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# Uganda readiness assessment: delivering anticipatory social protection

**Working Paper** 

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### Climate change

Keywords

Climate resilience, social protection, loss and damage, climate finance, climate change justice, Small Island Developing States (SIDS), least developed countries (LDCs), early warning systems

This is an extract from the IIED working paper 'Delivering anticipatory social protection: country readiness assessment'. The full paper includes complete analysis of eight countries and can be downloaded from www.iied.org/21896iied

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# Introduction

Climate change poses severe and urgent risks, especially to vulnerable communities. Social protection programmes, which historically focused on poverty alleviation and basic services, are increasingly seen as vital tools for building climate resilience. Proactive, anticipatory measures in social protection can offer cost-effective resilience against climate shocks, reducing poverty, enhancing access to services, and preventing distress migration. These programmes contribute to long-term sustainable development by tackling multiple dimensions of vulnerability, from raising living standards and human development to empowering individuals and fostering economic growth.

However, despite potential, vulnerable countries grapple with challenges in in delivering anticipatory and riskresponsive social protection. These challenges include ineffective targeting of beneficiaries due to limited data and poor information systems, inconsistent social protection coverage caused by resource limitations and policy gaps, sometimes resulting in programme duplication, underdeveloped early warning systems (EWSs) that lack comprehensive climate hazard coverage, particularly in Least Developed Countries (LDCs), inefficient decision making and delivery mechanisms, and difficulties in coordination among various stakeholders and sectors during crisis.

# 2

# Anticipatory Social Protection Index for Resilience (ASPIRE) Tool

The ASPIRE diagnostic tool offers a multi-layered approach to evaluate a country's readiness and effectiveness in delivering anticipatory and shockresponsive social protection. It assesses the maturity, readiness and gaps within existing social protection programmes by considering diverse national contexts, which include varying climate risks, institutional capacities and policy frameworks. The tool assesses a country's policy domain, covering aspects such as policy objectives, innovation, risk definition, target specification and assistance types, which identify areas that require attention to enhance the anticipatory risk-responsiveness of social protection programmes. The ASPIRE tool assesses the systems domain, and covers aspects such as financial capacity, administrative capacity, fiscal space, infrastructure, technology and information systems, and institutional mechanisms. Overall, using the ASPIRE diagnostic tool can allow governments to identify gaps and challenges that impede the effective integration of anticipatory response in social protection programmes, including insurancelinked responses. Funding agencies can leverage ASPIRE's detailed analysis to allocate resources more effectively, focusing on the most urgent gaps and impactful opportunities. More details about the ASPIRE tool and how it can be used can be found at www.iied.org/21901iied.

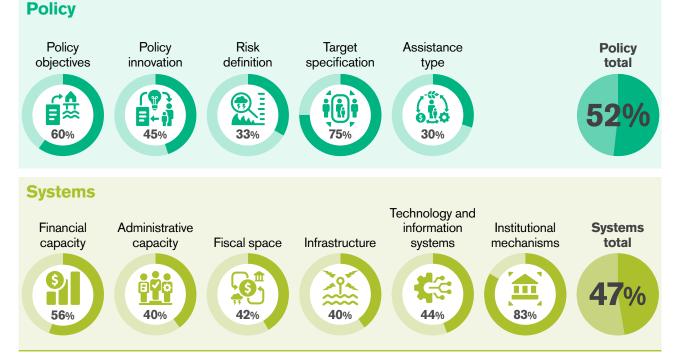
The applicability and effectiveness of the ASPIRE tool has been rigorously tested through the analysis of eight countries: Malawi, Ghana, Senegal, Bangladesh, Pakistan, Uganda, Ethiopia and India. These countries were selected to represent a diverse range of climate risk contexts. Within each country, three social protection programmes were further chosen for the assessment — representing different delivery mechanisms, such as public works, food and in-kind assistance, and cash transfers. By applying ASPIRE to these eight countries, the analysis offers valuable insights into how social protection programmes can be tailored to meet diverse climate risks and vulnerabilities. The end goal is to strengthen these countries against climate risks by enhancing their readiness, filling policy and system gaps, and facilitating the successful incorporation of insurance-linked anticipatory payout mechanisms. The complete analysis of the 8 countries and 24 programmes can be found at www.iied.org/21896iied.

# Country analysis: Uganda

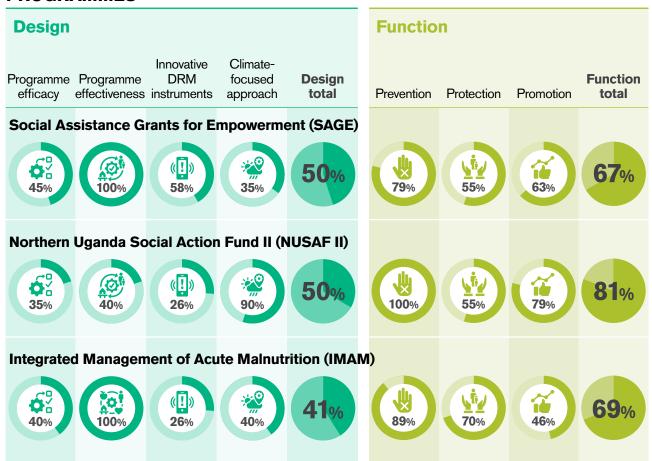
This document provides the full analysis of Uganda's social protection policies, systems and programmes in terms of their readiness in delivering anticipatory climate resilience, using ASPIRE tool. The secondary sources and evidence used for the review are listed in the Annex.



# **POLICY AND SYSTEMS**



# **PROGRAMMES**





# Policy objectives

**É POLICY OBJECTIVES** 

# The country's social protection policy has a clear vision, goals and objectives

5

2

1

The policy explicitly mentions building resilience to climate shocks as an objective

The policy prioritises anticipatory response to climate shocks (ie preparedness and proactive measures to mitigate impacts)

The country uses systematic policy planning cycle mechanisms to manage the design and delivery of social protection programmes

Clear vision, goal and objectives: The Uganda National Social Protection Policy (UNSPP) aims to provide social protection across the lifecycle to every Ugandan, regardless of their employment status. It recognises that all individuals face various risks and vulnerabilities that can hinder their ability to meet basic needs. The policy guarantees support to prevent and protect against these risks.

In line with the principles of inclusivity and equality, the policy emphasises the right to social security and prohibits discrimination based on various factors. It highlights the importance of including different target groups and treating all beneficiaries with respect, regardless of their background.

