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for Economic Cooperation
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Federal Foreign Office

JOINT EVALUATION

The German Humanitarian Assistance Abroad

Country Study Uganda



The German Humanitarian Assistance Abroad
Country Study Uganda

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The following report was commissioned by the division “Evaluation of Development Cooperation” of the Federal Ministry for Economic Cooperation and Development (BMZ) in close consultation with the pertinent units in the Federal Foreign Office (Task Force on Humanitarian Assistance) and in the BMZ (Development-oriented Emergency and Transitional Aid). The opinions expressed in this report are those of the independent external experts and do not necessarily reflect the views of the BMZ or the Federal Foreign Office.

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<http://www.bmz.de/de/publikationen/reihen/evaluierungen/index.html> and
http://auswaertiges-amt.de/DE/Aussenpolitik/HumanitaereHilfe/WieHelfenWir_node.html

The full version of the evaluation together with annexes and the individual country studies (in German except for the Uganda study) can be ordered from the BMZ division “Evaluation of Development Cooperation” (eval@bmz.bund.de).

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Preface

This report of the pilot case study Uganda is not only intended to document the findings and recommendations about German humanitarian assistance in Uganda 2005 – 2009 and ongoing. It also serves as a model for case study reports of the up to five additional case studies that are planned in the context of the overall 'Evaluation of German Humanitarian Assistance Abroad'.

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Abbreviations and acronyms

AA	Auswärtiges Amt (Federal Foreign Office)
AA VN05	AA, VN Abteilung für Vereinte Nationen und Globale Fragen; VN05 Humanitäre Hilfe; Humanitäres Minenräumen; UNHCR, UNRWA, OCHA, ECHO; IKRK; Katastrophenvorsorge; Internationale Zusammenarbeit in der Humanitären Hilfe (VN Directorate General for the United Nations and Global Issues; VN05 Humanitarian Aid: Humanitarian Demining; UNHCR, UNRWA, OCHA, ECHO, ICRC; Disaster Prevention; International Cooperation in the Field of Humanitarian Aid)
ADRA	Adventistische Entwicklungs- und Katastrophenhilfe Deutschland e.V. (Adventist Development and Relief Agency)
AGEG	Arbeitsgemeinschaft Entwicklungspolitischer Gutachter
AGEH	Arbeitsgemeinschaft Entwicklungshilfe e.V. (Association for Development Cooperation)
ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
ARGE	Arbeitsgemeinschaft (Association)
ASB	Arbeiter-Samariter-Bund Deutschland e.V.
AU	African Union
BMZ	Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (Federal Ministry for Economic Cooperation and Development)
BMZ, Div. 304 (formerly 323)	BMZ, Referat Ostafrika (BMZ division East Africa)
BMZ, Div. 401 (formerly 213)	BMZ, Referat Not- und Übergangshilfe; Welternährungsprogramm; Krisenstab (BMZ division emergency and transitional aid; World Food Programme (WFP); crisis unit)
BMZ-E	BMZ, Referat 220 Evaluierung der Entwicklungszusammenarbeit (BMZ division 220 evaluation of development cooperation)
CAP	Consolidated Appeal Process
CERF	Central Emergency Response Fund
CFSVA	Comprehensive Food Security & Vulnerability Analysis
CHA	Cessation of Hostilities Agreement
CIM	Centrum für Internationale Migration und Entwicklung (Centre for International Migration and Development)
COP	Country Operations Plan
CRS	Creditor Reporting System

DAC	Development Assistance Committee of the OECD
DARA	Development Assistance Research Associates
DED ¹	Deutscher Entwicklungsdienst (German Development Service)
DETA	Development-oriented emergency and transitional aid
DFID	Department for International Development
DG ECHO	Directorate General for Humanitarian Aid
DKH	Diakonie Katastrophenhilfe
DRC	Democratic Republic of Congo
DRK	Deutsches Rotes Kreuz (German Red Cross)
EC	European Commission
ET	Evaluation team
EU	European Union
EVI	Extremely vulnerable individuals
FAC	Food Aid Convention
FAO	Food and Agricultural Organization
FFA	Food-for-assets
FFE	Food-for-education
FEWS NET	Famine Early Warning System Network
FTS	Financial Tracking System
GHD	Good humanitarian donorship
GOs	Government Organisation(s)
GPPI	Global Public Policy Institute
GTZ ¹	Deutsche Gesellschaft für Technische Zusammenarbeit ²
HA	Humanitarian assistance
HAP	Humanitarian Accountability Partnership
HC	Humanitarian Coordinator
HDI	Human Development Index
HQ	Headquarters
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross

¹ DED, GTZ and InWEnt were merged into Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) on 1 January 2011. As the evaluation already started in 2009, the then names are used in this report.

² Implementing organisation of BMZ for German Technical Cooperation

IDMC	International Displacement Monitoring Centre
IDP(s)	Internally displaced person(s)
IFPRI	International Food Policy Research Institute
IFRC	International Federation of the Red Cross and the Red Crescent Societies
INCAF	International Network on Conflict and Fragility
InWEnt ³	Internationale Weiterbildung und Entwicklung (Capacity Building International, Germany)
IOM	International Organization of Migration
IO(s)	International organisation(s)
IP	Implementing partner
IR	Inception report
KIDDP	Karamoja Integrated Disarmament and Development Programme
LC	Local Chairman
LEGS	Livestock Emergency Guidelines and Standards
LRA	Lord's Resistance Army
LRRD	Linking relief, rehabilitation and development
LWF	Lutheran World Federation
M&E	Monitoring & evaluation
NDP	National Development Plan
NGOs	Non-governmental organisation(s)
NO(s)	National organisation(s)
OCHA	Office for the Coordination of Humanitarian Affairs
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
OHCHR	Office of the High Commissioner for Human Rights
OPM	Office of the Prime Minister
PEAP	Poverty Eradication Action Plan
PRDP	Peace, Recovery and Development Plan for Northern Uganda
PRROs	Protracted Relief and Recovery Operation(s)
RG	Reference Group
THW	Technisches Hilfswerk (Federal Agency for Technical Relief)
ToR	Terms of Reference

³ DED, GTZ and InWEnt were merged into Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) on 1 January 2011. As the evaluation already started in 2009, the then names are used in this report.

SES	Senior Expert Service
UN	United Nations
UNAIDS	United Nations Programme on HIV and AIDS
UNDP	United Nations Development Programme
UNFPA	United Nations Fund for Population Activities
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNPRAP	United Nations Peace Building and Recovery Assistance Programme for Northern Uganda
UNSECORD	United Nations Security Coordination Office
UPDF	Uganda People's Defence Forces
URCS	Ugandan Red Cross Society
u.r.d.	urgence, réhabilitation, développement
VENRO	Verband Entwicklungspolitik deutscher Nichtregierungsorganisationen (Association of German Development Non-Governmental Organisations)
WASH	Water, Sanitation, Hygiene
WFP	World Food Programme
WHO	World Health Organization
ZFD	Ziviler Friedensdienst (Civil Peace Service)

Executive Summary

Background, approach and methodology of the evaluation

In the context of the evaluation of the German humanitarian assistance abroad, commissioned by the Auswärtiges Amt (AA – Federal Foreign Office) and the Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ – Federal Ministry for Economic Cooperation and Development), the country case study Uganda was conducted as a pilot study from May to beginning of September 2010. The field mission with a more detailed evaluation of project case studies took place between 13 June and 03 July 2010.

Objective, object and period of the evaluation

The objective of the evaluation is to undertake an independent, comprehensive analysis and assessment of Germany's humanitarian assistance abroad, in order to gain insights which can be used for management by the two ministries concerned. A further purpose is accountability towards parliament. The following issues have been considered in particular

- (1) relevance and results of the interventions
- (2) interface management between the two ministries – AA and BMZ,
- (3) coordination and complementarity with interventions by other donors, especially the EU and UN organisations,
- (4) appropriateness of the financing channels and
- (5) linking up emergency relief, emergency and transitional aid, reconstruction and development cooperation in line with the LRRD approach (Linking Relief, Rehabilitation and Development).

In addition, recommendations are to be provided for possible improvements.

The object of the evaluation is the humanitarian assistance provided by the AA and BMZ from 2005 to 2009 and ongoing aid interventions. At the forefront of the evaluation are the humanitarian emergency assistance of the AA and the development-oriented emergency and transitional aid of the BMZ, which have been evaluated in greater depth on the basis of six country case studies (Darfur (Sudan), DR Congo (East), Haiti, Myanmar, Chad and Uganda). Other interventions by the AA and interventions by the BMZ for reconstruction and (government and non-governmental) development cooperation have been included with a view to assessing internal coherence and alignment with the LRRD concept (linking emergency relief, emergency and transitional aid, reconstruction and development cooperation). Earmarked contributions to international organisations have also been included in the evaluation, but assessed primarily on the basis of reports and evaluations conducted by the respective organisation itself.

The results of the case study Uganda are integrated into the synthesis report of the evaluation together with the results of the other country case studies.

Design and methodology of the evaluation

Based on the evaluation matrix and project case studies selected for a more detailed analysis (implemented by Arbeiter-Samariter-Bund, Diakonie Katastrophenhilfe, Deutsches Rotes Kreuz, Welthungerhilfe, Deutsche Gesellschaft für Technische Zusammenarbeit, the United Nations High Commissioner for Refugees and the World Food Programme), a mix of

methods and instruments was used by the team of the three evaluators for the collection and analysis of primary and secondary data. These include the analysis of relevant data basis and documents, a briefing and a debriefing workshop at the beginning and end of the field mission, semi-structured interviews and group discussions with different actors and groups of actors as well as direct observations both at organisational level (in Germany and Uganda) and during project visits.

Country context – humanitarian crises and responses

Uganda can point to impressive development results despite the various humanitarian crises. These crises are caused by civil war and terror, various types of conflicts, refugee influxes from neighbouring countries as well as epidemics, drought and floods mainly in the northern parts and – with regard to refugees – also south-western part of Uganda. Conflict patterns are distinctly different in Western and Central Northern Uganda as compared to North-eastern Uganda.

Millions of people were and hundreds of thousands still are affected by these protracted IDP (internally displaced people), refugee and acute emergency crises with serious consequences for the livelihoods of affected people and the development of the country as a whole. The status of major humanitarian and development indicators with regard to poverty, health, food/nutrition, WASH, vulnerability and internally displaced people (IDPs) and refugees is reflecting these consequences with remarkable differences between the worst situation in Karamoja (North-eastern Uganda) and a humanitarian and development situation in Northern Uganda that is still far below the national average.

At the time of the evaluation, short-term humanitarian prospects were still relatively favourable with a good outlook for the forthcoming harvest. But the situation is still fragile due to continued incidences of attacks in North-eastern Region, new threats through terrorist bomb attacks, uncertainties about possible consequences of upcoming political events in Uganda and neighbouring countries and continuing threats of natural disasters. Distinct humanitarian needs are remaining while the primacy of recovery and the need for development-solutions to these persisting humanitarian needs is acknowledged.

Framework conditions, especially the security situation and high political interest for peace, significantly improved after the signature of the Cessation of Hostility Agreement in 2006. This change also improved access to affected people and areas. The international community including Germany used this window of opportunity to support the peace process through a wide range of humanitarian and other interventions.

During the evaluation period, the AA and BMZ provided a total of about 18.3 million euros for 53 projects implemented through national (nine NGOs, GTZ, THW) and three international organisations (ICRC, UNHCR, WFP) during the period 2005 to 2009. Overall, the AA provided about 6,968,392 euros, and the BMZ 11,282,326 euros during the above mentioned period corresponding to 38.2 and 61.8 per cent of the overall volume of the humanitarian assistance provided by the German Government to Uganda (2005-2009). While AA support to humanitarian assistance (HA) focused on the years 2006 and 2007 and was phased out in 2008, BMZ supported HA projects were implemented at the same time, and increased in volume after 2006. The German HA was and is especially targeted at various parts of Northern Uganda (but

also south-western parts) and population groups affected and most in need of HA.

The Ugandan Government supported by civil society and the international community face the immediate task of significantly scaling up recovery and rehabilitation interventions and assuring that development efforts reach the village level while funding for emergency relief and early recovery is phased out. The current gap and 'funding trap' between these two approaches endanger the early gains through the past massive HA interventions and entail the risk of losing the peace dividend achieved so far.

Main findings and conclusions

In this context, humanitarian actors involved in German funded HA could achieve **good positive results** through various types of HA interventions at field level. This was possible due to a number of **strengths**. However, some **weaknesses and challenges** persist and influence the results of the interventions.

Relevance and appropriateness

- Overall, the German HA in Uganda during the evaluation period was and still is very relevant and mostly appropriate. In general, German HA meets felt and objective needs of crises affected populations and responds to their problems.
- The link of HA interventions with GoU policy frameworks, strategies and programmes is still weak. This is considered a contributing factor to problems related to funding and coordination (see below).
- Not all technical solutions are appropriate, especially the complexity and duration of the projects poses major challenges for implementation and connectedness, but also single technical aspects.

Appropriateness of financing channels

- The AA and the BMZ collaborate with a wide range of implementing partners (NGOs, IOs and GTZ) in the German humanitarian response to the crises in Uganda. This is in line with the (implicit) partnership objective of the German funded HA. However, transparency about strategies and criteria for the selection of partners and allocation of funds is insufficient.

Effectiveness and coverage

- There is a lack of essential data for evaluation and performance assessment of German-funded HA, especially with regard to the quantification of actual results vs. planned, the coverage, and information about other interventions and other factors potentially influencing changes of living conditions in targeted areas and project results.
- Overall, the technical implementation of the different project activities is often good, mainly in the field of supply of safe drinking water, sanitation and hygiene, food security and food assistance.
- Remarkable (short term) results could be achieved. They cannot, however, sufficiently be quantified so that a comparison between plans and actual results is often difficult; hardly any negative effect is reported or observed.
- Implementing partners are making impressive human capacities available for the implementation and management of the different HA interventions; they face significant challenges in mobilising staff at short notice and for remote project locations as well as retaining the staff.

Financing channels

- The implementation of German-funded HA can rely on a wide range of

financing channels/implementing partners with respective comparative advantages and HA capacities that are relevant and appropriate for the implementation of HA projects.

- German funded contributions earmarked to the operations of international organisations in Uganda are relatively small making their relevance and efficiency questionable.

Efficiency

- As far as possible, local purchase of food for food assistance, and local procurement of other products/non-food items was applied.
- Despite the fact that evaluating efficiency is difficult and efficiency aspects receive little attention in project reporting, available information suggests that some efficiency gains can be achieved if project durations are prolonged through the better use of start-up interventions and by adding a relatively low-cost follow-up phase.

Impact

- Although it is difficult to assess impacts and the potential rehabilitation of living conditions as compared to pre-crisis level, some plausible links between project interventions and broader term goals and wider effects (impacts) can be claimed for German-funded HA, e.g., contributions to the improvement of livelihoods and a more dignified life as well as to self-help capacities and conditions for empowerment of communities. Whether or not target groups are less vulnerable to future crises depends on the degree of self-sufficiency and resilience that can be reached through project interventions.

Sustainability/connectedness

- Implementing partners of German-funded HA increasingly use local capacities in project implementation,

especially local staff; partnerships with local organisations are still limited to some organisations; all implementing partners collaborate with local administrative and technical services, however, to a different degree.

- Many projects form and use local committees and self-help capacities, and ensure the development of capacities necessary to create favourable conditions for longer-term results.

LRRD issues (DETA – development)

- Implementing partners have a good consciousness of LRRD issues and challenges, and developed their own strategies in order to face these challenges. However, funding sources for a follow-up of DETA projects that are accessible to NGOs are quite limited. Several representatives of implementing partners voiced a quite high degree of self-criticism with regard to the own organisation's focus on and capacities for linking emergency relief with rehabilitation/recovery, and with development early enough.
- Early gains and benefits of HA interventions and connectedness/sustainability are not (yet) ensured in a situation where (humanitarian) project related funding is phasing out and more programmatic and development oriented funding often does not reach the ground at scale. This implies a high risk of losing the peace dividend achieved so far.

Coordination and complementarity

- The picture related to the coordination of German-funded HA is quite patchy. Coordination is supported in principle, taken seriously and actively pursued by actors in Kampala and at field level.
- While the HA cluster coordination is gradually phasing out, the links

between the mostly UN-led cluster coordination system and the GoU led sector working groups are still weak making coordination, LRRD and appropriate connectedness difficult.

- The limited capacities available at the German Embassy in Kampala for the coordination of German-funded HA demands for a pragmatic approach; interface management at field level in Uganda was ensured through the Head of Cooperation at the German Embassy who ensured the management and coordination of both the HA (AA and BMZ funded) and the development cooperation. At ministerial level in Berlin, the interface management between the two ministries followed the usual procedures of mutual information and consultation in the context of new projects.
- Coordination capacity of implementing partners is not systematically promoted and budgeted for, leaving their engagement in overall coordination patchy.

AA-BMZ interface management

- AA and BMZ interface management at ministerial level in Berlin was and is ensured through the responsible desk officers in charge in the respective divisions and follows the usual approach of mutual information and consultation in the context of the decisions about new projects. The interface management between AA and BMZ funded HA at field level was and is ensured by one person in the Embassy who is in charge of a large portfolio.

LRRD issues (emergency relief – DETA)

- The German-funded HA in Uganda as a whole followed a clear LRRD approach with AA funded emergency relief through NGOs and IOs and some

BMZ funded DETA projects. However, no evidence was found in Uganda that this phasing and ‘handing-over’ from emergency relief to rehabilitation/recovery/transitional aid of German funded HA was systematically and strategically planned, organised and managed by the two ministries.

- So far there is no direct link between the DETA projects and the German bilateral development cooperation. However, there are limits to such linkages because of the strategic orientation within the priority areas with target groups and areas of intervention that do not necessarily concur with those of the DETA project. The possibilities and potentials of implementing partners of German funded HA to access and mobilise funding sources other than German donors in order to ensure a follow-up of DETA activities vary.

Cross cutting issues

- Some good practices on mainstreaming cross-cutting issues (human rights, gender, conflict/‘Do-no-harm and environment) exist in the context of the German-funded HA interventions.
- Overall, cross-cutting issues have not yet been systematically integrated or mainstreamed in the management cycle of German-funded HA.

Main recommendations

Based on these findings and conclusions, the following main strategic and operational recommendations – some Uganda specific, others also related to German funded HA in general (as far as they can be derived from the Uganda case-study) – are made:

Strategic recommendations (Uganda case study specific)

- Link HA to relevant GoU frameworks and programmes as early as possible;
- Speed-up development interventions in former crisis affected areas and ensure, together with other donors and the humanitarian community, that they reach the ground.
- Based on close monitoring and regular updates of needs assessments, stay engaged in field level projects with immediate benefits for crises affected populations on the ground.
- Revise project approaches, especially consider complexity vs. duration, technical solutions vs. need for follow-up (costs, support to capacity development), livelihoods under given security and climatic conditions; this should be done in dialogue with the BMZ.

Strategic recommendations related to German HA in general

- Systematically report on actual results versus planned and coverage of HA interventions, and integrate these aspects into the respective formats.
- Pay more attention analysing efficiency of HA projects, i.e. develop an appropriate methodology and integrate this aspect into project reporting.
- Take LRRD and/or withdrawal strategies into consideration from the very beginning of operations and regularly revise them.
- Expand project duration (to meet complex needs) and make low-cost follow-up phases possible;

alternatively, reduce project components (complexity); this should be done in close dialogue with the BMZ in order to better understand the opportunities and limitations involved.

- Ensure more transparent and criteria-based selection of financing channels and decision-making about allocations of German HA funds.
- Review the relevance, effectiveness, efficiency and opportunities of relatively small contributions to IO as compared to more significant contributions to a limited number of strategically chosen operations/countries or un-earmarked contributions.
- Systematically integrate all relevant cross-cutting issues and aspects related to HA principles and codes into project proposal and reporting formats as well as respective guidelines.

Operational recommendations related to German HA in general

- Regularly assess own technical and managerial capacities and address possible capacity gaps.
- Actively search for potential partnerships with local organisations and discuss about the need for capacity development; ensure project durations (DETA) of at least two, better three to four years to allow for meaningful development of local capacities.
- Ensure budgeting for coordination capacities (at senior level) and active contribution to the quality of coordination.

1. Background and introduction

Commissioned by the Auswärtiges Amt (AA – Federal Foreign Office) and the Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung (BMZ – Federal Ministry for Economic Cooperation and Development), the German humanitarian assistance (HA) abroad is exposed to an independent external evaluation. The present evaluation is one of six country case studies (pilot case study Uganda, Haiti, Chad, Darfur (Sudan), Myanmar, Democratic Republic of Congo (East) that are conducted in the context of this evaluation.

1.1 Objective, purpose, object and evaluation period

The objective of the evaluation is to undertake an independent, comprehensive analysis and assessment of Germany's humanitarian assistance abroad⁴, in order to gain insights, which can be used for management by the two ministries concerned. A further purpose is accountability towards parliament.

The following issues are to be considered in particular:

- 1 Relevance and results of the interventions which are to be assessed by means of case studies
- 2 Interface management between the two ministries – AA and BMZ (quality of planning in the head offices and also management in the field, particularly with regard to internal coherence)
- 3 Coordination and complementarity with interventions by other donors, especially the EU and UN organisations
- 4 Appropriateness of the financing channels (international versus national organisations, taking into account local implementing capacities) and
- 5 Linking up emergency relief, emergency and transitional aid, reconstruction and development cooperation in line with the LRRD approach (Linking Relief, Rehabilitation and Development)

with recommendations being provided for possible improvements.

The evaluation is part of a comprehensive work program by the inter-ministerial working group for evaluating the humanitarian aid of the AA and BMZ. The aim is to make an overall assessment of humanitarian assistance abroad and also set up a coherent system for performance assessment and evaluation.

The main beneficiary of the evaluation is the inter-ministerial working group of the AA and BMZ. Further intended beneficiaries are other stakeholders – in particular the organisations receiving support – and parliamentary bodies.

The object of the evaluation is the humanitarian assistance provided by the AA and BMZ in the last five years (2005 to 2009) and ongoing aid interventions if any. At the forefront of the evaluation are the humanitarian emergency assistance of the AA⁵ and the development-

⁴ Humanitarian mine clearance is not included here.

⁵ The emergency response of the German Federal Foreign Office (AA) consists of interventions carried out in order to address initial, immediate needs after a natural disaster, and also in the case of

oriented emergency and transitional aid of the BMZ⁶, which are to be evaluated in greater depth on the basis of about six case studies. Other interventions by the AA and interventions by the BMZ for reconstruction and (government and non-governmental) development cooperation are to be included with a view to assessing internal coherence and alignment with the LRRD concept (linking emergency relief, emergency and transitional aid, reconstruction and development cooperation). Earmarked contributions to international organisations are also to be included in the evaluation. However, they are to be assessed primarily on the basis of reports and evaluations conducted by the respective organisation itself (see Terms of Reference, ToR, in Annex 1).

The results of the case study Uganda are integrated into the synthesis report of the evaluation together with the results of the other case studies and other relevant information.

1.2 Evaluation design, methodology and process

In the context of the evaluation, a pilot case study in Uganda was proposed⁷ and accepted, in order to test the approach and methodology for the other cases (Haiti, Chad, Myanmar, Democratic Republic of Congo (East) and Darfur (Sudan)).

1.2.1 Evaluation approach

The evaluation of the pilot case study Uganda has the same generic objectives, approaches and methodologies as developed during the preparation phase and presented in the Desk Report. However, due to the transitional nature of the Ugandan situation (Uganda is a major recipient of HA as well as a long-standing development partner), questions regarding the concept of LRRD will be more prominent compared to, for example, a case study with a major fast-onset crisis like Haiti.

In the context of the pilot case study, the overall evaluation matrix as presented in Annex 14 of the Desk Report was applied, tested and further refined. A few changes and specifications related to the sub-questions, levels of analysis, fields of observation/indicators, and resource persons have been inserted so that a well-tested and revised evaluation matrix is now available as common evaluation framework for all additional case studies. Questions and sub-questions that are relevant in the context of the field mission are marked in yellow (see Annex 3).

Based on the evaluation matrix and the overall methodology, a mix of methods was used in the context of the evaluation of the Uganda case study.⁸ Also taking into consideration the

complex crisis situations or armed conflicts. It includes emergency and disaster aid interventions, refugee assistance and humanitarian mine clearance. Because of their objectives, these interventions usually have a duration of up to six months. Disaster prevention projects are increasingly being added to the humanitarian activities.

⁶ The aim here is to bridge the gap between the humanitarian assistance interventions and development cooperation – which seeks to achieve structural impacts – thereby creating a foundation for sustainable development after acute crises. This includes measures to make sure that sufficient food is available through food aid and food security programmes, measures aimed at creating or re-establishing basic social and infrastructural provisions, strengthening the self-help powers of the affected women and men, and providing aid for refugees. Project duration is generally between six months and three years.

⁷ See also Desk Report of the evaluation, Annex 3

availability of resource persons, the overall schedule of the field mission and of the specific project field visits, some flexibility in the combinations of methods was necessary. Details on the programme of the evaluation, the itinerary of the project field visits and the contacted resource persons that allowed for this data collection can be found in Annexes 2, 4 and 5).

Methods

Essentially, the following methods, which allow for a good triangulation of information and data sources,⁹ were applied for primary data collection at different levels:

- Analysis of AA and BMZ databases of HA interventions (as reported according to budget lines);
- Analysis of project case studies: project cases were selected (see Chapter 1.2.2) for a more detailed analysis¹⁰;
- Semi-structured interviews of relevant resource persons in Germany, Kampala and at project/field level: based on a stakeholder identification (see Annex 10 of the Uganda Inception Report), relevant discussion partners were identified and respective contacts prioritised before, during and after the field mission, i.e. representatives of the AA, the BMZ, the German Embassy, the implementing partners of the AA and BMZ (IOs, NOs as selected for project case studies), the local partners of the AA/BMZ implementing partners, government representatives (political and technical level), other IOs (OCHA, DG ECHO and ICRC¹¹), other projects (UNHCR-BMZ-Partnership Operation, GTZ Water Sector Programme¹²) and an advisor in the Office of the Prime Minister (OPM) as well as representatives of village/community development and user committees and beneficiaries of German funded HA projects;
- Briefing Workshop: This workshop served the double purposes of informing about the evaluation and providing space for questions as well as collecting stakeholders views and perspectives related to major evaluation questions and topics through a standardised questionnaire and a semi-structured group discussion; the list of participants at the briefing workshop is presented in the Debriefing Note of the evaluation (see Annex 6);
- Semi structured group discussions with representatives of village committees, user committees, beneficiaries and non-beneficiaries;
- Direct observation of project activities and results, for example boreholes and pumps, school latrines, demonstration fields, beneficiaries' fields and gardens, tree nursery, theatre rehearsal; these visits at field level were also the opportunity to deepen some specific evaluation questions and issues (as per evaluation matrix);

⁸ Lessons learnt with this approach are presented in a separate paper.

⁹ See Glossary for the understanding of this technical term.

¹⁰ It has, however, to be stressed that these are not project evaluations, but project cases are taken as examples of various types of interventions financed in the context of German HA.

¹¹ These were important resource persons to understand the complexity of the crises, the international response to the humanitarian crises as well as the coordination, planning and steering mechanisms.

¹² They were contacted for background information and LRRD considerations.

- **Debriefing Workshop:** This workshop was organised in order to present and discuss the preliminary findings and tentative recommendations of the evaluation team; the list of participants is presented in the Debriefing Note of the evaluation (see Annex 6).

The primary data collection was complemented through a review and analysis of secondary data and information. Publicly available documents have been identified through internet research as well as discussion and exchange with the resource persons. In addition, comprehensive project documentations and other documents submitted by resource persons have been taken into consideration (see list of references).

Including German HA contributions to programmes of IOs in the evaluation poses a challenge to the methodology.¹³ The German funding is part of broader operations of the IOs and contributes to their overall outputs and outcomes. The German contributions are examined as AA and BMZ project case studies (as described above under selection of projects) primarily on the basis of reports and evaluations conducted by the IOs themselves as well as interviews with relevant resource persons of the organisations.

Instruments

The main instrument is the evaluation matrix (see Annex 3). Based on this matrix, a number of instruments were used in a more or less formal way for guiding the primary data collection during the group discussions, interviews, workshops, and observations in the field, especially checklists of prioritised topics/themes based on the evaluation questions, semi-structured interview guidelines and a standardised questionnaire.

For the analysis of the collected data and information, the evaluation team used several analysis grids. Essentially, these were (apart from the evaluation matrix) the structure of the Case Study Report and project fact sheets (see Annex 7) presenting major features and results of the project case studies.

Reconstruction of the intervention logic

In the absence of a theory of change/intervention logic of German humanitarian assistance in Uganda (and in general), the intervention logic was reconstructed by the evaluation team (see Chapter 3.3.3). This intervention logic is the framework against which the HA is evaluated.

1.2.2 Selection of projects

Project case studies of selected HA interventions financed by the AA and BMZ are central elements of the country case studies. Overall, these project case studies have to reflect the HA portfolio as implemented during the evaluation period. As presented in the Uganda Inception Report, the following selection criteria were used for the selection of these project case studies:

- Projects funded by both the AA and the BMZ;
- Projects by different implementing partners (IOs, NGOs, bilateral German organisations, larger and smaller organisations);
- Different technical sectors (as far as distinguishable from the project's name);

¹³ For more details on this see Chapter 4.3 of the Desk Report

- Projects directly addressing the target group and 'support'-projects (if any);
- Projects that build on previous similar projects (at least as the project title suggests);
- Different DAC codes¹⁴ including disaster prevention and preparedness projects (DAC Code 74010) (if any);
- Project period, i.e., inclusion of ongoing and completed projects (in the case of HA funded by the AA, all projects in Uganda are completed);
- Non-existence of other evaluations with similar ToR that have covered the project;
- Last, but not least, the location in one of the geographical clusters for logistical reasons.

Based on the HA portfolio funded by the AA and BMZ during the period 2005 to 2009 including on-going interventions (see Chapter 3.3 and Annex 11 of this report) and the set of selection criteria, a number of projects were proposed by the evaluation team and finally selected as cases for more detailed evaluation and field visits.¹⁵ The selection reflect the geographical focus of major humanitarian crises (see Chapter 2.2) and the respective geographical foci of German funded HA in Uganda (see Chapter 3.3) in different parts of Northern Uganda¹⁶, i.e., the internally displaced people (IDP) and livelihood projects in the Central North with Oyam, Kitgum and Pader, and the drought/flood/famine/conflict management projects in the Karamoja Region, mainly Moroto District (see map in Annex 4).

The following projects were selected:

- Arbeiter-Samariter-Bund Deutschland e.V. (ASB): three projects HA to IDPs in Central Northern Uganda (Pader, Oyam)
 - 2006: HA for IDP households in Southern Pader District (distribution of non-food items: hygiene and sanitation kits, blankets, jerry cans) (AA, 91,305 euros)
 - 2007: HA for IDPs in Pader and Oyam Districts (distribution of non-food items) (AA, 440,700 euros)
 - 2008: HA for IDPs and returnees in Pader District (distribution of non-food items) (AA, 170,980 euros)

Selection criteria: projects funded by the AA, implementing partner is a relatively small NGO, hygiene and sanitation sector (distribution of non-food items), projects directly addressing the target group, 2007 and 2008 projects build on experiences with similar previous projects, completed projects, Central Northern cluster

- Diakonie Katastrophenhilfe (DKH): two projects in Central Northern Uganda

¹⁴ Relevant DAC Codes are (i) 72010 (material relief assistance and services), (ii) 72040 (emergency food aid), (iii) 72050 (relief coordination, protection and support services), (iv) 73010 (reconstruction relief and rehabilitation), (v) 74010 (disaster prevention and preparedness), and – according to the agreement in the context of this evaluation – (vi) 52010 (food aid/food security programmes) (OECD DAC Working Party on Statistics 2007).

¹⁵ As commented by several stakeholders of the evaluation this is a challenging programme. A certain flexibility with regard to the number of project cases to be included was accorded to the evaluation team depending on field level and travel conditions.

¹⁶ See Chapter 2.2.1 for more explanations on

- 2007: Humanitarian assistance in Pader and Kitgum Districts (distribution of non-food items, water supply, latrines) (AA, 530,000 euros)
- 2009: Improvement of potable water supply and food in conflict-affected communities, Kitgum and Lamwo Districts (BMZ, 500,000 euros)

Selection criteria: projects funded by the AA and BMZ, implementing partner is a relatively big NGO, water and food security/agriculture sector, one completed and one on-going project, Central Northern cluster

- Deutsches Rotes Kreuz (DRK): three food security and WASH (water, sanitation and hygiene) projects in Oyam District
 - 2007 Reconstruction, potable water, health for former IDPs, Northern Oyam District (BMZ, 400,000 euros)
 - 2009 Food security measures for returnees and former IDPs, Oyam District (BMZ, 380,000 euros, without budget increases in 2010)
 - 2009 Potable water and sanitation for returnees and IDPs, Oyam District (BMZ, 360,000 euros, without budget increases in 2010)

Selection criteria: projects funded by the BMZ, implementing partner is a relatively big NGO, various sectors (reconstruction, potable water, health, sanitation, food security), projects directly addressing the target group, 2009 projects partly build on experiences with similar previous projects, one completed and two on-going project, Central Northern cluster

- Welthungerhilfe: one project in North-eastern Uganda (Karamoja Region)
 - 2009: Food security, reduction of violent conflicts, Moroto and Nakapiripiti Districts (BMZ, 765,700 euros, without budget increases in 2010)

Selection criteria: project funded by the BMZ, implementing partner is a relatively big NGO, various sectors (food security, conflict reduction), project directly addressing the target group, project partly builds on experiences with similar previous projects in other regions of Uganda, on-going project, North-eastern cluster

- GTZ: one project in North-eastern Uganda (Karamoja Region)¹⁷
 - 2009; Food security and strengthening of peaceful conflict management, Moroto District (BMZ, 1,000,000 euros, without budget increases in 2010) taking also into consideration the food aid component (proposed in 2010)

Selection criteria: project funded by the BMZ, implementing partner is an implementing organisation of the bilateral development cooperation, various sectors (food security, peaceful conflict management), project directly addressing the target group, project partly builds on experiences with a similar previous project in another region of Uganda, on-going project, North-eastern cluster

- UNHCR: one project¹⁸, contributions to one refugee operation

¹⁷ Based on comments received to the Draft Inception Report and additional discussions with BMZ (Divisions 401 and 120), the decision was made to replace the initially proposed (already completed) projects by these ongoing project(s).

- 2007: Emergency assistance to Congolese (Democratic Republic of Congo, DRC) asylum seekers and refugees in South-west Uganda (AA, 500,000 euros)

Selection criteria: project funded by the AA, implementing partner is an IO, various sectors (food security, peaceful conflict management), project directly addressing the target group, project partly builds on experiences with a similar previous project in another region of Uganda, completed project (no field visit foreseen for IO projects)

- WFP: two projects, contributions to two Protracted Relief and Rehabilitation Operations (PRROs)
 - 2007: PRRO 10121.1: 1,776 MT maize (BMZ, 500,000 euros)
 - 2008: PRRO 10121.2: 1,534 MT maize (BMZ, 500,000 euros)

Selection criteria: projects funded by the BMZ, implementing partner is an IO, one sector (food aid), project directly addressing the target groups, completed projects (no field visit foreseen for IO projects)

1.2.3 Field mission and evaluation team

Preparations of this case study evaluation started in May 2010. The field mission to Uganda took place during the period 13 June to 3 July 2010 (including travel times). The project visits outside Kampala took place from 18 June to 27 June. The detailed programme of the evaluation is presented in Annex 2.

The evaluation was conducted by two members of the core team (Dr Lioba Weingärtner, team leader, and Thomas Hoerz, co-team leader). The local consultant was Ronald Kitanda.

1.2.4 Evaluation products of the case study Uganda

According to the ToR and additional agreements with the commissioners, the following products of the pilot case study were and are to be delivered:

- Inception Report (English), including the consolidated portfolio of the German humanitarian assistance in Uganda (June 2010);
- PowerPoint presentations for the briefing workshop at the beginning of the field mission and the debriefing workshop at the end of the field mission, both in Kampala (June 2010);
- Debriefing Note of the pilot study (see Annex 6) (12 July 2010);
- Pilot Case Study Report (in English language) taking into consideration comments to the draft by the reference group, WFP and DRK (May 2011);
- As the Uganda case study was selected as a pilot study: a Lessons Learnt Paper, instructing the additional case studies of the evaluation (28 July 2010).

¹⁸ Even though no project of the UNHCR-BMZ partnership programme is listed in the portfolio analysis (they are not reported on a country basis in the data base of BMZ, Div. 401), the team will take the partnership programme into consideration when analysing the AA and BMZ funded Uganda operations of UNHCR.

1.2.5 Challenges, limitations of the methodology and constraints

The methodology as developed during the preparation phase of the evaluation and further refined, tested and applied in the context of the Uganda pilot case study allows for a comprehensive evaluation of German HA at country level. It, however, still has some limitations and challenges:

- The compilation of the HA portfolio of the country case is an important step in the evaluation; however, it is a challenging and time consuming undertaking because available data is scattered, data differ among different sources, and databases do not always contain the complete information related to all agreed upon selection criteria for the project case studies;
- As the decision about the selection of project case studies was made only a few days before the field mission, the collection and review of relevant project reports and documentation before the field visits demanded some flexibility of the implementing partners and the evaluation team; as major parts of the project documentation is available in German only, access to this information is limited for the local consultant;
- There is no common theory of change (intervention logic) of the German HA at country level and no systematic results-oriented design, planning, implementation, monitoring & evaluation (M&E) of, and reporting on German funded HA at ministry level; this situation requested a reconstruction of the intervention logic and a compilation of basic project information by the evaluation team in order to facilitate the evaluation of project results and key evaluation criteria;
- Some of the project case studies have already been completed some years ago making it difficult to trace resource persons who still had direct personal knowledge about the specific interventions. In these cases, the analysis of the project cases was mainly based on document analysis complemented by beneficiary interviews and more indirect personal information by representatives currently in charge of HA interventions of the respective implementing partners;
- Accommodating the enormous amount of data and information to the framework of the Country Case Study Report given by the ToR (with regard to the comprehensive task, evaluation standards and number of pages) implies choices with regard to the depth vs. the breadth of analysis while still managing the different interests of various stakeholders involved.

2. The country context

2.1 General country profile

Uganda is a land-locked country and is characterised by a favourable climate for agriculture, its dominant economic activity and basis of livelihood. The country exports fish and a range of agricultural raw products: Recently, oil was discovered in the Albertine region in Western Uganda. The 2009 Human Development Report evaluates Uganda as one of the poorest countries with a Human Development Index (HDI) ranking 157 out of 182 countries.

The turbulence of Uganda's pre-colonial history finds its roots in the rise and fall of the Kingdoms ruling over the populations of the region. Uganda later became a British colony

and its boundaries bring together a wide range of ethnic groups with diverse political systems and cultures. After its independence in 1962, the country enjoyed a short period characterised by a flourishing economy with an annual GDP growth rate of 5 per cent and an annual demographic growth of 2.6 per cent. Unfortunately, the various post-colonial governments never succeeded in reaching a consensus for national unity. This led to political unrest and armed conflicts in the 1970s and 1980s. This in turn negatively affected the economic progress, the bases of livelihood and the provision of social services. Since Yoweri Museveni took power in 1986, the Southern part of the country has been more stable. This facilitated general economic growth. However, until today, the North, North-East and some parts of Western Uganda lag behind in terms of economic growth and social service provision (see also Table A19.2 in Annex 9).

