ACODE

A Framework for Assessing Implementation of Economic Inclusion Programmes in Uganda

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Acknowledgements

This framework is part of efforts to improve the implementation of the Economic Empowerment Programmes (EIPs). It is motivated by the inadequacy of existing frameworks to cause a change in the design and execution of EIPs in Uganda. Therefore, stakeholders are encouraged to use this framework in their work to enhance the effectiveness of economic empowerment programmes.

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List of Acronyms

ACODE	Advocates Coalition for Development and Environment
CEAPs	Civic Engagement Action Plans
EIP	Economic Inclusion Programme
ICT	Information Communication Technology
KIDP	Kampala Infrastructure Development Project
LGCSCI	Local Government Council Score Card
LIPW	Labour Intensive Public Works
LRDP	Luwero Rwenzori Development Programme
M&E	Monitoring and Evaluation
MDA	Ministry Department or Agency
MFPED	Ministry of Finance Planning and Economic Development
MPS	Ministerial Policy Statement
MUBS	Makerere University Business School
NDP	National Development Plan
NURP	Northern Uganda Reconstruction Programme
NUSAF	Northern Uganda Social Action Fund
PDM	Parish Development Model
PDO	Project Development Objective
PEGS	Public Expenditure Governance Studies
SAGE	Social Assistance Grant for Empowerment
SDGs	Sustainable Development Goals
TAAC	Transparency Accountability and Anti-corruption
TST	Technical Support Team
UNICEF	United Nations Children's Fund
UWEP	Uganda Women Entrepreneurship Programme
YLP	Youth Livelihood Programme

Executive Summary

Reducing inequality and inclusive growth are at the top of the global development agenda. The theme of the Sustainable Development Goals (SDGs) is to "end poverty in all its forms everywhere by 2030". SDG 8 specifically addresses inclusive and sustainable growth. The eradication of poverty and attaining middle income status remains Uganda's main national development goal as laid out in the National Development Plan (NDP III) 2020/21 – 2024/25. Whereas Uganda experienced sustained economic growth during the pre-Covid-19 period, there were indications that poverty was not reducing, and that inequality was increasing. The Covid-19 pandemic and prolonged lock down exacerbated the situation with almost 3% of the people falling into poverty and compounding inequality. As the world and the country builds back, there is need for specific focus of those excluded from economic opportunities.

Economic Empowerment Programmes (EIPs) are increasingly being used the world over as vehicles for achieving inclusive economic growth. EIPs have been described as 'a bundle of coordinated multidimensional interventions that support individuals, households and communities in increasing incomes and assets. For Uganda, implementation of the EIP has been affected by poor design and implementation as well as corruption that have rendered the EIPs ineffective. At the same time, performance evaluations of the EIPs undertaken have had limited influence on the design of subsequent programmes. In many cases same interventions have been repackaged under different names and touted as new programmes. There is no doubt that improving the plight of the poor and other categories of people excluded from economic opportunities will require effective implementation of EIPs.

This Framework for Assessing Implementation of EIPs in Uganda is part of efforts to improve implementation of the EIP. It is motivated by the inadequacy of existing frameworks to cause change in the design and execution of EIPs in Uganda. The framework is rooted in social accountability and builds on previous works of the Advocates Coalition for Development and Environment (ACODE) on governance and public expenditure analysis and monitoring. The theory of change for this EIP framework is assess, disseminate, advocate. By assessing the designs and implementation of EIPs and disseminating the findings of the assessment to implementers and beneficiaries and using the findings for advocacy, then the design and implementation of EIPs will improve and with it the likelihood of achieving programme outcomes and ultimately impact. The framework has six assessment areas namely programme design, efficacy, quality of M&E, efficiency, compliance, and risk management. It is guided by the following principles: social accountability, participation, empowerment for engagement, learning and optimisation.

Overview of the assessment areas

Programme design

The design lays out how activities and outputs are expected to lead to program outcomes and ultimately impact. It should among other things specify the roles of different actors, target beneficiaries and how they are identified, the resources requirements for implementation of the EIP- including allocation to different cost centres e.g. human resource and staff costs, monitoring and oversight costs, infrastructure development, cash grants, asset or input transfers, safety net transfers etc., scope of the M&E framework for the programme. The design should consider the context and be guided by assumptions. Change of context and invalidity of assumptions can render a good design obsolete. Assessment of the design under the framework focuses on appropriateness of the design, validity of the assumptions, and consideration of the context.

Efficacy

Assessment of efficacy is about judging execution of the programme vis-à-vis the design and plans. It focuses on programme activities and outputs and their implications for attaining outcomes and ultimately impact and reaching the target beneficiaries (including how they are identified.) The assessment efficacy under the framework compares the actual performance against work plans and targets. This assessment area seeks to answer the following broad questions: were the activities implemented according to plan? Did the intended beneficiaries receive specified treatment/package? Were programme outputs realised with in the specified time? Did periodic monitoring reports capture the level of performance? What are the factors responsible for the level of performance (activities and outputs)? What are the implications of the level of performance for achievement of programme outcomes and impact?

Quality of the M&E

Assessment of the quality of M&E focuses on three aspects, existence of an M&E framework for the EIP, functionality of the M&E including, undertaking of M&E functions and activities, and producing of M&E outputs as laid out in the M&E framework, and use of M&E outputs to inform implementation of the programme by identifying implementation gaps and making proposals on how these can be filled (interventions). Assessment of quality of M&E under this framework seeks to answer three basic questions namely, does the M&E framework covers performance on activities, outputs and outcomes/objectives of the EIP (including roles of actors in implementation)? Is there credible and up-to date information on performance of the EIP? How is performance information used to improve implementation and effectiveness of the EIP?

Efficiency

Inefficient utilisation of resources could lead to wastage and less-than-optimal programme outputs which may put achievement of outcomes and ultimately impact in jeopardy. Assessment of efficiency under this framework largely focuses two aspects, efficiency in utilisation of financial resources by comparing utilisation of financial resources against plans/budgets over a given period, and the pattern of expenditure with respect to important cost drivers compared to the budget for the EIP. Assessment of efficiency under this framework seeks to answer the following broad questions: how close is actual expenditure to the budget? Have available resources been utilised as planned? What factors were responsible for any variations? What implications does financing, and financial management have for implementation of activities outputs, outcomes and impact of the EIP?

Compliance

Under this framework, the compliance obligations of interest are audits and environmental and social safeguards where applicable. The application safeguards e.g. environmental and social safeguarding, protection of rights will vary depending on the nature of the EIP. Assessment under this area covers internal and external audits, safeguarding risks and impacts. It seeks to answer the following questions, what are the applicable accountability and safeguarding compliance obligations for the EIP (with justification)? what is the level of compliance of actors with these obligations? How were the compliance undertakings done (who, what, how-role of affected persons in the undertaking)? What were the findings of the undertakings related to the different obligations and how they inform decision making (interventions to address issues)? What are the effects of the programme on the welfare and rights (human rights, cultural rights, socioeconomic rights etc) of the beneficiaries and the community at large? What are the implications of these effects for programme activities, outputs, outcomes and impact?

Risk management

Risk is any unexpected event that can affect a project for better or worse. These risks stem from a variety of sources including financial uncertainties, legal liabilities, technology issues, strategic management errors, accidents and natural disasters. Under this framework risk management is about, identifying program outcomes at higher and lower risk and determining the sources of the risks (risk assessment), determining the likelihood of occurrence of the risks their implications for attainment and sustainability of programme outcomes and impact (risk evaluation), and making interventions to ameliorate the impact of the risks. Assessment of risk management under this framework seeks to answer the following questions, which programme outcomes are at higher and lower risk in terms of attainment and sustainability? What are the sources of those risks? What is the likelihood of

occurrence? What are the implications of the risks for achievement of outcomes and their sustainability? Whether M&E framework provides for tracking risks? Whether monitoring reports capture risks? and What actions have been undertaken to mitigate the risks?

