



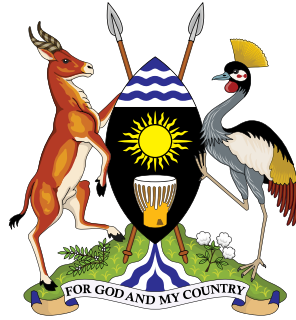
Republic of Uganda

OFFICE OF THE PRESIDENT

**THE PUBLIC POLICY EXECUTIVE
OVERSIGHT FORUM
(APEX PLATFORM)**

**APEX PLATFORM
OPERATIONS
GUIDELINES AND
PROCEDURES
MANUAL**

JUNE 2024

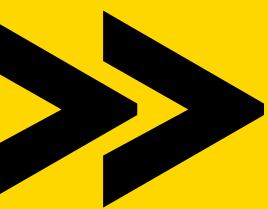


Republic of Uganda

OFFICE OF THE PRESIDENT

**"TAKING LEADERSHIP IN PUBLIC POLICY
MANAGEMENT AND PROMOTION OF
GOOD GOVERNANCE PRACTICES."**

JUNE 2024



Foreword



The APEX Platform reform¹ is one of the renewed efforts by the Office of the President to strengthen its overall Leadership in Public Policy Management and Promotion of Good Governance Practices in Public Institutions. In so doing, the reform is intended to facilitate prompt Monitoring of Government Interventions to steer Private Sector Development and Economic Growth generally. In addition, effective implementation of NDP III, the new ruling Party Manifesto and Presidential Directives shall be premised on this reform. This policy reform is **“a home-made Oversight M&E solution”** developed as a result of a highly consultative process among key stakeholders on how to address effective Service delivery.

The Oversight function of the Office of the President is anchored on the **“eyes-on and hands-off”** approach to **complement the implementing arm of Government coordinated by the Office of the Rt. Hon. Prime Minister.** The APEX Platform will help address functional ambiguities, “silos” and Mandate overlaps that have clogged effective Public Policy Management. Some of the reasons why the performance of the NDP I and NDP II did not fully meet the expectations of the Ugandans were; **a weak Oversight function** of the Office of the President, the Office of the Prime Minister getting involved in **direct implementation of Programmes** and the Ministry of Finance, Planning and Economic Development **overlapping its Mandate into other institutional Mandates, among others.**

¹ APEX Platform is an acronym of “A Public Policy Management Executive Oversight Platform/Forum for Uptake, Learning, and Executive Decision-Making based on Evidence”.

These bottlenecks eluded our promise and hope of transforming Uganda into a middle-income Country by 2020, as earlier envisaged. Our Vision and commitment as the Government is still to build a modern, people-centred, independent and self-sustaining economy, as envisaged in NDP III. This, however, cannot be achieved unless a mechanism for managing what has already been achieved, avoiding wastage of resources and being accountable to the Citizenry is in place. The APEX Platform is, therefore, aimed at improving Public Service delivery through the recognition of success/failure drivers at all stages of development interventions along the Policy/Programme/ Project Life Cycle.

This Policy reform calls for a mind-set change within the Public Service to become more responsive to Service delivery consciousness and accountable for results. It is now time for Public Servants to start working like ***the owners of the sheep and not the hired hand, as in the biblical parable of the lost sheep found in Matthew 18:12-14 and Luke 15:3-7.***

I am glad that my Office has spearheaded this new reform which calls for Transparency, Accountability, Visibility of Government Achievements and Impactful development results. I am also happy to learn that this reform is well aligned with the Programme of Public Service Transformation in the NDP III.

I, therefore, call upon both State and Non-State Actors to work together and make use of this APEX Platform Framework and support its implementation as a way of addressing challenges of Service delivery to the Citizenry.

For God and My Country,



Yoweri Tibuhaburwa Kaguta Museveni
PRESIDENT OF THE REPUBLIC OF UGANDA

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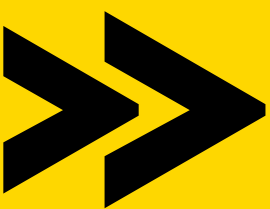
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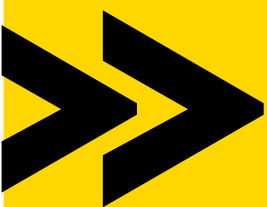
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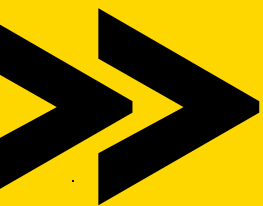


Abbreviations and Acronyms



AG	Attorney General
AU	African Union
BCC	Behaviour Change Communication
BMAU	Budget Monitoring and Accountability Unit
CSOs	Civil Society Organisations
DISO	District Internal Security Officer
DSEMR	Directorate of Socio-Economic Monitoring and Research
EAC	East African Community
EIA	Environmental Impact Assessment
FBOs	Faith-Based Organisations
FY	Financial Year
GAPR	Government Annual Performance Report
H.E.	His Excellency
Hon.	Honourable
IBP	Integrated Bank of Projects
IMF	International Monetary Fund
ISO	Internal Security Organisation
JLOS	Justice, Law and Order Sector
LCV	Local Council Five
LGs	Local Governments
LTEF	Long Term Expenditure Framework
M & E	Monitoring and Evaluation
MDAs	Ministries, Departments and Agencies
MEL	Monitoring, Evaluation and Learning
MoFPED	Ministry of Finance, Planning and Economic Development
MoLG	Ministry of Local Government

MoP	Minister for the Presidency
MoPS	Ministry of Public Service
MoU	Memorandums of Understanding
MSEM	Minister of State for Economic Monitoring
MTEF	Medium-Term Expenditure Framework
NDP	National Development Plan
NDR	National Development Report
NGOs	Non-Governmental Organisations
NPA	National Planning Authority
OAG	Office of the Auditor General
OP	Office of the President
OPM	Office of the Prime Minister
OWC	Operation Wealth Creation
PIMS	Project Investment and Management System
PIP	Public Investment Projects
PS	Permanent Secretary
RBM	Results-Based Monitoring
RDC	Resident District Commissioner
RIA	Regulatory Impact Assessment
SBCC	Social and Behaviour Change Communication
SDGs	Sustainable Development Goals
SEAs	Strategic Environmental Assessments
TA	Technical Assistance
ToC	Theory of Change
UBOS	Uganda Bureau of Statistics
US	United States
WB	World Bank



Glossary



APEX Platform	This is an Executive Forum for effective Public Policy Management and utilisation of results based on Evidence for informed Decision-Making in Uganda.
APEX Framework	The structure for the key players who constitute the APEX Platform Forum.
Evidence-Based Decision-Making	A process of making decisions about Policy, Practice, or Programmes that is grounded in the best available evidence and informed by experimental evidence from the relevant field.
High-Level Synthesised Report	A high-level summary of issues and actionable recommendations presented to the APEX Platform for Executive Decision-Making.
Implementation Monitoring	Involves collecting, analysing and reporting of important data periodically throughout the management cycle of a Programme/Project to make connections between actions and intended outputs and immediate outcomes.
Issues Paper	A summarised report designed to inform the APEX Platform highlighting identified key findings, lessons and recommendations on a particular Policy/Programme/Project implementation.
Meta-Evaluation	Evaluation that utilises a series of findings from various other evaluations on a similar thematic issue.
Non-State Actors (NSA)	The Private Sector, Civil Society Organisations, Non-Governmental Organisations, Academia and Research Institutions, Faith-Based Organisations, the Media and the General Public.
Office of the President	One of the Offices established under the Presidency charged with its administrative services, Cabinet affairs and other Policy Oversight functions.

Oversight Monitoring

A Public Sector function that focuses at the macro level and tracks at the micro level, on the implementation of Policy/Programmes/Projects as well as operations in respect of compliance with set Laws and Regulations for efficient use of Public funds, value for money, and delivery of quality Public Services.

Pre-APEX Platform

A series of activities three months prior to the APEX Platform.

Presidency

Any Office created by H.E the President to facilitate execution of his Executive Authority in line with the Constitution of Uganda.

Rewards

Anything accorded to an individual or entity as a form of appreciation merited for good performance or exemplary achievement.

Sanctions

Legally instituted mechanisms that management can apply to penalise poor performance.

State Actors

Public Institutions that include Ministries, Departments and Agencies as well as Local Governments.

Synthesised Report

A summary or highlight of issues and actionable recommendations presented for scrutiny or response by the participating actors to inform Executive Decision-Making.

Uptake

Taking stock of best practices and utilising them for informed Policy reviews and development, and to facilitate effective implementation of successor Programmes/Projects.



Chapter One: Introduction and Background



This chapter describes the APEX Platform, the Manual and its development process as well as its rationale and importance. It also highlights the Manual's intended users, how it will be used, and concludes with how it is organised.

1.1 About the APEX Platform

The APEX Platform is a reform convened by Office of the President as a high-level Oversight Forum for **Uptake, Learning and Executive Decision-Making** to foster Transparency, Accountability, and the Promotion of Good Governance Practices in the delivery of Services to the Citizens. The APEX Platform is designed to facilitate Oversight implementation of the third National Development Plan (NDP III) and subsequent NDP's, the ruling Party Manifesto and the Presidential Directives.

1.2 About the Manual

This Operational Guidelines and Procedures Manual serves as a point of reference to all stakeholders involved in the implementation of the Public Policy Executive Oversight Forum (APEX Platform).

1.3 The Manual's Development Process

This Manual is an output of a highly consultative process that involved key stakeholders, including: The Presidency, Office of the Prime Minister (OPM), Ministry of Finance, Planning and Economic Development (MoFPED), National Planning Authority (NPA), Ministry of Public Service (MoPS), Ministry of Local Government (MoLG), all Permanent Secretaries, Directors and Commissioners of all Ministries, Departments and Agencies (MDAs). Other consulted stakeholders included, among others, the Office of the Auditor General (OAG), the Attorney General (AG) and Uganda Bureau of Statistics (UBOS). These consultations also included the Non-State Actors. These included; the Development Partners, the Private Sector, Civil Society Organisations (CSOs), NGOs, Academia/Researchers and the Media.

“

“This document is intended to serve as a guide for all Stakeholders in the implementation of the APEX Platform.”

This Manual was also informed by the inputs from Think-Tanks (represented by selected Panel of Experts).

1.4 Rationale and Importance of the Manual

This Manual has been developed to provide the Operational Procedures of the APEX Platform. It highlights the conceptual framework and the theory of change, the log frame, and the roles and responsibilities of key players in the implementation of this reform. In addition, the Manual provides tools for information processing, analysis, preparation and reporting of the issues papers. The Manual therefore serves as an important reference document for all stakeholders in the Oversight Framework of Government Policies/ Programmes/Projects.

1.5 Intended Users of the Manual

This Manual is intended for anybody/Institutions interested in understanding the architecture of Oversight function of the Office of the President while executing its Leadership function of Public Policy Management and Promotion of Good Governance Practices.

At the highest level of Government, the primary users of this Manual will be: The Presidency, OPM, MoFPED, NPA and other key MDAs as described in the APEX Platform Framework.

1.6 How to Use the Manual

This document provides Operational Guidelines and Procedures that will guide both State and Non-State Actors to analyse the outcomes and impact of development interventions. It will guide on how Programmes/Projects are designed/diagnosed, planned and financed, implemented; and on how Government is ensuring their Oversight. The Manual presents a checklist on how stakeholders will follow all the stages of the Programme/Project Life Cycle. The Manual includes illustrations, concepts and theories that shape its design. Users will be able to refer to this Manual to appreciate the intended objectives and expected outcomes of the APEX Platform.

“

The Manual provides tools and checklists on what type of information is required of each Stakeholder in the management of the results chain.”



1.7 Organisation of the Manual

This Manual is divided into six sections. Section one focuses on the introduction and background. Section two presents the problem statement, justification and conceptual framework. Section three elaborates the Mission, Goal, Strategic Objectives, Expected Outputs and Outcomes. Section four covers the implementation arrangements which elaborate the core roles and responsibilities of key actors/Institutions. Section five focuses on Communication and Citizenry Engagement. Section six presents the Monitoring, Evaluation and Learning Strategy. This Manual concludes with several annexes which highlight tools and checklists for results analysis, the layout of the issues papers, the work plan and the communication roadmap for APEX activities. These annexes can be printed as ‘take-away’ guides for various Institutions to use as respective tools.

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“The intended users of this Manual are both State and Non-State Actors. These are primarily actors involved in the Oversight space as well as other Monitoring and Evaluation (M&E) Frameworks at all levels.”



Chapter Two: APEX Platform Design Process and Contextualization



This chapter describes the design process and contextualization of the APEX Platform reform. This chapter also covers the problem statement, Theory of Change (ToC) that informs the conceptualization and design process of this reform. The chapter concludes with justification of this reform.

2.1 The Design Process of the APEX Platform

The design of the APEX Platform as a reform in Uganda's Public Policy and Programme/Project Management followed a simplified stage-wise process: (a) Programme identification and situation analysis; (b) formulation; (c) adoption (Decision-Making); (d) implementation planning; and (e) Monitoring and Evaluation.

- **Programme Identification:** This preceded a detailed situational analysis. The situational analysis involved a highly participatory consultative process with MDAs, Development Partners, Academia and Research Institutions (State and Non-State Actors). Also, an extensive literature review was conducted, involving Government reports, study reports by Government and Development Partners, research papers and international scholarly material among others; these informed the design. Based on evidence, key issues and challenges to managing for results in Public Policy/Programme/Project Management were identified (Agenda Setting).
- **Programme Formulation:** This involved using highly participatory stakeholder engagements that included workshops and key informant interviews facilitated by independent consultants. Through this process, a contextual placement of the APEX was analysed and various Policy options considered as possible solutions to challenges of achieving results in Public Policy/Programme/Project Management were formulated. The **APEX Logic Model** to clarify the Mandates regarding Oversight M&E and the conceptual framework premised on the **fish analogy** highlighting the scope of/and actors along the Project Life Cycle (from initiation to result) was formulated.

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“The design of the APEX Platform as a reform in Uganda's Public Policy Management, was as a result of general weakness with the Public Investment Management System (PIMS).”

- **Adoption/Decision-Making:** The Minister in charge of the Presidency proposed and recommended to Cabinet the establishment of the APEX Platform, among other reforms, to improve implementation of the Medium-term Development Plan. APEX was approved by **Cabinet under Minute 214 (CT 2018) Decision 4 (g)** and adopted as a necessary NDP III implementation reform under Programme 18.
- **Implementation Planning:** At this stage, the APEX Platform implementation modalities were elaborated, including clarity on how the underlying challenges in Policy/Programme/Project implementation results analysis to inform Executive Decisions will be addressed. Besides, the expected change and key stakeholders in the APEX Platform and their roles were defined. Also, the resource needs (human and financial) and the administrative and regulatory structures to support the implementation of this reform were determined.
- **Monitoring and Evaluation:** Embedded in the design of the APEX Platform is a Monitoring and Evaluation Framework for Oversight in the Public Policy and Programme/Project Management aligned to the NDP III. A logical framework to guide the implementation M&E of the APEX reform has been developed as part of this document. Besides, the Secretariat shall develop detailed Oversight M&E guidelines from time to time for the different actors in the Oversight sphere of Government.

