



## **REPORT OF THE ASSESSMENT OF THE POLICY CAPACITY OF THE UGANDA PUBLIC SERVICE**

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## CHAPTER ONE

### INTRODUCTION

#### 1.0 Introduction

This chapter provides information on the background of the assessment, problem statement, purpose and scope of the Assessment, objectives, key outputs and the structure of the Assessment Report.

#### 1.1 BACKGROUND TO THE ASSESSMENT

- 1.1.1 Policy making in the Uganda Public Service has improved over the years as a result of implementing a number of reforms to increase its efficiency and ability to deliver services to citizens. Some of the reforms have focused on strengthening the Government's policy capacity by making policy formulation and implementation the focus of Central Government while building the capacity of the local Governments to deliver services; establishment of legal, regulatory and administrative regimes including, establishment of the Local Government Act 1997, review of the Public Service Standing Orders, enactment of the Public Finance and Accountability Act, Decentralized Participatory Planning Process, policy determination, formulation and implementation, regulation, supervision, planning, quality assurance, monitoring and technical support.
- 1.1.2 It is against this background that various policy capacity development initiatives have been undertaken by the Cabinet Secretariat to improve capacity for the formulation, design, coordination and implementation, of Government policy. Key reforms in the policy environment have included the creation and staffing of Policy Analysis Units in Ministries, development of guidelines for policy development such as: A Guide to Policy Development and Management, A Guide to Good Regulation, A Guide to Regulatory Impact Assessment (RIA) and The Cabinet Handbook; conducting policy capacity workshops for the various decision making and technical levels to enhance policy capacity across Government. These initiatives have targeted Cabinet, top, middle level managers and technical personnel in Ministries, Departments and Agencies (MDAs).
- 1.1.3 As a result of these reforms, a number of achievements have been realized such as;
- Raising the profile and centrality of the policy function that was hitherto not seen as a core function of Government;
  - Building capacity within the Cabinet Secretariat leading to better appreciation of its role by Cabinet and the line Ministries;

- Introducing the leadership of the Uganda Public Service to transition planning arrangements for better preparation by the Public Service to support an in-coming Government after an election and the costing of the election commitments of the elected Government;
- Increasing knowledge and skills among Policy Analysts and other cadres as well as developing new perspectives about their role in providing support to Government to enable it achieve its policy agenda.

1.1.4 During a policy capacity development workshop held by the Cabinet Secretariat in 2004, it was recommended that a policy audit and a SWOT Analysis (strengths, weaknesses, opportunities and threats) of existing policy development systems, structures and resources be undertaken to determine the level of capacity of the Uganda Public Service to effectively deliver the policy function.

## 1.2 *Problem Statement*

1.2.1 On the basis of the above recommendation, as well as subsequent emerging challenges that had been identified during the day to day work of the Cabinet Secretariat, including recommendations from on-going policy capacity workshops, sector reviews, political pronouncements and key government policy documents, the Cabinet Secretariat in consultation with the Ministries, commissioned this Policy Capacity Assessment in the Public Service to determine progress made, document best practices, identify gaps and develop appropriate strategies to strengthen policy capacity in the Public Service as part of the process of improving service delivery to the citizens.

1.2.2 Furthermore, the National Development Plan (NDP) 2010-2015, identifies lack of policy capacity not only as a binding constraint but also as a necessary and critical component for the achievement of Government objectives. It states that “...policy implementation is weak in many areas and a number of interventions are constrained by the absence of pre-requisite policies...” It asserts that due to weak policy frameworks, sometimes, “...political directives.... have been contradictory to existing established policy implementation mechanisms which has often compromised faster implementation and the quality of service delivery...” The NDP further defines key constraints to public sector management as: weak policy, legal and regulatory framework and weak policy coordination, planning and budgeting processes. The NDP defines key objectives, strategies and interventions to address the above policy capacity challenges in the Public Service as:

- Establishing a mechanism for translating political direction and decisions into policy and their subsequent effective implementation;
- Institutionalizing regulatory best practices in government;
- Establishing a framework for the effective engagement of the public in the policy making process;
- Strengthening the capacity of civil servants and empowering them to provide evidence based policy advice;
- Aligning on-going policy reforms to the National Development Plan and the National Vision;
- Rationalizing the function of policy coordination in Government; and
- Ensuring that the National Development Plan is the basis for policy making.

1.2.3 In view of the above therefore, the Cabinet Secretariat, in partnership with the Ontario Public Service and the Institute of Public Administration of Canada, undertook a review of the policy capacity, systems, structures and processes to determine the progress made so far and to identify existing gaps to be addressed to strengthen the policy process and strategies for change in line ministries, including policy structure, human and financial resources (including training), tools and processes..

### **1.3 Purpose of the Assessment:**

The purpose of the Policy Capacity Assessment was specifically to determine the progress made in view of the policy reforms that have been implemented, identify best practices, and identify policy capacity gaps that would inform the drafting of a Comprehensive Policy Capacity Development Program to strengthen policy analysis and formulation in MDAs for better service delivery.

### **1.4 Objectives of the Assessment:**

1.4.1 The objective of the assessment was to undertake a policy capacity review in the Uganda Public Service, with particular focus on the Central Coordinating Agencies and Line Ministries through the development of an executive report that would:

- i. Establish a baseline by identifying the:
  - Existing policy development, process and structure, coordination,

- monitoring and evaluation, key areas of responsibilities of central agencies and line ministries,
  - Existing policy, human resource and financial capacities, training opportunities, and gaps within Central Agencies and line ministries; and
  - Existing policy tools (political, legal and administrative) and processes.
- ii. Identify the competencies required for policy development
- iii. Develop appropriate recommendations/framework (structure, human resource and financial capacity (including training) and tools) for strengthening institutional policy capacity in the Central Agencies and line ministries to develop, implement, monitor and evaluate policies.
- iv. Develop and implement a Comprehensive Public Service Policy Capacity Development Plan.

### 1.5. *Scope of the Assessment:*

The Assessment targeted Line Ministries in the Central Government, Ministers, Permanent Secretaries and the Policy Analysis Units where they existed. The Assessment took four months to ensure that all respondents were prepared and accessed to get a comprehensive picture of the policy capacity level in Line Ministries. Specifically, the assessment focused on the following themes:

**1.5.1 The Policy Structure**—these included Government institutions and officials with responsibility for policy functions. It is a set of systems involved in policy formulation and management such as the decision making systems (Top and Senior Management meetings) and the various departments. These are mainly concerned with:

- Defining the national overall priorities;
- Defining the policy agenda;
- Policy coordination;
- Policy decision making mechanism;
- Policy monitoring and evaluation;
- Policy research;
- Policy options;
- Social, economic and fiscal assessments;
- Inter-ministerial and stakeholder consultations; and
- Communications and implementation strategies

- 1.5.2 **Policy Capacity**—this focused on the human and financial resources and the effectiveness of the established systems at the Central Agencies and Line Ministries to perform the policy function, and the availability and existence of policy training.
- 1.5.3 **Policy Tools and Process**—this looked at the political, administrative and procedural processes with particular concern on activities in the governance process (e.g. Government meetings, inter-ministerial consultations, policy committees etcetera) and documents used to guide the policy system (e.g. strategic and annual planning and budgeting tools and methodologies, Cabinet decision-making guidelines). The objective being to establish the extent to which due process was or was not, part and parcel of the policy development and decision-making within Government.

## 1.6 **Key outputs:**

### 1.6.1 ***The anticipated outputs of the assessment include:***

- i. A clear baseline data regarding present capacity of the Public Service to design and implement effective policies;
- ii. Literature on identified international Best Practices in policy structure, human and financial resources (including training) and tools for possible replication in the Ugandan context;
- iii. A report of the current policy structure, human and financial resources (including training), tools and processes in the Government of Uganda;
- iv. Recommendations for changes/enhancements to the policy structure, human and financial resources (including training opportunities), tools, process and implementation plan;
- v. A comprehensive Public Service Policy Capacity Development Plan.

## 1.7 **Structure of the Assessment Report**

- 1.7.1 The Assessment Report is presented in five chapters. Chapter One is an introduction that gives an overview of the background to the review, problem statement, the purpose, objectives, scope and structure of the report. Chapter Two presents the comparative analysis of relevant international best practices in policy development and the Ontario Public Service experiences, tools and systems that the Uganda Public Service could learn from and appropriately adopt to strengthen its own policy development systems. Chapter Three covers the methodology used in the study. It includes: study area, research tools, study population and data analysis. Chapter Four presents the data analysis, discussion and interpretation and Chapter Five presents emerging issues, proposed recommendations and Chapter Six is the conclusion.



## CHAPTER TWO

### METHODOLOGY

#### 2.0 Introduction

This chapter presents the assessment design, assessment procedure, data analysis and presentation. The chapter aims at providing information on how data was collected, analyzed and reported

- 2.1.1 The Assessment was conducted in two parts that were undertaken concurrently; part one was a study of relevant international best practice for the policy profession, this part of the exercise was undertaken by the Ontario Public Service Assessment Team. The second part of the exercise was administering a questionnaire to selected respondents on the policy process in the Uganda Public Service.
- 2.1.2 A questionnaire was designed to capture the relevant information; from which an interview guide was developed to help triangulate the responses to ensure consistency and accuracy of data. The respondents comprised Ministers, Permanent Secretaries and Policy Analysis Units. A detailed list of the Ministries and Agencies was compiled to guide the administration of the questionnaire and interviews. The detailed questionnaire was self-administered by Policy Analysis Units (Policy and Planning Departments/Units or relevant Departments responsible for Policy Development) while the guided interviews were administered through physical visits to the institutions. The filled questionnaires and interview scripts were later compiled, collated and analyzed.

Specifically;

#### The Uganda Assessment Team;

- Identified key Government of Uganda documents to be used for the Assessment,
- Identified key Central Agencies and line Ministries involved in the policy process and their officials to participate in the review,
- Developed the initial draft questionnaire and interview guides,
- Interviewed key respondents.

#### The Ontario Public Service (OPS) Assessment Team:

The Ontario Public Service Assessment Team

- Reviewed key Government of Uganda documents as part of the comparative study and identified international and relevant best practices in policy development;
- Conducted an inter-jurisdictional scan and shared knowledge/expertise, experience and best practice documentation with the Uganda team, including the Ontario Public Services approach to policy development, coordination, monitoring and evaluation;
- Provided strategic guidance on the delivery of the review to ensure that the objectives were consistent with the goal of strengthening policy capacity in the Uganda Public Service.

The Institute of Public Administration of Canada (IPAC) Team:

- Reviewed key Government of Uganda documents provided by Uganda Assessment Team;
- Reviewed the questionnaire to ensure that it was consistent with the Best Practices of the Policy Making Process.
- Provided financial and logistical support for the assessment exercise and partnership objectives.

## **2.2 Data processing and presentation:**

- 2.2.1 This involved data editing, sorting, analysis and presentation. This was done by the Assessment Team that participated in the data collection process. Since the assessment was largely qualitative, the presentation of the report is in a narrative form and tables to organize the information for ease of understanding and generating meaning from the data collected.

## **2.3 Limitations of the exercise:**

- 2.3.1 The Assessment did have limitations that impacted on the quality of the data collected, the type of analysis adopted and the time required to effectively undertake the exercise. As a result, it is noted that not all the anticipated responses were obtained during the exercise since not all respondents were reached while others were nonresponsive. Due to these limitations, the findings generated were validated through a wider stakeholder engagement process that targeted Permanent Secretaries, Directors, Under Secretaries,

Commissioners, Policy Analysts and other technical officers relevant to the process . Specifically the assessment experienced the following limitations:

- i. During the course of the exercise the team was not able to secure appointments to interview most of the Ministers within the specified period. This culminated into time overruns for administering the questionnaire and conducting the interviews;
- ii. Slow response by the targeted respondents with some, eventually failing to submit their responses;
- iii. The timing of the assessment in view of other important Government activities such as Sector reviews, Retreat on Government Performance, budgeting and planning process which were in conflict with the appointments that were drawn with the key respondents;
- iv. Appointment of Ministers who were unfamiliar with Government processes and so could not adequately provide responses to the questions raised during the assessment.

## CHAPTER THREE

### COMPARATIVE ANALYSIS – SURVEY OF INTERNATIONAL BEST PRACTICES

#### 3.0 Introduction

- 3.1 This chapter includes a selective review of experiences in international jurisdictions and best practices in policy making.
- 3.2 Modern public services across the world are grappling with the kinds of issues facing the Uganda Public Service. Developing integrated political agendas and aligning the resources of the public service to support them is a challenge in all jurisdictions. Creating organizational capacity for good policy development is an ongoing issue everywhere and all the more challenging as policy problems are increasingly complex, requiring horizontal mechanisms and integrated activities at odds with traditional hierarchical government structures. Stakeholders and citizens have heightened expectations for involvement in the development of government policy and in the provision of public services. All jurisdictions recognize the need for new ways of ensuring that their policy initiatives are properly implemented to benefit citizens in the way they were intended.
- 3.3 This Chapter will examine a number of key themes raised by the Report on the Assessment of the Policy Capacity of the Uganda Public Service, drawing on the experience of the Ontario Public Service and a survey of selected public administration literature.

#### 3.4 Horizontal Policy Making

- 3.4.1 **Introduction:** The Guide to Policy Development & Management in Uganda (July 2009) identifies a joined-up approach as a feature of good policy making. Among its benefits are the perceived ability to look beyond institutional boundaries and set cross –cutting objectives. This description is consistent with the international research reviewed for this paper.
- 3.4.2 Indeed, while modern public services grapple with many of the same public policy issues, they have attempted to use a variety of public administration tools to strengthen the policy development process – including joined-up policy making. This form of policy making is also referred to as “horizontal policy making” or “key cross-government strategies”. This approach is an especially powerful tool in effectively addressing multi-faceted, “wicked”, social and economic problems.

3.4.3 However, it should also be noted that the emergence of horizontal policy making was in some jurisdictions a response to the disaggregation of government under New Public Management. That is, in some jurisdictions, the expansion of agencies under NPM eventually caused governments to re-evaluate their approach to policy making and strengthen their efforts at coordinating policy development (Hallian, Buick and O’Flynn). While agencification may be absent from the Uganda context, there are clear consequences of the decentralization exercise that suggest there could be benefits to a horizontal approach to policy making.

### **3.5. Canadian Approaches to Horizontal Policy Making**

3.5.1 In the Canadian experience, approaches to managing horizontal policy-making have largely been built around a results-based framework. A key feature has been the leadership provided by cabinet committees or sub-committees in focusing and sustaining the energies and resources of the bureaucracy. The Canadian experience has also benefited greatly from accompanying emphasis on citizen engagement and consultations with key non-governmental stakeholders. (Scholar Series – Managing Complexity: The Lessons of Horizontal Policy Making in the Provinces, 2004).

3.5.2 At the sub-national level, the Province of Saskatchewan was an early proponent of horizontal approaches to policy making. The approach has been used to develop initiatives that address the needs of First Nations (ie. Aboriginal) Peoples and to develop an early childcare development strategy. One of the key observations from early adoption of horizontal approaches to policy making was the need for sustained central agency and political commitment to the initiative, such that the bureaucracy did not revert back to a “silo” mentality.

3.5.3 Another early adopter of horizontal approaches to policy making is the Province of Alberta. Once again, the need to overcome departmental “silos” and link the agendas of government ministries into a government-wide business plan was a key objective of the process. An interesting feature of Alberta’s approach is the linking of deputy ministers’ performance pay to their contribution in achieving the objectives of the government’s horizontal initiatives. The evaluation of each deputy minister’s contribution is, in part, determined by feedback from central agencies. Particularly instructive for Uganda might be the approach taken by the Province of Newfoundland and Labrador, which has been recognized as one of the most ambitious in the Canadian context.

3.5.4 In the late 1990s, after three years of public consultations, the government released a comprehensive strategic plan for the province with key objectives relating to economic sustainability and the well-being of communities and people, all underpinned by an integrated and evidence-based policy development and monitoring framework. The

strategic plan, *People, Partners and Prosperity*, made explicit the need for better cooperation between government departments and community groups to achieve the objectives of the strategy. Underpinning the province's commitment to the strategy, was direction from the Premier that the Social Policy Committee of Cabinet, the Ministry of Finance and the President of the Treasury Board, and the Chair of the Cabinet Committee on Rural Revitalization collectively ensure that the approaches to achieve the strategy's objectives were fully integrated into the business of government. A special-purpose council was also appointed by the Premier to provide ongoing advice from outside government.