Efficient targeting is a key focus of the policy, aiming to minimise errors of exclusion and inclusion. It also prioritises avoiding the creation of a culture of dependency and encourages target populations to actively seek livelihood opportunities.

The policy encompasses various interventions and programmes, including direct income support, social insurance, and public works programmes such as Northern Uganda Social Action Fund (NUSAF), the Karamoja Livelihoods Improvement Programme, the Community-Driven Development Programme, and the Agricultural Livelihoods Recovery Programme.

Overall, the UNSPP sets clear goals and objectives, ensuring adequate protection and support for the poor and vulnerable, while promoting inclusivity, equality and active participation in livelihood opportunities.

**Building resilience part of objective: The UNSPP** recognises the threat of disasters to livelihoods and highlights the importance of building resilience in social protection interventions. However, the policy does not explicitly mention the need to improve climate resilience.

The Uganda Vision 2040 acknowledges the impacts of climate change and emphasises the development

of adaptation and mitigation strategies to protect the country from adverse effects.

Although the three programmes studied do not directly address climate change as a risk or the need to enhance resilience to climatic shocks, the Second Northern Uganda Social Action Fund Project-Household Income Support Programme (NUSAF II-HISP) included provisions for household assets, such as livestock, which served as a safety net during emergencies.

The Uganda Food and Nutrition Policy emphasises the importance of ensuring food security during disasters, including those related to climate. However, the policy does not specifically mention climate change.

The Uganda National Plan of Action for Older Persons acknowledges the need to strengthen social support systems to build resilience among the elderly population. The Social Assistance Grants for Empowerment-Senior Citizens Grant (SAGE-SCG) provides cash allowances for basic necessities like food and medicine to support the elderly during lean seasons, but its objectives do not explicitly aim to improve climate resilience.

In summary, while climate resilience-building features are implicitly mentioned in the social protection policy, there is a lack of direct focus on climate change as a risk and there is a need to enhance resilience to climatic shocks.

**Anticipatory response:** The UNSPP does not mention anticipatory response features to shocks and disasters. The literature review and analysis of the three programmes studied also did not find evidence of anticipatory shock response or the development of anticipatory capacity.

The SAGE-SCG provides regular grants to the beneficiaries, but it does not have specific anticipatory response features.

The Uganda Food and Nutrition Policy recognises the need to be prepared for emergency food needs but does not include anticipatory response features. The Integrated Management of Acute Malnutrition programme emphasises the importance of boosting disaster preparedness but does not explicitly incorporate anticipatory response measures. Similarly, while NUSAF II focuses on improving socioeconomic conditions and reducing poverty and building longerterm resilience in northern Uganda, it does not have specific anticipatory response features.

Systematic planning cycle: The social protection policy in Uganda follows a systematic policy and planning cycle mechanism. Policy implementation follows the planning and budgeting cycle as per the Public Financial Management Strategy (1995). The policy development process involves evidencebased policymaking, with the involvement of donor organisations, assisting with activities such as financial assistance, technical expertise and policy dialogue. Institutional structures and mechanisms, including the Office of the Prime Minister, the National Planning Authority and the Uganda Bureau of Statistics, support evidence-based policymaking.

Public consultations were conducted during the development of the policy, ensuring stakeholder engagement and input.

The policy includes mechanisms for review and monitoring of its practices. Regular assessments, evaluations and reviews are conducted to assess the effectiveness of the policy and its implementation. National evaluation systems have been implemented in Uganda since the mid-2000s, providing a framework for monitoring and evaluating public policies and investments. The Social Protection Review in 2019 assessed the implementation of the policy and its programme plan, and a similar assessment was conducted in 2014.

The policy has been revised and updated within the last eight years to reflect progress and address emerging needs. The government endorsed the National Strategy for Coverage Extension to the Informal Sector in 2022, indicating a commitment to expanding social protection coverage. At the programmatic level, the SCG saw an increase in coverage after its national roll out in 2018.

The NUSAF Act (2022) has been modified to allow beneficiaries aged 45 and above who have been saving for at least 10 years to access their savings midway. Prior to this amendment, access was only permitted at the age of 55.

In the field of food and nutrition, Uganda's policy framework has undergone reforms to transition from a sector-specific concern to a multi-sectoral response. Collaboration between ministries has resulted in the development of policies and strategies, such as the National Agricultural Education Policy, to address nutritious food production and improve food security. The development of the Uganda Nutrition Action Plan for the periods 2011–2016 and the Uganda Nutrition Action Plan II for 2017–2022 aimed to facilitate multi-sectoral collaboration, aligning with the National Food and Nutrition policy.

# Policy innovation

POLICY INNOVATION	
Rights-based regulatory provisions are given for the social protection of vulnerable communities	2
The policy offers portable benefits for migrant populations	1
The policy emphasises universal access to a range of benefits by vulnerable communities	3
The policy acknowledges community, CSO, NGO and private sector engagement in social protection interventions	3

**Rights-based entitlement:** The social protection policy in Uganda includes rights-based regulatory provisions to protect vulnerable communities. However, the targeting mechanisms for social protection beneficiaries vary across programmes, leading to disparities in reaching the most vulnerable individuals.

There have been improvements in advocacy and communication, with face-to-face communication and media modalities being used to inform and engage with beneficiaries. However, access to social protection is not uniform, and gaps exist in gender-sensitive social protection and grounding programmes in legislation.

The coverage of social care and support programmes remains low, with the two largest programmes, SAGE-SCG and NUSAF, reaching only 3% of the population.

Poverty and inequality have increased in Uganda, and vulnerability persists across different stages of life. There are limitations in terms of equal access to social protection, as seen in the low coverage of programmes and limited targeting criteria.

Portability of benefits: The UNSPP does not define portability benefits for migrant populations. While the policy aims to protect every Ugandan from risks and shocks, there is no specific provision for portability benefits. For instance, the SAGE programme, which initially operated in limited districts, required beneficiaries to have resided in those districts for at least one year to access the benefits. This requirement aimed to discourage inward migration from other districts where the programme was not available, as well as cross-border migration from Kenya. However, foreign migrants who acquire residential status in Uganda become eligible to access social protection benefits.

Universal access: Although the UNSPP emphasises the importance of universal access to social protection programmes and services, there is no evidence of its practice. The Social Protection Sector Review of 2019 highlights that the social protection system still has low coverage and inadequate investment. Despite efforts, social protection programmes are unable to reach all vulnerable populations.