Uganda's political system of government is that of a Presidential Republic. The President rules over the Executive branch, and is simultaneously head of state, head of government and commander-in-chief of the defence forces. Yoweri Museveni has been president since January 1986, through a military coup that brought him to power. He was elected for the first time in 1996, after the adoption of the constitution in 1995, re-elected in 2001, and later in 2006. In 2001 and 2006, the opposition boycotted the parliamentary elections. The first multi-party elections were held in February 2006.

Uganda's administration relies on a decentralised system of governance. This system was initiated in 1992 and hailed as unique among developing countries in terms of the scale and scope of the transfer of power and responsibilities from the national to the local level. It has been praised as one of the most far-reaching local government reform programs in the developing world and as one of the most radical devolution initiatives. Decentralised governance represented a part of the political strategy to install a new and revolutionary concept of democracy: a democracy that is participatory, grass-roots based, and popular. It was thus a priority to implement decentralisation rapidly and in a holistic way. However, several shortcomings such as low levels of accountability, insufficient human and financial resources, corruption, patronage, and resistance to decentralisation from the central government constrained the proper implementation of the reform. These factors put the planned improvements in participation and increase of efficiency at risk and ultimately jeopardised the intended impact on poverty.

The country has a rapid population growth. The total population of Uganda was 4.9 million in 1945 and increased to 29.8 million in 2006, a six-fold increase in the past 61 years.

A wide range of rivalries and conflicts between various groups led the country to slide into armed conflicts and violent power struggles in the last decades. While a set of common causes of conflicts are apparent in the country, these manifest differently in the various regions of the country (see Chapter 2.2). The situation in the North-East is still very tense, whereas the North finds itself in the immediate post-conflict period and the West has established more stability (Paffenholz und Rujumba 2010).

Uganda figures among the 48 countries listed as fragile and conflict affected states and covered by the initiatives of the OECD DAC International Network on Conflict and Fragility¹⁹.

In comparison to other sub-Saharan countries, the East African state of Uganda can point to impressive development progress despite the fact that wars and terror have long ruined the

¹⁹ OECD DAC INCAF (2009)

country's economy. Uganda's consistent poverty reduction policy combined with sound economic and financial policies have made Uganda one of the beacons of hope in the region. When the current president, Yoweri Museveni, took power in 1986, a comprehensive agenda of reforms was launched and made great headway. Uganda's Poverty Eradication Action Plan (PEAP) has helped significantly reduce the number of people living below the poverty line from 56 per cent in 1992 to 31 per cent in 2007.²⁰

2.2 Humanitarian crises and conflicts in Uganda

Terror and hostilities have been dominant features of Uganda's recent history and Uganda has been a 'forgotten crisis' for many years. Under rulers Idi Amin and Milton Obote, over 300,000 people were murdered or died in war and detention camps between 1971 and 1986. Over the following decades, armed conflicts broke out repeatedly, especially in Northern Uganda²¹, between the Ugandan armed forces and the rebel LRA causing many civilian deaths and injuries. Northern Uganda has been a 'forgotten crisis' for many years, but when terror of the LRA and government counter-terror and concentration of the population in army-defended villages (IDP camps) led to unbearable humanitarian situations, the international community took note.²² In addition, Uganda was hit by several natural disasters during the evaluation period (see chronology of humanitarian crises in Annex 8). Major humanitarian indicators with regard to poverty, health, food/nutrition, WASH, vulnerability and IDPs/refugees (see Table A9.1 in Annex 9) reflect a still critical humanitarian situation in the country. Significant regional differences can be identified between the national level, Northern Uganda and Karamoja Region (see Table A9.2 in Annex 9). Some of the key aspects of this situation are presented in the following sub-chapters.

2.2.1 Western and central northern Uganda

The conflict in Western and Central parts of northern Uganda (West Nile, Acholi and Lango sub-regions) between the government and the Lord's Resistance Army (LRA) began in 1988, but it was not until 1996 that the government forced people to move en masse into camps under its 'protected villages' policy. It repeated the measure in 2002 and 2004, during heightened military operations against the LRA. An unknown number of people also fled to towns and cities in other parts of Uganda. There have been no LRA attacks in Uganda since 2006, when the government and the LRA signed the Cessation of Hostilities Agreement (CHA). Unfortunately, the crucial second step was never taken: the LRA never signed a final peace agreement, despite national and international pressure.²³ Recent reports indicate that the LRA moved its area of operation to Darfur, Southern Sudan, the Democratic Republic of

²⁰ <http://www.bmz.de/en/countries/partnercountries/uganda/index.html> (accessed May 2010)

²¹ In much of the literature, 'Northern Uganda' includes North-West Uganda (West Nile sub-region), North-Central Uganda (Acholi and Lango sub-regions) and North-East Uganda (Karamoja and Teso sub-regions) (see map in Annex 4). As, however, the humanitarian context, processes as well as the humanitarian indicators in Karamoja are distinctly different from those in the western and central parts of Northern Uganda (see Table A9.2 in Annex 9), the respective situations are presented in two different sub-chapters of this report.

²² "Northern Uganda is the biggest neglected humanitarian crisis in the world The situation is a moral outrage," stated Jan Egelund, the UN's Under-Secretary General for humanitarian affairs in 2004.

²³ <http://thisisafrica.wordpress.com/2009/10/28/european-union-to-uganda-lra-must-sign-peace-deal/> (accessed June 2010)

the Congo and the Central African Republic. As a result of the improved security in Northern Uganda, by January 2010 around 1.4 million of the 1.8 million IDPs had returned to their home areas from camps in northern Uganda's West Nile, Acholi and Lango sub-regions; over 400,000 returned in 2009 alone.

This trend continued in 2010 with growing confidence in the stability of the absence of violence and very favourable rains across Northern Uganda. During project visits in Lango sub-region, the evaluation team found the return process well on its way. Despite strong disincentives to return such as lack of water, health, and education infrastructure, there seems to be confidence in a better life outside of the camps, back in the former home villages. The official closure of all IDP camps in the central and western parts of Northern Uganda is foreseen for the second half of 2010.

As of June 2010, there are 295,000 IDPs in Northern Uganda (people in camps and people in transit sites)²⁴ (see Annex 10 for recent IDP figures). This compares to 437,000 IDPs in December 2009 and 710,000 IDPs in February 2009 (and 869,000 IDPs in November 2008 and 915,000 IDPs in October 2008). The remainder of the 1.8 million people who were displaced by the conflict in northern Uganda have now returned to their home areas. Many of these returnees have ongoing protection and assistance needs.

The situation in 2010 still presents areas of serious concern. Many of the IDPs remaining in camps are extremely vulnerable individuals (EVIs), i.e., elderly, disabled, and sick people, including people living with HIV/AIDS. IDPs who had returned to their villages of origin still face significant challenges, and the sustainability of their life in the re-settled villages is by no means guaranteed. As available documents²⁵ and discussions with many resource persons during the evaluation indicate, the obstacles they face fall into four broad categories:

- The absence or inadequacy of basic services (clean water, sanitation, health care and education). Schools in return areas continued to struggle with a lack of teachers, classrooms, teachers' housing, latrines, and water access points. The number of pupils per classroom and teachers remained well above national standards.
- The limited opportunities to rebuild (economic) livelihoods are a serious threat to the sustainability of return. Insufficient economic and physical access to seed and fertiliser combined with poor weather monitoring and forecasting resulted in a 2009 harvest that was only half of what was expected. A food crisis arose across the north due to the premature termination of general food assistance. In 2010, exceptionally good rains and humanitarian agricultural interventions will lead to a bumper harvest, partly restoring the resilience of resettled former IDPs to withstand the next drought.
- Disputes over land in return areas, and the weakness of mechanisms to resolve them, exacerbated the vulnerability of returnees, including in particular widows, single mothers, orphans, and former child soldiers.
- With the end of IDP camps and the departure of most international humanitarian actors, very resource-poor families that re-start their lives in remote villages 'disappear' from the humanitarian radar. In effect and during the first two to four

²⁴ These figures do not include IDPs in Karamoja or IDPs in urban areas outside the Acholi, Lango, Teso and West Nile regions.

²⁵ E.g., UN OCHA Consolidated Appeal 2010 and its mid-year revision (June 2010)

years, these families might well be more vulnerable in their home villages than in the IDP camps.

Local authorities had been phasing out the camps without developing any potentially durable settlement options for these vulnerable IDPs. Many could not return home, as they would be unable to build a hut or access health care there. But neither could many of them settle permanently where they were, due to disputes with the owners of the land on which the camps were based. Some IDPs had been threatened by eviction from their huts in the camps. Children, who had been left behind in the camps so that they could access basic services including education when their parents returned to their villages of origin, remained vulnerable to abuse.

An important step for the IDPs, not only in Uganda but also for all of Africa, was the adoption of the 'African Union Convention for the Protection and Assistance for Internally Displaced Persons in Africa', the so-called 'Kampala Convention' of October 2009.²⁶ This Convention is a legally binding instrument. The Heads of State and Government of the Member States of the African Union officially recognise the obligations of various stakeholders (state parties, international organisations and humanitarian agencies, the African Union) for the protection and assistance of IDPs, the prevention of displacement through projects and for sustainable return, local integration or relocation (AU 2009).

2.2.2 North-eastern Uganda (Karamoja sub-region)

Despite some improvements in the recent past and major national and international efforts to stabilise the security situation and conflicts, violence continues to cause human suffering and to cripple any meaningful progress in development in the North-eastern Karamoja sub-region, a largely pastoral or agro-pastoral region with an 'agriculture'-based livelihood system in the western part of the region.²⁷ Armed Karimojong persisted in 2009 and 2010 with cattle raids and attacks against villages. While the army's ongoing forcible disarmament programme continued to give rise to human rights concerns: it is accused of being overly violent and biased against certain population groups. Since the population of Karamoja is largely nomadic or semi-nomadic, it is difficult to distinguish between regular migratory patterns and forced displacement caused by different types of conflict. A variety and mix of conflict types exists, including economically fuelled conflicts, conflicts with a distinct ethnic dimension and developing political and land access conflicts (see Box 1).

Box 1: Five distinct types of conflict

Insecurity and cattle raiding in Karamoja is usually attributed to ethnic tension and tradition. A closer look reveals five basic types of conflicts in this area:

1. Reports indicate that the larger part of today's insecurity and cattle raiding is professional banditry, fuelled by absence of livelihood opportunities, availability of cheap small arms, and facilitated by the absence of state control over larger areas of Karamoja. Stolen animals are not used for restocking, but are sold outside the sub-region.
2. Traditional cattle raiding between ethnic groups or clans within one ethnic group for restocking or revenge or both and as a means to prove manhood. This happens largely within traditional control

²⁶ The full text of the 'Kampala Convention' can be accessed under <http://www.unhcr.org/refworld/docid/4ae572d82.html> (accessed July 2010)

²⁷ FEWS NET (2010), p.1; Stites and Akabwai (2009)

systems and can cross borders with neighbouring countries.

3. A growing and perhaps under-estimated conflict between settlers in the green belt²⁸ and pastoralists who have used these areas as reserve grazing for drier periods or droughts.

4. A growing, but yet undescribed resistance movement against a state that is perceived as hostile to Karimojong culture and the pastoral economy. Apparently, this movement is well-organised and well-armed, partly through looting of Ugandan Army weaponry, partly through finances obtained through cattle rustling. The resistance is partly caused by an overly violent handling of the disarmament programme, partly by the Ugandan Army itself being allegedly involved in cattle rustling.

5. Prevalence of minerals in Karamoja (gold, oil) and first reports of land-grabbing, involving high-ranking officials²⁹ add an additional layer to the conflict scenario.

All these conflicts are reported to involve serious human rights abuses such as maiming, killing and rape from all parties of the conflict, sadly including the armed forces of Uganda.

There is, however, no doubt that thousands of women and children have moved out of Karamoja in search of safety and livelihoods. (Re-)Settlement efforts are at risk under these prevailing conditions.

A joint literature review of 'Pastoral Conflict in the Karamoja Region of Northeastern Uganda'³⁰ by DED, GTZ and Welthungerhilfe in 2010 offers a wealth of information on the subject.

The effects of the multiple layers of conflict on the livelihoods of Karamoja pastoralists and on the work of humanitarian actors are devastating:

- Recipients of relief items are in danger of becoming targets of criminal elements;
- Necessary interventions to support the pastoral economy (e.g. restocking, animal health, animal marketing) show little results or are not even taken up in order not to expose beneficiaries to increased risk;
- Through a lack of humanitarian and recovery/rehabilitation activities that target the livestock (survival-) economy and very vulnerable pastoralists, there is a danger of over-emphasizing agriculture as a means of securing livelihoods even in areas with insufficient rainfall;
- State-driven security measures include protected kraals that can be better protected by the army. These are considered dangerous from a veterinary point of view (high infection rate) and for ecological reasons (overgrazing around protected kraals).

Disarmament seems to be an obvious solution to major security concerns in the region. As realised by donors and other actors, however, a strategy of disarmament alone cannot address key factors that underpin the violence, such as poverty, marginalisation, and livelihood loss. The Karamoja Integrated Disarmament and Development Programme (KIDDP) presents a combined strategy of disarmament and development and reflects a collaborative effort between multiple stakeholders. Since 2006, however, the government has shown a much greater commitment (in terms of both financial and human resources) to the

²⁸ An area of slightly higher rainfall between Katakwi and Moroto, in which some international agencies, among them GTZ, support the resettlement of Karimojong who are willing to engage in agriculture.

²⁹ http://ababaka.com/cms/index.php?option=com_kunena&Itemid=40&func=view&catid=33&id=3235&lang=lg (accessed July 2010)

³⁰ Meszaros (2010)

disarmament than to the development component of the KIDDP plan.³¹ The army’s ongoing forcible disarmament programme continued to give rise to human rights concerns. The programme came under heavy criticism among international observers and officials for the heavy-handedness, alleged human rights violations,³² and only partial disarmament that left the disarmed groups vulnerable to attack. Some disarmed groups, in fact, lost all cattle in the consecutive armed cattle raids.

According to OCHA’s 2010 Consolidated Appeal, the impact of climate change, coupled with insecurity and historical marginalisation, has had devastating effects in Karamoja sub-region. It is in a perennial development and humanitarian crisis with the worst humanitarian indicators in the country. A fourth successive year of drought has heightened food, nutritional and livelihood insecurity, further aggravating the vulnerability of the human population and livestock. Karamoja remains with the humanitarian consequences of chronic underdevelopment, limited livelihood options, negligible basic service infrastructure, weak local governance and rule of law structures, and continuing disarmament operations by the Uganda People’s Defence Forces.

2.2.3 Natural disasters, epidemics and climate change

The effect of natural disasters cannot be de-linked from the IDP crisis in western and central parts of northern Uganda or the security crisis in Karamoja. Displaced communities are by definition more vulnerable to shocks and – if not concentrated in camps – more difficult to be reached for humanitarian assistance. Available data³³ indicate that drought has still been the major humanitarian problem in recent years. Relatively few casualties related to drought could imply fairly well developed coping mechanisms such as sharing between families and clans, diversification of incomes through relatives in cities and through integration of livestock and agriculture. Some credit for this goes to (food aid) safety nets established by international organisations such as WFP. The opposite seems to apply for epidemics, where relatively small numbers of affected populations can trigger high numbers of casualties (see Table 1 for the natural disasters during the evaluation period). Recently, on-going since April 2010, a Cholera outbreak has hit the North-Eastern Moroto District (243 cumulative cases and 5 deaths by 19 May 2010).

Table 1: People affected and killed in the context of natural disasters in Uganda

Affected People			Killed people		
Disaster	Date	Affected	Disaster	Date	Killed
Drought	2008	750,000	Epidemic	2006	100
Flood	2007	718,045	Epidemic	2007	67
Drought	2005	600,000			

Source : www.preventionweb.net/english/countries/statistics/?cid=180

Uganda’s climate is naturally variable and susceptible to flood and drought events, which have had negative humanitarian and socio-economic impacts in the past.

³¹ Stites and Akabwai (2009)
³² The ‘Sunday Monitor’ of 27 June 2010, for example, reports of a group of eleven diplomats from donor nations including Germany, that ‘have rushed to the poverty-stricken Karamoja sub-region following reports of alleged human rights violations there.’
³³ For more details, also on economic damages, see <http://www.preventionweb.net/english/countries/statistics/?cid=180> (accessed May 2010)

Human induced climate change is likely to increase average temperatures in Uganda by up to 1.5° C in the next 20 years and by up to 4.3° C by the 2080s. Such rates of increase are unprecedented. The climate of Uganda may become wetter on average and the increase in rainfall may be unevenly distributed and occur as more extreme or more frequent periods of intense rainfall. Regardless of changes in rainfall, changes in temperature are likely to have significant implications for water resources, food security, natural resource management, human health, settlements, and infrastructure.

2.2.4 Refugees from neighbouring countries

In addition to the IDP crisis, Uganda has been hosting refugees and asylum-seekers from neighbouring countries for a long time. According to UNHCR statistics, a total of 127,350 refugees and 11,610 asylum-seekers were reported in 2009 as compared to 257,256 refugees and 1,809 asylum-seekers in 2005. Most refugees come from DRC (73,200 persons), Sudan (20,800 persons), Rwanda (15,700 persons) and Somalia (8,200 persons), most asylum-seekers stem from Somalia (3,500 persons) and DRC (3,000 persons). Depending on their country of origin these refugees are located in different part of the country (mainly north and South-west).

All newly arriving and relocated refugees are registered. Most of the refugees and asylum-seekers enjoy civil and social rights, and some have access to labour markets, Refugees are allocated plots of land for shelter and agriculture and receive non-food items.

No cases of illegal deportation were reported in 2009.³⁴ However, recent news³⁵ indicate that Rwandans from Uganda were forcibly returned when Ugandan police mounted an operation to round up and deport some 1,700 people from the Nakivale and Kyaka refugee settlements in South-west Uganda.

2.2.5 Short term humanitarian prospects

Harvest 2010 and availability of food: Unusually good rains during the first half of 2010 in most of Northern Uganda (including Karamoja) will almost certainly lead to a bumper harvest for those who obtained seeds from humanitarian seed distributions, carried out through NGO, UN and GoU programmes. This comes as great relief after two and up to eight years of harvest failure (depending on how 'harvest failure' was defined by discussion partners and also depending on the region). Unfortunately, many farmers in drier parts of Karamoja did not dare to sow the seeds they had obtained but waited too long. Their harvest, if any, will be small. This indecisiveness of farmers is an indirect effect of climate change with ever less reliable rainfall patterns, both spatial and temporal, that can be observed across Africa.

The June 2010 food security outlook of the Famine Early Warning Systems Network (FEWS NET)³⁶ confirms the good or above-average rainfalls and sinking prices of main staple foods such as maize, sorghum and millet in some cities of Uganda. FEWS predicts that food aid can largely be phased out – even in Karamoja – by September 2010, even though in June 2010 an estimated 517,000 people still required food assistance.

³⁴ UNHCR (2009), p. 92 and UNHCR 2005, p. 528

³⁵ <http://www.unhcr.org/4c406edb6.html> (accessed July 2010)

³⁶ FEWS NET (2010)

Good to very good pasture conditions lead to reduced security threats to livestock and herders as the herds will have to move less far away from secure areas. Increased milk yield may potentially lead to better nutrition and health status of children. Such positive prospects, however, will benefit only the few who have retained an adequate number of livestock.

According to UN OCHA's recent appeals and the EC³⁷ distinct humanitarian needs are remaining in the Acholi, Teso and Karamoja regions, even as the primacy of recovery programming is acknowledged. The transition from humanitarian to recovery programming continues in northern Uganda. However, this transition takes place amid growing concern. The humanitarian gains made following the 2006 Cessation of Hostilities agreement between the Government of Uganda and the Lord's Resistance Army (LRA) are in danger due to diminishing humanitarian programming that is unmatched by a significant increase in recovery programmes. Vulnerability persists, which requires ongoing humanitarian assistance alongside effective recovery and developmental programming. Most of the development programmes are still to become operational on the ground, such as the recovery and livelihoods programme under the 10th European Development Fund (ALREP, see chap. 3.1) and the Government's Peace, Recovery and Development Plan for Northern Uganda (PRDP, see chap. 3.2).

Across Uganda, natural disasters continue to pose serious threats to life and livelihoods, as illustrated by the landslides and floods in eastern and western Uganda at the beginning of March 2010 that left an estimated 300 people dead and several thousand displaced. Disaster preparedness and response, therefore, remain central to humanitarian concerns in 2010.

In the context of major political events in Uganda (elections in 2011) and neighbouring countries (Referendum in Sudan, elections in Democratic Republic of Congo), UN organisations are preparing some contingency planning under different scenarios.

2.3 German development cooperation in Uganda

Germany's bilateral relations with Museveni's government are described as constructive and solid.³⁸ In addition to extensive development cooperation, relations have been enhanced through high-ranking visits from Germany over a period of many years. President Museveni visited Berlin in June 2007, and then Federal President Prof. Dr Köhler paid an official visit to Uganda from 3 to 6 February 2008.

Since the resumption of development cooperation in 1986, bilateral commitments have been made, totalling over 700 million euros. At the Ugandan-German intergovernmental negotiations in Mai 2010, a new commitment amounting to 120.0 million euros was agreed upon for a three-year period. Uganda is one of the 58 partner countries of the German Development Cooperation. Ugandan-German development cooperation focuses on three priority areas ('*Schwerpunkte*'), i.e. water supply and sanitation, financial system development as well as the promotion of renewable energy and energy efficiency. While there was no clear regional focus of the bilateral cooperation in the priority areas in the past,

³⁷ UN OCHA UN OCHA Consolidated Appeal 2010 and its mid-year revision (June 2010), EC (2010)

³⁸ www.auswaertiges-amt.de (accessed May 2010)

the regional focus of will progressively shift to Northern Uganda³⁹ (see Annex 4 for a map of Uganda).

The German support is in line with the priorities set out in the Uganda's Poverty Eradication Action Plan (PEAP) and the National Development Plan (NDP). Germany supported and still supports the implementation of these plans by providing budget support. It is planned to make available a total of 24 million euros for the period of 2010 to 2012 in the framework of the Joint Budget Support Operations. In addition, programmes focusing on the reform of public financial management as well as on the tax system will be implemented as accompanying measures to budget support. The implementation of the Peace, Recovery and Development Plan (PRDP) for Northern Uganda will also be supported by strengthening the capacity of the Office of the Prime Minister (OPM), and at district level.

The German Federal Government is also active in the area of technical and vocational training as well as promoting the rule of law. It is helping to stabilise and develop the north of the country by providing expert advice, conducting peacekeeping operations and increasingly focusing its overall efforts on this region. The Civil Peace Service for example started working with local partners in Uganda in 1999/2000. The programme mainly concentrated on conflict areas in the North (Gulu and Kitgum), the North-West (Yumbe) and the West of the country (Fort Portal and Kasese).⁴⁰

Northern Uganda is also the priority area for German HA (emergency HA and development-oriented emergency and transitional aid, DETA), which therefore has laid the ground for support of the population through other cooperation mechanisms and development cooperation (for more details refer to Chapter 3.3.).

The bilateral Ugandan-German development cooperation is implemented through GTZ (technical cooperation, TC) and the KfW Entwicklungsbank (financial cooperation, FC), Capacity Building International, Germany (InWEnt), the German Development Service (DED), the Centrum für Internationale Migration und Entwicklung (Centre for International Migration and Development, CIM), the Senior Expert Service (SES), and the German Civilian Peace Service (Ziviler Friedensdienst, ZFD).

In addition to these bilateral implementing organisations, a number of German non-governmental actors also operate in Uganda.⁴¹ These are the Association for Development Aid (AGEH), political foundations (the Friedrich Ebert, Konrad Adenauer and Hanns Seidel Foundations).

³⁹ For the BMZ, Northern Uganda' comprises the North-West and North-Central (former LRA operation areas) and the North-East (Karamoja Sub-region) (see map in Annex 4).

⁴⁰ The ZFD engagement in Uganda has recently been evaluated as a case study of the overall BMZ ZFD evaluation (Paffenholz and Rujumba 2010).

⁴¹ <http://www.auswaertiges-amt.de/diplo/en/Laenderinformationen/01-Laender/Uganda.html> (accessed May 2010); <http://www.bmz.de/en/countries/partnercountries/uganda/cooperation.html> (accessed May 2010)

3. The humanitarian response to the crises in Uganda

3.1 Global/international response

As described in Chapter 2.2, HA is currently still necessary – however, on a decreasing scale – in order to cover persistent humanitarian needs, and allow for a continued and progressive transition to recovery and development programmes.

Funding in the context of the UN OCHA Consolidated Appeal Process (CAP) in Uganda showed a decline from 97 per cent to 85 per cent of funding of the CAP from 2007 to 2008, an increase again to 96 per cent, and a bleak outlook for 2010 (see Table 2).

Table 2: International and German humanitarian contributions to the CAP Uganda

	OCHA CAP	Humanitarian funding by all donors		Humanitarian funding by Germany	
	(US\$)	(US\$)	(% of CAP)	(US\$)	(% Germany)
Total	1,554,104,349	1,391,303,428	89.5	34,022,233	2.4
2005	157,686,167	199,941,129	126.7	3,232,479	1.6
2006	262,501,275*	278,722,744	106.2	8,526,963	3.1
2007	337,400,922*	327,181,995	96.8	7,889,697	2.4
2008	373,943,491	316,050,148	84.5	6,120,113	1.9
2009	225,288,099	216,320,305	96.0	8,252,981	3.8
2010	197,284,395	53,087,107	26.9	n.a.	n.a.

*Including 2007 flash appeal (floods) and 2006 revision

Source: UN OCHA FTS (as of 26 May 2010)⁴²

The major challenge in the delivery of international aid is to find an appropriate balance between humanitarian assistance and recovery and development support. The reduction in humanitarian activities without a corresponding increase in recovery and development programmes is threatening to undo some of the gains made since the signing of the CHA, and to undermine the search for durable solutions.

Transparency and accountability issues might weigh negatively on the humanitarian and development funding. Foreign assistance contributes about 30 per cent of Uganda's total state budget. In recent weeks, many donors have announced a reduction of their financial contributions by about 35 per cent, amidst widespread corruption allegations and doubts about the transparency of the next presidential elections.⁴³

Humanitarian assistance, governed by the International Humanitarian Law (IHL), should by definition be exempted from such political considerations. However, the FTS dated 11 July

⁴² Recording in the context of the FTS is voluntary so that the reported figures provide a good but most probably incomplete picture. The German HA in Uganda as presented in Chapter 3.3 is also reported to the FTS: It is included in the figures reported under 'Humanitarian funding by all donors' and 'Humanitarian funding by Germany' in this table.

⁴³ <http://www.alertnet.org/thenews/newsdesk/LDE64A05O.htm> (accessed May 2010). For example, donors are keenly watching the ongoing inquiry into misuse of 500 billion shillings (241 million US dollars) that the government spent to host the Commonwealth Heads of Government Meeting (CHOGM) in 2007. At least 27 million US dollars of the money were allegedly stolen.

2010 shows a 34 per cent funding of the 2010 humanitarian appeal only, making it one of the most under-funded appeals⁴⁴ worldwide.

UN response

Based on the UN OCHA CAP, the UN responded to the various crises with a number of projects under different UN organisations (according to their mandates)

- in the fields of agriculture, coordination and support services, economic recovery and infrastructure, education, family shelter and non-food items, food, health, mine action and small arms, multi-sector approaches, protection/human rights/rule of law, safety and security of staff and operations as well as water and sanitation e.g. in 2005⁴⁵, and
- following the cluster approach⁴⁶ – in the fields of education, food security and agricultural livelihoods, health and HIV/AIDS, nutrition, protection, WASH, and support of refugees e.g. in 2010.⁴⁷

WFP: During the period 2005 through 2009 (and ongoing), WFP operated through a Protracted Relief and Recovery Operation (PRRO)⁴⁸ with the overall goal to support the Government's efforts to save the lives of IDPs and refugees in Uganda affected by protracted humanitarian crises. Its specific objective was to reduce or stabilise acute malnutrition – and thereby lessen the risk of death – among IDPs and returnees in Acholi, refugees and IDPs in West Nile and refugees in the Southwest. The PRRO focused on general food distributions, supplementary feeding; and therapeutic feeding. The BMZ contributed to this PRRO through several project fundings (see Chapter 3.3.1).

UNHCR: During the evaluation period, Germany (the AA and BMZ) contributed to UNHCR's operations in Uganda through various mechanisms (see Chapter 3.3). In 2007 (the year of implementation of the selected project case study (see Chapter 1.2.2), UNHCR implemented projects worth 32,402,040 US Dollar in total⁴⁹, mainly in the field of protection/monitoring/co-ordination, legal assistance, transport/logistics, operational support to agencies and instalments with implementing partners.

OCHA: Within the UN system, OCHA is responsible for the overall coordination of the humanitarian assistance using the cluster approach and the CAP. Based on information of various actors and partners, OCHA uses specific websites⁵⁰ and information bulletins⁵¹ as supporting instruments for information sharing providing a general overview of overall and country specific information related to HA. During the evaluation period, the AA contributed

⁴⁴ <http://ocha.unog.ch/fts/pagelader.aspx> (accessed July 2010)

⁴⁵ Out of the 31 organisations appealing under the 2005 CAP Uganda, twelve belong to the UN (FAO, IOM, OCHA, UNAIDS, UNDP, UNFPA, UNHCR, UNICEF, UNSECOORD, WFP, WHO). For project details see UN OCHA 2005.

⁴⁶ The cluster approach was introduced in 2005. The CAP 2005 (elaborated in 2004) still follows the 'old' structure.

⁴⁷ Out of the 34 organisations appealing under the 2010 CAP Uganda, nine belong to the UN (FAO, IOM, OCHA, OHCHR, UNFPA, UNHCR, UNICEF, WFP, WHO). For project details see UN OCHA 2010.

⁴⁸ In addition, a country programme and development activities were implemented (www.wfp.org, accessed December 2010).

⁴⁹ UNCHR (2007), p. 237

⁵⁰ www.ugandaclusters.ug (accessed June and July 2010)

⁵¹ E.g. Uganda Humanitarian Update November-December 2010 (www.reliefweb.int)

through core funding to OCHA's operations worldwide (and thus indirectly to its work in Uganda) (see Chapter 3.3.3).

Uganda also benefited from financing through the Central Emergency Fund (**CERF**). In 2009, UNHCR received 1,191,321 US Dollar for emergency assistance to Congolese refugees in South-West Uganda. In 2008 the CERF allocated a total amount of 5,681,929 US Dollar for five projects (WFP, WHO, UNICEF, FAO, UNHCR), and in 2007 a total amount of 13,001,015 US Dollar for nine projects related to the flood response (3 WFP, WHO, 3 UNICEF, 1 FAO, 1UNHCR). Germany contributes to the CERF operations worldwide (and thus indirectly to its work in Uganda) (see Chapter 3.3.3).

There was no common humanitarian or pooled fund operating in Uganda during the evaluation period.

DG ECHO and EU humanitarian assistance and cooperation

Since 2006, The European Commission has channelled more than 96 million euros through DG ECHO into Northern Uganda and is among the main humanitarian donors. After the signature of the Cessation of Hostilities Agreement in August 2006, the EC's humanitarian aid supported the transitional phase with the movement out of camps and the return of the IDPs through 24 million euros in 2007 and about 20 million in the first three quarters of 2008. The Commission also provided 3 million euros in emergency aid to help vulnerable people affected by the floods in the Northern and Eastern part of the country in 2007.

In 2010, DG ECHO's approach in north-central Uganda will continue to support the IDP population with particular regard to EVIs while at the same time supporting the phasing out/closure of camps and creating the conditions for voluntary return. The main sectors of support are protection, food assistance, and camp rehabilitation targeting 1,227,000 beneficiaries in the Acholi region with an overall envelope of 6 million euros.

For its humanitarian aid, the Commission in Uganda works with operational partners including UN organisations (UNHCR, FAO, OCHA, WFP), the ICRC and the IFRC as well as various NGOs.⁵²

The European Commission is supporting the construction of water points, health clinics and schools in the areas of return. Only the basic operation and maintenance of existing services are still carried out in the original IDP camps. The European Commission's drought preparedness initiative supports pastoral communities to monitor and better cope with the changing climatic conditions. The vulnerability experienced by communities is reduced by rehabilitating traditional water systems and strengthening livestock health management. Nutritional and health support is also provided, particularly in areas where insecurity may impede healthcare access.⁵³

During the period 2006 – 2009, the EU supported the Northern Uganda Rehabilitation Programme with an amount of 20 million euros. The main objectives of the programme were (i) strengthening the self-reliance and protection of local populations in Northern Uganda, (ii) rehabilitating social infrastructure, and (iii) improving the capacities of Ugandan stakeholders to respond to conflicts and disasters. Main activities included support to IDP coping

⁵² http://ec.europa.eu/echo/aid/sub_saharian/uganda_en.htm (accessed May 2010); EC (2010), supporting document, p. 1

⁵³ http://ec.europa.eu/echo/aid/sub_saharian/uganda_en.htm (accessed December 2010)

mechanisms, local governance, rule of law, infrastructure, economic recovery and reconciliation.⁵⁴

The Agriculture Livelihood Recovery Project for Northern Uganda (ALREP) is a project of Food and Agriculture Organization (FAO) funded by the European Union. Its objective is to increase agricultural productivity and the market share for low income small farmers. The project aims at improving livelihoods of Internally Displaced Persons (IDPs) who are returning to their homes and host communities. The project provides non-cash purchasing power for agricultural inputs while rehabilitating dilapidated agricultural infrastructure. Elements of this project are (i) provide returning IDP households with agricultural inputs that include improved seeds, agro chemicals, ox ploughs, equipment, tools, and agriculture training, (ii) strengthen a private sector distribution system for Northern Uganda, and (iii) rehabilitate rural/agricultural infrastructure through a labour-based voucher-for-work approach.

3.2 Response of the Government of Uganda

Since 1997, the national Poverty Eradication Action Plan (PEAP) has been the main framework governing budgeting and planning processes in Uganda. It is followed by the National Development Plan (NDP) 2009-2014 with five broad strategic objectives, including human security. Within this framework and more specifically of humanitarian nature, the Peace, Recovery and Development Plan for Northern Uganda (PRDP) 2008-2010 was launched. For Karamoja, a similar programme was set up, the Karamoja Integrated Disarmament and Development Programme (KIDDP) 2007-2010.

The GoU signed the Kampala Convention in IDPs in October 2009 and also began to implement its Peace, Recovery and Development Plan for Northern Uganda (PRDP) in July. The Plan's full implementation is expected to help bringing the north up to the same level of development as the rest of the country, and would thus address one of the major causes of the conflict with the LRA. While the international community contributes financially to the PRDP, overall leadership lies with the Government of Uganda. However, there are concerns about the capacity of local government bodies in particular to manage and disburse the PRDP funding, as well as about monitoring mechanisms.

3.3 The German humanitarian assistance in Uganda

3.3.1 Humanitarian emergency assistance and DETA

The AA and BMZ contributed to the international response⁵⁵ to the humanitarian crises in Uganda with an overall commitment of 18,250,718 million euros during the period of 2005 through 2009⁵⁶ with a total of 52 projects⁵⁷. Overall, the AA provided about 6,968,392 euros

⁵⁴ www.deluga.ec.europa.eu/en/programmes/index.htm (accessed May 2010)

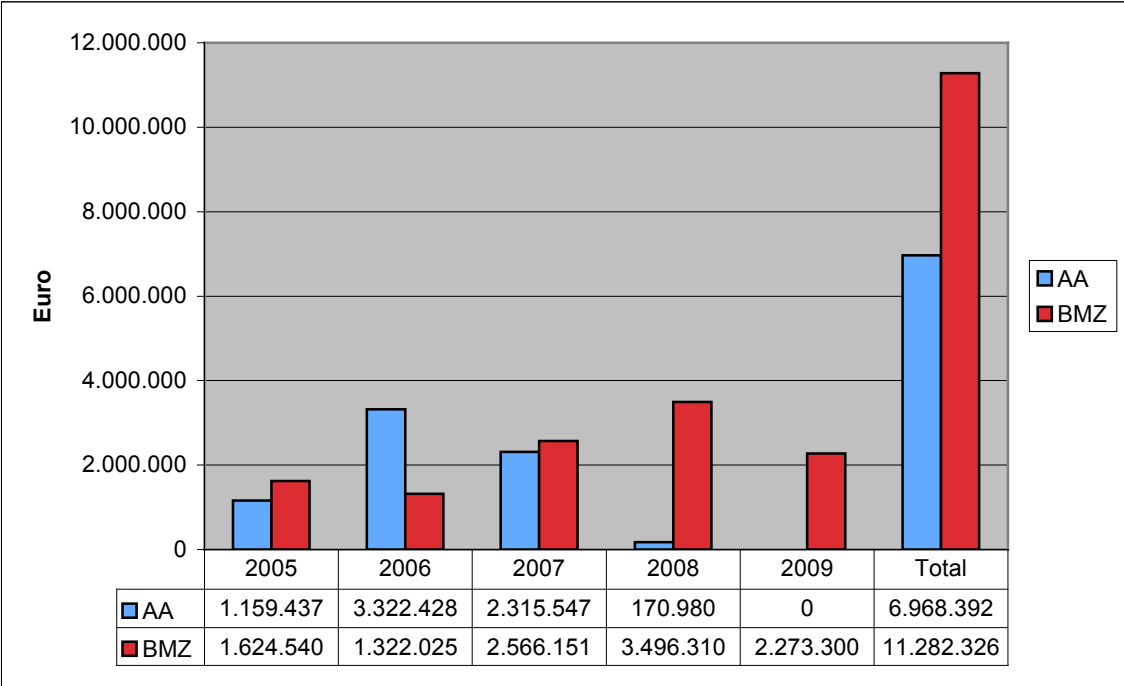
⁵⁵ This humanitarian assistance is also reported under the UN OCHA FTS (as presented in Table 2, Chapter 3.1).

⁵⁶ Data related to 2010 interventions have not yet been available to the evaluation team at the time of the submission of the Inception Report when the portfolio was compiled.

⁵⁷ Apart from HA reported under the DAC CRS Code 700, a number of projects reported under the DAC CRS Code 52010 are also financed from the same key BMZ budget line for DETA (687 20).

for emergency responses and the BMZ 11,282,326 euros for DETA during the above mentioned period corresponding to 38.2 and 61.8 per cent of the overall volume of the humanitarian assistance provided by the German Government to Uganda (2005-2009). Following the development of the humanitarian situation in Uganda, most of the AA funded HA interventions were implemented in 2006 and 2007 (sometimes following a similar approach, but addressing different target groups), whereas the BMZ funded HA interventions were and still are implemented during the whole evaluation period (see details in Figure 1). The project duration generally follows the usual pattern, i.e., AA funded projects lasted for several months whereas BMZ projects cover a longer project period – often one year and above, sometimes also below one year (see details of individual projects in Annex 11).

Figure 1: AA and BMZ humanitarian assistance to Uganda (2005-2009) – commitments



Humanitarian interventions of the AA and BMZ implementing partners entail both contributions to longer-term assistance for Sudanese, Congolese, and other refugees, and longer-term assistance to encamped IDPs and their return villages, but also comprise quick reactions to floods, epidemics, droughts, and mudslides. Most HA interventions concentrated on Northern Uganda⁵⁸ (see project examples in Annex 7). In case of refugee operations, German funded HA also targeted other areas (South-west). The HA especially targeted IDPs

During the evaluation period, four such projects were implemented for a total amount of about 4.3 million euros (see detailed information in Table A11.2 in Annex 11). Such projects support food security and food assistance interventions sometimes in an integrated approach also including, for example, food aid or other inputs as reported under the CRS Code 52010 and conflict management. Actually, the allocation of the CRS codes sometimes seem to be a bit arbitrary because similar projects with similar approaches are sometimes reported under different DAC CRS Codes, for example, the project 'Food Security, reduction of violent conflict' implemented by Welthungerhilfe in 2009 (and on-going) is reported under DAC CRS Code 72010 whereas the project 'Food security, strengthening of peaceful conflict management' implemented through GTZ in 2009 (and on-going) is reported under DAC CRS Code 52010.

