delivery accountability and reporting.
 - c. Field data (geographical priority, accessibility and replication of activities by various NGOs) on CSOs was not easily available.

- d. NGOs and CBOs were generally not involved in district planning activities and were not reporting to the districts.
- e. Districts did not have operational funds to support supervise CSOs.

G. Monitoring and Evaluation

Appendix 8 presents a conceptual framework of a national MIS on which the Monitoring and Evaluation Team based its assessment. The primary objective of the visits for the Team was the identification of issues relating to the feasibility of establishing a national management information system (MIS) to track data relating to orphans and vulnerable children (OVC) in conjunction with the Ministry of Gender, Labour and Social Development. Within this context, capacity of district and sub-county officials to implement an MIS for OVC status and interventions was also assessed.

Findings and Observations

1. Village and parish level:

- a. There was no established mechanism at village and parish levels to collect OVC specific data
- b. Within the Social Sector, village level information collection is limited largely to those areas with operative community based management information systems (CBMIS) or registration of birth and deaths (BDR). There are, however, potential constraints on expansion of BDR. In some cases where chiefs were collecting BDR data this has been discontinued as a result of the firing of many staff at this level under district reorganization. 'Data collection fatigue' was also reported to be setting in, particularly where birth certificates, which provide an incentive to households and volunteers, are not distributed. At district level, an incentive is provided through linkages between BDR funding under the Local Government Development Program (LGDP).
- c. In many locations local community based organizations were collecting household level data in order to identify or track beneficiaries for program support; these may include orphans and/or HIV/AIDS affected and other vulnerable households. Systems observed were patchy, being restricted in most cases to areas of operations and limited by resources. In one district an enumeration of orphans had been carried out in several parishes by a CBO working with UNICEF. A partner agency mentioned their reliance on CBO generated data in a situation where LCs may have a history of including ineligible children in their listing for political reasons.
- d. There was no clear linkage between data on individual households and Parish or village level planning.

2. Sub-county level:

- a. Data collection at sub-county level is focused on the requirements of the planning process.
- b. The quality of data used in the annual planning documents examined was high, and included, for example, detailed gender analyses. Under LGDP II, the Ministry of Local Government rates projects described in planning documents, giving a bonus to the best and reducing funding for those falling into the 'penalty' category. The requirements of this rating system influence the content of planning data; in one district it was suggested

to the team that the MGLSD lobby with the Ministry of Local Government for the inclusion of an indicator relating to OVC as an incentive for districts to collect this data. It was reported that district level officers provide technical support to plan preparation by sub-counties.

- c. Sub-county staff think it is possible to have a district-wide household registration as a step in creating a reliable data base on OVC. They stressed, however, the need for 'facilitation' in the form of transport assistance and daily allowances in order to supervise or participate in this work.
- d. CDAs indicated that they have acquired a high level of knowledge of the households in the areas where they work. They however indicated that their skills in data collection and analysis need to be built
- e. Most sub counties (except for Masaka) did not have computers and did not have electricity

3. District level:

- a. The District Planning Unit (DPU), headed by the District Planner, is responsible for the overall planning process. The full complement of planning staff includes the Senior District Planner, District Statistician, Population Officer and an Assistant Statistician. None of the districts visited had a fully staffed DPU.
- b. A wide range of information is collected, collated and reported on at district level. The District Planner integrates sectoral inputs and submits plans to the local council. Completed plans are comprehensive, present large amounts of data, primarily on achievements against activities and expenditures, but including sectoral analysis. Population level data are much less widely included in planning documents, being found primarily in those sectors with functioning information systems (health and education).
- c. Stakeholders for this information were identified as Police, courts and related sectors such as education and health. The quality of data for the probation and social welfare section of the Community-Based Services sector could not be assessed as these records were not reviewed during the field visits. In all districts where information was available, these records were kept in ledgers.
- d. Several parallel information systems operate at district level, including the Education and Health Management Information systems (EMIS, HMIS) and the Local Government Information Communication System (LOGICS). Data on health and education are primarily administrative, generated by staff of health facilities and schools, and include measures of the adequacy of facilities as well as utilization and access and measures of impact. Educational and health status data are generated at district level as numbers, supplemented by periodic population based surveys of, for example, EPI coverage and educational achievement of children in school. LOGICS, intended to be comprehensive, was not being fully implemented in any of the districts visited. The education and health MIS are designed primarily for vertical information transmission up to the respective line ministries and they are not easily integrated with local district systems, although one district reported receiving quarterly reports via EMIS.
- e. Central ministry data bases are not readily accessible at district level, although compilations of information have been prepared and distributed through the Uganda Bureau of Statistics (UBOS) on DCs. Additional data are collected for district-based

specialized projects, including the AIDS/HIV Integrated Model District Programme (AIM), Community Led HIV/AIDS Initiatives (CHAI) and activities of UNICEF. Vertical reporting at district level to the MGLSD is largely restricted to data on Functional Adult Literacy (FAL) and statistics on Labour. These are collected at sub-county and district level, forwarded to program heads and through them to the Chief Administrative Officer, who sends them on to the MGLSD. Data points are primarily administrative.

- f. District plans reviewed showed a high level of competence in situational analysis, including use of SWOT methods. Reports included detailed analyses of data on poverty, gender, health, education and agriculture. Much of the data shown in plans on education was facility-based; health included both facility and population based data, while gender also included population based data on various indicators related to social and economic equity, based on a sample survey undertaken as part of an aid project.
- g. District community based services department seemed not to take the M&E function as a priority at both the recruitment of staff and at programme implementation
- h. Most districts visited showed that staff working in the Community Based Services had a potential access to a computer but equitable access was what was lacking

4. Data on OVC:

- a. There is no formal district system for collecting OVC data. Planning and Population Officers in all districts visited reported using the 2002 National Population Census for data on orphan numbers.
- b. Other data on orphans and vulnerable children is generated through a combination of monitoring and reporting by NGOs and CBOs, data collection for programs such as AIM, which implement activities for OVC, collection of AIDS-related information via District AIDS Committees (DHACs), and specialist projects. In one district visited, a bilateral aid program had sponsored a district household sample survey. Data on OVC numbers, perceived access to services, educational levels and food security, among other indicators, were available for OVC in the district. This activity, implemented in conjunction with UBOS, was reported to have cost \$30,000 for a sample of 2800 households.
- c. Both NGOs and CBOs were reported to vary widely in their willingness to submit data and their openness to joint activities or monitoring visits by district authorities. Appendix 9 presents a diagram illustrating some of the information flows within districts and to central ministries for information relating to OVC.

5. National level

The M&E assessment at national level has not been done yet

H. Systems, Processes, Tools, and Competencies that need to be built

The systems, processes, tools and competencies that have to be addressed are shown in Appendix 14:

III. CONCLUSIONS AND RECOMMENDATIONS

A. Coordination

National level:

- 1. Orientate personnel in the NIU and all OVC related departments and units on the 'Report on Restructuring of The Ministry of Gender, Labour and Social Development with focus on the roles, strategic objectives, the key functions and key outputs**
- 2. Establish inter-ministerial mechanisms that enhance coordinated OVC and AB/Y planning and monitoring and evaluation, promote sharing of information and resources, and promote inter-ministerial referrals and synergism.**

There is need to review the existing structure to determine the merits and demerits of each in its ability to carry out inter-ministerial coordination (National OVC Steering Committee, NCC and others)

3. Establish the NIU within MGLSD

There is need to establish the NIU and to formalize it in the new MGLSD structure

- 4. Draw a specific, measurable and time bound agenda for the NOSC and TRC, and develop operational guidelines to integrate NOSC and TRC operations into the general MGLSD functions.**

A specific agenda that integrates NOSC and TRC operations into the mainstream MGLSD planning, budgeting, M&E and other core functions should be drawn.

5. Re-vitalise the Intra-Ministerial Vulnerable Population Taskforce

The Intra-Ministerial Vulnerable Population Task Force should be re-vitalized and given a strategic direction to help in determining a holistic approach to Vulnerable Populations

It was also noted that although the Directorate of Labour, the Department of Gender, and the Department of Elderly and Disability were directly related to implementation of NSPPI, in practice there was no direct coordination between these units in terms of planning, budgeting, Monitoring and evaluation, and information and resource sharing.

6. Establish an MGLSD interdepartmental coordination mechanism for OVC and AB/Y

There is need to establish an interdepartmental coordination mechanism that provides for coordinated OVC and AB/Y planning and budgeting, monitoring and evaluation, and resource and information sharing and mobilization. Creation of an OVC sub-committee of the Working Sector Group was seen as a viable option.