2.2 Context – Situation Analysis

Uganda Vision 2040 aims to **“Transform the Ugandan Society from a Peasantry to a Modern and Prosperous Country in 30 years from 2010/11”**. The Government of Uganda has elaborated its development interventions to achieve the aspirations of Vision 2040 through five Medium Term Plans (NDP III inclusive) to help guide on Citizenry transformation. The goal of NDP III in particular is **“To Increase Household Incomes and Improve the Quality of Life of Ugandans”**. NDP III aims at, among others, building on the lessons learnt from the planning and implementation experiences of NDP I and II, and also seeks to address some of the implementation challenges encountered.

As far back as 2001, the World Bank (WB), reporting on Uganda, indicated that “improving Monitoring and Evaluation Systems in Uganda would help the Government to translate its Public Sector reforms into results targeted at improvement of Quality of Life. Planning, budgeting, and incentives would be strengthened by focusing on outcomes, impacts, and goals rather than on recording inputs, activities, or immediate outputs.”²

According to the IMF Report (2016), Uganda and Tanzania scored low on Project appraisal and Uganda scored lowest on Project evaluations, which are clear signals that the Country has a high appetite to select and embark on Projects without much emphasis on appraisal and effective management for results. There seems to be more emphasis on the selection of and budgeting for Projects before a thorough problem appraisal and analysis of results. This practice fails planning and implementation, as illustrated in the Figure 1 below.

²World Bank (2001): *Strengthening Capacity for Monitoring and Evaluation in Uganda: A Results Based Management Perspective*. ECD Working Paper Series No. 8, Washington DC, USA. (re-phrased by author)

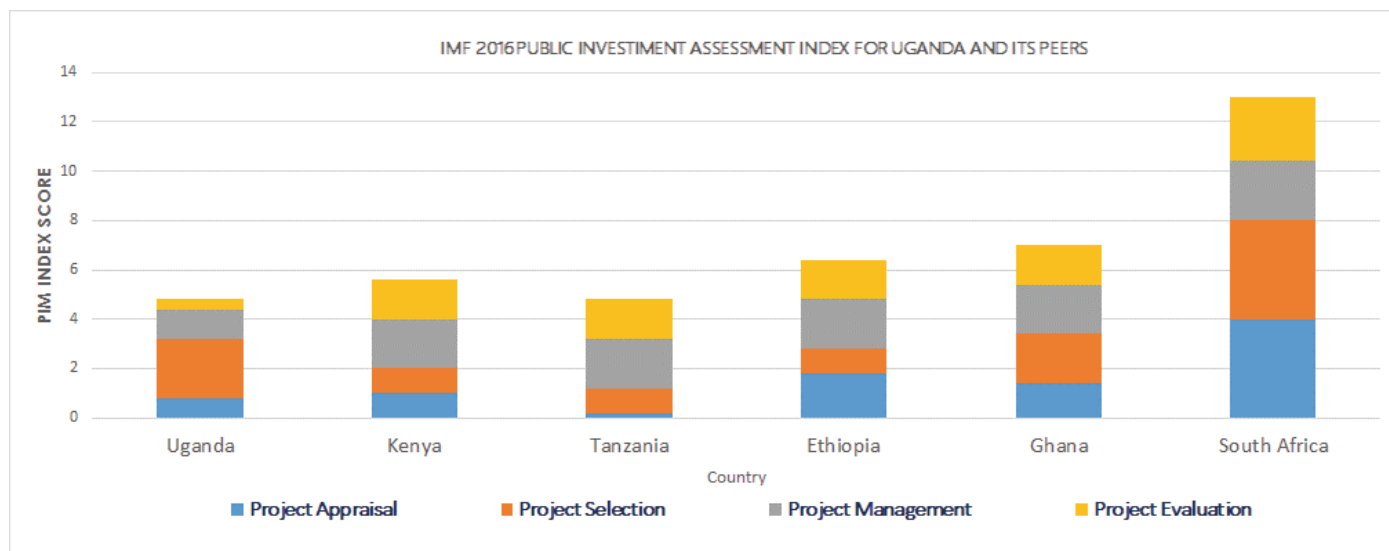


Figure 1: IMF 2016 Public Investment Assessment Index for Uganda and its Peers

The same weakness identified in the World Bank and the IMF Reports above is echoed in the reviews by NDP I and NDP II, which observed that the key challenges facing Public Policy Management included: weak accountability for results in the Public Service, prevalence of corruption, uncoordinated approaches to implementation planning and slow Project implementation (NDP III 2020/21 – 2024/25). Some of the lessons from the evaluations of NDP I and II highlighted a silo approach to planning, budgeting and implementation of Public Policy/Programmes/Projects among MDAs and LGs, the absence of risk planning and mitigation in the plans and budgets, and limited involvement of the Citizens in development processes.

In addition, The Presidency through its Oversight function has noted numerous bottlenecks in Public Policy Management (specifically Public Investment Policy Management Systems) such as: the absence of **effective functional synergies** and structural efficiencies needed to achieve lasting results, mainly attributed to **implementation lapses in the delivery of results** (Cabinet Paper CT (2015) 30). These are expounded below;

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“...numerous bottlenecks in Public Policy Management such as; absence of effective functional synergies and structural efficiencies needed to achieve lasting results, mainly attributed to implementation lapses in the delivery of results (Cabinet Paper CT (2015) 30).”

i. Absence of effective functional synergies: While there are clearly defined Legal and Institutional frameworks for MDAs and LGs within built M&E arrangements, these systems are weakly integrated, their databases do not inform each other and inputs of other players engaged in Public Policy/Programme/Project implementation (State and Non-State Actors) are not effectively mainstreamed into the results analysis. In addition, whereas the different actors in the Policy space present different **ideas**, represent diverse **interests** and operate under several **Institutional arrangements**, the current environment (Knowledge Ecosystem) does not seem to support functional synergies. This translates into weak results analysis, utilisation and learning among themselves and to inform Decision-Making.

ii. Structural inefficiencies: The Government architecture provides for a system for the design, planning, implementation, Monitoring and Evaluation of Public Policies/Programmes/Projects. There are, however, weak structures for results analysis to inform Executive Decision- Making. Similarly, there are no interlinkages of M&E systems for MDAs and LGs to guide implementation and performance (working in silos). The implementation of the Public Service Sanctions and Rewards System for performance is not aligned to results. Also, there are M&E capacity gaps among the MDAs and LGs along the Policy/Programme/Project Life Cycle. Other structural concerns include pay structure inconsistencies among MDAs.

iii. Implementation lapses: Compliance by MDAs and LGs with the ideal Project Cycle is critical to achieving the intended results. In Uganda, however, this has been curtailed by poor diagnosis and design of Public Policies/Programmes/Projects. Besides, the evaluation mechanisms for utilizing results to inform the design of new Projects or for correction in ongoing Programmes are weak.

iv. Weaknesses in the Oversight of results: The effectiveness of the Oversight function in Public Policy/Programme/Project implementation significantly determines the extent to which results are achieved. While there are various Oversight Institutions (Office of the President [OP], Parliament, IGG, OAG, District Councils and others), the extent of coordination to inform Executive Decision-Making

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the APEX Platform reform is aimed at addressing these bottle necks by strengthening the Oversight function of the Presidency, streamlining the functional synergies among the key players and building capacities for structural effectiveness.”

is weak. While the Presidency has a Constitutional Oversight Mandate, the OP has limited structures to effectively undertake this Oversight function. Also, inadequate results analysis, reporting and response among the MDAs and LGs along the Project Cycle has undermined the effective performance of the Oversight chain. Finally, ineffective communication and Citizenry engagement on Government performance and results in Public Policy/Programme/Project implementation, are a notable characteristic of weak Oversight.

Overall, the challenges facing Uganda's Public Policy/Programme planning, design and implementation are linked to inability to follow a complete Project Life Cycle. The context of the APEX Platform reform therefore is aimed at strengthening the Oversight function of the OP to address the mentioned challenges above.

2.3 The Problem Statement

Government has in recent years initiated various reforms³ and interventions to improve efficiency in the implementation of Policies, Programmes and Projects. According to NDP I, the binding constraints in Public Policy Management and Administration include weak Policy, Legal and Regulatory Frameworks; disjointed Institutional Structures and Systems; low levels of Civic Participation; inadequate Data and Information; inadequate Standards; and weak Quality Infrastructure. As a consequence, at the commencement of NDP III, almost 50% of core NDP I and II Projects had not been implemented despite several reforms and recommendations for improved implementation of the Projects (NDP Evaluation Report, 2019). According to various reports; MoFPED (2018), Cabinet Paper (CT 2015:30) and Auditor General reports, this is mainly attributed to inefficiencies in managing for results (Oversight) and their weak utilisation along the Project Cycle. In addition, Uganda's Monitoring and Evaluation Systems which should help the Government to translate its Public Sector reforms into results targeted at the improvement of Quality of Life are weak and not well integrated. The M&E systems focus more on recording inputs, activities or immediate outputs than on results (outcomes, impacts and goals)⁴.

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“The Presidency in its Oversight function, has noted numerous bottlenecks in Public Policy Management such as; absence of effective functional synergies and structural efficiencies needed to achieve lasting results, mainly attributed to implementation lapses in the delivery of results (Cabinet Paper CT (2015) 30).”

³These reforms have included Result-Oriented Management (ROM), Fiscal Decentralisation and Procurement Reforms, among others.

⁴World Bank (2001): *Strengthening Capacity for Monitoring and Evaluation in Uganda: A Results Based Management*.
APEX PLATFORM DESIGN PROCESS AND CONTEXTUALISATION

However, owing to weak Oversight in Public Policy Management, these challenges have remained and if this situation is not addressed, Service delivery to Citizens will continue to be poor and the Country trajectory to achieve the Vision 2040 targets could be missed. It is to this end that the APEX reform has been initiated by the Presidency to strengthen the Oversight role of Government at all levels.

2.4 The Conceptualisation of APEX Reform

Considering the challenges facing Public Sector Management, the APEX Platform has been introduced to strengthen the Oversight function along the Policy/Programme/Project Life Cycle. Basing on various studies, it has become eminent that the challenges facing Public Sector Management stem right from conceptualization and initiation (diagnosis), planning and design, implementation and analysis to post-implementation and results analysis. These are illustrated by the Project Life Cycle shown in Figure 2 below.⁵

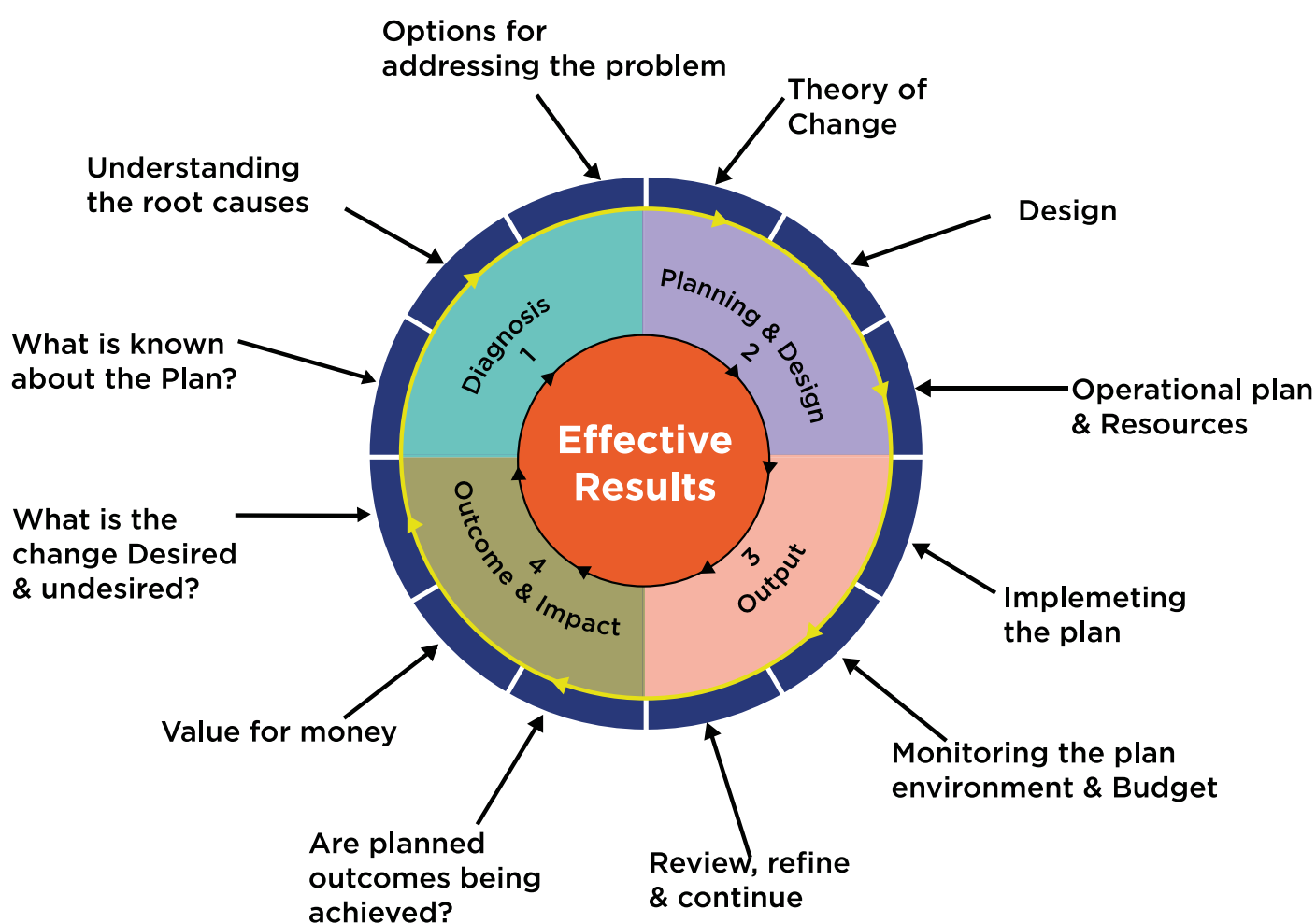


Figure 2: Project Life Cycle for Effective Results

⁵Source; Quadrants of the Project Life Cycle for effective Results (DSEMR, 2020).