**Stakeholder engagement:** CSOs and CBOs are actively engaged in the coordination and implementation of social protection interventions in Uganda. They participate in the social protection thematic committee, which meets regularly and includes representatives from various ministries and stakeholders. CSOs also contribute to the functioning of thematic working groups. The involvement of CSOs and CBOs is institutionalised and plays a vital role in research, advocacy and support for social protection programmes.

However, there is limited evidence of institutionalised consultations between local authorities responsible

for delivering social protection and CSOs/CBOs. The engagement of CBOs, NGOs and CSOs in programme implementation varies across different social protection programmes and may depend on specific partnerships and collaborations.

While the UNSPP acknowledges the role of the private sector in financing and implementing social protection interventions, there is no evidence of financial contributions from private sector organisations in social protection programmes in Uganda.

The practice of social audit for reviewing and monitoring programme operations and sharing monitoring data in the public domain is not well-established in Uganda. There is a lack of participatory M&E activities, including social audits and feedback loops, within the programmes. Beneficiaries in Uganda often prefer informal channels, such as talking to a parish chief or programme staff, to address grievances and provide feedback. However, the impact of these conversations on programme implementation is unclear.

### Risk definition

RISK DEFINITION	
The policy identifies types of risk that the most vulnerable communities face	3
The policy clearly defines trigger points for hazard events (eg anticipated drought based on rainfall data) that may activate the anticipatory social protection	1
The policy sets out contingency plans for social protection measures to come into force when trigger points for hazardous events are reached	1

Definition of risk to most vulnerable: The UNSPP explicitly identifies the different types of risks and vulnerabilities faced by various segments of society, including children, elderly, women, the working population and those affected by poverty and disability. These risks encompass a wide range of challenges such as malnutrition, child labour, abuse and violence, early marriage, unemployment, extreme poverty, discrimination and poor working conditions.

While social protection programmes in Uganda aim to mitigate these risks and vulnerabilities, there are limitations in terms of coverage. The Uganda Social Protection Sector Review 2019 indicates that vulnerability remains high across different stages of the lifecycle, indicating that not all vulnerable individuals are adequately covered by social protection interventions.

**Definition of trigger points:** The UNSPP does not include any provisions or definitions for trigger points of hazard events that could activate anticipatory social protection measures. This absence of trigger points is consistent across other policy documents such as the food and nutrition policy, the National Plan of Action for Older Persons, and the social protection programmes studied.

Contingency plans for trigger points: The UNSPP does not outline specific contingency plans for social protection measures in response to trigger points of hazard events. The policy does not provide guidance or provisions for how social protection interventions should be activated or adjusted in the face of hazards or shocks.

Additionally, the Social Protection Sector Review acknowledges that the government has a contingency fund, but it has not been utilised for social protection programmes. The absence of contingency plans for social protection measures leaves a gap in preparedness and response to hazard events within the policy framework.

# Target specification

(II) TARGET SPECIFICATION	
The policy identifies the groups of households or individuals that are most at risk of being affected by shocks or crises, and should be targeted for assistance	5
The policy recognises diversity of vulnerability (eg women, children, elderly people, displaced people, etc.)	5
The policy specifies who is eligible for assistance from social protection programmes	3
Targeting criteria are transparent, fair and based on objective indicators defining vulnerability	2

### Identifies households or individuals most at risk:

The UNSPP acknowledges the importance of targeting specific groups that are most at risk of being affected by shocks or crises and should receive assistance. The coverage for different target groups are as follows:

- Women: Although women are not explicitly mentioned as a separate target group in the policy, the guiding principle of gender responsiveness ensures their inclusion. The policy aligns with the Uganda Gender Policy to promote gender equality and women's empowerment. NUSAF II targets femaleheaded households as vulnerable.
- Children: The policy specifically includes orphans and other vulnerable children such as abandoned children, children in contact with the law and child labourers. This recognises the need to protect and support the most vulnerable children in society.
- Elderly and disabled people: The policy identifies older persons aged 60 years and above, as well as severely disabled people, as part of the target group. This acknowledges the unique vulnerabilities and challenges faced by these individuals.

- Socially/racially marginalised communities:
   Ethnic minorities are mentioned as one of the target groups in the policy. This indicates a focus on addressing the needs of socially and racially marginalised communities.
- Displaced and migrant communities: The policy does not explicitly include displaced and migrant communities in the target groups. However, Uganda has implemented initiatives for refugees, such as the Comprehensive Refugee Response Framework, which aims to integrate refugees into the national social protection system. Additionally, some refugees from Rwanda receive the SCG unofficially.

While the policy recognises and includes several vulnerable groups, it is important to note that not all groups, such as displaced and migrant communities, are explicitly mentioned. However, efforts have been made to address the social protection needs of these communities through specific initiatives and programmes outside the scope of the policy.

Policy identifies diversity of vulnerability: The UNSPP recognises the heterogeneity of vulnerability among different groups of the population. The policy aims to protect every Ugandan from risks and shocks, acknowledging that various segments of society, including women, children, the elderly and displaced people, may face different forms of vulnerability. This recognition of heterogeneity is also reflected in the implementation of social protection programmes.

For instance, the NUSAF II programme targets vulnerable households and unemployed youth, addressing their specific needs and vulnerabilities. This demonstrates the policy's commitment to addressing different forms of vulnerability within the population.

The evaluation of the social protection sector in 2020 highlighted the positive impact of the SAGE programme on women's empowerment, as it has contributed to improving female beneficiaries' control of assets. This indicates that the policy's efforts are directed towards addressing the vulnerabilities faced by women. Impact of other programmes like Uganda Women Entrepreneurship Program (UWEP) on women empowerment is also reported by in the research works.

Furthermore, the operational guidelines of the Integrated Management of Acute Malnutrition programme emphasise the aim of improving the management of acute malnutrition in the entire population. This suggests that the policy seeks to cover all individuals who are vulnerable to or affected by malnutrition, regardless of their specific characteristics or demographic group.

**Eligibility defined:** The UNSPP explicitly identifies the eligible populations for assistance, however, evidence suggests that not all members within the specified target groups receive the benefits they are entitled to.

The coverage of certain programmes, such as the Public Works Program (PWP) and school feeding, remains lower than expected. The total coverage of the PWP, although increasing, is still significantly lower. The PWP is implemented in selected local governments, and this could be the reason for the lower coverage. Similarly, school feeding programmes only reach around half of primary school learners, indicating that not all eligible individuals are receiving the benefits they should. The implementation of school feeding is currently not a nationwide programme; instead, it is carried out through private partnerships with development support in selected schools.

