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FRESH ANALYSIS OF THE HUMANITARIAN CAPACITY IN UGANDA

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For more information, please contact

OXFAM Plot No.3459, Tank Hill Road,  
Muyenga. P.O Box 6228, Kampala, Uganda  
Tel: +256 414 390500  
Fax: +256 414 510242  
E-mail: [kampalaOffice@oxfamnovib.nl](mailto:kampalaOffice@oxfamnovib.nl)  
[www.oxfam.org/uganda](http://www.oxfam.org/uganda)



The analysis was conducted by Xavier Mir and Eric Awich Ochen In collaboration with the ELNHA team in Uganda


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# LIST OF ACRONYMS

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ACORD	Agency for Cooperation and Research in Development
CEFORD	Community Empowerment for Rural Development
CAO	Chief Administrative Officer
CBO	Community Based Organisations
CSO	Civil Society Organisations
CREAM	Community Organization for Rural Enterprise Activity management
DANIDA	Danish International Development Agency
DDMC	District Disaster Management Committee
DFID	Department for International Development
ECHO	European Commission Humanitarian Office
EFSVL	Emergency Food Security & Vulnerable Livelihood
ELNHA	Enhancing Local and National Humanitarian Actors
EU	European Union
FAL	Functional Adult Literacy
FAO	Food and Agricultural Organisations
GBV	Gender based Violence
HAP	Humanitarian Accountability and Partnership
HUCOCA	Humanitarian Country Capacity Analysis
IEC	Information, entertainment and communication
INGOs	International Non-governmental Organisations
IOM	International Organization for Migration
KAP	Knowledge, Attitude & Practice
MEAL	Monitoring, Evaluation, Accountability and Learning
NECOC	National Emergency Coordination and Operations Centre
NGOs	Non-Governmental Organizations
NDP	National Development Plan
OPM	Office of the Prime Minister
REHOPE	Refugee and Host Population Empowerment
SGBV	Sexual and Gender based Violence
URCS	Uganda Red Cross Society
UN	United Nations
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees



UN Women	United Nations Office for Women
UNICEF	United Nations Children Fund
UNFPA	United Nations Population funds
USAID	United States Agency for International Development
VEDCO	Volunteer Efforts for Development Concerns
WASH	Water, Sanitation & Hygiene
WFP	World Food Programme

# 1. OBJECTIVE OF THE STUDY

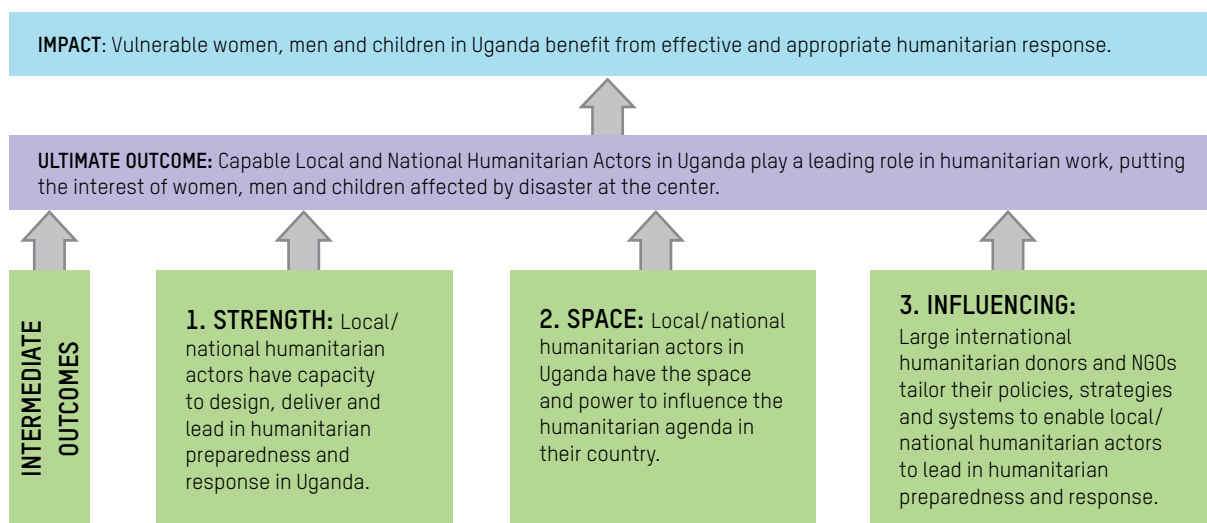
This consultancy is an activity of the program “**Empowering Local and National Humanitarian Actors**” (ELNHA) implemented by Oxfam in Uganda. The program aims to enable vulnerable people to benefit from quality humanitarian response through the capacity development of Local and National Humanitarian Actors and advocacy for change in the humanitarian system.

The ELNHA program fits into the Oxfam International’s Strategic Plan and vision for 2020 which states that “**National state institutions and civil society in the most crisis prone/affected countries, supported by the international community, are able to deliver high quality, impartial and independent assistance to those in need; and resilience to increasingly frequent natural disasters and conflict is strengthened through improved preparedness and risk reduction**”.

Oxfam aims to see a shift of power, resources and capabilities towards local/national humanitarian actors (national/local government and civil society). In this regard therefore, several Oxfam humanitarian initiatives are being implemented in different countries to mobilise national/local actors as well as other international actors to work together and produce a plan for the transformation in each country of the international humanitarian system.

The ELNHA program is based on the same **theory of change** than Oxfam programs in other countries:

Figure 1. Theory of Change of the ELNHA program



The study “**Fresh Analysis of the Uganda humanitarian capacity**” is a starting point to provide a basic analysis and encourage the humanitarian stakeholders to work together to produce a joint plan **for the strengthening of local/national humanitarian capacities**. It is expected that the building of such a plan will stimulate some Ugandan humanitarian actors to take the lead in a process of influencing the transformation of the humanitarian system in the country. The “Fresh Analysis” provides an “indicative plan” as an example of the type of plan that stakeholders could produce together. Oxfam will commit its support to the implementation of some of the activities that might be included in that plan.

**Note:** The study is based in a rapid review of relevant documentation and a limited number of interviews in selected districts in Uganda. The report does not aim to be a scientific research but it seeks to offer to the humanitarian actors an updated perspective of the collective humanitarian capacity, encourage a joint reflection and the preparation of an action plan.

## 2. METHODOLOGY

To produce this report the consultants used the methodology called HUCOCA (“Humanitarian Country Capacity Analysis”). The methodology was designed by a humanitarian expert<sup>1</sup> in order to guide the implementation of this type of humanitarian capacity studies. HUCOCA leads to an integral assessment of a country’s humanitarian capacities through analysing:

- The influence of the country context in the humanitarian capacity (section 5.1)
- The capacity of the government structures at national level in charge of humanitarian action (section 5.2)
- The capacity of the government structures at district level (section 5.3)
- The humanitarian capacity of local and national NGOs (section 5.4)
- These analyses allow us to produce a humanitarian profile of Uganda (section 6) and a set of recommendations to strengthen the local/national humanitarian capacity (section 7). From such recommendations we have developed a set of goals and outcomes as an example of framework towards a plan shared by all interested stakeholders (section 8).

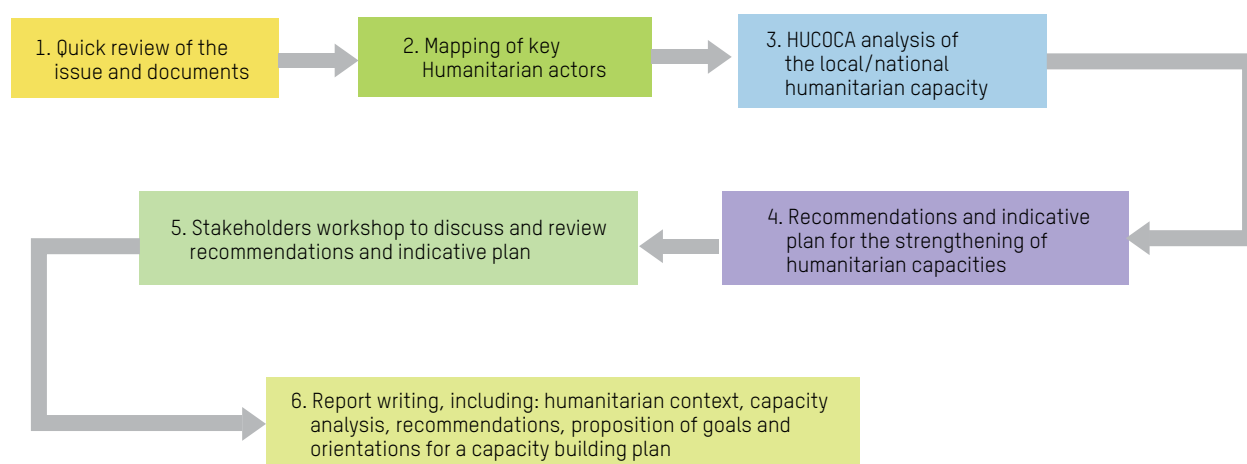


Figure 2.1 Steps for the implementation of the HUCOCA « Humanitarian Fresh Analysis

Several aspects of the country context have a strong influence on the overall humanitarian capacity. The table below lists the aspects which are considered in the HUCOCA analysis, organised in 3 blocks or “capacity clusters”:

<sup>1</sup> Fernando Almansa, [www.fernandoalmansa.com](http://www.fernandoalmansa.com)

Table 2.2 Thematic areas for the analysis of the context influence in humanitarian capacities

Capacity cluster	Thematic area
A. Strength of the Ugandan society	A.1 Strength and power of civil society
	A.2 Human Development
	A.3 Human Rights respect
	A.4 Humanitarian Access
B. State and Politics	B.1 Governance and Institutional structures
	B.2 Public Administration efficiency
	B.3 Rule of Law
	B.4 International legitimacy
C. Country infrastructures	C.1 National infrastructures
	C.2 National Civil Protection services
	C.3 Human Geography

The capacity assessment of the humanitarian actors is structured in 5 blocks or “capacity clusters”. Each block tackles a different dimension of the humanitarian work of the organisations. In total 19 thematic areas are analysed:

Table 2.3 Thematic areas for the capacity analysis of humanitarian actors

Capacity clusters	Thematic areas	
1. Identity and Mission (“Who & Why”)	1.1	Values; Mandate; Purpose
	1.2	Leadership; Attitudes
2. Managerial Capacities (“Hard How”)	2.1	Finances
	2.2	Human Resources
	2.3	Logistics; Time
	2.4	Analytical; Strategizing; Planning and programming
	2.5	Programme management (including M&E); Knowledge management
	2.6	Governance and decision making; Organisational Structure and processes
	2.7	Networking and alliance building
	2.8	Communications. Advocacy
	2.9	Risk Management. Institutional Resilience
3. Approach, Commitment (“Soft How”)	3.1	Gender Approach
	3.2	Conflict sensitivity . Rights based Approach
	3.3	Connectedness, Resilience and DRR approach
	3.4	Highly vulnerable groups
4. Technical Expertise (“What”)	4.1	Competences in WASH, Competences in EFSVL, Other competences
	4.2	Standards’ compliance and accountability. Quality Control management
5. Size Capability (“How much”)	5.1	Size of the organization, finances and human resources to scale up operations
	5.2	Geographical outreach



The consultants carried out a capacity assessment of the actors through the collection of basic information and a 2 hours interview with the management team. In total 18 NGOs/CBOs have been assessed (listed in Annex 3). They operate in 7 districts (figure 2.4): Arua and Koboko in West Nile; Agago and Lamwo in the Acholi sub-region; Kaabong and Kotido in Karamoja; and Isingiro in the South West. Annex 4 provides the HUCOCA quantitative analysis of these NGO/CBO.