Stage 1: Diagnosis/ Conceptualisation

In Figure 2 above, **the first quadrant** represents **diagnosis/conceptualisation** of Government Interventions and Policies/Programmes/Projects. The Government has over the years taken initiatives to improve National Statistical Data Production to inform diagnosis and planning (NPA, 2020). Whereas Uganda adopted a flexible approach to Project identification, some of the studies indicated that some of the Project ideas are not subjected to a thorough and appropriate Project pre-feasibility and feasibility analyses, resulting in the poor selection of Projects which are not aligned with national priorities (MoFPED, 2016). The challenge at this stage is the poor conceptualisation of the problem, failure to engage stakeholders in understanding the root causes, and ultimately poor options selection of the appropriate interventions. With this precedent, some Projects are set for failure at the very outset owing to poor conceptualization of the problem to be addressed and inappropriate design of the intervention.

Stage 2: Planning and Design

The second quadrant represents **planning and design** of the Projects. The challenge at this stage is the inability to link the conceptualisation, ToC and logical framework in Policy/Programme/Project designing, financing and operationalisation. This has caused Projects not to meet their expected deliverables. However, Government has taken initiatives to address these challenges through capacity-building for planning, pre-feasibility and feasibility though it is low among MDAs/LGs. For instance, capacity-building of Economists and Planners is disproportionally better for staff in the MoFPED than for other MDAs and LGs. Even when analysis and diagnosis are done, financial resources are not made available to meet the expenditure assignments, leading to failure to execute Government interventions. This partly explains why the NDP I and II have been financed at 58.3% (NPA, 2019). Worse still, some Projects have been implemented without proper feasibility studies and appraisals leading to dismal results in some case.⁶

Stage 3: Implementation

The third quadrant is on **implementation**. The challenges observed at this level include: weak monitoring of implementation; lack of strict adherence to the work plans; and limited M&E capacity within MDAs. This leads to missed opportunities to review, refine and continuously improve performance. The existing mechanisms for monitoring Government performance have shown gaps in the ability of implementers to utilize results and re-orient the course of Policies/Programmes/Projects implementation.

Stage 4: Results

The last quadrant is on **results** (assessment of outcomes and impact) of development interventions. It is at this stage that results analysis is undertaken for Uptake and Learning. Owing to challenges in the first three earlier quadrants, it is often too late for

⁶MoFPED (2005-2010) Annual Reports of the Office of the Auditor General

Policies/Programmes/Projects to be impactful. The desired change and value for money are in most cases not achieved. In Uganda, reports from many of the key Oversight Players (State and Non-State Actors) are not mainstreamed into the results analysis to inform Executive Decisions.

Overall, each quadrant of the Project Life Cycle presents its unique challenges and limitations to different categories of Players, which requires various levels of skills and abilities to deliver results. Informed by the problem context and statement above, the APEX conceptual framework was developed as a reform to address the challenges of Public Sector Management. The reform addresses gaps in Oversight of the entire Programme/Project Life Cycle as opposed to only focusing on one/some quadrant(s). This explains why the role of Oversight M&E (as one of the Executive functions) cuts across all the four quadrants, as is evident in the Fish Analogy below.

2.4.1 The Fish Analogy

The APEX Platform is conceptualised along the Policy/Programme/Project Life Cycle from diagnosis/conceptualization to results analysis, as illustrated by the Fish Analogy. This analogy also maps out the Actors and their Mandates along the Policy/Programme/Project Life Cycle, as detailed below:

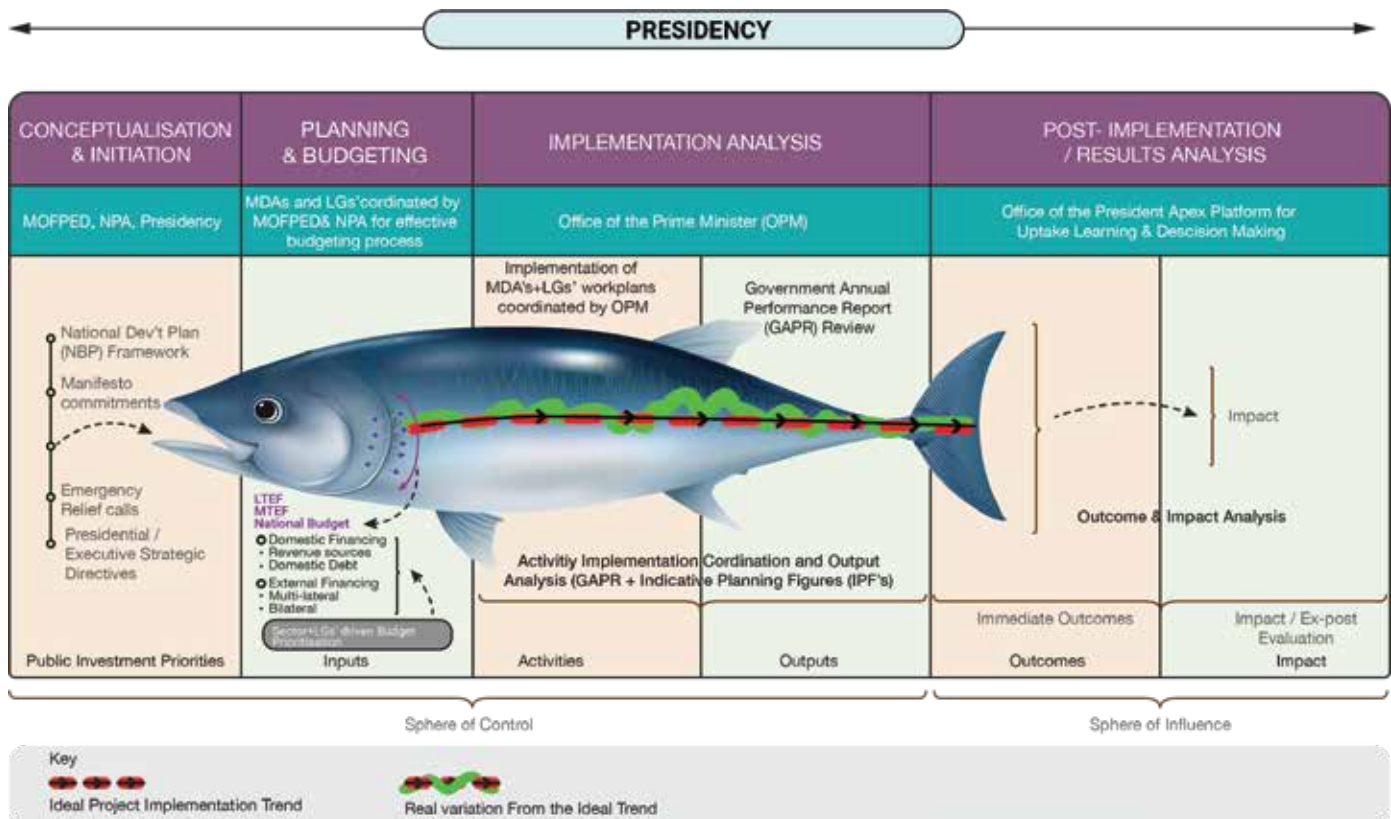


Figure 3: APEX Fish Analogy (DSEMR, 2018)



The Fish Analogy has the front **(face)** and the other side **(back)** explained along the four quadrants aligned with the typical Programme/ Project Life Cycle. The analogy starts with the front face of the fish that is conceptualised under four quadrants: (1) diagnosis/ conceptualisation (2) planning/ design and budgeting process; (3) implementation, monitoring and coordination; and (4) results analysis/post-implementation at the tail end of the fish. The processes influencing dynamics and interface of the different actors in each of the four quadrants are further elaborated below:

- i. Conceptualisation Stage:** This presents Programme planning and initiation guided by situation analysis, the need for intervention or problem diagnosis, the examination of the underlying causes, and selection of the most feasible options/interventions in line with the planning frameworks. There are competing interests and issues at this level to enter the mouth of the fish; these include; the National Development Frameworks, ruling Party Manifesto Commitments, Emergencies, Presidential Directives, and International, Continental and Regional Commitments and Donor driven demands as Public Investment Priorities. Key actors at this stage include the MoFPED, NPA and the Presidency.
- ii. Design and Budgeting Stage:** At this stage, fiscal prioritization is undertaken and some of the Projects identified in stage 1 above are adopted in the Long Term Expenditure Framework (LTEF), Medium Term Expenditure Framework (MTEF) and National Budget, while others may be dropped or postponed due to limited resource envelope. The most feasible interventions are adopted within the available fiscal space, including Local Government Budgets. MDAs and LGs are coordinated by the MoFPED and NPA in this determination as guided by the Public Finance Management Act (2015). The variations in the fiscal space begin at this stage, and are represented by the uneven lateral line of the fish. In practice, successfully implemented Projects are expected to sail along the straight lateral line of the Fish Analogy Framework. However, many Projects in Uganda sail through a zigzag lateral line of the Fish Analogy Framework.

The Fish Analogy
also elaborates the
processes
influencing dynamics
and interface of the
different actors in
each of the four
quadrants.

- iii. Implementation Stage:** At this stage, the most feasible Projects are implemented, monitored and evaluated in line with the planned Programme outputs. Implementation is done at different levels by all State and Non-State Actors and it is the spirit of the APEX reform that all citizens participate in implementation. It should be noted however, that coordination of implementation monitoring is done by the OPM using various mechanisms to ensure that the funded activities generate the desired outputs.

The OPM reports through; the Government Annual Performance Reports (GAPR), the Delivery Unit, and National Development Report (NDR) by NPA.

- iv. Post-Implementation/Results Analysis:** In this results analysis sphere, outcomes and impacts of interventions (Public Policies/Programmes/Projects) are evaluated. The Presidency plays an Oversight role over all Public Sector Management processes, right from conceptualisation and initiation, through planning and budgeting, to implementation and post-implementation/results analysis. Using its Executive Mandate, the OP shall commission/ sanction studies (including but not limited to; meta-evaluations, independent formative/process and post evaluation studies) **to review the extent to which the anticipated outcomes/impacts have been attained.** This is represented by a continuous arrow along the quadrants of the fish taking results from post-implementation as Executive Decisions to form the basis of the theory of change for the subsequent project interventions. The APEX Platform aims at ensuring that all the processes from conceptualisation, design and implementation to results analysis are adhered to for effective Policy/ Programme/Project Management along the Life Cycle. Accordingly, the APEX Platform is a forum for analysing results and reporting on interventions in terms of outcomes and impacts.

The back of the fish: Participation of other State and Non-State Actors

The other side of the fish represents all State and Non-State Actors who are not directly involved in the implementation architecture of the Government but play a role in the Oversight sphere. The participating State Actors include, but are not limited to the following: Parliament, the Attorney General, the Office of the Auditor General, the Ministry of Public Service, Agencies under the Presidency, including RDCs and DISOs, the Justice, Law and Order Sector (JLOS) and the Citizenry. The participating Non-State Actors include, but are not limited to the following: Development Partners, the Private Sector, CSOs, NGOs, Academia/Researchers and the Media. Their contributions include, among others; participation in pre-APEX activities (studies, conferences and dialogues) and they may also make recommendations for improved Policy development and successful implementation of interventions. This is shown by the other side of the fish (the back), as illustrated below.

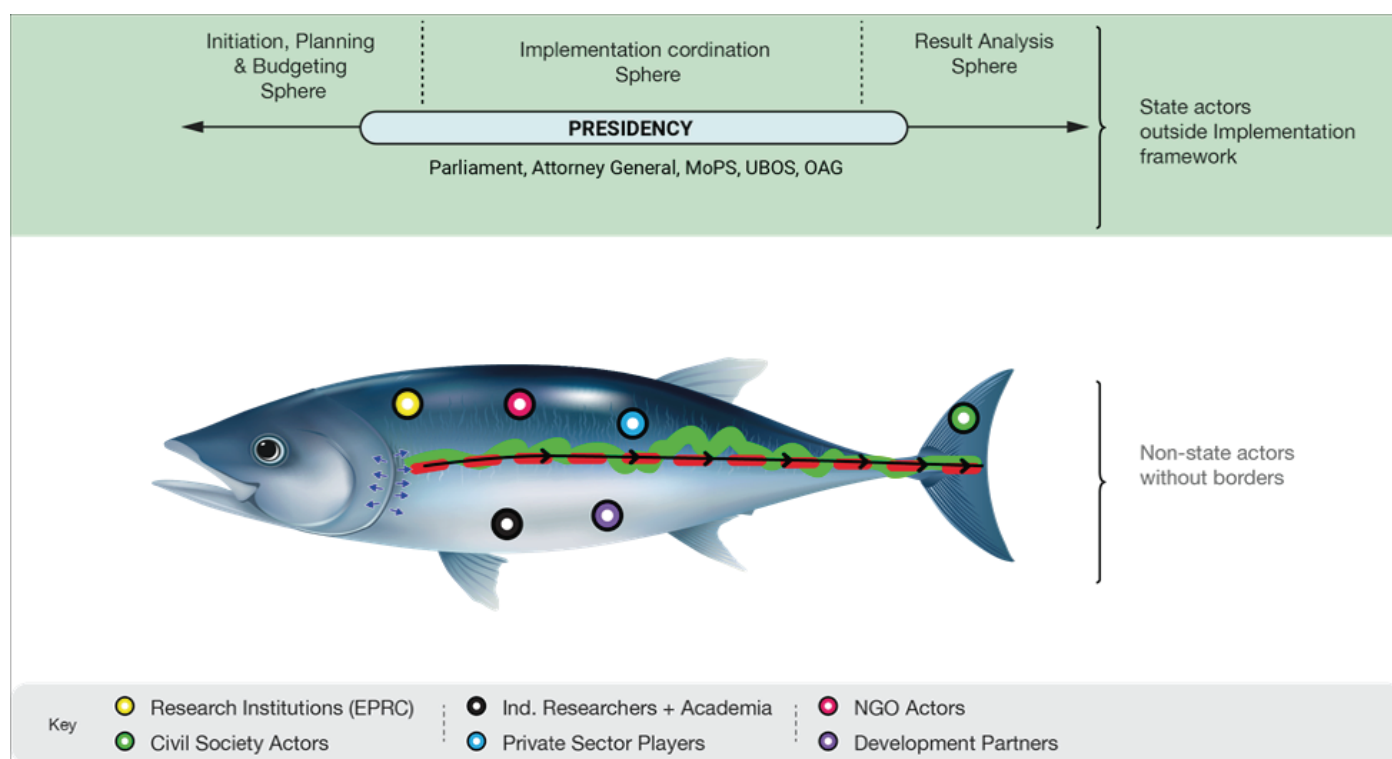


Figure 4: APEX Fish Analogy (DSEMR, 2018) – Back Side of the Fish

In conclusion, the Fish Analogy illustrates the Life Cycle of a Programme/Project and indicates the roles and functions of key players in the whole Project Management Cycle, right from initiation to results (from the head to the tail end of the fish). The APEX Platform will leverage the expertise of the Private Sector, information of Researchers and Academia as well as the proven experience of NGOs, CSOs, and Development Partners to improve Governance and Public Policy Management.

2.5 Theory of Change (ToC)

The APEX Platform Theory of Change (ToC) presents a cause and effect map of a chain of results that will lead to effective management and implementation of Public Policy that would in turn, lead to the desired social economic transformation of Uganda. This would take place using a process-oriented approach in which activities aligned to the outputs and results chain along the Programme/Project Life Cycle are mapped to cause positive change in the way Government interventions are implemented.