These findings suggest that there are challenges of fragmented implementation of social protection programmes by different stakeholders, resulting in eligible individuals within the specified target groups being left out or not fully covered. It highlights the need for improvement in the coordinated implementation and reach of social protection initiatives to ensure that all eligible individuals receive the assistance they are entitled to.

### Targeting criteria transparent, fair and objective:

The UNSPP implicitly defines the importance of transparent, fair and objective targeting criteria for social protection programmes. However, there is limited evidence to suggest that these criteria have been adopted and effectively implemented in practice.

While the policy emphasises the need for social protection to reach all vulnerable and at-risk individuals, the actual targeting mechanisms for programmes vary and are based on the design of each specific programme. This indicates a lack of standardised and uniform targeting criteria across social protection initiatives.

Furthermore, the literature review reveals instances where targeting methods were not fair or inclusive. For example, in the SCG, the minimum age limit for eligibility was increased from 65 to 80. As a result, many elderly women and men were excluded from receiving assistance, highlighting the inequitable nature of the targeting approach.

These findings suggest a gap between the policy's intent to establish transparent and fair targeting criteria and the actual implementation of such criteria in social protection programmes. There is a need for greater alignment between policy objectives and the practical implementation of targeting mechanisms to ensure that assistance reaches the most vulnerable and at-risk individuals in a transparent and equitable manner.

# Assistance type

### **ASSISTANCE TYPE**

The policy explicitly sets out the types of assistance provided through social protection programmes (ie 1 income support, food assistance, healthcare, etc.) The assistance specified is comprehensive (ie livelihood support, health, food, shelter, 2 education etc.), depending on local context

Assistance through anticipatory support: The UNSPP does not provide specific details or mention any types of assistance under anticipatory action. The policy does not outline any provisions or measures for anticipatory response to potential risks or crises. Similarly, the three social protection programmes reviewed in this study also do not include any anticipatory assistance components.

The absence of explicit provisions for anticipatory action in the policy and programmes indicates a gap in addressing potential risks and crises proactively. There is a need for the policy to incorporate anticipatory measures to mitigate the impact of foreseeable hazards and ensure the effective protection of vulnerable populations.

Assistance provided is comprehensive: The UNSPP recognises the need to provide comprehensive assistance across various thematic areas such as livelihood support, health, food security, shelter and education. This comprehensive approach aims to ensure that vulnerable families have a safety net during crises, protecting them from further vulnerability. The SAGE-SCG programme, for instance, provides cash transfers to senior citizens and has been approved for national roll out. Other programmes such as LIPW, Dr.PIP, Nutri-Cash, Older Pension Grants, and disability grants have innovative ways of providing services.

In order to streamline access to multiple programmes, Uganda has launched a National Single Registry for Social Protection, which consolidates information on all social security schemes in the country. However, evidence of convergence among different programmes was not found.

The policy emphasises the rights-based access to social protection, affirming that it is a human right for all individuals to live with dignity. However, the low coverage of direct income support programmes, with only 3% of the population covered by SCG and NUSAF, indicates that not all vulnerable communities have assured access to safety net programmes. Age requirements for eligibility, such as the increase to 80 for the SCG, may create uncertainty and leave certain segments of the population, particularly women, without assistance.

While the policy outlines the establishment of coordination mechanisms for social protection, evidence of coordination among schemes and ministries/ departments for a coordinated delivery mechanism is lacking. The Uganda Social Protection Review 2019 recommends integrating payments into a harmonised delivery mechanism for both existing and new social programmes.

Efforts are needed to strengthen coordination and improve the delivery mechanism to effectively translate policies into practice and ensure equitable access to comprehensive social protection assistance for all vulnerable populations in Uganda.



# Administrative capacity and fiscal space

I FINANCIAL CAPACITY	
Country income category	1
Economic dependency index	4
<b>M</b> ADMINISTRATIVE CAPACITY	
Government effectiveness index	2
Corruption perception index	2
₽ FISCAL SPACE	
Spending on social assistance programmes as a % of GDP	1
Special allocation of contingency funds for anticipatory risk financing	1
The country has access to extra-budgetary resources, including international financial institutions and donor organisations	3
Policies incorporate the use of private sector financing (such as green bonds, resilience bonds, etc.)	1
The country integrates and uses disaster risk financing instruments (eg crop insurance, health insurance, contingent credit, catastrophe insurance, reinsurance, catastrophe bonds, etc.)	2

Financial capacity: The country's income category is low; the economic dependency index is 2.4, based on INFORM. The allocation to social development, including social protection expenditures, is also limited, with only 0.7% of the government budget allocated to social protection.

Administrative capacity: The government effectiveness index is 6.1, and the corruption perception index is 7.4, as per INFORM.

### Contingency funds for anticipatory risk financing:

The Government of Uganda allocated 3.5% of the annual budget to a contingency fund. However, there is no evidence of special allocation of these funds for social protection anticipatory response. While the contingency fund has been used in response to disasters such as the floods in 2016, it has not been utilised for anticipatory risk financing in the context of social protection.

Furthermore, there is a lack of clear guidelines on the management of fund resources specifically for anticipatory response. The absence of explicit guidance on utilising the contingency fund for anticipatory risk financing in social protection programmes suggests a gap in addressing anticipatory needs and allocating resources accordingly.

Efforts should be made to establish clear guidelines and mechanisms for the allocation and management of contingency funds for anticipatory risk financing in social protection, ensuring proactive measures are taken to address vulnerabilities and mitigate the impacts of future shocks and crises.

Access to other sources of finance: Several major social protection programmes in Uganda source funds from extra-budgetary resources in addition to the regular budget allocation. These extra-budgetary resources serve as additional funding sources to support the implementation and expansion of social protection programmes.

While specific details and sources of these extrabudgetary resources are not provided, it indicates that efforts have been made to secure additional funding beyond the regular budget for social protection programmes. This demonstrates a commitment to mobilise diverse financial resources to enhance the coverage and effectiveness of social protection interventions in the country.

**Private sector finance:** Public-private partnerships have been established in collaboration with community health insurance schemes to guarantee access to healthcare services within government health centres and the results of these initiatives are encouraging. Other than these, no evidence was found regarding the adoption of private sector financing in the social protection programmes studied.