Further, the consultants also conducted a basic analysis of Government capacities at district level in all these 7 districts, following the thematic areas specified in table 2.3. For this analysis, in each district, the consultants interviewed several main stakeholders and conducted one focus group discussion with Government officials.

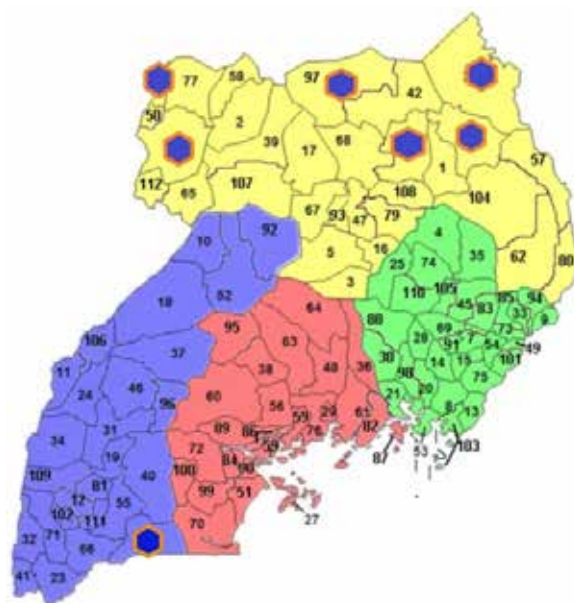


Figure 2.4 Districts of analysis

Furthermore 19 interviews were conducted at national level including the Office of the Prime Minister (departments of Disasters and Refugees), some ministries, UN agencies, civil society, international NGO and donors (See Annex 3).

After the first phase of the field work a stakeholder's workshop was conducted in Kampala with national actors. Preliminary findings and recommendations and a first draft of an indicative plan (goals and indicators) were discussed and reviewed.

### 3. UGANDA HUMANITARIAN CONTEXT

Uganda is endowed with abundant natural resources and favourable weather, fertile soils, mineral deposits and recently discovered oil. According to last population census in 2014 the total population reached 34.6 million people in a country of 197,100 km<sup>2</sup> (175 people/ km<sup>2</sup>). This population is concentrated in the Eastern part, Central, South West and North Western Uganda (Figure 3.1). Population in Kampala City in 2014 was 1.5 million, surrounded by other municipalities with several hundred thousand people each. Table 3.1 summarizes the evolution of some basic development indicators during the last 25 years.

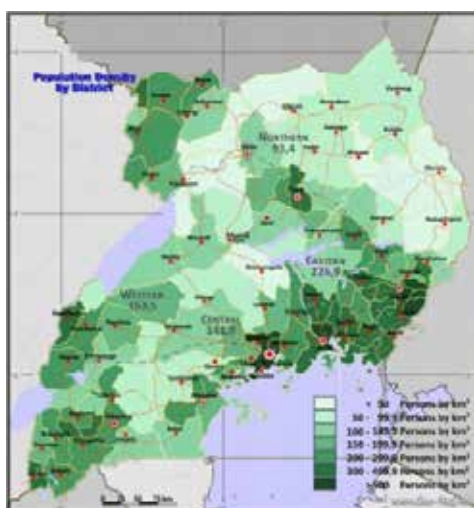


Figure 3.1 – Population density



Figure 3.2 – Land use

Indicator		1990	1995	2000	2005	2010	2013
Population	Population, total	17.384.369	20.412.967	23.757.636	28.042.413	33.149.417	36.573.387
	Population density (people/km <sup>2</sup> )	87	102	119	140	165	182
	Population growth (annual %)	3,4	3,1	3,1	3,4	3,3	3,3
	Rural population (% of total)	89	88	88	87	86	85
	Rural population growth (annual %)	2,9	3,0	3,0	3,0	3,0	2,9
	Urban population growth (annual %)	7,2	3,8	3,8	5,5	5,4	5,4
Agriculture	Agricultural land (sq. km)	119.620	121.220	125.120	132.620	142.650	144.150
	Agricultural irrigated land (% of total agricultural land)						0,07
	Crop production index (2004-2006 = 100)	72	81	93	100	109	108
	Livestock production index (2004-2006 = 100)	53	59	67	101	120	127
Education	Net enrolment rate, primary, both sexes (%)					90	94
	Primary completion rate, both sexes (%)			61	57	57	56
	Out-of-school children of primary school age, both sexes					673.953	477.468
	Net enrolment rate, secondary, both sexes (%)			14	15	23	
Health	Mortality rate, under-5 (per 1,000)	187	170	148	107	75	60
	Mortality rate, neonatal (per 1,000 live births)	39	35	33	27	22	20
	Maternal mortality ratio (per 100,000 live births)	687	684	620	504	420	372
	Prevalence of HIV, total (% of population ages 15-49)	13,3	11,0	7,4	6,3	6,9	7,2

Indicator		1990	1995	2000	2005	2010	2013
Nutrition	Prevalence of underweight (% of children under 5)	20	22	19	16	14	
	Prevalence of stunting (% of children under 5)	48	45	45	39	34	
	Prevalence of wasting (% of children under 5)	3	7	5	6	5	
	Prevalence of severe wasting (% of children under 5)	1	2	2	2	2	
WASH	Improved water source, rural (% of rural population)	36	44	52	61	69	74
	Improved water source, urban (% of urban population)	78	82	85	89	93	95
	Improved sanitation facilities, rural (% of rural population)	11	13	14	15	16	17
	Improved sanitation facilities, urban (% urban population)	28	28	28	28	29	29
Poverty	GDP per capita (current US\$)	248	282	261	321	609	674
	Poverty ratio at \$3.10 a day (2011 PPP) (% of population)	96	83	77	76	69	63
	Poverty ratio at \$1.90 a day (2011 PPP) (% of population)	88	60	52	53	41	33
	Poverty ratio at national poverty lines (% of population)		44	34	31	25	20
	Rural poverty ratio at national poverty lines (% of rural pop)		49	37	34	27	22

Table 3.3 - Evolution of some development indicators in Uganda<sup>2</sup>

For the time being 70% of its total population is yet earning their living from subsistence farming. Agriculture is already characterised by smallholder farms, entirely dependent on natural rainfall; inputs are minimal and productivity low. In fact agriculture growth has been minimal while livestock production has grown a lot better. Irrigation is very little, being one of the main challenges to face climatic change. The population continue to grow to a rate over 3%, so in the next decades the lack of access to land and other resources will push millions of people out of their homeland, massively concentrating in towns. Unemployed youth aged 15 to 24 represents 83% of the unemployed population in Uganda and already constitutes a major challenge.

Politically Uganda experienced three decades of instability, war, military coups and economic and financial breakdowns after independence in 1962. Since the capture of power by General Yoweri Museveni in 1986, his National Resistance Movement has progressively undertaken political and economic reforms which have provided some political and macroeconomic stabilisation. Major steps were a new Constitution (1995), the return to a multi-party dispensation (2006) and continuous economic growth, averaging about 7% during the last decade. However one of the main failures continues to be the poor governance, with indicators below average on voice and accountability, political stability, government effectiveness, rule of law or control of corruption. Political tension in recent years has been followed by legal and policy reforms which restrict civil and political rights. Oil reserves in the western and northern Uganda could have a strong potential to stimulate development and poverty reduction, but there is little information in the general population about the concession and exploitation of this wealth.

<sup>2</sup> World Development Indicators, <http://data.worldbank.org/country/uganda>

<sup>2</sup> Maps from: Donald Goodwin, "Presentation on disasters in Uganda, 2010" and UNDP Uganda HDR 2015

Table 3.4 summarizes the main hazards which shape the Uganda humanitarian profile. Up to 13 different hazards of different nature may affect the life of Ugandan people.

Table 3.4 - Natural hazards and other causes of humanitarian disasters in Uganda<sup>3</sup>

<p><b>Drought</b></p>	
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Table 3.4 - Natural hazards and other causes of humanitarian disasters in Uganda<sup>3</sup>






<p><b>Human Epidemics</b></p>	<p>They may happen all over the country .</p> <p>The diseases include: cholera, meningitis, hepatitis E, Marburg, plague, and Ebola, sleeping sickness. Others are diseases such as diarrhoea dysentery and typhoid.</p> <p>Critical crises have been:</p> <ul style="list-style-type: none"> <li>- 1987-89: As a consequence of the 1987 drought, epidemic diseases killed 156 people.</li> <li>- 1990: Epidemic diseases killed 197 people and 100 more died of them the following year.</li> <li>- 1997: As a consequence of the floods, epidemic diseases affected 100,000 people.</li> <li>- 1999: As a consequence of the drought epidemic diseases killed 91 people.</li> <li>- 2000: Epidemic diseases killed 224 people.</li> <li>- 2005-06: As a consequence of the 2005 drought, epidemic diseases killed 100 people.</li> <li>- 2007: Epidemic diseases killed 67 people</li> </ul>
<p><b>Animal epidemics / Crops pests / Wild animals / Wild fires</b></p>	<p>Animal epidemics include swine fever, foot and mouth, Nangana, bird flue crop diseases epidemics include coffee wilt, banana bacterial wilt, cassava mosaic, brown steak.</p> <p>Common crops pests in Uganda include weevils, locusts and caterpillar while diseases include coffee wilt, banana wilt and cassava mosaic.</p> <p>Destructive insects or any animals that attack food or livestock both during the growing and post-harvest seasons.</p> <p>As a consequence people lose their livestock, plants and harvested crops, consequently leading to food shortages, famine and economic stress.</p>
<p><b>Heavy Storms</b></p>	<p>Heavy storms in Uganda are often accompanied by hailstorms, thunder storms and violent winds. Hailstorms can cause flooding and related public health hazards. Various parts of Uganda are prone to hailstorms to varying degrees.</p> <p>They result in immense destruction of crops, animals, public infrastructure and human settlements often leading to deaths and disruption of social services.</p> <p>Lightning has a serious effect on human life.</p>
<p><b>Earthquakes</b></p>	<div data-bbox="399 1299 742 1624">  </div> <p>Parts of Western and Central Uganda are prone to seismic activity. They are areas that fall within the western rift valley or areas which have experienced incidences of earthquakes in the past.</p> <p>Earthquakes to highlight:</p> <ul style="list-style-type: none"> <li>- 1994: Earthquake affected 50,000 people</li> <li>- 1994: Strong earthquake hit districts in Rwenzori region affecting over 50,000 people</li> <li>- 2007: Numerous waves of earthquakes</li> </ul>
<p><b>Volcanic activity</b></p>	<div data-bbox="399 1646 742 1971">  </div> <p>Uganda has areas with active volcanoes in the caldera area of Mt. Elgon, hot spring areas in the western rift valley and the Muhavura volcanoes in Kisoro.</p>