- 3.6.1 Two Lessons from Ontario's *Places to Grow* Initiative:** *Places to Grow* is the Ontario government's program to plan for growth and development in a way that supports economic prosperity, protects the environment and helps communities achieve a high quality of life across the province. Through *Places to Grow*, regional growth plans are developed to guide government investments and policies. There are currently two growth plans in effect: Growth Plan for the Greater Golden Horseshoe and the Growth Plan for Northern Ontario. The development of each of the growth plans offers different lessons in the effective use of horizontal policy making approaches to achieving complex social and economic objectives.
- 3.6.2 The Growth Plan for the Greater Golden Horseshoe was released on June 16, 2006. It is a 25-year plan that aims to revitalize downtowns; create complete communities that offer more options for living, working, learning, shopping and playing; provide housing options to meet the needs of people at any age; curb sprawl and protect farmland and green spaces; and, reduce traffic gridlock by improving access to a greater range of transportation options.
- 3.6.3 The development of the Growth Plan for the Greater Golden Horseshoe was one of Ontario's highest-profile attempts at horizontal policy making. The initiative was launched in 2001 with public consultations on the government's vision for sustainable development in the area around Ontario's capital city of Toronto (i.e. the Greater Golden Horseshoe). The consultations were supported by a Secretariat (Smart Growth Secretariat) initially housed within the ministry responsible for municipal affairs, before being re-housed in the ministry responsible for infrastructure planning. In addition to supporting the five regional public consultations, which were each lead by prominent municipal officials, the Secretariat coordinated the activities of 10 government departments and agencies.
- 3.6.4 The Growth Plan for Northern Ontario, 2011, is a 25-year plan that was released on March 4, 2011. The Plan guides provincial decision-making and investment now and in the future and aims to strengthen the economy of the North by: diversifying the region's traditional resource-based industries; stimulating new investment and entrepreneurship; and,

nurturing new and emerging sectors with high growth potential. The Plan's policies are built upon six themes that each contributes to the region's long-term sustainability and prosperity: Economy, People, Communities, Aboriginal Peoples, Infrastructure and Environment.

- 3.6.5 Development of the Growth Plan for Northern Ontario went through a comprehensive consultation, with both internal and external stakeholders. Beginning in 2008, 180 meetings and workshops were held in 45 rural and First Nation (i.e. aboriginal) communities. More than 2,400 citizens contributed to the development of the proposed plan, which was released in late 2009. Additionally, more than 1,400 citizens then provided input into the proposed plan, before the final plan was released in early 2011. Throughout its development, the importance of cross-ministerial reviews, at the deputy minister, assistant deputy minister, director and staff levels, was critical to the completion of such a far-reaching policy document.
- 3.6.6 The Secretariat (now the Ontario Growth Secretariat), having survived several changes in government administrations and ministry reorganizations, continues to champion approaches to horizontal policy making which integrates land-use planning, infrastructure planning and environmental planning. The assistant deputy minister of the Secretariat, along with the policy director, lead important cross-ministry committees which coordinate multi-ministry responses. In addition, the deputy minister responsible for infrastructure planning has traditionally co-chaired the deputy minister-level committee that over-see this and related initiatives, and reports directly to the secretary of cabinet.
- 3.6.7 Finally, it should be noted that the Ontario experience in implementing the *Places to Grow* initiative has benefited greatly from championing at the ministerial level. The development of the Growth Plan for the Greater Golden Horseshoe, in particular, benefited from being housed in a ministry which also had central agency responsibility for provincial infrastructure planning. This allowed for the focusing of political and financial resources on ensuring that bureaucratic and ministerial actors remained focused on the government-wide objectives, and not solely on the those objectives emanating from individual ministry mandates. The importance of political championing in the development of the Growth Plan for Northern Ontario is still being evaluated. Although the current economic conditions have precluded significant investments to support the Plan, it is also likely that there has been less political consensus in determining which investments would best support implementation.

### 3.7. Other Lessons from the International Community

- 3.7.1 United Kingdom: The principles of “joined-up government” was a cornerstone of Tony Blair’s first-term New Labour government (1997-2001), envisioned as a means by which to ensure that policy making was more strategic and connected. The ability to align actions with specific policy goals across distinct ministry or department boundaries was viewed as being of primary importance to a modern government dealing with so-called “wicked issues”. Wicked issues were said to require non-linear thinking across organizational or traditional boundaries, say between the public service and the public itself. This was tied to the modernizing government mandate also brought forward by the New Labour government.
- 3.7.2 In the UK experience, the central departments of the Treasury and the Cabinet Office played a coordinating role in promoting and ensuring the delivery of joined-up government initiatives. Cabinet Office developed a number of reports via their Performance and Innovation Unit that focused on enabling the kind of environment within which joined-up activities would flourish, including budgetary and staff requirements, as well as a series of best practices and staff learning opportunities. The Treasury was more involved in the promotion of joined-up processes through the Public Services Agreements identification of each department’s priorities, and advising on productivity improvements through the Public Services Productivity Panel.
- 3.7.3 Activities that were identified as being part of the joined-up initiative included developing shared or combined objectives or policy indicators, information-sharing endeavors, joint working groups or teams, merging structures or budgets, consultation activities, etc. There was a focus on partnerships between two or more organizations, and seeking to ensure that value for money was achieved through coordination of efforts and combined delivery of services. The partnerships could be between departments, or could include private or public participation. Policy areas that were specifically targeted for partnership work were health, education, and urban issues.
- 3.7.4 It is important to note that with the arrival of the second and third terms of Labour governments in the UK, the focus shifted from ensuring the interconnectedness of policymaking to modernization of government, along with effective and efficient service provision. Further, with the Conservative/Liberal Democrat coalition government that is currently in place at this time of economic disturbance both in the UK and across Europe, the emphasis on public sector reform through changes/adaptations in processes and structures has instead become a discussion about how to do more with less.



3.7.5 Australia: In 2004, the Management Advisory Committee of the Australian Public Service released a report entitled “Connecting Government: Whole of Government (WOG) Responses to Australia’s Priority Challenges” in response to uncoordinated and fragmented operations stemming from new public management reforms. This report was followed by the 2005 release of “Working Together: Principles and Practices to Guide the Australian Public Service.” To quote the 2004 report, the approach meant:

*“Whole-of-government denotes public service agencies working across portfolio boundaries to achieve a shared goal and an integrated government response to particular issues. Approaches can be formal and informal. They can focus on policy development, program management and service delivery”<sup>1</sup>*

3.7.6 The Australian WOG approach reinforces the role of Cabinet in ensuring the correct environment and management structure is in place to enable horizontal policy making. A Cabinet Implementation Unit (CIU) was set up in order to improve implementation of multi-agency initiatives, by bringing implementation issues into the development of policy. In addition, the WOG approach also recommended focusing on inter-departmental cooperation and integration, with an emphasis placed on coordination starting at the top of the organizational structure. Collaboration in each step of the policy development process was considered necessary in order to “maximize the contributions” of the partnerships.

3.7.7 South Africa: On January 1, 2011, the South African government established the Department of Performance Monitoring and Evaluation (DPME) in order to establish long-term planning, inter-departmental coordination and policy integration, and the realization of service delivery objectives via a strong “sectoral” focus requiring a high level of horizontal coordination. Cabinet met in January 2010 to develop twelve outcomes, which the government is now working toward delivering. These twelve outcomes are the focus of performance monitoring and evaluation activities in South Africa.

3.7.8 The two key mandates (DPME has six in total) for horizontal policy development are: facilitating the development of plans for the cross-cutting priorities or outcomes of government, and monitoring and evaluating the implementation of these plans; and monitoring the performance of individual national and provincial government departments and municipalities. Tools to achieve these mandates include implementation forums, delivery agreements, the Program of Action system, and the Management Performance Assessment Tool. The basis of these mandates is in an outcomes approach, with clear priorities, planning strategies, defined work plans, as well as monitoring and evaluation

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<sup>1</sup><http://www.apsc.gov.au/publications-and-media/archive/publications-archive/connecting-government>

processes to enhance accountability and learning. The implementation forums are designed as a mechanism by which to negotiate delivery agreements on specific policies and to coordinate implementation inter-departmentally. There is also an expectation that other levels of government (including local government) will participate in these implementation forums.

- 3.7.9 The Program of Action (PoA) system tracks and monitors progress made on delivery agreements. In this case, delivery agreements “refine and provide more detail to the outputs, targets, indicators and key activities for each outcome, and identify required inputs and clarify roles and responsibilities.” PoA reporting is done through tracking progress made on key indicators and targets for outputs and activities. The information in the system is updated quarterly and is communicated in public reports. In 2010, the President and all Cabinet Ministers signed performance agreements regarding specific cross-cutting policy areas and desired outcomes. Ministers were asked to establish and participate in implementation forums for each of the outcomes where delivery agreements were developed. Monitoring and implementation of this program is ongoing.
- 3.7.10 Singapore: The government of Singapore has instituted a whole-of-government strategy for ensuring that cross-agency issues are addressed through a cohesive policy-and-decision-making structure. While each agency is held responsible for the work that falls clearly within its mandate, cross-cutting issues and policies are addressed as a “networked government”.
- 3.7.11 Per Singapore’s Civil Service College, Singapore’s Whole-of-Government approach, in which government priorities and strategic outcomes are clearly defined, enables ministries/agencies to develop their own scorecards that align strategic outcomes with delivery. Each ministry issues a report card each year that reports on performance, with no more than ten key performance indicators per ministry in order to “preserve their clarity and focus”. These show achievement as compared to the target for the year, and also include the next year’s target, as well as a 5-year target. Use of resources, both financial and human, is also included in the ministry report cards. The key performance indicators are also published in the Budget Book for the fiscal year, which provides transparency to the process. Ministries worked together to confirm whole-of-government outcomes along with suitable indicators to track progress towards achieving them, and the Ministry of Finance (acting in its capacity as a central agency) compiled the Singapore Public Sector Outcomes Review<sup>2</sup>.

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[http://app.mof.gov.sg/data/cmsresource/SPOR/Main/Singapore%20Public%20Sector%20Outcomes%20Review%20\(SPOR\).pdf](http://app.mof.gov.sg/data/cmsresource/SPOR/Main/Singapore%20Public%20Sector%20Outcomes%20Review%20(SPOR).pdf)

### 3.8. Considerations for the Ugandan Context

- 3.8.1 Ontario's approach to policy making, generally, and to horizontal policy making, specifically, has evolved over time. Discussions with senior Ontario officials (current and retired) reveal the favoring of instrumentalism over transformation, and an emphasis on developing the policy capacity within key ministries over investments in policy coordination at the centre of government. Senior Ontario officials also emphasize the importance of key political (i.e. ministers) and institutional (i.e. senior political advisors) champions in securing the resources and political consensus necessary to address complex public policy issues. On balance, the advice is to proceed slowly and cautiously, using pilot approaches where possible. Knowing in advance which institutional actors are most likely to support cross-government approaches to policy making, especially from the central agencies, is a key consideration. (Interviews with Wallace and Fenn)
- 3.8.2 Decentralization in Uganda has been a gradual process with responsibilities being devolved from the centre to local bodies. The central government has retained most responsibilities normally associated with senior levels of government (e.g. national security, planning, immigration, foreign affairs, etc.). However, many functions have been devolved to local institutions. The Ugandan approach to decentralization also applies the principle of non-subordination of local institutions to central institutions, on matters that have been devolved.
- 3.8.3 This poses some specific challenges for Uganda in applying horizontal approaches to policy making. No longer is the challenge simply coordinating the resources and objectives of competing ministries. In the context of Uganda's approach to decentralization, the interests of local institutions must also be considered. (National Council on Applied Economic Research, 2010).
- 3.8.4 The role of local institutions in horizontal policy making also needs to be seen from the perspective of implementation planning. As noted elsewhere in this paper, implementation considerations need to be present at all stages of the policy process, from the early stages of issue identification and options development to the final stages of roll-out, review, and correction. Consideration of the role of local institutions can, no doubt, make horizontal policy making more complex.
- 3.8.5 Ontario's attempts at giving local (municipal) authorities a place at the policy making table have had mixed success. Although local decision-makers have been key to the development and implementation of programs such as the *Places to Grow* initiative, there was no institutional forum with representation from local authorities that ultimately approved the initiative, or directed provincial resources towards its implementation. The only institutional forum with representation from local authorities (Association of Municipalities

of Ontario, Memorandum of Understanding Table) operates only in an advisory capacity, although it is entitled to review provincial initiatives before they are announced.

3.8.6 Finally, the presence of the National Development Plan in identifying Uganda's national priorities, along with the role of the Ministry of Finance in allocating funding towards the achievement of those priorities, cannot be understated. The complexity of many of the NDP's objectives naturally lend themselves to a horizontal approach to policy making. However, it would be impractical to direct a substantial part of the government's policy capacity to using a horizontal approach to implement the NDP. Nevertheless, it might be useful to triage those NDP objectives that lend themselves better to a horizontal approach and then consider setting up the appropriate institutional and budgetary framework necessary to guiding the policy development and implementation planning necessary to achieve those objectives.

### 3.9. Policy Implementation

**3.9.1. Introduction:** All commentators on public policy agree that Implementation considerations need to be present at all stages of the policy process, from the early stages of issue identification and options development to the final stages of roll-out, review, and correction.

**3.9.2 Addressing Implementation as part of policy development:** A number of jurisdictions have identified gaps in their capacity to implement policy initiatives and obtain the results that were originally intended. Explicitly addressing implementation issues at all stages of the policy development process can reduce this gap.

3.9.3 Good practices in the policy development stage include:

- Ensuring stakeholders are included in the development of the policy initiative. Mechanisms for stakeholder involvement may vary, but can include sector tables (like Uganda, Ontario, and many other jurisdictions), local roundtables, and regional stakeholder councils. In addition, including front line service deliverers in the development of the policy proposal increases the likelihood of successful implementation of the proposal. The establishment of communities of practice within government can serve to break down silos between policy and operations, providing better information from the front line deliverers when a policy initiative is being considered, and improving implementation once the policy direction is decided. . Some jurisdictions are experimenting with innovative mechanisms based on systems design and psychology to engage citizens in developing programs and services, for example Mindlab (Denmark), Helsinki Design Lab (Finland), IDEO and IDEO.org (United States), Participle (U.K); InWithFor (Australia).

- Including an explicit assessment of implementation readiness as a specific part of the documentation for government decision-making. For example, Ontario modified its cabinet submission template to include a section on implementation readiness and the inclusion of a specific implementation plan; a review of Zambia's public service capacity indicated that a realistic assessment of implementation capacity at an early stage of policy development led to a more realistic schedule and design and better risk management. Australia has detailed checklists for senior officials to assist in assessing and advising on risk, developing contingency plans, and assessing the amount of time needed for successful implementation. The Australian government requires proposals to include an implementation "map" including timeframe, phases of implementation, roles and responsibilities, and resourcing. The Australian guide notes that "a level of management, experience, and skills commensurate with the sensitivity, significance, and impact of initiatives should be applied to the development of implementation planning. It is important to avoid the impression that this is a low level technical task."
- Identifying appropriate performance measures as part of the decision-making process allows the government to assess whether its policy has the intended impact and committing time and resources to gather information will allow for the assessment of the impact of the initiative.
- Explicitly focusing on the implementation gap and developing training and other supports to improve capacity. Many public services have explicitly surfaced implementation as a significant gap; some have developed best practice and other guides. One excellent example was developed by the Government of Australia "Implementation of Policy and Programme Initiatives – Making Implementation Matter" by the Department of the Prime Minister and Cabinet, 2006. The Guide includes how to ensure implementation is considered at all stages of the process, and includes checklists for senior officials. Leaders in the Ontario Public Service also launched the "Polivery" initiative, citing the need for "better connections between those who design policy and those who deliver it on the front line or those whom the policy is meant to serve. The risk of a mismatch between idea and delivery is little or no progress or unintended results." In addition to guides, many jurisdictions offer training for policy professionals to develop their ability to plan and participate in successful policy implementation.
- As responsibility for implementation can be complex, clarity regarding roles and responsibilities is essential. It is also important to ensure that members of the team responsible for implementing a policy have sufficient authority to act.

- The literature on implementation best practices suggests that risk can be better managed when an initiative is implemented in phases, thus allowing for frequent feedback, learning from experience, and quick correction. The importance of frequent reviews throughout the implementation process is also noted. Many jurisdictions use pilot projects to test a variety of ways of implementing an initiative, and to allow problems to be addressed.
- Data systems need to be established, with sufficient resources, to obtain robust data and evidence on desired outcomes and effectiveness.
- Not only do front-line workers need to be involved in the early development stages of a policy initiative but it is crucial that they be engaged and empowered as implementation takes place, and be full partners in providing feedback and suggestions for improvements.