- 7. Re-define the roles and responsibilities of NCC vis-a-vis the roles and responsibility of MGLSD on issues of children.**

District level:

- 1. Establish a district/sub-county OVC coordination mechanism that fulfills the following roles and responsibilities (compiled and modified from 'Guidelines for District HIV/AIDS Coordination' – UAC 2002)**

Key Roles

Political supervision, overseeing and harmonising the district and sub-county OVC response and coordinating the implementation of district HIV/AIDS activities

Responsibilities

1. **Advocacy** – Enhancing and sustaining cross-sectoral leadership, mobilisation, commitment for attention to OVC issues
 2. **Partnership Development** - ensuring all sectors of society are represented, have a voice and participate through appropriate fora
 3. **Knowledge Management** - ensuring that accurate data is received, documented, disseminated and utilised at district and national levels
 4. **Policy** - interpretation of national OVC policy and NSSPI: identify policy gaps, ensure policy implementation, and formulate bye-laws to aid implementation
 5. **Planning** –
 - a. Participate in and lead OVC strategic planning, monitoring and evaluation
 - b. Recommend OVC strategic plans and budgets for approval in DTPC and STPC
 - c. Review and approve OVC action plans from lower local government Levels
 - d. Ensure a participatory approach at all LC planning levels in: situational analysis and needs assessment Submit reports to DTPC and STPC
 - e. Develop an all encompassing district-wide integrated strategic plan for HIV/AIDS
 - f. Establish a practical monitoring and evaluation framework and report the processes
 6. **Resource mobilization** – ensuring timely flow of funds and accountability
- 2. *Develop systems/procedures and/or tools to facilitate operations of the coordination mechanisms at both district and sub-county levels***

The following systems/procedures and/or tools were identified as key to the success of an OVC coordination mechanism at district and sub-county levels:

- a. One multi-sectoral OVC coordinating body at the district with similar structures at lower levels (LC3 and LC2)
 - b. OVC coordination mechanism guidelines
 - c. OVC MIS including M&E
 - d. NGO/CBO monitoring tool (guidelines)
 - e. The national OVC policy
 - f. The NSPPI
- 3. *Build the required competencies of all those involved in the coordinating mechanisms.***

The Assessment team recognized that neither the time nor the resources will be available to identify individual person's competence gap and to fill these gaps on individual basis. The assessment team identified only the core competencies that members involved in the coordination mechanism require. Identified competencies are:

- a. Knowledge and understanding of the national OVC policy
- b. Knowledge and understanding of the NSSPI
- c. Multi-sectoral OVC Planning skills
- d. Written and verbal communication skills
- e. Knowledge and skills on the bottom up district planning and budgeting skills
- f. Psychosocial support

- g. Child counseling and communication
- h. Lobbying skills
- i. Advocacy skills
- j. Computer skills
- k. Performance appraisal skills
- l. M&E skills
- m. General management and leadership skills

B. Planning

1. Create an OVC multi-sectoral planning process

At central level there is need to put in place a body that coordinates the OVC planning process within MGLSD. This body must include all the departments and units that have a bearing on OVC (labour, gender, elderly and disability, planning, youth and other units like NCC, NWC, NYC). Respondents suggested that the Sector Working Group could create a sub-committee to carry out this function. The sub-committee would then present their OVC integrated budget framework to the Sector Working Group for inclusion in the Ministries Budget framework.

At the district level there is need to put in place a multi-sectoral OVC planning process to develop district and sub-county 3year OVC strategic plans that are in line with the NOP and NSPPI. These sector plans can then be drawn on when developing:

1. Sector strategic plans (the Community Based Services in particular)
2. District and Sub-County development plans
3. Annual district, sub-county and parish development plans.

The established district and sub-county coordination mechanisms can be used to implement the planning process.

2. Create awareness about the magnitude and complexity of OVC issues among those involved in the planning and budgets approval process at National, district and sub-county levels.

There is need to create awareness on the magnitude and complexity of OVC issues among all those involved in OVC planning and budgets approval at national and district, sub-county and community levels (including CSOs). The NOP and NSPPI will be useful tools to use. At national levels special emphasis will need to be put on the relevant Parliamentary Sessional committee, the Members of Parliaments, and existing and potential donors. At district level emphasis will need to be put on the DTPC/STPC and the district and sub-county political leadership. This will require building communication and advocacy skills of the community-based services officers.

3. *Develop lobbying skills*

All officers in the community services sector at national, district and sub-county levels should have their lobbying skills developed for purposes of increasing funding for OVC activities. This funding could be from the national budget, district resources and other resources that may include multi and bilateral agencies, other international agencies, NGOs, FBOs, and the private sector.

4. *Develop a system to collect, analyse and disseminate integrated OVC data for purposes of OVC planning by stakeholders in general and the instituted MGLSD and district OVC coordinated planning bodies in particular.*

There is need to put in place a mechanism to collect, analyse and disseminate integrated OVC data for purposes of OVC planning by stakeholders in general and the instituted MGLSD and district OVC coordinated planning bodies in particular.

5. *Develop effective and safe partnership mechanism with districts*

The districts are in a precarious financial situation. This situation calls for a careful and success-proven mechanisms of partnering. It is clear that with out financial support districts are unlikely to be effective partners. A partnership mechanism that will ensure that districts are financially supported and that proper procedures and agreements are in place to ensure transparency and accountability is a priority.

6. *Recruit competent CDOs at sub-county levels*

All districts need to complete implementation of the new district structure (the community services department in particular) by recruiting competent staff that have the required person specifications

7. *Align annual budgets to sector and district development plans*

The DCDO and his staff should be given the necessary skills to develop annual plans that comply with the indicative planning figures, the district strategic plan, and the sector plan.

8. *Facilitate development of parish annual plans*

There is need to facilitate the CDAs to give technical support to PDCs/LC2 in development of parish development plans that give more focus on OVC issues.

C. Directing

1. *Develop a performance monitoring system and plan that aligns MGLSD and District performance measurement to the ROM based performance measurement, the NSPPI and the Local government performance system*

A performance measurement system and/or tool that address the ROM based district and sector performance together with the MOLG annual performance assessment needs to developed.

2. *Develop Community-Based Services Officers' competency to assess sector performance in general and the NSPPI implementation in particular.*

Community-Based Services Officers should be sensitized on the importance of measuring performance. Also, their skills to do this should be built.

D. Staffing

1. *Develop an appropriate tool to assess candidates for recruitment into the district Community Development Sector*

An appropriate tool that will help the District Services Committee (DSC) to look for the relevant community services core competencies needs to be developed. The DCS will have to be trained on the use of this tool for interviews. Using this tool ensures that people recruited have the required competencies (knowledge, skills and attitudes).

2. *Provide all newly recruited staff with detailed job descriptions at the start of employment.*

Every appointment letter should be accompanied by a detailed job description.

3. *Induce all new staff in the first three months of employment.*

Every new staff needs to be inducted within three months, at most. Any existing induction manuals need to be revised to comply with the OVC Policy and NSSPI. MGLSD should decide on whether this should be on district, regional or central basis. Competencies of all those going to carry out induction need to be developed.

4. *Develop supportive line management attitudes and skills*

There is need to build the capacity of supervising officers to carry out line management that is transformational in nature as opposed to transactional (i.e. change supervisors from mere managers and leaders).

5. *Carry out regular support supervision*

There is need to carry out regular support supervision. The frequency of this supervision should be determined by the money available. There is need to look into the possibility of integrating supervision so that other non-project areas benefit from ongoing projects. For purposes of quality and consistency a support supervision tool should be developed and used for supervision. There may be a need to work with ongoing projects (FAL, Disability) to develop one integrated tool for support supervision. All those carrying out support supervision (using the developed tool) need to be trained on support supervision techniques in general and the proper use of the tool in particular.

6. *Develop Human Resources Capacity Development Plan at MGLSD and District levels*

As heads of department, DCDOs need training in carrying out sector capacity needs assessment and setting sector training needs priorities. Community Services Sectors need to have a three-year capacity building plan from where they can draw their annual capacity building plans.

It was noted that except for a few workshops attended by a few officers from the district CBS department there has been no training programmes and/or activities emanating from MGLSD.

7. Carry out annual Performance Appraisal

There is need to have annual performance appraisals for all staff. Community Services sector staff in supervisory positions need to receive training on the use of the new Ministry of Public Services performance appraisal tool. A guideline to help appraisers interpret the performance appraisal tool in terms of the OVC Policy and the NSSPI needs to be developed. Training on the use of the appraisal tool should also include proper use of the guidelines.

E. Communication and Advocacy

1. Develop an electronic and print infrastructure and operational guidelines to improve organizational communication within the MGLSD and the districts

There is need to develop the electronic (computers, email, telephones, intranet) and print (photocopiers etc) infrastructure and corresponding operational guidelines to improve downwards, upwards and lateral communication)

2. Develop an OVC/ABY communication and advocacy strategy for MGLSD to address the following issues: limited resources and attention given to programmes for vulnerable children; unfamiliarity of OVC partners and programmes with guidelines and principles for OVC and AB/Y programming; uncoordinated programming and activities for OVC and AB/Y among partners; and lack of recognition of the MGLSD as the lead coordinating body for OVC programmes.

A strategy needs to be worked out to help community members understand and appreciate the NSPPI. The assessment team felt that distribution of the popular version was in itself not enough to sensitise communities to a level that will lead to positive action.

3. Develop systems for disseminating policies, guidelines and other resources for implementers, i.e. a dissemination plan that accounts for the needs of stakeholders at the national, district, sub-county, parish and community levels. This system will facilitate the effective dissemination of the full-text versions of the NOP, NSPPI, and the popular versions as well. Note; the system should also include key local languages/dialects.

4. Support MGLSD, district social services sector, and NGO/CBO staff to disseminate key information to stakeholders (including policies, guidelines, and standards for OVC and AB/Y programming)

5. Develop a specific strategy to improve visibility of positioning of MGLS

The assessment team noted that carrying out OVC and AB/Y advocacy alone is not enough to increase the image and visibility of MGLSD. There is need to map out specific image building activities that address the historical background, negative perceptions, creation of awareness of MGLSD roles and responsibilities, and taking advantage of the privileged role the community services department enjoys (or should enjoy) at sub county level.