Table 3.4 - Natural hazards and other causes of humanitarian disasters in Uganda<sup>3</sup>

<p><b>Internal armed conflicts</b></p>	 <ul style="list-style-type: none"> <li>- Conflict have marked the recent history of Uganda: 1979: War that ousted the government of Idi Amin</li> <li>- 1980-1986: Armed struggles that took place mainly in the central parts of Uganda</li> <li>- 1986-2007: Armed conflicts in Northern and Eastern parts of the country. Between 1998 -2008 internal displacement stood at an average of 1,800,000 people.</li> </ul> <p>Conflicts have affected large parts of the territory. The war against the Lord's Resistance Army (LRA) and other groups ravaged the North of the country between 1986 and 2006. Despite the efforts of Government ("Peace Recovery and Development Plan") and other actors the North is still far behind other regions in the country, adding to a north-south division in the country that is firmly rooted in history.</p> <p>Particularly notorious is the conflict in Karamoja that revolves around a long history of social, economic and political exclusion from the centre as well as cattle rustling.</p>
<p><b>Tribal clashes, cattle rustling, land conflicts</b></p>	 <p>They cause human deaths, displacement of persons, loss of property and other adverse socio-economic effects.</p> <p>It often results from historical differences between the different tribes in Uganda or inherent cultural practices such cattle rustling in Karamoja. Cattle rustling involve members of one community raiding and taking livestock from another community. It is common in the North, North East and Eastern parts of Uganda. Cross-border dimension when the Turkana of north western Kenya communities get involved.</p>
<p><b>Gender violence</b></p>	<p>It includes: several forms of violence against women and children, children prostitution, forced early marriages, female genital mutilation, etc.</p> <p>While the policy and legal framework for violence against women and women's land rights can be considered as adequate, violence against women and children remains a serious problem. In spite of affirmative action, the social environment does not adequately support the promotion of women's rights (unpaid care work, low decision making at household level, lower access to education, negative cultural practices and social vulnerabilities). Violence against women is linked to their inadequate control and ownership of productive resources.</p>
<p><b>Instability in neighbouring countries and refugees</b></p>	 <p>Instability in South Sudan, Congo RDC and Burundi adds an important burden to the humanitarian concerns in Uganda.</p> <p>People migrate due to insecurity and they settle in Uganda in gazetted settlements. In July 2016 Uganda hosts over 540,000 refugees majority are from South Sudan and DRC. A favourable policy towards refugees encourages many to seek refuge in Uganda.</p>



The risk of humanitarian crises responds to the equation:

$$\begin{aligned} \text{Risk of humanitarian crises} = & \\ & + \text{ Hazards to which population are exposed} \\ & + \text{ Population vulnerabilities that amplify the consequences of hazards} \\ & - \text{ Capacities to face those hazards} \end{aligned}$$

Therefore the reduction of hazards, the reduction of vulnerabilities and the increase of capacities should be the overall goals in order to minimize the risk of humanitarian crises:

- ✓ High vulnerability is connected to poor development and poverty, a fundamental root cause underlying some of the main hazards in Uganda like drought, floods and violence. Therefore risk reduction and humanitarian preparedness must always be connected to long-term development.
- ✓ Capacity needs to be increased at all levels (household, community, district, national), through strengthening household and community resilience and developing capacities in development and humanitarian actors at local and national level. Again a sustainable capacity increase demands for a strong link between development and humanitarian work.

### Humanitarian concerns: Climate change

Uganda lies within a relatively humid equatorial climate and enjoys relatively good rainfall. However topography, prevailing winds and water bodies cause large differences in rainfall patterns across the country (Figure 5.3.1). Generally there are two seasons in the south (March to May and September to November) and one season in the north (April to October). Temperature depends on altitude and changes little from season to season. Data available for the last 6 decades indicate no clear changes in annual rainfall in Uganda. However it is expected to change towards a less favourable rainfall distribution over the year and increase frequency of extreme events like heavy rainstorms, floods, droughts (already experienced). Water resources are likely to be increasingly strained in Uganda's future climate.

Due to the heavy dependence on traditional agriculture, the country's livelihoods and food security are particularly vulnerable to the effects of climate change. The country ranks 159 out of 178 countries in the ND-GAIN global adaptation index to climate change <sup>4</sup>. It ranks 15<sup>th</sup> in terms of vulnerability to climate change. Rapid population growth and the expansion of farming and pastoralism under a drier and warmer climate regime will negatively affect the ecosystem and increase vulnerability. Compounding its effects with declining soil fertility and increasing land pressure, climate change will exacerbate conflicts related to access to land and water.

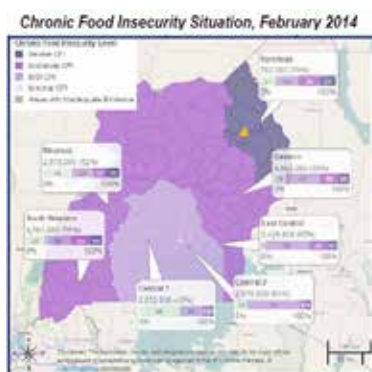
Ministry of Water and Environment has a specific unit on Climate Change, policy strategic framework. Climate change has been mainstreamed into national plans (NDP1 and NDP2) and Vision 2040. The Academia has also embraced some climate change issues and there is a Parliamentary Forum on Climate Change. At regional level Uganda has contributed to the east African climate change policy and the development of the IGAD climate change resilience strategy. However at local level activity has been minimal as there is not enough capacity to do it.

4 <http://index.gain.org/country/uganda>

## Humanitarian concerns: Food insecurity

Despite the favourable climatic conditions Uganda ranks 30<sup>th</sup> in the global hunger index<sup>5</sup>. Poverty, high population and very limited income opportunities accentuate the effects of hazards.

For example, bad rains in 2013 affected the food security of 24 million people, 70% of the population. A total of 4 million people were in severe food insecurity and 6 million more in moderate food insecurity. Karamoja was the region considered more insecure (21% severe, 28% moderate), followed by Eastern and South Western (both 15% severe, 25% moderate), Western (17%, 17%), East Central (12%, 25%) and West Nile (12%, 17%).



Name	Total # (pp)	Level 1		Level 2		Level 3		Level 4		Level 5 or higher	
		# of pp	% of pp	# of pp	% of pp	# of pp	% of pp	# of pp	% of pp	# of pp	% of pp
Central 1	4558816	2,507,000	55	1,360,000	30	436,000	10	226,000	5	2,052,000	45
Central 2	3804000	526,000	14	2,493,000	65	315,000	8	210,000	6	2,678,000	70
East Central	3029484	180,000	6	2,094,000	69	902,000	29	433,000	14	3,429,000	95
Eastern	5483476	823,000	15	2,468,000	45	1,171,000	21	823,000	15	4,882,000	89
Karamoja	889429	208,000	23	287,000	32	377,000	42	298,000	33	182,000	20
Northwestern	3501232	1,683,000	48	8,074,000	23	537,000	15	208,000	6	1,887,000	53
South Western	5014457	1,254,000	25	1,758,000	35	1,254,000	25	732,000	15	5,761,000	73
Western	4629877	1,756,000	38	1,396,000	30	787,000	17	787,000	17	2,878,000	62
West Nile	2681000	1,064,000	40	825,000	31	452,000	17	319,000	12	1,596,000	60
Total	34,029,800	10,803,000	29	13,830,000	40	6,361,000	19	4,046,000	12	24,027,000	71
Grand Total	34,029,800	10,803,000	29	13,830,000	40	6,361,000	19	4,046,000	12	24,027,000	71

Since the end of the conflict with the LRA and the end of the humanitarian crisis in all northern Uganda, Karamoja has become the main focus of humanitarian concern. In fact, Karamoja has been receiving food aid for the past 3 decades. It is considered the poorest part of the country with more frequent droughts. In fact, much of Karamoja usually appear under food insecurity situation fuelled in part by uneven and unpredictable weather patterns, like this year (Figure 3.6).

However common and simplistic views about poverty, drought and recurrent needs of humanitarian aid in Karamoja must be avoided<sup>6</sup>. Currently the main threats are not from weather but from restrictions on movement and insecurity. Pastoralism is not the problem but one fundamental coping strategy which is being diminished by development policies which are encouraging settlement and crops agriculture.