As a reform, the APEX Platform is motivated by an elaborate contextual analysis of the challenges faced by the Government of Uganda in the implementation of Public Policy/Programmes/Projects. After the contextualisation of the problem situation and conceptualisation, as explained by the four quadrants (Figure 2) and the Fish Analogy (Figure 3), the APEX reform has been designed to ensure that the Government's Oversight achieves the expected results. At the highest level, it is anticipated that the APEX reform will achieve its goal of improved Oversight, implementation and utilisation of development intervention results. These will be achieved through:

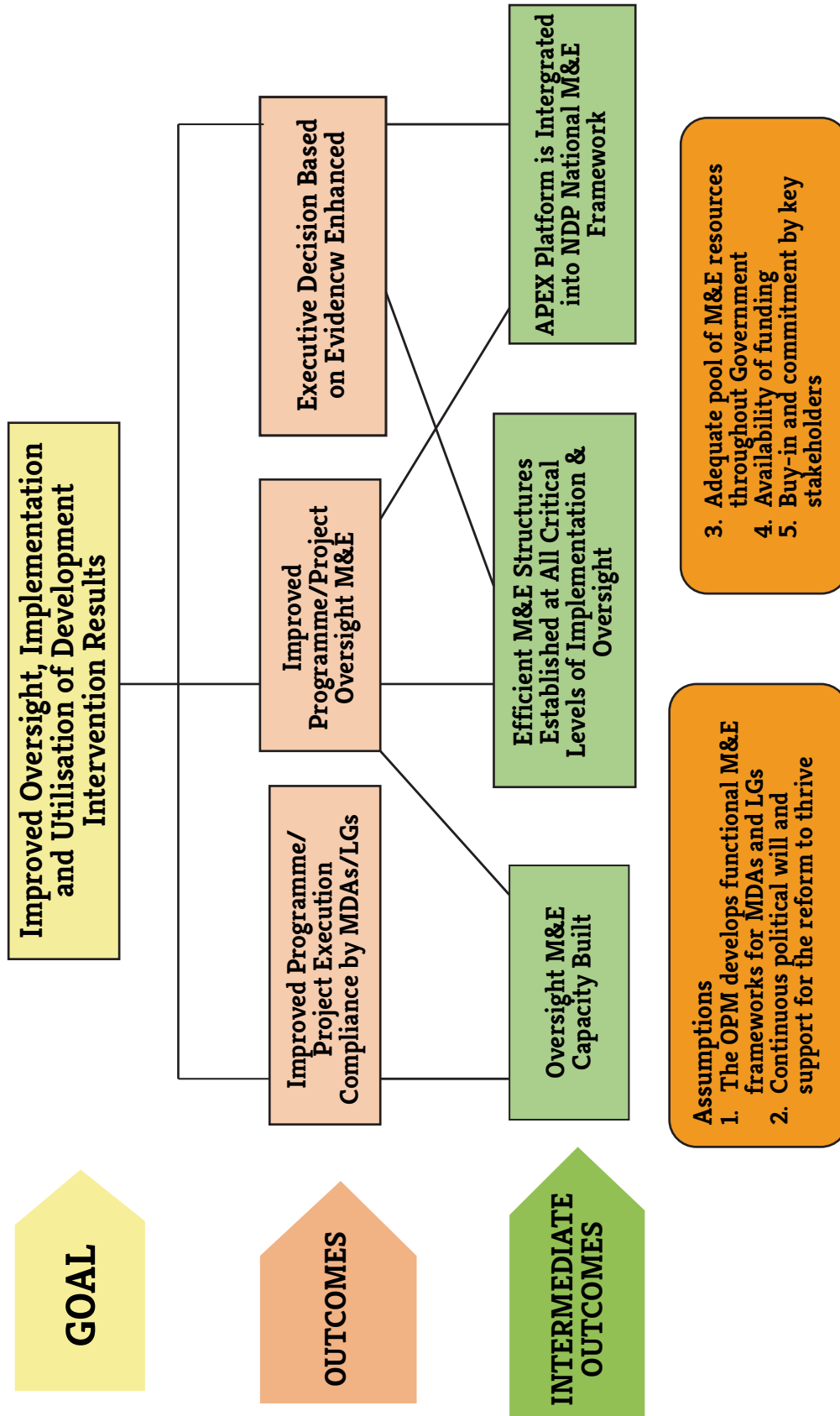
- i. Building capacity for Oversight M&E at all levels of Government.
- ii. Establishing efficient M&E structures at all critical levels of implementation and Oversight.
- iii. Integrating the APEX Platform into the NDP M&E Framework.

It is envisaged that through these three pathways, the APEX Platform reform will deliver improved Programme/Project execution compliance by MDAs/LGs; improved Programme/Project Oversight M&E; and Evidence-Based Decision-Making at all critical levels. For these to be realised, the theory of change will hold in lieu of the assumptions as presented in the Figure 5 below:

“

“APEX Platform reform will deliver improved Programme/Project execution compliance by MDAs/LGs; improved... Oversight M&E, and Evidence Based Decision-Making at all critical levels”

Figure 5: The APEX Reform Theory of Change



Accordingly, the APEX Platform ToC will continuously be reviewed and refined in an ongoing process of analysis that will involve reflection on development interventions and learning from what works and does not work for the general improvement of Public Policy Management.

2.5.1 APEX Logic Model for Oversight M&E

Based on the ToC, this Logic Model represents how the various actors will perform their M&E roles. M&E in general is undertaken at all levels of the Programme Implementation Cycle but these differ in terms of purpose, scope and the responsible actors. Within the M&E Framework of the NDP III, the APEX Platform has been placed on top to ensure Managing for Results.

APEX Logic Model for Results Management

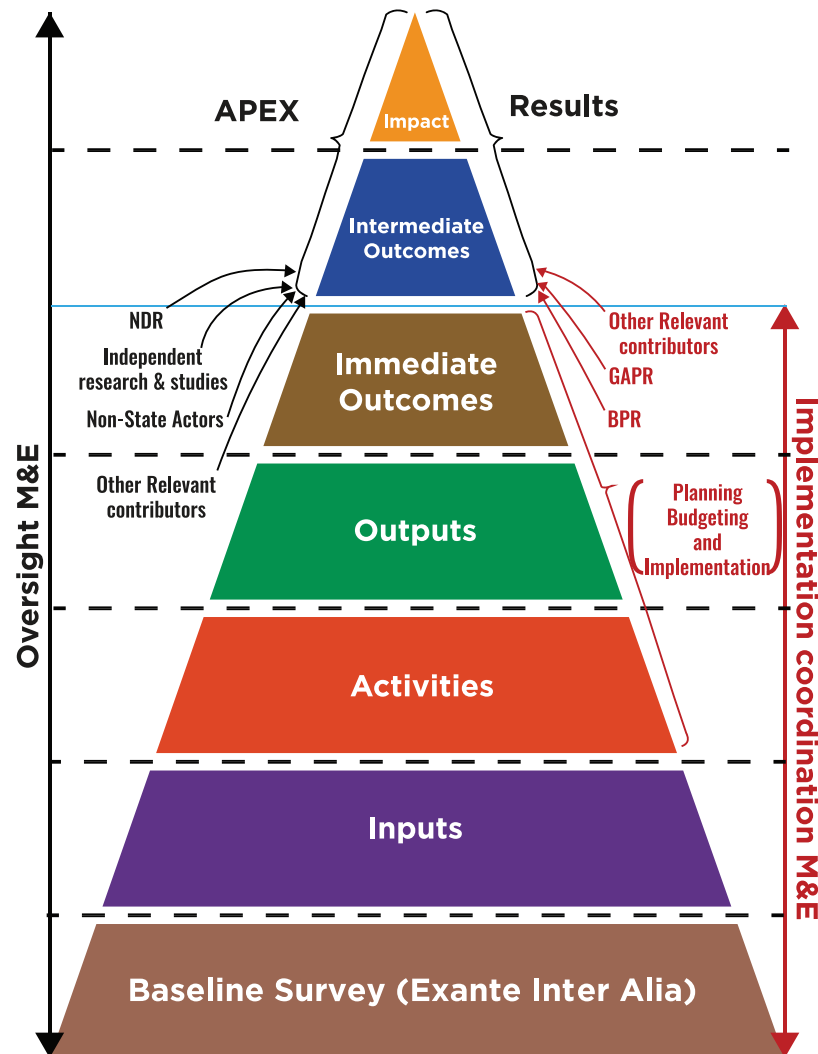


Figure 6: APEX Logic Model



Besides, the APEX Logic Model⁷ has been developed as a breakdown of logical components of a Policy/Programme/Project to illustrate the different levels of evaluation. The M&E undertaken falls into three categories:

- a) **Internal Implementation M&E**, which covers baseline/conceptualisation (ex-ante evaluations, inter alia), inputs, activities up to outputs. This is a responsibility of MDAs/LGs and is undertaken internally.
- b) **Implementation Coordination M&E**, which covers all from ex-ante evaluations to immediate outcomes, and this is the responsibility of the OPM.
- c) On the other hand, **Oversight M&E** undertakes analysis from the bottom (ex-ante evaluation) to results analysis (intermediate outcomes and impact), which is the Mandate of the Office of the President, hence the sphere of the APEX Platform. Lessons that emerge from good practices will inform the Uptake of results by Public Sector stakeholders.

This Model demonstrates that the APEX reform introduces no overlaps nor any duplications since the various actors in the Implementation of the NDP III undertake different evaluations, studies and research that inform the APEX Platform. Some of these reports include the annual National Development Report (NDR) by NPA, GAPR by the OPM, the annual Budget Performance Report (BPR) by MoFPED, the annual Auditor's Report, Research and Special Papers from Non-State Actors and Think Tanks (coordinated by OWC). They also include documents from other relevant contributors (e.g. Development Partners, Academia etc.), Research Papers and Sanctioned Studies which shall inform the APEX Platform.

2.6 Justification for the APEX Platform

Considering the problems affecting Public Policy Management and the Quality of Service Delivery, the Office of the President in the exercise of its Oversight role proposed and recommended to Cabinet the establishment of the APEX Platform for "**Uptake and Learning**" at the highest level of Government, among other reforms, to improve Medium-Term Development Plan Implementation, through an effective Project Investment and Management System (PIMS). This Platform provides a renewed impetus to harmonise the Oversight efforts to address the implementation challenges. This will be done through a high-level Public Policy Executive Oversight Forum that provides for Monitoring, Evaluation and Learning (MEL) to facilitate **evidence-based decision-making** for improved Public Policy Management. This Platform will also facilitate Public-Private Partnerships (PPPs), improve utilisation of results, and provide a channel for Non-State Actors to effectively contribute to Public Policy, Programme/Project implementation, and Oversight management. The Platform will further enhance Citizenry engagement and communication concerning National Development Targets/Goals and enlist feedback.

⁷Adapted from PSC 2008: *Basic Concepts in Monitoring and Evaluation 2008*, Republic of South Africa - Public Service Commission.

Generally, improving M&E systems in Uganda would help the Government to translate its Public Sector Reforms into greater results in transforming the Nation. Planning, budgeting and implementation would be strengthened with focus on poverty outcomes, impacts and goals rather on recording inputs, activities or immediate outputs.

Accordingly, **the Cabinet, under Minute 482 CT 2018, Decision 4 (g) of 5 November 2018**, approved and directed the Office of the President “to fast-track the implementation of a Public Investment Management Executive Oversight Platform (APEX Platform) for Uptake, Learning, and Executive Decision-Making” as an appropriate Public Policy Management reform. Thus, the Presidency initiated the APEX Platform as directed by Cabinet to strengthen its Oversight function. This reform was also adopted in the NDP III results frameworks as one of the major reforms for results management.

“

“All the studies and the history of Public Policy Management in Uganda has pointed to the weak Oversight function in the Presidency.”



Chapter Three:

APEX Platform Mission, Goal, Objectives And Expected Outcomes



This chapter presents the strategic alignment of the APEX Platform to both Institutional and Legal Frameworks. It also introduces the Oversight Mandate of the Presidency and highlights the Mission Statement, Goal, Objectives, Expected Outcomes and the Underlying Assumptions for Effective Operationalization of the APEX Platform.

3.1 The Oversight Mandate of the Presidency

The Presidency derives the Mandate for its Executive function from Articles 98, 99 and 108 of the Constitution of the Republic of Uganda, which spells out the functions and powers of H.E. the President and H.E. the Vice President. The Executive functions include the Political Executive (Head of State and Ministers) as well as the Civil Service or Bureaucracy (Non-Political Executive). The Political Executive performs the function of making Policies and ensuring that all the Laws are properly enforced by all the Departments of Government (K.K. Ghai)⁸. Accordingly, the Oversight function of the Presidency is performed under the following dockets: Ministry of Kampala Capital City and Metropolitan Affairs, Security (ISO and ESO), the Cabinet Secretariat, Economic Monitoring, Ethics and Integrity, the Manifesto Implementation Unit, the Institution of the RDCs, the Health Monitoring Unit and other Anti-Corruption Agencies (under State House) and OWC.

Whereas the above MDAs have varying Mandates, they all contribute to the overall **Vision** and **Mission** of the Presidency, which are, respectively: **“A Secure, Well-Governed and Developed Nation”** and **“To Provide Leadership in Public Policy Management”**. Accordingly, the Office of the President initiated the Public Policy Executive Oversight Forum (**APEX Platform**) for **Uptake, Learning, and Executive Decision-Making** to strengthen its Oversight function.

“

“The Mission of the Presidency is to provide Leadership in Public Policy Management and Good Governance for National Development.”

⁸K.K Ghai (Viewed on 24th August 2020): Executive, Functions and Types of Executive Article from the <https://www.yourarticlelibrary.com/political-science/Executive-definitions-functions-and-types-of-Executive/40360>

This new reform is poised to foster Transparency, Accountability and the Promotion of Good Governance Practices as well as address issues of Institutional Mandate overlaps and functional role ambiguities which have for long hampered effective Service Delivery to the Citizenry. The reform will significantly help in addressing some of the implementation challenges of NDP III by providing Evidence-Based Decisions informed by lessons from past performance. The APEX Platform, therefore, is a generic framework for managing for results at macro and micro levels through synthesised reports showing evidence of implementation of Policies/Programmes/Projects to aid Executive Decisions. The APEX Platform Framework can be used to address development challenges at the National, Regional, Institutional and at Local Government Levels.

3.2 Mission Statement

The Mission of the APEX Platform is: ***“To facilitate Accountability, Uptake and Learning for Effective Public Sector Policy Management”***.

3.3 Overall Goal of the APEX Platform

The Goal of the APEX Platform is: ***“Improved Oversight, Implementation, and Utilisation of Development Intervention Results”***.