Assessment approach

The approach involves four interrelated steps namely, i) planning for the assessment, ii) Data collection and analysis, iii) Dissemination and advocacy, and iv) monitoring and follow-up.

Planning

Planning for the assessment involves selection of the EIP or components thereof to be assessed, determining the objectives of the assessment, the unit(s) of analysis and scope as well as identification of respondents and determining how they will be selected. Planning should also put in to perspective the dissemination of findings, advocacy as well as monitoring and follow-up which will be the pathway to change.

Data collection and methods

There are many data collection methods that could be adapted to the framework. However, the framework favours the use of mixed and participatory methods. The data collection methods proposed herein are, document review, Key Informant Interviews (KIIs)for programme implementers, Focus Group Discussions (FDG) and other participatory methods for programme beneficiaries. It is important that the methods used are plausible enough to pass the basic research rigor requirements. For document review which can be a daunting task, the use of text analytics software that make it possible to scan millions of pages and identify and track themes of interest is encouraged.

Data analysis

This assessment will largely generate qualitative data. For qualitative data from KIIs, FGDs and other participatory methods can be analysed thematically. The numerical data from the rating will be ordinal using a scale from 1 to 4 described the below. The rating does not apply to the programme design.

Rating assessment areas

Rating	Description of rating
4=Highly satisfactory	This is the highest score that an aspect can be rated. This rating shows that the assessor(s) recognise that substantial effort and progress have been achieved under this area, has limited adverse implications for attainment of programme outcomes and impacts, and is at par with best practices.

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3= Satisfactory	This rating shows that the assessor(s) recognise that substantial effort and progress have been achieved under this area with no significant gaps and has limited adverse implications for attainment of programme outcomes and impacts.
2= Substantial	This rating shows that the assessor(s) recognise that substantial effort and progress have been achieved under this area but, there are significant gaps remain and substantial adverse implications for attainment of programme outcomes and impacts exist.
1= Moderate	This is the least score that an area can be rated. It shows that the assessor(s) feels that not much has been done, substantial adverse implications for attainment of programme outcomes and impacts exist, and that the area needs urgent attention.

Outputs

The application of the framework is expected to yield different outputs at each of the stages. At planning stage, concept and inception reports for internal use (consulting with key actors) on the proposed design of the assessment can be produced. At the data collection and report writing phase, sub-national reports can be produced for advocacy at that level followed by a synthesis report for national level advocacy. During dissemination and advocacy, policy briefs and citizen petitions can be generated and used to advocate for specific policy actions while commitments from actors can be recorded in aide-memoires and minutes. Finally, it is expected that monitoring and follow up efforts will be documented in periodic monitoring reports and changes realised captured in ways that convey impact of the assessment.

Ethical considerations

The evaluation field recognizes the importance of protecting the rights and dignity of evaluation participants. While there are numerous varied ethical guidelines, they largely address three over-arching issues:

- Do-no harm: Bringing no harm, such as physical injury and psychological harm (such as damage to reputation, self-esteem, or emotional well-being).

- Fairness: Treating people fairly and without regard to gender, socioeconomic status, and other characteristics.

- Respect: Respecting individuals' rights to act freely and to make their own choices, while protecting the rights of those who may be unable to fully protect themselves.

1.0   Introduction

Economic Inclusion Programmes (EIPs) are being implemented in many countries around the world in a bid to achieve inclusive growth (Andrews et al, 2021). Inclusive growth has been defined as rapid broad-based economic growth that is inclusive of a large part of the country's labor force (IMF, 2012). The emphasis of inclusive growth in development discourse is premised on the recognition of the detrimental effect of inequality on economic growth (World Bank Group 2003: OECD, 2014: Topuz, S.G 2022). For instance, leaving women out of the productive economy is known to limit economic growth overall and compound inequality (Kabeer & Natali 2013: Andrews et al, 2021). Leaving women out of the productive economy also has intertemporal effects. For instance, it has potential to impact future generations and communities (World Bank Group 2014). Goal 10 of the Sustainable Development Goals (SDGs) is about reducing inequalities within and among countries.

Economic inclusion is the opening up of economic opportunities to previously under-served social groups and is a key strategy for achieving inclusive growth. The EIPs are the vehicles used by countries to explicitly alleviate the plight of those left behind by economic development. Andrews et al, (2021) describe EIPs as 'a bundle of coordinated multidimensional interventions that support individuals, households and communities in increasing incomes and assets.' The multidimensional quality of EIPs is warranted by intersectionality of exclusion which requires multi-pronged interventions. Improving income and livelihoods of the poor may require addressing multiple constraints or structural barriers faced by the poor at different levels: the household (for example, human and physical capacity), the community (social norms), the local economy (access to markets and services), and formal institutions (access to political and administrative structures).

Inclusion is a key element of Uganda's development agenda and as such, several EIPs have been implemented and others are under way. This paper presents a framework for assessing implementation of (EIPs) in Uganda. The undertaking to develop this framework was motivated by ACODE's mission of making public policies work for people. There is concern that poor implementation that has characterised execution of previous EIPs continues to jeopardise current and future efforts by government aimed at alleviating the plight of the poor and other excluded categories of people. The framework aims at improving implementation of EIPs through process assessment. It is premised on the notion that improving implementation of EIPs will contribute to economic inclusion in Uganda. The framework presented here is for a formative evaluation and focuses on two aspects of the EIPs namely, programme design and implementation. It also accentuates the dissemination and advocacy as pathways to improving implementation of EIPs.

The framework specifically aims to propose questions, sources of information, tools and analyses for assessing (external) how well the activities of EIPs are being implemented, how the goals and objectives are being met, and how implementation of the programme will affect achievement of desired impacts.

1.1 Imperatives for economic inclusion programmes in Uganda

Uganda has for a long time been grappling with issue of economic transformation and poverty eradication. Nonetheless, income inequality has worsened with 10% of the top population taking 52.1% of income (World Inequality data base 2022). While this situation has been compounded by the COVID-19, there are historical and long-standing underpinnings of inequality that have shaped the character of EIPs in Uganda.

Limited access to productive resources by large section of the population

In a country dominated by subsistence production, there is limited access to productive resources as many people do not have the wherewithal to acquire them. There are also cultural norms and practices that specifically lock out some categories of people from acquiring these resources. For instance, land ownership in Uganda has historically been dominated by men leaving out women and the youth who are a significant proportion of the population. Several programmes focusing on improving livelihoods and income of women and the youth have been implemented to improve access to productive resources.

War and insurgency

Several parts of Uganda have been affected by war and insurgency. In many of these areas production drastically reduced, and the infrastructure destroyed. Some of the areas most affected by war include Luweero triangle, Northern Uganda, Rwenzori to mention a few. Several programmes have been implemented to improve livelihoods and infrastructure in these areas. Some prominent examples include Northern Uganda Social Action Fund (NUSAF), Northern Uganda Reconstruction Programme (NURP), Karamoja Integrated Development Programme (KIDP) and Luweero – Rwenzori Development Programme (LRDP). While many of these projects were not earlier perceived as EIPs, they fit the categorisation as many of them sought to among others improve income and livelihoods of people and attempt to establish parity in areas ravaged by war and insurgency, rehabilitating and provision of new infrastructure among others.

Inequality

There are also indications that poverty incidence is high among certain categories of people and geographical regions. For instance, poverty incidence has been historically high for Northern and Eastern Uganda. There is also the rural urban divide with rural poverty standing at 55% compared to 23% for urban areas

(UNICEF 2020). The gender divide is also a salient dimension poverty. UNICEF in the same report showed that 50% of households headed by women exhibited multidimensional poverty compared with 46% of male-headed households. It is important to point out that poor people are also beset by limited access to economic opportunities which spirals into higher poverty rates. The EIPs can be a vehicle to alleviate the plight of these people who are usually excluded.