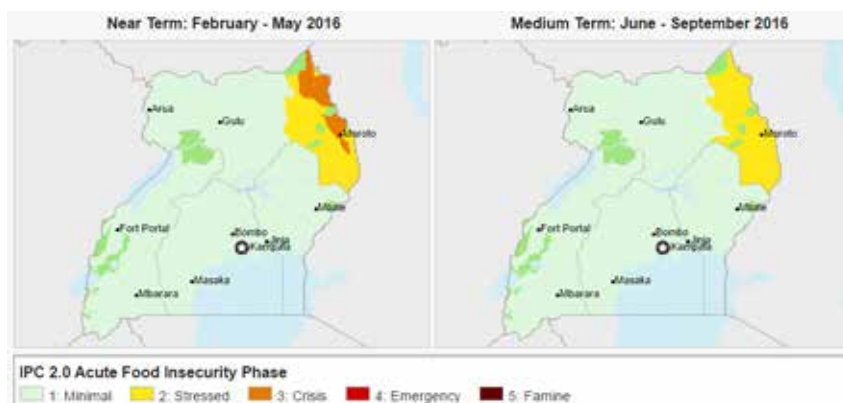


Figure 3.6 – Food Security situation in 2016

<sup>5</sup> <http://ghi.ifpri.org/>. Measured through 4 indicators: Proportion of undernourished in population (25% in Uganda); Prevalence of wasting in children under five years (4.8%); Prevalence of stunting in children under five years (33.7%); Under five mortality rate (6.6%)

<sup>6</sup> See for example FAO 2010, "What to do about Karamoja? Why pastoralism is not the problem but the solution. A food security analysis of Karamoja"



## Humanitarian concerns: Refugees

Since the 1950's Uganda has been hosting every year at least 160,000 refugees. During the last years Uganda has faced three simultaneous refugee emergencies: South Sudan, Congo DRC and Burundi. At present the country hosts more than 525,000 refugees (April 2016), being the 8<sup>th</sup> largest refugee hosting country in the world and the 3<sup>rd</sup> largest in relation to GDP. Given its geo-political location, Uganda has continued receiving refugees and asylum seekers from East Africa and other countries from the Great Lakes region. Throughout 2015, the Uganda operation faced three parallel emergencies from South Sudan, the Democratic Republic of the Congo, and Burundi. The profile of the refugees is characterised by a very high proportion of women and children. More than 100,000 additional refugees are expected to arrive during 2016, as internal conflicts in South Sudan, Democratic Republic of the Congo and Burundi continues unabated. It should also be noted that the resettlement and voluntary repatriation of refugees has supported only a few thousands. The influx of refugees is expected to continue during 2017 with similar figures while in 2018 and 2019 the influx is expected to halve. However the situation could vary a lot depending on the political evolution in South Sudan, RD Congo, Burundi and Somalia.

Country of Origin	December 2015	New influx 2016 (Estimated)
DR Congo	214,279	40,000
South Sudan	200,278	35,000
Burundi	30,553	22,355
Somalia	67,856	5,000
Eritrea		
Ethiopia		
Rwanda		
Total	512,966	102,355

Table 3.6 – Total refugee population<sup>7</sup>

Hosting district	Refugee settlement	Population (Feb 2015)	% District population
Adjumani	Nyumanzi	101,468	29%
Arua	Rhino Camp	19,387	2%
Koboko	Lobule	4,745	2%
Hoima	Kyangwali	41,642	7%
Kiryandongo	Kiryandongo	38,529	11%
Isingiro	Nakivale	73,118	14%
	Oruchinga	5,293	8%
Kyegegwa	Kyaka II	23,009	11%
Kamwenge	Rwamwanja	52,186	5%
Kampala	Kampala	71,949	9%

Table 3.7 – Total refugee population<sup>8</sup>


Uganda has a progressive refugee policy which is regarded internationally as an exemplary model where refugees are integrated within the host communities and have access to the same services as nationals. Instead of confining refugees in camps, in Uganda the refugees live in settlements side by side with host communities. They have the right to work and establish businesses, the right to go to school, freedom of movement, access to documentation, and are allocated land for agricultural use (Refugee Act of 2006 and Refugee Regulations of 2010).

The Uganda experience demonstrates how a progressive refugee policy is economically and socially advantageous for both refugees and their host communities: approximately 30% of the resources are aimed at benefiting host communities. In fact the Uganda National Development Plan II (2015–20) uniquely integrates refugees into national development planning through a Government strategy called the “Settlement Transformation Agenda” and Government has requested a soft loan of USD 50 million from the World Bank for the implementation of this strategy.

Furthermore, the UN Country Team and the World Bank have adopted a multi-year joint framework called “Refugee and Host Population Empowerment” (ReHoPE), for self-reliance and resilience programming both for refugee and

<sup>7</sup> UNHCR 2016, “Protection and Solutions Strategy. Uganda 2016–2020”

<sup>8</sup> UN 2015, “ReHoPE Strategic Framework. Refugee and Host Population Empowerment”



host communities. ReHoPE is expected to invest in sustainable livelihoods (agriculture and market linkages), integrated and sustainable social services delivered by District Local Governments (focus on health and education) and community and system resilience based on dialogue and peaceful co-existence. Implementing partners include NGO, CBO and private sector foundations.

Such type of developments put Uganda at the forefront in linking development and humanitarian approaches and they are strongly aligned with the type of changes in the humanitarian system that Oxfam is encouraging in Uganda.

### Humanitarian concerns: Social and political tensions

Uganda has had a torturous 54 years of independence, punctuated by several coups and violent changes in government as well as civil conflicts afflicting large swathes of the country. Several of the civil and political conflicts in Uganda have been attributed to multi-ethnic nature of the country and the resultant ethnic based politic and governance.

At present there are again signals of growing political instability (recent elections contested by political opposition and questioned by international observers, recent restrictive laws and bills on civil rights, coercion of media, very high levels of corruption, etc). At the same time there is an increasing trend of protests against government due to low salaries, low income, increasing prices of basic items, growing levels of unemployment (especially for youth) and setbacks in social services. It has been noted however that while Uganda has made significant socio-economic progress, it still scores poorly in terms of governance indicators as indicated by the narrow political space and competition, the high level of corruption, human rights violations and weak institutions for enforcing accountability (Uganda Human Rights Commission, 2015; Amnesty International 2014 ).

These tensions could be exacerbated in the future due to high population growth and massive concentration in urban areas in very poor conditions. Lack of income and employment opportunities are important risks of strong social tensions in the next years. In rural areas, recurrent droughts and growing scarcity of land and water will further stimulate conflicts between farmers and livestock keepers due to shortage of pastures.

## 4. TYPOLOGY OF HUMANITARIAN ACTORS IN UGANDA

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Humanitarian actors in Uganda are of several types. This include the International non-governmental organizations, The United Nation Agencies, the local humanitarian actors inclusive of Civil Society Organisations (CSOs), Faith based organizations and Community-based organizations; and Central and Local government, that in most cases also coordinates the actions of the UN agencies, International NGOs, local NGOs and other humanitarian actors. There are also academic institutions that play different roles ranging from direct intervention, research and collaboration with other humanitarian actors to enhance both the speed and the nature of response to humanitarian emergencies. The private for profit sector is beginning to emerge as an actor engaged in humanitarian emergencies. The United Nation agencies like UNICEF, UNHCR, UN Women, UNOCHA (until a few years ago), UNFPA or UNDP play a crucial role in humanitarian issues. They mobilize resources and respond to critical humanitarian emergencies including refugee crises and influx, conflict as well as climate change related challenges and issues. Few organizations, inclusive of the United Nations have been active in preparedness activities, but there are now new developments and efforts at enhancing the capacity of the country to be better prepared to respond to humanitarian crisis.

The government through the OPM departments for Refugees and Disasters coordinates the response of humanitarian actors, although financing seems to be a key issue in the operation, functionality and effectiveness of the Disasters Preparedness and Response department. So while the Department of Refugees of OPM receive considerable funding to coordinate and support the response of the over 500,000 refugees in several settlements within Uganda, its sister department seems to be starved of funds to effectively coordinate the preparedness and response of critical humanitarian emergencies of a non-refugee nature. This financial constraint appears to be steeped in the government inability to apportion and allocate adequate resources for the operation of the Department. It is also steeped in the inability by actors and perhaps central government itself to appropriately consider climate change and other hazards as key elements of the humanitarian emergencies. The latter and the need for its preparations suggests the relevance of a strong coordination framework and arrangement between the line ministry/department such as that of Water and Environment, the OPM and other line sectors that can be directly affected with the occurrences of natural and episodic hazards.

The UNHCR works more closely with the Department of Refugees of the OPM and provides resources to coordinate the response and support to refugees. At local government level the district local government committee on disaster management (DDMC) coordinates the response to humanitarian and emergency issues. However DDMCs only tend to operate when there are active emergencies or disasters. For the case of Northern Uganda during the LRA insurgencies and in West Nile (Arua, Adjumani) they have tended to be supported by NGOs and other international actors which are active within the sector.

In the proceeding table we provide a basic typology of actors in the humanitarian arenas in Uganda.

Table 4.1 – TYPOLOGY OF HUMANITARIAN ACTORS IN UGANDA			
Type of Actors	Organisation / Structure	Mandate / Responsibilities	Remarks
Government of Uganda	The President	According to the Constitution declares the state of emergency or disaster in any part of the country.	
	The Office of the Prime Minister, Directorate of Disaster Preparedness and Management and Directorate of Refugees.	The directorates are the lead agencies for Disasters and Refugees, respectively. The OPM-Disasters coordinates and manage all activity in relation to risk reduction, prevention, preparedness, mitigation and response. The OPM-Refugees coordinates all activity in relation to refugees in close collaboration with UNHCR.	Both directorates have a poor collaboration between them, they are not linked. Their level of capacities and resources are very different (see section 5.2).
	Inter-Agency Technical Committee	Monitor and analyse hazard, risk and disaster trends; analyse reports from districts, other institutions and stakeholders; develop common preparedness, contingency and response plan; monitor implementation of response strategies. Comprised of focal point technical officers from line ministries, UN agencies, NGOs and relevant stakeholders. Chaired by the OPM.	It should be an important coordination body of humanitarian stakeholders. Regular meetings, but no plan/budget to follow up.
	National Emergency Coordination and Operations Centre (NECOC)	It is activated when sudden-on-set emergencies with mass casualties occur, taking care of the coordination of the fire brigade, Police Rapid Response Units, UPDF Emergency Support Units, Uganda Red Cross Society, etc. Established under the OPM-Disasters is equipped with emergency response facilities and some professionals for coordination purposes. Headed by a senior officer seconded from the UPDF or Uganda Police Force. It links with district police stations where the District Police Commander assumes the coordination at district level.	
	District/City Disaster Policy Committee	It is chaired by the District Chairman/City Mayor. It provides policy direction to the technical committee and link with the local government structures.	Most of them are not functioning regularly. They do not perform their expected functions.
	District/City Disaster Management (Technical) Committee	It is chaired by the CAO/Town Clerk. It is comprised of district heads of department, other relevant government agencies and partners (Red Cross, NGO, etc). It manages the implementation of the disaster policy in the District (see section 5.3).	
Parliament	Main ministries involved are: Ministry of Agriculture, Animal Industry and Fisheries (food security systems, drought response strategies, construction of earth dams, irrigation, drought and famine early warning systems, provision of subsidized agriculture inputs); Ministry of Health (emergency response on health related disasters, coordination of evacuation of patients); Ministry of Water and Environment (land use planning for settlements, early warning systems for drought, floods, and other environmental disasters); Ministry of Works and Transport (emergency road and bridge repair equipment); Ministry of Defence -UPDF and Other Security Agencies- (engineering, transport, communications and other logistics support, assist with the evacuation); Ministry of Internal Affairs -Uganda Police Force- (District Emergency Coordination and Operations Centre, search and rescue in a disaster situation, evacuation, fire fighting, security, etc).		It helps in raising MPs awareness and influence.
	Parliamentary Forum on Disaster Risk Reduction	Launched in 2011, aims to contribute to political commitment to DRR at national and community level. It has an Strategic Plan 2013-17 to influence the legal framework on DRR and budgets, monitor implementation raise awareness and influence development partners.	
	UNHCR, WFP, FAO, UNDP, UNICEF, UNWOMEN, UNFPA, WHO, IOM, UNDSS	They provide important support to Government in their respective domains. For example: UNHCR has a fundamental role in supporting OPM-Refugees in planning and implementing; FAO has done important work in food security and WFP is an essential partner in front of severe food crises; UNDP has capacitated OPM-Disasters, as well as UNWOMEN.	Main technical, organisational and financial support to Government to develop capacities in humanitarian preparedness and response (both disasters and refugees)