6. Build necessary competencies for effective organizational communication and advocacy

F. Granting and Resource Mobilization

1. Establish a long-term granting mechanism for MGLSD

There is need to establish a long-term granting mechanism for the MGLSD that should not only focus on CORE Initiatives Project granting but also aim at other grants e.g. Global Fund.

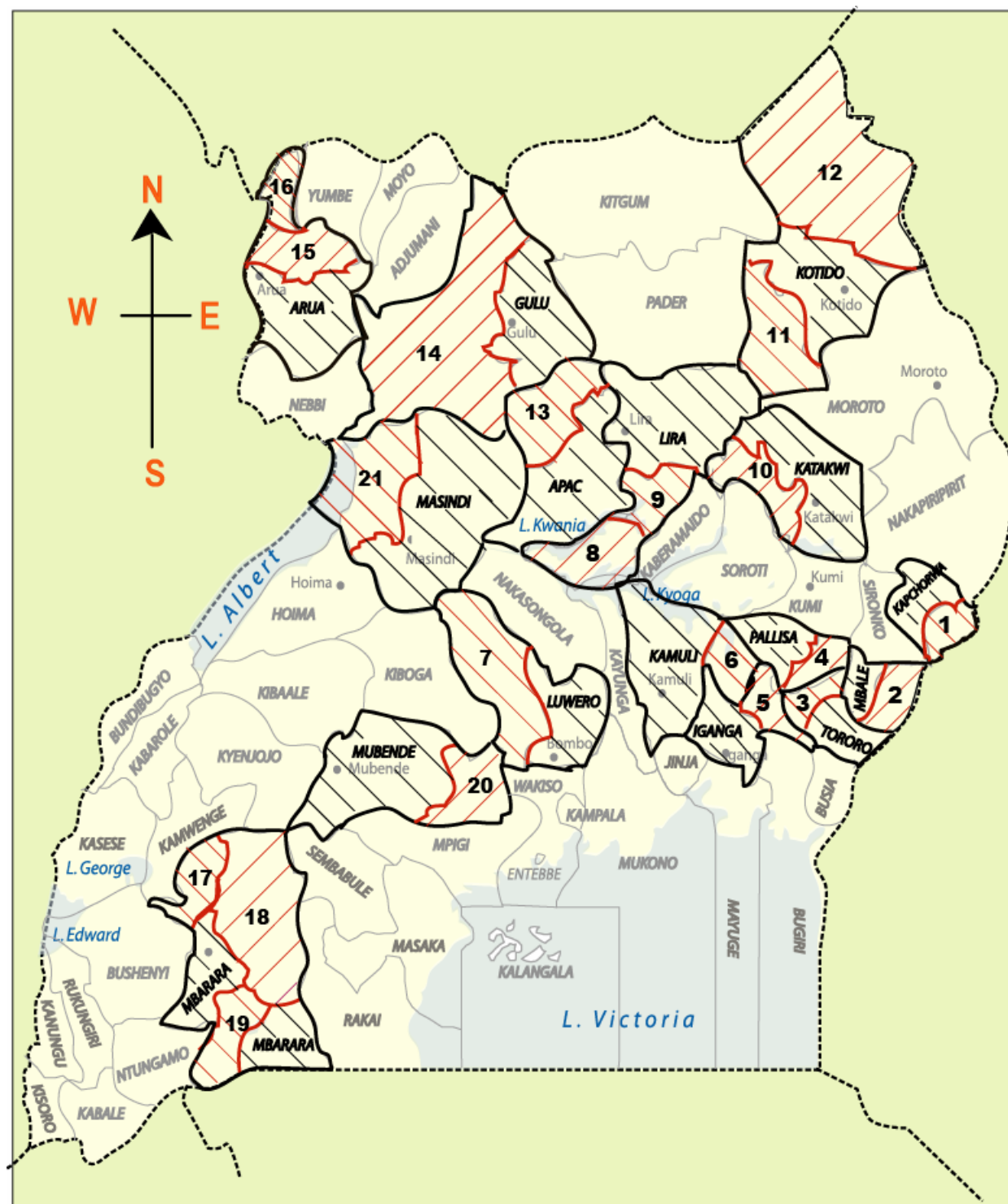
- 2. Establish effective OVC and AB/Y district coordination mechanisms**
- 3. Establish a functional OVC AB/Y district granting mechanism**
- 4. Establish a CSO/ District reporting mechanism**
- 5. Develop a district OVC AB/Y CSO support supervision mechanism and tool**
- 6. Develop a district OVC AB/Y CSO reporting mechanism and tool/s**

G. Monitoring and Evaluation

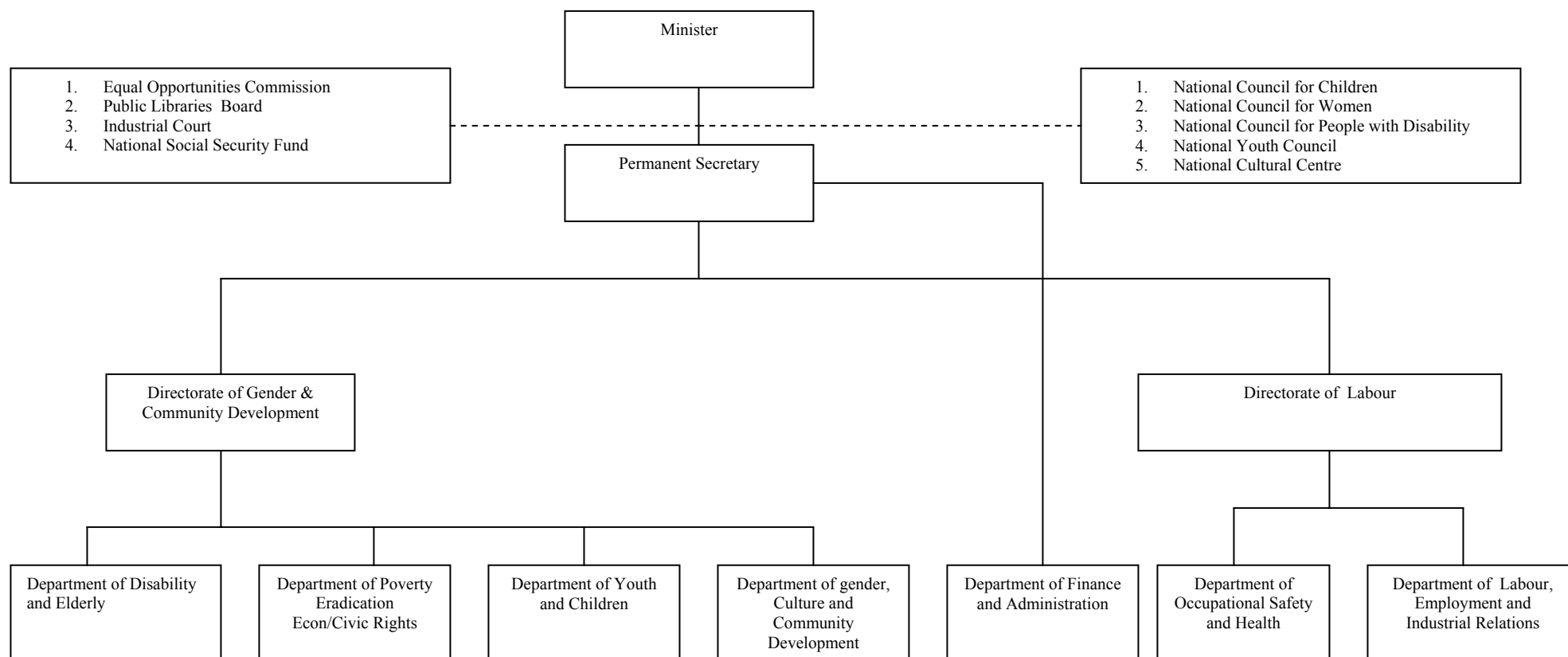
- 1. Develop a National OVC MIS to cover MGLSD, districts, sub-counties, parishes and right down to households**