**3.9.4 Structural approaches to addressing the implementation gap:** There is variety in the structures governments have created to drive implementation. The Blair government in the U.K. devoted significant resources to central mechanisms to monitor and improve implementation and delivery. It established a permanent delivery unit connected to the Prime Minister. The unit was responsible for developing a short list of political priorities associated with the Prime Minister and maintaining a clear focus on those key priorities. The Prime Minister and the Cabinet Secretary were involved in monitoring the progress on these issues. Ministry-level delivery units were also created. Public Service Agreements detailing Ministry-level delivery commitments were also developed, reinforcing senior officials' accountability for outcomes. The subsequent government of Prime Minister Cameron disbanded the Prime Minister's Delivery Unit, but created an Implementation Unit in the Cabinet Office with similar functions.

**3.9.5** Many Commonwealth jurisdictions followed the British example. The Ontario government instituted a somewhat similar approach on certain key issues, creating Results-Based Teams, comprised of the Premier, Ministers, senior political staff, experts, and stakeholders. The teams are particularly useful for addressing cross-cutting issues, where no one Ministry or agency has complete responsibility or ability to implement the changes. By naming the issue and assigning resources, central authorities can create inter-departmental cooperation and provide for a more sophisticated and multi-level approach.

**3.9.6** In the U.K., Ministries also were subject to capacity reviews led by Cabinet Office that focused on leadership, strategy and delivery. In Ontario, a continuous improvement model has been launched to review all aspects of the policy process, including implementation, with Ministries undertaking self-assessments with support from central agencies.

The use of performance management tools can also reinforce the importance of implementation results and can serve as an incentive to focus on results.

### **3.10 Considerations for the Ugandan Context**

- 3.10.1 In the Ugandan context, there are a number of initiatives that could be considered to improve policy implementation. These could include requiring standardized implementation plans, performance measures and plans for gathering and evaluating data on results as part of the cabinet submission process. Creating the organizational capacity to monitor the results of government initiatives, whether internally within departments, at the centre of government, or externally (or a combination) will be key to actually implementing the government's agenda.

### **3.11 Decision Making Processes and Structures**

- 3.11.1 **Introduction:** A critical element of any policy development process is the decision-making framework, namely the processes that a government establishes and the structures it creates to achieve its policy agenda. Government decision-making is an intriguing area in public administration ranging from decision-making models to role of key actors to issues of accountability. There is a considerable body of literature on the broader subject but limited comparative literature of decision-making structures in different jurisdictions. The decision-making framework varies from government to government depending on multiple factors – parliamentary/presidential models, regional structure, the electoral mandate, the external environment and the leadership/management style of the head of the government, be it a President, Prime Minister or Premier. This section presents some best practices from Ontario and other jurisdictions on decision-making processes and structures with a view to assisting the Ugandan government in enhancing the effectiveness of its policy making process and in achieving the desired outcomes of its citizens.

- 3.11.2 **Government's Agenda and the External Environment:** Today, governments around the world face an environment that is fast-paced, rapidly changing fiercely competitive, technology driven and high public expectations. This environment means governments need to deal with complex issues (sometimes referred to as “wicked” policy issues) and sophisticated stakeholders and there is tremendous pressure to get it right the first time.

- 3.11.3 The decision-making process and structures that a government establishes to deliver on its mandate are largely influenced by some key drivers. These may include perceptions about the appropriate size of government, and fiscal, economic or social considerations and global factors. For example, the existence of a large deficit will likely result in fiscal sustainability being a top priority of the government. On the other hand, years of restraint

that have diminished public services could compel a new government to focus on restoring critical public services. The dominance of pressing economic, social and environmental issues could also impact the nature of decision-making processes and structures established to achieve specific results.

- 3.11.4 The global economic recession and the continued instability have prompted many governments to institute specific structures to ensure fiscal prudence while ensuring key economic and social programs are delivered to achieve economic growth and the protection of the most vulnerable in society. Similarly, there is increased emphasis on linking policy development with the government's fiscal framework.

### **3.12 *Decision-making process***

- 2.12.1 In order to achieve desired policy outcomes, the government needs to establish well defined policy process. There are various models for policy making starting from the early stages of issue identification to the final stages of monitoring and evaluation. Appendix 1 provides an overview of Ontario's policy process and as such is more of a macro model. This process has five distinct stages – from setting the policy agenda to policy development to policy review to policy approval and implementation.
- 3.12.3 The first phase of Setting of the Policy Agenda is a critical phase in the policy process given that it is at this phase that the government sets strategic priorities. The key priorities are largely derived from the government's electoral platform document. Often, the Premier's Office will organize a retreat to discuss the priorities and to consider them in the context of the government's fiscal situation. These priorities are then reinforced in Throne Speeches, Budget documents and other key documents of the government (Progress Reports) to the public. Internally, these are usually communicated by the Premier's Office and Cabinet Office to all line ministries via mandate letters or other instruments. Once the priorities are established and there is a extensive process of coordination between central agencies and line ministries on the timing of these items for Cabinet consideration. This will depend on a series of factors including, political, economic, social and legal.
- 3.12.4 The second phase of policy development has been discussed in other parts of this chapter which will not be elaborated upon here except to highlight two salient developments. Given the growth of external research capacity, the sophistication of stakeholders and the need for evidence-based policy, the Ontario government like many other governments is seeking and relying more and more on external advice. The complexity of today's policy environment suggests that almost all policies have a multi-dimension meaning they are "horizontal" in nature and straddle several sectors and portfolios. Hence, those leading policy initiatives need to provide the most comprehensive and integrated information on a specific issue in order to give the best advice to decision-makers.



3.12.5 The third, fourth and fifth stages of the process consist of the review and approval of the policy initiative by senior decision makers namely Cabinet and Cabinet Committees. In order for Cabinet members to make good policy decisions, they need excellent briefing notes or précis of the policy submissions which include rigorous analysis and sound recommendations. In order to have high quality materials, a consistent approach to document preparation (templates for Cabinet submissions) is required and a strict discipline to ensure timelines are adhered to. A close working relationship between the line ministries and central agencies is critical at this stage.

### **3.13 Decision-making Structure**

An effective decision-making structure supports an executive governance by:

- (1) creating a mechanism for setting and achieving the strategic agenda
- (2) coordinating policy, financial and communications decision-making
- (3) ensuring items are properly scrutinized and appropriate information is provided to support decisions
- (4) providing a clear process for approving items
- (5) setting and maintaining a style of governance

3.13.1 In Ontario, the Cabinet decision-making structure is the prerogative of the Premier and represents the most formal part of political decision-making. At the core is Cabinet (sometimes referred to as Executive Council) with its members appointed by the Premier. Cabinet provides the Premier with advice and helps the government set its strategic agenda, respond to emerging issues and maintain its style of governance. Cabinet is rooted in the principle of collective decision-making. This means ministers are responsible for their assigned files and portfolios but they must support Cabinet solidarity and are collectively responsible for government policy.

3.13.2 The size of Cabinet can vary from government to government with certain administrations preferring smaller group of ministers while others tend to be bigger suggesting greater inclusiveness. The composition of Cabinet is often a mix of several factors including regional representation, ethnic and gender diversity, expertise and experience of individuals.

3.13.3 In addition to Cabinet, another key element of the Cabinet decision-making structure is the Cabinet Committees. Cabinet committees may be established by legislation or at the direction of the Premier or Cabinet. The design of the Cabinet committee structure is based on the following elements: role of the Premier, balance of accountability, structural complexity, ministerial involvement and membership.

- 3.13.4 While the structure of Cabinet Committees varies from government to government, typically the structure includes at least three key Committees – Priorities and Planning Board (which sets the strategic agenda), Treasury Board and Management Board (to manage resource allocations and government operations) and Legislation and Regulation Committee (to manage legislative and regulatory items). In addition, the government may have several economic, social and justice committees. The government also may introduce special ad-hoc committees to address specific issues like infrastructure, poverty, or privatization.
- 3.13.5 Despite the history and convention of a Cabinet decision-making structure, some governments will adopt a more exclusive approach to decision-making involving a few actors from central agencies and sometimes external advisors. Equally important to the decision-making process are the bureaucratic structures which include inter-department/ministerial committees of senior officials as well as central agency committees which provide direction and oversight.
- 3.13.6 External advisors have become much more prominent in the government decision-making process today than in the past. In Ontario, such advisors are sometimes retained by the government to lead major priorities or become advisors to the Minister of Finance and the Premier during budget preparation or even to participate in the Premier's Results Tables.

### **3.14 *Considerations for the Ugandan Context***

- 3.14.1 It is generally acknowledged that Uganda's policy development process has evolved considerably in recent years. There is a clear understanding that the "role of the central government is policy determination, formulation and implementation while responsibility for service delivery was devolved to local governments." An assessment of Uganda's policy capacity revealed that "to support policy development and implementation in the Ministries, Departments and Agencies a broad range of structures were in place and were being utilized...effectiveness of decision-making structures and processes not critically assessed but mixed ... lack of regular meetings on policy issues". Furthermore, it was highlighted that the current system was characterized by "multiple, disjointed and weak policy and decision-making structures".
- 3.14.2 Given some of the best practices outlined above, the government of Uganda and its Cabinet Secretariat office will want to consider the following recommendations:
1. Develop a clear well-defined policy cycle that sets out a simple framework for decision-making processes and structures within the executive and bureaucratic arenas

2. The decision-making framework must reflect the policy environment and the government's agenda.
3. The decision-making process must have a disciplined approach related to the review policy submissions (templates, analytics, timeframes, performance indicators and reporting mechanisms) and that must be consistently applied and effectively communicated.
4. Decision-making processes and structures need to be integrated – policy, fiscal and communications

### **3.15 Building Policy Capacity**

- 3.15.1 Because the policy function is central to modern public administration, various jurisdictions are attempting to improve the policy capacity of their institutions and public servants. This section will briefly explore some initiatives in the areas of building policy capacity – defining policy competencies and training and education, leadership, and government structures and processes that improve policy capacity.

### **3.16 Policy Competencies - Training and Education**

- 3.16 As governments try to clarify their expectations regarding the policy function and build the capacity of their workforce, they increasingly are using competency frameworks to describe key behaviours and actions, and to provide training and education opportunities to develop them. Commentators note the importance of including public service values as part of the competencies. In general, the frameworks address individual skills, but some jurisdictions also use them to assess and improve departmental and center of government policy capacity.
- 3.16.2 Ontario: In Ontario, Cabinet Office's Policy Innovation and Leadership (PIL) group has a broad mandate to build policy capacity and to support the provision of high-quality, professional advice to decision makers. Since 2000, PIL has worked collaboratively with the policy community and with the Centre for Leadership and Learning (CFL) to provide a basic policy curriculum for the Ontario Public Service (OPS), and has also offered various one-time learning opportunities.
- 3.16.3 Recently, a new phase of transformation in policy development and delivery in the OPS has led to a renewed focus on professional development. While the original approach met the learning needs of entry-level policy staff, the OPS wanted to address learning at a more advanced level and to connect learning and skills development to an overall talent management process.

3.16.4 A new Professional Development Framework identifies policy competencies required of policy professionals and links them to learning experiences, both formal and informal, in the development of learning plans. The key components of the framework are:

- The OPS Policy Professional Development Passport, which defines competencies for the three levels of policy staff (policy entrant, policy professional and policy leader), and provides recommended formal and informal learning opportunities for developing those competencies.
- New learning opportunities, in the form of formal courses and informal events, such as annual conferences, and periodic lunch and learns.
- Direct linkages between the Passport and the annual Talent Management (TM) and Performance Management Planning cycles, so that managers and staff have guidance about appropriate options in the development of annual learning plans.
- Annual formal TM discussion among Policy Assistant Deputy Ministers.

3.16.5 Competencies are defined as “specific and observable knowledge, skills, attitudes and behaviours that are needed for effective performance”. Competencies are sub-divided into behavioural competencies which describe how people do their job and technical competencies, which are a particular skill specifically related to the job.

The following table lists the identified behavioural and technical competencies for policy professionals.

Behavioural Competencies	Technical Competencies
<ul style="list-style-type: none"><li>• Political Acuity</li><li>• Collaboration</li><li>• Problem Solving</li><li>• Strategic Thinking</li></ul>	<ul style="list-style-type: none"><li>• Research and analysis skills</li><li>• Writing skills</li><li>• Organizational and program knowledge</li><li>• Information seeking</li><li>• Policy and legislative interpretation and application</li></ul>

3.16.6 Internal training and development are available through the Centre for Leadership and Learning, part of the Ministry of Government Services and through Policy Innovation Leadership, a specialized policy community of practice for policy professionals. Many universities in Ontario also have public policy programs emphasizing practical and applied dimensions of policymaking. Invited visiting public sector leaders and external researchers bridge theory and practice, providing contact with senior professionals in government and the broader public, private and community sectors. In addition, many university programs have internship components with the Ontario Public Service, the Canadian Federal Public Service, municipal governments, non-governmental organizations and research think tanks.

3.16.7 The United Kingdom: The United Kingdom Civil Service uses a Policy Profession Skills Framework to outline the skills required of policy professionals at different performance levels. The skills are based on three principles of successful policy:

- the development and use of a sound evidence base (evidence)
- understanding and managing the political context (politics)
- planning from the outset for how the policy will be delivered (delivery)

The skills are divided into four main areas: understanding the context, developing the options, getting to a decision and making it happen.

The skills are described in terms of specific behaviours and actions. For example, core competencies for Level 1 policy professionals include the ability to *identify and use relevant evidence sources, gather evidence to develop policy options, articulate the rationale for selection of the preferred option and gather evidence of policy effectiveness.*

Eventually the framework is anticipated to be used in the following ways:

1. To help individuals working in policy roles develop the skills they need
2. As part of the performance management process
3. To inform talent management, career and workforce planning
4. As a basis for internal and external recruitment
5. To inform reviews of departmental policy capability

3.16.8 Australia: In Australia, the Queensland Government Public Service Commission also uses a Policy Capacity and Development Framework to outline the key skills required of policy professionals at different performance levels. The skills are based on four key areas:

1. Analytical ability
2. Communication
3. Public policy processes
4. Strategic engagement

3.16.9 These technical policy skills are also described in terms of specific behaviours and activities. For example, core competencies for Level 1 policy professionals include the ability to collect, synthesize and evaluate research and data; written and oral communication, networking and relationship-building skills; the ability to interpret legislation and apply policy instruments; and the ability to understand government priorities and work with stakeholders to implement policies.

The Government of Western Australia takes a similar approach and, as part of its training program, provides scholarships for public servants to study at the Australian National Institute for Public Policy.

- 3.16.10 Singapore: In Singapore, the Civil Service College, the central learning institution for the Singapore Civil Service, identifies competencies critical to the public service and offers training in those areas. The five core areas are: governance, leadership, public administration, service-wide capacity building, personal development and effectiveness. All staff are offered 100 hours of training per year.

The Singapore Civil Service also has an Overseas Development Program that allows employees with at least two years of government experience to complete a 6-12 month work placement in China, in either government offices or the private sector.

### **3.17 Attracting and Developing Leaders**

- 3.17.1 Governments recognize that attracting and developing leaders with strong policy skills is crucial to creating a strong policy organization. Jurisdictions use a variety of recruitment strategies to attract highly skilled policy leaders. For example, the Public Service of Canada's Recruitment of Policy Leaders Program gives departments the opportunity to attract and recruit exceptional leaders from across Canada, including Canadians living abroad, who have a “proven track record as thinkers and self-starters and are passionate about getting involved in shaping public policy”. Senior government managers and policy groups within the federal departments and agencies believe that the RPL Program is a very successful mechanism for recruiting highly-qualified policy specialists. In addition, the federal government partners with provincial and municipal governments and other organizations to provide exchange opportunities for public servants.
- 3.17.2 Many jurisdictions recognize the need to use formalized talent management programs to identify and develop policy leaders. The United Kingdom Civil Service has a talent management program, The Fast Stream, for highly qualified graduates. The Fast Stream includes six different specialty areas:
- The Graduate Fast Stream
  - The Analytical Fast Stream
  - The HR Fast Stream
  - Technology in Business Fast Stream
  - European Fast Stream
  - Northern Ireland Fast Stream.