Table 4.1 – TYPOLOGY OF HUMANITARIAN ACTORS IN UGANDA			
Type of Actors	Organisation / Structure	Mandate / Responsibilities	Remarks
Local/national NGO	A few Uganda NGO have developed humanitarian capacities	The national NGO forum has 602 members [2015], from several thousands of NGO registered in Uganda and operating. In 2015 138 NGO had gone through the “NGO Quality Assurance Certification Mechanism”, a self-assessment initiative developed by the NGOs themselves: <a href="http://www.quamuganda.org/">http://www.quamuganda.org/</a> National NGO participate in national networks but also in regional and district networks.	They are very important to increase the humanitarian national capacity, increase coverage to respond to crises and support communities for risk reduction and resilience.
Red Cross Movement	Uganda Red Cross	Created by an Act of Parliament (1964), its roles and responsibilities are defined by law. It has a special role as an auxiliary to Governmental capability; support to the management and coordination of sheltering, feeding, disaster health services, emergency first aid services, bulk distribution of emergency relief items, supportive counselling to the victims and their families, etc).	
Community based organisations	There are in all sub-counties and most of the villages	Community based organizations, self-help groups or faith-based groups are common in Ugandan communities. Some CBO are implementing projects through donor funds in disaster risk reduction. Some of them have been active in humanitarian response but many are only providing information and logistics, not developing their own capacities.	These are key structures to mobilise capacities at community level.
Mass media	National and community radios covering almost all country. Several TV channels. National and local press.	Information to citizens. Main newspaper: New Vision, Monitor, Observer, East African newspaper TV: NTV - talk shows, UBC - documentaries, WBS, Record TV, NBS	Eventual information on emergency response and preparedness. Important tool for early warning. It could develop a role in humanitarian education and accountability.
Academia	Several universities	Gulu University (Agricultural Department); MAKERERE University (School of Public Health, Head Resilient Africa Network (RAN) Lab, Centre for Climate Change Research and Innovation, etc)	Role in humanitarian education and research.
Private sector	Private Sector Foundation	Umbrella organisation of the private sector including 190 members (private companies, business associations, academics). It is a platform to advocate for the interest of the private sector. They have some social development projects.	Role to involve the private sector and to promote Corporate Social Responsibility in humanitarian.
International NGO	Around 70 INGO operating in Uganda are members of the interagency committees.	Some INGO involved in humanitarian action are: Action Against Hunger, ACTED, CARE International, CARITAS (several countries), CESVI, CONCERN Worldwide, Danish Refugee Council, DIAKONIA, HANDICAP International, IFRC, International Rescue Committee, MAP International, Mercy Corps, MSF France, Norwegian Refugee Council, OXFAM, Plan International, Save the Children, TROCAIRE, VSO, WaterAid, World Hunger International, World Vision. They intervene in different sectors like food security, health, WASH, peace building, rights, education, women empowerment. They have a diversity of capacities for humanitarian preparedness and response.	They are important to increase capacity and quality of the humanitarian action. They have a role to support the strengthening of local/national capacities.
Donors	Bilateral and multilateral cooperation	It includes: EU/ECHO, Irish Aid, DFID, DANIDA, USAID, African Development Bank, World Bank, etc.	Mobilisation of financial resources.

## 5. ANALYSIS OF THE LOCAL/NATIONAL HUMANITARIAN CAPACITIES<sup>9</sup>

### 5.1 CONTEXT INFLUENCE IN THE HUMANITARIAN CAPACITIES

- The HUCOCA methodology considers the analysis of three context domains which influence the humanitarian action:
- The strengths of the Ugandan society, analysed in relation to four thematic areas which are key for the humanitarian action (Strengths and power of the civil society; Level of human development; Respect to human rights; Access to people affected by crisis).
- The functioning of the State and politics, in relation to four thematic areas: Governance and functioning of institutions; efficiency of public administration; quality of the rule of law; international legitimacy of Government.
- The country infrastructures, including: Communication and transport national infrastructures; National services for civil protection; Human geography.

Figure 5.1.1 and table 5.1.2 summarizes the analysis and scoring of the different thematic areas.

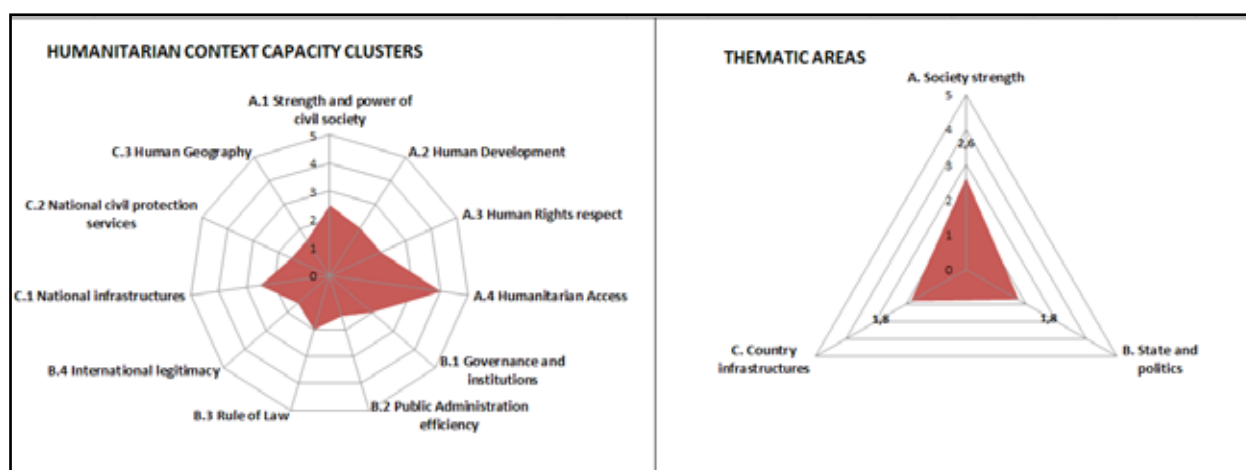


Figure 5.1.1 – Context influence in the Ugandan humanitarian capacities

<sup>9</sup> The analysis is based on a rapid revision of the relevant documentation and a limited number of interviews. The analysis presents a starting point to produce a plan able to improve such analysis and plan actions towards a process of strengthening local/national humanitarian capacities

ASSESSMENT OF CONTEXT INFLUENCE IN HUMANITARIAN CAPACITIES				
Capacity cluster	Thematic area	Score (0-5)	Strengths	Weaknesses
A Society Strength	A.1 Strength and power of Civil Society	2.5	<ul style="list-style-type: none"> <li>- Community based, self-help, faith-based groups and other forms of community organisation are prevalent</li> <li>- NGO, other types of CSO and networks have developed since 90s</li> <li>- Trade unions, professional associations and other urban-based organisations</li> <li>- Participation in all these organisations is large</li> </ul>	<ul style="list-style-type: none"> <li>- Part of the civil society is very donor dependent</li> <li>- Political activism is not strong, in part due to the history of civil strife and repression</li> <li>- At present political environment for a vibrant civil society seems again compromised</li> <li>- Narrowing space for political opposition, civil society and NGO</li> <li>- Insufficient support to promote women's voice and leadership</li> <li>- Few local/national NGO with humanitarian expertise</li> </ul>
	A.2 Human Development	2	<ul style="list-style-type: none"> <li>- Population below the poverty line fell from 56% in 1992 to 20% in 2013</li> <li>- Remarkable macroeconomic growth over the last decade (over 7%)</li> <li>- Progress in access to some social services (not so much in recent years)</li> </ul>	<ul style="list-style-type: none"> <li>- Economic growth is not reaching ordinary people, growing inequality</li> <li>- Health and education services remain with poor quality</li> <li>- Growth focused on services and industry, not in agriculture (except livestock)</li> <li>- Smallholder farmers and rural communities not linked to markets</li> <li>- Low per capita income (non-inclusive growth)</li> <li>- Lower development in pastoral areas</li> <li>- Regression in the fight against HIV/AIDS</li> </ul>
	A.3 Human Rights respect	2	<ul style="list-style-type: none"> <li>- The Constitution provides for fundamental rights</li> <li>- Human Rights Commission in place</li> <li>- Considerable progress in gender responsive legislation, policies and frameworks</li> <li>- Growing number of human rights organisations (since 90s)</li> <li>- Policy to assure women presence in politics and administration</li> </ul>	<ul style="list-style-type: none"> <li>- Arrest and harassment of opposition politicians in recent years</li> <li>- Growing regulations and pressure on media and journalists are curtailing the freedom of press</li> <li>- Social environment does not adequately support the promotion of women's rights</li> <li>- Violence against women and children remains high</li> <li>- Some minorities facing discrimination (Ik and others)</li> </ul>
	A.4 Humanitarian Access	4	<ul style="list-style-type: none"> <li>- Almost full access</li> <li>- Respect for humanitarian work</li> <li>- Humanitarian NGO are not targeted</li> </ul>	<ul style="list-style-type: none"> <li>- Some insecurity in areas of Karamoja</li> <li>- Bad road conditions make access difficult during raining periods</li> </ul>