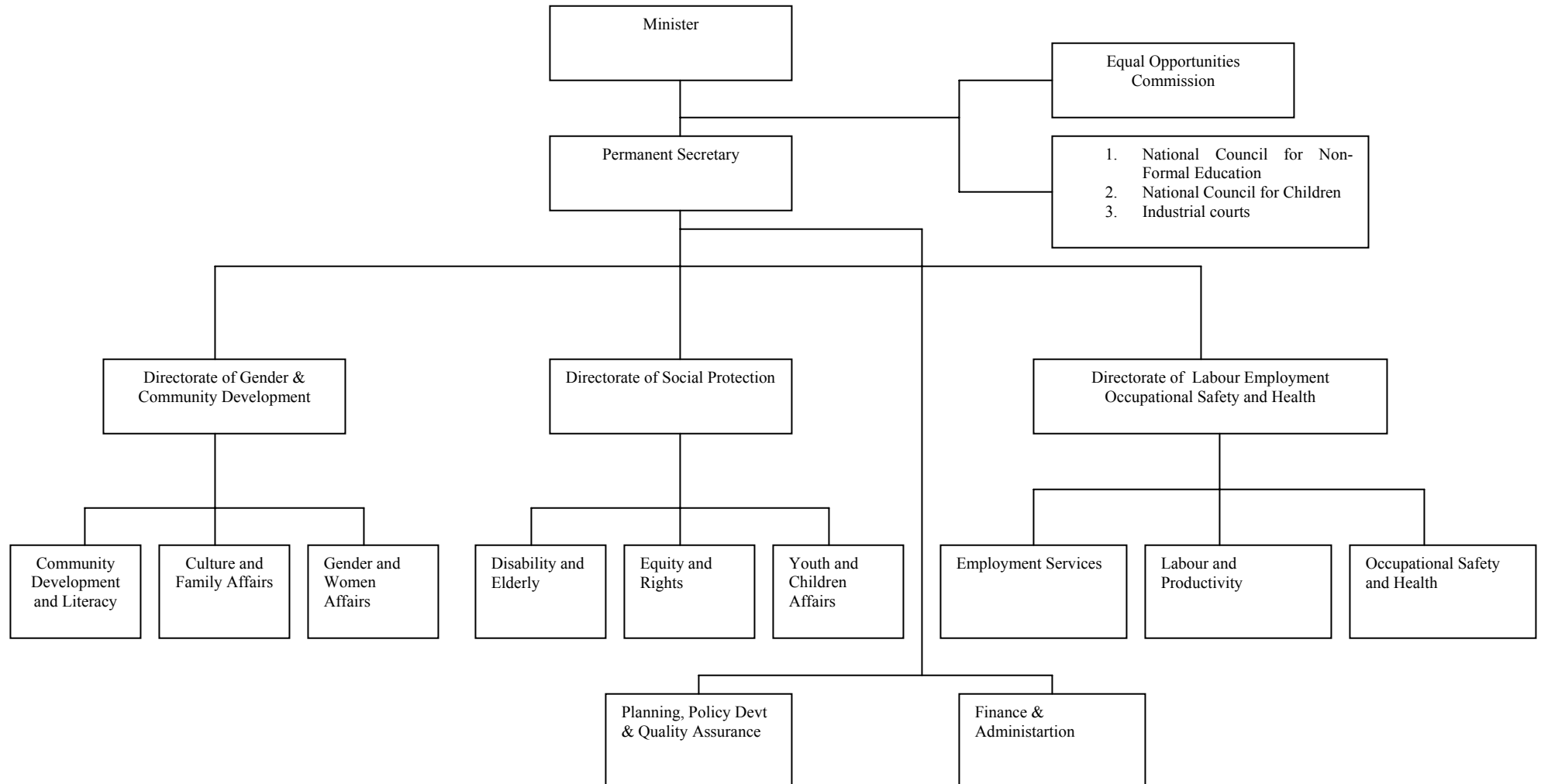
There is need to develop/adopt/adapt MIS systems at both national and district levels that go beyond the registers that probation and welfare officers keep.

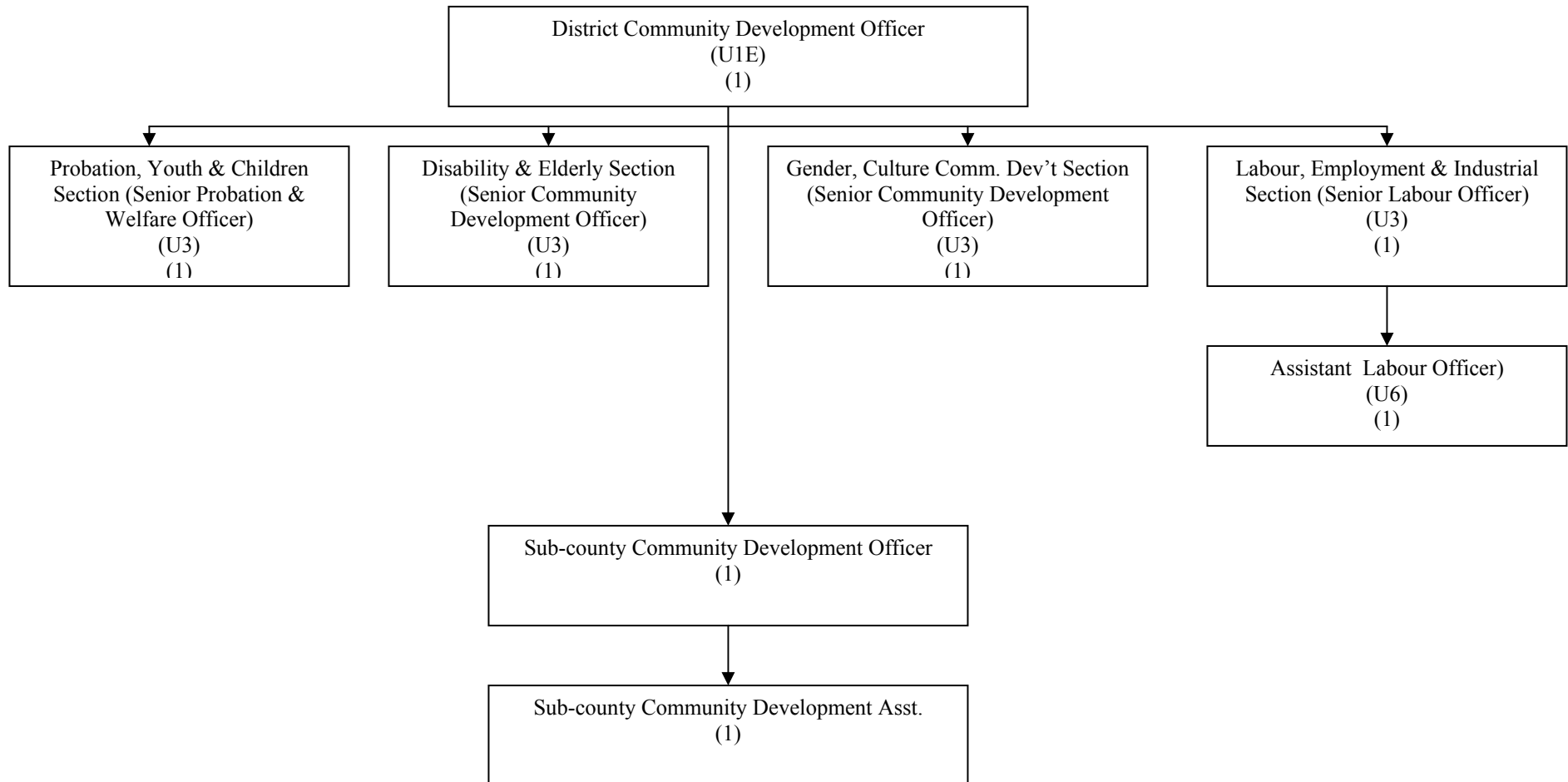
- 2. Improve the logistical support to district, sub county and parish staff including equitable access to the existing computers**
- 3. Build the M&E competencies of the district and sub-county staff**