- 3.17.3 The program provides participants with a series of different posting to gain a broad depth of experience and accelerate their entry into leadership positions. Supports for participants include practical training, formal learning opportunities and annual performance reviews. Similarly, the Singapore Civil Service's Management Associates Program provides existing employees who demonstrate exceptional performance with an accelerated pathway to leadership positions through training and development support. Participants are given a nine-week training course, work on cross-ministry projects, attend policy fora and seminars and are matched with a mentor. Participants are also eligible for a Masters Scholarship, which is a full scholarship that includes tuition fee and maintenance allowance.
- 3.17.4 Mentorship programs, either on their own, or as part of a broader program, as in Singapore, can be a useful tool for developing policy leaders. Some jurisdictions establish and control the mentorship programs; others encourage employees to form their own networks. In Australia, the Queensland Public Service has actively encouraged "mentoring/coaching cells" in departments where senior managers enter into groups of three or four. Mentorships are seen as particularly effective to provide retention and advancement for women and minority groups.
- 3.17.5 Finally, many jurisdictions have created formal and informal policy networks, where policy professionals can exchange learning and help solve problems. Networks are facilitated by electronic communication, but can also include face-to-face meetings and learning sessions.

### **3.18 Government Structures and Processes to Develop Capacity**

- 3.18.1 Some jurisdictions have modified existing organizational structures or created specialized units or departments, usually within the Cabinet Office or the centre of government, to create a strong policy focus, provide expertise, and create capacity to address cross-cutting policy problems which go beyond the jurisdiction of any one department.
- 3.18.2 For example, the U.K has placed a strong emphasis in improving delivery of key political priorities and in moving to an outcomes-based approach to the delivery of public services. As part of this change, the government established policy as one of three core professional skills for government, and reviews policy capacity as part of periodic departmental capacity reviews. A long-term strategy unit was established in Cabinet Office, reporting to the Prime Minister. The unit has responsibility for addressing cross-cutting issues, and is being supplemented with cross-departmental governance arrangements designed to support delivery of public service agreements (Dean, page 18).

- 3.18.3 In Ontario, as part of the “Our Best Advice” initiative, standards for policy development were created. Ministries self-assess their adherence to the standards and their policy capacity and develop action plans for improvement with the assistance of cabinet office. The initiative also includes the development of an annual government-wide research plan to address cross-cutting issues and/or issues of key importance.

### **3.19 Partnerships**

- 3.19.1 Governments alone rarely have the capacity to address difficult, complex policy problems. Partnerships with academic institutions, not-for-profit organizations, foundations, and others can create centers of expertise that, by increasing the flow of information and ideas, improve government’s policy capacity.
- 3.19.2 One example from Ontario is the creation of the Mowat Centre, a research institute at the University of Toronto’s School of Public Policy and Governance. Although it was established with funding from the Ontario government, the Centre operates independently. Its mandate is to commission, publish and publicize independent, non-partisan policy research on national and global issues, while taking the interests of Ontario into account. By identifying issues of importance to Ontario, convening thought leaders, academics, stakeholders, and public servants and commissioning new research, the Mowat Centre creates a focus on important issues and provides civil servants with new, relevant evidence and options that government officials on their own would have been unlikely to develop.

### **3.20 Considerations for the Ugandan Context**

- 3.20.1 The Ugandan Civil Service is currently working on competency frameworks in a variety of areas as part of its human resource strategy (check). Applying this approach to the behaviours and skills that are needed for policy professionals in the Ugandan civil service could be undertaken as a first step in clarifying and standardizing policy performance. This may also promote better understanding of and respect for the role of policy. Including “soft skills” in the list of competencies as well as analytical and technical skills could ultimately enhance the ability to effectively consult with stakeholders and to work horizontally. A range of formal and informal learning opportunities to develop skills and behaviours could be developed incrementally. Consideration could be given to developing and expanding networks of policy (and operational) staff engaged in common issues. Mentorship programs could be developed to pair new policy advisors with more experienced ones, accelerate the learning of high-potential policy advisors, and provide increased opportunities to women and other disadvantaged groups.



3.20.2 Consideration could be given to developing Ugandan think tanks, which could provide independent research and convene thought leaders to focus on important national issues. Developing departmental assessments of policy capacity may be considered in a subsequent stage, building on this current assessment. Ugandan leaders would need to consider whether a self-assessment process or an external process (or a combination) would be better suited to their context.

## CHAPTER FOUR

### FINDINGS AND ANALYSIS

#### 4.0 Introduction

This chapter covers data presentation, analysis and interpretation. The section indicates the response rates and findings under the following sections: policy agenda, policy decision making structures, policy advisory committees, decision making in Ministries, policy development and policy implementation.

#### 4.1 Response Rate

- 4.1.1 A total of 21 Ministries and 6 Agencies of Government were assessed against the number that was targeted. **Table 1** below provides a summary of the response rate from the three key respondents targeted in each Ministry/Agency during the assessment. These include Ministers, Permanent Secretaries and Heads of Policy Analysis Units.

**Table 1: Responsiveness of Targeted Key Informants**

Ministry/Agency		Responses/Interviews Conducted		
		Policy Analysis Unit	Permanent Secretary	Minister
1.	Health	✓	✓	X
2.	Public Service	✓	✓	X
3.	Justice and Constitutional Affairs	✓	✓	
4.	Tourism, Wildlife and Antiquities	✓	✓	X
5.	Internal Affairs	✓	✓	X
6.	Trade, Industry and Cooperatives	✓	✓	X
7.	Office of the Prime Minister	✓	✓	X
8.	Local Government	✓	✓	X
9.	Energy and Mineral Development	✓	✓	X
10.	Information and Communication Technology	✓	✓	X
11.	Education and Sports	✓	✓	X
12.	Lands, Housing and Urban Development	✓	✓	X
13.	Gender, Labor and Social Development	✓	✓	X
14.	Works and Transport	✓	✓	X
15.	East African Community Affairs	✓	✓	X
16.	Defence	✓	✓	✓
17.	Office of the President	X	X	✓
18.	Foreign Affairs	✓	✓	X
19.	Water and Environment	✓	✓	X
20.	Finance, Planning and Economic Development	✓	✓	X
21.	Ministry of Agriculture, Animal Industry and Fisheries	✓	✓	X
22.	Education Service Commission	X	X	N/A
23.	Public Service Commission	✓	✓	N/A
24.	Inspectorate of Government	✓	X	X

Ministry/Agency		Responses/Interviews Conducted		
		Policy Analysis Unit	Permanent Secretary	Minister
25.	Judicial Service Commission	✓	✓	N/A
26.	Health Service Commission	✓	✓	N/A
27.	Judiciary	✓	✓	N/A
	<b>Response Rate</b>	<b>84%</b>	<b>78%</b>	<b>9%</b>

4.1.2 Policy Analysis Units: The Policy Analysis Units were the most responsive with 84% returning filled questionnaires.

4.1.3 Permanent Secretaries: 78% of the Permanent Secretaries were interviewed or provided a filled questionnaire.

4.1.4 Ministers: It was extremely difficult to secure appointments with Ministers. As a result the responsiveness from Ministers was a dismal 9%. These included the Minister of Defence, the Minister of State in the Office of the President (Economic Monitoring), and the Minister for the Presidency, making it difficult to assess the contribution of the political leadership and the critical role they play in policy development and decision-making.

## 4.2 Policy Agenda

4.2.1 Policy Agenda, in this particular assessment, means the priority issues on which a Ministry bases its policy development and implementation in the main planning horizons i.e. the Sector Investment Plans, the Ministerial Policy Statements, the five year National Development Planning Framework and the 5 year Election Platforms. One of the respondents noted that “some policies were derived from the manifesto but that the commitments for the sector were too many and adequate resources were not available to implement them”. This assertion is supported by the fact that Party manifestos were generally not costed.

4.2.2 Most of the institutions assessed reported that a clearly defined policy agenda was in place: fifteen of the 21 Ministries provided different illustrations of what constitutes the policy agenda. Some of these included the overarching Sector Policies as indicated in **table 2** below. The Ministries of Trade and Industry; Justice and Constitutional Affairs; and that of Internal Affairs reported the absence of a clearly defined policy agenda.

4.2.3 The Ministries and Agencies generally exhibited a mixed understanding of what a Policy Agenda constitutes. Indeed in the meeting with the Minister of Defence, the Minister first sought clarity on what “Policy Agenda” meant. From the definition outlined above and considering the responses by the Ministries and Agencies in table 2 below, it is clear that

policy agenda is taken to imply all those policies, programs, projects and activities that a Sector or Ministry is implementing or is responsible for within its mandate; and not systematically organized at sector level to strategically and effectively advance the political commitments and priorities of the elected party and even the National Development Plan. The Challenges of determining the strategic direction and priorities, strategic planning, resource allocation, results, coordination and harmony in government could well be located in this varied and wide understanding. This however needs to be further examined and should be critically discussed in the consideration of the assessment report.

- 4.2.4 The Ministry of Justice and Constitutional Affairs reported that there is “no written policy agenda”. This answer, coupled with that of the Ministry of Energy and Mineral Development which indicated that it “partly” has a policy agenda, suggests the need for periodic dialogue and endorsement/publication of sector and indeed government wide policy agenda that would guide policy development activities.

**Table 2: Status of the Policy Agenda in Ministries**

MINISTRY		Existence of a clearly defined Policy Agenda	
1.	Ministry of Health	✓	National Health Policy II (NHP)
2.	Ministry of Public Service	✓	National Development Plan 2010-2015, Public Sector Management Investment Plan and Ministry of Public Service Strategic Investment Plan
3.	Ministry of Justice and Constitutional Affairs	x	No written agenda exists
4.	Ministry of Tourism, Wildlife and Antiquities	✓	Guided by the National Development Plan, NRM Manifesto and the Constitution of Uganda
5.	Ministry of Internal Affairs	x	Policies are formulated as and when it becomes necessary
6.	Ministry of Trade and Industry	x	There are policy documents e.g. Uganda Trade Policy, but these hardly form basis for the Ministry Budget proposal
7.	Office of the Prime Minister	✓	Ministerial Policy Statement
8.	Ministry of Local Government	✓	Decentralization Policy Strategic Framework – DPSF
9.	Ministry of Energy and Mineral Development	✓	Ministerial Policy Statement
10.	Ministry of Information and Communication Technology	✓	ICT Policy
11.	Ministry of Education and Sports	✓	Education White Paper – Education Policy Review Commission (EPRC) 1987
12.	Ministry of Lands, Housing and Urban Development	✓	Outlined in the Ministerial Policy Statement, National Development Plan 2010-2015 and Party Ruling Party Manifesto
13.	Ministry of Gender, Labour and Social Development	✓	Article 147 of the Constitution: Mandate and Functions
14.	Ministry of Works and Transport	✓	Ministerial Policy Statement, Annual Sector Reviews, scanning national, regional and international environment, PIRT, NDP

MINISTRY		Existence of a clearly defined Policy Agenda	
15.	Ministry of East African Community Affairs	✓	<b>Promotion of East African Integration</b>
16.	Ministry of Defence	✓	<b>Defence Policy 2003, White Paper on Defence Transformation, 2004; and, UPDF Act of 2005</b>
17.	Office of the President	✓	<b><i>There is no existence of a policy Agenda</i></b>
18.	Ministry of Finance, Planning and Economic Development	✓	<b>Ministry mandate , the Constitution</b>
19.	Ministry of Foreign Affairs	X	<b>No response</b>
20.	Ministry of Water and Environment	✓	<b><i>The National Development Plan 2010-2015, the Sector Strategic Investment Plan, the Manifesto and the Millennium Development Goals</i></b>
21.	Ministry of Agriculture, Animal Industry and Fisheries	✓	<b><i>National Development Plan 2010-2015, the Constitution and the Agriculture Development Investment Plan and Strategy</i></b>
22.	Health Service Commission	X	<b><i>Policy Agenda set by Sector Ministry</i></b>
23.	Judicial Service Commission	X	<b><i>Policy Agenda set by Sector Ministry</i></b>
24.	Inspectorate of Government	X	<b><i>Policy Agenda set by Sector Ministry</i></b>
25.	Judiciary	X	<b><i>Policy Agenda set by Sector Ministry</i></b>
26.	Education service Commission	X	<b>No response</b>
27.	Public Service Commission	X	<b><i>Policy Agenda set by Sector Ministry</i></b>

4.2.5 It is evident from the above table that each sector or Ministry has sought its own understanding of what could be meant by policy agenda. For some like the Ministry of Gender, Labour and Social Development, its policy agenda is defined within the broad provisions of the Uganda Constitution, 1995; while others derive their meaning from a combination of the Constitution, the NRM Election Manifesto and the National Development Plan. Whereas these are valid sources of definition or understanding of what Government's policy agenda could be, it is too general, too wide, and maybe inconsistent with prevailing social economic and political demands; moreover, the varied source from which Ministries derive meaning leads to inconsistency across government, disjointed and uncoordinated approaches to delivering the public good and fails to take advantage of synergies that would promote efficiency and effective service delivery.

## 4.3 Policy Decision-Making Structures

- 4.3.1 Structures:** To support policy development and implementation in the Ministries, Departments and Agencies (MDAs), a broad range of structures were in place and were being utilized in varying degrees. These structures include Top Management Meetings and Senior Management Committee Meetings, which are internal consultative management fora for decision making. Policy and Planning Departments/Units provide technical support in the management of the Departments. There are also Sector Wide structures that facilitate intra and inter sectoral collaboration and harmonization. However, one of the Accounting Officers described them as “a ritual or cocktail”. **Table 3** provides a summary of the different structures used on a sector by sector basis.
- 4.3.2 The effectiveness of these decision making structures was not critically assessed in the course of the study, however, based on the discussion with the respondents it was observed that depending on the issues handled, management and frequency of the meetings their effectiveness was mixed.
- 4.3.3 Effectiveness: All the Ministries fall under a Sector Working Group predominantly for budgeting and performance review process and provide a good platform for decision making in Ministries. Some of the leading examples are Health, Education, Water and Environment; they have sector investment plans, hold regular joint sector reviews culminating into Aide Memoirs which provide direction for the sector. These Sector Working Groups are supported by the technical Working Groups but very few Technical Working Groups have been established and are vibrant as shown in table 3.
- 4.3.4 Planning and Policy Analysis: The Assessment Team observed that most of the Ministries either had a Policy and Planning Department or a Policy Analysis Unit and Planning Unit separately, while a few ministries did not have them at all and relied on the departments of Finance and Administration and others to provide this specialized service. As noted in table 3, there is great potential for effectively carrying out policy formulation and analysis by these units however, their utilization and scope is often limited to budgeting for available resources and preparation of Ministerial policy Statements and Budget Framework Papers.
- 4.3.5 While a number of trained Policy Analysts exist and are on the Government pay roll, they are not fully and effectively utilized to support the various decision making structures. This may be attributed to the absence of organized policy analysis and advisory process in Government and limited appreciation of policy as a core function of Government.

**Table 3: Structures that Support Policy and Decision Making in Ministries and Agencies**

No.	Ministry/agency	Top Management Meeting	Senior Management Meeting	Policy and Planning Department	Policy Analysis Unit	Planning Unit	Policy Coordination Committee/Executive Committee Meeting	Sector Working Group	Technical Working Groups	Sector Consultative Committee/ Sector Policy Management Group	Joint Annual Reviews
1.	Trade and Industry	√		√			√	√			
2.	Health	√	√	√				√	√		
3.	Justice and Constitutional Affairs			√							
4.	Public Service	√	√	√	√	√		√	√		√
5.	Tourism, Wildlife and Antiquities						√	√			
6.	Office of the Prime Minister	√	√		√	√		√	√		
7.	Local Government	√	√	√				√	√		√
8.	Information and Communication Technology	√	√	√							
9.	Education and Sports	√		√				√	√	√	√
10.	Internal Affairs	√	√				√ <sup>3</sup>	√			
11.	Lands, Housing and Urban Development	√	√		√		√	√			
12.	Inspectorate of Government	√									
13.	Gender, Labour and Social Development	√	√		√		√ <sup>4</sup>	√			
14.	Judicial Service Commission				√						
15.	Works and Transport	√	√		√		√ <sup>5</sup>	√			
16.	East African Community Affairs	√	√			√		√			
17.	Defence	√	√	√			√ (High Command, Defence Forces Council)				
18.	Energy and Mineral Development	√	√	√ <sup>6</sup>							

<sup>3</sup> Adhoc

<sup>4</sup> Senior Coordination Committee is in place and meets weekly

<sup>5</sup> Adhoc Policy Paper Review Committee

<sup>6</sup> Senior Development Analyst is responsible for policy issues

No.	Ministry/agency	Top Management Meeting	Senior Management Meeting	Policy and Planning Department	Policy Analysis Unit	Planning Unit	Policy Coordination Committee/Executive Committee Meeting	Sector Working Group	Technical Working Groups	Sector Consultative Committee/ Sector Policy Management Group	Joint Annual Reviews
19.	Ministry of Finance, Planning and Economic Development	√	√	√	√	√					
20.	Ministry of Water and Environment	√	√	√	√	√	√	√	√	√	√
21.	Ministry of Agriculture, Animal Industry and Fisheries	√			√	√		√		√	√



### 4.3.6 Policy Advisory Committee

Most of the Ministries do not have a dedicated Policy Advisory Committee. Nine out of 23 that responded on this issue did not have a dedicated Policy Advisory Committee. These nine ministries however indicated existing mechanisms that they construed to be playing a Policy Advisory role. Only 11 Ministries indicated that they had a Policy Advisory Committee. **Table 4** below outlines the details.