ASSESSMENT OF CONTEXT INFLUENCE IN HUMANITARIAN CAPACITIES				
Capacity cluster	Thematic area	Score (0-5)	Strengths	Weaknesses
B. State and Politics	B.1 Governance and Institutional structures	2	<ul style="list-style-type: none"> <li>- Legislation, policies and institutions in place that seek good governance</li> <li>- Government is present in all territories</li> <li>- Decentralisation policy since 1993</li> <li>- Humanitarian Government management structures with policy/legal framework in place (OPM)</li> <li>- Model refugee policy</li> <li>- Parliamentary forum on disaster risk reduction</li> </ul>	<ul style="list-style-type: none"> <li>- Weak political opposition and check and balances in the institutional system</li> <li>- Policies are usually poorly implemented, without enough resources allocated</li> <li>- Weak democratic decision making processes in government and institutions</li> <li>- Lack of capacity to hold duty bearers accountable</li> <li>- Decline in voter turnout along the years</li> <li>- Decentralization which has resulted into many districts which Uganda cannot afford</li> <li>- Low resources and performance of the local governments</li> <li>- Disaster policy poorly implemented at local level</li> </ul>
	B.2 Public administration efficiency	1.5	<ul style="list-style-type: none"> <li>- Institutions and administrations are working</li> <li>- Public servants are qualified</li> <li>- There are institutions, laws and policies to combat corruption</li> </ul>	<ul style="list-style-type: none"> <li>- Corruption is rampant; long record of scandals; rated as high corrupted country</li> <li>- Inability to control corruption in all public institutions; political will is questioned</li> <li>- Unfair access to public service</li> <li>- Low motivation of civil servants and corruption</li> <li>- Local level: high percentage of positions not filled; budgets partially executed</li> <li>- Weak reporting of public service performance</li> </ul>
	B.3 Rule of Law	2	<ul style="list-style-type: none"> <li>- Opening to multiparty political dispensation in 2006</li> <li>- Legal framework well developed</li> <li>- Judicial system present in all the territory</li> </ul>	<ul style="list-style-type: none"> <li>- Weak separation of powers</li> <li>- State controlled by the ruling elite</li> <li>- The Judicial system is unable to cope with the demand and its independence is questioned</li> <li>- Brutal treatment of opposition politicians and protestors</li> </ul>
	B.4 International legitimacy	1.5	<ul style="list-style-type: none"> <li>- Participation in all regional bodies</li> <li>- Embassies from 60 countries</li> <li>- Presence of almost all UN agencies</li> </ul>	<ul style="list-style-type: none"> <li>- Legitimacy significantly compromised after the last electoral processes, repression and curtail of political rights</li> </ul>



ASSESSMENT OF CONTEXT INFLUENCE IN HUMANITARIAN CAPACITIES				
Capacity cluster	Thematic area	Score (0-5)	Strengths	Weaknesses
C. Country infrastructures	C.1 National infrastructures	2.5	<ul style="list-style-type: none"> <li>- Good road access to capital town in all districts</li> <li>- Good network of secondary/tertiary roads</li> <li>- Almost full coverage of mobile phone with several companies</li> </ul>	<ul style="list-style-type: none"> <li>- Secondary/tertiary roads in poor condition most of the time, bad maintenance</li> <li>- High corruption in Roads Authority</li> <li>- Low access to electricity in rural areas</li> <li>- Weak performance of Internet services</li> </ul>
	C.2 National Civil Protection services	1.5	<ul style="list-style-type: none"> <li>- Basic organisation and equipment of security forces for emergencies (rescue, transport) across the country</li> </ul>	<ul style="list-style-type: none"> <li>- Low capacity of security forces in emergencies</li> <li>- National civil protection services not connected to humanitarian work</li> <li>- Fire brigade only in main towns</li> </ul>
	C.3 Human Geography	1.5	<ul style="list-style-type: none"> <li>- High capacity of the population to adapt to harsh living conditions</li> <li>- Friendly cultures, open to collaboration</li> <li>- Cordiality and respect for foreigners</li> </ul>	<ul style="list-style-type: none"> <li>- High population growth without enough land, water and other resources</li> <li>- Deforestation, land degradation, water pollution and climate change promote conflicts (land, pasture, water, etc)</li> <li>- Pronounced income disparity between regions and within them</li> <li>- Inter-ethnic conflicts in some regions and yet unsolved north-south division</li> <li>- Women have little power and voice in comparison to men, they are more vulnerable</li> <li>- High population vulnerability, more acute in some regions</li> <li>- Negative effects of climate change</li> </ul>

Table 5.1.2 - HUCOCA assessment of context influence in humanitarian capacities in Uganda

## 5.2 HUMANITARIAN CAPACITY OF THE OFFICE OF THE PRIME MINISTER (OPM)

In Uganda the Office of the Prime Minister assumes the coordination and management of the humanitarian action. There are two separate department, one for Disasters Preparedness and Management (“OPM-Disasters”) and one for Refugees (“OPM-Refugees”). They have a different policy and legal framework and institutional structure.

The institutional framework for disaster management is established in the “National Disaster Preparedness and Management Policy”. Figure 5.2.1 shows the institutional setup for disasters (there is a basic description of the role of the main structures in table 4.1 -section 4-). The OPM “Directorate for Relief, Disaster Preparedness and Management” is the lead agency to coordinate risk reduction, prevention, preparedness, mitigation and response actions, in consultation with other line ministries, Local Governments and other humanitarian stakeholders. Table 5.2.2 summarizes its main functions .

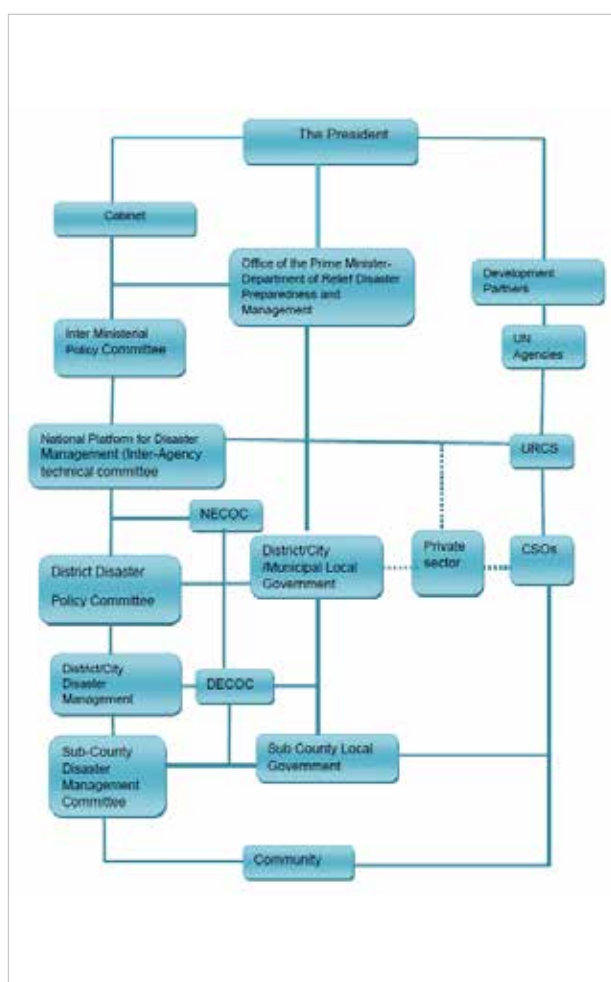


Figure 5.1.1 – Institutional framework for disasters

Functions of the OPM–Directorate for Disasters <sup>10</sup>
<ul style="list-style-type: none"> <li>- Coordinate and implement programmes and policies</li> <li>- Provide overall review and monitoring of the policy</li> <li>- Vulnerability assessment, hazard and risk mapping of the whole country (updated annually)</li> <li>- National preparedness and contingency plan (updated annually)</li> <li>- Annual state of disaster report</li> <li>- Early warning in liaison with other institutions</li> <li>- Emergency operational procedures and standards</li> <li>- Mechanisms for utilisation of contingency funds</li> <li>- Establish task forces for specific disasters</li> <li>- Emergency stocks for immediate response</li> <li>- Coordinate resources to assist disaster victims</li> <li>- Ensure mainstreaming of disaster policies and programs in line ministries and local governments</li> <li>- Create and maintain a national cadre of trained and qualified personnel for disaster management</li> <li>- In-house and other training for public officers and other actors’ humanitarian staff</li> <li>- Disseminate disaster preparedness and management information</li> <li>- General public awareness and education on disasters, emergency plans and relief measures</li> <li>- Public relations and media briefing programmes on hazard and risk management</li> </ul>

Table 5.1.2 – Functions of the OPM-Disasters


10 Government of Uganda, “The national policy for disaster preparedness and management”, October 2010

An assessment of the capacity of the OPM-Disasters office according to HUCOCA thematic areas (see section 2) was not possible due to time constraints of the OPM office at the time of conducting the field work for the HUCOCA assessment. Some remarks follow:

- ✓ Disaster policy is good but it has not been followed by other instruments like common methodologies (DRR, gender, etc).
- ✓ In the last few years the OPM-Disasters has been developing its structure and nowadays it is composed of approximately 20 people including qualified staff in disaster preparedness and management. Several UN agencies (UNDP, WFP, UNWOMEN,...) have been providing capacity building support to the department.
- ✓ NECOC is in place with some people in charge, procedures and basic logistics. Annually there are simulation exercises. Capacity is still limited and affects the quality of the data and information collected.
- ✓ OPM-Disasters organises regular meetings of the Inter-Agency Technical Committee for exchanging learning and priorities but there is no specific plan and investment budget to follow up. Participation of civil society in this platform is weak and irregular.
- ✓ Government capacity to respond to disasters has significantly increased, being relevant in disasters like the Bududa slides or the floods in Teso, among others.
- ✓ An “El Niño” preparedness plan was produced. Hazard Risk and vulnerability profiles for the whole country have been built, not yet finalized.
- ✓ The OPM-Disasters has been training the district/city/sub-county structures foreseen in the policy however in most cases these structures are not regularly working, they only pop up when there is an emergency to respond (see section 5.3).
- ✓ The OPM-Disasters information system is not operating smoothly; the information from the local level does not reach the national level. Dissemination of data is a weakness.
- ✓ Funding for implementing the policy at national and local level seems to be too short and is an important reason for the shortcomings in disasters preparedness and management.

An assessment of the capacity of the OPM-Refugees according to HUCOCA thematic areas was not also possible during the field work for the HUCOCA assessment. Some remarks follow:

- ✓ The legal framework is limited to the Refugee Act of 2006, the Refugee Regulations of 2010 and the Settlement Transformation Strategy. The refugee issue is uniquely integrated into the national development planning, with a refugee policy in process but not yet approved.
- ✓ The current structure, logistics and running costs is strongly supported by UNHCR and has been developing important capacities during last years. In total the OPM-Refugees employs several hundred people in all offices.
- ✓ The OPM-Refugees has field offices in the refugee hosting districts which assume the coordination, settlement management and security at all refugee sites. These offices are relatively well resourced in terms of staff and logistics. OPM-Refugees in field offices have a permanent communication with the central office in Kampala with regular monitoring and reporting.
- ✓ Involvement of local government has been limited however this issue is in process of change thanks to the new developments in the refugee approach in Uganda (see section about refugees in chapter 3).
- ✓ Partners appreciate an improvement in the coordination capacity of the OPM-Refugees however sometimes seems to be some confusion between coordination and supervision.