⁵⁸ See Chapter 2.2 and map in Annex 4 for the delineation of this part of the country

in camps/protected villages, transit camps and in their return villages⁵⁹ as well as refugees (also flood victims in 2007). The vast majority of the German funded HA is allocated to 'material relief assistance and services'⁶⁰ (77.6 per cent of the total amount of funds and 42 out of a total of 53 projects) (see Table 3).

Table 3: German funded HA to Uganda by DAC CRS code (2005-2009)

DAC CRS code		Amount (euro)	Percentage of total amount	Number of projects
72010	Material relief assistance and services	14,170,532	77.6	42
72040	Emergency food aid	3,138,690	17.2	8
72050	Relief coordination, protection and support services	500,000	2.7	1
73010	Reconstruction relief and rehabilitation	400,000	2.2	1
74010	Disaster prevention and preparedness	41,496	0.2	1
Total	DAC CRS Code 700 (Humanitarian Aid)	18,250,718	100.0	53

German funded HA covers various sectors/fields of interventions, e.g. – in the context of the project case studies – the distribution of non-food items, food aid and food security (mainly support to improvement and diversification of agricultural production), water supply, hygiene/sanitation and – in the context of two projects in Karamoja in North-east Uganda – conflict prevention.⁶¹

The strength of the system is the availability of experienced partners, who can crank up operations on short notice, when a natural disaster and/or other humanitarian crises strike. The AA and BMZ funded HA in Uganda was and is implemented through different implementing partners/financing channels. These implementing partners are international organisations (ICRC, WFP, UNHCR⁶²), German bilateral organisations (GTZ, THW), and German non-governmental organisations (ADRA Deutschland, Arbeiter-Samariter-Bund (ASB), Caritas international, Deutsches Rotes Kreuz (DRK), Diakonie Katastrophenhilfe

⁵⁹ Various documents and resource persons consulted during the evaluation indicate that there is no harmonised terminology used for the different locations and living conditions of IDPs and returnees. The evaluation team follows the above mentioned terms which indicate (i) the situation during high security risk times when people left their villages and lived in camps/protected villages, and the situation after the improvement of the security situation when people moved (ii) to transit camps (often closer to their home villages) and (iii) to their return villages (sometimes their original home villages, sometimes new areas for them. Some of the transit camps have become like villages, and may have been officially declared as closed camps.

⁶⁰ This category comprises shelter, water, sanitation and health services, supply of medicines and other non-food relief items, assistance to refugees and IDPs in developing countries (others than for food or protection (Quelle: OECD DAC Working Party on Statistics 2007, p. 54).

⁶¹ It is not possible to provide detailed qualitative and data quantitative on the sectors/thematic fields/clusters, in which German funded HA intervenes, because (i) it is often difficult to attribute the projects to one specific sector and (ii) existing AA and BMZ data bases do not provide such information. The given examples refer to the project case studies that were included in the evaluation (see Chapter 1.2.2 and Table A11.1 in Annex 11).

⁶² In addition to these earmarked contributions to their programmes/operations, some UN organisations also receive core funding (see Chapter 3.3.3).

(DKH), HELP e.V., Malteser, Welthungerhilfe and World Vision Deutschland e.V. (WV)). Some of these organisations implement projects themselves (ASB, Welthungerhilfe, GTZ), others (UNHCR; WFP, DRK, DKH) work with or through local partners.

66.3 per cent of the German HA funded during the period 2005 to 2009 was channelled through NGOs, 23.6 per cent through international organisations, and 10 through GTZ and THW (see Table 4).

Table 4: German funded HA to Uganda by financing channels (2005-2009)

Financing channel	Amount (in euro)	Percent of total funding
IOs (WFP, UNHCR)	4,250,000	23.6
German bilateral organisations	1,804,104	10.0
NGOs	11,929,117	66.3
Total ⁶³	17,983,221	100

Some organisations implemented only one or two projects funded through German HA (THW, Malteser, HELP, WV and ICRC, WFP, Caritas, ADRAR), others implemented several project during the whole evaluation period (UNHCR, GTZ, ASB, DKH, DRK, Welthungerhilfe). Some organisations (e.g., THW, HELP) started their interventions with German funded HA and stayed for short implementation periods only.

Germany's total contribution to WFP's PRRO during the period 2005 through 2009 amounted to 1 million euros (500,000 euros each in 2007 and 2008 provided through the BMZ). The 2008 contribution represented 0.24 per cent of the 2008-2009 budget (0.73 per cent of the total contributions).⁶⁴

Germany's total earmarked contributions to UNHCR's operations in Uganda during the period 2005 – 2009 amounted to 2.25 million euros (1.5 million euros in 2008 and 2009 through the BMZ and 750,000 euros in 2006 and 2007 through the AA). In 2007, this represented 2.22 per cent of UNHCR's project funding (720,461 US dollars⁶⁵ out of the total project funds of 32,402,040 US dollars as presented in Chapter 3.1).

In addition to these projects, support to HA interventions in Uganda also benefited and still benefits from specific allocations in the context of the UNHCR-BMZ-Partnership programme. The 2009 review of this partnership listed 14 operations mainly in support of Rwandese, Congolese (DRC) and Sudanese refugees in South and South Western Uganda under this framework for the period 2005-2009⁶⁶. In the context of UNHCR's overall country operational plans in Uganda, the BMZ contributed a total amount of 1.985 million euros and UNHCR a total of 6.182 million euros through this specific UNHCR-BMZ partnership operation during the period 2005 through 2009. This partnership funded interventions in the fields of

⁶³ The 'Total' slightly differs from the amount presented at the beginning of the chapter because two projects could not be attributed to implementing organisations.

⁶⁴ Ressource situation as presented at www.wfp.org (accessed 8 June 2010)

⁶⁵ US dollars as per UNHCR report to AA

⁶⁶ Weingärtner and Deschamp (2009), Annex 10

protection, community services, health (incl. HIV/Aids), education, water, community development, livelihoods, environment.⁶⁷

3.3.2 Humanitarian assistance channelled through EU, UN and other multilateral instruments

In addition to the above indicated project funding to los (see Table 4), Germany also contributes to the CERF⁶⁸ and with core funding to some UN organisations that are also active in Uganda (OCHA, UNCHR). This core funding can, however, not directly be attributed to specific HA interventions in Uganda.

The German Government is also contributing to the humanitarian and reconstruction measures of the EU with core funding (largely through DG ECHO). This contribution amounts to about 20 per cent of the overall budget.

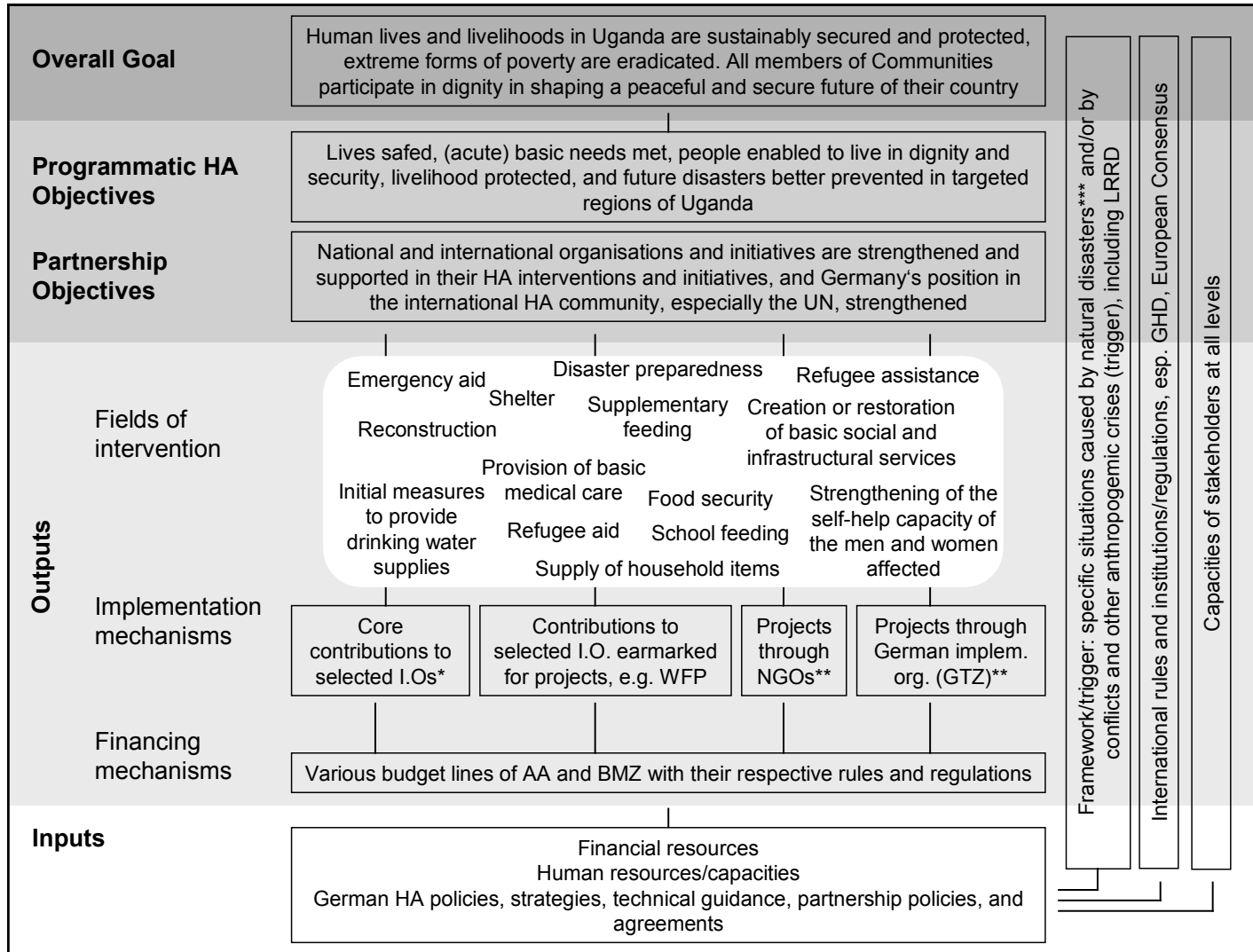
3.3.3 The intervention logic

Figure 2 (next page) presents the intervention logic of German humanitarian assistance in Uganda, which was reconstructed by the evaluation team. Due to the complexity of the crises, it covers a number of typical 'fields of intervention' of German funded HA (as described in Chapter 3.3.1).

⁶⁷ Financial and technical information provided by GTZ (August 2010), which is the implementing partner in this partnership programme

⁶⁸ Germany has been contributed to the CERF since 2007. In 2010, Germany ranked no. 8 among the bilateral donors of the CERF (62.64 million US Dollar out of a total amount of 1,955,59 million US Dollar. This corresponds to 3.2 per cent of all contributions over the last five years (including 2010). Other important bilateral donors were the United Kingdom (1), the Netherlands (2), Sweden (3), Norway (4), Canada (5), Spain (6) and Ireland (7) (Source: <http://ochaonline.un.org/Default.aspx?alias=ochaonline.un.org/cerf>, accessed December 2010).

Figure 2: Intervention logic of German humanitarian assistance in Uganda 2010



* OCHA u.a.
 ** see portfolio in Annex 4
 *** mostly droughts, floods and epidemics

Source: Reconstruction by the evaluation team based on the Desk Report of the evaluation and additional discussions

4. Relevance and results

The following chapters present the findings related to the relevance and results of German funded HA in Uganda during the evaluation period. For the definition and understanding of the evaluation criteria and the (sub-) questions related to the evaluation criteria, reference can be made to the glossary and to the evaluation matrix in Annex 3 of this report.

4.1 Relevance and appropriateness

After a long period of ‘forgotten crisis’ with huge humanitarian problems and needs, HA interventions gained a new momentum with the CHA in 2006. In the context of an improving security situation and better access to the crises affected population, the AA and BMZ supported the peace efforts through a number of emergency relief operations and new DETA projects (see Chapter 3.3.1 and individual project details in Annex 11).

With the improvement of the security situation in Northern Uganda and recently in North-East Uganda (despite on-going and severe security problems) windows of opportunities were opened for better access to affected populations and for allowing for a shift from large scale emergency responses to rehabilitation (and in general also to development). Like other members of the international humanitarian community, the AA and BMZ used these opportunities.

4.1.1 Needs assessments, context analysis, reference to GoU policies

All implementing partners of the AA and BMZ conducted more or less detailed context and needs assessments. They often refer to needs assessments of other organisations in their analysis of the situation, and – depending on the context and available time – complement these through own document analysis and field missions before proposing the project (as, e.g., in the context of the two new DETA projects in Karamoja implemented through GTZ and Welthungerhilfe, and the water and sanitation project implemented by URC/DRK).

Sometimes – as in the case of WFP⁶⁹ for example – organisations updated own national or regional context and needs assessments at different stages of planning, designing, implementing and monitoring of the project interventions. Sometimes participatory approaches involving the target groups and local authorities are used, e.g., in the context of the three-year DETA project implemented by GTZ in Karamoja sub-region.

Taking the local and national context into account is an important pre-condition for appropriate and promising interventions. The projects often try to take these contexts and needs assessments into consideration. However, if rules and regulations such as project durations of six months to maximum three years (which are given conditions under the current DETA approach of the BMZ) do not allow for the implementation of approaches which need medium to longer term support, given context analysis did not prevent the setting of (over-)ambitious objectives. Examples are food security interventions covering only one or two agricultural seasons, which is insufficient to support farmers’ self-reliance in a

⁶⁹ WFP (2009b)

sustainable manner, or support of reforestation or fencing and income generation through tree nurseries and support to conflict prevention and resolution.

In project documents (except for the Ios) and discussions with resource persons in the context of the evaluation, very little or even no reference was and is made to GoU policies and strategic frameworks. HA interventions and GoU policies and strategic frameworks seem to be de-linked. While it can be argued that this is due to the adherence to HA principles, especially in the problematic conditions of fragile, failing or failed states, such arguments are less valid in the current context of Uganda. Under current conditions, which are much more favourable to development activities than in the past (as described in Chapter 2.2), externally supported interventions are expected to follow internationally agreed upon principles of cooperation as stipulated in the Paris Declaration, the Accra Agenda for Action and the Principles for Good International Engagement in Fragile States and Situations, which all support government leadership and ownership as well as inclusive multi-stakeholder participation.

4.1.2 Relevance and appropriateness with regard to technical/sector aspects

German HA supported and still supports a number of sectors and livelihood factors that were and still are very important in the context of the different humanitarian crises in Uganda as identified through various UN OCHA appeals as well as through context and situation analyses of AA and BMZ implementing partners.

Safe drinking water

All projects that engage in drilling boreholes and fitting hand pumps respond to identified basic needs and the fulfilment of the human right to water. Safe water has undoubtedly been one of the strongest pull-factor for the return of IDPs in Northern Uganda. In all village-level meetings, clean water has been named as the top priority for rural households. The same holds true for Karamoja, where safe water is given an equal importance as food security by respondents in meetings and interviews. A number of German-funded projects that were visited rightly engage in the provision of safe drinking water. Water is not an explicit top focus of German funded HA but a priority based on needs assessments of implementing partners in cooperation with UN OCHA and Ugandan water authorities. All implementers of water projects planned borehole sites in close cooperation with the GoU District water authorities, and the sub-county level water technicians.

The chosen technology and the formation of water user committees as well as the training of committees and pump mechanics (incl. The provision of a tool kit with basic spare parts) are appropriate in principle. Doubts prevail if the short project durations can provide the necessary follow-up, re-training and supervision of committees and mechanics. It is doubtful if the collected user fees are sufficient and sufficiently well-managed to pay for major repairs such as the exchange of corroded pipes. The fact that – in all visited water projects – the user fees often are not paid by all users and/or not paid regularly further fuels such doubts.

Hygiene and sanitation – including distribution of non-food items

During the peak of hostilities in LRA affected areas, when large parts of the population resided in IDP camps, proper sanitation facilities had been highly relevant for human health. Actors in German funded HA rightly engaged in this intervention area on a large scale. In contrast, in return villages, where houses are often several hundred metres apart from each

other, family toilets are of lower importance according to interviewed beneficiaries and did not – where their construction was supported – act as a ‘pull factor’. In this case, the needs of returning IDPs (as expressed by beneficiaries) clearly differ from the needs defined by actors of German funded HA.

Pre-fabricated concrete slabs⁷⁰ for (self-dug) family toilets and tool sets were provided by ASB to IDP families. The tools were judged by recipients highly relevant and appropriate. They were also used for house construction and agriculture. The slabs were generally not re-utilised when beneficiaries moved back to their home villages and wanted to construct new toilets. They were generally found too heavy for relocation from camp to village. Those beneficiaries, who tried to relocate them, reported that they broke during the transport. Slabs are in principle a relevant and welcome ingredient to establish new toilets but in this case their technical qualities (weight, fragility) rendered them inappropriate. Apart from this problem, hand-dug family pit latrines are the most appropriate solution to a relevant problem under the given circumstances.

Equipping schools with toilets is a highly relevant intervention, both during the IDP period and in return areas. Different types of toilets were constructed in the context of the project case studies (see Box 2).

Toilet pits may fill up very quickly, especially in larger schools with high attendance rates. To avoid the repeated digging of new toilet pits, Diakonie Katastrophenhilfe (DKH) with its local partner Lutheran World Federation (LWF) constructed drainable pits. During the project visit it was obvious that the mechanised draining service is too far away and would financially not be affordable for schools and parents. The German Red Cross (DRK) with its local partner Ugandan Red Cross Society (URCS) decided to build Ecosan toilets that allow for using the decomposed faeces as fertilizer. If culturally accepted, properly used and well constructed, Ecosan toilets are technically the best solution. They do not require costly mechanised draining service, offer fertilizer for use or for sale and will last decades. It is, however, doubtful if this new technology, requiring quite drastic behavioural changes and intensive follow-up with regard to the appropriate production and use of the fertilizer, can be introduced when the project duration is relatively short (less than two years of project duration). The necessary follow-up would have to be financed through other sources, if available.

Box 2: Latrines in humanitarian assistance⁷¹

Support to self-dug latrines: beneficiaries received one or several of the following inputs: tools (e.g. shovels, pick axes, wheel barrows, chisels and hammers), food or cash for work, a prefabricated toilet slab, building material for the toilet house and training. The toilet pits are non-drainable; the toilet house will have to be moved to a newly dug pit, once the old pit is full. ‘Pitfalls’: prefabricated slabs can be too heavy or fragile to be taken along from camp to village; tool set to be shared among several families – difficult when families return to different villages; toilet house must not be built too strongly to facilitate moving to new pit.

Drainable latrines: the digging of the pit can follow the same principles as above, but the brickwork for stabilizing the pit (thus making it drainable) is done by an artisan. Saves in principle renewed digging of new pits. Preferred solution for schools, where latrines are used by more people as compared to family latrines. ‘Pitfalls’: latrine draining service (a specialised lorry with tank) only

⁷⁰ Slabs are the commonly used term for the concrete floor of a family toilet to cover the pit. A slab usually has the size of around 1x1 m with a hole in the middle

⁷¹ All toilet types used by German HA organisations are commonly used by international HA actors as well.

available in few large cities, service including long-distance travel not affordable for rural communities.

ECOSAN toilets⁷²: each toilet has two rather flat concrete chambers. Once one chamber is full, its content is left to decompose while the other chamber is used. The urine is collected separately. Depending on numbers of users and chamber size, the decomposed faeces are removed once to three times a year with hand tools, and used as fertilizer. 'Pitfalls': at least one year aftercare necessary, emptying the urine tank requires equipment that is not readily available; volunteers or paid workers to empty the chambers may be difficult to mobilise; the use of decomposed faeces as fertilizers in gardens or fields may conflict with cultural barriers or taboos.

Ventilation: all toilet types should be equipped with a lid covering the toilet hole and a ventilation pipe that is covered with a fly mash.

Food aid/assistance⁷³

Under drought conditions during the period 2005-2009 and in view of restricted opportunities for farming due to insecurity, malnutrition rates clearly indicated the need for food assistance for large parts of the population in the whole of Northern Uganda. For those who have obtained seeds and have access to land, the good harvest expectations in 2010 will lead to reduced needs for food assistance.⁷⁴ Instead of general rations, WFP increasingly engages across the region in food for work/food for assets (FFA) and school feeding/food for education (FFE)⁷⁵ in an effort to move away from the heavily criticised 20-years-practice of free food handouts to very large population groups. For future more self-help oriented and sustainable food security, this is a step in the right direction.

For extremely vulnerable individuals (EVIs⁷⁶), the continuation of food assistance in former IDP camps in Western and Central Northern Uganda continues to respond to real needs. WFP and implementing partners undertake case-by-case assessments of vulnerabilities of potential beneficiaries, and target food assistance very carefully.

Food assistance is still relevant for large parts of Northern-Eastern Uganda (mainly Karamoja sub-region), where the first good harvest since years is expected in September 2010. The Famine Early Warning Systems Network (FEWS-NET) argues that from July 2010, when the first green harvest can be reaped until the sorghum harvest in September 2010, food security will steadily increase. In June 2010, however, 47 per cent of the Karimojong still receive

⁷² To get an impression of how an Ecosan toilet looks like, access pictures and sketches under: http://www.google.de/images?hl=de&client=safari&rls=de-de&q=ecosan+toilets&um=1&ie=UTF-8&source=univ&ei=Vt06TPbxAcOtOKuH9YkK&sa=X&oi=image_result_group&ct=title&resnum=4&ved=0CDkQsAQwAw (accessed July 2010)

⁷³ Food assistance refers to food aid of the WFP and to food aid/food assistance components in GTZ DETA projects.

⁷⁴ FEWS-NET (2010), p. 1

⁷⁵ During the evaluation period, FFW and FFE was phased out in Acholi Region (the later was replaced with a packed lunch campaign (to encourage the role of families in providing school meals for their children) whereas both activities continue in Karamoja Region.

⁷⁶ EVI is the term used by humanitarian actors in Uganda (esp. UNHCR and WFP) describing individuals who are unable to return to self-help and self-sustained life in home villages or elsewhere because of age or illness or other reasons. They continue to receive direct transfers of food and non-food items until more sustainable solutions at family or community level are identified on an individual basis.

some form of food assistance due to the fact that harvests have not yet materialised and – more importantly – that many areas of Karamoja are not suitable for agriculture.

Food security and ‘humanitarian agriculture’ in drylands

GTZ, Welthungerhilfe and the DRK are supporting basic forms of agriculture with seeds, tools and training, notably through farmer field schools. As food is a strong pull- and stay-factor for returning IDPs, all measures helping re-settled communities to gain food self-sufficiency are highly relevant in the return areas of former IDPs in the Western and Central parts of Northern Uganda. Some of the agricultural support is, however, provided in zones, where agriculture is not reliable due to low rainfall in general and due to the increasing unpredictability of rain as an effect of climate change. In addition to the questionable zoning of agricultural support, the promoted methods of farming are not fully appropriate. Too little emphasis is given to water-harvesting and water conservation practices and too little emphasis is put on the integration of more drought-resistant tree crops. While currently promoted methods of farming may well be successful in an exceptionally wet year like 2010, in a ‘normal dry year’ harvest will stay well below the potential of properly implemented conservation farming.⁷⁷

The integration of livestock into food security projects to buffer harvest failures of (annual) crops was generally unsatisfactory. However, the evaluation team acknowledges the challenges involved in integrating livestock in emergency and rehabilitation projects⁷⁸ as well as the immense problems in Karamoja where livestock exposes owners to attacks of cattle rustlers.

“... one good harvest is not food security ...”⁷⁹

In the Western and Central Northern Uganda, agriculture is basically the only means for an immediate recovery of livelihoods for the vast majority of returning IDPs. In Karamoja Sub-region, only limited areas are viable for agriculture, notably in the so-called greenbelt, stretching north-south between Katakwi and Moroto and the eastern part of the sub-region. The biggest threat to agriculture across Northern Uganda has (increasingly) been the unreliability – if not total failure – of rainfall.

The large-scale distributions of seeds, cassava-cuttings, and tools are important interventions to kick-start food production, and, eventually, food self-reliance. The selection of seeds rightly puts emphasis on drought-resistant crops such as sorghum and millet. The threat of harvest failure was much higher where cassava, groundnuts, sweet potatoes, maize, and vegetables are used. In three technical areas, the ‘humanitarian agriculture’ interventions remain unsatisfactory:

- Water conservation techniques, for example through micro-catchments, contour lines, zero-tilling or mulch cover has nowhere been observed in demonstration plots or on fields of beneficiaries;
- Diversification of crops in view of flood- and drought-induced crop failures, especially through integration of drought resistant trees (fruits, fodder, firewood, raw material for charcoal) have – with exceptions – not received the necessary attention,⁸⁰

⁷⁷ See www.conservationfarming.co.za for an introduction to conservation farming

⁷⁸ There is, however, relevant guidelines and standards available for this type of interventions (LEGS 2009)

⁷⁹ Government official in one of the visited districts.

In all of Northern Uganda, but notably in Karamoja, agriculture relying on annual crops alone, will inescapably fail every few years more or less completely. An ecologically sound number of cattle and goats can balance this threat. In larger parts of Karamoja, agriculture caters for only a small portion of the food production and livelihoods. Too little attention has thus far been put on this balance between livestock and agriculture for the disaster resilience of rural livelihoods. Part of this lack of attention can be attributed to unsolved security issues. In Karamoja sub-region, recipients and owners of livestock are in grave danger of being attacked by cattle rustlers. Smaller livestock like goats and sheep for restocking have also not been tried, they may be less of a security threat.

Conflict transformation

While there is no doubt that conflict is a major driver of underdevelopment and destitution, notably in Karamoja but also in other parts of Uganda, conflict transformation activities as a component of HA project are only relevant for one, may be two of the five conflict types (see Chapter 2.2.2 above), i.e. conflicts between agriculturalists (e.g., settlers in the green belt) and pastoralists and conflicts related to traditional cattle raiding. It is too early to judge, if the forms of conflict transformation chosen (theatre, meetings) are appropriate and will lead to a reduction in conflicts. Most probably, a wider range of conflict types can be addressed by focusing on economic development and education. A combination of humanitarian interventions addressing food security, income generation and conflict transformation, as introduced through the GTZ and Welthungerhilfe projects in Karamoja, should provide a good framework for addressing a wider range of conflicts. Stand-alone conflict resolution approaches without addressing livelihood needs are considered less promising by the evaluation team.

Integrated approaches

Several of the visited DETA projects use a multi-sector approach with several project components in order to address the complex needs of the target groups in the aftermath and – in the case of Karamoja – still on-going humanitarian crises. On the one hand, such an approach is relevant if compared to the needs and objectives of restoring or improving livelihoods because ‘a single asset does not make a livelihood’ – a lessons learned from 30 years of after-earthquake interventions⁸⁰ that is equally relevant in the Ugandan context. On the other hand, it is very challenging – if not inappropriate – to implement an integrated and complex approach when the project duration is limited to two or three years especially when new technologies are introduced, behavioural changes are expected, and the development of capacities of local actors is an important part of project activities.

Potential other source of income: charcoal

After the sale of agricultural products and livestock, charcoal production arguably is on the one hand the third most important source of income in rural areas of Northern Uganda. On the other hand, charcoal production is held responsible for the larger part of the disturbing rates of deforestation in most of Northern Uganda. With energy losses of 80per cent (using traditional charcoal kilns) between the tree and the cooking pot, charcoal is the ‘black sheep of biofuels’. Even though the visited DETA project, implemented by GTZ commissioned a

⁸⁰ An integration of relevant activities to address these aspects would have implications for the project duration and necessary staff capacities

⁸¹ ALNAP; Prevention Consortium (2008)

study on the role of wood-(energy) utilisation in Karamoja⁸², none of the implementers of German HA engages in the charcoal sector. This is even more surprising as several studies refer to the important, yet destructive role of inefficient and un-controlled charcoal burning, providing short-term means of income but undermining long-term food security.⁸³ Given the vast body of technical expertise regarding efficient charcoal production within GTZ, and in view of this important livelihood sector, a highly relevant intervention area has been neglected without obvious reasons except for the too short duration of current DETA projects.

4.1.3 Other aspects related to relevance and appropriateness

Although most of the implementing partners of German HA do not explicitly refer to **humanitarian principles and codes** in project documents and project implementation, it can be presumed that German funded HA in Uganda follows these principles. At least, there was no evidence of violation of these principles and codes identified during the evaluation mission. Some organisations (LWF, URCS) explicitly commit to HA principles and/or relevant codes of conduct, and displayed them in the offices or meeting room. Some organisations also mentioned relevant single Sphere **standards** (water, but not food security) in project proposals although they did not refer to them any more in reporting.

The projects implemented by NOs (and their local implementing partners) largely correspond to existing **policies, strategies and principles of the AA and BMZ**. This is especially ensured through pre-project dialogue between AA/BMZ and the NOs as well as the respective formats for project requests and reporting. These formats also guide the project approach and exclude projects that do not fit into existing policies.

4.1.4 Appropriateness of financing channels

Both ministries funding HA in Uganda collaborate with a wide range of implementing partners (IOs, NGOs, GTZ, THW). This is in line with the partnership objectives of German HA as reconstructed in the global and case study intervention logic (Figure 2 above), which presents this objective. However, it still remains unclear and intransparent to the evaluation team and the concerned organisation, which strategies and criteria guided and guide the allocation of funds and volumes as well as the selection of implementing partners.

4.2 Effectiveness and coverage

4.2.1 Achievement of objectives, targeting, coverage and timeliness

Results

In the context of this evaluation, it is not always possible to quantify results and systematically compare them to plans due to insufficiencies in the reporting of quantitative data in project reports and to the lack of systematic reporting of activities and results as compared to the plans as presented in the project proposal. However, a few good practice

⁸² Messinger (2009)

⁸³ FEWS-NET (2010a), for example, contains 18 references to the interrelation between food security and charcoal production

examples of quantitative reporting of achievements (as compared to plans) are also available, e.g., the Standard Project Reports of WFP, and a systematic quantitative comparison of actual implementation versus plans by DKH. The latter, however, primarily tackled the activity and output rather than the outcome level. For still on-going projects reporting often relates to activities, and not (yet) to outputs and outcomes. In the context of this evaluation, it is thus in most cases not possible to assess the achievement of objectives in a quantitative and detailed manner due to the lack of systematic comparison of results versus plans at objective/outcome level.

However, based on the information collected during the case study evaluation through project reports as well as discussions at field level, it is still possible to evaluate remarkable changes achieved through the German funded HA projects, especially at output, sometimes also at outcome levels. Some examples follow (more details are provided in Annex 7) in order to illustrate results of German funded HA through project cases.⁸⁴

In the context of the project 'Humanitarian assistance for IDP households in Southern Pader, Northern Uganda', ASB reports a total of 2,000 beneficiaries registered who benefited from 2,000 digging kits and wheelbarrows. In addition, hygiene and sanitation kits were distributed to all 2,000 beneficiaries. A total of 125 participants attended sensitisation sessions conducted in April 2008. By the end of the project, a total of 1,109 latrines was constructed and in use. The risk of water born diseases and those related to poor/bad hygiene practices has reduced in the targeted communities.

Reporting related to the project 'Improved access to safe water and sanitation facilities for IDP and returnee families in Oyam district, Northern Uganda', implemented by DRK/URCS has so far concentrated on project activities. During the field mission, the evaluation team could observe some outputs (wells, latrine). Beneficiaries witnessed the improvement of their living conditions (availability of safe water in close distance to their homes, less time needed for fetching water, self-organisation of the community) through improved access to water and the creation and training of the water user committee.

In the context of the DKH project 'Improvement of availability of drinking water and mid-term food security for conflict affected communities in the North of Uganda' implemented through LWF, all water components and most of the agricultural activities were implemented as planned in 2009. It is, however, expected that the results in agriculture will be negatively affected through some incidences of drought. Nearly half of all water committees were trained in six training sessions. 180 members of so called village health teams were trained in five training sessions. The training of pump mechanics was postponed to February/March 2010 because additional boreholes had to be drilled in January 2010. 67 farmers groups (30 members each) were formed and trained. All trainings related to the cross-cutting topic HIV/AIDS were successfully completed.

The project 'Food and Nutrition Security and Conflict Management in the Karamoja sub-region, Uganda', implemented by GTZ addresses several livelihood factors. During the field mission, some results of the project could be witnessed at village level, e.g., establishment of a demonstration garden and a tree nursery, establishment of family vegetable gardens, construction of a borehole. Beneficiaries reported about food aid and seed distributions. Staff training on 'Do-no-harm' was conducted and a conflict assessment commissioned (in

⁸⁴ It has to be stressed again that the Evaluation of the German Humanitarian Assistance Abroad is not an evaluation of individual projects.

collaboration with DED and Welthungerhilfe), which serve as a basis to develop an appropriate approach to conflict prevention. Villagers are organised and trained in development committees.

The project 'Enhancing of Food security and reducing violent conflicts in the Sub counties of Lotome in Moroto District and Lorengedwat in Nakapiripiti District in the Karamoja region North Eastern Uganda (Karamoja Region)', implemented by Welthungerhilfe also follows an integrated approach. At the time of the evaluation, demonstration gardens had been established, improved seeds and village tool kits were distributed, the construction of water supply infrastructure was underway, and village development committees were established. A conflict assessment study was undertaken (see above), and the preparation of conflict sensitisation measures was underway in cooperation with a local NGO and the DED.

The German contributions to projects of los supported the achievements of results of these projects.⁸⁵ The AA funded support to the UNHCR operation 'Emergency Assistance to Congolese (DRC) Asylum Seekers and Refugees in South West Uganda' in 2007 helped to face the challenges caused through an acute influx of new refugees towards the end of the year, and to ensure their acute needs for protection and support. Non-food items (soap, kitchen utensils, agricultural tools, firewood and wooden poles for the construction of shelters) were given to some 5,000 new arrivals from the DRC. Emergency shelter assistance was also provided to IDPs with specific needs. Upon construction of additional latrines and refuse pits the sanitation situations substantially improved in refugee camps. Significant improvement was made to sanitary conditions at schools. Primary health services were provided to all refugees. However, there were outbreaks of cholera, meningitis and Ebola during the reporting period. In partnership with Uganda's Ministry of Health and implementing partners, UNHCR helped to establish an effective system for disease control, prevention and monitoring. Malnutrition indicators showed an improvement, and Under-5-mortality improved. The responsible Office maintained roads of refugee settlements and opened new roads where necessary. Most of the asylum seekers opted for return back to Congo. The remaining asylum seekers were provided with plots of land to put their houses.

The BMZ contributions to the WFP project 'Targeted Food Assistance for Relief and Recovery of Refugees, Displaced Persons and Other Vulnerable Groups' in 2008 contributed to reach a total number of beneficiaries of 2,524,022 people (129.2 per cent of planned) and to distribute a total quantity of 72,794 mt of food (60.9 % of planned). The overall number of beneficiaries reached in 2008 significantly exceeded the planned caseload for two reasons (i) the findings of a rapid assessment in Gulu and Amuru districts revealed a deterioration in food security within the IDP camps – and recommended to restore food assistance in five earlier phased off IDP camps, and droughts and cattle rustling in the Karamoja region led to a higher than planned beneficiary caseload. On the other hand, the overall food distributed during the same period was less than planned, for several reasons. Rising food prices and scarcity of food in the market led to significant pipeline breaks. Food rations had to be adjusted downwards.

Overall, the achieved results significantly changed and are changing the lives and livelihoods of tens of thousands of women, girls, men and boys who benefited from these interventions in targeted project areas. In general, most of the visited German funded project interventions

⁸⁵ It is, however, not possible to attribute specific results of the broader operations to specific German HA funding.

can be considered as important pull factor that favoured and supported the (re-)settlement of crises affected populations (IDPs and returnees) in their places of origin or new home areas. Basic tools were provided supporting self-help of beneficiaries when they (re-)settled in their home areas. Access to safe drinking water and sanitation facilities is improved. Agricultural production is diversified, and improved seeds introduced so that important pre-conditions for improved harvests are set. The capacities (knowledge) of villagers related to improved agricultural, health, water and sanitation practices as well as self-organisation in community groups are improved. These findings thus confirm the reconstructed intervention logic of German HA in Uganda (as presented in the Figure 2 above) with empirical evidence from the field level.

Only singular examples of (major) technical problems were reported, e.g., problems of germination of seeds provided in the context of one project, which were adequately assessed (still on-going during the field mission of the evaluation team) in order to take corrective action.

In addition to the results related to the project objectives, a few **positive side effects** of the interventions were reported, for example,

- tools distributed for toilet construction became multi-purpose tools which were also used for the construction of houses and
- the fact of grouping people in committees made them realise the benefits of working together to make voices heard.

One negative side effect reported (more in general, and not specifically related to specific German funded HA interventions) was that the beneficiaries of distributions and/or communities benefiting from HA interventions became bandits' targets. This is an effect that is known from other HA interventions in many circumstances which still needs constant attention and intensive search for preventive action and good solutions.

Targeting

The implementing partners use different approaches in targeting using context and needs assessment as a basis and involving local authorities in the identification of beneficiaries. Based on a first step of geographical targeting, i.e., using results of context and needs assessments for the identification of regions, districts, sub-counties and communities, some organisations still target most needy or most vulnerable individuals (based on a set of indicators), others did not apply individual targeting. The latter approach is justified by the implementing partners with the argument that most of the people affected by the humanitarian crises are in need (esp. In an acute emergency phase) and some kind of 're-targeting', i.e. sharing of project benefits at village level, is anyhow applied by the beneficiaries. These arguments are valid. They were confirmed during several discussions during the field mission of the evaluation and are known in the context of HA interventions. However, the longer a crisis lasts and the more opportunities for coping exist or develop over time (including aid interventions), the more important an individual targeting becomes. With regard to regional targeting of the German-funded HA in general, it is not clear which factors – apart from the above-mentioned opportunities related to the changing security situation – triggered German HA to different locations within the targeted areas in Northern and South-west Uganda.

Coverage

Coverage is an important aspect of HA effectiveness.⁸⁶ Despite a respective request at the briefing workshop in Kampala and an analysis of project documents (as presented in Annex 7) the data necessary for – at least – a rough quantitative estimate of the coverage of humanitarian needs – could not be compiled in the context of this country case study evaluation.

Such an analysis has not yet been systematically foreseen in the current M&E and reporting system of German-funded HA in general, representing a serious shortcoming.

Timeliness

By and large, the implementing partners of German-funded HA implemented projects as planned and – in the case of on-going projects – are on track in project implementation. According to all available information HA came at the right time. However, some delays were also reported due to various factors, for example,

- decision making procedures about funding (especially in the case of DETA interventions),
- late mobilisation of staff (especially staff that has to be recruited internationally),
- availability of materials and equipments as well as
- time necessary for their mobilisation and transport, influences of weather conditions on transport conditions.

In general, unnecessary suffering could be avoided, and the usefulness of the interventions ensured. This is particularly remarkable in the context of seed distributions in 2010 when the visited implementing partners were able to provide seed inputs on time just when the first rains and a very good rainy season started.