**Integration of DRF instruments:** Uganda currently does not have a clear DRF strategy that aligns with the country's risk profile. Additionally, there is a lack of a dedicated disaster risk management law. However, efforts are underway to address these gaps.

The Disaster Risk Management bill, which has been in preparation since 2016, is expected to provide an overarching framework to implement existing disaster risk management policies and strategies, including DRF.

The bill aims to strengthen the country's disaster risk preparedness and response.

In response to the government's request to develop a shock-responsive social protection system, the World Bank conducted a DRF diagnostic report in 2022. This report assesses the financial preparedness of Uganda to deal with disasters and crises and provides recommendations to enhance financial resilience.

At present, there is no evidence of DRF integration or implementation in Uganda. The ongoing efforts, including the development of the Disaster Risk Management bill and the World Bank's diagnostic report, indicate progress towards incorporating DRF mechanisms into the country's disaster risk management framework.

While Uganda is yet to establish a comprehensive DRF strategy and fully integrate DRF mechanisms, these initiatives involve various stakeholders, including the government and international organisations like the World Bank, working collaboratively towards strengthening financial resilience and addressing disaster risks.

It is important for Uganda to continue its efforts in developing and implementing a robust DRF strategy that targets the most vulnerable geographies, households and individuals. This will ensure effective financial preparedness and response in the face of shocks and climate crises.

# Infrastructure and technology and information systems

<b> </b>	
Communication index	2
Physical connectivity	2
<b>₩</b> TECHNOLOGY AND INFORMATION SYSTEMS	
A national database/social registry exists	3
Climate-smart information systems are used for different purposes including for social protection	1
Early warning systems for major climate hazards are available	1
Early warning systems are applied in social protection programmes	1
Artificial intelligence (AI), risk modelling, etc. are used to implement the programmes	1
Platforms for enhanced efficiency and effectiveness of the delivery of social protection entitlements are used (eg mobile-based payment)	1

**Infrastructure:** The communication index of the country is 6.6 and the physical connectivity is 6.5 according to INFORM.

National database/social registry: A national social registry was launched in 2021 and serves as a comprehensive database for social protection programmes in the country. There are also proposals to connect the National Social Register with the National Identification and Registration Authority and utilise National Identification Numbers to prevent duplication of beneficiaries across various social protection programs.

The SAGE-SCG programme, one of the major social protection programmes, has integrated with the registry through an application programming interface link. This integration allows for automatic data submission and utilisation of the ID verification service.

However, it should be noted that the NUSAF II programme is currently not operational, and there is no evidence of its integration with the national single registry during its operational period. Similarly, there is no evidence of the Integrated Management of Acute Malnutrition (IMAM) programme utilising the national single registry.

Climate-smart information system: There is no evidence of the use of climate-smart information systems in the social protection programmes of Uganda.

Availability and application of EWSs and Al: No evidence was found regarding the use of EWSs or the application of AI and risk modelling in the social protection programmes of Uganda.

Efforts for enhanced efficiency and effectiveness in delivery: There is no evidence of platforms for efficient delivery of social protection entitlements being employed in the major social protection programmes of Uganda. The UNSPP does not mention any specific platform for delivery, and the available literature does not provide evidence of such platforms. In the past, the SCG grants were delivered through a SIM-embedded card-based payment model, but this had limitations and the grants are currently delivered manually through Post Bank. There are existing gaps in the implementation of the delivery mechanism.

# Institutional mechanisms

### **| INSTITUTIONAL MECHANISMS**

Bodies and mechanisms exist for social policy coordination across ministries and departments

3

Bodies and mechanisms exist for multistakeholder engagement at the grassroots level

Cross-ministry/department coordination: The UNSPP outlines a planned institutional arrangement for implementing the policy. The Uganda Social Protection Sector Review 2019 confirms that the institutional mechanisms at the national level for social protection coordination are in place and functioning effectively.

The delivery of social protection involves multiple ministries in Uganda. The Ministry of Gender, Labour and Social Development (MGLSD) is responsible for managing the implementation of the SAGE-SCG programme through the Expanding Social Protection Program Management Unit (ESP PMU) and provides policy oversight of the National Social Security Fund (NSSF). The Ministry of Finance, Planning and Economic Development (MoFPED) manages the investment functions of the NSSF and also oversees the Uganda Retirement Benefits Regulatory Authority (URBRA) for licensing and regulation of public and private occupational pension schemes. The Office of the Prime Minister (OPM) is responsible for the disaster risk management programmes and oversees the implementation of the NUSAF programme. The Ministry of Local Government is responsible for coordinating and implementing social protection programmes at the local government level.

These ministries and government bodies play respective roles in the coordination, management, and oversight of social protection programmes in Uganda.

Multistakeholder engagement in delivery: The UNSPP establishes bodies and mechanisms for harmonised action among different departments at the grassroots level. However, there is evidence that these bodies and mechanisms are not actively functioning.

While the policy outlines the institutional mechanism for implementation through a multi-sectoral and multi-ministry approach involving central and local government, with the Ministry of Local Government responsible for service delivery structures for programmes like NUSAF and SAGE-SCG, there are challenges in coordinating these bodies at the local level.

The lack of active coordination among the relevant departments and bodies at the grassroots level hinders the effective implementation of social protection programmes. Further efforts are needed to strengthen the functioning of these bodies and mechanisms to ensure harmonised action and efficient delivery of social protection at the local level.

# Social Assistance Grants for Empowerment (SAGE)

This programme in Uganda provides social assistance grants to senior citizens aged 65 and above. The grants aim to support elderly individuals in meeting their basic needs, improving their wellbeing and enhancing their social and economic empowerment.

# Programme design features

SAGE is implemented by the Ministry of Gender, Labour and Social Development. The programme provides direct income support in the form of cash transfers to senior citizens aged 65 and above (60 and above in Karamoja region), and vulnerable individuals.

In 2010, the SAGE grants were first paid by MTN, a mobile network operator, to recipients (pilot phase). The SAGE payment mechanism utilised a SIM-embedded card-based payment model in which recipients inserted their cards into portal (Equatel) pay phones. Recipients then entered a personal identification number and cashed-out using an agent. A major shortcoming of this mechanism was that recipients were unable to transact anywhere except at Equatel phone pay points. Currently, SAGE delivery is through Post Bank and uses a manual delivery mechanism, in which staff distribute the funds manually to recipients, by driving a Post Bank mobile van to designated pay points in rural areas.