Map of Uganda showing districts

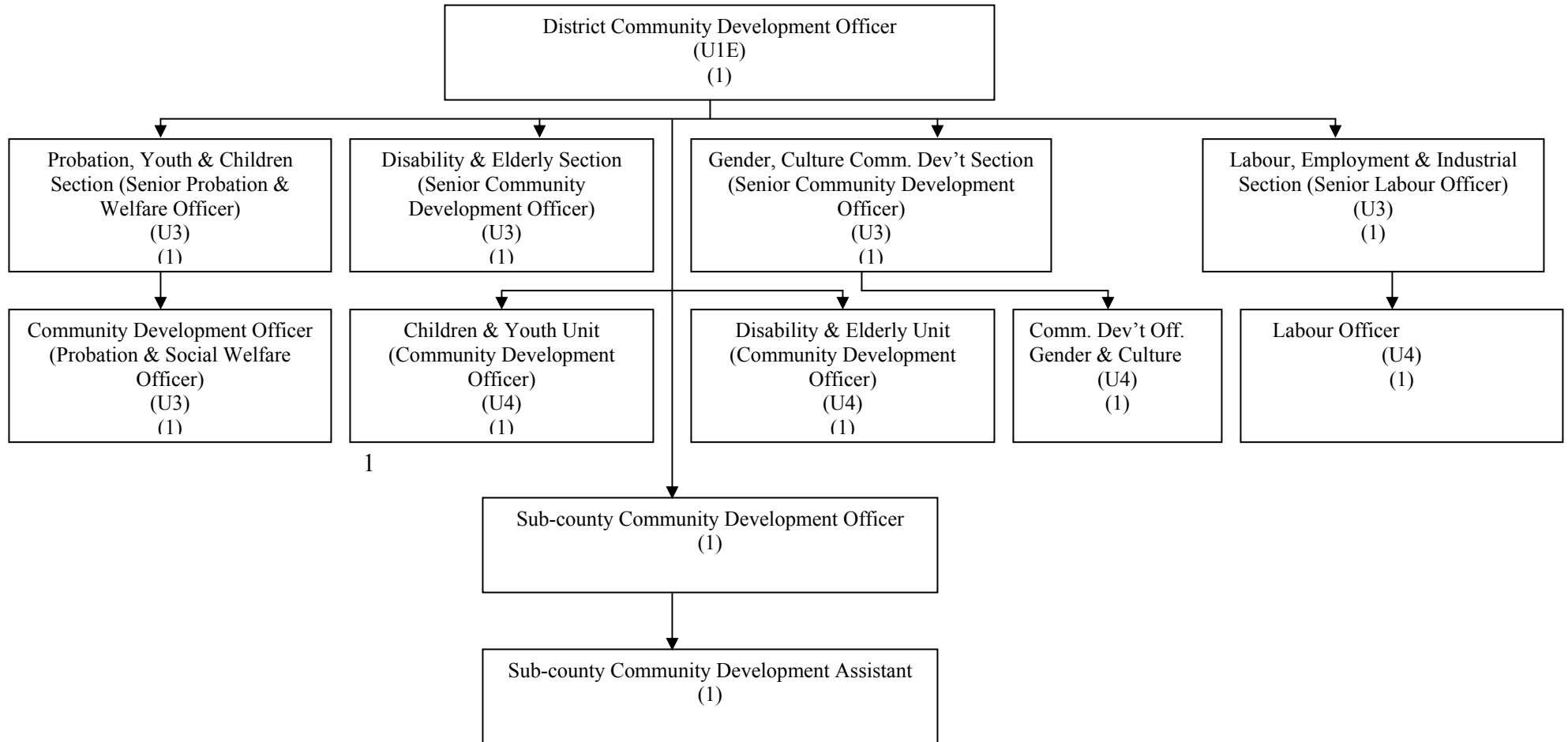
EXISTING MACRO STRUCTURE FOR MGLSD



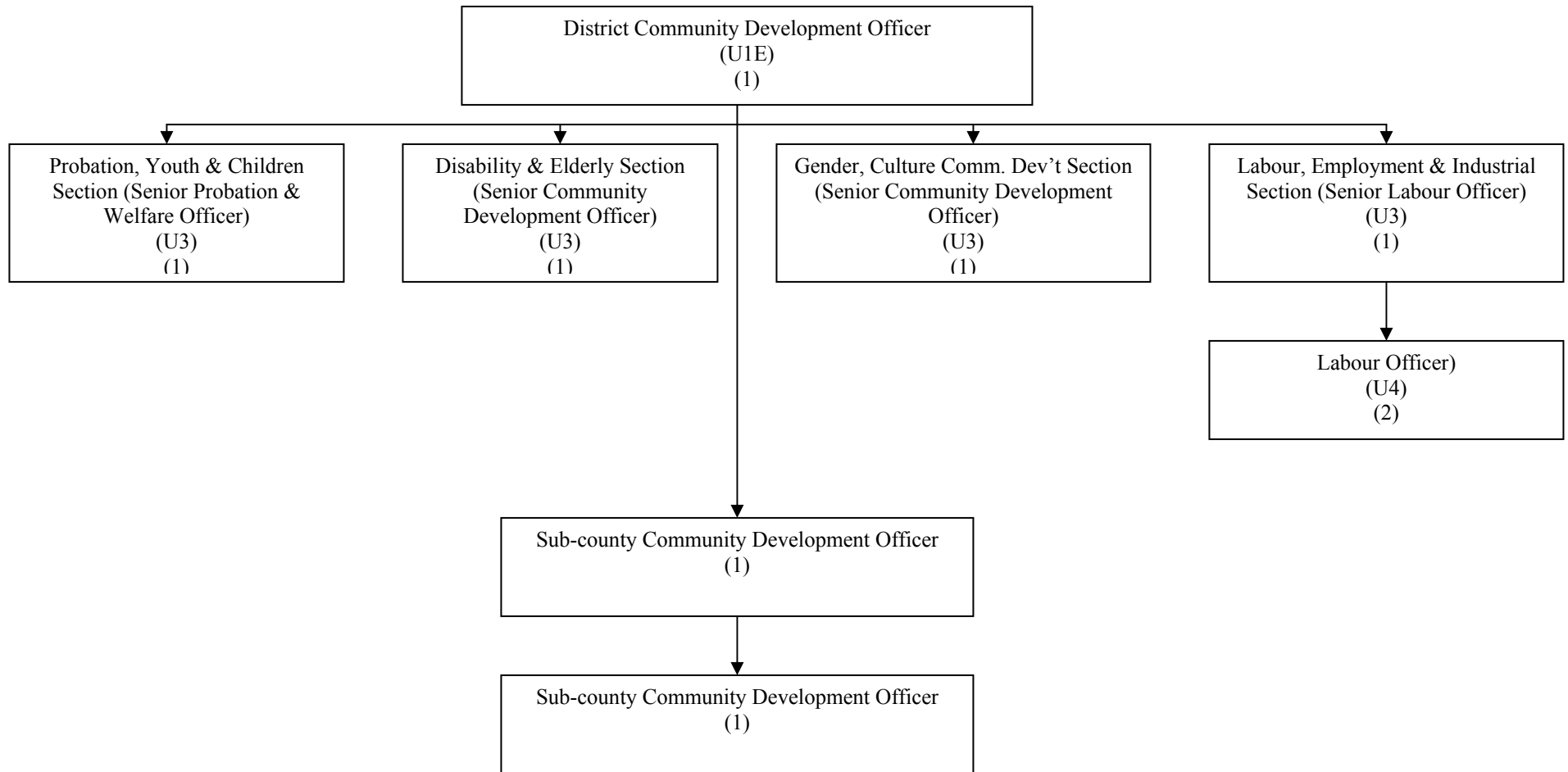
PROPOSED MACRO STRUCTURE FOR MGLSD

Organisation Structure for Community – Based Services Department Model 1 District

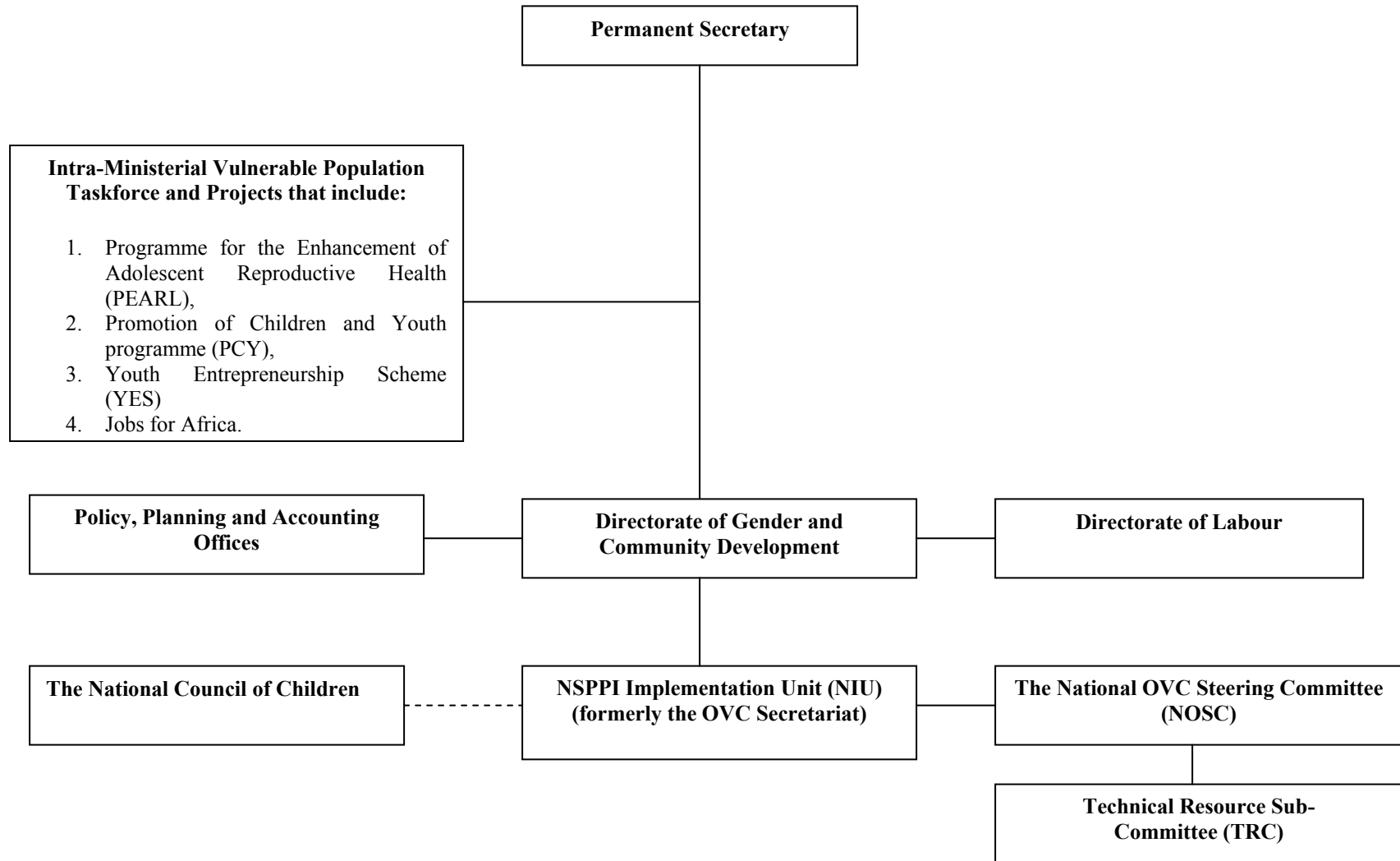
Organisation Structure for Community – Based Services Department Model 2 District