1.2 Economic inclusion in Uganda's development agenda

Eradication of poverty and attaining middle income status remains Uganda's central development goal. This will require bringing more people into the productive economy especially those categories that have been excluded. The Sustainable Development Goals (SDGs) to which Uganda is a signatory, commit member countries to "promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all," (SDG 8). Domestically, inclusion is most pronounced in the NDP III. The theme of the plan is sustainable industrialisation for inclusive economic growth, employment and sustainable wealth creation. The NDPIII also indicates that the goal of macroeconomic management is to accelerate and sustain inclusive growth. The plan mentions inclusion in several other places but remains scanty on how this will be achieved. For instance, out of the seven macroeconomic objectives that underpin the macroeconomic strategy of the NDP III none addresses inequality and inclusion explicitly. In addition, the NDPIII is not clear about the specific interventions to ensure inclusive economic growth. This may be due to the multidimensional nature of exclusion itself including income inequality, age, gender, disability, and minority groups among others. The other two key development frameworks namely Vision 2040; Africa Vision 2063 do not explicitly address the issue of inclusion.

1.3 Why assess implementation of economic inclusion programmes in Uganda

It is widely recognised that transformation of Uganda's economy can only come from broad-based growth across sectors that is inclusive of a large part of the country's labor force (Merroto, 2020). Accordingly, several EIPs have been designed and implemented with the aim of achieving this objective. The EIPs are expected to increase production and productivity, create jobs and deliver the country to middle income status. The programmes command a substantive budget allocation. For instance, the cost of NUSAF 1, 2 & 3 was USD 363 million. The newly introduced Parish Development Model (PDM) has been touted as a game changer and is expected to cost UGX I,060 bn annually[1].

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[1]10,600 parishes are to get seed money of Shs100 million per parish

However, these EIPs are being implemented against a background of abysmal performance of similar programmes including, the Uganda Women Entrepreneurship Programme (UWEP), the Youth Livelihood Programme (YLP), and Social Assistance Grant for Empowerment (SAGE) to mention a few. There is no indication that lessons learned over the past few years of implementing such project have informed design of subsequent projects. It is also not clear whether monitoring and evaluation undertakings impact on implementation of projects over their life span.

It is the contention of this paper that this limitation is due to a number of factors. First is that decision makers either have no access to the findings of the monitoring and evaluation undertakings or are reluctant to take action based on the outcome of these exercises. Second is that the nature of monitoring and evaluation is not appropriate for action in terms of the timing vis-à-vis the life cycle of the project or is focus. For instance, most evaluations assessments are done at the beginning and end of the project and focus on outcomes and impacts of the project. This means that there is little opportunity to track and address any implementation challenges facing the programmes. Furthermore, most of the evaluations are commissioned or undertaken by implementing entities who may have biases or be unwilling to take any action. Assessments by other groups such as development partners, Civil Society Organisations (CSOs) and academia are easily dismissed by implementers as being inappropriate.

There have been efforts to assess inclusiveness of economic growth (McKinley T, 2010: Andrews et al, 2021: Nicholas N, 2017: Pacetti, E. G., 2016). These efforts largely focus on equity, participation, economic growth, sustainability, and stability (See Annex I for detailed inclusive growth indicators). The methodologies used commonly involve across the country comparisons. However, these efforts have faced two major limitations firstly is a dearth of up-to-date data on some indicators for some countries. Secondly, they do not provide country specific solutions for achieving inclusive growth or put differently reducing exclusion.

This paper presents an action-oriented framework for assessing implementation of EIPs. It aims to inform implementation as well as scaling up or designing new projects. The framework largely takes some process evaluation *modus operandi.*

2.0 Overview of Approaches for Evaluating Economic Inclusion Programmes

Evaluation is the process of examining a programme or process to determine what is working, what's not working, and answer the "why" question. It determines the value of programmes and acts as a blueprint for judgment and improvement (Rossett & Sheldon, 2001). Evaluations are normally divided into two broad categories i.e. **formative and summative.** Formative evaluation (usually internal) is a method for judging the worth of a programme while the programme activities are forming (in progress). They can be conducted during any phase of programme implementation. This part of the evaluation focuses on the process. Thus, formative evaluations permit implementers to monitor how well the goals and objectives are being met. Its main purpose is to catch deficiencies as soon as possible so that the proper interventions can be made to enable achievement of programme objectives. Formative evaluations largely rely on monitoring data.

> The NUSAF3 program provides an example of how monitoring data was used to improve implementation. The program had built on earlier programs namely NUSAF and NUSAF 2. The Project Development Objective (PDO) was "to provide effective income support to and build the resilience of poor and vulnerable households in Northern Uganda." The program was funded by the World Bank and was designed and implemented by the government of Uganda. Program covered 58 districts of Northern Uganda and had four components namely, i) Labor-intensive public works (LIPW) and disaster risk financing, ii) Livelihood investment support, iii) Strengthening transparency, accountability, and anti-corruption (TAAC), and iv) safety net mechanisms and project management. A Management Information System MIS was developed to collect routine information on the program. Annual monitoring reports were produced, and the findings were used by the Technical Support Team (TST) to guide districts. Monitoring data was collected by community monitoring teams and validated by the sub-county and district. An Implementation Completion and Results report was compiled by the TST at the end of the program. The report utilized data from annual monitoring reports supplemented by interviews with beneficiaries, district and community level actors. It appears that the monitoring greatly contributed to implementation of the program and therefore its performance.

Summative evaluations (usually external) on the other hand focus on judging the worth of a programme at the end of the programme activities (summation). The focus is on the outcome. The model or methodology used to gather the data for summative evaluations are rigorous, carefully designed and executed to ensure the data is accurate and valid. Some common methodologies for include difference in difference, randomised control trials etc.

External Evaluation of NUSAF3 program

External evaluation of the project was undertaken by Makerere University Business School (MUBS). The evaluation focused on outcomes and involved a baseline, midline and endline panel. Data for the evaluation was collected using Household surveys and qualitative data at five levels (Technical Support Team, District, sub-counties, Community project management structures, beneficiaries). Data for the evaluation (baseline, midline and endline) has been used to generate several academic papers. Thus, the external evaluation may not have greatly impacted on implementation of the program and therefore its performance although it was used to judge the outcome of the program.

RCT on YLP [Bukenya, B, Omala, SK, Kasirye, R and Miranda, J, 2019]. Do revolving funds generate self-employment and increase incomes for the poor? Experimental evidence from Uganda's Youth Livelihood Programme, 3ie Grantee Final Report. New Delhi: International Initiative for Impact Evaluation (3ie)]

A RCT to the impact of Uganda's YLP. The evaluation specifically sought to establish whether provision of low interest credit via a group-approach enables the youth to create employment, increase their incomes and adopt positive behaviors. The evaluation involved a mixed-methods approach, drawing on both qualitative and quantitative data collected through baseline and endline survey on selected youth groups to evaluate the short- and medium-term impacts of YLP. Baseline data was collected on 402 youth groups (201 groups being treatment and 201 as comparison groups). At baseline 1,875 youth (41% female) participated in the survey. Endline data was collected a year after the rollout of the intervention among the study group on 1,556 youth (39% female). The evaluation showed that, YLP had no statistically significant effect on socio-economic outcomes of the intervention group compared to the control group. Qualitative information and evidence from the process evaluation shows that implementers focused a lot on disbursement and recovery of funds while downplaying complementary activities to support the novice entrepreneurs through the entire business cycle. Interventions to ensure business support could perhaps have improved the impact of the study.