3.4 Objectives of the APEX Platform

The objectives of the APEX Platform are:

- i. To strengthen the Oversight role of the Presidency in management for results.
- ii. To use evidence to inform the Strategic Executive Decisions for Policy reviews and to improve on implementation of Government Programmes/Projects.
- iii. To establish a mechanism for following-up on the implementation of Executive Decisions for improved Service Delivery.
- iv. To enhance Communication and Feedback to the Citizenry on the Status of Performance of Government Programmes.

“

The Mission of the APEX Platform is: To facilitate Accountability, Uptake and Learning of results for effective Public Sector Policy Management.”

3.5 Expected Outcomes

The following are the expected results (outcomes and impact) of the APEX Platform:

- i. Capacity for Oversight M&E function in the Presidency strengthened.
- ii. Functional synergies of M&E players in Government strengthened.
- iii. Executive Decision-Making based on evidence enhanced.
- iv. APEX reform integrated into the NDP M&E framework
- v. Visibility of Government and its interventions at local/Citizenry level.
- vi. A Civil Service that is responsive to the needs of the Citizens and the Private Sector.
- vii. General improvement in Service Delivery.
- viii. Citizen engagement and Utilization of Development Results for improved service delivery to the Citizenry strengthened.

3.6 Underlying Assumptions for Effective Operationalisation

A detailed risk analysis was undertaken on the implementation of the APEX Platform as a reform in Public Policy Management and mitigation measures were identified (See Summary of Risk Analysis in Annex 11). The effectiveness of the APEX Platform will therefore greatly depend on the following underlying assumptions:

- i. The OPM develops functional M&E Frameworks for MDAs and LGs.
- ii. Continuous political will and support for the reform to thrive.
- iii. Adequate pool of M&E resources throughout Government.
- iv. Availability of funding.
- v. Buy-in and commitment by key stakeholders.



Chapter Four: Implementation Arrangements



This chapter presents the APEX Platform Framework. It also describes the Institutional Mandates, Roles and Responsibilities of Key Players and the Reporting Frameworks. Finally, the chapter elaborates on the implementation process of the APEX Platform.

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...presents the Institutional Implementation arrangements of the APEX Platform and the inter-relationships of the other State and Non-State Actors.”

4.1 The APEX Platform Framework

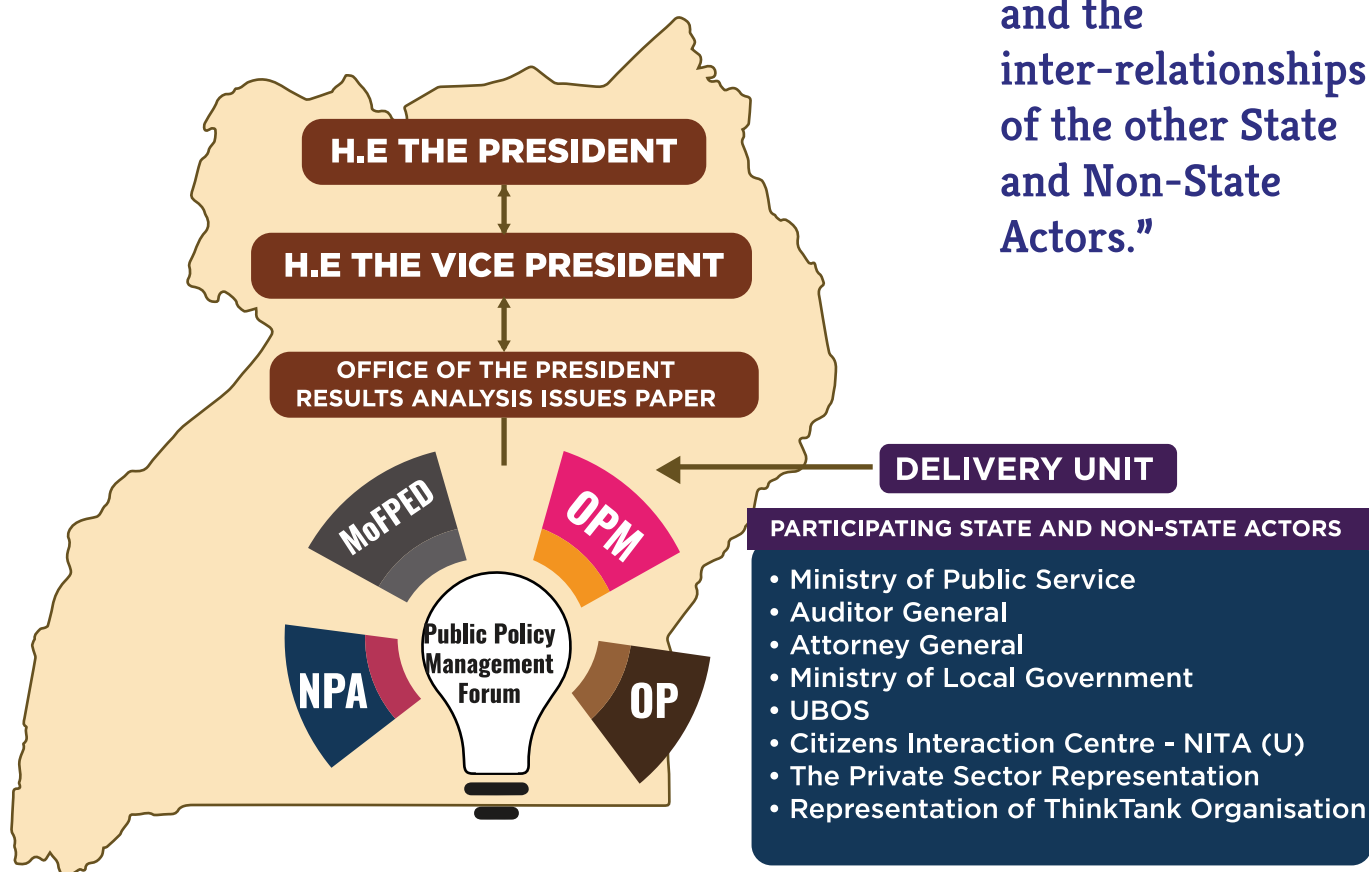


Figure 7: APEX Platform Framework (DSEMR, 2020)



Cabinet, under Minute 482 CT 2018, Decision 4 (g) of 5 November 2018, approved and directed the Office of the President “to fast-track the implementation of a Public Investment Management Executive Oversight Platform (**APEX Platform**) for **Uptake, Learning, and Executive Decision-Making**” as an appropriate Public Policy Management reform to be conducted bi-annually. This reform was adopted in NDP III⁹ as an annual forum as it builds capacity to comply with the Government Directive.

The APEX Platform shall be held bi-annually and chaired by H.E. the President. In the absence of the President, H.E. the Vice President shall chair the Forum. The following Institutions of Government shall form the core membership of the APEX Platform:

1. The Office of the President (OP) shall be the Convener of the Forum.
2. The Office of the Prime Minister (OPM) for the Coordination and Implementation of Government Programmes.
3. The Ministry of Finance Planning and Economic Development (MFPED) for Fiscal and Economic Policy Management.
4. The National Planning Authority (NPA) for National Development Goals.

Other Permanent Institutions to be co-opted into the Forum by virtue of their Mandates include the following;

- i. The Ministry of Public Service (MoPS).
- ii. The Ministry of Local Government (MoLG).
- iii. The Office of the Auditor General (OAG).
- iv. The Attorney General’s Office (AG).
- v. Uganda Bureau of Statistics (UBOS).
- vi. Representatives of the Private Sector and Think Tank Organisations (Non-State Actors¹⁰) coordinated by OWC.

The Chief Convener of the Forum shall be the Honourable Minister for the Presidency. The Secretariat of the APEX Platform shall be the Directorate of Socio-Economic Monitoring and Research under the Political Leadership of the Minister of State in charge of Economic Monitoring.

⁹NDP III 2020/21-2024/25, p. 244

¹⁰Civil society organisations (CSOs), Non-Governmental Organisations (NGOs), Academia and Research Institutions as well as the Media.

Although the Minister for the Presidency shall be the Chief Convener and Main Facilitator of the Business of the APEX Platform, it will be a primary function of the Minister of State in charge of Economic Monitoring to give a Feedback Report on the Status of Implementation of the APEX Platform Decisions.

4.2 Institutional Mandates, Roles and Responsibilities

This section presents the Constitutional Mandates, Roles and Responsibilities of the Core Institutions that are key to the APEX Platform Proceedings. They are presented in line with their various integral roles in the major four stages of the Public Policy Management. Table 4.1 below presents the Functions, Roles and Responsibilities of the Key Institutional Actors.

Table 4.1: Institutional Core Functions, Roles and Responsibilities

Institution	Core Functions, Roles and Responsibilities
The Presidency	<p>The Presidency shall:</p> <ul style="list-style-type: none"> ○ Domicile the APEX Platform Secretariat in the Office of the President under the Directorate of Socio-Economic Monitoring and Research "DSEMR". ○ Provide for State and Non-State Actors at the pre-APEX Platform level for information on the High Level Synthesized Reports. ○ Develop and manage a dashboard of repositories for reports relevant to management for results of interventions. ○ Commission independent evaluations/studies in line with the National Evaluation Agenda. ○ Commission meta-evaluations in areas of interest where the quality of the available v evaluation report(s) is not satisfactory. ○ Communicate decisions of the APEX Platform to implementing Agencies through Lead/Coordinating Institutions. ○ Follow up on the implementation status of APEX Platform decisions for subsequent reporting by the Minister of State in charge of Economic Monitoring. ○ Utilise development results from GAPR, BPR, NDR and other relevant reports for informed policy development.

¹¹Especially where they have not been provided by NPA or any other State or Non-State Actor



Office of the Prime Minister	<p>The OPM shall:</p> <ul style="list-style-type: none"> ○ Conduct analysis of GAPR cumulative reports for the information of the APEX Platform in the area of focus. ○ Analyze the Delivery Unit reports to extract relevant results information for the APEX Platform. ○ Assess the performance of Cluster Programmes aligned with Regional and Global Frameworks. ○ Commission performance, process, joint and special evaluations upon request from the APEX Platform Secretariat. ○ Give a Status Report of the Emergency Response Intervention Results as may be required by the APEX Platform Secretariat. ○ Develop capacity for MDAs and LGs in areas of Monitoring and Evaluation of the Implementation of Government Programmes/Projects. ○ Provide a Framework and Resources for the Evaluation of Results along the Project Life Cycle. ○ Participate in and inform the APEX Platform to provide technical insights on issues of Programme/Project Performance, Coordination and Implementation. ○ Provide any relevant information upon request to inform the APEX Platform.
Ministry of Finance, Planning and Economic Development	<p>The MoFPED shall:</p> <ul style="list-style-type: none"> ○ Participate in the Annual APEX Platform and provide technical insights on issues of Budget Performance, Compliance and Funds Utilisation for the Sector/Programme of Focus. ○ Develop a Framework for capacity-building along the Programme/Project Life Cycle. ○ Conduct Budget Monitoring and Evaluation of Interventions for the information of the APEX Platform. ○ Ensure that Integrated Bank of Projects (IBP) is regularly updated to inform analysis of results by key players to the APEX Platform and provide



	<p>information for the existing Programmes/Projects for at least 10 years.</p> <ul style="list-style-type: none"> ○ Provide any other relevant information upon request by the Secretariat to inform the APEX Platform.
National Planning Authority	<p>The NPA shall:</p> <ul style="list-style-type: none"> ○ Produce the National Development Report (NDR) and generate a High-Level Summary of Alignment of the Plan to the Budget and the Performance of the APEX Platform Annual Area of focus from the Planning and Implementation Perspective. ○ Provide/facilitate the APEX Platform process with a High-Level Summary of the NDP Alignment to Budget and Performance. ○ Commission Outcome and Impact Evaluations (results) for Sectors/Programmes of interest to the APEX Platform in line with the National Evaluation Agenda. ○ Develop and manage a Framework for Capacity-Building for varying skill sets along the Programme/Project Life Cycle. ○ Ensure that future National Development Plans at the mid-term level are fully integrated, i.e. should reconcile the top-down and bottom-up planning aspects between the Central and Local Governments. ○ Develop a Master Planning Framework for Urban Authorities and Infrastructural Developments to avoid wastage of Government Resources arising out of Uncoordinated Development Projects. ○ Commission Formative Evaluations for Sector/Programme-Based Interventions as well as for LGs. ○ Conduct the Mid-term and Annual Performance Evaluations for Ending and Proceeding NDPs. ○ Participate in the Annual APEX Platform and provide technical insights on issues of Policy, Planning, Compliance, Capacity-Building and Performance of the NDP and report on the progress of attainment of the aspirations of Vision 2040.



	<ul style="list-style-type: none"> ○ Provide any other relevant information upon request to inform the APEX Platform.
Ministry of Public Service	<p>The MoPS shall:</p> <ul style="list-style-type: none"> ○ Ensure execution of Standing Orders, including Performance Contracts and Client Charter Enforcement. ○ Institute a Framework for Rewards and Sanctions within the Public Service as a panacea for reform within the Public Service. ○ Provide advice to the deliberations of the APEX Platform on the best fit for capacity-building of varying skill sets required for effective implementation of Government Interventions. ○ Participate in the Annual APEX Platform and provide technical insights on issues of Mandates and functional responsibilities as mitigation for functional duplications and role ambiguities. ○ Provide a Framework for following up human resources-related issues emerging out of the APEX Platform deliberations. ○ Provide any other relevant information upon request to inform the APEX Platform.
Office of the Auditor General	<p>The OAG shall:</p> <ul style="list-style-type: none"> ○ Provide Value for Money Audit Reports and the Auditor General's opinion on the Performance of Development Interventions. ○ Participate in the Annual APEX Platform and provide technical insights on Programme results-related issues. ○ Provide any other relevant information upon request to inform the APEX Platform.
Attorney General	<p>The AG shall:</p> <ul style="list-style-type: none"> ○ Participate in the APEX Platform and respond to issues requiring Legal Clarity to inform Executive Decisions to be taken. ○ Provide any other relevant information upon request to inform the APEX Platform.



UBOS	<p>UBOS shall:</p> <ul style="list-style-type: none"> ○ Participate in the APEX Platform and respond to issues of data clarity concerning the Sector/ Programme in focus to aid the deliberations. ○ Provide any other relevant information upon request to inform the APEX Platform.
Ministry of Local Government	<p>The MoLGs shall:</p> <ul style="list-style-type: none"> ○ Participate in the APEX Platform and respond to issues of Service Delivery of LGs generally. ○ Produce a National Synthesis Report on the Performance of LGs to inform the APEX Platform deliberations on Programme areas of interest within the Framework provided by the OPM. ○ Provide any other relevant information upon request to inform the APEX Platform.
Operation Wealth Creation	<p>The OWC shall:</p> <ul style="list-style-type: none"> ○ Produce reports on special interventions to inform the APEX Platform. ○ Participate in the relevant pre-APEX Fora. ○ Coordinate Private Sector and Non-State Actors and generate reports to inform the APEX Platform. ○ Use its existing infrastructure to champion the Parish Model for results at Community Level. ○ Provide any other relevant information upon request to inform the APEX Platform.
Non-State Actors	<p>They shall:</p> <ul style="list-style-type: none"> ○ Initiate research studies, volunteer information and seek collaborations that will enhance evidence that supports the APEX Platform. ○ Participate in the relevant pre-APEX on invitation. ○ Provide any relevant information upon request to inform the pre-APEX, APEX Platform and post-APEX activities.