**Table 4: Presence of Policy Advisory Committees in Ministries**

MINISTRY	POLICY ADVISORY COMMITTEE (YES/NO)	REMARK
1. Health	✓	Health Policy Advisory Committee
2. Public Service	✓	Top Management
3. Justice and Constitutional Affairs	*	No response
4. Tourism, Wildlife and Antiquities	✓	Policy Coordination Committee. Coordinates and oversees the development of Tourism
5. Internal Affairs	✓	Currently ad hoc but convenes whenever there is a need
6. Trade and Industry	x	<b>Policy Analysis Unit</b> provides this advisory support
7. Office of the Prime Minister	x	<b>Heads of Department Meeting</b> chaired by the Permanent Secretary plays an advisory role to the top leadership. meets weekly composed of Directors, Project Managers, Commissioners, and Under Secretaries
8. Local Government	x	
9. Energy and Mineral Development	x	<b>Top Management</b> is the other forum that is used. Top management involves both the technical and the political leadership.
10. Information and Communication Technology	x	Consideration of/and decision making on key policy issues is done during the <b>Monthly Senior Management Meetings</b> and <b>Quarterly Top Management Meetings</b> .
11. Education and Sports	x	<b>Senior Policy Management</b> is in place and is a clearing house for policy proposals. Comprised of Heads of Departments and technical officers and chaired by the Director Basic Secondary Education and meets quarterly
12. Lands, Housing and Urban Development	x	The Ministry does not have a policy advisory committee but it has mechanisms for advising on policy matters, TMM, Core Technical Committee and ... Coordination Forum.
13. Inspectorate of Government	x	No Response
14. Gender, Labour and Social Development	✓	Senior Coordination Committee plays this role
15. Judicial Service Commission	✓	Commission plays the role
16. Works and Transport	✓	Policy Coordination Committee
17. East African Community Affairs	✓	
18. Defence	x	The equivalent of the policy advisory committee is the <b>Top Management Committee</b> . Its role is to give guidance on new policy initiatives and implementation. It also gives guidance on review of ongoing policies. Comprises of Minister, Minister of State, Permanent Secretary, Joint Chief of Staff, Undersecretary Finance and Administration, Logistics, and co-opted officials. Sits bi-monthly and whenever there is urgent business
19. Health Service Commission	X	No Response

	MINISTRY	POLICY ADVISORY COMMITTEE (YES/NO)	REMARK
20.	Foreign Affairs	X	No Response
21.	Works and Transport	✓	No Response
22.	Ministry of Water and Environment	✓	Water Policy Committee, Project Steering Committees
23.	Ministry of Finance, Planning and Economic Development	✓	Top Management

## 4.4 Policy Development

### 4.4.1 How policy issues come to the Attention of Ministries

Policy issues were reported to come to the attention of Ministries and Agencies from various sources. Presidential Directives, Ministerial Directives and Cabinet Directives are the most predominant sources of policy issues. The Election Manifesto, National Development Plan, Sector Plans, findings from Research, Surveys and public demand are the other major sources of policy initiation. **Table 5** provides a summary of the different sources of policies on a sector by sector basis.

**Table 5: Sources of Policy Initiatives in Ministries, Departments and Agencies**

		Presiden tial Directive	Cabinet Decision	Ministerial Directive	Election Manifesto	National Development Plan	Budge t Speech	State of the Nation Address	Sector Investment Plan	Parliamentary Debate/decisions	Sector Review/ stakeholders	Media	Research, Survey, Public
1.	Trade and Industry	✓		✓									✓
2.	Health												✓
3.	Justice and Constitutional Affairs												✓
4.	Public Service		✓		✓	✓	✓	✓	✓	✓	✓	✓	✓
5.	Tourism, Wildlife and Antiquities	✓						✓		✓			✓
6.	Office of the Prime Minister	✓	✓	✓	✓				✓		✓	✓	✓
7.	Local Government		✓	✓							✓	✓	✓
8.	Information and Communications Technology										✓	✓	✓
9.	Education and Sports	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
10.	Internal Affairs	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
11.	Lands, Housing and Urban Development	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		
12.	Inspectorate of Government												
13.	Gender, Labour and Social Development	✓								✓	✓		
14.	Judicial Service Commission <sup>7</sup>												
15.	Works and Transport <sup>8</sup>												
16.	East African Community Affairs <sup>9</sup>	✓	✓	✓									
17.	Defence	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
18.	Energy and Mineral Development		✓								✓		
19.	Ministry of Water	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

<sup>7</sup> "From Permanent Secretary, Heads of Department and from Commission meetings

<sup>8</sup> No Response

<sup>9</sup> Including the Council of East African Community Ministers

		Presiden tial Directive	Cabinet Decision	Ministerial Directive	Election Manifesto	National Development Plan	Budge t Speech	State of the Nation Address	Sector Investment Plan	Parliamentary Debate/decisions	Sector Review/ stakeholders	Media	Research, Survey, Public
	and Environment									√			
20.	Ministry of Agriculture, Animal Industry and Fisheries												
21.	Ministry of Finance, Planning and Economic Development		√				√			√	√		√

**4.4.2 Decision Making in Ministries:** Decision making in all the Ministries and Agencies is the purview of Top Management or the Minister(s). The Directorates and Departments in the Ministries/Agencies undertake the detailed policy formulation with proposals normally considered in Directorate and/or Departmental meetings – and in some cases – Senior Management meetings before these are subjected to the Top Management Meeting (or strategic meetings, as is the case in the Ministry of Defence) that is chaired by the Sector Minister.

4.4.3 In some cases, such as the Ministry of Lands, Housing and Urban Development; and the Ministry of Education and Sports, the Policy Analysis Units are represented at the Top Management Meetings. This however is generally not the case in most other Ministries where the role of Policy Analysts remains limited.

4.4.4 A number of avenues are in place to enable stakeholders make input into the policy process. These include sector reviews, sector working group meetings, inter-ministerial consultations, during the legislative and budget approval processes.

#### **4.4.3 Policy Implementation**

**4.5.1 Policy Communication Plans:** Communicating Policy remains one of the major challenges in government. 70% of the Ministries/Agencies reported complete absence of a Policy Communications Plan and 16% of these are actively developing a Policy Communication Plan. The rest, 84% do not indicate any plans to develop a Policy Communication Plan.

4.5.2 30% of the Ministries responding to the assessment question “Do you have Policy Communications Plans” responded in the affirmative. These include the Ministry of Public Service, Ministry of Internal Affairs (only has a draft in place), Ministry of Defence, Ministry of East African Community Affairs and the Inspectorate of Government which has a Communication and Public Relations Policy. **Table 6** below presents the status on Policy Communication Plans in Ministries. From the responses received, it was not clear who is responsible for creating Policy Communication Plans and communication of policy decisions across government, stakeholders and the general public. This perhaps explains the general lack of an established system within government for systematic policy communication.

**Table 6: Policy Communication Plans in Ministries/Agencies**

MINISTRIES/AGENCIES <b>WITH</b> A POLICY COMMUNICATIONS PLAN	MINISTRIES/AGENCIES <b>WITHOUT</b> A POLICY COMMUNICATIONS PLAN
<ol style="list-style-type: none"> <li>1. Ministry of Public Service (<b>Circular Standing Instructions</b>)</li> <li>2. Ministry of Internal Affairs (<b>A Draft</b>)</li> <li>3. Ministry of Defence Information Department is responsible for communicating policy decisions across government and stakeholders with authority of the top management. Other strategic policy decisions are communicated personally by the Commander in Chief (C-i-C) or the Minister of Defence through organized meetings, press briefings and the Ministerial Policy Statements)</li> <li>4. Ministry of Energy ( Communication Plans made by implementing agencies <sup>10</sup> and Minister and Permanent Secretary Communicate Policy Decisions)</li> <li>5. Inspectorate of Government (<b>Communication and Public Relations Policy</b>)</li> <li>6. Ministry of East African Community Affairs ( Communication Strategy created by a forum composed of Director, Heads of Departments and Ministers)</li> <li>7. Ministry Agriculture, Animal Industry and Fisheries (Policy Communication Strategy)</li> <li>8. Ministry of Lands, Housing and UrbanDevelopment (draft communication strategy yet to be approved by Top Management Meeting)</li> <li>9. Ministry of Water and Environment (Communication strategy for water and sanitation and water resource management)</li> <li>10. Ministry of Finance, Planning and Economic</li> </ol>	<ol style="list-style-type: none"> <li>1. Ministry of Trade and Industry</li> <li>2. Ministry of Health</li> <li>3. Ministry of Justice and Constitutional Affairs</li> <li>4. Ministry of Tourism, Wildlife and Antiquities</li> <li>5. Office of the Prime Minister</li> <li>6. Ministry of Local Government</li> <li>7. Ministry of Information and Communication Technology</li> <li>8. Ministry of Education and Sports (<b>Finalizing A Communication and Advocacy Strategy</b>)</li> <li>9. Ministry of Gender, Labour and Social Development</li> <li>10. Health Service Commission</li> <li>11. Judicial Service Commission</li> <li>12. Ministry of Works and Transport (<b>Currently developing one</b>)</li> </ol>

<sup>10</sup> The Petroleum Exploration and Production Department, for instance, has a Communication Strategy for the National Oil and Gas Policy (NGOP).

MINISTRIES/AGENCIES <b>WITH</b> A POLICY COMMUNICATIONS PLAN	MINISTRIES/AGENCIES <b>WITHOUT</b> A POLICY COMMUNICATIONS PLAN
Development (MPS, BCC, Budget speech, BTTB, Treasury instructions)	

**4.5.4 Required Staff Competencies for Policy Development:** A cross-section of staff competencies have been identified as key for policy development in the Ministries and Agencies. The most significant are Policy Analysis, Research, Communication, Strategic Thinking/Planning, Monitoring and Evaluation, core Subject Matter<sup>11</sup>, and Public Policy. **Table 7** below outlines the different staff competencies required by sector.

4.5.5 Only four Ministries: Justice and Constitutional Affairs; Ministry Water and Environment, Public Service; and, Education and Sports reported that training was being provided to staff in the following respective aspects: results based management, policy development and management, policy issues and preparation of Cabinet Memoranda (under the Belgium technical cooperation).

<sup>11</sup> These are the various disciplines that relate to various Ministry/Agency mandates. For instance, expertise in say Trade Policy, Agricultural Policy, Health Policy, Social Policy etcetera.

**Table 7: Staff Competencies Required by Sectors**

		Public Policy	Policy Analysis	Data Analysis	Research Skills	Communication Skills	Strategic Thinking /Planning	Advocacy Skills	Computer Skills	Leadership Skills	Core Subject	Change Management	M &E	Multiple Skills	Legislative drafting
1.	Trade and Industry		✓	✓											
2.	Health													✓	
3.	Justice and Constitutional Affairs	✓	✓		✓		✓		✓				✓		
4.	Public Service		✓		✓	✓							✓		
5.	Tourism, Wildlife and Antiquities	✓	✓		✓	✓					✓				
6.	Office of the Prime Minister	✓	✓		✓	✓	✓				✓		✓		
7.	Local Government						✓	✓		✓		✓			
8.	Information and Communications Technology		✓								✓				
9.	Education and Sports				✓		✓						✓		
10.	Internal Affairs		✓		✓	✓		✓		✓	✓			✓	
11.	Lands, Housing and Urban Dev't		✓		✓	✓		✓					✓		✓
12.	Inspectorate of Government	✓	✓		✓										
13.	Gender, Labour and Social Dev't	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	
14.	Judicial Service Commission		✓	✓	✓								✓		
15.	Works and Transport	✓	✓	✓	✓		✓				✓ <sup>12</sup>		✓		
16.	East	✓	✓	✓			✓				✓ <sup>13</sup>				

<sup>12</sup> Transport Economics, Transport Planning

<sup>13</sup> A good Economics, policy and Planning background



		Pu blic Pol icy	Polic y Anal ysis	Data Anal ysis	Rese arch Skills	Communi cation Skills	Strat egic Think ing /Plan ning	Advo cacy Skills	Comp uter Skills	Leade rship Skills	Cor e Subj ect	Change Manage ment	M &E	Mult iple Skill s	Legisl ative drafti ng
	African Communi ty Affairs														
17.	Defence	√	√	√	√	√	√			√	√			√	
18.	Energy and Mineral Dev't	√	√	√											
19.	Ministry of Water and Environm ent	√	√	√	√	√	√	√	√	√	√	√	√	√	

#### 4.5.6 Linking Sector Policy Initiatives to Overall Government Agenda

Ministries and Agencies responding in the assessment exercise identified different processes through which they ensure that Sector Policy Initiatives are linked to the overall Government Agenda/Mandate. The following are the key processes or good practices outlined:

##### **(a) Consultations**

Policies are formulated through regular consultative processes that are based on the overall goals of government such as Prosperity for All and the National Development Plan (NDP) goals and objectives. Some of this consultation takes place in the Sector Wide processes through which Sector Strategic Investment Plans are developed and reviewed. The Monthly Permanent Secretaries Forum (meeting) is another avenue through which consultation takes place. Annual Local Government Consultative Budget Workshops also provide an opportunity to focus Sector and Local Government Plans to the Overall Government Agenda or Mandate as spelt out in the Constitution, National Development Plan and the Election Manifesto.

##### **(b) Alignment and Harmonization**

The Ministries make efforts to align policies to the overarching national planning framework through the annual budgeting process. This is achieved in the preparation of Budget Framework Papers (BFPs), Annual Work plans, Procurement Plans and

Policy Statements. The National Development Plan and the Manifesto of the elected Government guide the development of policy priorities by Ministries and Agencies. The priorities are reflected in the Annual Sector Budget Framework Papers and Ministerial Policy Statements.

**4.5.7 How Ministers are involved in Development of Policy Initiatives:** From the responses received from the MDAs, there is clearly no standard approach. The Ministers are normally active at the initiation and approval stages i.e. issues identification and presentation of proposal in Cabinet. The role of the Minister is also significant in the Top Management Meetings which the Minister(s) chair/attend. As is noted in **Table 8** on How/When Ministers are involved in the Policy Process, very few technocrats brief Ministers on Policy Development or involve Ministers in reviewing budgets.

**Table 8: How/When Ministers are involved in the Policy Process**

		At Initiation/drafting	Top Management Meetings	Briefings on Policy Development	Regular Consultations	Written consultations	Officiating at Launch	Review of Budget	Approval, in Cabinet
1.	Trade and Industry		√	√	√				√
2.	Health						√	√	
3.	Justice and Constitutional Affairs		√		√				√
4.	Public Service		√	√	√	√	√	√	√
5.	Tourism, Wildlife and Antiquities	√							
6.	Office of the Prime Minister	√	√	√		√			√
7.	Local Government		√		√				√
8.	Information and Communication Technology	√			√	√			
9.	Education and Sports								
10.	Internal Affairs				√				
11.	Lands, Housing and Urban Dev't	√	√	√	√	√	√	√	√
12.	Gender, Labour and Social Dev't	√			√				
13.	Judicial Service Commission								
14.	Works and Transport		√						
15.	East African Community Affairs		√						
16.	Defence	√	√		√				
17.	Energy and Mineral Dev't	√	√	√					
18.	Ministry of Finance, Planning and Economic Development				√			√	√

**4.5.8 How Other<sup>14</sup> Political Leaders are involved in development of policy initiatives:** Other Political Leaders are involved in the development of policy initiatives by the different Sectors through a number of ways. The approach used is generally an institutional and consultative one. Key political actors are involved through their institutional roles. The major ones include Cabinet, the Treasury, Parliament, and Sector Working Groups.