3.0 Framework for Assessing Economic Inclusion Programmes in Uganda

The framework proposed here is for a process evaluation of implementation of EIPs in Uganda. It aims at documenting and analysing the design of EIPs and assessing implementation of EIPs. It examines whether the design was appropriate, assesses whether strategies were implemented as planned and whether the expected outputs were produced. The framework is rooted in social accountability that shapes ACODE's work on governance and public expenditure analysis and monitoring under the Local Government Councils Score Card Initiative (LGCSCI) and the Public Expenditure Governance Studies (PEGS). The two initiatives involved three major aspects of social accountability. First was assessing performance of responsibility holders namely elected officials and service delivery providers (vis-à-vis their mandate) and presenting this information to both government and citizens. Second was assessing public expenditure governance using nine principles categorised under inputs (strategic vision, participation and coordination), governance processes (transparency, accountability and anti-corruption effort), and outcomes effectiveness, efficiency and equity) Third was facilitating state-civil society interface at both local and central government levels through Civic Engagement Action Plans (CEAPs) and High-Level Policy Dialogues with different state actors. This framework is anchored in social accountability and ACODE's experience and lessons learned over many years. Before presenting the framework, it is important to deal with the issue of constrained civic space which affects efficacy of social accountability efforts.

3.1 Efficacy of social accountability under constrained civic space

There is concern over what has been termed as reducing civic space in Uganda and its implications for social accountability. The reduced civic space is characterised by the enactment of unfavourable legislation that constrains the operation of civic society, and control of the media including social media among others. Helen Grandvoinnet et al, (2015) observe that it is possible to overcome constraints in information, citizen-government interface and civic mobilisation which pervade many situations of constrained civic space around the world. They cite a number of strategies that have proved effective namely, allying with associations that mobilize citizens to help the state address deficiencies in service delivery, use of Information Communication Technology (ICT) to aggregate individual voices into collective citizen action, providing useful information or forums for verification, public scrutiny and feedback, and use of non-confrontational approaches. They further point to evidence that government responsiveness is more likely under certain conditions. First, is appealing to the personal or professional integrity of

public officials though it may have limited scope. It is therefore important (from a strategic point of view) to involve in the assessment those public officials for whom performance of the EIPs is personally or professionally important. Second is appealing to a government's existing or instrumental interest in improving service delivery. Inclusive growth remains a major aspect of the current NDP III. Third is linking social accountability mechanisms to improving the effectiveness of the state's own (horizontal) accountability framework such as the annual assessments of Ministries Departments and Agencies (MDAs) undertaken by the Office of the Prime Minister and the Ministry of Finance Planning and Economic Development (MFPED) among others. This framework seeks to leverage these strategies any others that may be deemed useful.

3.2   Principles that underpin the framework

This framework is underpinned by ACODE's theory of change for contributing to improving the welfare of women, youth and men in Uganda. The theory of change is that "promoting inclusive economic policies and furthering transparency and accountability in the governance of public expenditure will lead to equitable access to public services and economic opportunities for women, men and youth which will, consequently, result into improved welfare of these categories of people. The framework is guided by the following principles.

Social accountability: This is the obligation for actors to give account for their actions to citizens. The framework seeks to facilitate demand for accountability by citizens particularly the target groups under EIPs. The obligations of the actors are laid out in programme documents, NDP III for those captured therein, strategic plans and budget documents namely Ministerial Policy Statements (MPS), Annual Budgets, Annual workplans and Annual Budget Performance Reports.

Participation: The concept of inclusion is closely linked to that of participation. Involving stakeholders in the assessment of implementation of EIPs will make it more effective, accountable and sustainable. There are many ways in which participation can be integrated in the assessment such as:

- **Using participatory data collection methods:** methods that actively involve primary stakeholders give us insights into the opinions and experiences of beneficiaries and can facilitate the data collection process itself. Some methods for participation include, rapid appraisals, community score card, CEAPs.

- **Measuring Progress:** the beneficiaries should be asked what progress/ success under the EIP looks like and how they rank their achievement on those parameters and the reasons for that ranking.

Empowerment to engage: Excluded people are also disempowered. As part of ACODE's previous approaches, the framework seeks to empower the beneficiaries through the assessment. This will largely take the form of provision of information about the EIPs and facilitating interface between government at target groups for the EIPs.
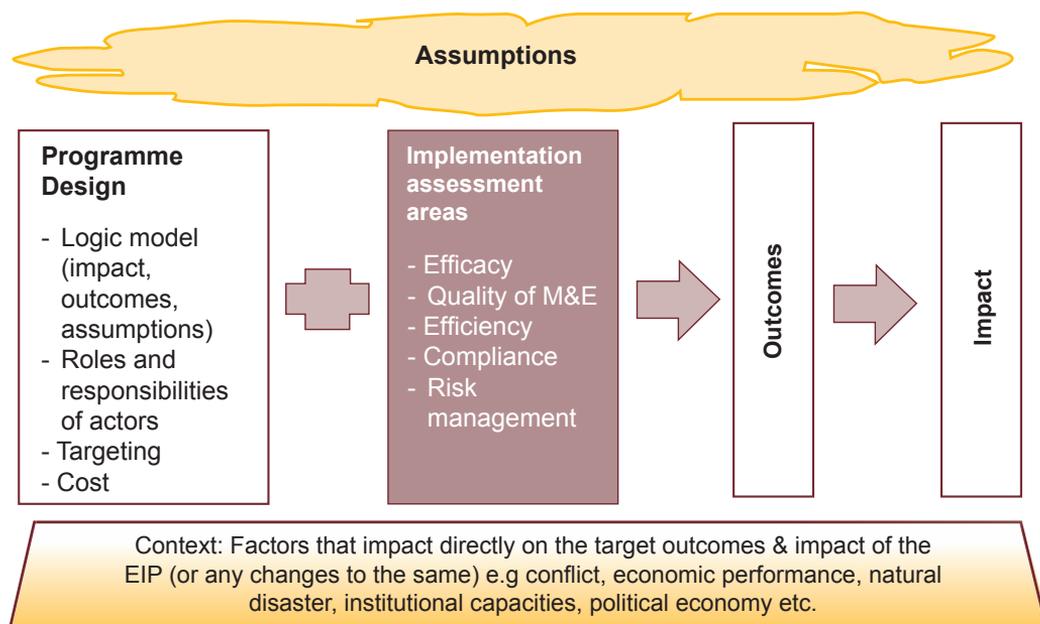
Learning: Public organisations through monitoring and evaluation and implementation of activates garner a lot of data which is rarely used to inform design of new programmes nor influencing implementation of on-going interventions. Glennon et al., (2019) call for organisations to adapt to increasing uncertain environment by emphasising learning processes for delivery of public value. The public value here being value that is 'created or added through the activities of public organisations and their managers. The framework aims to incorporate aspects of learning by actors from existing evidence, their data and experience.

Optimisation: EIPs are complex undertakings with multiple sub-programmes, objectives targets and actors. In a resource constrained environment, there is need to prioritize programme, sub-programmes and actors for assessment (including central and local government actors). The framework will require a value proposition of the focus of the assessment. The value proposition is the potential of the assessment to inform implementation of the programme and ultimately the intermediate outcomes and impact downstream. It may also be important to think about the categories of the target groups that may be excluded under the EIP design and targeting strategy (Identification for beneficiaries). The risks and assumptions identified at the start of the programme (and those identified during the assessment) will also have to be evaluated.

3.3   Areas of focus for the assessment

The proposed assessment framework is premised on the notion that the outcome and impact of EIPs within a given context is determined by the quality of the programme design and its implementation as shown in Figure 1. The areas of focus for the assessment are the programme design and implementation aspects namely, efficacy, quality of Monitoring and Evaluation (M&E), efficiency, compliance, and risk management. The areas of focus for the assessment have been selected based on their potential to deal with key underlying implementation challenges the beset most EIPs in Uganda and elsewhere in developing countries.