UNHCR plays a fundamental role in the support to the Government of Uganda to plan and implement the refugee response, according to the international obligations on refugees. They bring the financial resources to run the refugee settlements where a large group of partners are involved:

- ✓ Government (OPM, District Local Governments, some technical departments from ministries, Nsamizi Technical Institute for Social Development, Uganda Police Force)
- ✓ UN agencies (UNFPA, UNICEF, UN WOMEN, WFP and WHO)
- ✓ International organisations (ICRC, IOM)
- ✓ National and international NGOs. There are more than 50 organisations<sup>11</sup>.

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11 In September 2015 (UNHCR report): AAH-U, ACF, ACORD, ACTED, ADC, ADRA, ADR-U-, AHA, AIRD, AMREF, ARC, Care Intl, Caritas, CES-VI, Church World Service, Concern, Cordaid, CRS, DRC-DDG, FENU, Feed the Hungry, FRC, Handicap International, HelpAge, HIJRA, Humedica, IAU, IAS, ICRC, IRC, IRRI, LWF, Malteser Intl, Marie Stopes, MSF, MTI, Oxfam, PAG, PCU/FIDA, Plan, PWJ, Relief Intl, RMF, Samaritan's Purse, Save the Children, , World Harvest Mission, TPO, URCS, VSO, War Child, Welthunger Hilfa, WTU, WVI and ZOA

## 5.3 GOVERNMENT HUMANITARIAN CAPACITY AT DISTRICT LEVEL

In section 3 we have described about 13 different causes of humanitarian disasters in Uganda. In terms of frequency and amount of people affected, some of the most important ones are related to irregular patterns of rain (drought, floods or epidemics). The intensity of the effects varies from one region to another in Uganda, where different farming systems exist (figure 5.3.1).

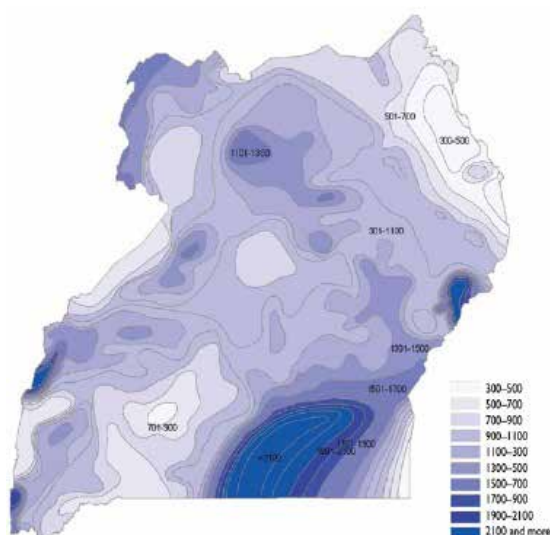


Figure 5.3.1 - Annual average precipitation, mm  
Source: Uganda Meteorological Service

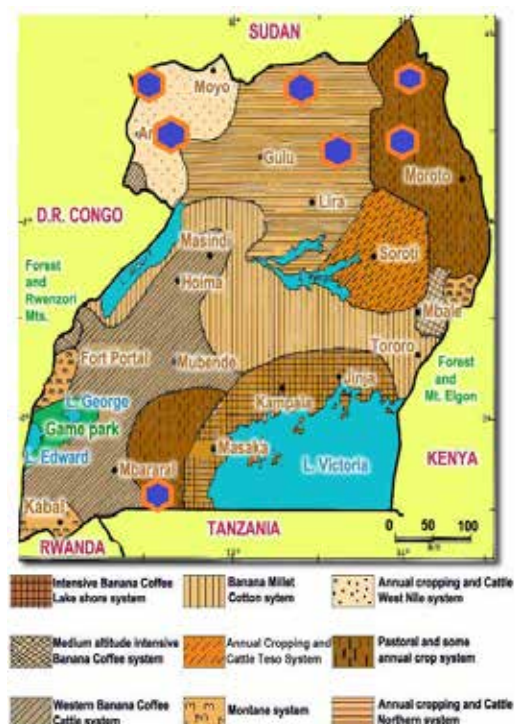


Figure 5.3.2 - Farming systems in Uganda  
Source: <http://www.fao.org/ag/agp/agpc/doc/counprof/uganda.htm>

In order to estimate the humanitarian capacity at district level we should select districts which take into account which takes into account the different types of hazards that Uganda faces. The structural factors which determine the district level capacity are not so different from one region to another, so it is possible to make a basic and reasonably good estimation with a limited number of districts. The 6 districts selected in the North of the country and 1 district in the South-West provides us a picture good enough for the purposes of this study. They are some of districts most affected by irregular pattern of rains. The inclusion of the Isingiro district in the South-West also adds information in terms of dealing with refugees, another key humanitarian issue in the country. We note however that refugees also feature in Lamwo (entry point) and both Koboko and Arua districts as hosting communities.

Tables 5.3.3 to 5.3.5 provide some basic data about the 7 districts selected. Districts are very different in size (largest one is 10 times bigger than smallest) and population (most populated has 6 times more than least populated). Population density is also very different varying from 23 people/km<sup>2</sup> in Kaabong to 272 in Koboko (statistics of Arua, Isingiro and Koboko include refugee population). Climatic conditions are also very different, ranging from the semi-arid lands in Karamoja region to equatorial conditions in the South.

These districts are inhabited by people from the main culture groups of the rich diversity of Ugandan people (Bantu, Nilotics and Madi-Moru or Sudanic).

Indicators	Agago	Arua	Isingiro	Kaabong	Koboko	Kotido	Lamwo
Area (Km <sup>2</sup> )	3,503	4,274	2,564	7,300	760	3,618	5,598
Capital	Agago	Arua	Isingiro	Kaabong	Koboko	Kotido	Lamwo
Total population	227,792	782,077	486,360	167,879	206,495	181,050	134,379
Population density (people/Km <sup>2</sup> )	65	183	190	23	272	50	24
Total number of households	43,418	146,714	101,744	29,211	30,284	26,192	27,185
Average people per household	5.2	5.3	4.8	5.7	6.8	6.9	4.9
Average rainfall, mm	1,330	1,250	1,200	519	1,250	519	
Municipalities, number		1					
Town councils, number	2	2	1	1	1	1	
Sub-counties, number	12	27	11	13	6	5	
Parishes, number	69	162	65	82	47	25	
Villages, number	545	1,336	596	533	389	168	
Local/national NGO, number				7	6		
International NGO, number				8	8		

Table 5.3.3 - Basic data of the 7 districts included in the sample<sup>12</sup>

Agago	The district generally has flat landscape with intervals of undulating appearance especially on the eastern side. The climate is tropical with a wet season from April to November with highest rainfall peaks in April and August. Dry season extends from December to March. The average annual rain fall is 1,330 mm.
Arua	Several topographical zones from the rolling plains rising from the Nile floor in the rift valley (600m above sea level) to the Congo - Nile water divide (1200 to 1400 meters above sea level). The wettest months are normally august and September, with light rains between April and October. Average rainfall is: 1,250 mm
Isingiro	Isingiro district has a diverse geography from steep hills to deep valleys. It enjoys equatorial climate with an average rainfall of 1,200 mm. It has two main rainy seasons during the months of March to April and September to November in each calendar year. Some areas face dry spells.
Kaabong	Semi-arid climate. Intense hot season lasting from November to March each year. Rainy season from April to August, distributed unevenly. Long dry season from October to February with dry spells in June to August. Heavy winds and dust storms between December and April. Average rainfall: 519 mm
Koboko	Mainly flat rolling plains with isolated undulating hills in the western and northern parts. The wettest months are normally august and September, with light rains between April and October. Average rainfall: 1,250 mm
Kotido	Semi-arid climate. Intense hot season from November to March. The rainy season starts from April to August. Average rainfall is about 519 mm per annum which is sparse, unevenly distributed. Long dry season from October to February with dry spells in June to August.

Table 5.3.4 - Main climatic features in the sample of districts<sup>13</sup>

12 Uganda Bureau of Statistics, National Population and Housing Census 2014; Uganda Bureau of Statistics, Uganda Census of Agriculture 2008/2009; <http://www.ubos.org/>; Local Government District Abstracts (all districts except Lamwo and Agago, updates between 2009 and 2013).

13 Local Government District Abstracts (all districts except Lamwo and Agago, updates between 2009 and 2013)

Koboko	Main people are Kakwa, from the Nilotic group. They are mainly subsistence farmers, but also keeping cattle, goats and sheep.
Arua	Main people are Lughara, from the Madi-Moru group speaking a sudanic language. Their tradition is agriculture and they also raise cattle and small livestock.
Agago & Lamwo	The majority of the population are Acholi, from the Nilotic group Luo, speaking Luo. They practise mix-farming, raising cattle, goats and sheep at the same time they practise agricultura.
Kotido	The majority are Jie from the Ngijie speaking group of the Karamojongs. They are mainly Pastoralists. There are also traces of Luo speaking people in the District.
Kaabong	Five sub-groups belonging to the Karimojong group. They are Dodoth (63%), Napore (26%) Nyangea (1,9%), all of them speaking Ngakarimojong. Ik (3.2%) and Mening (0.4%) speak their own languages.
Isingiro	The majority of the people are Banyankore, from the Bantu group.



Table 5.3.5 - District cultures in the 7 districts <sup>14</sup>

Three of the seven districts are hosting refugee population (Table 5.3.6). There are field offices of the OPM in the districts (one in Arua –for both Arura and Koboko districts- and one in Isingiro) to manage the refugee settlements, in close collaboration with UNHCR. Other UN agencies and NGO are also providing services. An assessment of the OPM-Refugees capacity to manage the refugee issue has been given in section 5.2, including capacity at central level and capacities at district level.

District	Refugee settlement	Refugee population (Feb 2015)	% district population
Isingiro	Nakivale	73,118	14%
	Oruchinga	5,293	8%
Arua	Rhino Camp	19,387	2%
Koboko	Lobule	4,745	2%

Table 5.3.6. Refugee population in the 3 districts assessed

In the 7 districts, disasters like drought and floods affect mainly people depending on subsistence farming, which are the large majority (between 72 and 92% of the total number of households, Table 5.3.7). Drought affects a large part of the population, between 39% and 69% of the agriculture households, while floods reach figures over 20% in several districts. Some districts are also heavily affected by hail storms.