4.2.2 Factors influencing effectiveness

Staff capacities and capacity development

The implementing partners – both the organisations funded by the AA and BMZ and their local partners, if any – have impressive human capacities, i.e., competent, motivated and dedicated staff, available for the management of their interventions. It is, however, not always easy to mobilise the necessary capacities at short notice or for remote placements. Today, the majority of the staff is local which is a good development because working with or through local capacities is increasingly important in the transition. Some organisations seem to be quite male dominated whereas others also have female staff at field level and/or in management positions. Some specific technical capacities still need some strengthening, for example water conservation activities in agriculture and the use of Ecosan toilet products, or complementation, for example staff with sufficient capacities in nutrition or conflict prevention and management.

In general, specific capacities are needed and were mobilised for emergency relief on the one hand, and DETA and the transition from emergency to DETA on the other hand. Ideally the implementing partners have core capacities for both available in-house, and quick access

⁸⁶ See glossary for the definition of the term and Beck (2006) for the concept.

to additional capacities if needs and opportunities change. Some of the AA and BMZ implementing partners have a specific mandate and orientation for either emergency relief or DETA and transition between the two, some are pooling or developing capacities for both within the same organisation. An exclusive work in the field of emergency relief can entail the risk of an unnecessary prolongation of such interventions when an early transition to rehabilitation is more appropriate (see also Chapter 4.5).

Some remarkable good practice in staff training, knowledge management and learning could be identified in the context of this evaluation, e.g., M&E and 'Do-no-harm'-training for staff, a joint conflict study in Moroto (see above) as well as more or less formalised lessons learnt reflections through workshops, a study and a planned study tour in the context of one project. There seem to be, however, still untapped opportunities for cooperation in these fields to further strengthen capacities and using synergies.

Management of implementing organisations

The management of emergency relief and DETA projects under time pressure and often difficult conditions related to remoteness, transport and security conditions at field level is a challenging task. The management was/is sometimes overloaded, which could be linked to complex projects to be implemented in short period of times or delays in project implementation: Adequate support to field level projects from within the organisation (e.g., with regard to procurement, security measures and supervision under difficult field circumstances) remains a crucial factor for project success.

Security of implementing partner staff

Project effectiveness was and still is influenced – to different degrees depending on locations and period – by prevailing security conditions in project areas. However, different organisations and different persons within the organisations assess security risks in a different way. All organisations have taken their own preventive measures. While no absolute security guarantee is possible, more cooperation and streamlining of security regulations could increase overall project staff security.

Results-oriented reporting based on results-oriented M&E

All AA and BMZ implementing partners have M&E systems in place which in general allow for a quantitative and qualitative follow-up of project activities and results.⁸⁷ In case of specific information needs, e.g., with regard to beneficiary figures, inputs provided, activities implemented, persons trained, the implementing partners are in general in a position to provide this information on request.

However, the results-orientation of current project reporting is still insufficient. As mentioned above, it is not yet possible to sufficiently and systematically assess the achievements of project results (outputs and outcomes) as compared to plans. An early orientation towards results would also help the implementing partners to formulate realistic objectives and respective indicators and manage for results. Such a results-orientation could be facilitated through reporting formats that explicitly require a systematic comparison of achievements and plans (e.g., in a tabular form). Such tables would also facilitate the performance assessment (*'Erfolgskontrolle'*) and evaluation of the AA and BMZ vis-à-vis their implementing partners.

⁸⁷ Due to the strategic character of the evaluation and the limited time available for project visits, these systems were, however, not studied in detail by the evaluation team.

Rules and regulations related to German public HA funding

The annuality of the budgets linked to calendar years was reported as a sometimes constraining factor for a needs based and solution oriented project implementation when it comes to, for example, the mobilisation of funds in relation to the agricultural calendar.

The narrow periods for interim-reporting (sometimes a few weeks or months only), which is in some cases linked to the provision of funds sometimes put a heavy workload on all stakeholders involved. Nobody is, however, questioning the need for systematic reporting on the status of implementation and results of the interventions.

A number of resource persons commended the flexibility that is possible and applied within the framework of given rules and regulations with prior consultation and consent of the ministries.

Financing channels

Based on the data and information available to the evaluation team and methodological difficulties, it is not possible to evaluate which financing mechanism (NGOs, bilateral government organisations, Ios) through which the AA and BMZ channelled their HA is more or less appropriate to achieve the objectives. Depending on the mandate and available capacities, all implementing partners have respective (comparative) advantages:

NGOs (including the DRK): To achieve solid and tangible results in Uganda in water, sanitation and hygiene, and food security (including agriculture) at the village or camp level and up to the sub-county level, NGOs are appropriate and promising financing channels, if the following factors and conditions apply:

- They have access to both emergency and DETA funding and can combine the succession of both funding mechanisms with a high degree of probability and complement with own funds if need be;
- They have the technical and organisational capacity to plan and manage both emergency and DETA phases of HA. Preferably, they have a development agenda, for which planning and even implementation sets in throughout all phases of HA starting very early already in the emergency relief phase;
- The project durations for emergency projects are at least one and the duration of DETA projects is at least (and exceptionally) two, but in most scenarios of Uganda three to four years.
- NGOs have the capacity and projects are large enough to allow for meaningful coordination and cooperation with international and government stakeholders.
- NGOs have reliable local partners who are not only encouraged to take over increasing responsibilities within projects and programmes, but also diversify their donors and thus gain increasing independence. Such partnerships must include strict rules of accountability for entrusted funds.

Most of the implementing NGO partners of German-funded HA fulfil these factors and conditions. NGOs as financing channels that engage in short emergency relief projects only, have a very narrow technical focus, do not cooperate with local partners, and/or do not engage in longer-term commitments in (a particular district of) Uganda. They often provide valuable support to emergency relief, but have serious limitations with regard to the transition to rehabilitation objectives and the link to development.

GTZ: GTZ has the capacity, know-how and linkage to ongoing development activities in the context of German (technical) development cooperation in order to manage larger, integrated DETA projects. This also bears the potential for scaling-up, i.e., linking with other bilateral German cooperation activities, cooperating with government and other partners, and feeding field level experiences into national policies and programmes.

WFP and UNHCR: The relatively small contributions of Germany to the Uganda PRROs (0.24 per cent of the operational requirements in 2008) and refugee operation (2.2 per cent of the UNHCR budget in 2007)⁸⁸ do not justify exerting specific influence on the organisations strategies and specific programmes at country level beyond the general mechanisms of donor involvement at headquarters level. In addition, Germany has only very limited human capacities for HA at the Embassy level to engage in a (critical) dialogue with WFP and UNHCR. If Germany aims at a strategic positioning in the fields of support to refugees/IDPs and food aid/food assistance in HA at global or country level, the chosen approach with very small contributions to overall programmes is considered questionable. The Ios, however, argue that even the smallest contribution, especially when it comes from an important donor, is important for project results and as a signal to other donors.

ICRC: The special mandate of the ICRC in working across frontlines, in family reunion as well as access to and care for prisoners justify a continued and reliable funding. From 2005 to 2009, the funding of the AA to ICRC has been increasing steadily, but was earmarked by country. For the first time in 2010, the overall AA funding (according to information from ICRC Geneva) was un-earmarked which allows for a more flexible reaction of ICRC to changing crises.

4.3.□ Efficiency

Measuring efficiency (cost-effectiveness) of projects or project components (incl. Efficiency of managing personnel and the organisational set-up) in detail and in a quantified manner is almost impossible given the limited time available per project and the lack of related project monitoring data.

In general (and confirmed in the Ugandan context), rather small and rather short projects can be considered less efficient as the investment costs for setting up operations (office, logistics, staff recruitment, and (air) transport) serve limited implementation financial volume. The need for high involvement of (relatively costly) senior staff in setting up operations and little possibilities of delegating work to local or junior staff is one aspect of inefficiency. While such focus on setting-up infrastructure and staff recruitment is necessary in fast-onset humanitarian situations, in Uganda, the crises are clearly slow-onset and protracted. Under such conditions, longer terms of engagement and larger projects are more appropriate and efficient. Under such conditions, short term emergency relief funded by the AA is particularly valuable in cooperation with implementing partners which have the know-how for longer-term engagement and the potential of acquiring funds for follow-up measures.

⁸⁸ See details in Chapter 3.3.3 and the project fact sheets in Annex 7

4.3.1 Sector related efficiency considerations

Safe drinking water

Given the investment in borehole drilling as well as the tasks of setting up committees and training committees and pump mechanics, projects with durations of less than two years are not efficient. This refers to both AA and BMZ DETA projects. The difference between an eight-months AA project and a twelve-months BMZ DETA project is not significant. Both would be too short for an efficient use of the initial investment. With an additional follow-up phase of one or two years for supporting the newly created or re-vitalised capacities for water management at village level, the durability of the expensive water sources and the re-financing of repair will be much more likely. Such a follow-up could be possible at relatively low costs. None of the visited projects had a convincing exit strategy or a clearly tailored follow-up concept.

Hygiene and sanitation

Some inefficiencies could be observed in the context of the construction of latrines for example, drainable toilets of DKH in a context where there is no access to draining services. The investment in construction is lost as soon as the toilet is “full”.

Technically, the most cost-efficient long-term solution for rural toilet programmes, especially in schools, are Ecosan toilets such as constructed by DRK. This type of toilet has proven its feasibility across the world. Promoting Ecosan toilets is also in line with GoU policies that officially promote this toilet type. The efficiency of a specific toilet type should not be measured in cost per toilet to the implementing partner, but in long-term costs to the end users. With Ecosan toilets, the repeated digging of pits is avoided, the shifting and new construction of toilet houses unnecessary and improved yields of properly applied Ecosan products (the decomposed faeces) add income to farmers’ pockets. Unfortunately, project durations of less than three years do not allow for the necessary training and follow-up.⁸⁹ Thus, short project durations do not allow using this efficient tool for improved sanitation and farm income. The example of the choice of toilet types in humanitarian projects sheds light on the dilemma of narrow time horizons. A technically better, more sustainable solution, which is preferable from a humanitarian and development perspective, cannot be recommended, simply because a short project duration does not allow for a relatively cheap follow-up. The DRK is aware of this dilemma and will attempt to find matching funding for a follow-up. The better solution would be an in-built and funded follow-up in the context of the BMZ DETA project.

Food security

Each climatic zone has its distinct mix of agriculture and animal husbandry to render the food production system resilient to natural disasters like droughts or floods. As a general rule that applies equally for all regions of HA in Uganda, the ‘animal component’ requires increasing importance and focus with the danger of drought and with the decline of average precipitation. In general, projects are the more efficient the more sensitive they are to this relationship between agriculture and animal husbandry. Current HA projects, however, show a tendency towards promotion of agriculture and a neglect of animal husbandry. A partial

⁸⁹ Even if a local partner is present in the country – as the URCS in the case of the DRK – lack of human and financial resources often is a limiting factor for a follow-up of activities once the initial project financing ends.

exception to this is the animal health component of Welthungerhilfe in Karamoja that aims at improving the performance of existing livestock through animal trainings of animal health workers.

Food assistance

WFP Uganda is actively promoting local purchase of food. The organisation manages to procure 50 per cent of required food commodities locally. This percentage might fluctuate during the year depending on the availability of cash donations to WFP⁹⁰ and depending on the volume and quality of food in the local or regional markets. Apart from efficiency considerations due to reduced transport cost for operations in Uganda, local procurement also has several other benefits⁹¹, which also support HA and development objectives.

Similar efficiency considerations apply to other material and in-kind transfers of non-food items in all German funded HA projects. In the context of the DETA project in Karamoja, GTZ procured all food aid locally in Kampala. As far as possible, local procurement of other products/non-food items was applied by implementing partners of German HA.

4.3.2 Other efficiency considerations

In the context of the evaluation, neither any outstanding examples of specific efficiencies nor of specific inefficiencies could be found.

No evidence was reported that key functions in project implementations (such as security, coordination, staff, project administration and financial management) could not be claimed or were not paid for.

In general, a good consciousness about costs related to project implementation was found. Some savings as compared to the initially planned budget were sometimes reported, which could then be used for additional inputs and/or activities.

4.4 Impact

Due to a lack of baseline data and difficulties to even determine the date that indicates the beginning of the different humanitarian crises in Uganda, it is impossible to establish the degree of achievement of impacts for German-funded HA in the country. Similar difficulties can also be observed at the level of individual projects especially due to a lack of consistent intervention logics and indicators at impact level.

The claim of restoring or even improving living conditions of crises affected populations as compared to pre-crisis levels is too ambitious for short term (six months) and medium term projects (18 months – 2 or 3 years). After such a long period of crises in Uganda, it is also impossible to establish the pre-crisis level of the living conditions.

However, some plausible links between project interventions and broader term goals and wider effects (impacts) can be claimed for German-funded HA:

⁹⁰ As opposed to in-kind food donations as often preferred by donors like USA, Canada or Australia

⁹¹ First, it can support the livelihoods of small farmers: about 8 per cent of maize purchases (representing 7,000 mt) from-Uganda-for-Uganda have been made from small-scale farmer groups. Second, the approach is consistent with the Plan for Modernisation of Agriculture, by encouraging wider production for the market. Finally, the food items are more appropriate and adapted to the tastes of WFP's beneficiaries.

- Projects that address peoples practical needs (e.g., water supply, sanitation, food, provision of tools) and sometimes also strategic needs (e.g., participation in decision making through village committees) and are working in contexts where humanitarian principles and standards were in principle upheld contributed to an improvement of essential livelihood factors and a more dignified life of crisis affected populations;
- The humanitarian response in Uganda, to which German-funded projects significantly contributed, favoured the return and (re)settlement of IDPs – often after many years of absence from their home areas; this return and (re-)settlement with support to basic infrastructure (water supply) and productive activities (such as agriculture) and organisation of communities could serve as a basis for improved self-help capacities and potential as compared to the living in camps; however, vulnerability of newly returned and (re-)settled people may have increased – at least in the short run – due to reduced visibility and voice as well as the enduring instability of improvements;
- Village groups formed or revitalised at village level through project interventions, such as formation and training of community/village development committees and water user committees (as e.g., in the context of the projects implemented by DKH/LWF, DRK/URCS, GTZ and Welthungerhilfe), have a potential to empower communities, and support their self-reliance and participation in sustainable development; whether or not such potential materialise depends among other factors especially on the type and duration of support for their capacity development; if no additional support is ensured after the initial phase of setting-up and training the committees, early gains may soon be lost, especially when it comes to potential sources of conflicts such as the collection, management and use of water user fees.
- Similar considerations are relevant with regard to the maintenance of water supply or sanitation facilities; projects supported the establishment of self-organised systems (e.g., through the introduction of user fees and drainage systems), which, however are endangered if the financial resources of the users do not allow for a payment that can ensure sustainability in the longer run.

The integration of livestock activities in some of the visited projects (e.g., the GTZ und Welthungerhilfe projects in Karamoja region) bears the potential of possible positive impacts on soil fertility, food security and eventually nutritional status. Apart from buffering drought or flood induced reductions of agricultural yields, the integration of animal husbandry in food security systems provides for fertilizer to sustain soil fertility in the long run. Most agricultural projects still bank on soil fertility that has accumulated during years of fallow. Thus far, little effort is made to promote practices that support rather than exhaust soil fertility.

By definition and nature, achieving impact takes time, especially when it comes to broader political and socio-cultural change as claimed by two projects, e.g., the introduction of village development committees and support to conflict prevention and management in the context of the GTZ and Welthungerhilfe projects in Karamoja. The introduction of relevant activities has started. It was, however, too early to evaluate impacts at this level. Findings presented in Chapter 4.1 and 4.2 indicate that achieving such changes (at impact level) in the relatively short project period remains a huge challenge.

4.5 Sustainability/connectedness

Building and using local capacities are important factors to favour connectedness and sustainability. The selected project case studies provide a mixed picture with regard to creating, supporting and using local capacities. While, in the meantime, local individual capacities are used to a large extent, the use of local partner organisations in the implementation of German-funded HA projects is not always the rule. DRK and DKH essentially implement projects through their local society and partner respectively. Other organisations, for example ASB, implement with own staff and have no or – as in the case of Welthungerhilfe – only a contractual relationship⁹² with a local NGO, which is sub-contracted to implement the conflict component of the project. Contractual relationships are also very common in the context of water supply projects. Most of the implementing partners collaborate with district and/or sub-county level, however, to a different degree ranging from information sharing to joint implementation of certain activities.

All implementing partners of the German funded HA set up a **system of maintenance and repair** for water system thus favouring ownership of beneficiaries. However, the viability of such committees is still to be proven in the longer run. The fact that a number of water supply systems that were broken down and rehabilitated in the context of German funded HA projects still had user committees that could be re-vitalised indicate that the sustainability of previous facilities was not fully ensured. In these cases, the committees were not in a position to ensure that the water infrastructure could function in the longer run, e.g., because of insufficient water user fees collected or technical problems beyond the capacity of the committee and insufficient power to trigger the support of the sub-county or district water office. The question why stakeholders of current HA interventions are now more optimistic with regard to the connectedness/sustainability of achieved project benefits has not got a plausible answer in the context of discussions held during the evaluation.

In addition to such committees, there are other good practice examples of **promoting and facilitating working in groups** in the context of the German funded HA projects included as case studies in this evaluation. Such examples include settlement/community development groups, demonstration gardens, a tree nursery and farmer field schools, thus promoting and nurturing self-help capacities and mutual support at village level. This can be seen as important aspects that favour sustainability. However, current project durations are too short to ensure viability of newly formed self-help structures.

Overall, a high degree of sensitivity for ensuring a **LRRD approach** to individual HA interventions was found during discussions with implementing partners. This is mostly due to the fact that they have own LRRD strategies (as written documents or as an implicitly followed approach) and a genuine interest in continuing interventions. All implementing partners of German funded DETA projects met during the evaluation aim at linking the HA interventions to longer term development interventions. Receiving funding for such interventions remain the biggest challenge.

A quite high degree of self-criticism among several representatives of implementing partners was found with regard to the own organisation's focus on and capacities for linking emergency relief with rehabilitation/recovery, and with development early enough. Such a

⁹² Contractual relationship means that the NGO is sub-contracted to implement a specific part of the project. There is no partnership element or capacity development component involved in the sense of jointly develop the local civil society.

shift is a real challenge for all stakeholders involved. The organisations have to ensure that the respective capacities for the different approaches are in place, and respective resources mobilised. Beneficiaries who are used to receive transfers have to get on their own feet again. Government services and other local organisations have to increasingly take over responsibilities. ‘Don’t prolong the relief phase’⁹³ also is a lesson learnt from the Ugandan country case study, which could be extended to ‘Don’t prolong the rehabilitation phase’.

The global, international HA to Uganda followed and follows a similar pattern. However, the speed and scale of phasing out emergency and phasing in rehabilitation and development interventions does not seem to match, leaving a gap of unmet needs both in emergency relief that is still necessary for specific population groups in specific regions and in DETA. Current HA projects face the huge risk of falling into a ‘financing trap’ of phasing out without adequate phasing in of development activities that effectively reach the village level at scale and broad coverage. Under the development architecture and ‘machinery’ prevailing in the context of the Paris Declaration and Accra Agenda for Action, funds are increasingly channelled through partner country systems and less through projects of external actors. HA project interventions supported by the UN and (I)NGOs risk to dry out of funding when it comes to access to development resources which are needed to build on early gains of HA interventions and work towards improved and sustained livelihoods.

4.6 Coordination and complementarity

The Kampala **coordination apparatuses** are quite elaborated (see Annex 13) with four major pillars (i) the humanitarian coordination apparatus (clusters) under the leadership of the IASC country team, (ii) the sector working groups of Ugandan Government under the leadership of the Ministry of Finance, (iii) local development coordination apparatus under the leadership of the local development partners group, and (iv) the political coordination apparatus under the leadership of Partners Democracy and Governance (with four working groups for human rights, anti-corruption, peace and conflict, and democracy).

At field level, the first two pillars are also represented in the districts bringing together various actors mainly representing donors and implementing partners.

One specific case of coordination mechanisms has been set-up for the Karamoja region under the leadership of the Office of the Prime Minister reflecting – together with the nomination of the First Lady as Minister for Karamoja – the importance that the current Government addresses to this region. This is the only multi-stakeholder coordination mechanism with a regional focus on Karamoja⁹⁴ bringing together the different actors working in relief, rehabilitation and development.

The HA coordination mechanisms currently undergo a significant change from the cluster approach, which is mainly UN led and managed, to the GoU led sector working groups. The different clusters are in different stages of transition. While some clusters have already been phased out (for example the water cluster in Oyam District) and the government services now ensure the sector coordination, other clusters (for example the food security clusters)

⁹³ This is one of the major learning experiences of the more than 30 years of earthquake responses (ALNAP and Proventionconsortium 2008).

⁹⁴ The other working group with a regional focus is the Northern Uganda Recovery/Development Group under the Local Development Partners Group.

are still operational. Many resource persons reported that the handing over to the sector working group coordination has not worked out yet. Sector working groups, especially at field level, still have to take over their coordinating role and functions and prove their engagement in LRRD. Again, as for the funding of projects, there seems to be a de-link of the humanitarian system from the development oriented system currently leaving a 'coordination gap' in the majority of cases.

Depending on the type of coordination mechanisms either the managers or the technical advisors/technical staff participate in the respective meetings. Active participation of Government in cluster coordination often was/is not very strong.

According to the feedback received from many resource persons, the functioning of the clusters and other coordination mechanisms vary mostly depending on the leadership taken by the cluster coordinators and their capacities to facilitate effective meetings. All implementing partners of German funded HA participate in the meetings and appreciate the clusters at local and Kampala level as platform for sharing information and meeting people of organisations active in the same geographical and/or thematic area, including UN organisations and ECHO. The relevance and usefulness of participation in the meetings for their own practical work and the effectiveness of coordination are not always obvious and convincing. There are often too little specific results for action and follow-up reported. However, interests and capacities made available at various levels to fully engage in and actively contribute to existing coordination mechanisms and improving them if need be vary across agencies. Coordination capacity of implementing partners – both time and skills – is not systematically promoted and budgeted for, leaving their engagement in overall coordination patchy.

With regard to the **coordination of German-funded HA interventions**, the Embassy plays a major role in bringing together the respective organisations on a more or less regular basis. There are no specific capacities made available for this role and functions. HA coordination was and is ensured through the Head of Cooperation ('WZ-Referent' or 'Referentin') who took and takes this role in addition to the usual function of coordinating and steering the German development cooperation. He or she is supported by a Desk Officer. This can be considered a pragmatic approach to the challenge that the German HA system faces with regard to very limited decentralised management capacities for steering and coordinating German funded HA at Embassy level and coordinating with the HA of other donors in the country. The advantage of this approach is a joint-up coordination and LRRD approach followed-up by one single person ('Kordinierung □u seiner Hand'). This also ensures the **interface management between the AA and BMZ at field level**. An obvious disadvantage is the limited capacity that one single person can dedicate to this specific task while being in charge of a large portfolio.

In addition to the more general coordination of German-funded HA there is a newly created Karamoja working group bringing together the German organisations that are actively involved in the support to that region (GTZ, DED and Welthungerhilfe with BMZ funds, ASB with funds from different sources). This group is lead by the Head of Cooperation and meets about every two months for coordination purposes, mainly information exchange. The results of these meetings are used by the persons involved in the context of their participation in other coordination mechanisms at national level, e.g., the Karamoja Working Group under the Office of the Prime Minister, and coordination at regional level in Moroto (Karamoja Region).

The appreciation of the functioning of these German coordination mechanisms vary among stakeholders. While all stakeholders involved in German funded HA interventions appreciate the existence of these coordination mechanisms some would expect more intensive coordination and more specific results as well as better link up with German development cooperation.

The German-funded HA in Uganda as a whole followed a clear LRRD approach with AA funded emergency relief through NGOs and Ios and some BMZ funded DETA projects. 2007 was the turning point when the AA gradually phased out its funding and the BMZ gradually increased funding for transitional aid and also its funding for development cooperation. The **sequencing of emergency relief and DETA interventions** in Uganda more or less followed the phasing as stipulated by the theory of LRRD – both for the overall international response to the crises and for the German Government’s response. However, no evidence was found in the context of this specific country case study (neither during discussions in Germany nor during the field mission in Uganda) that this phasing and ‘handing-over’ from emergency relief to rehabilitation/recovery/transitional aid of German funded HA was systematically planned, organised and managed by the two ministries involved beyond the usual procedures.⁹⁵ There is also no evidence that an organised, tangible and strategically planned withdrawal strategy and plan existed for the AA and exists for BMZ DETA activities. Direct synergies at project level between activities funded by the AA and BMZ could hardly be identified. They are limited to knowledge and experiences gained that are available and can be used by the organisations that were involved in the implementation of the projects. Indirectly, there are important synergies because both ministries contribute to the global response to the humanitarian crises in Uganda. The positive and appropriate approach of the transition from relief to rehabilitation that could in reality be observed in Uganda seems to be a result of coincidence rather than of systematic planning.

Linking rehabilitation and development was and still is facilitated through intra-ministerial coordination between the two relevant regional and the thematic/sectoral divisions (new Divisions 304 and 401), and the Head of Cooperation at the Embassy in Kampala. Already at the beginning of the year 2005, the German Government (Embassy in Kampala, the AA and BMZ with participation of the bilateral implementing organisations) elaborated a discussion paper related to the German engagement in Northern Uganda. Since then, a stronger orientation towards this regional focus was introduced. This has in the meantime been completed and materialised through a policy advisor in the OPM and the integration of the regional focus into all three priority area strategy papers.⁹⁶ The German Government is thus supporting the poverty reduction policy of the Ugandan Government and its political will to foster the development, especially also in Northern Uganda.

So far, however, there is no direct link between the DETA projects and the German bilateral development cooperation. The principal advisor of the GTZ implemented DETA project in Karamoja has established first contacts and planned additional contacts with all the responsible coordinators of the German-Ugandan priority sectors in order to explore possibilities and options for synergies among BMZ funded interventions. However, there are limits to such linkages because of the strategic orientation within the priority areas. E.g., the

⁹⁵ Information about projects financed by AA to BMZ, and agreement of AA with BMZ funded DETA project (*‘Einholung der außenpolitischen Unbedenklichkeit’*)

⁹⁶ *Förderung von erneuerbaren Energien und Energieeffizienz*, Financial System Development and Entwicklung des Wassersektors

support in the water sector aims at the improvement of the situation of urban poor and the rapidly growing rural centres and small town in Northern Uganda – target groups and areas that do not concur with those of the DETA project.

The possibilities and potentials of implementing partners of German funded HA to access and mobilise funding sources other than German donors vary. Such possibilities are, however, of utmost importance because there is only one example of a direct follow-up of AA and BMZ funds and no example of direct follow-up of projects funded by the BMZ DETA and the BMZ development budget lines.

AA and BMZ interface management at ministerial level in Berlin as well as the coordination within the AA was and is ensured through the responsible desk officers in charge in the respective divisions (AA, VN05 and BMZ, 401 as well as AA, VN05 and AA, regional division) and follows the usual approach of mutual information and consultation in the context of the decisions about new projects. No specific aspects – be it “good or bad practices” – were identified in the context of the Ugandan case study.

4.7 Cross-cutting aspects

Cross-cutting aspects are not yet systematically mainstreamed in the design and programming of all German funded HA projects. The analysis and integration of cross-cutting aspects, i.e. gender, human rights, do no harm/conflict sensitivity and environmental compatibility, in the management cycle of German funded HA, including programming, M&E and reporting is still quite erratic in most cases.

Unless respective statements are requested in the project documents as per given formats by the funding ministries, the consideration of cross-cutting issues is left at the discretion of the respective person(s) responsible for the planning, implementation and reporting of the project. The consideration of a few cross-cutting issues is requested in the formats. In the case of AA funded projects, the proposal and reporting formats were updated in March 2009 and – since then – include specific sub-questions related to gender considerations and conflict awareness/Do-no-harm principle. German non-governmental partners, which implement DETA projects, have to present intended outcomes/impacts on women in the project proposal and to report on the specific outcomes/impacts on the situation of women in the final project report. In the case of GTZ, the design and programming of all DETA projects (like all development projects) has to be (self-)assessed against the usual gender, conflict and environment classification based on the DAC system, and respective judgements included in the project proposals.

However, this mandatory consideration of cross-cutting issues in project formats is only a pre-condition that could facilitate a better focus on such aspects. It is by no means sufficient for an effective implementation of relevant activities and the achievement of related results. Even though, some good practices are identified that support the focus on the cross-cutting issues in practice. The examples are presented by cross-cutting issues.

Gender: reporting of relevant information in a gender-disaggregated manner is not yet a general standard; information on gender issues in project reports is missing; in the practice of the visited projects, practical and strategic needs of women are addressed in most projects in a more or less explicit way (sometimes through the introduction of quota for female participation in committees); whether or not gender related aspects are explicitly and systematically taken into consideration during needs assessments cannot be evaluated

because detailed needs assessments are not available for all visited projects and project requests often refer to these aspects in a quite general way.

Human rights: Apart from one example, no explicit reference is made to human rights aspects in project documents and implementation; no obvious violation of human rights concerns of the German funded HA projects was, however, found in the context of this evaluation.

Do-no-harm/conflict sensitivity: Two DETA projects explicitly address conflict issues as one of the project outputs and makes resources available for respective activities; activities have started and first outputs are available (literature review, trained staff, theatre group formed); other projects do not explicitly refer to this cross-cutting issue; in the context of one visited project, beneficiaries reported about conflicts created about the appropriate use of distributed tools.

Environmental compatibility: Only one of the project case studies included in the evaluation explicitly referred to environmental concerns in the project offer; as analysed above, some opportunities for a better integration of environmental concerns in agricultural activities have not yet been used.

HIV/AIDS: In addition to these 'classical' four cross-cutting issues, HIV/AIDS considerations are also included in several projects. Respective activities mainly concentrate on training and/or IEC (information, education, communication) campaigns.

Protection: Despite the fact that protection generally is an important cross-cutting issue in all operations in humanitarian crises especially in conflict affected areas no major concerns or activities with regard to this issue was reported in the context of the visited project cases.

5. Conclusions

Humanitarian assistance in Uganda funded by the German Government during the evaluation period (2005 to 2009 and ongoing) operated in a context of various, often long-lasting man-made or natural humanitarian crises threatening the lives of the affected population and humanitarian aid workers alike. Despite significant improvements of major framework conditions as well as the living conditions of the population, major humanitarian and especially recovery/rehabilitation and more development-oriented challenges have to be faced by all actors in Uganda.

In this overall context, humanitarian actors could achieve good positive results through various types of HA interventions at field level and respective support mechanisms. This was possible due to a number of strengths. However, a number of challenges and problems persist.

Relevance and appropriateness

- Overall, the German HA in Uganda during the evaluation period was and still is very relevant and mostly appropriate. In general, German HA meets felt and objective needs of crises affected populations and responds to their problems.

- Context analyses and needs assessments are made in a more or less comprehensive and systematic way often based on other assessments and sometimes complemented through field missions by the implementing organisations.
- The link of HA interventions with GoU policy frameworks, strategies and programmes is still weak. This is considered a contributing factor to problems related to funding and coordination (see below).
- Not all technical solutions are appropriate, especially the complexity and duration of the projects poses major challenges for implementation and connectedness, but also single technical aspects, such as the appropriate model of latrines, neglect of water conservation measures; these factors most probably also affect the results and expected connectedness/sustainability of the interventions.
- Little reference is made to HA principles, codes and standards in project documents and implementation; this is not requested in the context of project proposals and reporting, but considered important in order to systematically focus stakeholders' attention on these HA quality criteria. No violations of these principles were found during the evaluation.

Appropriateness of financing channels

- The AA and BMZ collaborate with a wide range of implementing partners (NGOs, IOs and GTZ) in the German humanitarian response to the crises in Uganda. This is in line with the (implicit) partnership objective of the German funded HA. However, transparency about strategies and criteria for the selection of partners and allocation of funds is insufficient.

Effectiveness and coverage

- There is a lack of essential data for performance assessment and evaluation of German-funded HA in project reports, especially with regard to the quantification of actual versus planned results, the coverage, and information about other interventions and other factors potentially influencing changes of living conditions in targeted areas and project results.
- Remarkable (short term) results could be achieved. They cannot, however, sufficiently be quantified so that a comparison between plans and actual results is often difficult especially at outcome and impact level; hardly any negative effect is reported or observed.
- Overall, the technical implementation of the different project activities is often good, mainly in the field of supply of safe drinking water, sanitation and hygiene, food security and food assistance.
- Implementing partners are making impressive human capacities available for the implementation and management of the different HA interventions; they face significant challenges in mobilising at short notice and for remote project locations as well as retaining the staff due to sometimes still difficult security situation and under conditions of short-term contract.
- The potential of joint and complementary training, knowledge management and learning of implementing partners of German-funded HA has not yet been well explored and exploited.

- Targeting approaches used by implementing partners varied and appropriately used a combination of geographical and individual targeting in most cases. With regard to regional targeting of the German-funded HA in general, it is not clear which factors triggered German HA to different locations within the targeted areas in Northern and South-west Uganda.
- By and large, the implementing partners of German-funded HA implemented projects as planned and – in the case of on-going projects – are on track in project implementation. According to all available information HA came at the right time. However, some delays were also reported due to various factors.

Financing channels

- The implementation of German-funded HA can rely on a wide range of financing channels/implementing partners with respective comparative advantages and HA capacities that are relevant and appropriate for the implementation of HA projects.
- German funded contributions ear-marked to the operations of international organisations in Uganda are relatively small making their relevance and efficiency questionable.

Efficiency

- As far as possible, local purchase of food for food assistance, and local procurement of other products/non-food items was applied.
- Despite the fact that evaluating efficiency is difficult and receives (too) little attention in the monitoring and reporting of German funded HA intervention, available information suggests that some efficiency gains can be achieved if project durations are prolonged through the better use of start-up interventions and by adding a relatively low-cost follow-up phase.
- The potential of joint and complementary training, knowledge management and learning of implementing partners of German-funded HA has not yet been well explored and exploited.

Impact

- Although it is difficult to assess impacts and the potential rehabilitation of living conditions as compared to pre-crisis level, some plausible links between project interventions and broader term goals and wider effects (impacts) can be claimed for German-funded HA, e.g., contributions to the improvement of livelihoods and a more dignified life as well as to self-help capacities and conditions for empowerment of communities. Whether or not target groups are less vulnerable to future crises depends on the degree of self sufficiency and resilience that can be reached through project interventions.

Sustainability/connectedness

- Implementing partners of German-funded HA increasingly use local capacities in project implementation, especially local staff; partnerships with local organisations are still limited to some organisations; all implementing partners collaborate with local administrative and technical services, however, to a different degree – ranging from

information sharing to joint planning and implementation of certain activities. This increases the chances for sustainability.

- Many projects form and use local committees and self-help capacities, and ensure the development of capacities necessary to create favourable conditions for longer term results, impacts and ultimately sustain achieved benefits beyond the external support.

LRRD issues (DETA – development)

- Implementing partners have a good consciousness of LRRD issues and challenges, and developed their own strategies in order to face these challenges. However, funding sources for a follow-up of DETA projects that are accessible to NGOs are quite limited. Several representatives of implementing partners voiced a quite high degree of self-criticism with regard to the own organisation's focus on and capacities for linking emergency relief with rehabilitation/recovery, and with development early enough.
- Early gains and benefits of HA interventions and connectedness/sustainability are not (yet) ensured in a situation where (humanitarian) project related funding is phasing out and more programmatic and development oriented funding often does not reach the ground at scale leaving a 'financing trap'; this implies a high risk of losing the peace dividend achieved so far.

Coordination and complementarity

- The picture related to the coordination of German-funded HA is quite patchy. Coordination is supported in principle, taken seriously and actively pursued by actors in Kampala and at field level.
- While the HA cluster coordination is gradually phasing out, the links between the mostly UN-led cluster coordination system and the GoU led sector working groups are still weak making coordination, LRRD and appropriate connectedness difficult.
- The limited capacities available at the German Embassy in Kampala for the coordination of German-funded HA demands for a pragmatic approach; meaningful donor coordination and coordination with ECHO and the UN system can only be rudimentary in view of these limited capacity within the Embassy.
- Coordination capacity of implementing partners – both time and skills – is not systematically promoted and budgeted for, leaving their engagement in overall coordination patchy.

AA-BMZ interface management

- AA and BMZ interface management at ministerial level in Berlin was and is ensured through the responsible desk officers in charge in the respective divisions and follows the usual approach of mutual information and consultation in the context of the decisions about new projects. The interface management between AA and BMZ funded HA at field level was and is ensured by one person in the Embassy who is in charge of a large portfolio.

LRRD issues (emergency relief – DETA)

- The German-funded HA in Uganda as a whole followed a clear LRRD approach with AA funded emergency relief through NGOs and Ios and some BMZ funded DETA projects. However, no evidence was found in Uganda that this phasing and ‘handing-over’ from emergency relief to rehabilitation/recovery/transitional aid of German funded HA was systematically and strategically planned, organised and managed by the two ministries.
- When the improvement of the political and security situation allowed for better access to formerly crises affected areas, the BMZ strategically linked various HA and development instruments in the same geographical areas (Northern Uganda) in order to respond in an appropriate way to the needs of the affected population.
- So far there is no direct link between the DETA projects and the German bilateral development cooperation. However, there are limits to such linkages because of the strategic orientation within the priority areas with target groups and areas of intervention that do not necessarily concur with those of the DETA project. The possibilities and potentials of implementing partners of German funded HA to access and mobilise funding sources other than German donors in order to ensure a follow-up of DETA activities vary.

Cross cutting issues

- Some good practices on mainstreaming cross-cutting issues (human rights, gender, conflict/Do-no-harm and environment) exist in the context of the German-funded HA interventions, for example inclusion of gender and do-no-harm considerations in AA formats for project requests, inclusion of reporting of outcomes/impact on women requested in BMZ reporting formats, quotas for female participation in committees, a joint conflict analysis, and ‘Do-no-harm’ training for project staff.
- Overall, cross-cutting issues have not yet been systematically integrated or mainstreamed in the management cycle of German-funded HA. The consideration of cross-cutting issues in project programming and respective reporting in project documents (proposals, interim and final reports) can still be more inclusive, systematic and generally strengthened.

6. Recommendations

Based on the findings and conclusions, a number of strategic and operational recommendations can be formulated both specific to the Ugandan case study and also related to the HA funded by Germany in general. These recommendations address either the funding ministries or the implementing partners of the AA and BMZ or both ministries and implementing partners.

6.1 Strategic recommendations

6.1.1 Uganda case study specific recommendations

Addressed to both the AA/BMZ and implementing partners

- Learn lessons from this evaluation related to the technical appropriateness of interventions and take them into account in future operations in Uganda (and beyond);
- Link HA to relevant GoU frameworks and programmes as early as possible;
- Forster links between HA projects and the broader development agenda in order to avoid a ‘financial trap’;
- Speed-up development interventions in former crisis affected areas and ensure, together with other donors and the humanitarian community, that they reach the ground.

Addressed to the AA and/or BMZ

- Based on close monitoring and regular updates of needs assessments, stay engaged in field level projects with immediate benefits for crises affected populations.

Addressed to the implementing partners

- Revise project approaches, especially consider complexity vs. Duration, technical solutions vs. Need for follow-up (costs, support to capacity development), livelihoods under given security and climatic conditions; as these aspects especially concern the DETA projects, this should be done in dialogue with the BMZ;
- Continue to strengthen newly formed groups (e.g., water user groups/water committees) and support them in linking with GoU services and other development actors.