Figure 1: Framework for assessing implementation of EIPs in Uganda

Assumptions

Programme Design

- Logic model (impact, outcomes, assumptions)
- Roles and responsibilities of actors
- Targeting
- Cost

Implementation assessment areas

- Efficacy
- Quality of M&E
- Efficiency
- Compliance
- Risk management

Outcomes

Impact

Context: Factors that impact directly on the target outcomes & impact of the EIP (or any changes to the same) e.g conflict, economic performance, natural disaster, institutional capacities, political economy etc.

3.3.1 Programme design

The design lays out how activities and outputs are expected to lead to programme outcomes and ultimately impact. It should among other things specify the roles of different actors, target beneficiaries and how they are identified, the resources requirements for implementation of the EIP- including allocation to different cost centres e.g. human resource and staff costs, monitoring and oversight costs, infrastructure development, cash grants, asset or input transfers, safety net transfers etc., scope of the M&E framework for the programme. The design should consider the context which are factors that impact directly or indirectly on the programme outcomes and impact they include economic performance, conflict, natural disasters, institutional capacities, and the political economy. Furthermore, the design is also informed by certain assumptions. Change of context and invalidity of assumptions can render a good design obsolete. Thus, assessment of the design under the framework focuses on appropriateness of the design, validity of the assumptions, and consideration of the context. Below are some examples of questions to ponder about the design of EIPs.

> **Questions for review/critique of the design of EIPs**
>
> What are the goals of the EIP?
>
> What are the activities and their related outputs?
>
> How are the activities and outputs expected to translate into outcomes and ultimately impact (appropriateness of the design)?
>
> What are the assumptions considered in the design of the EIP/ what conditions are required for the activities and outputs to translate into outcomes and impact?
>
> Who are the target beneficiaries of the EIP and how will (are) they be identified?
>
> What is the projected cost of the EIP?
>
> How are the costs allocated across different cost drivers?
>
> How much of the expenditure is intended to reach beneficiaries or excluded categories of people?
>
> Who is directly involved in implementation of the EIP and what is their role (management, oversight, funding etc.)?
>
> What was (is) the role of target beneficiaries in the design of the EIP (how were their views captured and taken care of during the design?
>
> What are the performance targets for the EIP?

3.3.2   Efficacy

Assessment of efficacy is about judging execution of the programme vis-à-vis the design and plans. It focuses on programme activities and outputs and their implications for attaining outcomes and ultimately impact. Reaching the target beneficiaries (including how they are identified) is a critical aspect of assessing efficacy of EIPs. The assessment efficacy compares the actual performance against work plans and targets. This assessment area requires clear articulation of the activities, outputs and outcomes under the EIP for specific actors, and performance indicators, targets and data. This assessment area seeks to answer the following broad questions, were the activities implemented according to plan? Did the intended beneficiaries receive specified treatment/package? Were programme outputs realised with in the specified time? Did periodic monitoring reports capture the level of performance? What are the factors responsible for the level of performance (activities and outputs)? What are the implications of the level of performance for achievement of programme outcomes and impact?

3.3.3   Quality of the M&E

Assessment of the quality of M&E focuses on three aspects. First is existence of an M&E framework for the EIP. The framework should define performance indicators and targets for objectives, activities, outputs and outcomes, and specify the types of evaluations to be undertaken (internal or external evaluation, baseline, midline and endline). The second aspect of quality of M&E assessed is functionality of the M&E including, undertaking of M&E functions and activities, and producing of M&E outputs as laid out in the M&E framework (including routine collection of data, meetings, production of periodic reports and other products etc). Third is use of M&E outputs to inform implementation of the programme by identifying implementation gaps and making proposals on how these can be filled (interventions). Assessment of quality of M&E under this framework seeks to answer three basic questions namely, does the M&E framework cover performance on activities, outputs and outcomes/objectives of the EIP (including roles of actors in implementation)? Is there credible and up-to date information on performance of the EIP? How is performance information used to improve implementation and effectiveness of the EIP?

3.3.4   Efficiency

Utilisation of resources should be in such a way that the outputs per unit of inputs are maximized or at least are at par with projections. Low efficiency could lead to less-than-optimal programme outputs which may put achievement of outcomes and ultimately impact in jeopardy. While assessment of efficiency can take different approaches including complex ones, assessment under this framework largely focuses two aspects. First is efficiency in utilisation of financial resources by comparing utilisation of financial resources against plans/budgets over a given period. Second is the pattern of expenditure with respect to important cost drivers compared to the budget for the EIP such as direct benefits for beneficiaries' (such as agricultural inputs, cash transfers, training, and mentoring), administration costs (oversight and coordination), and M&E costs. It is important to note that there could be allocative inefficiencies inherent in the programme design. Assessment of efficiency under this framework seeks to answer the following broad questions, how close is actual expenditure to the budget? Have available resources been utilised as planned?   What factors were responsible for any variations? What implications does financing, and financial management have for implementation of activities outputs, outcomes and impact of the EIP? Table 1 shows and example of how budget information can be used to analyse efficiency.

Table 1: Budget performance (UGX Millions)

Output No.	Output	Approved	Share Approved (%)	Outturn	Share Outturn (%)	Perfor-mance (%)
100401	Policies, Guidelines, Laws, Regulations and Standards on Vulnerable Groups	642.8	1	673.3	1	104.7
100402	Advocacy and Networking	1,537.3	2	1,326.5	2	86.3
100403	Monitoring and Evaluation of Programmes for Vulnerable Groups	1,056.8	2	1,572.5	2	148.8
100404	Training and Skills Development	392.0	1	666.4	1	170.0
100454	Sector Institutions and Implementing Partners Supported including youth project funds	60,230.9	91	59,236.6	90	98.3
100475	Purchase of Motor Vehicles and Other Transport Equipment	2,450.0	4	2,450.0	4	100.0
100476	Purchase of Office and ICT Equipment, including Software	46.7	0	46.7	0	100.0
Total		66,356.5	100	65,972.0	100	99.4

Source: Budget Framework Paper Ministry of Gender Labour and Social Development

The table shows that the outturn for that period was 99.4% of the approved budget. It further shows that 90% the funds were allocated to Sector Institutions and Implementing Partners Supported including youth project funds. However only 1% of the funds were allocated to training and skills development which was one of the objectives of the YLP and could have adverse implications for the outputs and outcomes and ultimately impact. On performance, outturn for training and skills development and monitoring and evaluation was 70% and 48.8% respectively over the approved budget. It would be interesting to find out from the implementers why this was the case and its implications for activities, outputs, outcomes and impact in the long run.