- (a) Cabinet:** Sectors involve Cabinet in development of Policy Initiatives through submissions to Cabinet and its subcommittees for information and/or decision and sometimes Cabinet retreats are organized to focus on specific policy issues.
- (b) The Treasury:** the Ministry of Finance, Planning and Economic Development is “rarely forgotten” to use the words used by the Ministry of Health while responding to this specific question. The Ministry of Finance, Planning and Economic Development provides a Certificate of Financial Implications for any policy proposal with significant budget implications. In this regard, the Minister of Finance, Planning and Economic Development is deemed to be involved.
- (c) Parliament:** After the first reading of a Bill on the floor of Parliament, it is referred to Committees of Parliament that are normally involved/consulted for advocacy/lobbying. This is particularly so on the legislative role of Parliament but also because Parliament sometime receives petitions from members of the public and the matters are normally referred to the Minister concerned for clarification or necessary action.
- (d) Sector Reviews:** a cross section of political leaders are invited to sector reviews such as the Joint Annual Review of Decentralization (JARD) – which facilitates interaction with the local leadership in Local Governments, Review of the Public Service Reform Program (PSRP), Annual Education Sector Reviews (ESRs). These political leaders, Ministers are invited for formality purposes but rarely attend the reviews to give their political guidance.

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<sup>14</sup> Other than the Sector/Line Ministry Ministers (these include other members of Cabinet, members of Parliament and Local Government Leaders.

- (e) **Letters, Workshops and Inter-sectoral Meetings:** Other mechanisms through which other political leaders are involved include written consultation, working meetings and bilateral meetings on cross-sectoral issues.

#### 4.5.9 *Effectiveness of Structures established under the Sector Wide Approach*

##### *(a) Sectors Reporting a Very Effective SWAp*

- (i) **Justice Law and Order Sector:** Where the Sector Wide Approach (SWAp) is fully operational such as in the Justice Law and Order Sector (JLOS): According to the Ministry of Justice and Constitutional Affairs (MoJCA), one of the Subsectors in JLOS structures for Sector Wide policy initiatives including a Steering Committee, Technical Committees, Working Groups and a Sector Secretariat are in place and are “all very effective”. The Ministry of Internal Affairs which is another subsector in JLOS corroborates the assessment of the Sector by MoJCA and also indicates that the Sector structures are “very effective and are supporting collaboration, cooperation and communication within the related ministries to (which) avoid(s) duplication and facilitate (s) clear resource mobilization.
- (ii) **Health Sector:** The Ministry of Health also indicates that Technical Working Groups are in place which bring on board many categories of stakeholders including Civil Society Organizations (CSOs), Private Not for Profit Health Providers (PNFPs), Private for Profit Health Providers (PFPs), Ministries, Departments and Agencies (MDAs) and Health Development Partners. The Ministry indicates that regular consultations take place and a Memorandum of Understanding (MoU) is in place between Development Partners and the Health Sector although the challenge sometimes is that information is withheld or parties fail to stick to agreed positions.
- (iii) **Public Sector Management (PSM) Sector:** The Ministry of Public Service, Ministry of Local Government and the Office of the Prime Minister (OPM) belong to the Public Sector Management (PSM) Sector and all indicate that this Sector is “effective and regular with scheduled meetings that help to support the development and implementation of sector wide policy initiatives”. OPM is the sector chair, and the sector is supported by a

Sector Working Group (SWG) and four<sup>15</sup> (4) Technical Working Groups. The Secretariat for this Sector Working Group is the Policy Implementation and Coordination Department in the Office of the Prime Minister. The Sector Working Group structures are effective in facilitating coordination and inter agency collaboration. A Public Sector Management Strategic Investment Plan (PSM-SIP) FY 2011/12 – 2015/16 has just been finalized and is currently being implemented, beginning with FY2011/12 and implementation to be stepped up in FY 2012/13. The SWG provides a platform for engagement and cooperation which produce significant synergies for strategic visioning, collective action and review.

The Ministry of Local Government notes that “although this (sector) mechanism has played an invaluable role during the budgeting and oversight of policy implementation processes, the Ministry has long, in view of the breadth and uniqueness of issues affecting the local government sector, advocated for the establishment of a fully-fledged decentralization Sector Working Group.

- (iv) **Education and Sports:** The Ministry of Education and Sports notes that the sector structure is “very effective given the achievements in terms of mobilizing stakeholders and resources, Monitoring, Evaluation and Assessment of performance”. This effectiveness has been attributed to collaborative and participatory approaches, transparency, and accountability and performance measures.
- (v) **Security:** The Ministry of Defence which currently chairs the Security Sector Working Group (SSWG) reported that the SSWG also develops sector wide policy initiatives related to challenges of a dynamic national and global security environment. The other parties on the SSWG include the Internal Security Organization (ISO) and the External Security Organization (ESO). Although the response from the Defence Ministry indicates that the sector structures are effective, it adds that “the effectiveness of the SSWG is affected by the sensitive nature of the individual members’ mandates and inadequate resources”.
- (vi) **Gender, Labour and Social Development:** “very effective”.

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<sup>15</sup> Decentralization Management; Public Service Reform; Coordination, Planning, Budgeting, Monitoring and Evaluation; and East African Integration

- (vii) Ministry of Water and Environment: Active arrangement for SWAp fully supported by development partners and included in the Joint Budget Support Framework and in the Joint Assessment Framework.

**(b) Sectors Reporting Ineffective SWAp**

- (i) **Tourism, Trade and Industry:** This Sector comprises of the two new Ministries including (i) Trade and Industry (MTI) which asserts that the “Sector Wide Approach is not yet fully operational”; and Tourism, Wildlife and Heritage which indicates that the Sector is “not very effective” where “Sector members meet once a year for review of the sector wide performance”.
- (ii) **Information and Communications Technology:** Given that this Sector is relatively new, the Sector structures are “not effective”. The Sector started operating in FY 2009/2010.

**4.5.10 Factors Contributing to Successful Policy Development/Implementation:** Stakeholder participation, wide consultations and cooperation from key stakeholders are some of the driving factors for successful policy development and implementation. This is as revealed in the responses received from the Ministries as outlined in **table 9** below. Sound Macroeconomic Policies are also essential for the infrastructure sectors of Information and Communication Technology and Works and Transport.

**Table 9: Factors Contributing to Successful Policy Development and Implementation**

		Political Will, Support, Commitment	Stakeholder Participation	Wide/Adequate Consultations	Policy Research , M&E	Cooperation from Key Stakeholders	Support from Development Partners	Demand by Public or Parliament	Clarity of Purpose	Availability or resources	Macroeconomic Policies
1.	Trade and Industry	✓	✓								
2.	Health			✓			✓	✓			
3.	Justice and Constitutional Affairs					✓					
4.	Public Service		✓	✓	✓	✓	✓	✓	✓	✓	✓
5.	Tourism, Wildlife and Antiquities			✓							
6.	Office of the Prime Minister	✓	✓	✓		✓	✓	✓	✓	✓	
7.	Local Government	✓	✓			✓	✓			✓	
8.	Information and Communication Technology	✓									✓
9.	Education and Sports		✓			✓					
10.	Internal Affairs					✓					
11.	Lands, Housing and Urban Development	✓	✓	✓		✓		✓			
12.	Inspectorate of Government										
13.	Gender, Labour and Social Development		✓	✓	✓	✓		✓			
14.	Judicial Service Commission										
15.	Works and Transport		✓	✓	✓		✓		✓		✓
16.	East African Community Affairs <sup>16</sup>										
17.	Defence	✓	✓	✓		✓		✓	✓	✓	
18.	Energy and Mineral Development	✓	✓	✓					✓		
19.	Ministry of Water	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

<sup>16</sup> Response not clear - verify



	and Environment			
20.	Ministry of Finance, Planning and Economic Development	✓	✓	✓

#### 4.5.11 Examples of Successful Policy Development and Implementation

**Table 10: Successful Policy Development**

MINISTRY	POLICIES
1. Trade and Industry	<ul style="list-style-type: none"> <li>Sugar Policy, Textile Policy, Industrialization Policy</li> </ul>
2. Health	<ul style="list-style-type: none"> <li>National Health Policy (NHP) II</li> </ul>
3. Justice and Constitutional Affairs	<ul style="list-style-type: none"> <li>De-concentration Policy</li> </ul>
4. Public Service	<ul style="list-style-type: none"> <li>Hard to Reach Framework, Results Oriented Framework 2010, The Human Resource Management Policy 2012, the Public Service Standing Orders 2010, the Public Service Act 2008, the Code of Conduct and Ethics for Uganda Public Service 2006.</li> </ul>
5. Tourism, Wildlife and Antiquities	<ul style="list-style-type: none"> <li>Tourism Policy, Tourism Act, Wildlife Policy ,Wildlife Protected Area Systems Plan</li> </ul>
6. Office of the Prime Minister	<ul style="list-style-type: none"> <li>National Policy for Disaster Preparedness and Management</li> </ul>
7. Local Government	<ul style="list-style-type: none"> <li>LocalGovernmentCapacityBuilding Policy, KampalaCapitalCity Authority (KCCA) Act</li> </ul>
8. Information and Communication Technology	<ul style="list-style-type: none"> <li>Telecommunication Policy, Broadcasting Policy, Information Technology Policy</li> </ul>
9. Defence	<ul style="list-style-type: none"> <li>Legal Notice No. 1 of 1986, The NRA Statute of 1992, National Security Act of 2000, Defence Policy, 2003, UPDF Act No. 7 of 2005, The Defence Strategic Infrastructure plan (DSIIP)</li> </ul>
10. Lands, Housing and Urban Development	<ul style="list-style-type: none"> <li>NationalLand Use Policy, NationalLand Policy</li> </ul>
11. Gender, Labour and Social Development	<ul style="list-style-type: none"> <li>The Orphans and Vulnerable Children's Policy; - The Gender Policy</li> </ul>
12. Works and Transport	<ul style="list-style-type: none"> <li>Policy on Interns and Volunteers; Restructuring of the Ministry; Separation of Planning, Monitoring and Evaluation Activities from Direct Road Management Delivery; Establishment of Uganda National Roads Authority (UNRA); National Transport Master Plan (NTMP) and Master Plan for Greater Kampala Metropolitan Area (GKMA); Restructuring of Uganda Railways Corporation (URC) and concessioning to Rift Valley Railways (RVR); National Construction Industry Policy (NCIP)</li> </ul>
13. East African Community Affairs	<ul style="list-style-type: none"> <li>- Policies on integration of the East African Community.</li> </ul>
14. Energy and Mineral Development	<ul style="list-style-type: none"> <li>The Energy Policy (2002), Mineral Policy, Renewable Energy Policy (2007), National Oil and Gas Policy (2008)</li> </ul>
15. Ministry of Finance, Planning and Economic Development	<ul style="list-style-type: none"> <li>Integrated Financial Management System, Budget Monitoring and Analysis, Output Oriented Budgeting, Public Procurement and Disposal Act</li> </ul>
16. Ministry of Water and Environment	<ul style="list-style-type: none"> <li>National Forestry Policy, National Wetlands Policy,Water Policy, and the National Environmental Policy</li> </ul>

17.	Ministry of Agriculture, Animal Industry and Fisheries	• Agriculture Strategy Plan and Investment Strategy
18.	Ministry of Internal Affairs	• National Non-Government Organizations (NGO) Policy

**4.5.12 Key Challenges to Policy Development in the Public Sector:** A number of challenges have been identified as major constraints to effective policy development in the public sector. These have been synthesized and relate to following five thematic areas:

**(a) The Capacity Problem**

SKILLS (competencies)?	RESOURCES	RESEARCH	INFORMATION SYSTEMS	ORGANIZATION
<ul style="list-style-type: none"> <li>✓ Lack of knowledgeable and expert staff</li> <li>✓ Inadequate technical capacities for Policy Analysis</li> <li>✓ Inadequate capacities for Policy Analysis in Local Governments</li> <li>✓ Limited/absent training programme</li> </ul>	<ul style="list-style-type: none"> <li>✓ Limited resources for stakeholder consultation</li> <li>✓ Inadequate human capacity</li> <li>✓ Inadequate funding for research</li> <li>✓ Insufficient funds allocated to policy development</li> </ul>	<ul style="list-style-type: none"> <li>✓ Limited data and research</li> <li>✓ Limited policy research, monitoring and evaluation, communication</li> <li>✓ Weak or absent evaluation system</li> <li>✓ Absence of credible policy think tanks</li> </ul>	<ul style="list-style-type: none"> <li>✓ Non availability of reliable data</li> <li>✓ Weak policy databases and information systems</li> </ul>	<ul style="list-style-type: none"> <li>✓ Inappropriate structures</li> <li>✓ Limited structure of Policy and Planning Units</li> <li>✓ Weaknesses in processes: recruitment, procurement, communication, etcetera</li> </ul>

**(b) Issues Of Coordination**

- ✓ Divergent interests from the different stakeholders
- ✓ Lack of adequate policy direction
- ✓ Poor alignment with both internal and external stakeholders
- ✓ Weak Sector Working Groups
- ✓ Tensions between Central and Local Government interests
- ✓ Regional and international harmonization

### **(c) The Limited Appreciation of the Policy Analysis/Advising Function in MDAs**

In regard to this question, respondents were mainly staff in Policy Analysis Units, who reported that the Policy Analysis or Policy Advice Function is “not being taken seriously... with the belief that anybody can do it” (Respondent from Ministry of Health). A respondent from the Office of the Prime Minister noted that “the policy analysis role is not well appreciated in the public sector”. The view from a respondent from the Ministry of Local Government was that there was “non-prioritization of policy analysis and formulation process” whilst a respondent from the Ministry of Defence stressed the “failure to appreciate the policy function as a core responsibility of the public service.”

### **(d) Bureaucracy/Multiple Processes**

The bureaucratic or multiple processes that have to be undertaken to get the final approval for implementation or action on any government policy or program is inhibiting. These may include; issue identification and the process of getting it onto the political agenda of Government, procurement processes, planning and budgeting, obtaining resources, obtaining approval at different stages. This is compounded by the fact that policy formulation by its nature is a lengthy process that requires consensus building, tedious, resource and time consuming, highly skilled and analytical and often is competing against other public interest within a very limited resource envelope and political horizon.

### **(e) Implementation Failures**

Policy execution/implementation remains a major challenge for effective policy development. This has often been compounded by the unavailability or inadequacy of funding for approved policies, non-prioritization (everything is important and must be done at the same time), limited and unskilled/knowledgeable human resource, failure to keep the policy issue high on the political agenda (often the issue is overtaken by other urgent issues), inadequate coordination, limited monitoring and evaluation, the fact that government is not a learning organization (past experiences are not heeded and mistakes are repeated), and the lack of focus on results. These have resulted into public outcries and limited support and trust from stakeholders for new policy development initiatives.

## CHAPTER FIVE

### EMERGING ISSUES, PROPOSED RECOMMENDATIONS AND CONCLUSIONS

#### 5.1 Emerging Issues

- 5.1.1 ***Confusion about what constitutes a Policy Agenda:***Based on the findings from the Ministries, there is no one commonly understood meaning of what is meant by policy agenda and as a result, priorities vary from sector to sector and Ministry to Ministry depending on their understanding of the concept and how it relates to Government priorities. This perhaps could be explained by the absence of clear strategic direction/priorities given by the government especially at the beginning of a new mandate.
- 5.1.2 ***Multiple, disjointed and weak policy and decision making structures:*** As illustrated in table 3, policy decision making structures exist in most of the Ministries, however their level of development, functionality and effectiveness varies with some quite ineffective. This may necessitate the review of the successful and not so successful Ministries to determine factors that have led to this scenario since it is generally understood that those Ministries with established and functional structures are more focused and productive.
- 5.1.3 ***Absence of systematic Policy Advisory Mechanism(s):*** Table 4 illustrates the mixed view of the centrality of policy in the successful implementation of Government policy. This low level of appreciation varies from person to person and from Institution to institution. This inconsistency inevitably has a negative impact on the quality of policy advice, analysis and the policy options generated by Ministries which may result also in mixed success in policy implementation.
- 5.1.4 ***Proliferation and misalignment of policies to government priorities as laid out in the NDP and Election Manifesto:*** Whereas the source of policy issues is not the point of debate in this assessment, not having a commonly understood definition and source of the policy agenda leads to the crowding of the policy arena due to the multiplicity of issues without a clear policy framework to guide what is priority and what is not. This inevitably influences the way a Sector/Ministry prioritizes and allocates its limited resources and subsequently affecting the implementation of policies and delivery of services.