6.1.2 Recommendations also related to German funded HA in general⁹⁷

Addressed to both the AA/BMZ and implementing partners

- Systematically report on actual results vs. Planned and coverage of HA interventions, and integrate these aspects into the respective formats;
- Pay more attention to the analysis of the efficiency of HA projects, i.e. develop methodology and integrate this aspect into project reporting;
- Take LRRD and/or withdrawal strategies into consideration from the very beginning of operations and regularly revise them.

Addressed to the AA and/or BMZ

- Review the relevance, effectiveness, efficiency and opportunities of relatively small contributions to Ios as compared to more significant contributions to a limited number of strategically chosen operations/countries or un-earmarked contributions.

⁹⁷ As far as they can be derived from the case-study

- Ensure more transparent and criteria-based selection of financing channels and decision-making about allocations of German HA funds;
- Systematically integrate all relevant cross-cutting issues and aspects related to HA principles and codes into project proposal and reporting formats as well as respective guidelines.

Addressed to the implementing partners

- Expand project duration (to meet complex needs) and make low-cost follow-up phases possible; alternatively, reduce project components (complexity); this should be done in close dialogue with the BMZ (because these aspects especially concern the DETA projects) in order to better understand the opportunities and limitations involved;
- Take sufficient time for reflection on as well as documentation and dissemination of lessons learnt, and systematically integrate them into new project design.

6.2 Operational recommendations

6.2.1 Uganda case study specific recommendations

Addressed to both the AA/BMZ and implementing partners

- Regularly assess own technical and managerial capacities (and those of local partners) in Uganda and address possible capacity gaps.

6.2.2 Recommendations also related to German funded HA in general⁹⁸

Addressed to both the AA/BMZ and implementing partners

- Regularly assess own technical and managerial capacities and address possible capacity gaps;
- Seek opportunities for joint and complementary training, knowledge management and learning;
- Ensure budgeting for coordination capacities (at senior level) and active contribution to the quality of coordination.

Addressed to the AA and/or BMZ

- Request implementing partners of German HA to prove their capacities for implementation of humanitarian principles and standards as well as cross-cutting issues, establish a respective database of the capacities of implementing partners (structure and information needs still to be identified) and regularly update the information.

Addressed to the implementing partners

- Ask implementing partners of German HA to prove their capacities for implementation of humanitarian principles and standards as well as cross-cutting issues.

⁹⁸ As far as they can be derived from the case-study

- Actively search for potential partnerships with local organisations and discuss about the need for capacity development; ensure project durations (DETA) of at least two to four years to allow for meaningful development of local capacities.

Annexes

Annex 1: Terms of Reference (ToR) – key elements

BMZ Division for aid evaluation and auditing (BMZ-E)

Evaluation of German Humanitarian Assistance Abroad

Terms of Reference

(Final Version 4.12. 2009)

1. Background and rationale for the evaluation

Natural disasters, crises and conflicts are increasing throughout the world, calling for a rapid response in the form of material aid, transitional activities and reconstruction. In 2007, Germany's contributions of 212 million euros for humanitarian aid (in accordance with the OECD/DAC definition) made it the world's sixth biggest donor in this field.

Germany's humanitarian assistance abroad is, therefore, primarily made up of the following:

- The **emergency response of the German Federal Foreign Office (AA)**, consisting of interventions carried out in order to address initial, immediate needs after a natural disaster, and also in the case of complex crisis situations or armed conflicts. It includes emergency and disaster aid interventions, refugee assistance and humanitarian mine clearance. Because of their objectives, these interventions usually have a duration of up to six months. Disaster prevention projects are increasingly being added to the humanitarian activities.
- Development-oriented emergency and transitional aid carried out under the remit of the Federal Ministry for Economic Cooperation and Development (BMZ); the aim here is to bridge the gap between the humanitarian assistance interventions and development cooperation – which seeks to achieve structural impacts – thereby creating a foundation for sustainable development after acute crises. This includes measures to make sure that sufficient food is available through food aid and food security programmes, measures aimed at creating or re-establishing basic social and infrastructural provisions, strengthening the self-help powers of the affected women and men, and providing aid for refugees. Project duration is generally between six months and three years.

Further **BMZ reconstruction measures** are included as well.

Mindful of the challenges posed by the number of different actors involved, a first ever evaluation of German humanitarian assistance abroad covering both ministries is to be carried out. The 2005 DAC Peer Review also recommended conducting such an evaluation.

The evaluation is part of a comprehensive work program by the inter-ministerial working group for evaluating the humanitarian aid of the AA and BMZ. The aim is to make an overall

assessment of humanitarian assistance abroad and also set up a coherent system for performance assessment and evaluation.⁹⁹

2. Objective, purpose and use of the evaluation

The objective of the evaluation is to undertake an independent, comprehensive analysis and assessment of Germany's humanitarian assistance abroad¹⁰⁰, in order to gain insights which can be used for management by the two ministries concerned. A further purpose is accountability towards parliament.

The following issues are to be considered in particular:

1. Relevance and results of the interventions which are to be assessed by means of case studies
2. Interface management between the two ministries – AA and BMZ – (quality of planning in the head offices and also management in the field, particularly with regard to internal coherence)
3. Coordination and complementarity with interventions by other donors, especially the EU and UN organisations
4. Appropriateness of the financing channels (international versus national organisations, taking into account local implementing capacities) and
5. Linking up emergency relief, emergency and transitional aid, reconstruction and development cooperation in line with the LRRD approach (Linking Relief, Rehabilitation and Development)

with recommendations being provided for possible improvements.

The main beneficiary of the evaluation is the inter-ministerial working group. Further intended beneficiaries are other stakeholders – in particular the organisations receiving support – and parliamentary bodies.

3. Description of the task in hand

3.1 Object of the evaluation and evaluation period

The object of the evaluation is the humanitarian assistance provided by the AA and BMZ in the last five years (2005 to 2009) and ongoing aid interventions if any. At the forefront of the evaluation are the humanitarian emergency assistance of the AA and the development-oriented emergency and transitional aid of the BMZ, which are to be evaluated in greater depth on the basis of about six case studies. Other interventions by the AA and interventions by the BMZ for reconstruction and (government and non-governmental) development cooperation are to be included with a view to assessing internal coherence and alignment with the LRRD concept (linking emergency relief, emergency and transitional aid, reconstruction and development cooperation). Earmarked contributions to international organisations are also to be included in the evaluation. However, they are to be assessed

⁹⁹ Performance assessment, a term used in the Federal Budget Code, is broadly synonymous with the term evaluation as used in the OECD/DAC glossary for evaluation and results-based management (RBM), i.e. evaluations are a key means of assessing performance for German ministries.

¹⁰⁰ Humanitarian mine clearance is not included here.

primarily on the basis of reports and evaluations conducted by the respective organisation itself.

The two ministries do not carry out the humanitarian activities (AA) and development-oriented emergency and transitional aid (BMZ) themselves; they provide – more or less equal amounts of – core and earmarked financial contributions to fund international organisations (IOs) and finance projects and programmes by national organisations (NOs) (non-governmental organisations, German Red Cross and – in the case of the BMZ in addition – implementing agencies).

3.1.1 Strategies and principles for support

Germany recognises the 2003 “**Principles and Good Practice of Humanitarian Donorship**” and played a major role in bringing about the EU Consensus on Humanitarian Aid (2007), which was developed and adopted during the German EU Presidency.

The AA and BMZ have strategies for the promotion of “Humanitarian Assistance” (AA 2008) and “Development-oriented Emergency and Transitional Aid” (BMZ 2005) and also other funding regulations and guidelines, including for cooperation with individual IOs (e.g. BMZ: WFP, UNHCR). There are also – as a general rule – country strategies and in some cases priority area strategies for the BMZ’s 58 partner countries, which set out to varying degrees the framework and conditions for development-oriented emergency and transitional aid.

3.1.2 Implementation

The **international organisations (IOs) or their activities** which the ministries are supporting are UNHCR, UNRWA, UNICEF, OCHA and ICRC (institutional lead: AA; (in some cases substantial) project financing: also BMZ) and WFP (institutional lead: BMZ, financing of measures: BMZ). The German government is represented on the executive board or advisory committees of all these IOs. In 2007, IOs received about 74 million euros in voluntary contributions from the AA and BMZ, mainly in the form of earmarked funds for project support (about 90%).

In 2007, the region that received by far the highest proportion of the voluntary earmarked and regionally disaggregated contributions to international organisations was sub-Saharan Africa (AA: 46% and BMZ: 64%). Humanitarian assistance in Asia accounted for about one quarter of the two ministries’ contributions in each case, whilst a substantial proportion (24%) of AA contributions for humanitarian assistance was channelled to countries in the Middle East, particularly via UNRWA.

Moreover, Germany also contributes about 20per cent of EU humanitarian assistance (DG ECHO), making it the biggest EU contributor.

The **national organisations** receiving support include (as at 2007) 44 non-governmental organisations (NGOs) that are executing agencies for AA interventions and ten German NGOs that are BMZ executing agencies and, in particular, the GTZ, one of the BMZ implementing organisations. In 2007, **these organisations** received a total of about 71 million euros in DAC Code 700 funding from the two ministries for the implementation of humanitarian assistance (AA) (without humanitarian mine clearance) and of development-oriented emergency and transitional aid (BMZ). The biggest recipients here were the GTZ with about 40per cent of the funding, followed by German Agro Action, the Diakonie, the German Red Cross, the Deutsche Caritasverband, CARE and HELP (which received funds from both AA and BMZ), Médecins Sans Frontières, humedica, World Vision, Johanniter

Unfallhilfe, Arbeiter-Samariter-Bund and the Federal Agency for Technical Relief (which only received funds from the AA).

In 2007, the highest proportion of funds for humanitarian assistance from the AA (64%) and development-oriented emergency and transitional aid from the BMZ (62%) went to sub-Saharan Africa, followed by Asia (with 22% from the AA and 28% from the BMZ).

Disbursements for projects in Latin America, south-eastern Europe and the Middle East played a lesser role in 2007.

3.2 Key questions to be considered

In the first phase (pre-studies) the (general) planning, monitoring and performance assessment procedures operated by the ministries and the organisations receiving German budget funds were examined. At the core of this evaluation are **case studies**, which will be used (as examples) to assess the planning, implementation and results from the country point of view, and a **synthesis** of the two pre-studies and the case studies with recommendations for the future.

Evaluation criteria for the case studies are the usual five DAC criteria, adapted and supplemented with an eye to the special nature of humanitarian assistance: relevance and appropriateness, effectiveness and coverage, efficiency, impact, and sustainability or connectedness. Coordination and complementarity are also to be included as further criteria.

Answers are to be sought to the following questions, among others:

Relevance and appropriateness

- How relevant and appropriate was the assistance to the needs of the affected population? Was it based on an appropriate context and needs analysis?
- How appropriate was the choice of cooperation methods and partners (support mechanisms) in the given situation?
- Were cross-cutting aspects (e.g. gender, human rights, do no harm) taken into sufficient account in the planning and selection of individual activities?
- Were humanitarian principles and pertinent international standards for humanitarian assistance taken into sufficient account?
- Based on today's standpoint, was or is the assistance in line with the need in the different (national, regional) areas? How appropriate was it compared with other international efforts?

Effectiveness and coverage

- To what extent were the goals achieved? What factors were conducive to achieving the goals, what factors hampered their achievement?
- To what extent were contributions used to meet particular needs (e.g. children/elderly, gender, ethnicity, etc.)? Did the assistance only reach those in immediate need or did it also reach people who were indirectly affected (e.g. communities hosting IDPs) or people who were not affected by the situation?
- What degree of coverage was achieved?
- How timely was the assistance in the eyes of those affected?

- Were there any negative effects?
- What were the strengths and weaknesses of the planning and implementation, incl. M&E?

Efficiency

- Taking the circumstances of each individual case into account, was the relationship between the level of effort and the benefit acceptable?
- Would a different approach – particularly using other support mechanisms – have offered a better or more efficient way of achieving the goals?
- How efficient was the management and organisation?

Impact

- To what extent were the living conditions of the target groups restored to the level prior to the disaster/crisis?
- To what extent was the vulnerability of the target groups to disasters/crises and/or conflicts reduced? To what extent were the self-help potential and survival strategies of the target groups increased, including with regard to renewed/recurrent risks?
- What immediate impacts were there at the national and regional levels with regard to e.g. policies, budget, and institutional capacities/competence?
- To what extent was there an impact on the emergency or conflict situation, such as on local power structures or the relationships between target groups and other groups not taken into account in the assistance?

Sustainability or connectedness

- Was sufficient use made of local capacities and partner structures and was ownership strengthened?
- To what extent are the material and institutional structures that were created or supported viable without further intervention?
- To what extent were aspects of longer term development cooperation taken into account in the sense of the LRRD approach? If applicable, were withdrawal scenarios formulated?

Coordination and complementarity

- Was the humanitarian assistance coordinated sufficiently within the AA or BMZ and between the AA and BMZ?
- Was there sufficient linking between the humanitarian assistance of the AA and the development-oriented emergency and transitional aid activities including reconstruction as well as development cooperation in the sense of LRRD? Were synergy effects achieved?
- To what extent was the humanitarian assistance coordinated with and complementary to that of other bilateral and multilateral donors and institutions, particularly the European Community and UN organisations? Were synergy effects achieved?

The **cross-cutting topics** human rights, gender, conflict sensitivity and environmental compatibility are to be taken into account when further defining the evaluation questions (mainstreaming). During the preparation phase, additional evaluation questions shall be formulated so as to operationalise the key issues listed at 2 (Objective).

4. Procedure

4.1 Evaluation phases

4.1.1 Preparation phase

The preparation phase will begin with a meeting with the inter-ministerial working group to launch the collaboration (clarification of contract details) and will end with the presentation of a desk report. This will provide the basis for a decision about whether the contract holder should continue the evaluation.

As part of the preparation phase a portfolio analysis of German humanitarian assistance (DAC Code 700) between 2005 and 2009 shall be carried out; this analysis shall cover both figures and pertinent documents (from both ministries). (The analysis of the documents in particular can draw on the pre-studies to a significant degree.) A review of available literature shall form the basis for initially establishing the context of German humanitarian assistance. The core of the first report will be, in addition, a criteria-based proposal for the selection of about six case studies, taking account of geographical distribution, different causes and reasons for intervention and context conditions (natural disasters, conflict) and also the nature and extent of the support given (e.g. with or without/little development cooperation).

The desk report will present a work plan for the next steps and for quality assurance, as well as an explanation of the methods to be used based on one case study that is to be identified early on. An analysis grid with assessment criteria and benchmarks is to be developed for this purpose.

In addition to the analysis of documents, initial interviews are to be carried out with the participants. In a discussion of the draft desk report with the participants

- the central insights to be gathered from a) the case studies and b) the synthesis report will be verified, in order to make sure that all relevant questions are considered in the case studies, also with regard to overarching strategic issues (and especially regarding the key area of support mechanisms – cf. 3.2)
- information gaps will be identified, and
- the procedures (including methods) will be clarified.

An annotated draft outline for the case study reports and a first annotated draft outline for the synthesis report are also to be submitted with the desk report.

4.1.2 Case study phase

One starting point for the preparation of the case studies is country-related documents from the AA, BMZ and IOs, as well as documents relating to the pertinent projects and programmes, also those to be included for reasons of internal coherence (elaboration of a detailed database). The following are to be elaborated for each case study: a context

analysis (including the role of other donors) and also – if appropriate – a conflict analysis, an overview of projects and programmes financed by the AA and BMZ (including relevant interventions outside the field of humanitarian assistance/development-oriented emergency and transitional aid), an outline of the intervention logic, an initial analysis in accordance with the evaluation framework (evaluation questions and assessment criteria), an outline of the questions to be considered more closely during the field visit and the evaluation methods, and a work plan/timetable (inception reports for cases studies 1 to 6).

As part of the preparation work, interviews will also need to be conducted with the technical and regional desk officers at the ministries (also in Bonn) and at some of the implementing and support organisations. Comments on these case study inception reports will be made in writing and/or in a discussion round.

The selection of further (in particular local) evaluators shall be carried out in consultation with the contractor.

As preparations for the case studies proceed, the partners will be informed about or involved more closely in the individual case studies, depending on the extent of the contributions being evaluated. This also applies to participating IOs. A workshop is to be held at the start of the field phase for local stakeholders, e.g. the Embassy, local representatives of the implementing and supporting and international organisations, and representatives of the partner organisations and – if appropriate – the partner government too; the case study (and the evaluation as a whole) will be explained at the workshop.

The collection of data in the field – particularly interviews – is a job to be carried out by teams of at least two people.

Another workshop (participants as above) is to be scheduled at the end of the field visit for the presentation and discussion of the results (findings and conclusions as well as tentative first recommendations). The presentation, feedback from workshop participants and an overview of the timetable (incl. brief presentation of any obstacles or other matters of note) are to be submitted in the form of a debriefing note within five days of the end of the field visit.

A report, a draft of which will be presented for comments and – if necessary – discussion, is to be prepared for each case study.

Steps are to be taken to ensure that the experience gained in the first case studies informs the others. In addition to team workshops, the team leader in particular should also participate in at least three case studies so as to ensure that this is so. Another evaluator should preferably also participate in all of the other case studies either as team head or as a co-evaluator.

4.1.3 Synthesis phase

The synthesis phase poses a special challenge in terms of analysing the information contained in the various reports (the two pre-studies, the desk report and the case study reports). The aim is to use the synthesised results of the case studies, also taking into account other existing pertinent evaluation reports (UNRWA, Zimbabwe, southern Sudan, UNISDR), in order to arrive at generalised conclusions for all humanitarian assistance and find answers to the key questions.

After initial scrutiny by the commissioning ministries, the draft synthesis report (if appropriate in a revised version) shall be discussed with a wider group of participants and then completed once written comments have been submitted.

4.1.4 Dissemination and follow-up phase

Once the synthesis report is finalised, a summary (in German and in English) accompanied by a proposal with the main recommendations for an AA and BMZ implementation plan, is to be submitted. The results of the synthesis are to be presented in Bonn and Berlin.

BMZ-E will be responsible for the coordination of the implementation plan in the BMZ and with the inter-ministerial working group, and also for subsequent monitoring of implementation in the BMZ.

4.2 Methodology

In order to answer the evaluation questions that are to be elaborated and carry out the evaluation as desired, it is recommended that a mixture of quantitative and qualitative methods for collecting data should be used. This mixture will consist of:

- analysing primary data
- analysing secondary data, and evaluating literature and other documents
- collecting data, e.g. via standardised written questionnaires, semi-structured individual interviews or group interviews

A core principle of the methodical approach is triangulation using a variety of different methods and considering different viewpoints.

The evaluation framework (evaluation questions and assessment criteria) shall be elaborated by the evaluation team as part of the inception report.

Steps must be taken to ensure the broadest possible participation in the evaluation by relevant stakeholders.

The evaluation will follow the evaluation standards used in the BMZ (cf.

http://www.bmz.de/de/erfolg/evaluierung/dokumente_und_links/starterkit/index.html) and their adaptation for humanitarian assistance by the OECD/DAC (cf.

http://www.alnap.org/publications/eha_dac/pdfs/eha_2006.pdf) and by the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) (cf.

<http://www.alnap.org/pdfs/QualityProforma05.pdf>), in particular:

- OECD/DAC Evaluation Quality Standards
- Quality Standards for Evaluation Reports (BMZ)
- Evaluation Criteria for German Bilateral Development Cooperation
- ALNAP (2007): Evaluating Humanitarian Assistance using DAC Criteria
- OECD DAC (1999): Guidance for Evaluating Humanitarian Assistance in Complex Emergencies. Paris

5. Evaluation products

- Desk report (German or English; max. 30 pages) with the following elements: comparative analysis of literature and other documents; overview and analysis of the object of the evaluation, examples illustrating the intervention logic, detailed evaluation questions with assessment grid and planned methods for data collection and evaluation; criteria-based proposal for selecting approx. six case studies, plus a time plan, list of activities and product list for the case study and synthesis phase, and a draft outline for the case studies and the main report.
- Inception reports for the individual case studies (German or English; 15 pages): context and – if appropriate – conflict analysis, overview of other donors, inventory and brief description of all pertinent projects, intervention logic, list of projects to be considered in more depth, initial analysis according to the evaluation framework (evaluation questions and assessment criteria), procedures/methods.
- Debriefing notes after the field visits: presentation in the country of investigation (local language); brief summary – can be just key words – of the timetable, in particular any obstacles encountered during the field investigations or other matters of note; reactions of the partner and other stakeholders in the country of investigation to the results (German or English; 2-3 pages without annexes).
- Case study reports (German and relevant local language; 40 pages without annexes)
- Synthesis report (German, English and – if appropriate – in other official languages of case study countries; max. 60 pages without annexes): background/context, procedure, results, conclusions, recommendations, incl. summarised presentation of the results from the case studies plus (detailed) presentation of the methods used in a separate volume of annexes.
- Draft summary (of the synthesis) report for the BMZ and AA websites (German, English and – if appropriate – other official languages of case study countries; about 5 pages) based on the standard outline as a contribution to the executive summary of the evaluation for the BMZ website.
- List of key recommendations for the implementation plan of the evaluation recommendations based on the BMZ standard outline (German).
- CD-ROM with all relevant evaluation data and documents.

Annex 2: Case study programme (as realised)

Date	Location	Activity
18.03.2010		Proposal of the evaluation team to chose Uganda as the pilot case
01.04.2010		Agreement to Uganda as pilot case by BMZ 120, BMZ 213 and AA VN05
21.05.2010	Stuttgart	Contracting National Consultant
25.05.2010	Eschborn	Interviews with GTZ Portfolio Managers
28.05.2010		Draft Inception Report submitted to inter-ministerial working group
04.06.2010	Stuttgart	Interviews with Diakonie Katastrophenhilfe Deadline for comments from the reference group
09.06.2010	Bonn	Interviews with Welthungerhilfe
10.06.2010	Berlin	Videoconference with AA VN-05 staff; screening of project documents Interviews with BMZ staff, Divisions 213 and 323 (per videoconference)
11.06.2010		Submission of Final Inception Report
13.06.2010	Stuttgart Kampala	Travel to Uganda
14.06.2010	Kampala	Team meeting, preparation of briefing workshop and field mission Meeting at German Embassy Visit Deutsches Haus, preparation of meeting facilities
15.06.2010	Kampala	Briefing workshop at Deutsches Haus, GTZ Kampala Interviews with GTZ staff (Country Director and Advisor Office of the Prime Minister) Team meeting: analysis of briefing workshop Email follow-up with briefing workshop participants
16.06.2010	Kampala	Meeting with Ugandan Red Cross (URCS) and German Red Cross (DRK) staff Meeting with Welthungerhilfe staff Meeting with Lutheran World Federation (LWF) staff Team meeting: Planning of field visits
17.06.2010	Kampala	Meeting with Arbeiter-Samariter-Bund (ASB) staff Meeting with UNHCR staff Team meeting: Preparation of field visits
18.06.2010	Kampala Oyam	Departure from Kampala Field visit Oyam with URCS and DRK staff, meeting with Oyam District technical staff (water, agriculture/production)
19.06.2010	Oyam Kitgum	Field visit Oyam continued: borehole and water users in Icekeleye village; Ecosan school toilet, Atek Departure from Oyam to Kitgum
20.06.2010	Kitgum	Meeting with LWF staff in Kitgum, field visit to Camcam, Laraba and Kwolokwe villages; visit of boreholes, fields and gardens, meetings with water committees, farmers and local officials, group discussion with members of different committees and beneficiaries
21.06.2010	Pader	Meeting with LWF staff in Pader; field visit to Aringa and Lagile Parishes in Awere Sub-county; visit of school latrines and boreholes
22.06.2010	Pader	Meeting with ASB staff in Pader; field visit to Lamiyo and Alula villages both in Lamiyo Sub-county; meetings with three village groups (one men only, one women only, one mixed), visit of boreholes, local school with toilets
23.06.2010	Pader Moroto	Travel from Pader to Moroto
24.06.2010	Moroto	Field visit with GTZ staff to Iriiri Sub-County and Aleklek settlement (Moroto district), demo garden, tree nursery, fields with standing crop (seeds & tools), borehole, meeting with local officials

Date	Location	Activity
25.06.2010	Moroto	Meeting with Assistant Chief Administrative Officer, Moroto District Meeting with GTZ staff Meeting with WFP Sub-Office staff Meeting with Welthungerhilfe staff
26.06.2010	Moroto	Field visit with Welthungerhilfe staff to Lorengedwat and Lotome sub-county (Moroto and Nakapiripiti Districts); meetings with community development committees, local officials, individual farmers; visit of boreholes, fields, demo gardens, rehearsal of a theatre group (conflict topic)
27.06.2010	Moroto Kampala	Travel Moroto to Kampala
28.06.2010	Kampala	Team meeting: analysis of field visits and preparation of debriefing meeting
29.06.2010	Kampala	Team meeting: Preparation of debriefing meeting
30.06.2010	Kampala	Debriefing meeting at Deutsches Haus, GTZ Kampala Interview with DED development worker (ZFD) Meeting with GTZ staff (BMZ-UNHCR partnership programme) Follow-up communication of debriefing meeting
01.07.2010	Kampala	Interview with UN OCHA staff Meeting with ICRC staff Meeting with GTZ staff (Water Sector Programme) Meeting with DG ECHO staff
02.07.2010	Kampala	WFP telephone interview, (planning for in-depth teleconference from Germany) Team meeting: Lessons learnt from the pilot study Departure to Germany
03.07.2010	Kampala Stuttgart	Return to Germany
09.07.2010	Bonn Kampala	Teleconference with WFP Uganda
12.07.2010		Submission of Debriefing Note
17.07.2010		Short request for information WFP, Berlin (per telephone)
22.07.2010		Short request for information ASB Cologne (per telephone) Short request for information BMZ, Div. 304 (per telephone)
27.07.2010		Submission of Draft Case Study Report and Draft Lessons Learnt Paper
23.08.2010		Telephone interview with the former Head of Cooperation, German Embassy Kampala (until 2007)

Annex 3: Final evaluation matrix

This case study matrix is based on the overall evaluation matrix (as presented in Annex 14 of the Desk Report, dated 10/05/2010), and was reviewed, tested and updated in the context of the first Haiti field mission and the pilot case study Uganda.

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level ¹⁰²	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
1. Context of the evaluation – Germany’s HA as part of and contribution to the international HA	1.1 What were and are major characteristics, strengths and challenges of the international HA context during the evaluation period? (ET)			
	1.1.1 How are humanitarian crises needs evolving? (ET) What is the 'humanitarian crises history'? (ET)	3b, 1	<ul style="list-style-type: none"> Natural and man-made disaster, climate change, character of today’s conflicts (Major milestones from the 80ies until today) Outlook for the future Major humanitarian crisis during the evaluation period 	

¹⁰¹ Source of the questions in brackets: ToR = Terms of Reference of the evaluation, ET = evaluation team (incl. aspects presented in the technical proposal of the Association), VENRO = VENRO’s comments on the evaluation ToR (dated 18/12/2009)

¹⁰² The following differentiation supports the identification of relevant data collection methods and sources of information at global, German and case study level:

1 = Results at country level (case studies)

2a = Aid management chain – global

2b = Aid management chain – Germany

2c = Aid management chain – case study level

3a = Policy and interface issues – Germany (AA – BMZ)

3b = Policy and interface issues – Germany – international humanitarian system

3c = Policy and interface issues – German HA and other German policies

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level 102	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	1.1.2. How are funds allocated to HA developing? (ET)	2a, 2b, 2c, 3a, 3b	<ul style="list-style-type: none"> • Data as available per OCHA financial tracking system) 	<ul style="list-style-type: none"> • Document analysis • If need be, interviews of key stakeholders (AA, BMZ, implementing partners, representatives of IOs, national governmental and non-governmental authorities in crises affected countries) • Analysis of data relevant data bases (e.g., inventory of CAPs, FTS)
	1.1.3. What were and are major elements of the reform process and initiatives of the humanitarian sector (background, characteristics, achievements so far, constraints, Germany's role)? (ET)	2a, 3b, 2c	<ul style="list-style-type: none"> • Rational and current status of the UN humanitarian reform • Rational and current status of pooling of funds mechanisms (CERF, country-level pooled funds) • Rational and current status of the EU consensus on humanitarian aid • Rational and current status of the FAC and its re-negotiation • Rational and current status of the GHD initiative • Rational and current status 'Principles for good international engagement in fragile states & situations' and respective chapters of the Paris Declaration and the Accra Agenda for Action • Rational and current status of international quality standards (e.g. Sphere standards) • Rational and current status international transparency and accountability initiatives, incl. e.g. DARA Humanitarian Index 	
	1.1.4 What were the HA related results and consequences of the DAC Peer Review 2005? (ET)	2b, 3a, 3b	<ul style="list-style-type: none"> • Major findings of the Review • Major recommendations of the Review • Management response to the Review • Action taken since the Review (2005) 	

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level 102	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	1.1.5 What are other relevant existing and/or ongoing international evaluations and studies in the field of HA, incl. Germany's contributions? (ToR, ET)	2a, 2c	<ul style="list-style-type: none"> • List of relevant evaluations and studies 	
	1.2 What were and are major characteristics, strengths and challenges of the German HA during the evaluation period? (ET)			
	1.2.1 What is the set-up and what are major characteristics of the German HA system? (ET)	2b, 3a, 3b, 3c	<ul style="list-style-type: none"> • History of German HA (major milestones, policy developments etc.) • Mandates of the two ministries • Rational of the 'division of labour' between the two ministries (emergency response of the AA and DETA of BMZ), and how have the two ministries agreed upon the two components of emergency aid (non food & food) (VENRO) • German government's HA policies, strategies, objectives, concepts and 'Förderrichtlinien'? • Way of implementation of German HA (modalities, implementing agencies, structures and processes) • Way and addressees of reporting about German HA 	<ul style="list-style-type: none"> • Document analysis • If need be, interviews of key stakeholders (AA, BMZ, implementing partners)

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level ¹⁰²	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	1.2.2 What are the policies, strategies and the intervention logic of the German HA and how appropriate are they? (ToR)	2a, 2b, 2c	<ul style="list-style-type: none"> • Policies and strategies of German HA • Mainstreaming of cross-cutting issues¹⁰³ in policies, strategies and objectives • Consideration of international principles, standards and guidelines in policies, strategies, concepts and 'Förderrichtlinien' • Link-up of German HA with Germany's broader development goals and other German policy goals and other German policy goals, incl. aspects of civil-military cooperation, peace building and security • Link of these policies, strategies, concepts and 'Förderrichtlinien' to international HA objectives (EU, UN, GHD stakeholders etc.) • Reasons for the engagement in the crisis response (<i>link to relevance criteria</i>) • Objectives, outputs and use of outputs, activities, inputs • Consistency of the logic (objectives and interventions) with the objectives of saving lives, reducing suffering, respecting the dignity of people affected by crises and preventing and prepare for disasters (VENRO) • Coherence of the intervention logic of the German HA 	<ul style="list-style-type: none"> • Analysis of policy, strategic and project documents • Reconstruction and validation of the intervention logic before the case studies • Comparison of the hypothetical logic with empirical evidence from the case studies • Interviews with key stakeholders (BMZ, AA, implementing agencies)

¹⁰³ The following cross cutting issues have to be taken into consideration: Human rights, gender, conflict sensitivity, environmental compatibility; depending on country/regional contexts other cross-cutting issues may be of specific relevance in the case studies, such as protection, extreme violence against the civilian population, HIV/AIDS, regional dimensions of the local conflicts, issues related to population displacement, participation, coping strategies, engagement in fragile states.

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level 102	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	1.2.3 What are the HA policies, strategies, objectives and concepts of the implementing partners (GO, NGO, IO)? (VENRO)	2b, 2c	(See main question)	<ul style="list-style-type: none"> • Document analysis • If need be, interviews of key stakeholders (implementing partners)
	1.2.4 What is German parliamentarians' view and position on Germany's HA abroad, incl. positions in the coalition agreements? (ET)	2b, 3a, 3b, 3c	<ul style="list-style-type: none"> • Discussion of HA topics in Parliamentary committees and the German Parliament 	<ul style="list-style-type: none"> • Document analysis • If need be, interviews of key stakeholders (parliamentarians, AA, BMZ)
	1.2.5 What are other relevant existing and/or ongoing national (German) evaluations and studies in the field of HA? (ToR, ET)	2b, 2c, 3a, 3b, 3c	<ul style="list-style-type: none"> • List of relevant evaluations and studies 	<ul style="list-style-type: none"> • Internet search • Document analysis • If need be, interviews of key stakeholders (BMZ-E, implementing partners)
	1.3 How effective and appropriate did and does German HA work – as part of and contribution to the international response to humanitarian crises? (ET)			
	1.3.1 How appropriate was and is the interface management between the two ministries and between various units within the ministries, particularly with regard to internal coherence, incl consistency between the AA and BMZ in planning of the transition from emergency aid to DETA? (ToR, key issue 2, VENRO)	1, 2c, 3a	<ul style="list-style-type: none"> • Quality of planning, management, M&E and reporting in the head offices of the two ministries – AA and BMZ • Link/interface management between DETA and development cooperation (also 'FZ/TZ-Eilverfahren' and other mechanisms)? (VENRO) • Interface between the ministries and the embassies • Timeliness of mutual information • Mutual participation in analysis and decision making 	<ul style="list-style-type: none"> • Document analysis • Interviews of key stakeholders (BMZ, AA, implementing partners, representatives of IOs)

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level 102	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	1.3.2 How did and does the decision-making about budgets and allocation of funds through to various crises function and how appropriate was/is this? (ET) (→ link to question 2.3)	1, 2b, 2c	<ul style="list-style-type: none"> • Available policies and strategic guidelines and their appropriateness • Criteria used and appropriateness of criteria • Consideration of Consolidated Appeal Processes (CAP) 	<ul style="list-style-type: none"> • Document analysis • Interviews of key stakeholders (AA, BMZ)
	1.3.3 Has the LRRD approach, incl. disaster preparedness and prevention, peace building and security, adequately been taken into consideration and materialised in German HA – within and across organisations, incl. consistency in planning and implementing the transition from emergency to DETA ensured by implementing partners, incl. among various units within the organisation? (ToR, key issue 5, ET, VENRO) (→ link to question 6.6)	2b, 2c	<ul style="list-style-type: none"> • Relevant sequencing and/or parallel implementation of respective interventions • Relevant technical focus of interventions 	<ul style="list-style-type: none"> • Document analysis • Interviews of key stakeholders (AA, BMZ, implementing partners)
	1.3.4 To what extent did and do German HA stakeholders (AA, BMZ, implementing partners) ensure adequate internal (and external) HA capacities (emergency, DETA, LRRD)? (ET)	2b, 2c	<ul style="list-style-type: none"> • Available human resource, material, management, financial as well as planning, monitoring and evaluation capacities within the organisation • Access to such external capacities 	<ul style="list-style-type: none"> • Document analysis • Interviews of key stakeholders (AA, BMZ, implementing partners)
	1.3.5 To what extent did and do German HA stakeholders (AA, BMZ, implementing partners) generate and manage HA related knowledge and learn from experiences (related to emergency aid, DETA and LRRD)? (ET)	2b, 2c	<ul style="list-style-type: none"> • Knowledge and learning systems in place (at least some elements) • Participation in knowledge and learning networks • Integration of lessons learnt into new projects 	<ul style="list-style-type: none"> • Document analysis • Interviews of key stakeholders (AA, BMZ, implementing partners)

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level ¹⁰²	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	1.3.6. To what extent is Germany (AA, BMZ, German implementing partners) participating in the design and implementation of the international HA architecture and governance (ET)	3b	<ul style="list-style-type: none"> • Participation and role of German actors in international HA forums, conferences etc. • AA and/or BMZ support to German NGOs in their coordination/cooperation in the national and international HA context (VENRO) • Follow-up of critical HA issues, e.g. Global Humanitarian Platform, by the AA and/or BMZ (VENRO) 	<ul style="list-style-type: none"> • Document analysis • Interviews of key stakeholders (AA, BMZ, implementing partners)
2. Relevance and appropriateness of the intervention	2.1 Was the assistance based on an adequate and appropriate context and needs analysis and targeting, incl. joint assessments? (ToR, ET, VENRO)	1	<ul style="list-style-type: none"> • Consideration of gender, age, ethnic/social differences • Consideration of livelihoods and coping strategies of target groups • If relevant, conflict analysis and appropriateness of approaches and tools used for it • Type and appropriateness of participation of beneficiaries (incl. women and other groups) and other relevant stakeholders (esp. national and local state and non-state actors) in the context and needs analysis/assessment as well as the selection, design and planning of HA interventions, incl. targeting • Facilitation of and access to such a participatory approach 	<ul style="list-style-type: none"> • Document analysis • Discussions with key stakeholders (BMZ, AA, implementing partners, national and local government and non-government authorities in crises affected countries, beneficiaries)

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level ¹⁰²	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	2.2 How relevant and appropriate was the assistance to the needs as well as their socio-cultural and political characteristics of the affected population? (ToR and ET)	1	<ul style="list-style-type: none"> • Matching of needs and interventions – technical and socio-cultural aspects • Identification of funding gaps • Consideration of gender issues, conflict, human rights and environmental aspects 	<ul style="list-style-type: none"> • Document analysis • Discussions with key stakeholders (BMZ, AA, implementing partners, national and local governmental and non-governmental authorities in crises affected countries, beneficiaries) • (Focus) group discussions, if possible
	2.3 How appropriate was the choice of cooperation methods/financing channels and implementing partners (financing and support mechanisms) and the respective financial volumes in the given situation? (ToR, key issue 4) (→ link to question 1.3.2)	1, 2b, 2c	<ul style="list-style-type: none"> • Type of cooperation methods/funding mechanisms and partners (financing and support mechanisms) • Criteria and/or other factors used and appropriateness of them (e.g., existing policies/strategies, needs on the ground, capacities, comparative advantages) • Consideration of respective specificities, comparative advantages and disadvantages • Consideration of capacities • Process of selection • Actors involved in the decision making and their roles and responsibilities • Duration and timeliness of selection • Appropriateness of the choice of cooperation methods and partners (support mechanisms) • Use of analysis and assessment data for funding decisions, choice of cooperation methods, cooperation and implementing partners 	<ul style="list-style-type: none"> • Document/technical analysis • (Group) discussions with key stakeholders (BMZ, AA, implementing partners)

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level 102	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	2.4 To what extent were cross-cutting aspects (e.g., gender, human rights, do-no-harm) taken into account in the planning and selection of individual activities? (ToR)	2c	<ul style="list-style-type: none"> Gender, human rights, conflict, environment (and possibly others) sensitive design of interventions 	<ul style="list-style-type: none"> Document/technical analysis (Group) discussions with key stakeholders (BMZ, AA, implementing partners, national and local governmental and non-governmental authorities in crises affected countries, beneficiaries)
	2.5 To what extent were humanitarian principles and pertinent international standards for HA taken into account? (ToR) E.g. Sphere standards (VENRO), international humanitarian law, refugee law, human rights (ET) <i>Consider also: Have adequate (preventive) measures taken to ensure that the effects of possibly diverging interest between HA and other forms of assistance are constructively used to provide optimal assistance?</i>	1, 3b, 3c	<ul style="list-style-type: none"> Existing documentation how the standard had been taken into account (specific assessment criteria still to be developed) Impartiality, non-discrimination, neutrality and independence of political, economic and/or military objectives of the German HA Accordance of project/programme design with Sphere standards 	<ul style="list-style-type: none"> Analysis of documents – project related, standard and principles related Discussion with key stakeholders (BMZ, AA, implementing partners)
	2.6 To what extent do implementing partners commit to relevant (humanitarian) standards and principles? (ET)	1, 3b	<ul style="list-style-type: none"> Number and kind of standards and principles documented Reporting about standards and principles 	<ul style="list-style-type: none"> Document/technical analysis Discussion with key stakeholders (BMZ, AA, implementing partners)