3.3.5   Compliance

This assessment area is about compliance with respect to accountability and safeguarding – do no harm. Under this framework the compliance obligations of interest are audits and environmental and social safeguards where applicable. The application safeguards e.g. environmental and social safeguarding, protection of rights will vary depending on the nature of the EIP. Assessment under this area will cover internal and external audits, safeguarding risks and impacts. It will seek to answer the following questions, what are the applicable accountability and safeguarding compliance obligations for the EIP (with justification)? what is the level of compliance of actors with these obligations? How were the compliance undertakings done (who, what, how-role of affected persons in the undertaking)? What were the findings of the undertakings related to the different obligations and how they inform decision making (interventions to address issues)? What are the effects of the programme on the welfare and rights (human rights, cultural rights, socioeconomic rights etc) of the beneficiaries and the community at large? What are the implications of these effects for programme activities, outputs, outcomes and impact?
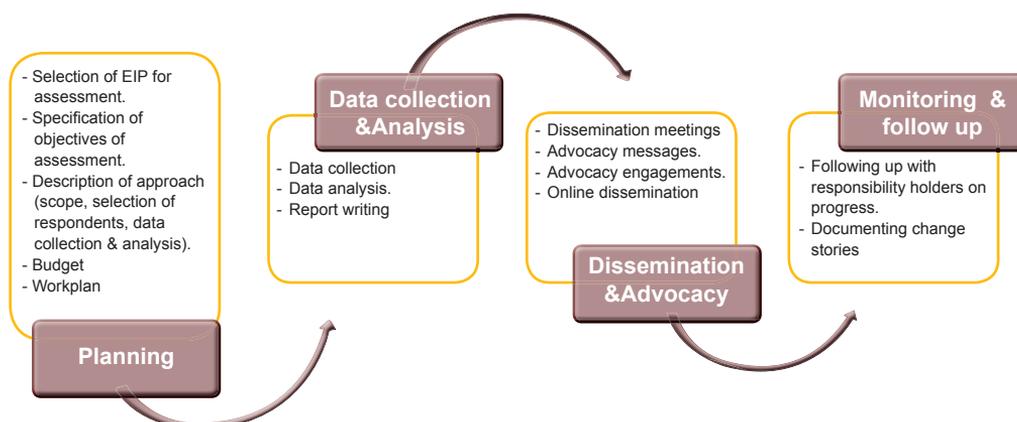
3.3.6   Risk management

In project management, risk is any unexpected event that can affect a project for better or worse. These risks stem from a variety of sources including financial uncertainties, legal liabilities, technology issues, strategic management errors, accidents and natural disasters. Under this framework risk management is about, i) identifying programme outcomes at higher and lower risk and determining the sources of the risks (risk assessment), ii) determining the likelihood of occurrence of the risks their implications for attainment and sustainability of programme outcomes and impact (risk evaluation), and iii) making interventions to ameliorate the impact of the risk in terms of attainment and sustainability of programme outcomes and impact. One way of identifying risks is to look at the counter factual of the assumptions for effectiveness of the programme. For example, in relation to the YLP one would ponder over the following question, 1) what happens to the programme if government stops prioritising youth employment? 2) What is the likelihood of this happening? Assessment of risk management under this framework will seek to answer the following questions, which programme outcomes are at higher and lower risk in terms of attainment and sustainability? What are the sources of those risks? What is the likelihood of occurrence? What are the implications of the risks for achievement of outcomes and their sustainability? Whether M&E framework provides for tracking risks? Whether monitoring reports capture risks? and What actions have been undertaken to mitigate the risks?

4.0   Assessment Approach

The process assessment approach presented here is anchored in social accountability and employs mixed methods that balance rigor with resource requirements in terms of time and resources. The strategy is to identify areas of implementing EIP through process evaluation, disseminate findings to key actors and advocate for improvement in implementation and monitor response or actions taken by actors. The approach is depicted in Figure 2 and involves four interrelated steps namely, i) planning for the assessment, ii) Data collection and analysis, iii) Dissemination and advocacy, and iv) monitoring and follow-up. The rest of this section expounds on planning for the process evaluation, data collection methods, analysis, outputs from the assessment, and ethical considerations.

Figure 2: Assessment Approach

4.1   Planning for the assessment

Before embarking on the assessment, it is important to lay out how the approach presented in Figure will be operationalised to achieve change given the resource constraints including financial resources and time.

4.1.1   Selection of EIP to be assessed

The first step in the planning is to select the EIP that will be assessed. It must be ascertained that the programme fits the definition of an EIP as indicated under section one of this paper. Furthermore, the selection of the programme should be informed by the propensity of the assessment to inform implementation of the programme. This requires that the timing of the assessment is at a time when implementation has taken root but there is enough time to effect changes in implementation. The corollary of this is that the assessment itself should not

drag on for a very long time. It is important to note that some EIP have several components which may make assessing the entire programme cumbersome. In this case a decision must be made to limit the focus of the assessment to what is deemed manageable. It is also important to weigh how politically sensitive the assessment may be because this could be a source of hinderance in undertaking the assessment. It may be useful to share the concept of the assessment with key actors as soon as possible.

4.1.2   Determination of objectives of the assessment

Whereas evaluations generally aim to determine what is working, what's not working, and answer the "why" question, it is important to apply it to the specific EIP to be assessed. Under this framework, the general objectives are presented below. Please note that they are not a prescription but are simply illustrative.

a.   To examine appropriateness of the design (targeting, activities, outputs, institutional framework, work plan, budget) of the EIP- given its goal and objectives.

b.   To assesses whether strategies were implemented as planned.

c.   To ascertain whether the expected outputs were produced.

d.   To identify areas of programme implementation that require improvement.

e.   To undertake advocacy for improving implementation of a specific EIP.

4.1.3   Determination of the unit of analysis and scope

To influence implementation of EIPs, it is important to be strategic in determining the unit of analysis. A unit of analysis is the entity that you wish to say something about at the end, and it is considered the focus of the assessment. In other words, it is the entity(ies) to which the assessment enterprise (based on the five assessment areas) will be applied. Under this framework, the unit(s) of analysis ought to be a government Ministry Department or Agency (MDA) including local governments that have a significant role in the implementation of the EIP. It is important to note that the selected unit(s) of analysis together with the programme beneficiaries (individually or as collectives) constitute the units of observation for the process evaluation. The units of observation are determined based on the roles of different stakeholders in the implementation of the EIP and capacity to provide useful information for the assessment. The geographic scope delimits the spatial extent of the assessment in terms of units of observation such as sub-counties and districts to be covered by the assessment. It is important that the geographical scope is reasonable and can be justified. The scope will be determined by the design of the EIP of interest and the available resource envelope.

4.1.4   Identification and selection of respondents

Having determined the unit of analysis and the scope of the assessment, next is to identify and select respondents from the units of observation. The respondents could be selected purposively based on a specified criteria or by probability sampling or a mix of the two. As already indicated in Section 3.2, one of the guiding principles under the framework is participation of actors and beneficiaries in the assessment. It is envisaged that under this framework, national level actors will be selected purposively based on their role in implementation of the EIP. The roles of actors can be categorised under leadership (executive), management/administration (institutional structure), accountability (oversight), service providers (including front line service providers and private contractors), political actors etc. Selection of respondents at sub national levels on the other hand can be purposive or a mix - of purposive and probability sampling.

> **Use of purposive and probability sampling for selection of study areas**
>
> The target is to hold FGD meetings in four parishes per district. The parishes will be selected as follows, for each study district, two sub-counties will be randomly selected, and two parishes selected using the following criteria, one urban parish where the offices of the main town (or trading center) in the sub-county is located and one other rural parish located furthest from the main town in the sub-county.

For selection of beneficiaries, it is important to ensure that the group is inclusive of the target beneficiary categories. That means ensuring that different categories of people take part in the assessment including women, youth, men, persons with disability etc. there could also be other categories of interest depending on the nature of the EIP under assessment.

4.2   Data collection methods

Whereas experimental designs usually used for impact/summative evaluations are highly rigours, they are associated with several challenges including, high financial cost, time consuming and ethical issues related to assigning participants to experiment and control groups. Mixed methods encompass a range of tools that can be used to assess programme implementation including performance monitoring data based on the M&E framework, Key Informant Interviews (KIIs), Focus Group Discussions (FGDs), and participatory methods. It is important that approach used for the assessment empowers of beneficiaries to effectively engage with government and demand for accountability.

4.2.1   Document review

As already noted in section two of this paper, formative evaluations use monitoring data. In most cases agencies have documents with information on how projects were conceived, designed, and implemented. The documents include policy statements, project design (and appraisal) documents, monitoring and progress reports (among others). These documents can be scanned manually. However, depending on the design of the EIP and scope of the assessment, the documents put together may be voluminous and difficult to analyse without the aid of computer software. Thankfully, there currently several text analytics software that make it possible to scan millions of pages and identify and track themes of interest. Some of the most used software include Atlas ti, R, and Python among others. Below are some free text mining tools available online.