In 2021, Uganda launched a single national social registry. The SAGE programme has an Application Programming Interface link established within the national social register, which enables it to automatically submit data and utilise the ID verification service for paying entitlements to beneficiaries.

SAGE was initially implemented in 14 districts during the pilot phase. Progressively the programme was scaled up in 2015 to an additional 20 districts based on the '100 club' selection criteria where the oldest 100 recipients in each sub-county were selected. Currently, there are 304,959 recipients of the SCG grants in all the districts.

SAGE, as a social protection programme, helps to reduce vulnerability and enhance resilience to shocks by providing regular and reliable income to the elderly and vulnerable. This ensures a basic level of consumption and can mitigate the need to resort to harmful coping strategies during difficult times. However, SAGE does not have specific instruments to respond anticipatorily to shocks. While cash transfers can help recipients cope with shocks after they occur, the programme does not increase transfers or expand coverage in anticipation of a shock.

SAGE, while not specifically designed with a climate focus, does contribute indirectly to climate resilience. By providing regular cash transfers, the programme can help recipients cope with climate-related shocks such as droughts or floods. The extra income can be used to buy food during times of scarcity, invest in climate-smart agriculture, or pay for repairs to homes damaged by extreme weather. However, as the programme is not explicitly designed with a climate focus, it may not fully meet the needs of communities facing significant climate risks.

In conclusion, SAGE provides an essential safety net that can help recipients cope with various shocks, including those related to climate. However, the programme could potentially be strengthened by incorporating explicit disaster risk management and climate resilience measures, such as anticipatory action mechanisms and climate-sensitive targeting and programme design.



**Prevention:** SAGE contributes to preventing vulnerability by providing a regular income to some of the most vulnerable segments of the population, such as elderly and disabled people. This steady income can prevent these individuals from falling further into poverty, especially during times of hardship. It also can help households to avoid resorting to harmful coping strategies such as selling productive assets, withdrawing children from school or reducing food intake, which can lead to longer-term negative impacts.

**Protection:** The direct cash transfers provided by SAGE serve as a form of social protection. They help to shield vulnerable individuals and households from the worst impacts of shocks, by ensuring a minimum level of income and thus consumption. This regular income can help households to manage and recover from shocks when they occur. However, it's important to note that the amount of the transfer, while important, is relatively small and may not be sufficient to cover all the needs of the recipients in the face of major shocks.

**Promotion:** While SAGE is primarily a safety net programme and not designed to promote productive activities, the regular income it provides can nonetheless have promotional effects. Recipients may use the money to invest in small-scale income-generating activities, such as petty trading or small livestock rearing, which can enhance their livelihoods and resilience in the longer-term. Furthermore, by reducing the economic vulnerability of households, SAGE can contribute to social stability and community resilience.

# UGANDA: PROGRAMMES

# **Social Assistance Grants for Empowerment (SAGE)**

# Total: 45% PROGRAMME DESIGN **6**% PROGRAMME EFFICACY Coverage 2 5 Benefit incidence Benefit adequacy 1 Average per capital transfer **PROGRAMME EFFECTIVENESS** Benefit cost ratio 5 **INNOVATIVE DRM INSTRUMENTS** The programme uses early warning systems to 1 provide anticipatory support to target groups The programme uses anticipatory risk financing instruments such as contingency funds, catastrophe 1 bonds, parametric insurance, weather derivatives, etc. The programme adopts a layers of risk approach (ie assessing the probability and severity of risks) that reflects a continuum from frequent but less 1 damaging events through to rare but catastrophic disasters and then manages this risk through a variety of instruments The programme uses a national database/registry for its operations The programme uses platforms that enhance delivery efficiency and effectiveness of delivery (eg mobile-based payments) CLIMATE-FOCUSED APPROACH The programme maps geographical areas, livelihood groups, social groups, etc., which are 3 vulnerable to climate change impacts and uses these different dimensions of vulnerability to plan scaling up and resource allocation The programme undertakes environmental conservation and restoration of degraded 1 landscapes (eg biodiversity conservation) to help protect natural resource-based livelihoods The programme undertakes interventions on improving water management (eg rehabilitating 1 water bodies) that can lead to water security for domestic and agriculture purposes The programme undertakes interventions that lead to climate-proofing of physical infrastructure 1 (eg roads, bridges, etc.) The programme envisages constructing community-based disaster risk reduction assets 1

(eg storm shelters)

PROGRAMME FUNCTION	Total: <b>67</b>	%
<b>⋓</b> PREVENTION		
The programme offers anticipatory su	pport	4
The programme offers services to pro livelihoods and incomes before crises	•	4
The programme encourages community planning and interventions (eg evacuations)		4
The programme offers subsidised hea or education before crises hit	alth, food	1
The programme offers skills training, ca or awareness generation to prepare cri		1
The programme supports individual or level asset creation (eg cyclone shelte from future crises	•	4
The programme promotes awareness among marginalised people, to achiev representation in decision-making pro-	e their	4
<b>№</b> PROTECTION		
The programme offers cash transfer, f livelihood support during a crisis	ood aid or	4
The programme offers rapid additiona support to tide communities over a cri		4
The programme supports access to hor relief assistance (eg food, water) af		1
The programme provides income-earn opportunities through public works pr protection against livelihood loss or no loss and damage (NELD) though insu compensatory mechanisms	ogrammes or on-economic	1
The programme offers waiver/relaxation benefits to target populations in the exclimate hazards	•	1
<b>₩</b> PROMOTION		
The programme offers support for live diversification	lihood	4
The programme supports improved in opportunities via building entrepreneu access to higher education or communication asset creation	rial skills,	1
The programme promotes new liveliho opportunities	ood	4
The programme implements planned migration and placement interventions		1
The programme improves access to n natural resources, government depart financial inclusion, community infrastru	ments,	1
The programme encourages target po	pulations to	4

participate in decision-making processes

# Northern Uganda Social Action Fund II (NUSAF II)

This programme provides support to vulnerable households in northern Uganda through cash transfers, livelihood support and capacity-building activities. It aims to enhance household income, resilience and sustainable livelihoods. Recently, NUSAF III has replaced NUSAF II. The development objective of NUSAF III is to provide effective income support to and build the resilience of poor and vulnerable households in Northern Uganda. In the present study, we have considered NUSAF II for analysis.