4.3 Implementation Process of the APEX Platform

This section presents the implementation process of the APEX Platform. It details the launch process, the description of pre-APEX engagements and their frequency, as well as the APEX and post-APEX Platform activities. In the interim, the Office of the President shall extend the existing terms of engagement of the Consultants commissioned to facilitate the process of implementation and development of the necessary frameworks.

4.3.1 Official Launch

The APEX Platform shall be launched by H.E. the President at an event that will kick-start this reform. Some of the launch activities shall include the launch of the manual, production and dissemination of publicity materials, media engagements (including social media), among others, and Nation-wide sensitization campaign and popularisation of the APEX reform.

4.3.2 Frequency of APEX Meetings

In the interim, the APEX shall be an annual event but will eventually be held bi-annually as approved by the Cabinet. Attendance of the APEX Platform meeting shall be by invitation by the Convener based on the relevance of the topical issue to be discussed.

4.3.3 Pre-APEX Activities

The pre-APEX shall involve a sequence of activities that include:

- i. **Agenda setting for the APEX Platform:** The APEX Secretariat shall on an annual basis convene a planning meeting of the four core stakeholders to set the agenda, annual activity calendar and rules of engagement.
- ii. **Technical reviews of Performance of NDP Programmes/Projects:** Based on analysis of available information by the Office of the President, among others, issues to consider for the subsequent APEX Platform shall be compiled and submitted to the core members of the APEX Platform for consideration.
- iii. **Commissioning Independent Studies** on issue(s) identified in (i) and (ii) above, in connection with which studies shall be undertaken directly by the APEX Secretariat or through collaborations with independent research Organisations, Academia and Experts.

- iv. Generating Issue Papers:** The technical experts of the APEX Secretariat shall conduct reviews and analyse the reports generated in (ii) and (iii) above using a checklist developed and provided in Annexes 3, 4 and 5. The checklist guides users on arriving at key issues (within a Programme/Project under review) which will be compiled for discussion at pre-APEX dialogues. The issues paper shall be supported by evidence. In addition, each paper shall document lessons (success/failure drivers) learnt along the Project Life Cycle and recommendations. A report is not good enough; people need to process through sharing, questioning and reflection involving stakeholders. As such, at pre-APEX level, validation and clarifications on findings shall be sought from relevant MDAs/LGs to respond to, and inform the preparation of issue paper(s).
- v. Preparation of a High-Level Synthesised Paper:** The APEX Platform Secretariat shall synthesise the various Issue Papers generated from (iv) above and compile a High-Level Synthesised Paper/Report using the checklists in Annexes 6 and 7. This is the paper that will be presented at the APEX Platform Meeting.

4.3.4 APEX Platform Meeting

The APEX Platform meeting shall be organised and scheduled by the Presidency. The Convener shall be the Office of the President. The meeting shall be chaired by H.E. the President. In the absence of the President, H.E. the Vice President shall chair the Forum. The Minister of the Presidency will present an Oversight Report in the form of the **“High-Level Synthesised Issues Paper”** on the area of focus. H.E. the President shall thereafter respond to the issues raised and offer guidance on Executive Decisions. The Secretariat shall document the Executive Decisions and Directives emerging from the Meeting.

4.3.4.1 Revision following the Apex Forum on 13th July 2022

- i. In the absence of H.E the President or the Vice President, the Prime Minister shall chair the Apex Forum.
- ii. The Head of Public Service and Secretary to Cabinet shall be the Chairperson of the Steering Committee of the APEX Platform.
- iii. The Secretary – Office of the President shall Chair the Technical Working Group of the Secretariat.
- iv. The APEX Platform Steering Committee shall review and confirm the Recommendations after the Pre-Apex meetings before submitting the High Level Results Report to the Executive.

- v. The Ministry of Public Service and the Ministry of Local Government shall form part of the 4 core APEX Platform Institutions (i.e Office of the President, Office of the Prime Minister, Ministry of Finance, Planning and Economic Development, and the National Planning Authority) due to their central roles they play in ensuring effective service delivery.

4.3.5 Post-APEX Activities

The post-APEX activities shall include the following:

- i. The Office of the President shall communicate Executive Decisions that emanated from the APEX Platform Meeting to the relevant Stakeholders and MDAs.
- ii. The APEX Platform Secretariat shall follow up on the implementation of the Executive Decisions and report to the APEX Platform on the progress.
- iii. Undertaking Stakeholder and Citizenry Engagement on APEX Platform Meeting Outcomes as appropriate.

4.3.6 Rewards and Sanctions

The Ministry of Public Service (MoPS) developed a revised Reward and Sanctions Framework, 2019, whose overall goal is to strengthen Organisational as well as Employee Performance, Promote Accountability and ultimately Improve Productivity in the Public Service. Based on the Executive Decision of the APEX Platform, the APEX Secretariat shall accordingly document and forward the Decisions related to Rewards or Sanctions to the MoPS for follow-up in line with the above Framework. Accordingly, the MoPS shall be required to report on actions taken on the Executive Decisions to the subsequent APEX Platform Fora.



Chapter Five: Communication and Citizenry Engagement



This chapter describes the key elements of the Communication and Citizenry Engagement Framework for the APEX Platform and demonstrates its development process. The APEX Platform Secretariat shall develop a Communication Strategy from time to time that responds to the existing dynamics. The strategy shall seek to communicate APEX Platform activities to targeted audiences. It shall, among other things, ensure that the utilisation of results and learning are embedded in the design.

The APEX Platform Secretariat will utilise the Social and Behaviour Change Communication (SBCC) approaches in the design and implementation of the Communication and Citizenry Engagement Strategy for the APEX Platform Agenda. The strategy design process shall seek to change the social conditions and individual behaviours (mind-set change) of the targeted audience. The strategies and techniques in Communication and Stakeholder/Citizenry Engagement shall include:

a) Sensitisation within State and Non-State Actors

- Raising awareness about Government Programme/pro-results and impact, hence gaining Media attention and support for APEX Platform Processes.
- Informing decision-makers and key stakeholders (State and Non-State) of the APEX Platform to adopt Result Monitoring, Reporting and Learning Frameworks developed under the APEX Platform.

“

“The strategy design process shall seek to change the social conditions and individual behaviour (mind-set change) of the targeted audience.”

b) Embedding Utilisation of Results and Learning

Utilisation of results and learning shall be embedded in the APEX Platform Communication Processes and at all levels of the Project Cycle. The APEX Platform Communication Strategy shall support Learning and Uptake of results by ensuring that results are understood, believed, internalised and used to influence Policy development. The process of result analysis will be based on available baseline and tracer studies available to aid the process of measuring the level of development based on specific interventions.

The Secretariat shall thus undertake a Knowledge, Attitudes and Practices (KAP) analysis in order to develop appropriate tailor-made Communication Tools. In addition, the strategy will develop processes that are capable of enhancing Learning and Uptake of lessons from the APEX Platform (e.g. disseminating relevant research-based/evidence-based result reports through well-defined strategies and the use of an appropriate mix of interpersonal, group and mass media channels). These channels shall also be used to solicit feedback from the Citizenry on the level of responsiveness of Government to Service Delivery needs.

c) Social and Community Mobilisation¹²

This will involve enlisting the participation of Stakeholders including Institutions of Higher Learning, the APEX Platform Secretariat, Research Institutions, Academia, CSO, the Private Sector and the Public. This approach will involve the use of techniques such as Round Table Discussions, Symposia and Dissemination of Information using Interactive Media, Social Media and other relevant Media (e.g. Radio/TV Talk Shows and the Print Media).

The APEX Platform Secretariat shall in the initial phase undertake activities to develop a Participatory Communication and Citizenry Engagement Strategy. For details on the Communications Strategy, refer to Annex 10.

¹²Civil Social Mobilisation is a process of bringing together all practical inter-sectoral, social partners to determine felt-needs and to raise awareness of, and the demand for, a particular development objective.



Chapter Six: Monitoring, Evaluation And Learning (MEL) Framework



This chapter describes the framework for Monitoring, Evaluation, Learning and Reporting for the APEX Platform. The NDP III elaborates the M&E Strategy to implement the Plan. The Plan places the APEX Platform through the Office of the President (OP) at the Top-Most Level for NDP III Results Management. The APEX Platform shall thus provide a mechanism through which State and Non-State Actors will contribute to the Oversight Implementation Architecture of Public Policy Management.

6.1 Monitoring, Evaluation and Learning (MEL)

The APEX Platform shall have its own Monitoring, Evaluation and Learning Framework aligned to the NDP III M&E Framework and National Evaluation Agenda. It should be noted that in Results-Based Monitoring, Evaluation and Learning (MEL), the roles are complementary, as summarised in Annex 12. Consequently, the APEX Platform Secretariat shall develop a mechanism and sequence of activities that shall guarantee the quality of information, analysis and reporting mechanisms (Knowledge Ecosystem Management). The lessons learnt at this level shall be documented and communicated as per the APEX Platform Communication Strategy.

APEX Platform MEL activities shall be continuous and sequenced in such a way that they respond to the requirements of the Pre-APEX, APEX and Post-APEX Results Management. Monitoring shall follow an annual Work Plan managed by the Office of the President for the running of the APEX Platform. In addition, there shall be internal processes within the Secretariat of the APEX Platform for monitoring and ensuring efficiency in the delivery of its work. There will be internal work plans to report on the progress and prospective activities undertaken in the implementation of the APEX Platform.

Below is the M&E Institutional Architecture that positions the APEX Platform and its reporting relationship as elaborated in NDP III.¹³

“

“...describes the framework for Monitoring, Evaluation, and Learning for the APEX Platform Secretariat.”

¹³Adopted from NDP III Results Framework (Pg. 243)

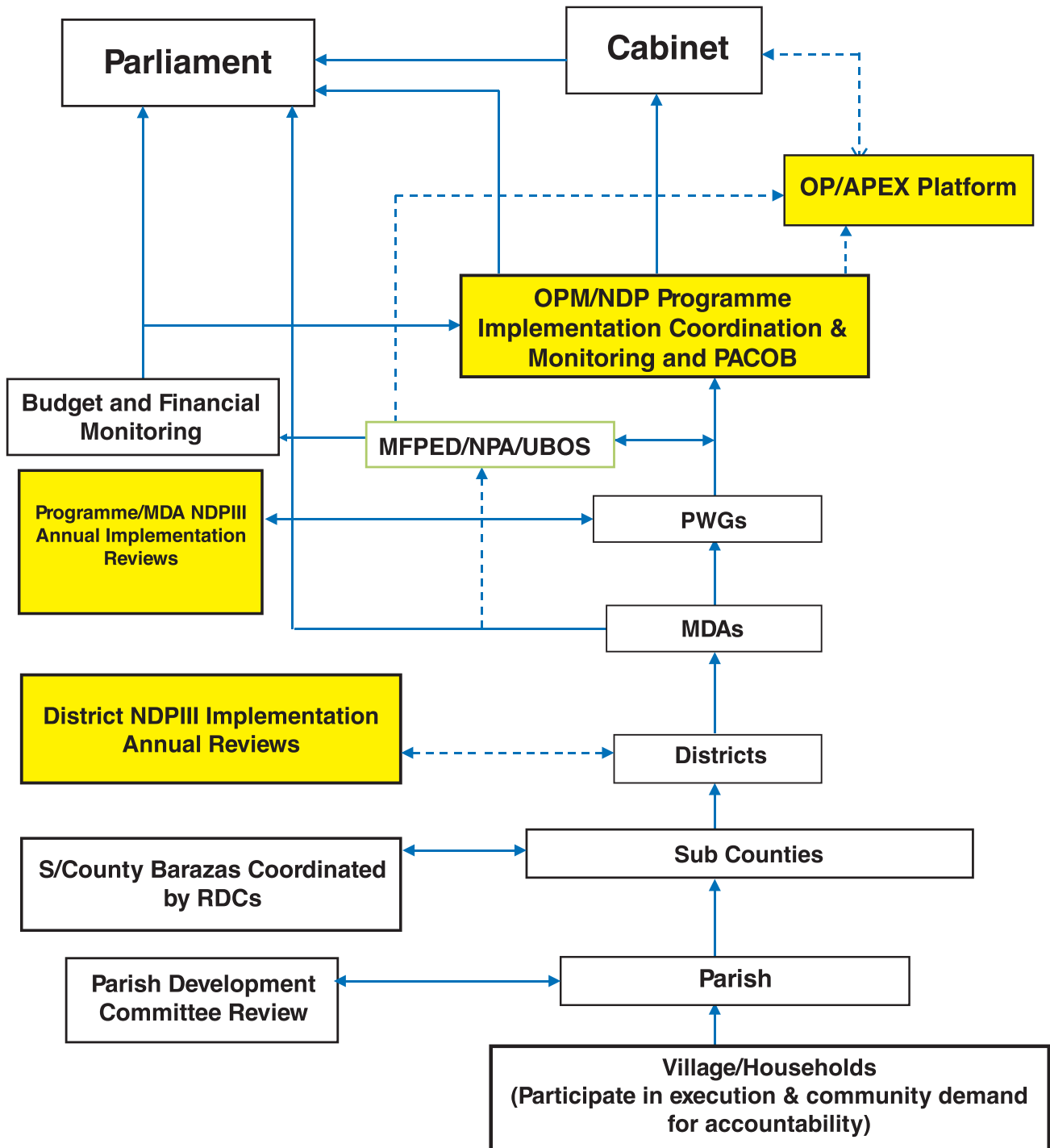


Figure 8: M&E Institutional Architecture

NOTE:

- The APEX Platform is an Executive Decision-Making body whose decisions shall be communicated accordingly by the Secretariat as directed by H.E. the President.
- The APEX Platform shall address issues referred to it by Cabinet and report back by way of a Cabinet Information Paper.

6.2 Evaluation

In the first year of the APEX Platform, it shall commission baseline survey/studies for all the 18 Programmes of the NDP III¹⁴. The APEX Platform Secretariat shall conduct periodical reviews and institute a mechanism for reporting. This shall be managed through the established Secretariat. Like any other Government Institution, the APEX Secretariat shall be expected to Submit and Publish Annual Reports and shall be subjected to Internal and External Audits of its Activities.

6.3 Learning and Uptake

The APEX Platform in itself is a Learning Framework for Public Policy Management. As such, APEX Platform has conceptualised mechanisms for Monitoring, Evaluation and Learning (MEL) of failure and uptake of success drivers as a continuous process along the Public Policy/Programme/Project Life Cycle. As demonstrated in Figure 9 below, the MEL Cycle¹⁵ involves processes to define, measure, learn and improve based on findings and insights.