1. **AntWord Profiler**: This resource is a freeware tool for profiling the vocabulary level and complexity of texts. AntWord Profiler is a free download available for Windows, Mac OS X, or Linux.

2. **ConText**: Developed at Illinois, ConText is a free, open-source application for performing a variety of text analysis techniques, including network graphs and topic models, based on textual data.

3. **Gephi**: Gephi is an open graph visualization platform that supports exploration of all kinds of networks and complex systems. Gephi can be downloaded for free onto any Linux, Windows, or Mac OS X device.

4. **Juxta**: This resource is an open-source tool for comparing and collating multiple witnesses to a single textual work. It offers several possibilities for humanities computing and textual scholarship. Juxta is a Java-based application that is available as a free download for Windows, Mac OS X, and UNIX operating systems.

5. **Mallet**: Mallet is a Java-based package for statistical natural language processing, document classification, clustering, topic modelling, information extraction, and other machine learning applications to text.

Document scanning requires identification of key words for the EIP under assessment. It may be important to further identify priority words among the many on the list. The other requirement is identification of documents for review. Below is a sample list used to review documents for a social inclusion programme by 3IE (Vibecke, D & Micheal, B., (2022) - See Appendix II for summary of application of data collection methods to the assessment areas under the framework.

> **Keywords used to scan documents on economic inclusion (in italics, priority words)**
>
> *inclusion; economic empowerment; safety net; access to finance; financial access;* extreme poverty; marginal; *microfinance;* microfinance institutions (MFI); access to market; market access; access to financing; financial services; *job creation; livelihood opportunities; job opportunities; employment opportunities*; SHG; self-help group; self help group; cash transfer; entrepreneurship opportunities; informal economy; inclusiveness; microinsurance; socio-economic inclusion; productive safety net; financial inclusion; small and medium enterprise; micro, small and medium enterprise; MSME; SME; economic opportunity; economic inclusion; productive inclusion; financial literacy; social inclusion; socioeconomic inclusion; graduation; graduating; productive social safety net; socioeconomic empowerment; WEE; women's economic empowerment; promotion; protection and promotion; targeted; targeting criteria; poorest; most vulnerable; extremely poor; ultra-poor; multidimensional; cash plus; accompanying measures; integrated package; productive package; complimentary services; combined intervention; convergence; integrated social safety net; asset transfer; asset grant; coaching; mentoring; handholding; productive grant; productive transfer; cash and care; marginalize.

4.2.2 Key Informant Interviews

These interviews are normally semi-structured with a list of questions to be covered, or unstructured where the content of the interview follows the issues that seem the most relevant to the respondent. The interviewer may record the interview or in some cases, notes are written up from memory immediately after the interview. KIIs with government officials should be somewhat more formal and structured. The respondents during KIIs should be selected because they are considered to be very knowledgeable about the object of the enquiry. Under this framework, it is preferred that KIIs are used to capture perspectives of implementers of EIPs.

4.2.3 Focus Group Discussion

This involves facilitating discussions among groups of six to eight people selected because of their experience with the theme of the evaluation (e.g. mothers with young children, members of an agricultural cooperative, female students who use public transport to travel to university). In a large study, a number of different groups can be selected to cover different experiences or characteristics (e.g. poor working mothers, higher income working mothers), but if only one or two focus groups are to be used, there may be more variation. Ideally, the group will have an experienced facilitator and a monitor/assistant who can observe the group dynamics. The facilitator may have a set of questions that each person in turn is asked to answer, or there may be open discussion on a particular topic. Skill is required to avoid the group being dominated by one or two people, and to

avoid the facilitator asking leading questions. The discussion may be recorded, or the facilitator may take notes. Under this framework it is preferred that FGDs are applied to beneficiaries of EIPs. However, where feasible FGDs can be applied to implementors and other actors as well.

4.2.4 Participatory methods

Participatory systems mapping and participatory systems theory of change

The object of participatory systems mapping, and participatory theory of change is to enable people (usually in teams of up to 12) to collaboratively construct a causal map of their system of interest (e.g. how a project is planned and implemented). This is done using flip charts or post-its. The map includes factors and their causal connections. Factors can be anything relevant to the programme as long as they can impact on outcomes and impact. Under this framework, the mapping should focus directly on the factors affecting the efficiency and effectiveness of project implementation, and links between this and project outcomes and impacts. A useful approach is to have separate groups of implementers (donors, policy makers and managers) in one group and the target group in another, and to then compare their perceptions of causal maps.

Bottle neck analysis

First developed by the United Nations Children's Fund (UNICEF), the bottle neck approach is a mixed-methods approach used to study the different factors affecting access to service delivery programmes to low-income and vulnerable households. It examines four sets of factors: (1) the organization of service delivery (the supply side), (2) socio-cultural and economic factors affecting the ability and willingness of the target population to access the services, (3) the contextual factors affecting how the program operates, and (4) the use of services by the worst-off groups. Under this framework, bottleneck analysis is used to examine: (1) the efficiency and effectiveness of the service delivery system, (2) the supply-side factors that facilitate or inhibit participation of the target group with emphasis on low-income and vulnerable groups and (3) the contextual factors affecting how the programme operates. All these are combined to measure what proportion of the different sectors of the target population participate in the programme and the quality of services they receive. Table 2 presents a summary of application of the different data collection methods to garner information on the different aspects of the assessment.

4.2.5 Analysis and interpretation of results

This assessment will largely generate qualitative data. For document review, analysis is largely comparing the obtaining situation with the plans and targets. Other qualitative data from KIIs, FGDs and other participatory methods can be analysed thematically.

It is expected that the rating of implementation areas will yield some numerical data. The ratings can be presented in terms of average, mode, quintiles of ratings by different categories of respondents (implementors). The idea is not to arrive at a single score for the assessment area but rather to capture the perspectives of implementers and beneficiaries and widely disseminate the findings. Rating of assessment areas under the framework will follow a scale from 1 to 4 described the Table 2. Please note that the rating does not apply to the programme design. Instead, the respondents should comment on three attributes of the programme design namely, appropriateness of the design, validity of the assumptions, and consideration of the context.

Table 2: Rating assessment areas

Rating	Description of rating
4=Highly satisfactory	This is the highest score that an aspect can be rated. This rating shows that the assessor(s) recognise that substantial effort and progress have been achieved under this area, has limited adverse implications for attainment of programme outcomes and impacts, and is at par with best practices.
3= Satisfactory	This rating shows that the assessor(s) recognise that substantial effort and progress have been achieved under this area with no significant gaps and has limited adverse implications for attainment of programme outcomes and impacts.
2= Substantial	This rating shows that the assessor(s) recognise that substantial effort and progress have been achieved under this area but, there are significant gaps remain and substantial adverse implications for attainment of programme outcomes and impacts exist.
1= Moderate	This is the least score that an area can be rated. It shows that the assessor(s) feels that not much has been done, substantial adverse implications for attainment of programme outcomes and impacts exist, and that the area needs urgent attention.

4.2   Outputs of the assessment

In line with social accountability processes, the assessment framework can produce different outputs for each step as shown in Table 3. At planning stage, concept and inception reports for internal use (consulting with key actors) on the proposed design of the assessment can be produced. At the data collection and report writing phase, sub-national reports can be produced for advocacy at that level followed by a synthesis report for national level advocacy. During dissemination and advocacy, policy briefs and citizen petitions can be generated and used to advocate for specific policy actions while commitments from actors can be recorded in aide-memoires and minutes. Finally, it is expected that monitoring and follow up efforts will be documented in periodic monitoring reports and changes realised captured in ways that convey impact of the assessment. It is important to note that the outputs proposed here are not exhaustive.