# Programme design features

NUSAF was launched by the Government of Uganda to transform the northern region that was severely affected by a two-decade long insurgency. Its second phase, NUSAF II, aimed to improve access to basic socioeconomic services, enhance the productive capacities of the poor, and build the institutional capacity of local government structures.

NUSAF II operated through two different implementation modalities. In Karamoja it was implemented by the WFP and funded by the UK's Department for International Development (DFID); in the remaining northern counties (the 'Greater North') it was implemented by the Office of the Prime Minister (OPM) and funded through a World Bank loan with additional DFID grant funding.

NUSAF II (WFP) consisted of three main components:

- 1. A public works programme (PWP)
- 2. A Household Income Support Programme (HISP), and
- 3. Institutional development.

The components of NUSAF II (OPM) included a Livelihood Investment Support component within which PWP and HISP are incorporated. It also included a Community Infrastructure Rehabilitation to improve access to basic socioeconomic services through rehabilitation and improvement of existing community infrastructure, and Institutional Development.

NUSAF II is not a disaster risk management programme per se, but rather a development programme aimed at reducing vulnerability and poverty. But it indirectly contributes to DRR by enhancing community resilience and reducing underlying vulnerabilities. NUSAF II does not have an explicit anticipatory response mechanism as part of its design. It does not include an EWS or contingency funds that can be triggered in anticipation of a disaster.

As part of its focus on enhancing productive capacities, NUSAF II supports agricultural projects that can help communities adapt to climate change, such as irrigation schemes and agroforestry. However, climate change is not a central focus of the programme, and there is no explicit climate risk assessment or climate-smart planning in its design. Therefore, there is a gap in terms of integrating climate change into all aspects of the programme.

Overall, while NUSAF II contributes to reducing vulnerability and enhancing resilience, it does not have specific mechanisms for anticipatory disaster response or comprehensive climate change adaptation. To strengthen its contribution to resilience, consideration could be given to integrating DRR and climate change adaptation more explicitly into its design and operations.



**Prevention:** NUSAF II's objective of enhancing the productive capacities of the poor indirectly contributes to prevention. By funding projects that improve access to basic services and livelihood opportunities, the programme helps to prevent increases in vulnerability and poverty. For example, projects supporting sustainable agriculture can reduce the risk of food insecurity, a key vulnerability factor.

**Protection:** NUSAF II offers a degree of protection to communities by improving their socioeconomic conditions. It achieves this through projects such as improving infrastructure, building schools, improving water and sanitation systems and developing health services. By enhancing these aspects, it helps to protect communities from some of the worst effects of shocks and stresses. However, it doesn't provide direct protective measures such as safety nets or insurance schemes.

**Promotion:** The programme actively promotes resilience through its focus on community-driven development. NUSAF II promotes the capacity of communities to identify, plan and manage development projects, thereby enhancing their self-reliance and ability to adapt to change. Furthermore, by improving access to education and economic opportunities, the programme promotes social mobility and reduces poverty, contributing to long-term resilience.

# UGANDA: PROGRAMMES

# Northern Uganda Social Action Fund II (NUSAF II)

# Total: **50**% PROGRAMME DESIGN **6**% PROGRAMME EFFICACY Coverage 1 2 Benefit incidence 2 Benefit adequacy Average per capital transfer 2 **PROGRAMME EFFECTIVENESS** Benefit cost ratio 2 **INNOVATIVE DRM INSTRUMENTS** The programme uses early warning systems to 1 provide anticipatory support to target groups The programme uses anticipatory risk financing instruments such as contingency funds, catastrophe 1 bonds, parametric insurance, weather derivatives, etc. The programme adopts a layers of risk approach (ie assessing the probability and severity of risks) that reflects a continuum from frequent but less 1 damaging events through to rare but catastrophic disasters and then manages this risk through a variety of instruments The programme uses a national database/registry 1 for its operations The programme uses platforms that enhance delivery efficiency and effectiveness of delivery (eg mobile-based payments) **CLIMATE-FOCUSED APPROACH** The programme maps geographical areas, livelihood groups, social groups, etc., which are 2 vulnerable to climate change impacts and uses these different dimensions of vulnerability to plan scaling up and resource allocation The programme undertakes environmental conservation and restoration of degraded 4 landscapes (eg biodiversity conservation) to help protect natural resource-based livelihoods The programme undertakes interventions on improving water management (eg rehabilitating water bodies) that can lead to water security for domestic and agriculture purposes The programme undertakes interventions that lead to climate-proofing of physical infrastructure 4 (eg roads, bridges, etc.) The programme envisages constructing community-based disaster risk reduction assets

(eg storm shelters)

PROGRAMME FUNCTION Total: 81	%
<b>₩</b> PREVENTION	
The programme offers anticipatory support	4
The programme offers services to protect health, livelihoods and incomes before crises hit	4
The programme encourages community-level advance planning and interventions (eg evacuation planning)	4
The programme offers subsidised health, food or education before crises hit	4
The programme offers skills training, capacity building or awareness generation to prepare crisis response	4
The programme supports individual or community-level asset creation (eg cyclone shelters) to protect from future crises	
The programme promotes awareness, particularly among marginalised people, to achieve their representation in decision-making processes	4
<b>№</b> PROTECTION	
The programme offers cash transfer, food aid or livelihood support during a crisis	4
The programme offers rapid additional humanitarian support to tide communities over a crisis	1
The programme supports access to health facilities or relief assistance (eg food, water) after a crisis	1
The programme provides income-earning opportunities through public works programmes or protection against livelihood loss or non-economic loss and damage (NELD) though insurance or other compensatory mechanisms	4
The programme offers waiver/relaxation/subsidy benefits to target populations in the event of climate hazards	1
<b>FROMOTION</b>	
The programme offers support for livelihood diversification	4
The programme supports improved income opportunities via building entrepreneurial skills, access to higher education or community/individual asset creation	4
The programme promotes new livelihood opportunities	2
The programme implements planned labour mobility, migration and placement interventions	1
The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, etc.	4
The programme encourages target populations to	1

participate in decision-making processes

# Integrated Management of Acute Malnutrition (IMAM)

This initiative focuses on the integrated management of acute malnutrition in Uganda. It combines prevention, screening, treatment and follow-up care for children suffering from acute malnutrition, aiming to reduce child morbidity and mortality associated with malnutrition.

# Programme design features

The IMAM programme is an important public health intervention that focuses on the identification and treatment of acutely malnourished children and adults.