- 5.1.5 ***Inconsistencies in the operationalization of Policy Analysis Units across MDAs and the related gaps in policy advisory capacity in Government:*** Although Government adopted and implemented the Government Restructuring Report of 1998, it is evident that in the case of establishing and supporting the Policy Analysis Units, this has been applied selectively while some ministries have created hybrids that combine policy and planning together. In those Ministries where they have been established, their role has been mixed and at most obscure. The lack of a systematic application of the recommendation has weakened the role and function of the Policy Analysis Units which has partly contributed to the weak policy advice across Government.
- 5.1.6 ***Absence of Strategic or Policy Communications System***<sup>17</sup>: Policy communication obviously plays a critical role in the successful development and implementation of Government policy. Both internal and external forms of communication need to be developed and proactive communications beyond just public relations and information dissemination needs to be adopted by sectors/Ministries to ensure that stakeholders are fully informed of what Government is doing and as a result be able to hold Government accountable for its actions, improve the business environment and promote public accountability, transparency and service delivery.
- 5.1.7 ***A weak basis for evidence based policy development:*** Policy by its nature is research and consultation based. Successful policy development and implementation is determined by the quality of empirical data available to Government, Sectors and Ministries and the level of consultation to obtain as many views and policy options from stakeholders that would lead to improved services. From the above findings, it is obvious that little attention, funding and time is allocated to policy analysis, research, training, consultation and development of policy options. Notwithstanding the resource constrained Ministry budgets, there is need to invest more in this central function of Government for more successful policy.
- 5.1.8 ***Absence of a focused and strategic skills development program for policy analysis:*** It is evident as illustrated in table 7 that there is no generally agreed understanding of the type of skills and knowledge required for policy analysis. There may be need to review the effectiveness of the Policy Analysis Units since their creation and the uniqueness of the Sector/Ministry mandate to determine the appropriate training for Policy Analysts beyond the basic requirements and focus on the subject matter appropriate to a particular sector/Ministry.

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<sup>17</sup> Office of the Prime Minister and the Cabinet Secretariat has finalized a proposed Government Communications Strategy. This is currently before Cabinet but it is essential that Cabinet fast tracks its approval so that gaps in policy communication are addressed.

- 5.1.9 **Ministers not adequately supported to effectively champion policy development in sectors:** From the findings, it is evident that most Ministers play a very limited role in shaping and guiding the development and implementation of Government policy. Too little and often too late is done at the stage of flagging off the policy to Cabinet for its consideration and later when reporting on the progress, by which time it may be too late to redirect a particular policy. Ministers need to be supported to understand and appreciate the pivotal role they play in shaping and determining the successful implementation of policy, resulting from the level of political will, buy in and push to achieve a particular Government policy agenda.
- 5.1.10 **SWAPs approach and the need to fully make it operational for all sectors:** Further findings suggest that a Ministry that has a fully established Sector Wide Approach to doing business has been more effective in dealing with their policy issues necessitating the need to support those Ministries that are lagging behind in fully adopting the SWAPs approach.
- 5.1.11 **The absence of a comprehensive strategy for better coordination of the policy process in Government<sup>18</sup>:** Although Government has made some significant strides in the area of coordination, such as the planning and budgeting process, reporting and working within the SWAPs approach and the recently instituted bi-annual retreat on Government performance reporting, it is evident from the findings, that there is still inadequate coordination and synergy within Government with many of the Ministries working in parallel effort rather than jointly to maximize utilization of scarce resources.

## 5.2 Proposed Recommendations

### 5.2.1 Proposed Improvements to the Policy Development and Implementation Process

#### (a) Strategic Coordination

- ✓ According to the respondent from the Ministry of Trade and Industry, the majority of issues impact on different sectors and stakeholders differently and would therefore require **enhanced coordination at a level higher than the sectors involved**. There is need to strengthen effective coordination at higher levels than line /Sector Ministries so that Sector and short-term plans and activities are in line with the long term strategic goals of Government.

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<sup>18</sup> Office of the Prime Minister is currently working on a proposed National Strategy for Better Coordination of Government Business

- ✓ This view was also proposed by respondents from other ministries who called for **enhanced collaboration between the key central agencies, Cabinet Secretariat, Office of the Prime Minister, Treasury, National Planning Authority, Ministry of Local Government and the Ministry of Public Service.**
- ✓ The **introduction of a Cabinet Committee System** was also proposed as a means to enhance coordination and harmonization of efforts within government.
- ✓ **Effective communication at all levels.** Strengthen information flow and management.

#### (b) CapacityBuilding

- ✓ A number of capacity challenges were identified in the areas of policy development and analysis skills, institutional structures and funding for policy analysis/development. Comprehensive capacity enhancement has therefore been proposed in-terms of recruitment, functional and professional training to the policy analysis staff, institutional strengthening, increased funding for policy analysis and provision of advice in Ministries, Departments and Agencies, and; improved technical capacity for policy analysis and formulation amongst the different categories of stakeholders.
- ✓ Standardize and regulate policy development and policy implementation processes (consultation, gender mainstreaming, poverty impact assessments, regulatory impact assessment, harmonization and coordination, cost benefit analysis, implementation planning, etcetera).
- ✓ Introduce Implementation Planning Units in key government entities.
- ✓ Introduce standardized systems for policy briefing of Ministers and Political Leaders in MDAs and LGs.
- ✓ Improve research and integrate research and evaluation into the policy development process.
- ✓ Strengthen frameworks for Monitoring and Evaluation of policy implementation.



- ✓ Increase community participation.
- ✓ Constitute and promote policy think tanks

(c) Prioritization

- ✓ Policy direction should be improved through the introduction of better systems for prioritization in policy development initiatives.

(d) Political Support

- ✓ The Executive and Top Management in Ministries and Agencies to show greater commitment and support to the policy analysis process and concentrate on policy results, coordination and implementation. More often than not, these are left to lower technical staff who may lack adequate expertise, skills and knowledge but more importantly lack sufficient authority to execute policy decision.

(e) Parent Ministry for Policy Analysts

- ✓ The Ministry of Public Service and the Parent Ministry for Policy Analysts (Cabinet Secretariat) to ensure that all suggestions by Policy Analysts regarding the environment in which they operate are taken into consideration and decisions effectively communicated to the Ministries and Policy Analysts.
- ✓ Parent Ministry to ensure that fair motivation and incentives for Policy Analysts and the Policy Analysis Cadre to be upgraded into the upper levels in the salary scale, establish a clear career path for Policy Analysts, right size the structures for Policy Analysis Units.

(f) Stakeholder Consultation

- ✓ Improve stakeholder consultation and engagement in policy processes, clarify policy agenda to stakeholders, and undertake regular monitoring of public needs and concerns.

### 5.2.1.1 What it takes and who leads the Change Process

PROPOSING ENTITY	WHAT IT TAKES	WHO LEADS THE CHANGE PROCESS
1. Health	<ul style="list-style-type: none"> <li>✓ Hold the political and top civil servants accountable for functions of Policy Analysis Units (AUs)</li> <li>✓ Commitment by the Executive and all responsible authorities: MoPS, OPM, Cabinet Secretariat to the Policy Function.</li> <li>✓ Sensitize CEOs/top civil servants to prioritize and pay more attention to the policy development process.</li> <li>✓ Provide resources for evaluation and monitoring.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Executive</li> <li>✓ Head of Public Service,</li> <li>✓ PSs/CEOs</li> <li>✓ Institutions of Higher Learning, UMI</li> </ul>
3. Public Service	<ul style="list-style-type: none"> <li>✓ Commitment from top leadership</li> <li>✓ Increased funding, training</li> </ul>	<ul style="list-style-type: none"> <li>✓ Head of Public Service, Deputy Head of Public Service, PSs and HoDs</li> </ul>
4. Tourism, Wildlife and Antiquities	<ul style="list-style-type: none"> <li>✓ Training of middle and senior civil servants by the Cabinet Secretariat on the policy development process and drafting Cabinet submissions</li> </ul>	<ul style="list-style-type: none"> <li>✓ Government through the Cabinet Secretariat</li> </ul>
5. Office of the Prime Minister	<ul style="list-style-type: none"> <li>✓ National Strategy for Better Policies and Laws</li> </ul>	<ul style="list-style-type: none"> <li>✓ The President with the Support of the Cabinet Secretariat</li> </ul>
6. Local Government	<ul style="list-style-type: none"> <li>✓ Allocation of adequate resources</li> <li>✓ Training and capacity building</li> </ul>	<ul style="list-style-type: none"> <li>✓ Technical and political leadership in the Ministry</li> </ul>
7. Internal Affairs	<ul style="list-style-type: none"> <li>✓ Government commitment</li> <li>✓ Engaging all the stakeholders at different levels</li> </ul>	<ul style="list-style-type: none"> <li>✓ Departmental Heads with support from Top Management and the Political Leadership</li> </ul>
8. Works and Transport	<ul style="list-style-type: none"> <li>✓ Streamline budget releases to ensure reliability</li> <li>✓ Reduce bureaucratic procedures in the policy formulation process</li> <li>✓ Improve databases</li> <li>✓ Institute adequate formal stakeholder consultations</li> <li>✓ More skills and retooling of the policy and planning units/departments</li> <li>✓ Thorough stakeholder analysis</li> </ul>	<ul style="list-style-type: none"> <li>✓ Support by Ministers and PSs</li> <li>✓ Support by H.E. the President</li> <li>✓ Support by Development Partners</li> </ul>
10. Defence	<ul style="list-style-type: none"> <li>✓ Improving human and financial capacity in MDAs</li> <li>✓ Reviewing mandates of MDAs to reflect clear missions and outputs</li> <li>✓ Raising awareness within the public service about the central place of policy.</li> <li>✓ Career development for the human resource involved in policy development</li> <li>✓ Enhancing analytical skills for policy analysts and empowering the policy analysis units</li> </ul>	<ul style="list-style-type: none"> <li>✓ Whereas, MDAs have a role to play, Cabinet Secretariat as the link with Cabinet has pivotal role to ensure the right policy skills are obtained.</li> </ul>

11.	Ministry of Finance, Planning and Economic Development	<ul style="list-style-type: none"> <li>✓ Standard guidelines for policy research</li> <li>✓ Adequate change management procedure</li> </ul>	✓ OPM/OP
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## 5.2.2 KEY FACTORS IN IMPROVING THE IMPLEMENTATION OF POLICY INITIATIVES IN THE PUBLIC SECTOR

The Ministries suggested a number of factors that are considered key in improving the implementation of Policy Initiatives in the Public Sector. These have been synthesized into the following five categories: Communication, Coordination, Implementation, Monitoring and Evaluation, and Capacity Enhancement.

### (a) Improved Communication

Specific Proposal	Proposing Ministry/Agency
1. Put effective communication strategies in place	MoH, MoPS, MTWH, MoIA, MoLG
2. Encourage acceptance (of Policies and Programs) through wide consultations	MoH
3. Feedback mechanisms	MoPS
4. Improved awareness on policy issues	MoIA
5. Adequate publicity on Policies	MoLG

### (b) Enhanced Coordination

Specific Proposal	Proposing Ministry/Agency
1. Provide for a coordination mechanism at a higher position to call to order that sector on cross cutting issues	MTIC
2. Ensuring consistency of various initiatives	MoH
3. Improved coordination between the central and local government	MTWA
4. Coherence in the policy, planning and budgeting processes	OPM
5. Strengthening interagency coordination and cooperation , Joined up government	OPM, MoGLSD
6. Customizing international initiatives to domestic environment	MoH
7. Reduce interference by MFPED	MoICT
8. Make role of OPM more visible ('Role of OPM is not visible')	MoICT, MoWT
9. Strengthen role of Cabinet Secretariat	MoICT
10. Better coordination of public bodies	MoWT
11. Improve Prioritization 'government has too many policies and a lot of legislation'	MoGLSD

Specific Proposal	Proposing Ministry/Agency
12. Establish cabinet Committees and strengthen linkages with the approved institutional framework for coordination	OPM
13. Strengthen the Public Sector Management-Working Group	OPM

### (c) Rationalizing Implementation

Specific Proposal	Proposing Ministry/Agency
1. Periodically review the implementation process to assess the progress (review at least after every two years) and change the strategies where necessary	MTIC
2. Effective policy implementation should be anchored on an enabling law, regulations, guidelines and circulars; Strengthening of enforcement mechanisms for policy implementation; Introduction of implementation planning guidelines and standards	OPM, MOLG, MoH
3. Increased resources for policy implementation, Adequate funding and logistical support for policy implementation	MOLG, OPM
4. Discipline in budget execution at both macro and micro level	OPM
5. Enhance capacity of Policy Analysis Unit to track implementing of policy in respective sectors and report to OPM and Cabinet Secretariat on policy development and formulation	OPM

### (d) Utilizing Monitoring and Evaluation

Specific Proposal	Proposing Ministry/Agency
1. Take into consideration the evaluation findings; Increased use of evaluation results in management	OPM, MoH, MoPS, MoES ,
2. Enhancing the Monitoring and Evaluation function in Ministries, Departments and Agencies (MDAs)	MoD
3. Improve databases for better and informed policy development	MoWT

### (e) Capacity Enhancement

Specific Proposal	Proposing Ministry/Agency
1. Capacity building of staff and stakeholders involved in the development and implementation of policy in the Public Sector	
2. Pay reform, motivation, rewards and sanctions	

Specific Proposal	Proposing Ministry/Agency
3. Strengthening institutional capacity for policy development and management.	
4. Establishment of a home for policy analysts	
5. Involvement of all key stakeholders in the policy formulation process	
6. Provision of adequate resources for the policy development function	
7. Motivated staff	MoFPED
8. Structures and systems	OPM
9. Strengthen coordination of the implementation of the National Development plan 2010-2015	OPM

### 5.3 CONCLUSION AND RECOMMENDATIONS

5.3.1 **Agenda Setting:** From the findings, analysis and emerging issues of the assessment it is clear that a major constraint that the Uganda Public Service is experiencing in the effective management of the policy making and analysis function lies in the lack of a clear and common policy agenda. Whereas the Ministries rightly pointed out that they derive their policy agenda from the Constitution, the Manifesto, the National Development Plan, the Ministerial Policy Statement among others, clearly there is a lack of convergence of the different sources of policy which has resulted in the divergence of priorities, establishment of the silo mentality in service delivery and inadequate positioning of Ministries to effectively deliver on a common Policy agenda. Based on the findings and analysis it is strongly recommended that Government clearly define its priorities early on in its mandate and strongly communicate this to Ministries, with focused mandate letters to the Ministers for the term of office they occupy.

5.3.2 **Horizontal Policy making, implementation and Coordination:** Government business is a complex business with multiple players pursuing multiple priorities, agenda, public needs, political pressures with tightly constrained resource, financial, equipment and human resource. Because of the complexity of Government, the importance of coordination cannot be underestimated. It is invariably through effective coordination at all levels of government that yield the results that Government obtains at any given time. Whereas government business is complex it does not require rocket science to coordinate these efforts as much as it is requiring having a

clear vision, purpose and the ability to organize (management capacity) the different players to work towards a common goal to achieve a common purpose.