Table 3: Outputs of process assessment using the framework

1	2	3	4
Planning	**Data collection & report writing**	**Dissemination & advocacy**	**Monitoring & follow up**
- Concept note - Inception report	- **Sub-national (district) assessment reports** - **Synthesis assessment report**	- **Policy briefs** - **Petitions** - Aide-memoires - Minutes	- Periodic monitoring reports - **Change stories**

*Out puts for dissemination in bold.

4.3   Ethical considerations

The evaluation field recognizes the importance of protecting the rights and dignity of evaluation participants. While there are numerous varied ethical guidelines, they largely address three over-arching issues:

1. **Do no harm** – bringing no harm, such as physical injury and psychological harm (such as damage to reputation, self-esteem, or emotional well-being).
2. **Act fairly** – treating people fairly and without regard to gender, socioeconomic status, and other characteristics.
3. **Respect others** – respecting individuals' rights to act freely and to make their own choices, while protecting the rights of those who may be unable to fully protect themselves.

It is important to note that where incentives for participating in an evaluation exist, benefits can accrue to participants[2]. They are also beneficial if changes made based on evaluation findings result into more positive outcomes for programme beneficiaries. However, there may also be risks that should be carefully considered to ensure that no harm may result from an evaluation and take steps to minimise it. In designing an evaluation, it is important to work to maximize benefits and minimize risks. While the risk may not be eliminated completely, it should be reduced to an acceptable level relative to the potential key ethical issues related to the programme being evaluated. Under this framework, the assessment should reflect the following attributes:

a. **Utility** – Evaluations should address important questions, provide clear and understandable results, and include meaningful recommendations.
b. **Feasibility** – Evaluations should be realistic and practical, so that they can be completed in a time- and cost-efficient manner.
c. **Accuracy** – Information should be collected, analyzed, reported, and interpreted accurately and impartially.

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[2] It is a requirement of many Research Ethics Committees in Uganda that participants are compensated for their time

5.0 Conclusion

This framework presents an approach for assessing implementation of EIPs in Uganda. It is premised on the notion that improving implementation of EIPs will result in improvement of the plight of the poor and other marginalised groups for which such programmes are designed. Current practice emphasises impact evaluation which has limited effects on implementation of the EIPs given that they usually happen at the end. Moreover, there are not many frameworks that can be easily applied to assess implementation of EIPs. It is expected that this framework will contribute to filling this void.

The framework is rooted in social accountability   and   is designed to encourage actors to take action. This is through several strategies namely emphasising participation of actors (implementers) and beneficiaries in the assessment, focusing assessment on areas that are critical for implementation and address key implementation challenges in Uganda i.e. efficacy, quality of M&E, efficiency, compliance and risk management, and deliberate focus on advocating for change. The rating of assessment areas by actors and beneficiaries is largely meant to put context to the perspectives of the assessors (actors and beneficiaries) on implementation of the EIP and not measurement of performance.

Owing to the fact that the framework is change oriented, the timing of its application vis-à-vis the life cycle of the programme is very important. The timing should be strategic enough that is happens early on in implementation of the programme with enough time to make changes that will improve implementation. Finally, it is important to select a manageable scope for the assessment to be able to undertake the assessment in a short time as well as avoid complexity that usually accompanies evaluation of EIPs that are in most cases complex undertakings in themselves. This may mean focusing on specific elements of the EIPs or limiting the breadth of the assessment.

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Appendixes

Appendix I: Inclusive Growth Indicators

INCLUSIVE ECONOMY		
INCLUSIVE ECONOMY *Expand opportunities for more broadly shared prosperity, especially for those facing the greatest barriers to advancing their we/l-being.*	**EQUITABLE**	A. Upward mobility for all.
		B. Reduction of inequality.
		C. Equal access to public goods and ecosystem services.
	PARTICIPATORY	D. People are able to access and participate in markets as workers, consumers, and business owners.
		E. Market transparency and information symmetry.
		F. Widespread technology infrastructure for the betterment of all.
	GROWING	G. Increasing good job and work opportunity
		H. Improving material well-being.
		I. Economic transformation for the betterment of all.
	SUSTAINABLE	J. Social and economic well-being is increasingly sustained over time.
		K. Greater investments in environmental health and reduced natural resource usage.
		L. Decision-making processes incorporate long-term costs.
	STABLE	M. Public and private confidence in the future and ability to predict outcome of economic decisions.
		N. Members of society are able to invest in their future.

Source: Pacetti, E. G. (2016).

Appendix II: Summary of data collection methods applied to the Economic Inclusion Program (EIP) Framework

Areas of focus	Data collection methods		
	Document review	**KIIs with implementers**	**FGD & other Participatory methods (beneficiaries)**
Programme design	Programme impact, outcomes, outputs, activities, assumptions, context, target group, roles of actors at different levels (execution, oversight, community mobilisation, financing, etc.) in implementation of the programme. **Source:** Applicable programme documents.	Appropriateness of the design, how context has changed, validity of the assumptions and how these factors will impact on outputs, outcomes, and impact of the EIP.	Appropriateness of the design, supply-side factors that facilitate or inhibit participation of the target groups with emphasis on low-income and vulnerable groups, contextual factors affecting how the program operates including political economy.
Efficacy	Implementation of activities and outputs against plans and targets over a given time period and capture of level of performance and the factors responsible for performance. **Source:** Programme periodic reports and M&E reports.	Timeliness of implementation of activities, reasons for variations, impact of variations on performance of EIP, and rating of performance on efficacy and reasons.	Verifying activities and outputs over a given time period, factors affecting utilisation of resources (including contextual factors affecting how the program operates), effects of any delays in implementation of activities on outcomes of the EIP and impact.

Areas of focus	Data collection methods		
	Document review	**KIIs with implementers**	**FGD & other Participatory methods (beneficiaries)**
Quality of M&E	Performance indicators and targets for EIP determined, and types of evaluations to be undertaken as identified alongside their methodologies. Undertaking of activities and producing of M&E outputs as laid out in the M&E framework.	Quality of M&E under the EIP at specific levels (indicators & targets, activities, and utilisation of M&E results for implementation), factors affecting quality of M& E, implications of the quality of M&E for achievement	
	Identifying implementation gaps from M&E and making proposals on how these can be filled (interventions). **Source:** Programme M&E framework and M&E reports.	of EIP outputs, outcomes, impact, and rating on quality of M&E.	
Efficiency	Disbursement/flow and utilisation of funds against plans/budgets over a given time period. **Source:** Programme budgets and budget performance reports.	Disbursement/flow and utilisation of funds against plans/budgets over a given time period, reasons for variations, impact of variations on performance of EIP, and rating of performance on efficiency and reasons for rating.	

Areas of focus	Data collection methods		
	Document review	KIIs with implementers	FGD & other Participatory methods (beneficiaries)
Compliance	Commitments to undertake audits and environmental and social safeguards and the level of compliance, and results of the audits and safeguards. **Source:** Programme audit reports and Environment and Social Impact Assessment report (where applicable).	Applicable compliance obligations, fulfilment of compliance obligations and results, and rating of EIP on compliance.	
Risk management	Risk assessment (identification of levels of risk for program outcomes and the sources), risk evaluation (determination of the likelihood of occurrence of the risks their implications for attainment and sustainability of programme outcomes and impact), and risk mitigation (interventions to ameliorate the impact of the risk). **Source:** Programme risk matrix, periodic reports, and M&E reports.	Risks facing the EIP, implications of risks for the EIP achievement of outputs, outcomes, and impact, measures taken to mitigate risks, factors that constrain risk management under the EIP (risk assessment, risk evaluation and risk mitigation), and consensus on rating on risk management.	EIP outcomes at risk and implications for impact from the perspective of beneficiaries.

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About ACODE:

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