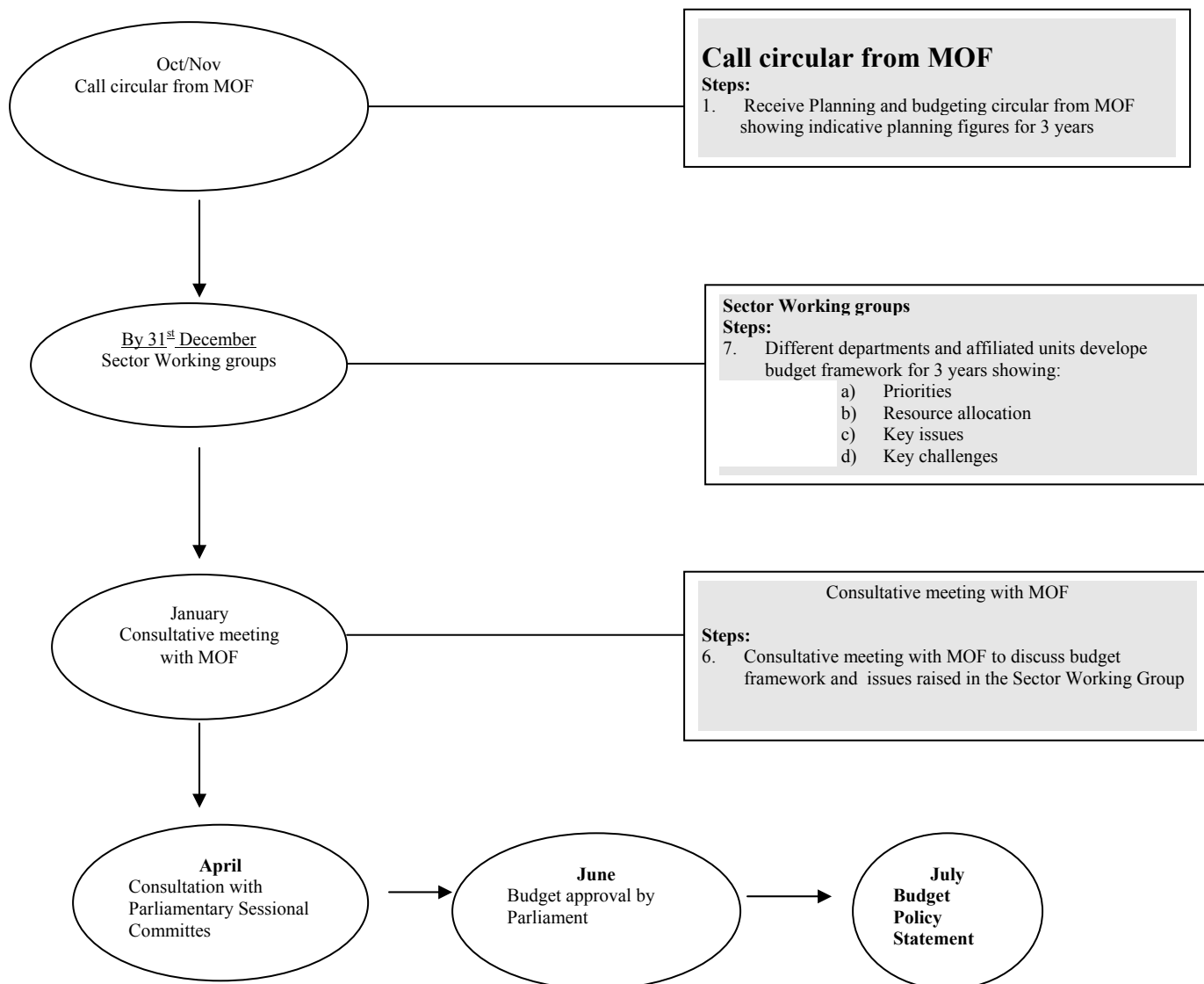


Organisation Structure for Community – Based Services Department Model 3 District

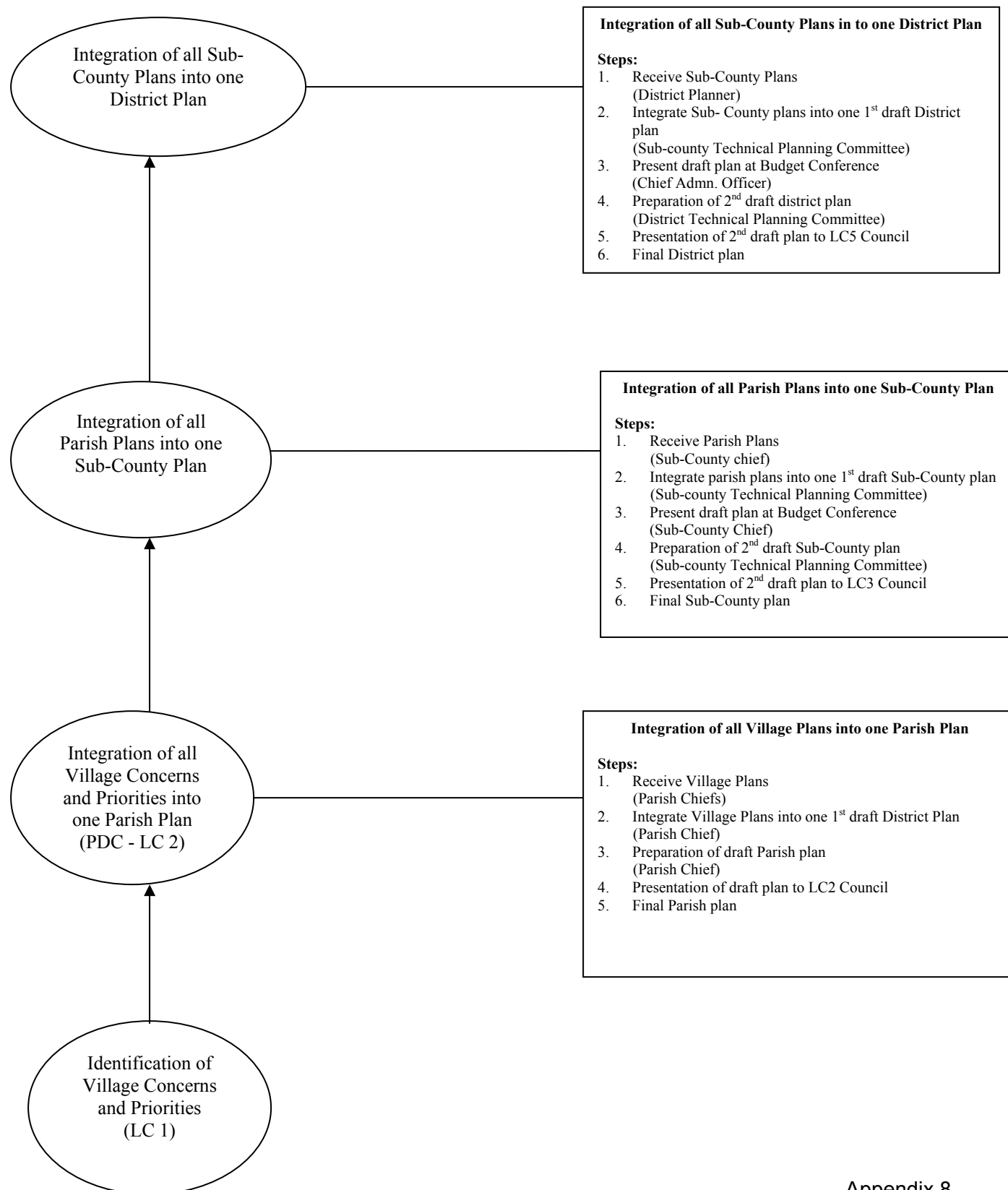


National OVC Management and Coordination Mechanism (as in the NSPPI)