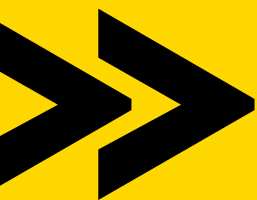
The Secretariat will support the **Learning** and **Uptake** through the above processes, document lessons learnt, establish a mechanism for follow-up on Executive Decisions, and reporting back on actions taken. This will occur at three levels: first, at Pre-APEX meetings and dialogues; second, at the APEX level; and third, at the Post-APEX level. In addition, the Secretariat shall collaborate with Think Tanks for purposes of Policy dialogues for learning and sharing of results, validations and lessons to stimulate responsiveness and change in the behaviour of actors and accountability for results to promote service consciousness in Public Service. The APEX Platform shall keep a repository of best practices as informed by the result analysis conducted to facilitate/inform the design of successor interventions.



Fig 9: APEX Platform Planning, Monitoring, Evaluation and Learning/Uptake Cycle

¹⁴Refer to the third National Development Plan (2020/21 – 2024/25)

¹⁵Adopted from Using Monitoring and Evaluation for Learning. Posted on 26 May 2017 | Hot Topics, MONITORING, EVALUATION AND LEARNING (MEL) FRAMEWORK

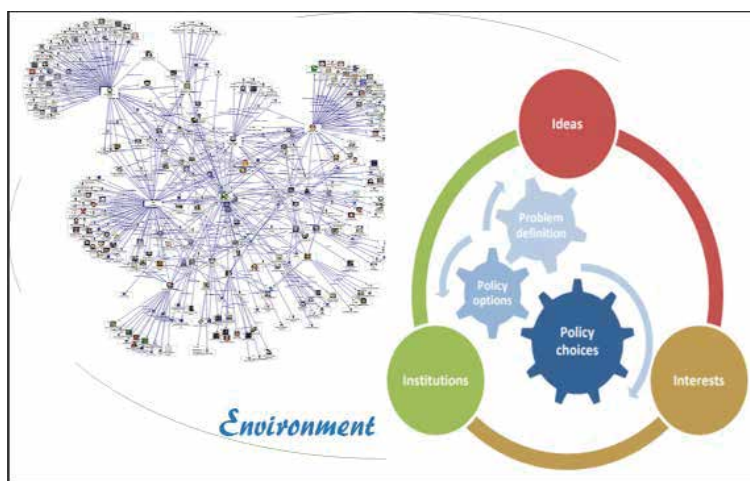


Annexes



Annex 1: Environment (Knowledge Ecosystem)

- Every Policy Decision that comes to the APEX Platform has a multitude of and disperse actors.
- Each of the actors presents different ideas and represents diverse interests from several institutional arrangements.
- Besides, the different actors are operating in an environment constituting State and Non-State Actors that diversely influence Policy, Planning, Implementation of Programmes/Projects, and results analysis.



*Figure 10: ACRES Knowledge Ecosystem Model
(Adapted from the 3i framework, NCCHPP, 2014 and SAN, 2015)*

Annex 2: Managing for Sustainable Development Impact Framework

The APEX Platform assumes that convergence of the above environmental factors is in place and supportive to the Policy development processes.

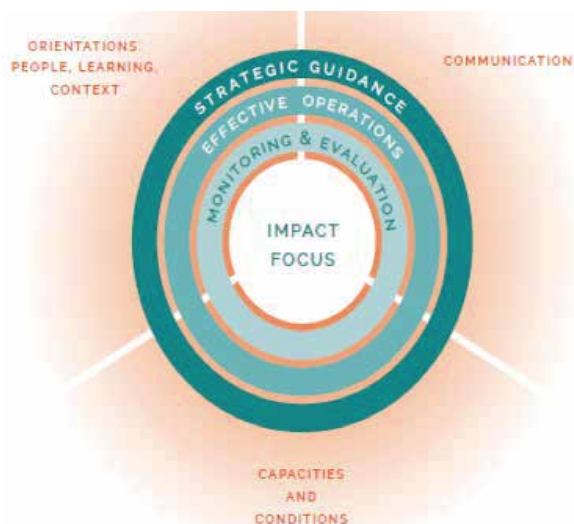


Figure 11: Managing for Sustainable Development Impact Framework

On the other hand, to manage sustainability, one needs to focus on the impact of interventions. This is dependent on the effectiveness of the M&E Framework, Operations Modalities, and Strategic Guidance (in the form of National Development Frameworks/Strategic Plans). Beyond that, there are other factors in the environment that affect planning, Programme/Project implementation, and results analysis. These include the availability of capabilities and favourable conditions, effective Communications and Stakeholder Engagement Modalities and Orientation/People Learning Modalities (Cecile Kusters, 2017).



Annex 3: Checklist for Generating Results Reports

Project Phase	Dimension	Sources				
		MDA	MoFPED	NPA	OPM	NSA
Diagnosis & Design						
	• Request for Proposal/Directives	x	x			
	• Concept Note	x				
	• Proposal and Log Frame	x	x			
	• Baseline Document (needs assessment)	x				
	• Pre-feasibility / feasibility study • EIA, RIA, SEAs etc.	x				
	• Proposal Appraisal Documents (Development Committee Approval)	x				
	• Project Management Plan	x				
	• Project Operational Manuals	x				
	• Operation and Maintenance Plan					
Budgeting						
	• Approved Proposal and Budget	x	IBP x			
Implementation						
	• Support Studies (before/after)	x	x	x	x	x
	• Project-specific Monitoring Reports	x				



	• Quarterly Performance Reports (Performance Budgeting System–PBS)	x	x		x	
	• Budget Performance Monitoring Reports (by BMAU)	x	x			
	• Annual Programme Review Reports (by the Programmes)	x			x	
	• Government Annual Performance Report (GAPR)	x			x	
	• Audit Reports (OAG)	x	x			
	• Value for Money Audit (Special Audit)	x	x			
Results						
	• Baseline Reports	x				
	• Independent Study Reports		x	x	x	x
	• Mid-term Evaluation Reports	x	x	x	x	x
	• End of Programme/ Project Evaluation Reports	x	x	x	x	x
	• Ex-post Evaluation Reports	x	x	x	x	x
	• Value for Money Audit Reports	x	x			x
	• Auditor General's Reports		x			
	• Survey Reports	UBOS				x

Annex 4: Checklist for Processing Results Reports

Project Phase	Dimension	Processing
Diagnosis & Design	<ul style="list-style-type: none"> Request for Proposal/ Directives 	<ul style="list-style-type: none"> Availability of documents Theory of change for Programmes/ Projects Baseline information/studies (how it relates to the problem situation) Stakeholder involvement in problem identification Evidence to justify the problem statement (what the problem is, its causes, and intervention options) Compliance with National Planning Guidelines. Compliance with ratified International Protocols. Alignment to the NDP, SDGs, EAC and other protocols Evidence of approval of the concept note/proposal Completeness of the concept note/proposal (problem statement, justification, log frame, indicators, pre-feasibility/feasibility study EIA, RIA, SEAs) Compliance with gender quality and equity. Capacity-building (for the entire diagnosis and conceptualisation — for what is bankable)
	Concept paper	
	<ul style="list-style-type: none"> Problem statement (needs assessment) Justification with linkages to NDP and other ratifications 	
	Log frame and indicators	
Planning and Financing	<ul style="list-style-type: none"> Baseline Multi-year targets (5 years) Proposal appraisal documents 	<ul style="list-style-type: none"> Approved proposal and budget Programme budget aligned to the MTEF and the NDP The variance between approved PIP vs. actual release Performance with respect to counterpart funding Cost related to loan approvals
	<ul style="list-style-type: none"> Design of the proposed option vs. budget Budget vs. activities Theory of Change for successor Projects Budget performance 	



		<ul style="list-style-type: none"> Capacity-building for appraisal, analysis and funding design (for what is fundable)
Implementation	<ul style="list-style-type: none"> Refined work plan 	<ul style="list-style-type: none"> Establishing the time and cost overruns (based on analysis of the loan effective date and Project commencement and completion) Adherence to approved Programme/Project design Availability of M&E reports Adherence to the studies and review findings Adherence to Standard Operating Procedures Adoption of recommendations from study findings Responsiveness to performance report findings Responsiveness to audit findings Capacity-building for implementation
	<ul style="list-style-type: none"> Support studies (before /after) 	
	<ul style="list-style-type: none"> M&E framework 	
	<ul style="list-style-type: none"> Operational Manuals 	
	<ul style="list-style-type: none"> Performance Reports 	
	<ul style="list-style-type: none"> Audit Reports Performance validation 	
Results	<ul style="list-style-type: none"> Baseline Mid-term evaluation and other intermediate levels Benchmarking and best practices 	<ul style="list-style-type: none"> Statement of results in line with the design Evidence of achievement of planned results Cost of achieving results vs. budgeted (effectiveness and efficiency) Learning documented and adopted Unintended results Evidence of beneficiary engagement and response regarding results identified and document gaps



Annex 5: Format of Issues Paper

1. Description of the Programme/Project

- Situation analysis
- Objective
- Scope and beneficiaries
- Intended results
- Implementers and Partners

2. Methodology

- Validation processes

3. Findings

Specific findings

- Effectiveness (successes and failures)
- Relevance (to Govt. priorities and alignment to the Manifesto, Presidential Directives, International and Regional Protocols)

Other general findings:

- General findings (including comparative studies)

4. Learning

- Diagnosis/Conceptualization
- Planning/Design and Budgeting
- Implementation
- Results

5. Considered Recommendations



Annex 6: Layout of a Synthesised Issues Papers Report

1. Background of the Synthesised Issues Paper

- Introduction and relevance (linked to National Goals, SDG, NDP, Manifesto)
- Objective
- Scope and Beneficiaries
- Intended results
- Implementers and Partners (including environmental/knowledge ecosystem analysis in the Project)

2. Description of the Programme/Project whose Issues Papers are Synthesised

3. Methodology

- Review of Programme/Project documents
- Utilisation of the Checklist
- Drafted Issues Papers
- Validation processes of the Issues Papers
- Consolidation into a High-Level Synthesis

4. Findings

- Assessment of the General Diagnosis/Conceptualization
 - » Request for Proposal/Directives
 - » Concept Paper
 - » Problem Statement (Needs Assessment)
 - » Justification with linkages to LTEF, NDP and other ratifications
 - » Log frame and Indicators
 - » Baseline
 - » Multi-year targets (5 years)
 - » Proposal Appraisal Documents

Learning:

- Design, Planning and Financing
(In case of change of design, what caused it?)
 - » Design of the proposed option vs. budget.
 - » Budget vs. activities (budget performance)
 - » Theory of Change for successor Projects
 - » The ratio of administration costs vs. actual project cost

Learning:

- Implementation (look more at documentation, process evaluation looking at structure and reality of what is happening)
 - » Refined Work plan
 - » Support Studies (before /after)
 - » M&E Framework
 - » Operational Manuals
 - » Performance Reports
 - » Audit Reports

Lessons: *(include contextual factors)*

- Results
 - » Statement of results in line with the design
 - » Evidence of achievement of planned results
 - » Cost of achieving results vs. budgeted (effectiveness and efficiency)
 - » Learning documented and adopted
 - » Unintended results
 - » Evidence of beneficiary engagement and response regarding results (performance validation – involve CSOs etc.)
 - » Identify and document gaps

Lessons:

5. Considered recommendations at the following levels:

- » Diagnosis/Conceptualization
- » Design, Planning and Financing
- » Implementation
- » Impact/Stakeholder Engagement
- » Oversight

6. Conclusions and the Way Forward

Annex 7: Structure of the High-Level Synthesized Report

Overview

1. Key findings
2. Key Recommendations
3. Background of the Synthesised Issues Paper
4. Description of the Programme/Project whose Issues Papers are synthesised
5. Methodology
6. Findings (key messages, findings, and recommendations)
 - a. Assessment of the general diagnosis/conceptualization
 - b. Design, Planning and Financing
 - c. Implementation
 - d. Results
 - e. Challenges
5. Considered Recommendations
6. Conclusions and the Way Forward

Annex 8: APEX Platform Work Plan

PROCESS	DETAIL	Timelines (Years)				
		Base Year	Yr. 2	Yr.3	Yr.4	Yr.5
Focus Area	Selection based on Programme structure as per NDP priority Projects Ascertaining the availability of Outcome-Impact Reports by NPA					
	Design activities for budgeting purposes					
	Prioritising activities based on budget availability					
Collaborations & Partnerships	MoUs contribute to APEX Platform process Formal requests to Partners/Collaborators to undertake agreed support activities Dialogues to discuss findings and reports from the State and NSA to inform validation, work plans and identification issue					
Independent Studies	Assemble available Outcome-Impact Reports by the State and NSA					
	Commission Independent Studies on outcome/impact					
	Conduct monitoring and inspections relevant to area of focus					
Comparative Studies	(Including International Studies by WB, IMF etc.)					
Draft Oversight Issues Paper (Report)	Analysis of Reports to extract Issues as per objectives of the APEX Platform					
	Clustered Stakeholders' Validation Meetings Monitoring Camp to validate Issues extracted to LGs					

PROCESS	DETAIL	Timelines (Years)				
		Base Year	Yr. 2	Yr.3	Yr.4	Yr.5
High-Level Validation Meeting	Compile a draft Issues Report					
	Set dates and dispatch invitations					
	Hold a General Meeting to validate the Issues					
	Draft Report on Key Issues and Considered Recommendations for the APEX Platform					
Final Executive Issues Paper for the APEX Platform	Submit a final Executive Paper to Top Management of the Presidency					
	Secure the meeting date with H.E. the President					
	APEX Platform Programme					
	Invitations by MoP to Key Stakeholders					
APEX Platform	Press engagement on APEX Platform					
	Hold APEX Platform chaired by H.E the President					
	Cabinet Paper on Executive Decisions					
	MoP Communication on Executive Decisions/Directives					
Post-APEX Follow-ups	MoP's Public Statement of Proceedings of the APEX Platform					
	Status Report on the Implementation of Decisions					
	APEX Platform Review and Learning					
	APEX Platform Performance Report (s)					
	Post-Review Report to inform Planning for future APEX Platform	Of the subsequent FY				