The programme emphasises community engagement and mobilisation to raise awareness about the importance of nutrition, early detection of malnutrition and the utilisation of available services. This involves sensitising communities, caregivers and local leaders to promote behaviour change and encourage early healthcare seeking.

While it's not designed as a disaster risk management or climate change programme, it plays a critical role in managing health risks related to these issues.

The IMAM programme can be viewed as a responsive tool, triggered when malnutrition rates rise above certain thresholds, which often happens following a disaster or in a crisis situation. It consists of a community-based aspect for the management of uncomplicated cases and a facility-based aspect for complicated cases. This makes it a flexible tool that can be scaled up or down, based on need.

However, in the original design, there is no explicit anticipatory response mechanism within the IMAM programme itself. The programme does not start until acute malnutrition is detected, meaning it is responsive rather than preventive. However, if linked with an EWS that can predict periods of food insecurity, the IMAM programme could potentially have an anticipatory function.

As the frequency and intensity of droughts and floods increase due to climate change, the risk of acute malnutrition is also likely to rise. In this sense, the IMAM programme plays an important role in managing climate-related health risks.

However, the programme does not directly address the root causes of climate-related malnutrition. Its primary focus is on treating acute malnutrition, not on preventing malnutrition by improving food security, livelihoods or resilience to climate shocks. Therefore, while the IMAM programme can treat the symptoms of climate-induced food insecurity, there is a gap in addressing the underlying causes.

To conclude, while the IMAM programme is an essential tool for managing acute malnutrition, its design is primarily reactive and treatment-focused. Linking it with EWSs and integrating it with other interventions that address the underlying causes of malnutrition could strengthen its contribution to disaster risk management and climate resilience.



**Prevention:** While the IMAM programme's primary role is the treatment of acute malnutrition once it has occurred, some elements indirectly contribute to prevention. Education is a crucial component of the programme: health workers educate caregivers about malnutrition causes, signs and symptoms and the importance of early treatment, which can help prevent future occurrences. Still, it's worth noting that IMAM does not directly address the root causes of malnutrition like food insecurity, inadequate sanitation or lack of access to healthcare.

**Protection:** The IMAM programme excels at protection:

- Immediate treatment: The programme provides immediate treatment to children and adults suffering from acute malnutrition, protecting them from the worst consequences of this condition, such as severe health complications and death.
- Capacity building: By training community
  health workers to identify and refer cases of acute
  malnutrition, the programme also builds capacity at
  the community level, enhancing the community's ability
  to protect its most vulnerable members.

**Promotion:** The promotion component is somewhat indirect in the IMAM programme. By successfully treating individuals suffering from acute malnutrition, it helps to promote their full physical and cognitive development, enabling them to lead healthier and more productive lives. This is especially true for children, where malnutrition can have long-lasting impacts on development. Furthermore, the IMAM programme's educational component can promote improved nutritional practices in the wider community.

# UGANDA: PROGRAMMES

# Integrated Management of Acute Malnutrition (IMAM)

# Total: 41% PROGRAMME DESIGN **6** PROGRAMME EFFICACY Coverage Benefit incidence Benefit adequacy Average per capital transfer **PROGRAMME EFFECTIVENESS** Benefit cost ratio 5 **INNOVATIVE DRM INSTRUMENTS** The programme uses early warning systems to 1 provide anticipatory support to target groups The programme uses anticipatory risk financing instruments such as contingency funds, catastrophe 1 bonds, parametric insurance, weather derivatives, etc. The programme adopts a layers of risk approach (ie assessing the probability and severity of risks) that reflects a continuum from frequent but less 1 damaging events through to rare but catastrophic disasters and then manages this risk through a variety of instruments The programme uses a national database/registry for its operations The programme uses platforms that enhance delivery efficiency and effectiveness of delivery (eg mobile-based payments) **CLIMATE-FOCUSED APPROACH** The programme maps geographical areas, livelihood groups, social groups, etc., which are 4 vulnerable to climate change impacts and uses these different dimensions of vulnerability to plan scaling up and resource allocation The programme undertakes environmental conservation and restoration of degraded 1 landscapes (eg biodiversity conservation) to help protect natural resource-based livelihoods The programme undertakes interventions on improving water management (eg rehabilitating 1 water bodies) that can lead to water security for domestic and agriculture purposes The programme undertakes interventions that lead to climate-proofing of physical infrastructure 1 (eg roads, bridges, etc.) The programme envisages constructing community-based disaster risk reduction assets 1

(eg storm shelters)

PROGRAMME FUNCTION Total	ı: <b>69</b> %
<b>炒</b> PREVENTION	
The programme offers anticipatory support	4
The programme offers services to protect healivelihoods and incomes before crises hit	ulth, 4
The programme encourages community-level adplanning and interventions (eg evacuation planni	
The programme offers subsidised health, food or education before crises hit	4
The programme offers skills training, capacity by or awareness generation to prepare crisis resp	- A
The programme supports individual or commulevel asset creation (eg cyclone shelters) to pr from future crises	-
The programme promotes awareness, particu among marginalised people, to achieve their representation in decision-making processes	larly 4
<b>№</b> PROTECTION	
The programme offers cash transfer, food aid livelihood support during a crisis	or 4
The programme offers rapid additional human support to tide communities over a crisis	itarian 4
The programme supports access to health factor relief assistance (eg food, water) after a cris	4
The programme provides income-earning opportunities through public works programm protection against livelihood loss or non-econ loss and damage (NELD) though insurance or compensatory mechanisms	omic 1
The programme offers waiver/relaxation/subsibenefits to target populations in the event of climate hazards	dy 1
<b> ☆</b> PROMOTION	
The programme offers support for livelihood diversification	1
The programme supports improved income opportunities via building entrepreneurial skills access to higher education or community/individual asset creation	1
The programme promotes new livelihood opportunities	1
The programme implements planned labour migration and placement interventions	nobility, 3
The programme improves access to markets, natural resources, government departments, financial inclusion, community infrastructure, e	1 etc.
The programme encourages target population	ns to

participate in decision-making processes

# Annex

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This document presents the country analysis of Uganda and is an extract from the IIED working paper 'Delivering anticipatory social protection: country readiness assessment', which uses the ASPIRE tool to evaluate the readiness and effectiveness of social protection systems in eight countries, identifying gaps and opportunities to improve anticipatory measures and climate resilience. The research provides actionable recommendations for enhancing these systems to not only respond but also proactively adapt to climate-related risks, thereby fostering resilience among vulnerable populations.

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