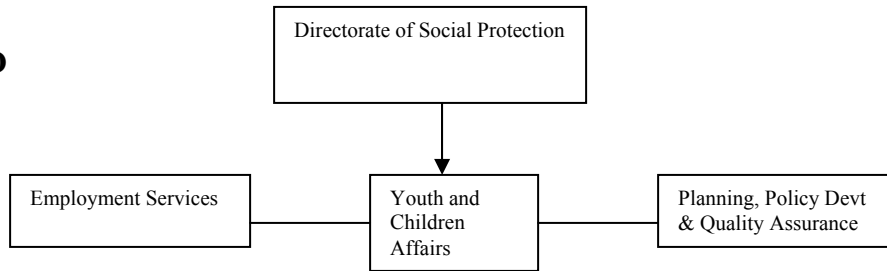
MGLSD Planning Cycle

District Planning Process

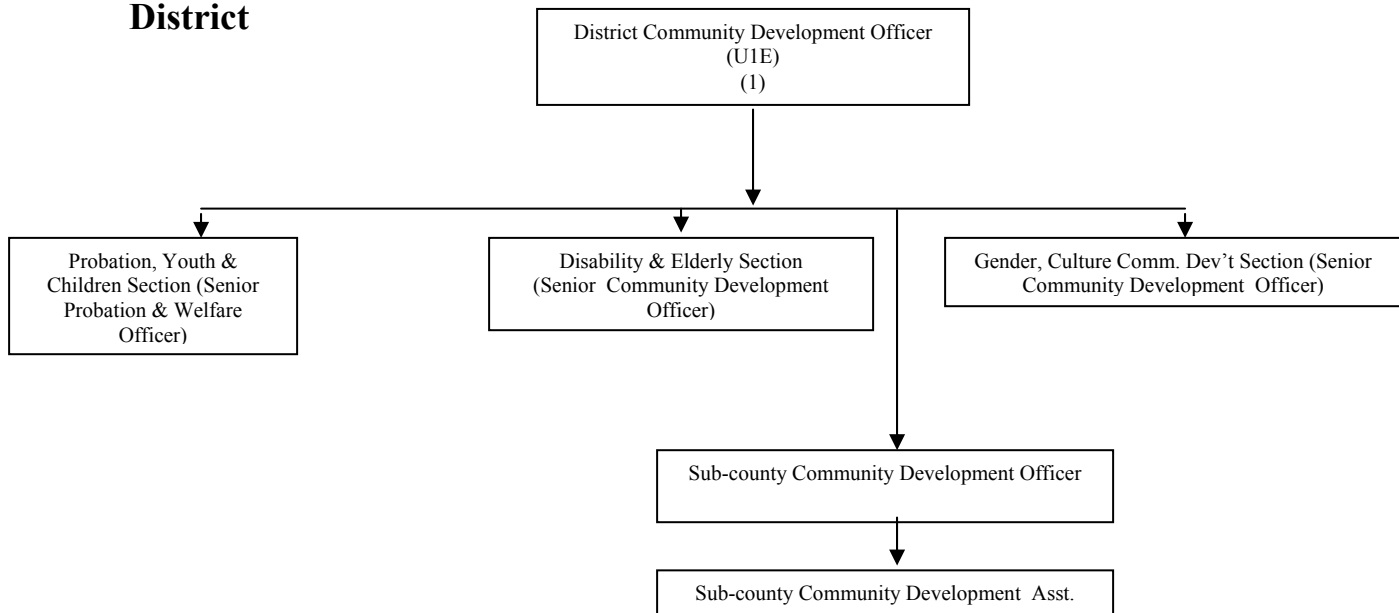


**Core Competency Needs: MGLSD and Districts
(People and Offices)**

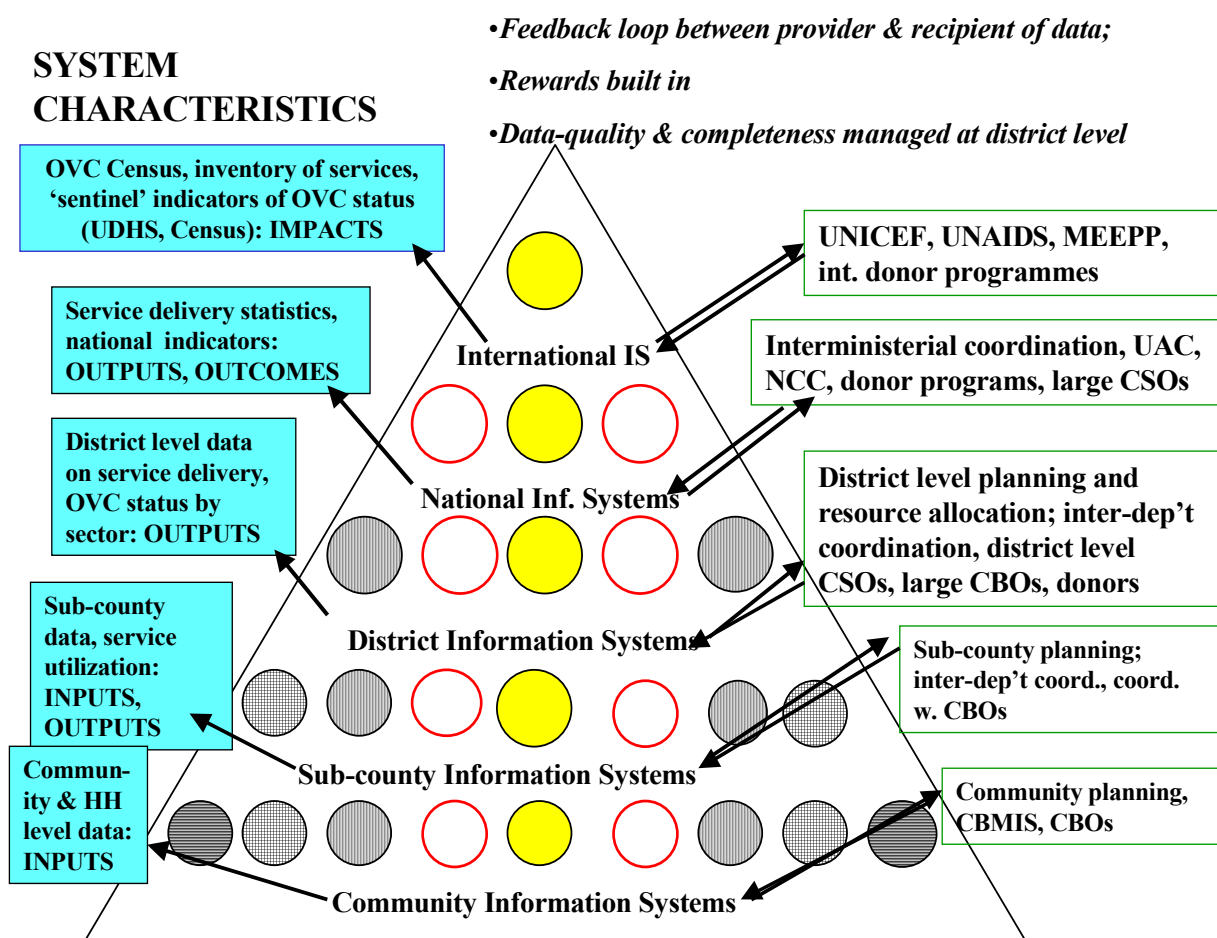
MGLSD

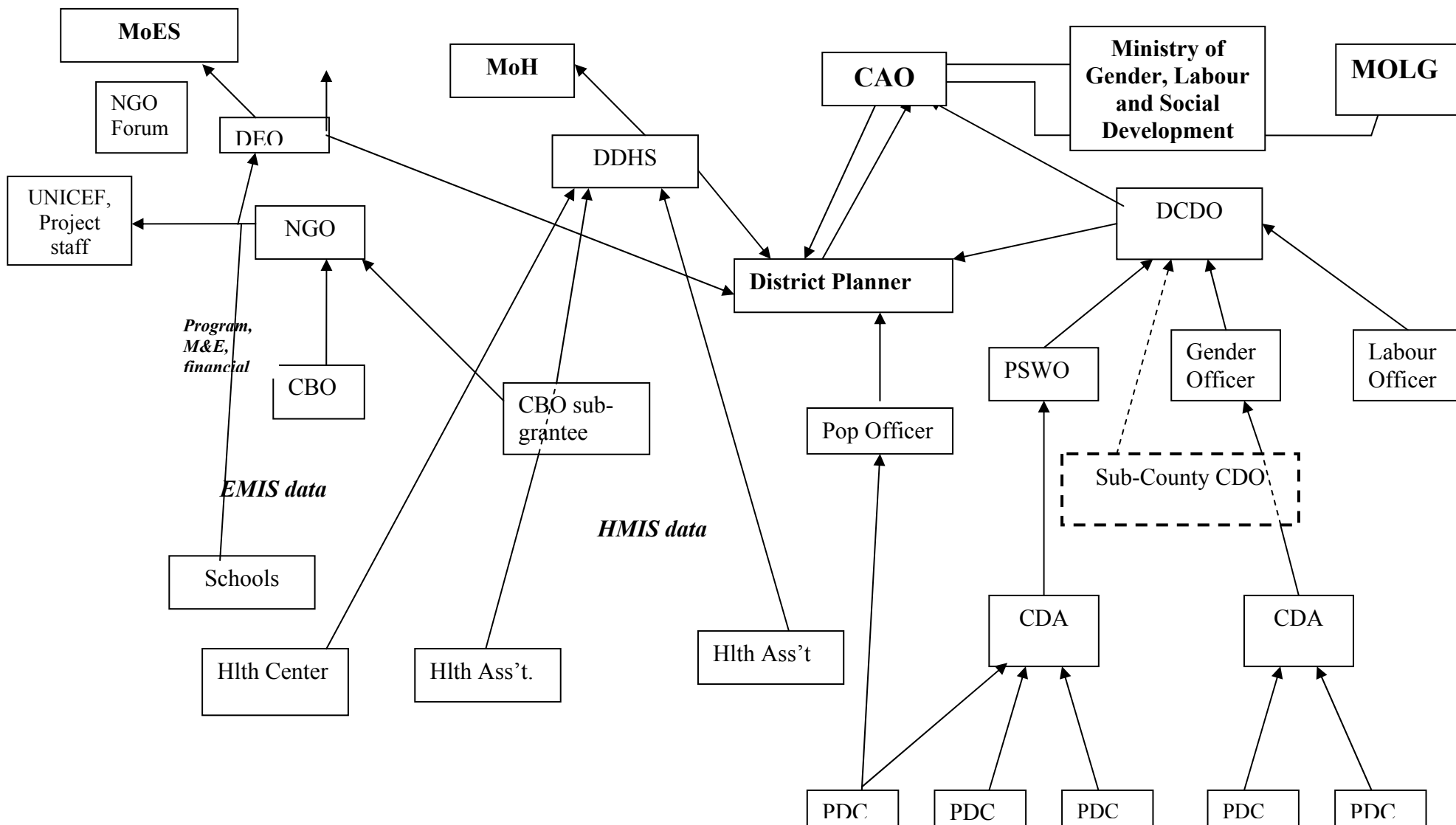


District



Conceptual Framework: National MIS





SUMMARY OF MGLSD AND DISTRICT CAPACITY NEEDS ASSESSMENT AND LINKAGES WITH THE DIFFERENT CORE PROJECT COMPONENTS

MGLSD	MANAGEMENT			MONITORING AND EVALUATION	ADVOCACY AND COMMUNICATION	GRANTS MANAGEMENT	PUBLIC-PRIVATE PARTNERSHIPS	CAPACITY BUILDING
	Coordination	Planning	Staffing					
Systems, procedures, tools								
<ul style="list-style-type: none"> Advocate for the recruitment of competent CDOs at sub-county levels 	x	x	x	x	x		x	x
<ul style="list-style-type: none"> Creation of awareness on magnitude and complexity of OVC issues 	x	x	x	x	x	X	x	x
<ul style="list-style-type: none"> Define agenda for the NOSC and TRC and develop operational guidelines to integrate NOSC and TRC operations into to the general MGLSD functions. 	x	x	x	x	x	X	x	x
<ul style="list-style-type: none"> Define the roles and responsibilities of NCC vis-a-vis the roles and responsibility of MGLSD on issues of children. 	x							x
<ul style="list-style-type: none"> Develop a national (MGLSD) granting mechanism 						X		
<ul style="list-style-type: none"> Develop an MGLSD support supervision tool and process (MGLSD to Districts) 	x	x	x	x	x	X	x	x
<ul style="list-style-type: none"> Develop competence profiles of key MGLSD personnel in the OVC and AB/Y sections 	x	x	x	x	x	X	x	x
<ul style="list-style-type: none"> Develop mechanism to continually update OVC mapping 				x				
<ul style="list-style-type: none"> Develop operational guidelines for the UPS performance appraisal process 			x					x
<ul style="list-style-type: none"> Development of a national NSPPI implementation performance monitoring system and plan (MGLSD part) 				x				
<ul style="list-style-type: none"> Development of an effective and safe partnership mechanism with districts 	x	x		x	x		x	x
<ul style="list-style-type: none"> Establish a task/role HRD planning process 								x
<ul style="list-style-type: none"> Establish formal report mechanism (MGLSD/grantees) 	x			x		X		x
<ul style="list-style-type: none"> Establish inter departmental OVC coordination mechanism 	x	x		x	x		x	x
<ul style="list-style-type: none"> Establish MGLSD mechanism to monitor and support supervise districts 	x	x	x	x		x	x	x
<ul style="list-style-type: none"> Establishment of the NIU 								x
<ul style="list-style-type: none"> Establishment of a MGLSD OVC multi-sectoral planning process 	x	x	x	xx			x	x

SUMMARY OF MGLSD AND DISTRICT CAPACITY NEEDS ASSESSMENT AND LINKAGES WITH THE DIFFERENT CORE PROJECT COMPONENTS

MGLSD	MANAGEMENT			MONITORING AND EVALUATION	ADVOCACY AND COMMUNICATION	GRANTS MANAGEMENT	PUBLIC-PRIVATE PARTNERSHIPS	CAPACITY BUILDING
	Coordination	Planning	Staffing					
<ul style="list-style-type: none"> Establishment of an inter-ministerial OVC coordination mechanism 	X				X	X		X
<ul style="list-style-type: none"> Include multi-sectoral planning on support supervision agenda 	X	X	X	X	X	X	X	X
<ul style="list-style-type: none"> Introduce a transformational management style and culture 			X					X
<ul style="list-style-type: none"> Orientation of personnel in all OVC related departments and units on the key functions and key outputs of MGLSD (as per the restructuring) 			X			X		X
<ul style="list-style-type: none"> Review staff induction manuals and processes 			X					X
<ul style="list-style-type: none"> Revitalize the Intra-Ministerial Vulnerable Population Taskforce 	X	X						X
Core competencies								
<ul style="list-style-type: none"> Advocacy skills 	X	X		X	X		X	X
<ul style="list-style-type: none"> Capacity needs assessment and planning skills 	X	X		X			X	X
<ul style="list-style-type: none"> General strategic planning skills 	X	X		X		X	X	X
<ul style="list-style-type: none"> Knowledge and skills on the bottom up district planning and budgeting skills 	X	X		X		X	X	X