Annex 9: APEX Platform Logical Framework

	Result	Indicator	Means of Verification	Risks/Assumptions
Goal	Improved Oversight, Implementation and Utilisation of Development Intervention Results	<ol style="list-style-type: none"> 1. % of well-managed Public Programmes/ Projects 2. % of Programmes/Projects that deliver planned/intended results 	<ul style="list-style-type: none"> • Programme/ Project Evaluation Reports • NDRs 	N/A. We contribute to the goal
Outcomes	Improved Programme/ Project Execution Compliance by MDAs/ LGs.	<ol style="list-style-type: none"> 1. % of Programmes/Projects meeting all execution compliance OPM Frameworks¹⁶ (disaggregated by requirement) 	<ul style="list-style-type: none"> • MDAs/LGs (Programme and Project Implementation Units) 	The OPM has developed the Reporting Frameworks for MDAs/LGs
	Improved Programme/ Project Oversight M&E	<ol style="list-style-type: none"> 1. % of timely Oversight Meetings (disaggregated by level¹⁷) 2. % of Oversight Recommendations that are implemented in a timely manner 3. % of Manifesto Commitments implemented 4. % of Programmes/Projects whose Organisations/Employees are rewarded / sanctioned as a result of Oversight Recommendations 	<ul style="list-style-type: none"> • Directorate of Socio-Economic Monitoring and Research (Office of the President) Report • Manifesto Secretariat Report • MoPS Reports on Rewards and Sanctions 	<p>There is political will for the Reform</p> <p>Positive attitudes of Stakeholders towards the Reform</p> <p>MoPS Rewards and Sanction Committee is functional</p>
	Evidence-Based Decision-making at all Critical Levels of Decision-Making	<ol style="list-style-type: none"> 1. % of new Policy Reviews that are as a result of evidence deduced 2. % of corrections/modifications of Policy/Programmes that are a result of evidence 	<ul style="list-style-type: none"> • MDAs/LGs (Programme and Project Implementation Units) 	Buy-in and commitment by all Stakeholders

¹⁶ Diagnosis, Planning, Design, Implementing and Results Analysis

¹⁷Programme/Technical Working Group, Panel of Experts, pre-APEX, APEX, and post-APEX

	Result	Indicator	Means of Verification	Risks/Assumptions
		3. % of functioning Partnerships ¹⁸ and Collaborations for evidence gathering	<ul style="list-style-type: none"> DSEMR Progress Reports and Issue Papers Collaborative Arrangements and MoUs cleared by ISO & Solicitor General 	
Intermediate Outcomes	M&E Capacity Built	1. No. of staff trained, re-trained in M&E related area (disaggregated by Level, Sector) 2. No. of staff trained, re-trained in Oversight-related area (disaggregate by Level) 3. % of RDCs and D/RDCs trained in Oversight M&E 4. % of DISOs skilled in Oversight M&E	<ul style="list-style-type: none"> MDAs/LGs (Programme and Project Implementation Reports) APEX Secretariat Reports 	Adequate pool of M&E resources in Government, i.e. in MDAs/LGs Availability of funding (staffing, equipment, software and supporting activities)
	Efficient Oversight M&E Structures established at all critical levels of Implementation	1. No. of M&E Reporting Structures strengthened (disaggregated by Level, Sector) 2. % of Oversight M&E Structures that are fully staffed with Professionals (disaggregated by Level, Sector) 3. % of M&E Structures with relevant Mandate	<ul style="list-style-type: none"> Reports by MDAs/LGs (Programme and Project Implementation) 	Availability of funding (staffing, equipment, software and supporting activities) Minimum M&E capacity exists at all Levels

¹⁸ Partnerships and Collaborations with both State and Non-State Actors that support evidence gathering for results

	Result	Indicator	Means of Verification	Risks/Assumptions
	Effective and Integrated M&E Frameworks for the APEX Platform	1. Availability of a fully ¹⁹ effective and Integrated M&E Dashboard for APEX Platform 2. % of key M&E Frameworks/Databases that are integrated into the APEX M&E Dashboard	<ul style="list-style-type: none">• Report(s) on Integrated M&E Dashboard at DSEMR• Integrated M&E Dashboard installed in DSEMR	Key critical MADs/LGs have functional update M&E Frameworks Buy-in and commitment by all key Stakeholders Availability of funding
Outputs	Will be detailed in			
Activities	Programme document			
Inputs				

¹⁹ This is a scale indicator (1 to 10), with 1 depicting no integration and 10 fully integrated Frameworks.

Annex 10: Communication and Stakeholder/Citizenry Engagement Matrix

Audience	Desired Behaviour ²⁰	Take-Away Message ²¹	Supporting Data ²²	Channels of Communication ²³	Monitoring, Evaluation & Learning ²⁴
Primary Audience The main audience/beneficiary at whom information is targeted) <ul style="list-style-type: none"> MDA Programme/Project Planners & Managers (technocrats) 	Adoption of APEX Platform reforms by aligning Results-Based Monitoring (RBM) and learning across the Project Cycle	Efficiency gains accrue from utilising APEX Platform Reform	Tools used across the Programme/Project Cycle (Concepts, Proposals, Economic Modelling, Implementation Plans, Evaluation Frameworks)	<ul style="list-style-type: none"> Executive Directives Cabinet Memos Guidelines Meetings 	High Level Synthesised Executive Report on a Sector in focus.
Secondary Audience (those who influence the actions of the primary audience) (Policymakers, Ministers, Parliament)	Approvals and Appropriations of the National Budgets are based on evidence and results-based processes	Enhanced Public Service Delivery	Ministerial Policy Statements Laws, Policies and Regulations are more responsive to Citizenry needs	High-Level Meetings Dialogues (e.g. Parliamentary Forums) Policy Briefs	Budget Appropriation Report Uganda Gazette

²⁰ The positive attitudes, practices by the target audience that the strategy wants to encourage

²¹ The perceived benefits that the target audience will appreciate (*i.e. what is in it for them to adopt the prescribed behaviours as reflected in the Communication Strategy*)

²² The information generated through data collection, Government Policies/Policy Statements, Facts and Testimonies related to the Sectors

²³ Appropriate and effective ways through which the audience can be reached with messages that will influence behaviour

²⁴ Mechanisms to track the change in behaviour by the target audience.

Audience	Desired Behaviour ²⁰	Take-Away Message ²¹	Supporting Data ²²	Channels of Communication ²³	Monitoring, Evaluation & Learning ²⁴
Tertiary Audience (users) <ul style="list-style-type: none"> • Development Partners • NGOs • CSOs • Academia/Research Institution • Media • Citizenry 	Participation in the APEX Platform's processes and sharing findings and resources towards generating Programme/Project results across the Project Cycle	Enhanced Public Service Delivery Recognition of Publications and Contribution	Resources committed to APEX Platform Publications	- Stakeholder Dialogues - Programme/Project/Activity Briefs - Press Releases - Public Meetings/ <i>Bara zas</i> - Radio - TV - Social media	Funding Agreements MoUs

Annex 11: Risk Analysis Framework for the APEX Platform

Risk	Contributing Factors	Early Warning Mechanisms	Severity of Risk (Low/Moderate/High)	Probability of the Occurrences of the Risk (Low/Moderate/High)	Mitigating Actions
Governance Risk	Poor Coordination within the core APEX Stakeholders and other MDAs	Fragmented Actions Resistance from key Stakeholders	High	Moderate	Continuous Stakeholder Engagement Strengthening capacity at different Levels
	Perceived Mandate Overlap	Lack of clarity of Roles and Mandates within Stakeholders	High	High	Continuous engagement and clarification by the key Stakeholders
	Weak Systems and Structures in Oversight function	Failure in the execution of the necessary assignments and activities	High	Moderate	Systems strengthening at all Levels of the Oversight
	Limited reporting along the Oversight function	Delays in reporting	High	Moderate	Enforcement of clear Reporting Deliverables
	Limited political goodwill	Postponement of the APEX meetings	High	Moderate	Ensuring that it is put on the Cabinet Calendar Engaging known Influencers Engaging Stakeholders on an institutional 'personal' level

Risk	Contributing Factors	Early Warning Mechanisms	Severity of Risk (Low/Moderate/High)	Probability of the Occurrences of the Risk (Low/Moderate/High)	Mitigating Actions
Human Resource Risk	Inadequate capacity of the Secretariat	Failure in the execution of the necessary assignments and activities	High	High	- Structural arrangements - Recruitment, training and capacity-building
	Limited motivation of HR along the Oversight function	Poor resourcing and execution of roles	High	High	Appropriate planning and budgeting
Operations Risk	Delay in data collection and synthesising	Absent or inadequate evidence to support APEX Decision-Making processes	High	Low	Assessing and streamlining the evidence system of APEX Platform
	Inappropriate timing of convening the APEX Platform Meeting	Misalignment with other Decision-Making processes, e.g. Budget Cycle, Cabinet Calendar	Low	Low	Secretariat should pay attention to important Cycles of Stakeholders
	Overwhelming the APEX Platform with all National Issues	Overwhelming demand for Issues to be accepted for audience	High	High	Secretariat should determine (through self-evaluation and learning) what its capacity is. Establishing Criteria for screening issues.

Risk	Contributing Factors	Early Warning Mechanisms	Severity of Risk (Low/Moderate/High)	Probability of the Occurrences of the Risk (Low/Moderate/High)	Mitigating Actions
Stakeholders risk	Mismanagement of resources, fraud and failure to implement internal issues	Lack of appropriate and timely accountability	High	Moderate	Strict adherence to internal control systems
	Failure to adhere to approved Budgets and Work Plans	Budgeting and activities that do not align with planned Budgets and Work Plans	Moderate	Moderate	Strict adherence to the Work Plans and Budgets (with reasonable and controlled flexibility)
	Varying expectations from the Stakeholders	Unrealistic demands from Stakeholders	High	High	- Creating realistic expectations right from the onset - Mass sensitisation and communication
	Failed buy-in from important Stakeholders	Inadequate participation of key Stakeholders	High	Moderate	Continuous engagements, sensitisation and Stakeholder Analysis
Regulatory Risk	Poor attitudes towards the reform	Inadequate participation of key Stakeholders	High	High	Continuous engagements, sensitisation and Stakeholder Analysis
	Failure to effectively monitor and evaluate performance	Lack of Reports or Quality Actionable Reports on Monitoring and Evaluation of the APEX Platform and its processes	High	Moderate	Strictly adhere to the internal control mechanisms Deliberate follow-up on reporting and response to the reporting

Risk	Contributing Factors	Early Warning Mechanisms	Severity of Risk (Low/Moderate/High)	Probability of the Occurrences of the Risk (Low/Moderate/High)	Mitigating Actions
					Results-Oriented Performance Management System
Funding Risk	Inadequate and unsustainable amounts for activities	Failed execution of activities due to absence of funds Failed absorption of funds	High	High	Proper and Participatory/Consultative Budgeting Processes

Annex 12: Complementary Roles of Results-Based Monitoring, Evaluation and Learning

Monitoring	Evaluation	Learning
❖ Clarifies program objectives	❖ Analyses why intended results were or were not achieved.	❖ Questions the Project's logic model
❖ Links activities and their resource objectives.	❖ Assess specific casual contributions of activities to results.	❖ Provides means for addressing the lessons learnt through performance monitoring and evaluation or other means such as research and analysis
❖ Translates objectives into performance indicators and sets targets.	❖ Examines implementation Progress	❖ Explores contextual issues and how the project will adopt to adjustments
❖ Routinely collects data on these indicators, compares actual results with targets	❖ Explores unintended results	❖ Provides collaborative opportunities and engagements with stakeholders
❖ Reports progress to managers/ implementers and alerts them of the problems	❖ Provides lessons , highlights significant accomplishment or program Potential , and offers recommendations for improvement	❖ Guides on how the information and knowledge gathered should be used to influence policy development & Management
Source: Ray C. Rist et al 2004 USAID– MEL PLAN MODEL		



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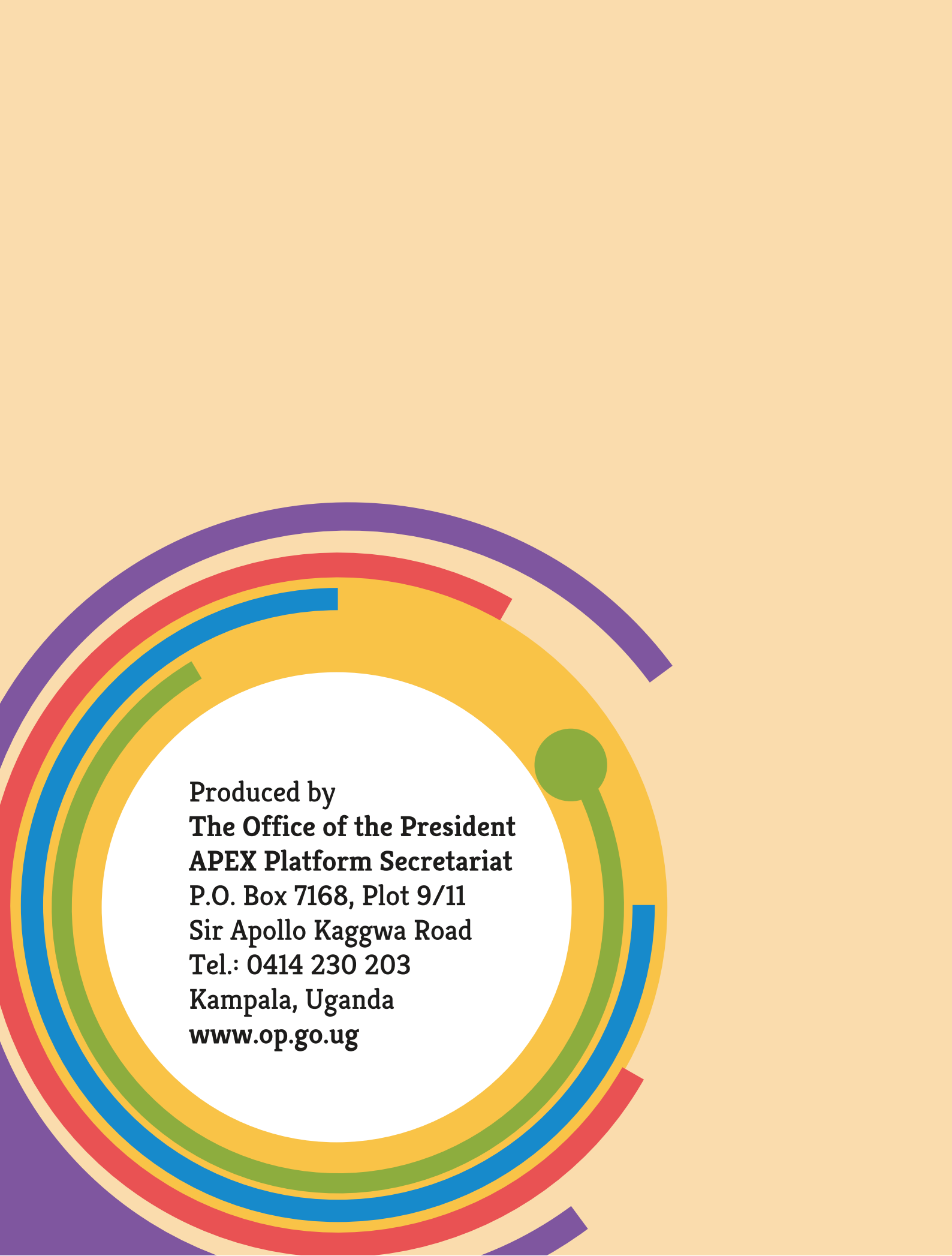
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