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level ¹⁰²	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	2.7 To what extent do the HA interventions correspond to existing policies, strategies and principles of the AA and BMZ, including country concepts and priority area strategy papers, as well as to those of crises affected countries? (ToR, ET)	1, 3b, 3c	<ul style="list-style-type: none"> • Claims of the policies and strategies as compared to intervention design • Appropriateness of considerations of LRRD aspects in country concepts and priority area papers • Integration of HA issues in country concepts and priority area strategy papers in crises (prone) countries 	<ul style="list-style-type: none"> • Document/technical analysis • Discussion with key stakeholders (BMZ, AA, implementing partners, national and local governmental and non-governmental authorities in crises affected countries)
	2.8 Based on today's standpoint, was or is the assistance in line with the need in the different (national, regional) areas? How appropriate was it compared with other international efforts? (ToR)	1, 3b	<ul style="list-style-type: none"> • Analysis of changing requirements over time • Analysis of matches between changing requirements and possible adaptations needed and made 	<ul style="list-style-type: none"> • Document/technical analysis • (Group) discussions with key stakeholders (BMZ, AA, implementing partners, national and local governmental and non-governmental authorities in crises affected countries, beneficiaries)
3. Results of the interventions - Effectiveness and coverage	3.1 To what extent were the objectives achieved? (ToR)	1	<ul style="list-style-type: none"> • Comparison of plans und actual implementation 	<ul style="list-style-type: none"> • Analysis of existing monitoring data, project/programme progress reports and evaluation reports • (Group) discussions with project staff • (Group) discussions with national and local governmental and non-governmental authorities • (Group) discussions with target groups

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level 102	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	3.2 To what extent were contributions used to meet particular needs (e.g. need of children/elderly, gender, ethnicity etc.)? (ToR)	1	<ul style="list-style-type: none"> • Use of inputs and outputs by the needy people (including appropriateness of them) 	<ul style="list-style-type: none"> • Observation • Interviews with beneficiaries and non-beneficiaries • Interviews with project staff • Discussions with key stakeholders (AA, BMZ, implementing partners, national and local governmental and non-governmental authorities)
	3.3 Did the assistance only reach those in immediate need or did it also reach people who were indirectly affected (e.g., communities hosting IDPs) or people who were not affected by the situation? (ToR)	1	<ul style="list-style-type: none"> • Use of inputs and outputs by people who were indirectly affected (including appropriateness of them) 	
	3.4 What degree of coverage was achieved? (ToR)	1	<ul style="list-style-type: none"> • People actually benefiting as compared to plans • People actually benefiting as compared to needs assessments 	<ul style="list-style-type: none"> • Analysis of existing of existing data bases at project, programme, coordination level • Discussions with key stakeholders (AA, BMZ, implementing partners, national and local governmental and non-governmental authorities, beneficiaries)
	3.5 How timely was the assistance in the eyes of those affected and others? (ToR, ET)	1	<ul style="list-style-type: none"> • Perception of beneficiaries • Perception of service providers • Timeliness of funding transfers from the AA and BMZ (compared to other sources of funding) • Technical feasibility (if possible, benchmarking) 	<ul style="list-style-type: none"> • Interviews with key informants (as indicated) • Document analysis • (Group) discussions with key stakeholder (AA, BMZ, implementing partners, national and local governmental and non-governmental authorities, beneficiaries)

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level ¹⁰²	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	3.6 Were there any unintended positive and negative effects? (ToR, RG)	1	<ul style="list-style-type: none"> • Open question • Cross-check with a list of possible negative effects (list still to be established) 	<ul style="list-style-type: none"> • Observation • Interviews with national and local governmental and non-governmental authorities • Interviews with beneficiaries and non-beneficiaries • Interviews with project staff • Analysis of project documentation • Discussions with other key stakeholders (AA, BMZ)
	3.7 To what extent are (humanitarian) standards and principles of funding and implementing partners put into practice? (ET)	2c, 3c	<ul style="list-style-type: none"> • Number and percentage of projects implemented according to standards and principles 	<ul style="list-style-type: none"> • Document/technical analysis • Discussion with key stakeholders (BMZ, AA, implementing partners, national and local government and non-governmental authorities in crises affected countries, beneficiaries)
	3.8 Have cross-cutting issues (see footnote related to question 1.3) sufficiently been taken into consideration in the management cycle, incl. M&E and reporting? (ET)	1	<ul style="list-style-type: none"> • Regularity of analysis of these issues • Reporting on these issues • Adaptations made due to the analysis made • See also question 1.3 	<ul style="list-style-type: none"> • Document analysis • Key informant interviews (BMZ, AA, implementing partners, national and local government and non-governmental authorities in crises affected countries, beneficiaries) • Observations

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level ¹⁰²	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	3.9 To what extent was and is the (changing) context taken into consideration in the implementation of Germany's HA? (ToR)	1	<ul style="list-style-type: none"> Use of technologies, processes, management and steering approach and tools adapted to the socio-economic and socio-cultural local conditions Consideration of the situation of specific groups 	<ul style="list-style-type: none"> Document analysis Key informant interviews (BMZ, AA, implementing partners, national and local government and non-governmental authorities in crises affected countries, beneficiaries) Observation
	3.10 How appropriate was the AA and BMZ management and interface management in the field? (ToR, key issue 2)	2c, 3a	<ul style="list-style-type: none"> Performance as compared to task/job description Coordination and management structures in place prior and after the crises 	<ul style="list-style-type: none"> Self assessments (BMZ, AA, implementing partners) Key informant interviews (BMZ, AA, implementing partners, national and local governmental and non-governmental authorities in crises affected countries, beneficiaries) Observation
	3.11 How appropriate was the management of the implementing organisations funded by the AA and BMZ, incl. adequacy of support and supervision of field staff by their organisations? (ET)	2c		
	3.12 What were the strengths and weaknesses of the planning and implementation, incl. M&E? (ToR)	1	<ul style="list-style-type: none"> Open question Cross-check with a list of possible negative effects (list still to be established) 	<ul style="list-style-type: none"> Observation Interviews with national and local governmental and non-governmental authorities Interviews with beneficiaries and non-beneficiaries Interviews with project staff Analysis of project documentation Discussions with other key stakeholders (AA, BMZ)

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level ¹⁰²	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	3.13 What factors were conducive to achieving the goals, what factors hampered their achievement? (ToR) <ul style="list-style-type: none"> - in general - specific for strengths and weaknesses of the planning and implementation, incl. targeting, M&E and reporting? (ToR and ET) 	1		
4. Results of the interventions - Efficiency	4.1 Taking the circumstances of each individual case into account, was the relationship between the level of effort and the benefit acceptable? (ToR)	1, 2c	<ul style="list-style-type: none"> • Use of cost-effective technologies • Use of local/regional solutions – as much as possible • Maximum contribution by stakeholders 	<ul style="list-style-type: none"> • Expert judgement
	4.2 Would a different approach – particularly using other support mechanisms – have offered a better or more efficient way of achieving the goals? (ToR)	1, 2c	<ul style="list-style-type: none"> • Comparative advantages of different stakeholders and/or support mechanisms identified – under short term, but especially under longer term perspective • Use of the best solution under given circumstances 	<ul style="list-style-type: none"> • Discussions with key informants (BMZ, AA, implementing partners) • Document analysis • Expert judgement
	4.3 How efficient were the management and organisation, incl. functioning of aid flows? (ToR)	1, 2c	<ul style="list-style-type: none"> • Performance as compared to task/job description • Management costs as part of overall budget 	<ul style="list-style-type: none"> • Self assessments (BMZ, AA, implementing partners) • Key informant interviews (BMZ, AA, implementing partners, local authorities, beneficiaries) • Observation
	4.4 Were and are the different cost categories, incl. overheads and M&E, clearly presented? (ET)	1, 2c	<ul style="list-style-type: none"> • Budget categories submitted • Funding guidelines 	<ul style="list-style-type: none"> • Document analysis • Discussion with project staff

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level ¹⁰²	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	4.5 Were and are key functions such as security, coordination, project (financial) management and others requested in the proposal format? (ET)	1, 2c	<ul style="list-style-type: none"> Categories covered in funding guidelines and formats 	
	4.6 Were and are all costs sufficiently funded? (ET)	1, 2c	<ul style="list-style-type: none"> Level of funding of established budgets 	
5. Results of the interventions - Impact	5.1 To what extent were the living conditions of the target groups restored to the level prior to the disaster/crisis? (ToR)	1	<ul style="list-style-type: none"> Difference in major livelihoods factor (to be identified depending on local conditions) Evolution of the self-help potential and survival strategies of the target groups, including with regard to renewed/recurrent risks (ToR) Support or hindrance of target groups' coping strategies 	<ul style="list-style-type: none"> Retrospective rating by beneficiaries Discussions with key stakeholders (BMZ, AA, implementing partners, representatives of IOs, national and local government and non-governmental authorities in crises affected countries, beneficiaries) Document and data analysis
	5.2 To what extent were the living conditions of the target groups improved as compared to the level prior to the disaster/crisis? (ET)	1		
	5.3 To what extent have participation/self-help potential/survival strategies of the target groups been stabilised/improved? (VENRO)	1	<ul style="list-style-type: none"> Difference in participation before and after the intervention Differences in capacities (knowledge, skills resources) of target groups before and after the intervention Differences in survival strategies of the target group (restoration of existing and acquisition of new strategies respectively) before and after the intervention 	
	5.4 To what extent was the vulnerability of the target groups to disasters/crises and/or conflicts reduced? (ToR)	1	<ul style="list-style-type: none"> Difference in vulnerability (factors still to be identified) before and after the intervention 	

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level ¹⁰²	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	5.5 What immediate impacts were there at the national and regional levels with regard to, e.g., policies, budget/resources, institutional capacities/competence, structures and relationships? (ToR, VENRO)	1	<ul style="list-style-type: none"> • Observed changes at this level and with regard to these impact dimensions • Contribution of German HA to these achievements changes • Contributions of other actors/HA interventions to these achievements 	<ul style="list-style-type: none"> • Discussions with key stakeholders (BMZ, AA, implementing partners, representatives of IOs, national and local government and non-governmental authorities in crises affected countries, beneficiaries) • Document and data analysis
	5.6 To what extent was there an impact on the emergency or conflict situation, such as on local power structures or the relationships between target groups and other groups not taken into account in the assistance? (ToR)	1	<ul style="list-style-type: none"> • Observed changes at this level and with regard to these impact dimensions • Contribution of German HA to these achievements changes • Contributions of other actors/HA interventions to these achievements • Application of 'do-no-harm' • Application of PCIA (Peace and Conflict Impact Assessment) 	<ul style="list-style-type: none"> • Discussions with key stakeholders (BMZ, AA, implementing partners, representatives of IOs, national and local government and non-governmental authorities in crises affected countries, beneficiaries) • Document and data analysis
6. Results of the interventions - Sustainability or connectedness (incl. key issue 5: LRRD)	6.1 Was sufficient use made of local capacities and partner structures? (ToR) How have civil society partner structures been involved in the HA and strengthened? (VENRO)	1, 2c	<ul style="list-style-type: none"> • Availability of local capacities of sufficient quantity and quality • Use of local capacities • Implementation of capacity development measures 	<ul style="list-style-type: none"> • Discussions with key stakeholders (BMZ, AA, implementing partners, representatives of IOs, national and local government and non-governmental authorities in crises affected countries, beneficiaries) • Document analysis

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level ¹⁰²	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	6.2 Was ownership of partners (and other stakeholders) strengthened? (ToR)	1	<ul style="list-style-type: none"> Continuation of activities through self-initiatives of partners Start of new projects on own initiatives 	<ul style="list-style-type: none"> Discussions with key stakeholders (AA, BMZ, implementing partners, national and local governmental and non-governmental authorities in crises affected countries) Document and data analysis
	6.3 How was the target group strengthened/empowered through active participation in the project cycle management of the HA? (VENRO)	1	<ul style="list-style-type: none"> See above: relevance (2.2) and effectiveness (3.2) 	<ul style="list-style-type: none"> See above
	6.4 How were self-help capacities of local communities and the government supported and strengthened for better preparedness as well as more effective and better coordinated reaction to catastrophes? (VENRO)	1	<ul style="list-style-type: none"> See also questions 5.1 and 5.2 above 	<ul style="list-style-type: none"> See above
	6.5 To what extent are the material and institutional structures that were created or supported viable without further intervention? (ToR)	1	<ul style="list-style-type: none"> Use of locally manageable technologies and approaches Local availability of support for maintenance, conflict resolution and organisational development Availability of expert back-up services Availability of financial resources at local level 	<ul style="list-style-type: none"> Discussions with key stakeholders (implementing partners, national and local governmental and non-governmental authorities in crises affected countries) Document analysis

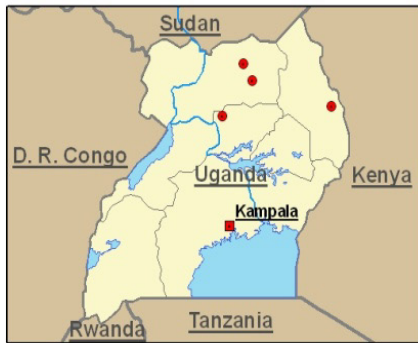
Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level 102	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	6.6 To what extent were aspects of longer-term development cooperation, including peace building and security, taken into account in the sense of the LRRD approach? (ToR) → link to question 1.3.3	1	<ul style="list-style-type: none"> Switch from assistance to self-help approaches as early as possible Establishment of capacity development interventions Mobilisation of local contributions by different stakeholders Mobilisation of financial resources 	<ul style="list-style-type: none"> Discussions with key stakeholders (AA, BMZ, implementing partners, national and local authorities in crises affected countries) Document analysis Existence of viable new and innovative development measures
	6.7 If applicable, were withdrawal scenarios formulated? (ToR)	1	<ul style="list-style-type: none"> Presence or absence of the scenario If present, realism of the scenario Scenario referring to German funding to German instruments, referring to other donor instruments (in particular the EU), scenarios referring to crises affected country instruments and capacities 	<ul style="list-style-type: none"> Document analysis Discussion with key informants (AA, BMZ, implementing partners, national and local governmental and non-governmental authorities in crises affected countries, beneficiaries)
7. Results of the interventions - Coordination, complementarity and coherence	7.1 Was the HA coordinated sufficiently within the AA and BMZ and between the AA and BMZ? (ToR)	3a	<ul style="list-style-type: none"> Complementary and overlapping with evaluation questions and sub-questions under 1, especially 1.3 	<ul style="list-style-type: none"> See above
	7.2 Was there sufficient linking between the HA of the AA and the DETA activities including reconstruction as well as development cooperation in the sense of LRRD? (ToR)	1, 3a		
	7.3 Were synergy effects achieved (ToR) between HA funded by the AA and by the BMZ?	1, 3a		

Key issues/ evaluation criteria	Evaluation questions and sub- questions ¹⁰¹	Level ¹⁰²	Assessment criteria/fields of observation/ indicators/data element	Methods and/or sources of information
	7.4 To what extent was the HA coordinated with and complementary to that of other bilateral and multilateral donors and institutions, particularly the EC and UN organisations – overall and field level? (ToR questions and key issue 3)	3b, 2c		
	7.5 To what extent do German stakeholders (AA, BMZ, implementing partners at HQ and crisis affected country level) provide support to the UN in HA coordination (OCHA, CERF, Cluster, HC)? (VENRO)	1, 2c, 2a		
	7.6 How appropriate are AA and BMZ capacities (related to emergency aid, DETA and LRRD) at country level for the coordination (and steering) of German HA within the overall country HA context? (ET)	2c		
	7.7 To what extent is or should there be coherence ¹⁰⁴ between HA and interventions other than HA? (ToR, Minutes of meeting 16/04/10)	1, 3a, 3c	<ul style="list-style-type: none"> • Positive effects of other policies on humanitarian goals and principles • Negative effects of other policies on humanitarian goals and principles 	<ul style="list-style-type: none"> • Document analysis • Discussions with key stakeholders (AA, BMZ, implementing partners, representatives of IO and crisis affected countries)

Based on the analysis of these questions, relevant conclusions (strengths and weaknesses) and recommendations will be elaborated also addressing the influence of the key issues 2 – 5 (of the ToR) on the results of the interventions in case study countries.

¹⁰⁴ Definition of coherence: “The need to assess security, developmental, trade and military policies, as well as humanitarian policies, to ensure that there is consistency and, in particular, that all policies take into account humanitarian and human-rights consideration.” (Beck 2006)

Annex 4: Maps

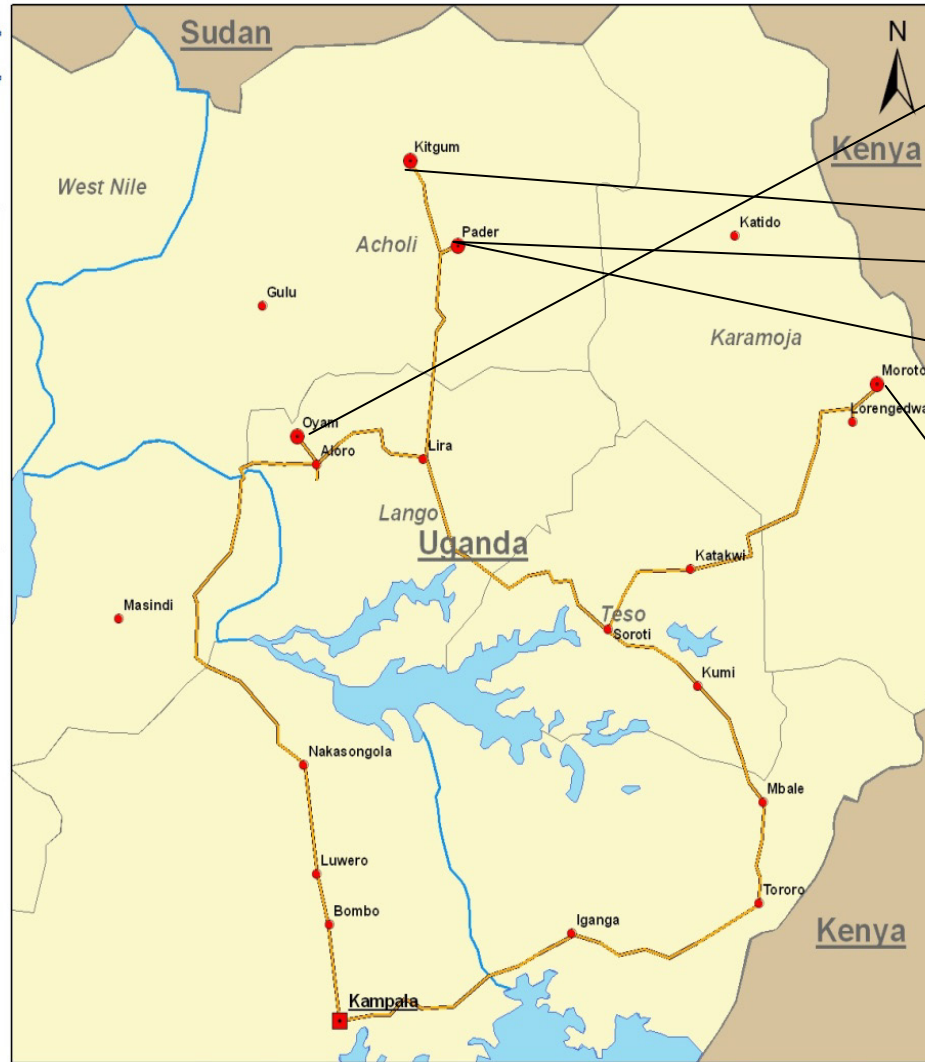


Legend

- Capital
- visited project sites
- Cities
- Route
- Lake
- River
- Sub-regions of Uganda
- Countries

0 25 50 100 Kilometers

Projection: UTM Zone 36, Datum WGS 84
 Data Source: © ESRI® 2008
 Map produced on July 07, 2010
 Contact: sebastian.hoerz@student.uni-tuebingen.de

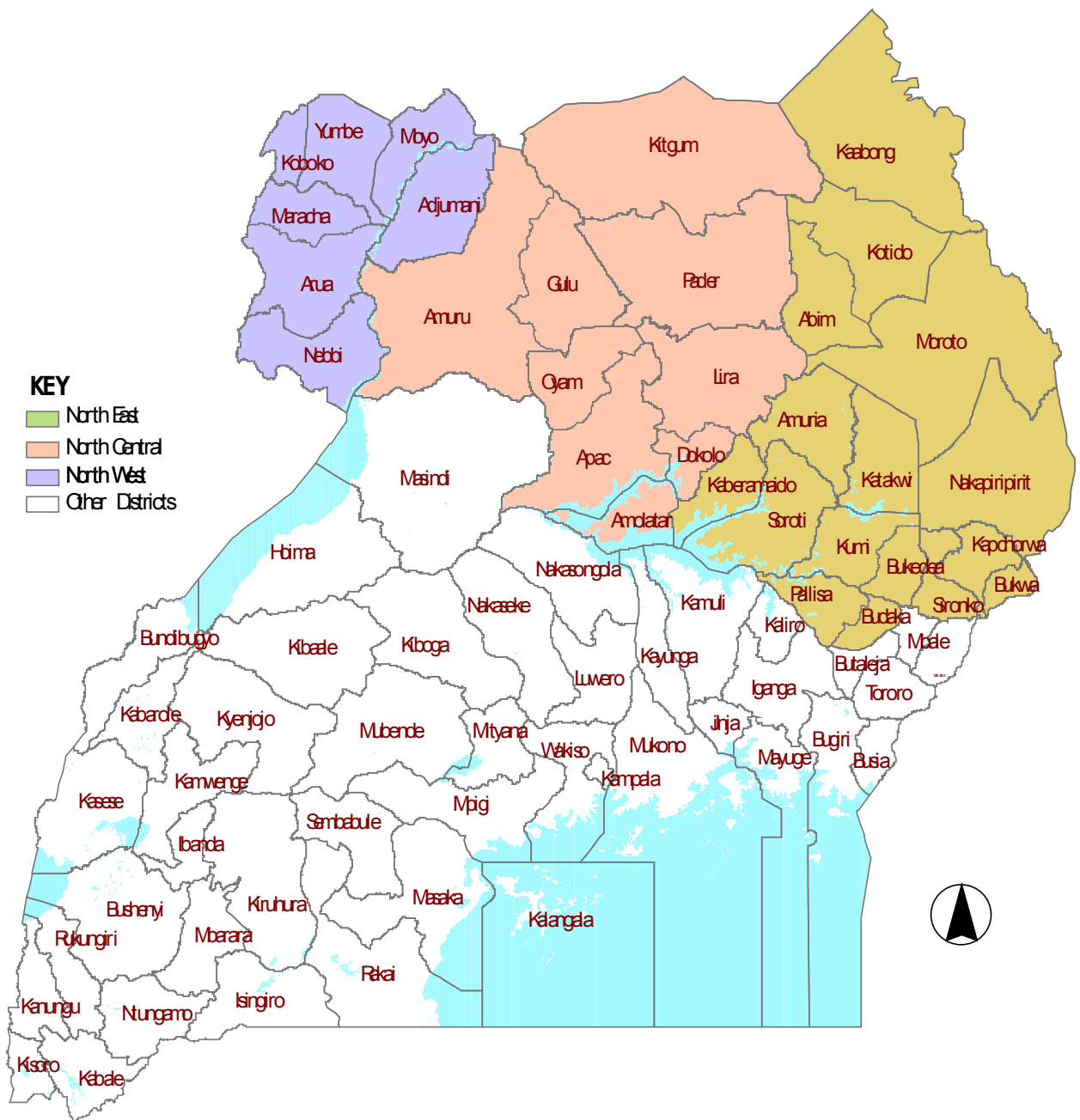


DRK: Water supply, hygiene, health (BMZ)
 DRK: Water supply (BMZ)
 DRK: Food security (BMZ)

LWF/DKH: Water and food security (BMZ)
 LWF/DKH: Toilets and water (AA)

ASB: Toilet and hygiene kits; three projects (AA)

GTZ: Food Security and strengthening of peaceful conflict management (BMZ)
 Welthungerhilfe: Food security, reduction of violent conflicts (BMZ)



Annex 5: Resource persons contacted during the evaluation of the Uganda case study

Organisation	Name, First Name	Position
ASB (Arbeiter-Samariter-Bund Deutschland e.V.), Cologne	Röhrig, Heribert	Director-General Rights and Emergencies
ASB Cologne	Hauke, Florian	Project Co-ordinator Africa
ASB Uganda	Johnson-Martinesi, Jennifer	Country Director
ASB Uganda	Anis, Parwez	Child Protection Manager
ASB Uganda	Tizora, Michael	Head of Sub-Office Pader
ASB Uganda	Odokonyero, Innocent	Assisstant Head of Sub-Office Pader
AA VN-05	Müller, Dennis	Desk Officer Asia/Pacific, Task Force Humanitarian Aid
AA VN-05	Owczka, Oliver	Deputy Head of Division, Task Force Humanitarian Aid
AA VN-05	Klement, Martina	Task Force Humanitarian Aid
AA VN-05	Költzsch, Jürgen	Assistant Desk Officer Task Force Humanitarian Aid
AA VN-05	Diasilua, Evita Isabell	Assistant Desk Officer Task Force Humanitarian Aid
AA, Division 322	Schiller, Ute	Desk Officer
AA Embassy Kampala	Messerer, Stefan	Deputy Head of Mission
AA Embassy Kampala	Baguma, Anke	Desk Officer Development Cooperation
BMZ, Division 213	Friedemann, Christian	Desk Officer
BMZ, Division 213	Kaltenbach, Ulrich	Desk Officer
BMZ, Division 323	Wilke, Lars	Deputy Head of Division
BMZ	Windmeisser, Annette	Formerly: Head of Cooperation Embassy of the Federal Republic of Germany (until 2007)
DED	Reuter, Sven	DED Coordinator ZFD
DED	Österle, Dr. Matthias	Development worker ZFD
Diakonie Katastrophenhilfe (DKH), Stuttgart	Beger, Kerstin	Desk Officer Projects
DKH, Stuttgart	Huerfano, Carlos	Desk Officer Uganda
DRK (Deutsches Rotes Kreuz), Kampala	Schroeder, Joachim	Head of Project Office Great Lakes
DRK, Lira	Klyta, Karol, Graf	Project Engineer
DRK, Lira	Siegmund-Stuckenberg, Ronald	Project Delegate
European Commission – DG ECHO	Prieto Perez, Fausto	Technical Assistant Uganda
GoU (Government of Uganda)	Ogwal, Cox	Production Coordinator, Oyam District (Agriculture Office)
GoU	Okwir, Patrick	Assistant District Water Engineer,

		Oyam District
GoU	Chuna, Moses	Assistant Chief Administrative Officer, Moroto District
GoU	N.N.	Senior Community Development Officer, Pader
GoU	Ogwel, John	Chairman LC 3, Iriiri Sub-County
GoU	Sesa, Aboda	Chairman LC 1, Kwolokwe village
Ministry of Water & Environment – GTZ/ RUWAS (Reform of the Urban Water Sector)	Anguria, Moses	Social Scientist
GTZ Eschborn	Hohn, Marion	Portfolio Manager DETA
GTZ Eschborn	Lamadé, Nicolas	Senior Advisor Food Assistance, Emergenza and Transitional Aid
GTZ Kampala	Gutierrez, Martha	GTZ Country Director
GTZ Kampala	Mukurarinda, Felicitas	Quality Assurance Manager
GTZ Kampala	Rötzer, Franziska	Advisor, Office of the Prime Minister
GTZ Kampala	Kandler, Kurt	Country Programme Manager UNHCR/BMZ Partnership Programme
GTZ /RUWASS (Reform of the Urban Water Sector)	Plumm, Hermann	Program Director
GTZ Moroto	Abdullahi, Ahmed	Principal Advisor
GTZ Moroto	Schatz, Florian	M&E Consultant
GTZ Moroto	Ilukon, Mary Evelyn	Conflict Management Officer
GTZ Moroto	Aogon, John Robert	Agriculture, Agroforestry and Livelihoods Officer
GTZ Moroto	Okanya, Janet Asege	Community Development Expert
GTZ Moroto	Emanu, Theophilus	Basic Infrastructure Expert
ICRC (International Committee of the Red Cross)	Meytraud, Claire	Head of Delegation
ICRC	Dubois Milandou, Anne-Dominique	Protection Coordinator
LWF (Lutheran World Federation) Kampala	Hernander, Lennart	Country Representative
LWF Kampala	Larson, Sarah J.	Program Coordinator
LWF Kitgum	Onen, William	Project Manager
LWF Kitgum	Oletta, Samuel	Project Officer Food Security
LWF Kitgum	Aulena, Richard Ohoya	Project Assistant WatSan
LWF Kitgum	Anzoo, Anne	Project Assistant HIV /AIDS
LWF Pader	Agemo, Harriet	Project Agronomist
LWF Pader	Akao, Esther	Project Officer HIV/AIDS
LWF Pader	Akena, Vincent	Ag. Project Officer WatSan
LWF Pader	Atim, Lucy	Project Assistant Health and Nutrition
RODECO,	Behnsen, Fridtjof	Technical Advisor /Team Leader

commissioned by GTZ /RUWAS, Kampala		
RODECO, commissioned by GTZ /RUWAS, Kampala	Nabakiibi, Winifred	Technical Advisor
URCS (Uganda Red Cross Society), Kampala	Kiggundu, Ken	Head of Disaster Management
URCS, Kampala	Vincent, Odoch John	Agriculture Procurement Officer
URCS, Lira	Oyet Paul	Food Security Volunteer
URCS, Lira	Odong, Hannon Michael	Food Security Coordinator Oyam
UNHCR, Kampala	Majumder, Iftikar	Senior Programme Officer
UNHCR, Kampala	Zewdie, Mulugeta	Sub-office Gulu
UNHCR, Kampala	Alibosit, John	Programme Assistant
UNHCR, Kampala	Akiiki Bihangire, Didan	Programme Assistant
UNOCHA, Kampala	Pitt, Timothy	Humanitarian Coordinator
Welthungerhilfe, Bonn	Volbracht, Herbert	Regionalgruppenleiter
Welthungerhilfe, Bonn	Padberg, Andrea	Senior Advisor Emergency Response
Welthungerhilfe, Bonn	Marx, Thomas	Acting Regional Coordinator
Welthungerhilfe Kampala	Riedke, Theo	Regional Coordinator
Welthungerhilfe Kampala	Nkuba, Michael Robert	Senior Programme Officer
Welthungerhilfe Moroto	Gutwein, Dr Barry	Head of Projects
Welthungerhilfe Moroto	Lwegaba, Dr Julius	Agriculture and Veterinary Officer
Welthungerhilfe Moroto	Otim, Jimmy Walter	M & E Officer
Welthungerhilfe Moroto	Keem, Julius Kim	Field Assistant
WFP (World Food Programme), Kampala	Tongul, Hakan	Deputy Country Director
WFP, Kampala	Molla, Daniel	Acting Head of Programme
WFP, Kampala	Hashimoto, Nozomi	Donor and External Relations Officer
WFP, Kampala	McKenzie, Tracy	Donor and External Relations Officer
WFP, Kampala	Andama, Andrew	Field Monitor Assistant (Moroto SO)
WFP, Berlin	Matern, David	Donor Relations Officer
WFP, Berlin	Bauermeister, Iris	Donor Relations Officer

In addition, a number of female and male representatives of local development and/or user committees and target groups as well as beneficiaries (women and men) were met during the field visits of on-going and completed projects. Due to the sheer number of these people, it is impossible to mention them all by names.

EVALUATION OF THE GERMAN HUMANITARIAN ASSISTANCE ABROAD

Pilot Case Study Uganda Debriefing Note

Lioba Weingärtner and Thomas Hoerz

Association/ARGE



AGEG
International
Consulting Services



12 July 2010

Commissioned by:

Auswärtiges Amt (AA) and

**Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung
(BMZ)**

Only for internal use!

¹⁰⁵ The Debriefing Note as submitted to the inter-ministerial working group on 12 July 2010 also documented the PowerPoint presentations of the Briefing and Debriefing Workshops as well as the programme, itinerary and resource persons in annexes. These presentations and annexes are not included here due to the volume of the electronic file and duplication with annexes of this Case Study Report respectively.

1. Course of the field mission

The field mission of the Uganda case study took place during the period 13 June through 3 July 2010 (departure from and return to Germany respectively). An overview of the programme, a map with the itinerary and a list of resource persons of this case study can be found in Annexes 1-3.

The case study programme had to be established in a flexible and iterative manner. Overall, the mission could be conducted as planned thanks to the very flexible and cooperative support of a wide range of individuals and organisations before and during the Uganda field mission. The evaluation team expresses its sincere gratitude to all these persons.

1.1 Preparation in Germany

Similar to the Haiti case study, the biggest challenge during the preparation of the field mission was the need to proceed with the preparation of the evaluation (including interviews with relevant stakeholders in Germany and the timing of project field visits) and the relatively late identification and confirmation of the project case studies that were selected for more detailed evaluation.

Based on the portfolio overview, all headquarters of the NGOs and IOs that were or are implementing AA or BMZ funded humanitarian assistance projects in Uganda (2005 – 2009 and ongoing) were contacted by email to obtain contacts and focal points in the respective Uganda country offices. Before departure to Uganda, the evaluation team could compile a complete list of such focal points and tentative meetings had been set up with about half of the involved agencies.

Interviews were conducted with AA and BMZ representatives of the responsible sector and regional divisions as well as staff members at headquarters of GTZ, Welthungerhilfe and Diakonie Katastrophenhilfe. In Berlin, the project files of the selected AA funded projects were screened.

Based on a communication between the two commissioning ministries and the German Embassy, the dates for the briefing and debriefing workshops as well as the venue were determined. The Embassy sent the invitation letters for the two briefings to all focal points of the implementing partners.

The draft and final Inception Reports were submitted as planned.

1.2 Field mission programme

The field mission in Uganda started with a team workshop in order to integrate the national consultant in the team and prepare the programme and logistics in more detail. The venue of the briefing and debriefing workshops (including equipment) was inspected in order to ensure a smooth course of the meetings.

Interview and bilateral meetings started with representatives of the German Embassy in Kampala and then included all organisations selected for project cases, DG ECHO, UNOCHA and ICRC (who proposed a bilateral meeting replacing their participation in the briefings). Background discussions were held with the GTZ advisor in the Office of the Prime

Minister, representatives of GTZ, GoU and consultants active in the water sector, the GTZ country director, the GTZ country programme manager of the BMZ/UNHCR partnership programme and the DED coordinator of the Civil Peace Service.

Briefing workshop in Kampala

The briefing workshop was held on 15 June in the presence of 11 persons representing 10 organisations, incl. The German Embassy (see ppt and list of participants in Annex 4).

After the presentation, the participants had the opportunity to comment and/or ask for additional information before proceeding to filling an individual questionnaire related to some major evaluation questions.

A group discussion pre-structured around major evaluation issues related to major themes/topics (affected people and communities, health, shelter, food/food security, livelihoods and security and protection) and the “machinery” (targeting, M&E and reporting, capacities, operational and staff security, coordination, funding) as well as additional aspects followed. This discussion provided major insights into past and current aspects of concern to the participants already at the beginning of the field mission.

Project visits

Based on the list of selected project case studies established and agreed upon during the inception phase, all visits in the field were previously (either in Germany, but mostly in Kampala) arranged with the respective implementing partners. Without exception, the arrangements worked perfectly.

One of the “optional projects” (BMZ funded, implemented by Welthungerhilfe in Karamoja since 2009) was included as project case whereas no visit of refugee camps in South-West Uganda (AA funded project with UNHCR as implementing partner) was conducted because of the general approach followed for los and time constraints.

One project field visit had to be adapted. Due to difficult road conditions after heavy rains, some delay was encountered and a meeting with project staff and beneficiaries had to be cancelled.

1.3 Additional aspects

The organisation of the interview with WFP staff posed a major challenge. Following a number of email and telephone conversations and a direct conversation at the briefing meeting, the only possibility for a direct, more detailed discussion with WFP representatives was a telephone conference on 9 July (one week after return to Germany).

As expected, one major challenge of the evaluation is the fact that a number of projects were completed some time before the Uganda mission, and meetings with resource persons who are knowledgeable about already completed projects were not always possible. In these cases, the evaluation of project results has to be based mainly on the analysis of project documents.

Security briefings were conducted with the Embassy and all implementing partner visited in the field. The Embassy was asked to kindly include the consultants’ email addresses in the

mailing list of the security briefings, and provided a recommendations letter for field visits. In the central northern districts (the former operational area of the LRA), no acute threats were reported, while in Karamoja (the north-east), higher precaution levels prevailed making movements by vehicle after approximately 5 p.m. less advisable. The evaluation team observed the given advice, and no problems arose.

2. Debriefing: presentation and participants’ feedback

The debriefing workshop was held on 30 June at the same venue as the briefing meeting (German House in Kampala).

After a short introduction of the background and process of the case study, the evaluation team presented its preliminary findings and recommendations. The structure of the presentation followed the evaluation criteria and key issues focussing on the aspects most relevant for the organisations in the field (see Annex 5).

The discussion that followed the presentation more or less supported the analysis of the evaluation team and concentrated on the following aspects:

- Additional information and exchange about the LRRD context and approach, esp. the gap between the phasing out of emergency and early recovery activities and the phasing in of rehabilitation/reconstruction and development activities
- Coordination and the transition from the UN/externally-led cluster approach to the government-led sector approach, incl. necessary and available capacities
- The prevailing situation in Karamoja Region and respective strategies.

Despite the official invitation by the Embassy, the reminder of the date and venue at the end of the briefing workshop and several bilateral (re-)invitations during interviews and field visits, the participation at the debriefing was rather low (see list of participants at the end of Annex 5) although most of the invited persons/organisations had previously confirmed.

An additional exchange with the commissioners of the evaluation should be conducted in order to discuss how the participation could be facilitated in future, e.g., through an additional reminder by the Embassy shortly before the debriefing.

3. Next steps

The following next steps and milestones are planned:

Date	Activities /milestones
On-going	Analysis, additional document research, drafting of case study report Analysis of lessons learnt for future case studies
26.07.2010	Submission of the Draft Case Study Report and lessons learnt from the pilot case study
20.08.2010	Submission of comments from the reference group
07.09.2010	Submission of the Case Study Report and lessons learnt from the pilot case study

Annex of the Debriefing Note

List of participants – Briefing meeting

Organisation	Name, First Name	Position
AA Embassy Kampala	Baguma, Anke	Desk Officer Development Cooperation
ASB Uganda	Anis, Parwez	Child Protection Manager
Caritas Gulu	Okello, David	Programme Manager
DRK	Schröder, Joachim	Head of Regional Office, Great Lakes
GTZ	Gutierrez, Martha	GTZ Country Director
GTZ	Mukurarinda, Felicitas	Quality Assurance Manager
LWF	Hernander, Lennart	Country Representative
Malteser	Kinzelbach, Dr, Alfred	Regional Coordinator, Great Lakes
UNHCR	Alibosit, John	Programme Assistent
Welthungerhilfe	Nkuba, Michael Robert	Senior Programme Officer
WFP	McKenzie, Tracy	Donor and External Relations Officer

Excused (via Embassy): World Vision

List of participants – Debriefing meeting

Organisation	Name, First Name	Position
AA German Embassy	Baguma, Anke	Desk Officer Development Cooperation
DRK	Schröder, Joachim	Head of Regional Office, Great Lakes
European Commission, DG ECHO	Prieto Perez, Fausto	Head of Office, Technical Assistant
GTZ	Mukurarinda, Felicitas	Quality Assurance Manager
LWF	Hernander, Lennart	Country Representative
Welthungerhilfe	Riedke, Theo	Regional Director

Annex 7: Overview of project case studies

The information compiled in the following overview tables is based on available project documentation, and – as for the considerations related to LRRD, standards and principles as well as cross-cutting issues – an assessment carried out by the evaluators based on information available from the project documentation and various sources during the field mission.