<ul style="list-style-type: none"> Knowledge and understanding of the National OVC policy 	X	X			X	X	X	X
<ul style="list-style-type: none"> Knowledge and understanding of the NSSPI 	X	X	X	X	X	X	X	X
<ul style="list-style-type: none"> Knowledge of the national and district planning and budgeting cycle and process 	X	X	X	X	X	X	X	X
<ul style="list-style-type: none"> Line management skills 			X				X	X
<ul style="list-style-type: none"> Lobbying skills 	X	X	X	X	X	X	X	X
<ul style="list-style-type: none"> Multi-sectoral OVC planning skills 	X	X	X	X	X	X	X	X
<ul style="list-style-type: none"> Participatory appraisal, and monitoring skills 	X	X			X		X	X
<ul style="list-style-type: none"> Performance appraisal skills 			X			X		X
<ul style="list-style-type: none"> Performance measurement skills 		X		X				X
<ul style="list-style-type: none"> Child counseling and communication skills 					X			X
<ul style="list-style-type: none"> Support Supervision skills 			X					X
<ul style="list-style-type: none"> Written and verbal communication skills (including 			XX					X

SUMMARY OF MGLSD AND DISTRICT CAPACITY NEEDS ASSESSMENT AND LINKAGES WITH THE DIFFERENT CORE PROJECT COMPONENTS

MGLSD	MANAGEMENT			MONITORING AND EVALUATION	ADVOCACY AND COMMUNICATION	GRANTS MANAGEMENT	PUBLIC-PRIVATE PARTNERSHIPS	CAPACITY BUILDING
	Coordination	Planning	Staffing					
computer skills)								
• Trainer of trainer (TOT) skills	X	X	X	X	X	X	X	X

DISTRICTS	THEMATIC AREAS OF CORE PROJECT							
	MANAGEMENT			MONITORING AND EVALUATION	ADVOCACY AND COMMUNICATION	GRANTS MANAGEMENT	PUBLIC-PRIVATE PARTNERSHIPS	CAPACITY BUILDING
	Coordination	Planning	Staffing					
Systems, procedures, tools								
• Aligning annual budgets to sector and district development plans	X	X		X	X	X	X	X
• Develop a district support supervision tool and process (MGLSD to sub-counties)	X			X				X
• Develop competence profiles of key MGLSD personnel in the OVC and AB/Y sections			X					X
• Development of a district NSPPI Implementation performance monitoring system and plan (MGLSD part)				X				X
• Establish a district task/role HRD planning process			X					X
• Establish NGO to district reporting mechanism Develop competence profiles of key MGLSD personnel in the OVC and AB/Y sections	X			X			X	X
• Establishing of district/sub-county OVC coordination mechanism.	X	X		X	X	X	X	X
• Establishment of a district OVC multi-sectoral planning process	X	X		X			X	X
• Facilitating parishes in developing annual plans	X	X		X			X	X
• Introduce a transformational management style and culture	X		X					X
• Recruitment of competent CDOs and CDAs at sub-		X						X

DISTRICTS	THEMATIC AREAS OF CORE PROJECT								
	MANAGEMENT			MONITORING AND EVALUATION	ADVOCACY AND COMMUNICATION	GRANTS MANAGEMENT	PUBLIC-PRIVATE PARTNERSHIPS	CAPACITY BUILDING	
	Coordination	Planning	Staffing						
county levels									
Core competencies									
• Advocacy skills	x	x	x	x	x	x	x	x	x
• Capacity needs assessment and planning skills	x	x		x					x
• Participatory appraisal, planning and monitoring skills	x	x		x					x
• Capacity needs assessment and planning skills	x	x		x					x
• Community mobilization skills	x	x		x	x				x
• Knowledge and skills on the bottom up district planning and budgeting skills	x	x		x					x
• Knowledge and understanding of the national OVC policy	x	x	x	x	x	x	x	x	x
• General strategic planning skills	x	x	x	x	x	x	x	x	x
• Knowledge and understanding of the NSSPI	x	x	x	x	x	x	x	x	x
• Knowledge of the national and district planning and budgeting cycle and process.	X	x	x	x	x	x	x	x	
• Line management skills			x						x
• Lobbying skills	x	x	x	x	x	x	x	x	x
• Multisectoral OVC Planning skills	x	x	x	x	x	x	x	x	x
• Performance appraisal skills			x						x
• Performance measurement skills			x						x
• Staff Induction skills			x						x
• Support Supervision skills	x					x			x
• Written and verbal communication skills (including computer skills)	x	x	x	x	x	x	x	x	x
• Psychosocial support					x				x
• Child counseling and communication skills					x				x
• Community mobilisation skills	x	x		x	x	x	x	x	x