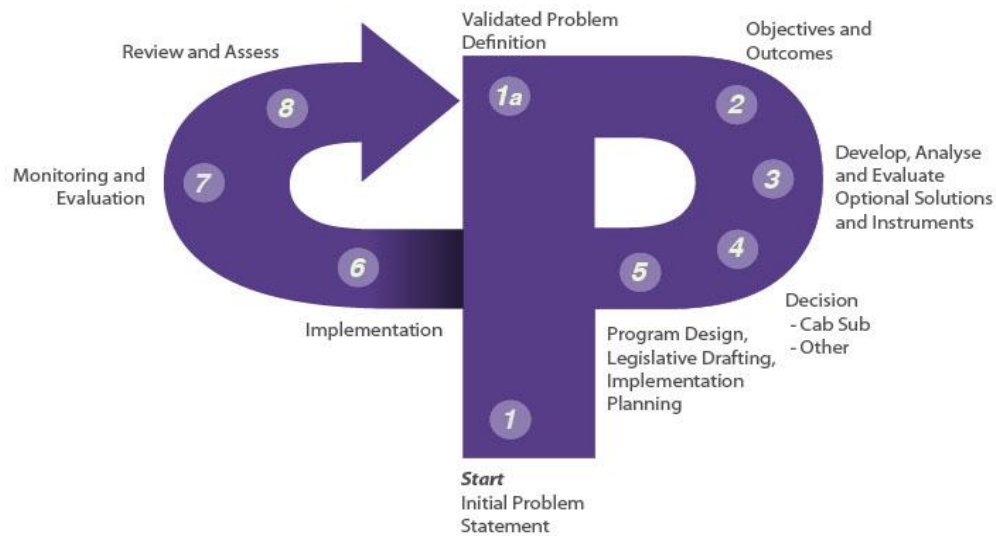
- 5.3.3 To achieve effective coordination, government needs to create a sustained central agency and political commitment to eliminate and avoid the silo mentality. In the current global environment in which government operates it needs to move away from the traditional approach to public management and strongly embrace modern practices of inclusion, consultation, feedback, partnership and networking among others. From the assessment, the necessary institutions are in place such as the SWAps, coordination and implementation frameworks and mandates, What needs to be done is to strengthen the capacities of the responsible agencies like the Office of the President, Office of the Prime Minister, Ministry of Finance, Planning and Economic Development, Ministry of Local Government, Ministry of Public Service and Ministry of East African Community Affairs to play their role effectively.
- 5.3.4 **Decision making:** Decision making in Government ranges from administrative, technical to policy. As defined in Chapter Two of this report, these are processes that a government establishes and the structures it creates to achieve its policy agenda. This is largely influenced by the type of government, electoral mandate, and leadership and management styles of the different heads of government. Key to effective decision making is the realization of the different heads understanding the impact of their actions on government's ability to effectively deliver services, the effect on the human resource and impact on the citizens. The ability or inability to take decisions, at the right time for the right reasons, regardless of the available resources and other short comings in Government, failure to or delay in taking decisions is worse than taking a wrong decision. But to achieve desired policy outcomes, government must of necessity establish well defined policy processes (clearly defining who is responsible for what and consequences of failure) right from policy identification to monitoring and evaluation. The starting point therefore is to create a mechanism for setting and achieving the strategic agenda; coordinating policy, financial and communications decisions making; ensuring appropriate information to support decision making is available; provide a clear and easy process for approving items and setting and maintaining a style of governance that is aimed at improving the lives of the beneficiary-the citizen.
- 5.3.5 **Talent, skills and Knowledge development:** Whereas the Uganda Public Service has made some progress in the area of policy capacity, undoubtedly there is still a lot to be done. The assessment clearly identified skills, knowledge and competency gap in

the public service and recommends defining of competencies and training and education, leadership and governance structures and processes that will improve policy capacity. Furthermore, there is need for the Ministry of Public Service in consultation with relevant agencies to carry out a functional analysis of the policy cadre to better plan for it, and place it strategically to effectively deliver the policy analysis and advisory function. Consequently, there is need to address learning at advanced levels and talent management among others.

- 5.3.6 **Implementation monitoring and evaluation:** Last but not least, good practices in the policy development process require that all stakeholders are involved in the policy development process. More often than not, this is given lip service but the reality is that policy development process in government is narrow and excludes the very beneficiaries it claims to work for. There is need to establish mechanisms for inclusion (some which are already in place) and ensure their effectiveness. Including frontline service providers is critical in the successful implementation of the policy. Establishing innovative methods for citizen engagement is essential. Implementation readiness is a must however, often; this is treated as a low level technical task and is haphazardly done. Often it is designed in generalities which lead to ineffectiveness. Clearly, a level of management, experience and skills equal to the sensitivity, significance, and impact of initiatives should be applied to the design of implementation planning. Data systems need to be established with sufficient resources to obtain robust data and evidence on desired outcomes and effectiveness.
- 5.3.7 Based on the assessment therefore, the above key areas stand out as specific areas of focus for government to enable further strengthening of the policy capacity development in Uganda Public Service. On the basis of the above, a framework has been developed to guide the comprehensive design for capacity development attached to as appendix II.



## Pillar One: Policy Quality Framework



## APPENDIX II: FRAMEWORK FOR POLICY CAPACITY DEVELOPMENT IN THE UGANDA PUBLIC SERVICE

OBJECTIVES	ACTIVITIES	DEPENDENCIES/ASSUMPTIONS	RESPONSIBILITY	TIMELINES
<b>COORDINATION</b>				
<b>Recommendations:</b> <ul style="list-style-type: none"> <li>Establish a forum to coordinate policy submissions involving the Cabinet Secretariat (CS), Office of the Prime Minister (OPM), and Ministry of Finance, Planning and Economic Development (MFPED), Ministry of Public Service (MoPS)</li> </ul>				
1. Effective coordinated policy approach	A. Review and create / reposition a structure for policy formulation and implementation coordination with clear roles and responsibilities between central agencies (OPM, CS, MFPED, MoPS) and line ministries  B. Create a Cabinet Paper for approval  C. Clearly communicate the structure to central agencies and line ministries	A. Buy-in from stakeholders  B. Quality of policy submissions from line ministries (Policy submissions from ministries are of quality and evidence based)	Cabinet Secretariat	Short term (6-12 months)
<b>AGENDA SETTING</b>				
<b>Recommendations:</b> <ul style="list-style-type: none"> <li>Establish a tracking system on government priorities</li> <li>Clearly define the priorities early in the government's mandate</li> <li>Create a mechanism for driving the priorities by central agencies and ministries, including coordination between relevant key political and civil service players, external stakeholders</li> <li>Communicate the government's priorities to the Ministers and MDAs in a timely manner (e.g. mandate letters,</li> </ul>				

OBJECTIVES	ACTIVITIES	DEPENDENCIES/ASSUMPTIONS	RESPONSIBILITY	TIMELINES
<b>directives, performance contracts)</b>				
2. Focused policy agenda	<p>A. Maximize / Capitalize on the Government Annual Performance Report (GAPR) to track government priorities in relation to the Manifesto, National Development Plan to review progress on priorities</p> <p>B. Conduct an environmental scan of emerging issues</p> <p>C. Review and enhance the effectiveness of existing forums for PS to clearly articulate their MDA priorities and commitments and sequence forums with the release of the GAPR (e.g. PS table/retreat)</p> <p>D. Create a comprehensive policy agenda to ensure consistent policy priorities</p> <p>E. Develop a communications plan (including who, what, when, where, how) and tools (e.g. mandate letters, directives, performance contracts, PowerPoint presentations) to effectively communicate and reinforce policy priorities and ensure consistency across government core documents and each MDA</p>	<p>A. Buy-in fromMDAs and other stakeholders</p> <p>B. Timely Release of the GAPR</p> <p>C. Ministries adhere to set priorities and implement them.</p>	<p>OPM as lead agency,</p> <p>NPA ,</p> <p>MoFPED</p>	<p>Short term (6-12 months)</p> <p>Short term (6-12 months)</p>

OBJECTIVES	ACTIVITIES	DEPENDENCIES/ASSUMPTIONS	RESPONSIBILITY	TIMELINES
<b>Horizontal Policy formulation and implementation</b>				
<b>Recommendations:</b> <ul style="list-style-type: none"> <li>• Identify which priorities are horizontal in nature</li> <li>• Triage the Manifesto, NDP and all other agenda objectives that lend themselves to the definition of horizontal policy and pick one or two key areas</li> <li>• Pilot horizontal methods and evaluate effectiveness</li> <li>• Develop a framework for engaging local institutions in cross-cutting policy development</li> <li>• Develop appropriate forums for coordination and policy development (e.g. PS table)</li> <li>• Conduct a detailed joint implementation planning process</li> </ul>				
3. Improved horizontal policy formulation and implementation	A. Create forums where CS, OPM, MFPED determine which policies are horizontal in nature  B. Create PS tables(in addition to the monthly PS' forum) to bring together PSs to collaborate on horizontal policy development (e.g. to clarify roles and responsibilities, create a detailed joint implementation plan and monitoring and evaluation frameworks, report on results and effectiveness)  C. Create mechanisms that encourage leadership to share lessons learned with counterparts	Buy in from MDAs and other stakeholders.  Ministries adhere to set priorities and implement them.	OPM as the lead agency  CS, MoFPED, and NPA	Short term (6-12 months)

OBJECTIVES	ACTIVITIES	DEPENDENCIES/ASSUMPTIONS	RESPONSIBILITY	TIMELINES
<b>DECISION-MAKING</b>				
<b>Recommendations</b> <ul style="list-style-type: none"> <li>• Develop a clearly defined policy cycle that is reflective of the government's budgetary cycle and the policy environment</li> <li>• Processes should be disciplined, consistent and be supported by internal structures</li> <li>• Consider a more robust committee structure that includes permanent and ad hoc committees to strengthen and support Cabinet decision-making</li> <li>• Consider the establishment of a joint forum of senior political and public service officials (e.g. fiscal prep)</li> <li>• Consider the articulation of the decisions to the ministry in a clear and concise manner (e.g. minutes)</li> </ul>				
4. Effective decision-making structures	A. Define the government policy cycle and align to budget cycle	Buy in from MDAs and other stakeholders.	CS as lead agency,	Medium term (12-24 months)
	B. Establish committees (standing and ad hoc) in Cabinet and MDAs to support policy and budget cycles.	Ministries adhere to set priorities and implement them.	OPM, MoFPED, and NPA	
	C. Agree on Cabinet minutes of policy decisions with key stakeholders before presentation to Cabinet approval.	Decisions are informed by evidence.		
	D. Conduct further investigation into findings of the report to better understand MDA decision making structures, templates and processes (e.g. timing of submissions) to determine a way forward on enhancing structures that support Cabinet decision-making	Buy in from MDAs and other stakeholders.	CS as lead agency,	Medium term (12-24
	E. Develop policy options for consideration	Ministries adhere to set	OPM,	

OBJECTIVES	ACTIVITIES	DEPENDENCIES/ASSUMPTIONS	RESPONSIBILITY	TIMELINES
	<p>for permanent and ad hoc committees to review, assess implications, and make recommendations on policy submissions</p> <p>F. Create a joint forum of senior political ministers and public service officials (e.g. Cabinet Secretary) to ensure the policy initiative is consistent with the government's agenda and budgetary requirements and to avoid surprises and align the political and administrative agendas (e.g. PCC?)</p> <p>G. Create a communications plan (including who, what, when, where, how) and tools (e.g. minutes) to communicate decisions to MDAs in a clear and concise manner</p>	<p>priorities and implement them.</p> <p>Decisions are informed by evidence.</p>	MoFPED, and NPA	months)

## IMPLEMENTATION, MONITORING AND EVALUATION

### Recommendations:

- Ensure clear articulation of policy objectives
- Establish an accountability framework (people, structure, processes) to review priority items for implementation and ensure a disciplined performance management system
- Create an organizational results framework for implementing, monitoring and evaluating policy results, including clear roles and responsibilities; Build in departmental capacity assessments to monitor progress
- Determine and create core functions at the enterprise level and use innovative models such as Communities of Expertise – e.g. Literature reviews, project management
- Continue and enhance policy function through policy units or other integrated structural units

OBJECTIVES	ACTIVITIES	DEPENDENCIES/ASSUMPTIONS	RESPONSIBILITY	TIMELINES
5. Ensure performance and accountability for policy results	<p>A. Create a communications plan (including who, what, when, where, how) and tools (e.g. minutes) so that CS, OPM, and MFPED communicates policy objectives to MDAs in a coordinated, clear and concise manner.</p> <p>B. Determine and create core functions at the enterprise level and use innovative models such as Communities of Expertise – e.g. Literature reviews, project management.</p> <p>C. Conduct a functional analysis of Policy Analysis Units with a view to create Policy &amp; Planning Units and increase the number of staff in the Units.</p> <p>D. Create an organizational results framework and performance metrics for implementing, monitoring and evaluating policy results, including clear roles and responsibilities; Build in departmental capacity assessments to monitor progress.</p> <p>E. Establish an accountability framework (people, structure, processes) to review priority items for implementation and ensure a disciplined performance management system</p>	<p>Buy in from MDAs and other stakeholders.</p> <p>Ministries adhere to set priorities and implement them.</p> <p>Decisions are informed by evidence.</p>	<p>OPM as lead agency,</p> <p>CS</p> <p>MoFPED,</p> <p>NPA</p>	<p>Medium term (12-24 months)</p>

OBJECTIVES	ACTIVITIES	DEPENDENCIES/ASSUMPTIONS	RESPONSIBILITY	TIMELINES
	<p>F. Establish report and feedback mechanisms depending on the nature of the policy initiative (complexity, timeframe, program criteria) to facilitate accountability for results and create incentive for implementation</p> <p>G. Establish a mechanism for the Cabinet Secretary to report quarterly on policy results to the President</p>			
<b>POLICY CAPACITY (TALENT, SKILLS AND KNOWLEDGE) DEVELOPMENT</b>				
<b>Recommendations:</b> <ul style="list-style-type: none"> <li>• Apply a competency framework to the behaviors and skills required for the policy community, including soft (interpersonal) and technical skills (research and analytical)</li> <li>• Implement a performance management regime – starting with learning plans to create baseline talent</li> <li>• Create mandatory learning strategy to address implementation, performance measurement and evaluation for all policy staff</li> <li>• Develop a range of formal and informal learning opportunities in partnerships with Universities, external and internal leaders / Consider developing external resources such as think tanks, relationships with academics to build research capacity</li> <li>• Institute a rewards and recognition scheme</li> <li>• Consider instituting succession planning</li> </ul>				
6. Qualified and motivated	A. Deliver induction session to Ministers on the role of the Ministers in the presence of the President or Vice President.	Buy in from MDAs and other stakeholders.	MoPS as the lead agency,	Short Term (6-12



OBJECTIVES	ACTIVITIES	DEPENDENCIES/ASSUMPTIONS	RESPONSIBILITY	TIMELINES
policy personnel	<p>B. Deliver induction sessions on the machinery of government for Ministers.</p> <p>C. Conduct a training needs assessment for Policy Analysts.</p> <p>D. Review / Create mechanisms to brief Ministers on specific policies (e.g. Briefing notes, meetings—mechanisms should be specific to each Minister) and provide them with tools to communicate the policy (e.g. Precis, One page slide, briefing presentation)</p> <p>E. Create forums bring together policy analysts to share best practices and experiences in policy implementation, monitoring and evaluation (Community of Practice)</p> <p>F. Support the MoPS to review/establish core competencies for policy practitioners</p> <p>G. Support the MoPS to create performance plans for policy practitioners</p> <p>H. Link with educational partners to ensure policy courses map to required competencies</p> <p>I. Support the MoPS and management to create learning plans for policy practitioners that include skill</p>	Buy in from MDAs and other stakeholders.	<p>CS, MoFPED, NPA, and OPM</p> <p>MoPS as the lead agency, CS, MoFPED, NPA, and OPM</p>	<p>months).</p> <p>Short Term (6-12 months).</p>

OBJECTIVES	ACTIVITIES	DEPENDENCIES/ASSUMPTIONS	RESPONSIBILITY	TIMELINES
	<p>development in:</p> <ul style="list-style-type: none"> <li>i. Issue identification</li> <li>ii. Research and Consultation</li> <li>iii. Developing options and quality Cabinet submissions/papers</li> <li>iv. Results management and monitoring and evaluation frameworks (focus on outcomes, not outputs)</li> <li>v. Communications planning and implementation (e.g. key messages, plain language, etc.)</li> </ul>			

### APPENDIX III: UGANDA ASSESSMENT TEAM

No.	NAME	DESIGNATION	Responsibility	MINISTRY
1	Mr. John Mitala	Head of Public Service and Secretary to Cabinet	Provided overall strategic direction for the exercise	Office of the President
2	Mr. V. Opio-Lukone	Permanent Secretary/Deputy Secretary to Cabinet	Provided technical guidance to the assessment team during the exercise	Office of the President
3	Ms. Prisca Boonabantu	Under Secretary, Cabinet Secretariat	Reviewed draft assessment report and quality assurance	Office of the President
1	Mr. Abubakar M. Moki	Assistant Commissioner, Economic Affairs	Team Member	Ministry of East African Community Affairs
2	Mr. Naboth Namanya	Assistant Commissioner, Investment and Privatization Sector Development	Team Member	Ministry of Finance, Planning and Economic Development
3	Ms. Sarah Kiggundu,	Principal Policy Analyst	Team Lead	Cabinet Secretariat, Office of the President
4	Mr. Innocent F. Ejolu	Principal Policy Analyst	Team Member	Office of the Prime Minister
5	Ms. Margaret Luzige	Senior Policy Analyst, Directorate of Economic Affairs	Team Member	Office of the President
6	Mr. Atim Kenneth	Senior Policy Analyst	Team Member	Cabinet Secretariat, Office of the President