In the case of several project cases of one organisation (ASB, DKH, DRK and WFP), the most recent project (ASB, DKH, WFP) and – in the case of DRK – one of the most recent projects are presented and analysed in more details here.

1. Project case studies N.O.¹⁰⁶

Project title	Humanitäre Hilfe für Haushalte von intern vertriebenen Umsiedlern im südlichen Pader, Norduganda
Organisation	Arbeiter-Samariter-Bund Deutschland e.V. (ASB)
Donor	German Federal Foreign Office (AA)
Project number(s)	AA: VN 05-321.50 UGA 01-08 Organisation: UGA 0805
Date of project request	31.01.2008
Date of approval	01.02.2008
Date of 1st team in the field	Information not available
Date of beginning of intervention at field level	Registration and verification of beneficiaries (extremely vulnerable individuals – EVIs) started the first week of April 2008
Needs assessment	Durch die Kooperation mit UNHCR im Bereich des Return Monitoring wurde der ASB auf den dringenden Bedarf in der Projektregion aufmerksam. Des Weiteren haben diverse Organisationen der Vereinten Nationen (UNHCR, WFP, UNDP, UNICEF) sowie lokale Behörden weitere Assessments durchgeführt, die dem ASB vorliegen. Besonders OCHA trägt dazu bei, die bisherigen Hilfeleistungen zu koordinieren und weiteren Bedarf zu ermitteln.
Objective(s) and intervention logic	Ziel des Projektes ist die Verbesserung der Lebens- und Gesundheitsbedingungen der intern vertriebenen Umsiedler und Heimkehrer durch die Bereitstellung von jeweils einem Aufbau-Kit und einem Hygiene-Kit
Target group	1.500 Haushalte (ca. 7.500 Menschen) Mit Hilfe der statistischen Daten, die durch das ASB <i>Return Monitoring Program</i> gesammelt wurden, sind mehrere Sub Counties ausgewählt worden, da bis zum jetzigen Zeitpunkt kaum Hilfeleistungen in dieser Region geleistet wurden. Mittlerweile haben sich ungefähr 6.000 Haushalte unter mangelhaften hygienischen Bedingungen wieder in ihren ursprünglichen Dörfern oder in Übergangscamps angesiedelt. Bei der ausgewählten Zielgruppe handelt es sich um intern Vertriebene, die in ihre Heimatregionen zurückkehren und dies freiwillig tun.

¹⁰⁶ The language changes depending on the original source of information.

	Bei den internen Vertriebenen handelt es sich bei 60% bis 70% um Kinder; der Frauenanteil beträgt etwa 20%.
Location	Pader, Northern Uganda
Project period	4 months 1/2, starting from February 15th 2008 and ended June 30th 2008 (initially planned for 4 months); The implementation timeframe was considerably delayed by the lack of supply and/or the right quality either lack of required quantity. The situation has affected the distribution of hygiene and digging kits; another main challenge was the timing for implementing this project especially in the rainy season where road accessibility is poor or very limited and did not leave communities enough time to dig their latrines as they had to go to their garden to prepare for the upcoming planting season.
Budget request	170,980 euros (additional own funds: 18,900 euros)
Contact person(s) at the time of the evaluation	HQ in Cologne: Hauke, Florian, Project Co-ordinator Africa ASB Kampala: Johnson-Martinesi, Jennifer, Country Director
LRRD considerations	No references made to relevant aspects in the project documents; additional information through interviews indicate that ASB could link to additional funding sources for more rehabilitation and development oriented follow-up activities
Considerations of HA standards and HA principles	No explicit reference made; no obvious violation of principles and standards found in the context of the evaluation
Consideration of cross-cutting issues	
• Gender	Bei der Auswahl der Zielgebiete achtet der ASB stets darauf, dass Mädchen und Jungen sowie Frauen und Männer gleichberechtigten Zugang zu Hilfsmaßnahmen haben; in das Projekt aufgenommen werden insbesondere von Kindern und Frauen geführte Haushalte (project proposal); no reference in other documents; no systematic gender-disaggregated reporting; practical needs of women, girls, men and boys addressed
• Conflict/Do-no-harm	No explicit reference made; according to the feedback received by beneficiary groups, the distribution of some non-food items to groups created some conflicts about the appropriate use among group members (who sometimes re-settled to different villages)
• Environment	No explicit reference made; no obvious violation of environmental considerations found in the context of the evaluation
• Human rights	No explicit reference made; no obvious violation of human rights issues found in the context of the evaluation

Project title	Improved access to safe water and sanitation facilities for IDP and returnee families in Oyam district, Northern Uganda
Organisation /Local Partner Organisation	Deutsches Rotes Kreuz /Uganda Red Cross Society
Donor	BMZ
Project number(s)	BMZ: 2009 1858.1 Organisation:
Date of project request	04/08; 18.06.2009
Date of approval	20.07.2009
Date of 1st team in the	

field	
Date of beginning of intervention at field level	
Needs assessment	Vor Antragstellung fand eine zweiwöchige Prüfung vor Ort durch den regionalen DRK-Fachkoordinator im Wasser-/Sanitärbereich statt, der in Nairobi arbeitet.
Objective(s) and intervention logic	<p><u>Oberziel:</u> Beitrag zu verbesserten Lebensbedingungen und zur Konfliktvermeidung in ausgewählten Kommunen in Norduganda.</p> <p><u>Projektziel:</u> Der Zugang zu sicherem Trinkwasser sowie verbesserte Hygiene- und Sanitärbedingungen und Hygieneaufklärung für 16.500 Bedürftige in vier Unterbezirken von Oyam sind gesichert.</p> <p>Ergebnis 1: Die Anzahl der funktionierenden, sicheren sowie fachgerecht gewarteten und verwalteten Wasserentnahmestellen hat sich um 47 erhöht.</p> <p>Ergebnis 2: Die besonders Bedürftigen der Zielgruppe, vor allem Frauen und Mädchen, haben verbesserten Zugang zu adäquaten Sanitäreinrichtungen in Schulen und auf Haushaltsebene.</p> <p>Ergebnis 3: Die Bevölkerung der Projektregion wendet verbesserte Hygienepraktiken an und kennt den Zusammenhang zwischen verschmutztem Trinkwasser, fehlender Hygiene und Folgekrankheiten.</p> <p>Ergebnis 4: Die Kapazitäten der Uganda Red Cross Society (URCS), die Bevölkerung bei der Stabilisierung ihrer Lebensgrundlagen zu unterstützen, sind gestärkt.</p>
Target group	<p>Die direkte Zielgruppe besteht aus ca. 3.300 Rückkehrer- und Vertriebenenfamilien. Bei einer durchschnittlichen Familiengröße von 5 Personen entspricht das einer Gesamtzahl von 16.500 Menschen. Es handelt sich insgesamt um besonders bedürftige Personen und Haushalte. Hinzu kommen 800 Schüler/innen, die in ihren Schulen neue, ökologische ECOSAN-Latrinen vorfinden werden.</p> <p>Ein weitaus größerer Anteil der Bevölkerung, ca. 52.000 Personen, wird als indirekte Zielgruppe durch die Hygiene- und Gesundheitserziehung, die im Projektgebiet mittels Workshops, Radiospots und Plakaten durchgeführt wird, erreicht.</p>
Location	23 Gemeinden der Bezirke Minakulu, Iceme, Otwal und Ngai im Oyam-Distrikt
Project period	Plan: August 2009 to March 2011
Budget request	580,000 euros (360,000 euros in 2009 und 220,000 euros in 2010)
Contact person(s) at the time of the evaluation	Jochim Schroeder, Leiter Projektbüro Great Lakes (Kampala)
LRRD considerations	<p>Im Sanitär- und Hygienebereich wird erwartet, dass die Zielgruppe den erreichten, verbesserten Standard beibehält bzw. selbsttätig stetig verbessert. Per Nachahmer-Effekt sollen auch andere Menschen im Projektgebiet motiviert werden, die propagierten Ansätze zu kopieren und gleichfalls ihren Lebensstandard zu verbessern. Die ausgebildeten URCS-Freiwilligen, die in der Projektregion leben, werden ihnen als Multiplikatoren zur Seite stehen und die Haushalte weiterhin beraten.</p> <p>Das DRK plant wg. des großen Bedarfs und unzureichenden Erfüllung von Standards gemeinsam mit URCS, langfristig auf dem Wassersektor tätig zu bleiben. Es wird einen weiteren Finanzierungsvorschlag für das BMZ bzw. auch andere Geber, wie z.B. die EU im Rahmen der EU-ACP Water Facility, geben. Dabei wird versucht, einen möglichst gleitenden Übergang zum nächsten Projekt herzustellen. (project proposal)</p>

Considerations of HA standards and HA principles	Explicit reference made to SPHERE standards in the project proposal, but not in the report; HA principles are displayed in the meeting room of URCS No explicit reference made to HA principles; no obvious violation of principles found in the context of the evaluation
Consideration of cross-cutting issues	
• Gender	Women and girls are identified as specifically needy with regard to sanitation facilities; these specific practical needs are addressed through the project, including separate school toilets for girls; also strategic needs of women addressed (at least 50 per cent membership of women in water user committees planned); specific role of women in the water sector taken into consideration (project proposal); No information provided with regard to gender or affirmative action for women and girls in the interim report.
• Conflict/Do-no-harm	Conflict situation is part of the description of the situation in the project proposal. Conflict prevention is explicitly part of the project development goal; however, this is not part of the project purpose or outputs; this specific intervention logic is not convincing
• Environment	No explicit reference made; no obvious violation of environmental considerations found in the context of the evaluation
• Human rights	No explicit reference made; no obvious violation of human rights issues found in the context of the evaluation

Project title	Improvement of availability of drinking water and mid-term food security for conflict affected communities in the North of Uganda
Organisation /Local Partner Organisation	Diakonie Katastrophenhilfe /Lutheran World Federation
Donor	BMZ
Project number(s)	BMZ: 200918573 Organisation: K-UGA-0907-0001
Date of project request	05 /07
Date of approval	
Date of 1st team in the field	
Date of beginning of intervention at field level	13.07.2009
Needs assessment	Mitarbeitende des Regionalbüros Nairobi der Diakonie Katastrophenhilfe waren im Oktober 2008 und im Mai 2009 in Uganda und haben während Feldbesuchen mit den lokalen Behörden über Koordinierungsfragen und mit der Zielbevölkerung über ihre Bedürfnisse und Lebensumstände gesprochen. Zu Beginn des Jahres lancierte UN OCHA den konsolidierten Spendenaufruf für Uganda (Consolidated Appeal) über eine Gesamtsumme von 225 Millionen US-Dollar. Im ersten Quartal sind bisher nur 1% der geforderten Summe eingegangen. Die humanitären Akteure sind besorgt, da einige NGOs ihre Programme mangels Finanzierung bereits einstellen mussten.
Objective(s) and intervention logic	Vom Konflikt betroffene Gemeinden in den Distrikten Kitgum und Lamwo haben ihren Zugang zu sauberer Trinkwasserversorgung, ihre Hygiene

	<p>Praktiken sowie ihre Ernährungssicherung verbessert und sind über Übertragungswege, Prävention und Behandlung von HIV/AIDS informiert.</p> <p><u>Oberziel:</u> Wiederaufbau und Rückkehrhilfe für vom Konflikt betroffene Gemeinden in Nord Uganda</p> <p><u>Projektziel:</u> Vom Konflikt betroffene Gemeinden in den Distrikten Kitgum und Lamwo haben ihren Zugang zu sauberer Trinkwasserversorgung, ihre Hygiene Praktiken sowie ihre Ernährungssicherung verbessert und sind über Übertragungswege, Prävention und Behandlung von HIV/AIDS informiert.</p> <p><u>Ergebnisse:</u></p> <ul style="list-style-type: none"> • 8.750 Projektteilnehmer haben ihren Zugang zu sauberem Trinkwasser verbessert und wenden ihr Wissen über den hygienischen Umgang mit Trinkwasser an, 2.500 Schülern stehen institutionelle Latrinen zur Verfügung • Die am Projekt teilnehmenden Bauern haben ihre mittelfristige Ernährungssicherung verbessert.
Target group	2.000 Familien mit ca. 10.000 Mitgliedern als direkt Begünstigte. Die Gesamtzahl der Beteiligten profitieren von der Verbesserung der Ernährungssicherung und der Aufklärung über HIV/AIDS, 8.750 Begünstigte werden von einer verbesserten Wasserversorgung begünstigt. Bei den Begünstigten handelt es sich in der Mehrzahl um intern Vertriebene die nach rund 20 Jahren in ihre Heimatgemeinden zurück kehren.
Location	Kitgum and Lamwo Distrikt in Nord Uganda Verwaltungseinheiten (Sub-Counties): Omiya Anyima und Amida (Kitgum) Palabek Kal, Lokung und Agoro (Lamwo)
Project period	Plan: 15.06.2009 bis 15.05.2010 (12 Monate)
Budget request	600,000 euros (500,000 in 2009 and 100,000 in 2010)
Contact person(s) at the time of the evaluation	<ul style="list-style-type: none"> • Kerstin Berger, DKH, Referentin Projekte (Stuttgart) • Carlos Huerfano, DKH, Projektbearbeitung Uganda (Stuttgart) • Lennart Hernander, LWF, Country Representative
LRRD considerations	<p>Nach Beendigung der Maßnahme sind die Möglichkeiten der Selbstversorgung der Zielgruppe gestärkt. Die Arbeit in der Projektumsetzung und die Sensibilisierungskampagnen werden die Menschen in die Lage versetzen, selbstbewusster ihre Rechte einzufordern, Opferrollen abzulegen und Stigmatisierungen offensiv zu begegnen.</p> <p>In alle Prozesse werden die Mitarbeiter der zuständigen Ministerien und Behörden mit einbezogen, um Nachhaltigkeit auch nach der Beendigung des Projektes zu gewährleisten. Die Erstellung der Trinkwasserversorgungseinrichtungen bedeutet eine Verbesserung der physischen Infrastruktur. Die Wasserkomitees und die Pumpenmechaniker, die in der Wartung der Tiefpumpen ausgebildet werden, sorgen auch über die jeweilige Projektlaufzeit hinaus für die Instandhaltung der Brunnen. In einem Fall, in dem eine Gemeinde ohne fremde Hilfe den Brunnen nicht wieder rehabilitieren kann, ist der Kontakt zum LWF durch das Projektbüro gegeben. Hilfestellung wird aber nur in besonders schwerwiegenden Fällen geleistet, da ein Abhängigkeitsverhältnis der Wasserkomitees vom LWF verhindert werden soll.</p> <p>Die Komponente Ernährungssicherung wird die Bauern nicht nur untereinander vernetzen, sondern hilft ihnen auch ihre traditionelle Anbaumethoden durch neue landwirtschaftliche Methoden zu verbessern. Dies wird sich aller Voraussicht nach positiv auf die Ernteergebnisse der nächsten Jahre auswirken. (project request)</p>
Considerations of HA standards and HA principles	Reference is made to the SPHERE standards related to water supply (but not related to food security) in the project request; No explicit reference made to HA principles; no obvious violation of principles

	found in the context of the evaluation The Vision and Mission of LWF – as displayed in the visited field office – shows a number of similarities with HA principles and the Code of Conduct.
Consideration of cross-cutting issues	
• Gender	The specific role and situation of women in as household heads, in the water supply and the discussion about HIV/AIDS are presented (project request); practical needs of women are addressed.
• Conflict/Do-no-harm	No explicit reference made; no obvious problematic conflict related issues found in the context of the evaluation
• Environment	No explicit reference made; no obvious violation of environmental considerations found in the context of the evaluation
• Human rights	No explicit reference made; no obvious violation of human rights issues found in the context of the evaluation

Project title	Food and Nutrition Security and Conflict Management in the Karamoja sub-region, Uganda
Organisation	GTZ
Donor	BMZ
Project number(s)	BMZ: 200919902 Organisation: idem
Date of project request	
Date of commissioning	16.07.2009
Date of 1st team in the field	October 2009
Date of beginning of intervention at field level	
Needs assessment	Project appraisal (first half of 2009); detailed needs assessment using participatory approaches involving target groups and local authorities at the beginning of the project; nutritional baseline in December 2009
Objective(s) and intervention logic	Project purpose: The population of the new settlements achieves sustainable food and nutritional security, and peaceful conflict management activities are enhanced: activities are combined under four components: Improved and sustainable livelihoods; basic rural infrastructure; food & nutrition security; conflict management and peace building Erwartete direkte Wirkungen: Bessere und zuverlässigere Versorgung mit Nahrungsmitteln und Stabilisierung der Lebensgrundlagen der Zielgruppe Erwartete indirekte Wirkungen: Beitrag zur Verbesserung der wirtschaftlichen und sozialen Lebensbedingungen der Bevölkerung sowie zur Verringerung der Abhängigkeit von externer Hilfe. Erwartete aggregierte Wirkung: Erbringung eines Beitrags zur Erreichung des MDG 1: „Beseitigung von extremer Armut und Hunger“, zu strukturell stabileren lokalen politischen und sozialen Rahmenbedingungen sowie zur regionalen Wirtschaftsentwicklung und Konsolidierung des fragilen Friedens.
Target group	Diejenigen Risikogruppen, die auf Grund der komplexen Problemsituation nicht mehr fähig sind, ihre Lage aus eigener Kraft zu verbessern. Dazu gehören Familien, die ihr Eigentum und (Vieh-)Vermögen verlogen haben, allein erziehende Mütter, Witwen, Waisen (darunter Rücksiedler aus Kampala und

	Jinja), Jugendliche ohne Ausbildung(smöglichkeiten) und arbeitslose sowie Behinderte
Location	10 selected settlements in Lokopo and Iriiri sub-counties in Moroto District; and Nabilatuk, Lolachat, Namalu and Karita sub-counties in Nakapiripirit District
Project period	3 years (09/2009 – 08/2012)
Budget request	2 million euros (one million in 2009, 500,000 in 2010, 300,000 in 2011 and 200,000 in 2012) (September 2009)
Contact person(s) at the time of the evaluation	<ul style="list-style-type: none"> • Marion Hohn, GTZ Eschborn • Ahmed Abdullahi, Principal Advisor, GTZ Moroto
LRRD considerations	Das Projekt wird partizipativ vorgehen und die betroffene Bevölkerung in die Planung der Maßnahmen einbinden. Auf der Gemeindeebene werden Selbsthilfegruppen gebildet. Die beiden Distriktverwaltungen übernehmen Gesamtverantwortung für das Projekt. Sie entscheiden über die Durchführung einzelner Maßnahmen und die Förderung von Projekten auf der Gemeindeebene aktiv mit. Weiterhin werden mit der staatlichen Verwaltung, gewählten Distrikträten und Dorfältesten Dialogforen veranstaltet. (Angebot)
Considerations of HA standards and HA principles	No explicit reference made; no obvious violation of HA principles and standards found in the context of the evaluation
Consideration of cross-cutting issues	
<ul style="list-style-type: none"> • Gender 	<p>Da das Projekt Schwerpunkte auf Ackerbau, Produktion von Nahrungsmitteln sowie Ernährung und Hygiene hat, sind Frauen die primären Ansprechpartner des Projektes. Die Männer im Umfeld des Projektes haben im eigentlichen Sinn ihren Aufgabenbereich verloren. Dies erfordert eine gender-sensitive, abwägende Vorgehensweise. Das Projekt erhält die Kennung GG 1 (Angebot)</p> <p>Ein Literatur-Review zu ‚Pastoral Conflicts in the Karamoja Region, of Northeastern Uganda‘ wurde gemeinsam von DED, GTZ und Welthungerhilfe in Auftrag gegeben; alle drei Organisationen diskutieren, welche Implikationen die Erkenntnisse aus diesem Review für die Arbeit abzuleiten sind und formulieren entsprechende Empfehlungen;</p> <p>Zivile Konfliktbearbeitung und Friedensförderung ist eine der Projektkomponenten; sie beinhaltet explizit Maßnahmen zur Konfliktminderung und Friedensentwicklung. So führen die Initiierung von Treffen zwischen den verfeindeten Ethnien der Karimojong und Teso zu einem besseren Verständnis füreinander. Dialogforen und die Förderung des Dialogs zwischen den traditionellen Führungsstrukturen, den gewählten Distrikträten und der Distriktverwaltung verbessert das Zusammenspiel untereinander und vermindert so das Konfliktpotential. Die Rehabilitierung von Wasserdämmen im Grenzgebiet zwischen Karimojong und Teso und die gemeinsame Besiedelung und Wassernutzung ist ein anderes erfolgreiches Projekt. Das Projekt erhält daher die Kennung KR 1 (Angebot); zur Durchführung der Komponente ist Personal vor Ort (einschl. entsandte Fachkraft); Schwerpunkte werden liegen auf der Förderung des Dialogs zwischen den Konfliktparteien der Karimojong und zwischen Karimojong und den TKatakwi) sowie der Förderung des Dialogs zwischen den lokalen Behörden und Dorfältesten und Stärkung des Einflusses der Dorfältesten. Do-no-harm Training für Projektmitarbeiter durchgeführt.</p>
<ul style="list-style-type: none"> • Conflict/Do-no-harm 	
<ul style="list-style-type: none"> • Environment) 	Es werden Methoden des standortgerechten Landbaus, wasser- und bodenkonservierende Maßnahmen, die Pflanzung von Obstbäumen sowie energieeffiziente Herde eingeführt. Es wird damit insgesamt auf eine umweltverträgliche Ressourcen schonende Projektumsetzung hingewirkt. Das

• Human rights	Projekt erhält die Kennung UR 1 (Angebot)
	No explicit reference made; no obvious violation of human rights issues found in the context of the evaluation

Project title	Enhancing of Food security and reducing violent conflicts in the Sub counties of Lotome in Moroto District and Lorengedwat in Nakapiripiti District in the Karamoja region North Eastern Uganda (Karamoja Region)
Organisation	Welthungerhilfe
Donor	BMZ
Project number(s)	BMZ: 200918672 Organisation: UGA 1029-09
Date of project request	
Date of approval	27.07.2009
Date of 1st team in the field	
Date of beginning of intervention at field level	Second half of 2009
Needs assessment	Projektprüfung (ca. Mitte 2009) Zu Beginn des Projektes besuchten die Mitarbeiter alle ausgewählten Dörfer im Projektgebiet. Mit den Dorfbewohnern fanden Gespräche statt, um ihre Bedürfnisse und Problem zu erfahren. Die Ergebnisse dieser Workshops wurden dokumentiert. Baseline-Survey wurde durchgeführt (Bericht vom November 2009)
Objective(s) and intervention logic	Overall goal: Support of the economical development and Peace building in the Karamoja Region Project purpose: The local population and its social structural Institutions/organisations are independently capable of improving the Food situation and resolving conflicts non-violently. Planned measures/activities: 1. Improvement/Enhancing of the Utilisation of the agricultural productive potential 2. Improvement of the water supply by rehabilitation or new construction of wells and thereafter securing the effective use of these wells. 3. Creating alternative income sources together with the target population 4. Establishing and consolidating local/communal structures for non-violent conflict settlements and appropriate resource utilisation
Target group	Population in the Sub Counties Lotome (app. 24,000 people) and Lorengedwat (app. 25,000) which consists of predominantly pastoralists and agro-pastoralist living in 'Manyattas'. Social Structures on communal level (NROs, Community based Organisations (CBOs) and traditional reconciliation structures) which are participating in the implementation of non-violent conflict settlements and the development of the communities.
Location	Sub counties of Lotome in Moroto District and Lorengedwat in Nakapiripiti District in the Karamoja region North Eastern Uganda (Karamoja Region)
Project period	15.07.2009 – 15.07.2011
Budget request	800,000 euros (300,000 in 2009, 400,000 in 2010, 100,000 in 2011)
Contact person(s) at the time of the evaluation	<ul style="list-style-type: none"> • Theo Riedke, Welthungerhilfe Kampala • Michal Robert Nkuba, Welthungerhilfe Kampala

	<ul style="list-style-type: none"> Barry Gutwein, Welthungerhilfe Moroto
LRRD considerations	A number of statements and hypothesis with regard to LRRD are presented in the project proposal, esp.
Considerations of HA standards and HA principles	No explicit reference made; no obvious violation of HA principles and standards found in the context of the evaluation
Consideration of cross-cutting issues	
<ul style="list-style-type: none"> Gender 	It is expected that vegetable production should become an additional food source for women; it is also expected that fuel saving stoves will save women's time and/or money to look/pay back for firewood. (project proposal)
<ul style="list-style-type: none"> Conflict/Do-no-harm 	Ein Literatur-Review zu ‚Pastoral Conflicts in the Karamoja Region, of Northeastern Uganda‘ wurde gemeinsam von DED, GTZ und Welthungerhilfe in Auftrag gegeben; alle drei Organisationen diskutieren, welche Implikationen die Erkenntnisse aus diesem Review für die Arbeit abzuleiten sind und formulieren entsprechende Empfehlungen; Zivile Konfliktbearbeitung und Friedensförderung ist eine der Projektkomponenten (implemented in cooperation with DED/ZFD and Omaniman Community Development Initiative (OCODI), a local NGO);
<ul style="list-style-type: none"> Environment 	No explicit reference made; no obvious violation of environmental considerations found in the context of the evaluation
<ul style="list-style-type: none"> Human rights 	No explicit reference made; no obvious violation of human rights issues found in the context of the evaluation

2. Project case studies IOs¹⁰⁷

Project title	Emergency Assistance to Congolese (DRC) Asylum Seekers and Refugees in South West Uganda
Organisation	UNHCR
Donor	AA
Project number(s)	AA: UGA 07/07
	Organisation: CAF 15040
Date of project request	
Date of approval	
Date of beginning of intervention at field level	German contribution: 22.11.2007
Needs assessment	Participatory assessments have been completed in all refugee settlements. The main protection risks identified were inadequate supplies of drugs, not enough water particularly during the dry season, and access to post-primary education. Other concerns highlighted were lack of legal follow up for cases of sexual and gender-based violence, early or forced marriages and women's meaningful representation in leadership structures. Widespread poverty limits the refugees' ability and willingness to help others.

¹⁰⁷ The following overviews essentially present the information for the broader project/programme context to which the German funding contributes.

Objective(s) and intervention logic	No information provided
Target group	
Location	South Western Uganda, Nakivale Settlement
Project period	German contribution: 22. November to 29 February 2008
Budget request	771,475.30 US dollars from the Annual Budget; German contribution: 500,000 euros (720,461US dollars); overall UNHCR budget in Uganda in 2007 was 32,402,040 US dollars so that the German contribution amounts to 2.2 per cent of this budget
Contact person(s) at the time of the evaluation	Iftikar Majumder, Senior Programme Officer, Kampala
LRRD considerations	The implementation of 'durable solutions' (term that can be considered the UNHCR term for LRRD) is part of one of the objectives of the COP The potential for durable solutions for the refugees from different origins and phase out is presented in the COP, but not in the report to the German Government
Considerations of HA standards and HA principles	No explicit reference made
Consideration of cross-cutting issues	
<ul style="list-style-type: none"> • Gender 	Some gender related protection needs are identified (Country Operations Plan) Some data is presented in a gender disaggregated way; specific needs of women (sanitary material) were addressed; otherwise no explicit reference made to gender and/or affirmative action for women and girls (project report)
<ul style="list-style-type: none"> • Conflict/Do-no-harm 	No explicit reference made
<ul style="list-style-type: none"> • Environment 	No explicit reference made
<ul style="list-style-type: none"> • Human rights 	Pursuing the social and economic rights of persons of concern is one of the objectives of the Country Operations Plan

Project title	Targeted Food Assistance for Relief and Recovery of Refugees, Displaced Persons and Other Vulnerable Groups
Organisation	WFP
Donor	BMZ
Project number(s)	BMZ: 200818450 Organisation: PRRO 10121.2
Date of project request	25.01.2008
Date of approval	06.02.2008
Date of 1st team in the field	
Date of beginning of intervention at field level	02.04.2008
Needs assessment	In 2005, a WFP comprehensive food security and vulnerability analysis identified the crisis-affected areas as the most food-insecure in Uganda. This analysis has been followed up with regular nutritional surveys, emergency food security assessments and joint assessment missions to monitor trends over time.

Objective(s) and intervention logic	<p>The overall goal of this PRRO is to support government efforts to provide relief to food-insecure households and assist them to make the transition, where possible, to greater self-sufficiency, in a manner consistent with the unique challenges and opportunities of each location. Its objectives include:</p> <ul style="list-style-type: none"> • Provide relief to food-insecure people <ul style="list-style-type: none"> Save lives of IDPs and returnees in Acholi, Teso, and Lango, refugees in West Nile and Southwest, disaster-affected populations in Karamoja and, as required, other parts of the country • Support the transition of food-insecure people to self-sufficiency <ul style="list-style-type: none"> i) Strengthen household livelihoods in Acholi, Teso, Lango, West Nile, Southwest, and Karamoja ii) Help support establishment of essential community services (including education, health and nutrition), infrastructure and natural resources in Acholi, Teso, Lango, West Nile, Southwest and Karamoja • Develop government capacity to address needs of food-insecure people <ul style="list-style-type: none"> Assist the Government to monitor and respond to food crises, strengthen household livelihoods and support community services, infrastructure and natural resources in Acholi, Teso, Lango, West Nile, Southwest and Karamoja
Target group	<p>1,257,000 (yearly average); reached in 2008: 2,524,022 people Based on consultations with the Government, United Nations agencies, NGO partners and current beneficiaries, this PRRO will address the basic needs of the following groups:</p> <ul style="list-style-type: none"> • an annual average caseload of 600,000 food-insecure agropastoralists and small farmers affected by natural disasters in Karamoja sub-region and, when applicable, other parts of the country • 939,000 IDPs and returnees in camps, transit sites and home areas in Acholi, Teso and Lango sub-regions, and • 187,000 refugees in resettlement areas in West Nile and Southwest sub-regions.
Location	<p>Different regions of see country (see objectives above)</p>
Project period	<p>36 months (1.04.2008–31.03.2011); German contribution made in 2008</p>
Budget request and German contribution	<p>378,876,056 US dollars, updated: 451,978,827 (31/12/2008); German contribution 2008: 500,000 euros (778,816 US dollars = 0.24 per cent of the operational requirements); 1,073 mt (Standard Project Report) and 1,534 mt (BMZ data base)</p>
Contact person(s) at the time of the evaluation	<ul style="list-style-type: none"> • Contact established through Caroline Heider, WFP evaluation unit, Rome • Tracy McKenzie, Donor and External Relations Officer, Kampala • Nozomi Hashimoto, Donor and External Relations Officer, Kampala
LRRD considerations	<p>The hand-over strategy will differ by area, but in each case it will involve transferring responsibility to communities and the Government; different strategies are presented for Karamoja sub-region, Acholi, Lango and Teso subregions, and West Nile and Southwest sub-regions (project document); WFP has started developing innovative approaches that combine short term responses to immediate life-threatening needs (under an EMOP) with longer-term recovery and development strategies (under a proposed new country programme) to address both drought and chronic hunger in Karamoja. In addition, WFP, FAO and UNICEF supported a community based early warning system in Karamoja and Teso to help mitigate future drought. In the Acholi region, planned livelihood support programmes through food and nutrition security as well as agricultural and market support interventions</p>

	in 2009 aim at helping restore the livelihoods of IDPs whose food assistance is being phased off in 2009. (Standard Project Report)
Considerations of HA standards and HA principles	No explicit reference made; no obvious violation of HA standards and principles found in the context of the evaluation
Consideration of cross-cutting issues	
<ul style="list-style-type: none"> • Gender 	Specific attention will be given to pregnant and lactating women (and other special needs groups (project document); beneficiary data are reported in a gender-disaggregated manner; according to the standard project report, there was a significant improvement in WFP's commitment to women during the reporting period. This was in part due to the issuance of new cards to a greater number of women following a routine re-verification exercise; 80 per cent proportion of women in leadership positions in food management committees achieved (as compared to 72 per cent planned)
<ul style="list-style-type: none"> • Conflict/Do-no-harm 	No explicit reference made; no obvious problematic conflict related issues found in the context of the evaluation
<ul style="list-style-type: none"> • Environment 	This PRRO takes account of environmental issues in several ways. First, it has a number of activities focused on the restoration of the natural resource base. Recovery activities can help to reverse the ecological damage in and around the oldest IDP camps and refugee settlement areas by creating woodlots, orchards, water harvesting structures and drainage works. Second, the practical implementation of all PRRO activities considers their environmental impact. Thus, in the school feeding programme, energy-saving stoves have been introduced and will continue to be used. These stoves lower the demand for charcoal and help conserve the trees around the schools. (project document)
<ul style="list-style-type: none"> • Human rights) 	No explicit reference made; no obvious violation of human rights issues found in the context of the evaluation

Annex 8: Chronology of humanitarian crises in Uganda

	2005 and before	2006	2007	2008	2009	2010
Major political events and trends	<p>1971 – 1986: Terror regimes of Idi Amin and Milton Obote</p> <p>1986: Yoweri Museveni takes power</p> <p>1988: beginning of LRA insurgency</p> <p>1996: start of forceful encampment of IDPs 90% of voters follow Museveni's proposal to introduce a multi-party system; Uganda qualifies for the multi-lateral debt relief (MLDR)</p> <p>1998: Ugandan troops intervene in the Democratic republic of Congo on the side of rebels seeking to overthrow Kabila.</p> <p>2000: Ugandans vote to reject multi-party politics in favour of continuing Museveni's "no-party" system.</p> <p>2001: Museveni wins another term in office, beating his rival Kizza Besigye by 69% to 28%.</p> <p>2002: Sudan and Uganda sign agreement aimed at containing LRA, active along common border.</p> <p>2002: Peace deal signed with</p>	<p>Museveni is re-elected for the third time</p> <p>Amendment to the Constitution, allowing multi-party system</p> <p>14. July: start of peace talks</p> <p>August: The government and the LRA sign a truce. A ceasefire comes into force on 29 August. Subsequent peace talks are marred by regular walk-outs.</p> <p>-Government rejects a UN report accusing the army of using excessive force in its campaign to disarm tribal warriors in the lawless northeastern region of Karamoja.</p> <p>November: Government of Uganda and the LRA sign an Adendum to the Agreement on cessation of hostilities which was signed in August 2006 in Juba-South Sudan.</p>	<p>12 January: LRA withdraws from Juba Talks.</p> <p>2 May: the conflict parties reach an agreement on redevelopment in northern Uganda. Another agreement, on reconciliation and accountability, is concluded on June 29.</p> <p>5 November: Ceasefire is extended by three months.</p> <p>8 December: LRA consultations completed after more than five weeks and visits to communities across northern Uganda, including the sites of attacks and massacres.</p>	<p>Ceasefire agreement, between LRA and GoU (not personally signed by Kony)</p> <p>LRA attacks the Sudan Liberation People's Army (SPLA) garrison at Nabanga, reportedly killing 15 SPLA soldiers and at least 12 civilians.</p> <p>4. November: Mediating parties issue an ultimatum to Kony to sign the peace agreement by November 30.</p> <p>14 December: Government of Uganda announces that the UPDF, together with the Congolese Armed Forces (FARDC) and the Sudan People's Liberation Army (SPLA), have launched a joint operation targeting the LRA camps in the DRC.</p>	<p>February: Operation Lightning Thunder continues in the Garamba area of the Democratic Republic of the Congo following a third extension to the deadline for withdrawal of Ugandan troops from Congolese territory.</p> <p>March: Ugandan troops begin to withdraw from DRC. According to military officials, Operation Lightning Thunder resulted in the death of 98 LRA fighters and the capture of 14 of its command.</p> <p>The operation failed to achieve the core objective of capturing LRA leader, Joseph Kony, or pressuring him into signing the final peace agreement negotiated at Juba, South Sudan last year.</p> <p>July: start of implementation of 'Peace, Recovery and Development Plan for</p>	<p>The Ugandan army says it killed Bok Abudema, a senior commander of the Lord's Resistance Army militant group, in the Central African Republic. Uganda is under severe pressure for its dealing with sexual minorities</p>

	2005 and before	2006	2007	2008	2009	2010
	<p>Uganda National Rescue Front (UNRF) rebels after more than five years of negotiations.</p> <p>2003: Uganda pulls out last of its troops from eastern DR Congo. Tens of thousands of DR Congo civilians seek asylum in Uganda.</p> <p>2005: Parliament approves a constitutional amendment which scraps presidential term limits. Voters in a referendum overwhelmingly back a return to multi-party politics.</p> <p>- International Court in The Hague rules that Uganda must compensate DR Congo for rights abuses and the plundering of resources in the five years leading to 2003.</p>				<p>Northern Uganda' (PRDP).</p> <p>October: GoU signs 'Kampala Convention'¹⁰⁸ for protection of IDPs. The presidents of Uganda, Tanzania, Kenya, Burundi and Rwanda sign treaty creating a common market for 126 million people.</p>	
Major humanitarian events, crises and data	<p>1971 – 1986: approx. 300,000 persons are killed in hostilities under Amin and Obote</p> <p>Up to 1.8 million IDPs in Northern Uganda due to LRA attacks and GoU responses. 56% of the population below national poverty line (1992) 18% of adult populations infected with HIV (early</p>	<p>Last cases of LRA attacks in Uganda</p> <p>February: Outbreak of meningitis, total number of cases in Nakapiripirit district stands at 293, with 29 fatalities.</p> <p>-dry season fires rage in Gulu, Kitgum, Pader and Lira IDP camps</p>	<p>Unusually heavy rain leads to flooding in Northern, Eastern and Central Uganda. 300,000 persons are affected. 31% of the population below national poverty line.</p> <p>June: The outbreak</p>	<p>Since 2005, 1 million IDPs have returned home, 800,000 still in camps.</p> <p>HIV infection rate down to roughly 5%; Global Acute Malnutrition is above emergency thresholds across Karamoja.</p> <p>January: 12,000</p>	<p>400,000 IDPs return home, 400,000 still in camps.</p> <p>Scarce rains and lack of inputs reduce potential harvest by half in Northern Uganda.</p> <p>January: An outbreak of meningitis is confirmed in the West Nile sub-region and</p>	<p>Continued return of IDPs</p> <p>April: Cholera outbreak in north-eastern Moroto District (243 cumulative cases)</p> <p>Several hundred people die, 10,000 homeless after mudslides in Bududa.</p> <p>33,000 households are</p>

¹⁰⁸ The convention, the first treaty of its kind, obliges AU states to prevent displacement, produce long-lasting solutions to the causes of displacement and provide IDPs with basic human rights. For more details, see: http://www.alertnet.org/db/an_art/60167/2009/09/20-150458-1.htm

	2005 and before	2006	2007	2008	2009	2010
	<p>1990's)</p> <p>2002: Army evacuates more than 400,000 civilians caught up in fight against LRA which continues its attacks on villages.</p> <p>2004: February - LRA rebels kill more than 200 people at a camp for displaced people in the north.</p>	<p>with thousands of families losing their huts and property.</p> <p>June: The number of cholera cases in Kitgum district rises to 779 and 11 deaths in 13 displacement camps in 11 sub counties.</p>	<p>of cholera in Nakapiripirit is posing a major challenge.</p> <p>August: Tensions in eastern DRC lead to influxes of Congolese into western Uganda, with some 12,000 to 15,000 Congolese currently sheltering on the Uganda side of the border</p> <p>-As a result of the flooding and attendant damages, populations in remote areas are unable to access basic services. Humanitarian service delivery is also constrained.</p> <p>-A 30% surge in cases of malaria, diarrhoea and respiratory infections is reported in flood-affected districts</p> <p>September: sustained heavy rains since the beginning of the month lead to</p>	<p>Kenyan refugees pour into Uganda following violence in wake of elections.</p> <p>February, March LRA forces abduct approx. 150 civilians from the villages of Bambouti, Gbassigbiri, Ligoua, and Obob.</p> <p>July: Hepatitis E epidemic in Kitgum defeats containment measures and spreads to other districts. 4,129 cases are registered since the beginning of the outbreak.</p> <p>August: Karamoja sub-region experiences deteriorating security situation, with four ambushes recorded in</p> <p>August: Two of the ambushes involved a public bus service and one a humanitarian convoy.</p> <p>-rising number of malaria case in northern and eastern Uganda. In Pader, 5,240 cases are registered in the week ending 23 August, representing a 30% increase from the</p>	<p>surrounding districts (336 cases).</p>	<p>affected by floods in Butaleja District, risk of water-borne diseases.</p> <p>May: Number of cholera cases rises to 379, with 7 deaths and 25 new cases.</p>

	2005 and before	2006	2007	2008	2009	2010
			<p>flooding of nine IDP camps and necessitating the urgent relocation of nearly 11,400 IDPs.</p> <p>December: outbreak of Ebola Hemorrhagic Fever in one district of western Uganda, it posed a source of grave concern and heightened surveillance countrywide.</p> <p>-While approx. 100,000 internally displaced persons have returned to their homes, more than 1.4 million people remained displaced in northern Uganda</p>	<p>previous week.</p> <p>-In Gulu and Amuru the Global Acute Malnutrition (GAM) rate rises to 8.7 per cent from 3.1 per cent in 2007, while the Severe Acute Malnutrition (SAM) rate increases to 1.4 per cent from last year's 0.4 per cent</p> <p>November: An estimated 30,000 refugees from the Democratic Republic of the Congo have fled into Uganda since August 2008</p>		

	2005 and before	2006	2007	2008	2009	2010
Humanitarian responses	OCHA CAP: 157,686,167 US dollars Humanitarian funding: 199,941,129 US dollars	OCHA CAP: 262,501,275 US dollars Humanitarian funding: 278,722,744 US dollars	The Office of the Prime Minister (OPM) takes the lead in coordinating the national and international response to the flooding, organizing, with the support of OCHA, the two joint inter-agency assessment missions dispatched to Teso and Elgon subregions from 24 to 28 August . OCHA CAP: 337,400,922 US dollars, including 41.467 million US dollars flash appeal flooding Humanitarian funding: 327,181,995 US dollars	OCHA CAP: 373,943,491 US dollars Humanitarian funding: 316,050,148 US dollars -As at the end of June, the total requests for the revised 2008 Uganda CAP stood at 372 million US dollars, with 169 million US dollars in contributions (45 % of requests) and an additional 2.8 million US dollars in pledges, according to the Financial Tracking System (FTS). August: Two grants from CERF, totalling nearly 5.7 million US dollars, to facilitate urgent interventions in Karamoja and northern Uganda As of 31 December , the 2008 CAP has been funded at about 70 %, or 260.7 million US dollars with an additional 1.6 million US dollars in pledges.	OCHA CAP: 225,288,099 US dollars Humanitarian funding: 216,320,305 US dollars July: Launching of revised 2009 Appeal for Uganda seeking 246,773,189 US dollars	OCHA CAP: 197,284,395 US dollars Humanitarian funding: 53,087,107 US dollars until 26 May 2010 June: The revised Appeal for Uganda (2009) is 77 per cent funded, with 1.83 million US dollars in uncommitted pledges.

Annex 9: Selected indicators for the humanitarian and development situation

Table A9.1: Some basic humanitarian and development facts about Uganda

		Most recent data	Previously
	Population	30.7 million (UBOS, mid-2009)	29.6 million (UBOS, mid-2008)
Economic status	Gross domestic product per capita	420 US dollars (World Bank 2008)	370 US dollars (World Bank 2007)
	Percentage of population living below national poverty line	37.7 (UNDP HDR 2009)	55 (UNDP HDR 2005)
Health	Adult mortality	474/1,000 male (WHO 2006) 518/1,000 female (WHO 2006)	597 (WHO 2000) 559 (WHO 2000)
	Maternal mortality	440/100,000 (UNICEF 2007)	550 (UNICEF 2005)
	Under-five mortality	130/1,000 (UNICEF 2007)	135/1,000 (UNICEF 2005)
	Life expectancy	51.4 male (UNDP HDR 2009) 52.4 female (UNDP HDR 2009)	48.4 (UNDP HDR 2006)
	Number of health workforce (MD+nurse+midwife) per 10,000 population	1/10,000 (2004)	
	Measles vaccination rate	89% (WHO 2006: Core indicators)	
Food & Nutrition	Prevalence of under-nourishment in total population	15% (FAO 2005 Statistics)	19 (IFPRI 2004)
	Under-five malnutrition rate	38% stunted 16% underweight 6% wasted (UDHS 2006)	
	Under-nutrition among women (15-49 years)	12% (UDHS 2006)	
	Food insecurity	2,027,000 in Acholi, Karamoja, eastern Teso (IPC 2009)	
WASH	Proportion of population without sustainable access to an improved drinking water source	36% (UNDP HDR 2009); 50% in IDP return areas	40% (UNDP HDR 2007)
	Consumption of potable water (litres/person/day)	(not available)	
Population Movements	Internally displaced people (number and percentage of population)	370,000 (1.2% of population)	
	Refugees	In-country	143,467 (UNHCR)
		Abroad	(not available)
Other vulnerability indices	ECHO Vulnerability and Crisis Index score	Vulnerability Index: 3 Crisis Index: 3	Vulnerability Index 3 Crisis Index 3
	UNDP Human Development Index score	157 (UNDP HDR 2009)	144 (UNDP HDR 2005)
	IASC Early Warning - Early Action rating	Priority 2	

UN OCHA Consolidated Appeal 2010

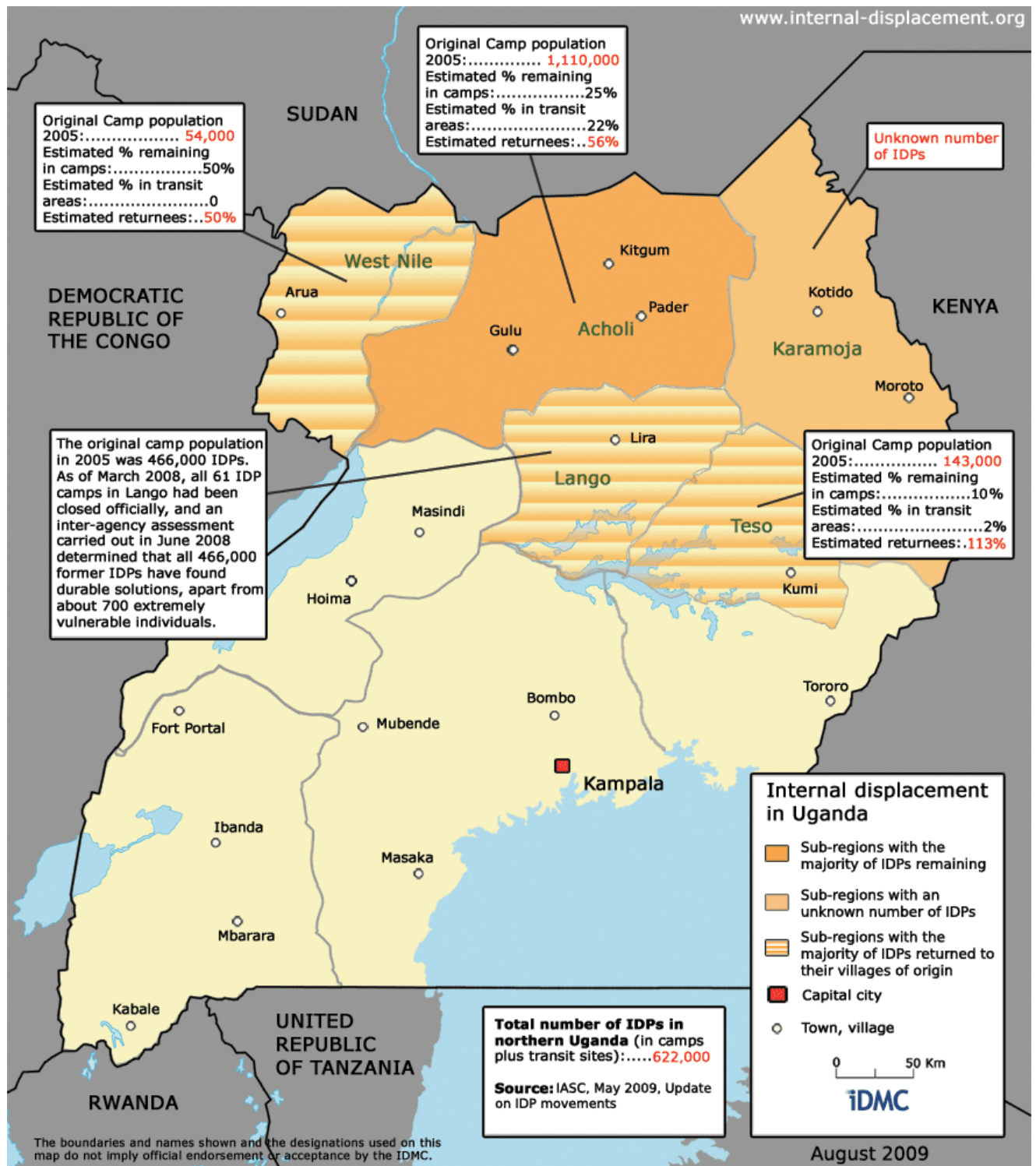
Table A9.2: Regional differences in humanitarian and development facts in Uganda

Indicators [source]	National	Northern Uganda	Karamoja
Estimated population [UBOS 2008]	26.9 million	6.7 million	1.02 million
Annual population growth [UBOS 2008]	3.2%	4.2%	5.1%
Population living below poverty line [UNDP MDG Progress Report 2007]	31%	60.7%	82%
Maternal mortality rate (per 100,000 live births) [UDHS 2006, WHO 2008]	435	-	750
Infant mortality rate (per 1,000 live births) [UDHS 2006, UHSBS 2004/05]	76	102	105
Under 5 mortality rate [UDHS 2006]	137	181	174
Access to sanitation units [MoH 2007, OCHA/OPM 2008]	58.5%	-	8%
Access to safe water	68.6%	51.7%	40.5%
Immunisation (children 12-23 months old, fully immunised) [UDHS 2006]	46%	51.7%	48.2%
Illiteracy [UNDP HDR 2007]	33.2%	54%	89%
Net primary school attendance rate [UDHS 2006]	82%	77.2%	43.3%
HIV/AIDS prevalence rate [HSBS 2005]	6.4%	8.2%	3.5%

Source: UN 2009, p.6

Annex 10: IDPs in northern Uganda

August 2009



http://www.internal-displacement.org/8025708F004CE90B/httpCountry_Maps?ReadForm&country=Uganda&count=10000

Table A10: IDP Population, June 2010 (UNHCR Sub-office Gulu)

Region	District	Original Camps (2005)	Estimated original camp population - end 2005	Estimated current IDP popn. in camps & settlements	Percent of IDP popn. still in camps & settlements	Estimated IDP popn. in transit sites/areas	Remaining active camps	Remaining active transit sites/areas
		Source: DDMC	Source: WFP	Source: UNHCR IPs		Source: LC1	DDMC	Source: IPs
Achoi	Amuru	34	257,000	36,404	14%	12,000	1	53
	Gulu	31	204,000	14,029	7%	3,000	15	17
	Kitgum/Lamwo	25	310,000	15,509	5%	41,000	8	65
	Pader	31	339,000	10,894	3%	87,000	4	151
	Total Achoi	121	1,110,000	76,836	7%	143,000	28	286
Lango			Source: IDM	Source: UNHCR Implementing partners				
	Lira	41	351,000	0	0%	0	0	0
	Oyam/Apac	20	115,000	0	0%	0	0	0
	Total Lango	61	466,000	0	0%	0	0	0
West Nile			Source: DDMC	Source: DDMC				
	Adjumani	8	54,000	10,356	19%	0	8	
Toro - Bunyoro*			Source: IDM	Source: LC1s				
	Masindi		67,000	55,000	82%	-	0	0
Teso**			Source: OCHA	Source: UNHCR Implementing partners				
	Katakwi	44	71,000	4,200	6%	300	0	
	Amuria	17	72,000	4,000	6%	1,000	1	
	Total Teso	61	143,000	8,200	6%	1,300	1	
Grand Total		251	1,840,000	150,392	8%	144,300	37	286

NOTES:

1. The Estimated original camp population end 2005 does not capture totality of displaced persons, but only those persons living within original IDP camps.
2. *IDPs in Masindi do not live in gazetted camps, but in settlements among the host community.
3. ** Bulk of Teso IDPs displaced by insecurity in neighboring Karamoja.

Annex 11: Portfolio German humanitarian assistance in Uganda (2005 – 2009)

**Table A11.1: AA/BMZ Humanitarian Assistance (DAC CRS Code 700) in Uganda - Portfolio 2005 - 2010 (as of 14/07/2010);
AA Budget line 687 12 (until 2008) and 687 72 respectively; BMZ budget line 687 20 only (without DAC CRS Code 52010)**

The interventions selected for project case studies are shaded in grey.

Year	Donor	Implementing partner/ financing mechanism	Budget line	AA/BMZ project number	DAC code	Project title /short description	Location	Project start	Project end	Commitment (in euros)	Disbursement, end of 03/2010 (in euros)
2005	BMZ	GTZ	687 25	200519744	72010	Emergency aid for Sudanese refugees (previously: 2004.3868.9 / 687 25)	Madi Okollo			166.334	165.874
2005	BMZ	GTZ	68720	200519249	72010	DETA and reconstruction for the re-integration of IDPs	West Nile (Adjumani District)	09/2005	05/2006	400.000	399.666
2005	BMZ	Diakonie Katastrophenhilfe		200518704	72010	DETA for IDPs, returnees and local population	Katakwi District, North-Eastern Uganda	01.06.2005	31.06.2006	480.000	480.000
2005	BMZ	Welthungerhilfe	687 20	200518845	72010	Improvement of water supply for IDPs and local population	Kalongo	15.07.2005	31.12.2005	279.000	279.000
2005	BMZ	Caritas Germany	687 20	200518860	72040	Food aid, household items and seeds for civil war victims	Northern Uganda	01.06.2005	31.12.2005	300.000	300.000
2005	AA	ICRC	687 12	UGA 01/05	72010	Assistance and Protection activities in Uganda 2005	not specified	01.04.2005	31.12.2005	500.000	500.000
2005	AA	ADRA	687 12	UGA 02/05	72010	Notversorgung von Lernzentren in IDP-Flüchtlingscamps (Nahrungsmittel, Feuerholz, NFIs)	Bezirk Lira/Nord-Uganda	25.03.2005	24.06.2005	226.000	226.000
2005	AA	Diakonie	687 12	UGA 03/05	72010	Nothilfe für Binnenvertriebene und	Adjumani,	01.04.2005	31.12.2005	140.000	140.000

Year	Donor	Implementing partner/ financing mechanism	Budget line	AA/BMZ project number	DAC code	Project title /short description	Location	Project start	Project end	Commitment (in euros)	Disbursement, end of 03/2010 (in euros)
		Katastrophenhilfe				lokale Bevölkerung nach Angriffen der Lord-Resistance Army	Nord-Uganda				
2005	AA	World Vision Deutschland e.V.	687 12	UGA 04/05	72010	Nothilfe für Binnenvertriebene in Norduganda	Distrikt Pader, Nord-Uganda	20.10.2005	28.02.2006	293.437	293.437
					Sub-total Uganda 2005					2.784.771	2.783.977
2006	BMZ	GTZ	687 20	200619957	72010	Support to repatriation of Rwandan refugees from Uganda (previously: 2004.3869.7 / 687 25)				11.576	0
2006	BMZ	GTZ	687 20	200618280	72040	Contribution to the IESP (2005.1958.7) food aid	Arua and Yumbe (Northern Uganda)	06/2006	12/2006	200.000	200.000
2006	BMZ	Welthungerhilfe	687 20	200618785	72010	Support to IDP re-integration	Northern Uganda, Lira and Pader Districts	02.10.2006	30.04.2007	422.025	422.025
2006	BMZ	Diakonie Katastrophenhilfe		200618371	72010	Support to the resettlement of IDPs in their home villages	North-Eastern Uganda	01.05.2006	30.03.2007	300.000	300.000
2006	BMZ	Caritas Germany	687 20	200618561	72040	Food aid, household items, tools and seeds for civil war victims	Northern Uganda	01.07.2006	31.12.2006	400.000	400.000
2006	AA	Arbeiter Samariterbund	687 12	UGA 01/06	72010	Bereitstellung von Hilfsgütern für intern Vertriebene in den Distrikten Apac und Lira	Nord-Uganda (Apac und Lira)	20.01.2006	14.05.2006	98.000	98.000
2006	AA	Diakonie Katastrophenhilfe	687 12	UGA 02/06	72010	Nothilfe für Binnenvertriebene im Kitgum Distrikt	Nord-Uganda (Kitgum)	01.04.2006	31.12.2006	205.000	205.000
2006	AA	ADRA	687 12	UGA 03/06	72040	Notversorgung von 19625 Schülern	Nord-Uganda	10.04.2006	10.07.2006	238.690	238.690

Year	Donor	Implementing partner/ financing mechanism	Budget line	AA/BMZ project number	DAC code	Project title /short description	Location	Project start	Project end	Commitment (in euros)	Disbursement, end of 03/2010 (in euros)
		Deutschland				und Lehrern in 7 IDP-Lagern im Lira-Distrikt	(Lira)				
2006	AA	Arbeiter Samariterbund	687 12	UGA 04/06	72010	Unterstützung von 100.000 rückkehrenden IDPs im südlichen Lira-Distrikt	Nord-Uganda (Lira)	01.05.2006	30.09.2006	170.505	170.505
2006	AA	Arbeiter Samariterbund	687 12	UGA 05/06	72010	Humanitäre Hilfe für Haushalte von intern Vertriebenen im südlichen Lira	Nord-Uganda (Lira)	01.06.2006	31.12.2006	350.000	350.000
2006	AA	Diakonie Katastrophenhilfe	687 12	UGA 06/06	72010	Humanitäre Hilfe zugunsten von IDPs und Rückkehrern in Katakwi und Amuria	Nord-Uganda (Katakwi und Amuria)	01.06.2006	15.01.2007	480.000	480.000
2006	AA	Deutsches Rotes Kreuz	687 12	UGA 07/06	72010	Humanitäre Hilfe zugunsten von rückkehrwilligen intern Vertriebenen in Uganda	Nord-Uganda (Apac Distrikt)	15.05.2006	30.09.2006	333.082	333.082
2006	AA	Welthungerhilfe	687 12	UGA 08/06	72010	Humanitäre Hilfe zugunsten von rückkehrwilligen intern Vertriebenen	Nord-Uganda (Lira Distrikt)	01.06.2006	30.11.2006	322.020	322.020
2006	AA	Welthungerhilfe	687 12	UGA 09/06	72010	Humanitäre Hilfe für IDPs	Nord-Uganda (Pader Distrikt)	15.09.2006	31.12.2006	95.400	95.400
2006	AA	Arbeiter Samariterbund	687 12	UGA 10/06	72010	Humanitäre Hilfe für IDP-Haushalte im südlichen Lira (Hygiene- und Sanitation-Kits)	Nord-Uganda (südliches Lira)	01.10.2006	28.02.2007	188.426	188.426
2006	AA	Arbeiter Samariterbund	687 12	UGA 11/06	72010	Humanitäre Hilfe für IDP-Haushalte im südlichen Pader (Hygiene- und Sanitation-Kits, Decken, Wasserkarister...)	Nord-Uganda (südliches Pader)	01.10.2006	28.02.2007	91.305	91.305
2006	AA	ICRC	687 12	UGA 12/06	72010	Nothilfe- und Schutzaktivitäten in Uganda Festleg. Nr. 81000570/1	Nord-Uganda	01.08.2006	31.12.2006	500.000	500.000
2006	AA	UNHCR	687 12	UGA 13/06	72010	Hilfs- und Schutzaktivitäten zugunsten	Nord-Uganda	12.12.2006	28.02.2007	250.000	250.000

Year	Donor	Implementing partner/ financing mechanism	Budget line	AA/BMZ project number	DAC code	Project title /short description	Location	Project start	Project end	Commitment (in euros)	Disbursement, end of 03/2010 (in euros)
						von sudanesischen und kongolesischen Flüchtlingen					
Sub-total Uganda 2006										4.656.029	4.693.820
2007	BMZ	Deutsches Rotes Kreuz	687 20	200718494	73010	Reconstruction and access to potable water, hygiene, health for former IDPs	Oyam District, Northern Ug.	01.09.2007	30.04.2008	400.000	400.000
2007	BMZ	Welthungerhilfe	687 20	200718825	72010	Support to the resettlement of IDPs in areas of origin	Lira and Dokolo Districts	12.09.2007	30.09.2008	695.000	695.000
2007	BMZ	Diakonie Katastrophenhilfe	687 20	200718460	72010	Support to the resettlement of IDPs in their home villages	Nord-Uganda (Katakwi und Amuria)	01.05.2007	30.04.2008	650.000	650.000
2007	BMZ	HELP e.V.	687 20	200719112	72040	Food aid and seeds for flood victims	?			200.000	200.000
2007	BMZ	WFP		200719104	72040	Food aid - PRRO 10121.1 - 1.776 mt maize	country-wide	01.02.2005	31.07.2008	500.000	500.000
2007	BMZ	?		ST0726547	72010	Emergency /distress relief (?)	?			121.151	121.151
2007	AA	Arbeiter Samariterbund	687 12	UGA 01/07	72010	Humanitäre Hilfe für IDPs in den Distrikten Pader und Oyam	Nord-Uganda	01.01.2007	31.07.2007	440.700	440.700
2007	AA	Diakonie Katastrophenhilfe	687 12	UGA 02/07	72010	Humanitäre Hilfe für IDPs in den Distrikten Pader und Kitgum	Distrikte Kitgum und Pader	01.02.2007	30.11.2007	530.000	530.000
2007	AA	Welthungerhilfe	687 12	UGA 03/07	72010	Humanitäre Hilfe für rückkehrwillige IDPs im Distrikt Oyam	Nord-Uganda	15.02.2007	14.09.2007	349.191	349.191
2007	AA	Diakonie Katastrophenhilfe	687 12	UGA 04/07	72010	Nothilfe für Flutopfer in Nordost-Uganda	Distrikte Katakwi und Amuria	01.10.2007	31.01.2008	100.000	100.000
2007	AA	Welthungerhilfe	687 12	UGA 05/07	72010	Nothilfe für Flutopfer in Norduganda, Distrikte Lira und Oyam	Nord-Uganda	01.10.2007	30.11.2007	115.560	115.560

Year	Donor	Implementing partner/ financing mechanism	Budget line	AA/BMZ project number	DAC code	Project title /short description	Location	Project start	Project end	Commitment (in euros)	Disbursement, end of 03/2010 (in euros)
2007	AA	Technisches Hilfswerk	687 12	UGA 06/07	72010	Nothilfe für Flutopfer in Soroti, Katakwi	Nord-Uganda	26.09.2007	31.01.2008	238.600	238.600
2007	AA	UNHCR	687 12	UGA 07/07	72050	Emergency Assistance to Congolese (DRC) Asylum Seekers and Refugees in South West Uganda	Süd-West-Uganda	22.11.2007	29.02.2008	500.000	500.000
2007	AA	Malteser	687 12	16/07 KatV	74010	Disaster reduction/Uganda: Aufbau Village-Health-Team-System zur Früherkennung von Epidemien	Distrikt Bukeda, Nord-Ost-Uganda	01.12.2007	29.02.2008	41.496	41.496
Sub-total Uganda 2007										4.881.698	4.881.698
2008	BMZ	Welthungerhilfe	687 20	200818856	72010	Re-activation of agricultural production potential and water supply	Lira District, Northern Uganda	01.10.2008	2010*	1.050.000	1.050.000
2008	BMZ	UNHCR		200818351	72010	Protection and support to the re-integration of IDPs	Northern Uganda			1.000.000	1.000.000
2008	BMZ	GTZ	687 20	200818344	72040	Food contribution to food security project 2006.1987.4	Northern Uganda	06/2008	12/2008	800.000	800.000
2008	BMZ	WFP		200818450	72040	Food aid - PRRO 10121.2 - 1.534 mt maize	Country-wide	06.02.2008	31.03.2011	500.000	500.000
2008	BMZ	?		ST0827949	72010	Aid to refugees (in recipient countries) (?)	?			146.310	146.310
2008	AA	Arbeiter Samariterbund	687 12	UGA 01/08 - 600194	72010	Humanitarian aid (?) to IDPs/Hilfsmaßnahmen für intern vertriebene Rückkehrer im Distrikt Pader, Norduganda	Pader	15.02.2008	15.06.2008	170.980	170.980
Sub-total Uganda 2008										3.667.290	3.667.290
2009	BMZ	Welthungerhilfe	687 20	200918623	72010	Food security, reduction of violent conflicts (Karamoja Region)	Sub-Counties Lotome and	27.07.2009	2010*	765.700	265.700

Year	Donor	Implementing partner/ financing mechanism	Budget line	AA/BMZ project number	DAC code	Project title /short description	Location	Project start	Project end	Commitment (in euros)	Disbursement, end of 03/2010 (in euros)
							Lorengedwat,				
2009	BMZ	Welthungerhilfe	687 20	200918672	72010	Conflict prevention and food security through community development	Katakwi District, Teso Region	01.08.2009	2010*	537.600	267.600
2009	BMZ	Diakonie Katastrophenhilfe	687 20	200918573	72010	Improvement of potable water supply and food security in conflict-affected communities	North. Ugan., Kitgum and Lamwo Districts	13.07.2009	15.06.2010	500.000	500.000
2009	BMZ	Deutsches Rotes Kreuz	687 20	200918722	72010	Food security measures for returnees and former IDPs	Oyam District, Northern Uganda	15.08.2009	2010*	550.000	380.000
2009	BMZ	Deutsches Rotes Kreuz	687 20	200918581	72010	Improved access to potable water and sanitation for returnees and IDPs	Oyam District, Northern Uganda	01.08.2009	2010*	580.000	360.000
2009	BMZ	UNHCR	687 20	200918565	72010	Durable solutions: protection and support to the re-integration of IDPs	Northern Uganda			500.000	500.000
Sub-total Uganda, 2009										2.273.300	2.273.300
Total Uganda 2005 – 2009										18.263.088	18.250.718

* 2010 budget increases allocated after the inception phase of the Uganda case study have not yet been taken into consideration.

The interventions selected for project case studies are shaded in grey.

Table A11.2: BMZ cooperation (DAC CRS Code 52010) in Uganda – Portfolio 2005 – 2009 (as of 26/07/2010), BMZ budget line 687 20

Year	Donor	Implementing partner/ financing mechanism	Budget line	AA/BMZ project number	DAC code ¹⁰⁹	Project title /short description	Location	Date of project start	Date of project end	Commitment (in Euro)	Disbursement, end of March 2010 (in Euro)
2005	BMZ	GTZ	687 20	200519744	52010	Emergency aid for Sudanese refugees (previously: 2004.3868.9 / 687 25)	Madi Okollo			166.334	165.874
2005	BMZ	GTZ	687 20	200519587	52010	Food security and stabilisation of peace (previously: 2003.3658.6 / 687 08)	Northern Uganda (West Nile)			1.631.184	1.625.252
2006	BMZ	GTZ	687 20	200619874	52010	Food security, stabilizing peace (follow-up from 2005.1958.7)	Northern Uganda			1.540.000	1.443.780
2009	BMZ	GTZ	687 20	200919902	52010	Food security, strengthening of peaceful conflict management	Karamoja			1.000.000	1.064.968
Total 2005 – 2009										4.337.518	4.299.874

The interventions selected for project case studies are shaded in grey.

¹⁰⁹ DAC CRS Code 52010 (funded through BMZ budget line 687 20) has been included because the listed projects provide the framework programme for food aid (DAC CRS Code 72040, and also funded through BMZ budget line 687 20), which is object of the evaluation

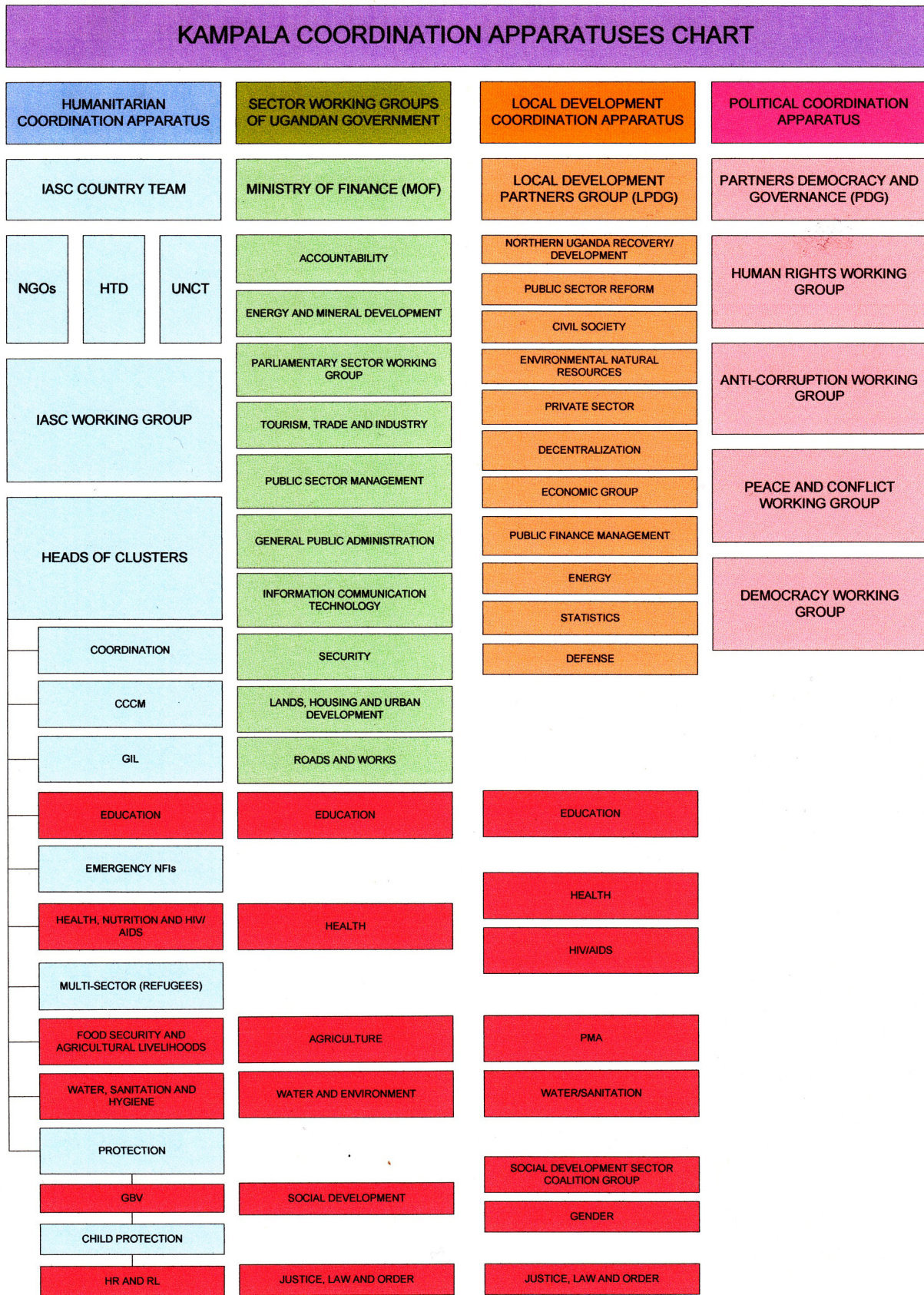
Annex 12: Additional portfolio in Uganda reported under humanitarian assistance (DAC CRS Code 700) (2005 – 2009)

Table A12: BMZ humanitarian assistance in Uganda - Portfolio 2005 - 2010 (as of 26/07/2010), various BMZ Budget lines¹¹⁰

Year	Donor	Implementing partner/ financing mechanism	Budget line	AA/BMZ project number	DAC code	Project title /short description	Location	Date of project start	Date of project end	Commitment (in Euro)	Disbursement, end of March 2010 (in Euro)
2005	BMZ	IO (not specified)	687 23		700						315.811
2005	BMZ	KEZ/Misereor	896 04	200432146	700	(AP-2015) Nachhaltige Landwirtschaft zur Wiedereingliederung von KindersoldatInnen	Diözese Gulu				104.835
2005	BMZ	DED	687 40	ST0502096	700	Entwicklungshelfer/-in					74.998
Sub-total 2005											495.644
2006	BMZ	KEZ/Misereor	896 04		700						93.763
2006	BMZ	DED	687 40		700						83.976
Sub-total 2006											177.739
2007	BMZ	KEZ/Misereor	896 04		700						68.260
2007	BMZ	DED	687 40		700						121.151
Sub-total 2007											189.411
Total 2005 - 2009											862.794

¹¹⁰ These projects/work places are to be included with the view of assessing internal coherence and alignment with the LRRD concept, but are not to be evaluated in greater depth (see chap. 3.1 of the ToR)

Annex 13: The Kampala coordination apparatus



Source: <http://www.ugandaclusters.org>

Glossary

Term	Definition/explanation (Source)
Appropriateness	Appropriateness is the tailoring of humanitarian activities to local needs, increasing ownership, accountability and cost-effectiveness accordingly (Beck 2006, p. 20)
Connectedness	Connectedness refers to the need to ensure that activities of a short-term emergency nature are carried out in a context that takes longer-term and interconnected problems into account (Beck 2006, p. 20)
Coordination	Activities of two or more development partners that are intended to mobilise aid resources or to harmonise their policies, programmes, procedures and practices so as to maximise the development effectiveness of aid resources (BMZ-E 2006, p. 8)
Complementarity	Ensuring that Community development policy shall be complementary to the policies pursued by the Member States, indicating that development co-operation is a shared competence between the Community and the Member States, which can be jointly exercised (focusing this way on task division between EC and EU MSs, based on comparative advantages) (BMZ-E 2006, p. 8)
Coherence	<p>The non-occurrence of effects of policy that are contrary to the intended results or aims of policy [...] Policy in a particular field may not be undermined or obstructed by actions or activities of government in that field or in other policy fields (BMZ-E 2006, p. 8)</p> <p>The need to assess security, developmental, trade and military policies as well as humanitarian policies, to ensure that there is consistency and, in particular, that all policies take into account humanitarian and human-rights considerations (Beck 2006, p. 21)</p>
Conclusions	Conclusions point out the factors of success and failure of the evaluated intervention, with special attention paid to the intended and unintended results and impacts, and more generally to any other strength or weakness. A conclusion draws on data collection and analysis undertaken, through a transparent chain of arguments (OECD DAC 2002, p.19f)
Coverage	The need to reach major population groups facing live-threatening suffering wherever they are (Beck 2006, p. 21)
Disaster	A calamitous event resulting in loss of life, great human suffering and distress, and large scale material-damage. It can be man-made (war, conflict, terrorist acts, etc.) or it can have natural causes (drought, flood, earthquake, etc.) (HAP 2008, p. 144)
Effectiveness	<p>The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance. Note: Also used as an aggregate measure of (or judgement about) the merit or worth of an activity, i.e. the extent to which an intervention has attained, or is expected to attain its major relevant objectives efficiently in a sustainable fashion and with a positive institutional development impact.(OECD DAC 2002, p. 21f)</p> <p>Effectiveness measures the extent to which an activity achieves its purpose, or whether this can be expected to happen on the basis of the outputs. Implicit within the criterion of effectiveness is timeliness (Beck 2006, p. 21)</p>
Efficiency	<p>A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results (OECD DAC 2002, p.22)</p> <p>Efficiency measures the outputs – qualitative and quantitative – achieved as a result of inputs. This generally requires comparing alternative approaches to achieving an output, to see whether the most efficient approach has been used (Beck 2006, p. 21)</p>

Goal	The higher-order objective to which a development intervention is intended to contribute (OECD DAC 2002, p. 24)
Humanity Impact	Centrality of saving human lives and alleviating suffering wherever it is found (GHD) Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. (OECD DAC 2002, p. 25) Impact looks at the wider effects of a project – social, economic, technical, environmental – on individuals, gender- and age-groups, communities and institutions. Impacts can be intended and unintended, positive and negative, macro (sector) and micro (household) (Beck 2006, p. 21)
Impartiality	Implementation of actions solely on the basis of need, without discrimination between or within affected populations (GHD)
Implementing partners	In the context of this evaluation, this term is used for all organisations receiving funds from AA and/or BMZ for the implementation of German HA (the term covers all organisations named 'Projekträger' by AA, and 'Zuwendungsempfänger' and 'Auftragnehmer' by BMZ)
Independence	Autonomy of humanitarian objectives from the political, economic, military of other objectives that any actor may hold with regard to areas where humanitarian action is being implemented (GHD)
Inputs	The financial, human, and material resources used for the development intervention (OECD DAC 2002, p. 25)
Intervention logic	See 'results framework' below
Lessons learned	Generalisations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact (OECD DAC 2002, p. 27)
Neutrality	Humanitarian action must be not favour any side in an armed conflict or other dispute where such action is carried out (GHD)
Objective (project, programme)	The intended physical, financial, institutional, social, environmental, or other development results to which a project or program is expected to contribute (OECD DAC 2002, p. 31)
Outputs	The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes (OECD DAC 2002, p. 28)
Real time evaluation	An evaluation in which the primary objective is to provide feedback in a participatory way in real time (i.e. during the evaluation fieldwork) to those executing and managing the humanitarian response (Cosgrave, Ramalingam, Beck 2009, p. 10)
Recommendations	Proposals aimed at enhancing the effectiveness, quality, or efficiency of a development intervention; at redesigning the objectives; and/or at the reallocation of resources. Recommendations should be linked to conclusions (OECD DAC 2002, p. 33)
Relevance	The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. Note: Retrospectively, the questions of relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances (OECD DAC 2002, p. 33) Relevance is concerned with assessing whether the project is in line with local needs and priorities (as well as donor policy) (Beck 2006, p. 20)

Results framework	The program logic that explains how the development objective is to be achieved, including causal relationships and underlying assumptions (OECD DAC 2002, p. 33) = intervention logic ("theory of change")
Sustainability	The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time (OECD DAC 2002, p. 37)
Triangulation	Looking at or checking the same information from more than one source, e.g., governments and affected people (cross-category triangulation) as well as through more than one method (= method triangulation) (Cosgrave, Ramalingam, Beck 2009, p. 44)
Whole-of-government approach	Term developed in the context of the DAC Fragile States Group. Donor countries are required to adopt a 'whole-of-government' approach – involving departments responsible for security, and political and economic affairs, as well as those responsible for development aid and humanitarian assistance – in order to achieve successful development in fragile environment (OECD DAC 2006d, p. 7)

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