Indicators	Agago	Arua	Isingiro	Kaabong	Koboko	Kotido	Lamwo
Total households <sup>3</sup>							
% HH practicing subsistence farming	92%	78%	78%	81%	72%	74%	89%
% HH receiving remittances	6%	77%	10%	23%	25%	31%	18%
% HH less than two meals a day	32%	88%	11%	60%	5%	53%	11%
Agriculture households <sup>4</sup>							
Total number of agriculture HH		62,729	57,506	31,368	23,886	21,683	
% of ag HH headed by women	38%	21%	21%	37%	17%	35%	26%
% of ag HH having experienced food shortage	61%	39%	74%	60%	44%	40%	79%
% of ag HH having experienced drought	54%	39%	69%	59%	43%	36%	77%
% of ag HH having experienced floods	10%	13%	22%	9%	4%	25%	27%
% of ag HH having experienced hail storms	25%	13%	29%	9%	14%	25%	39%

Table 5.3.7. Households affected by main natural disasters in the 7 districts assessed



The above data reveals that preparedness and response in front of natural disasters is an important issue in all districts assessed. In this section we are assessing the Government capacities at district level in order to prepare and respond to humanitarian disasters (except the Refugee issue).

Figure 5.2.1 in section 5.2 describes the Government structure to deal with humanitarian disasters in Uganda. At local level, the policy plan includes the existence of a District Disaster Policy Committee (DDPC) and 3 types of management committees (District Disaster Management Committee -DDMC-, City Disaster Management Committee and Sub-County Disaster Management Committee).

Chaired by the District Chairman and composed of the district political representatives, the DDPC should give policy direction to the DDMC and provide a link with other local government structures for disaster management. The law states that the DDMC shall be chaired by the Chief Administration Officer (CAO) and be comprised of district heads of department, other relevant government agencies at district level and partners like Red Cross Society and relevant NGOs operational in the district. Table 5.3.8 summarizes the main functions of the DDMC.

Functions of the District Disaster Management Committee
<ul style="list-style-type: none"> <li>- Vulnerability assessment, hazard and risk mapping (updated annually)</li> <li>- District preparedness and contingency plan (updated annually)</li> <li>- Annual district state of disaster report, including planned actions for the next year</li> <li>- Coordination of disaster relief and post-disaster recovery measures</li> <li>- Implementation of disaster preparedness activities</li> <li>- Assure mainstreaming of disaster management in district plans</li> <li>- Submission of reports to the OPM-Disasters office at national level</li> <li>- Monthly review, monitoring and reporting meetings</li> <li>- Submit an annual budget for disaster management to the district council</li> <li>- Ensure other key district institutions develop their disaster plans (schools, hospitals, etc)</li> </ul>

Figure 5.3.8 - Functions of the DDMC<sup>15</sup>

When an emergency happens at district level, a District Emergency Coordination and Operations Centre is to be formed (DECOC). Headed by the District Police Commander, it shall be composed of some Government agencies, armed forces, Red Cross and Assistant CAO. Several police officers should assure permanent operational coordination during the emergency. DECOC shall report to NECOC (National Emergency Coordination and Operations Centre) and to the CAO.

According to the disaster policy, the DDMC should take care of the long term work in disaster management, including preparedness and response. However at the first phase of an emergency, DECOC should coordinate the assessment and response, according to NECOC and CAO orientations. In practice, for small scale emergencies, the DECOC is not activated and the DDMC operates as the main body. However in some districts the DDMC is chaired by the RDC (Resident District Commissioner) instead of CAO, somehow mixing the role of both committees in one.

In Annex 4 we have compiled basic information about the hazards that the 7 districts of our sample have been experiencing during the last years and their effects on people. In each district, for each hazard we have analysed with Government officials the level of preparedness and the type of response the district has done in recent years, resources available, capacities to strengthen and functioning of the DDMC.

Based on the information in Annex 4 and interviews with different stakeholders in each district, in next table we have summarized a HUCOCA district average humanitarian capacity analysis.

15 Government of Uganda, "The national policy for disaster preparedness and management", October 2010



ASSESSMENT OF DISTRICT GOVERNMENT HUMANITARIAN CAPACITIES (Except refugees)			
Capacity cluster	Thematic area	Score (0-5)	Main remarks
1. Identity and Mission ("Who & Why")	1.1 Values ; Mandate; Purpose	1.5	<ul style="list-style-type: none"> <li>- Disaster policy establishes a clear mandate and role for district level</li> <li>- Policy procedures applied during emergencies</li> <li>- Some humanitarian actions during last years</li> <li>- Contingency budget (small amount)</li> <li>- Poor policy implementation out of phases of crisis</li> <li>- Low commitment of staff</li> <li>- No updated DRR or contingency plans</li> <li>- No budget for DDMC</li> <li>- No preparation to respond quickly</li> </ul>
	1.2 Leadership; Attitudes	1.5	<ul style="list-style-type: none"> <li>- Important role and potential capacity of District Government structures recognised by everybody</li> <li>- OPM-Disasters not leading the work in districts, only appears if there is a crisis</li> <li>- No follow up of DDMC activity by OPM-Disasters</li> <li>- In all 7 districts DDMC is not operating (except in periods of crisis)</li> <li>- CAO overcharged, not leading in practice. In some districts RDC is leading, which is not the policy</li> <li>- DDMC leadership only appears during crisis, unable to show permanent commitment with humanitarian work</li> <li>- District leadership not ready to lead an effective response to a crisis</li> <li>- District management systems not adapted to emergency response with accountability and quality control</li> </ul>
2. Managerial Capacities ("Hard How")	2.1 Finances	2	<ul style="list-style-type: none"> <li>- Relevant activities in risk reduction (no estimation of total investment)</li> <li>- In most districts not all budget is received and it is not fully executed. District budgets do not take enough into account capacity and merits</li> <li>- Contingency fund in some districts (less than 25 million UGX, 6,000 €)</li> <li>- Small investment in humanitarian response (mainly some social protection programs to highly vulnerable people like OVC, HIV/AIDS, older persons, people with disabilities)</li> <li>- No money from international actors managed by district government structures</li> <li>- Availability of Government budget and accounting system/procedures, but not able to allocate and manage donor funds at district level</li> <li>- Competent staff in finances and accounts, but procedures not adapted to humanitarian response</li> <li>- There is a strong Government capacity at national level to pre-finance emergency operations</li> </ul>
	2.2 Human Resources	2.5	<ul style="list-style-type: none"> <li>- The total number of staff at district level is not reaching in any of the 7 districts the 50% of the staff foreseen; it is lower at sub-county level.</li> <li>- In some cases the district departments are seriously understaffed. Officers are overworked and unable to meet their goals.</li> <li>- At district level all technical staff is qualified; at sub-county level most of the staff are community development workers.</li> <li>- Staff usually include well skilled technicians, there is an important capacity not used enough for humanitarian work, they should be able to do a lot more. Capacity varies a lot between districts and between departments within districts.</li> <li>- Few staff has received training in humanitarian action.</li> <li>- Difficult to motivate civil servants, allowances are critical. There is need to change attitudes.</li> <li>- Government human resources policy/procedures are not adapted to tackle emergency needs for a rapid scaling up when a disaster hits.</li> </ul>
	2.3 Logistics ; Time	2.5	<ul style="list-style-type: none"> <li>- Offices at district level are usually having conditions good enough</li> <li>- Staff are usually well communicated but there are weaknesses which may limit performance during emergencies</li> <li>- Computers are available but usually there are significant problems in their conditions</li> <li>- At district level some departments have 1-2 vehicles but others have none at all. There are some motorbikes in all departments and some at sub-county level. Transport remains an important constraint for day to day work (availability of vehicles and fuel); it is good for emergency assessment but very limited for emergency response</li> <li>- There are some warehouses for stockpiling/storage</li> <li>- There is no specific logistics structure or procedures for emergency response</li> <li>- District staff is very important to assess humanitarian needs, however need training. If Government funds are available they should play an important role to initiate response as soon as possible, however they are not competent to design humanitarian interventions.</li> </ul>

ASSESSMENT OF DISTRICT GOVERNMENT HUMANITARIAN CAPACITIES (Except refugees)			
Capacity cluster	Thematic area	Score (0-5)	Main remarks
	<b>2.4 Analytical; Strategizing; Planning</b>	2	<ul style="list-style-type: none"> <li>- At the district level, district level has not got enough space to reflect and plan humanitarian strategies; usually they are constrained to the implementation of plans/programs from the national level. Policy/strategy analysis is usually not done at district level. There are not DDMC plans integrated in district plans.</li> <li>- Some districts have done in the past disaster risk reduction plans but they have not been implemented nor updated. However the plans of departments usually integrate risk reduction strategies.</li> <li>- There are not contingency plans for emergencies. Early warning is very poor or sometimes inexistent.</li> <li>- Stakeholder forums and coordination bodies are frequent with a prominent role from Government district authorities.</li> </ul>
	<b>2.5 Programme management and learning</b>	2	<ul style="list-style-type: none"> <li>- There are several Government programs under implementation, managed through the formal structure of a District Government (including any emergency response).</li> <li>- Programs are managed according to Government procedures, usually based on activity execution and poor monitoring and evaluation of results. These procedures do not match common humanitarian methodologies and tools. There are not monitoring and evaluation structures or systems in place. Implementation do not feed any formal learning process, they are rare.</li> <li>- Cross-cutting issues are not formally considered in the implementation of humanitarian programs, only some best practices are applied.</li> <li>- District Governments are poor in terms of promoting staff learning and training.</li> <li>- Coordination of emergency response with other functional structures (planning, finances,...) is constrained by procedures which are not adapted to emergencies.</li> </ul>
	<b>2.6 Governance, structure and processes</b>	1.5	<ul style="list-style-type: none"> <li>- There is a good disaster policy however there is some confusion in the role and leadership of DDMC at the time of small scale emergencies.</li> <li>- DDMC are not working as expected; they only appear when there is a major crisis or sometimes stimulated by NGO. Good facilitation is generally a problem.</li> <li>- So DDMC is not performing their tasks (assessments, preparedness and contingency plan, reports, coordination of implementation activities, etc)</li> <li>- DDMC suffers of lack of budget, poor link with sub-counties, lack of situation information, no link and demand from the national level.</li> <li>- CAO is too overcharged to lead the DDMC.</li> <li>- Out of major emergencies there is no coordination between Government structures for humanitarian work, and with other stakeholders</li> <li>- Job descriptions of Government staff do not integrate humanitarian work</li> <li>- The lack of humanitarian planning means that the Government functioning would be seriously affected in case of a response to a large emergency</li> </ul>
	<b>2.7 Networking and alliance building</b>	2.5	<ul style="list-style-type: none"> <li>- Interaction between district offices and NGO/CBO is common and regular but not well framed in district humanitarian plans</li> <li>- District Government structures are key in promoting relevant development and humanitarian coordination spaces, but practice is poor in terms of humanitarian preparedness</li> <li>- Learning from such coordination spaces is not generated and disseminated</li> <li>- It is frequent some degree of mistrust of Government officials towards other actors</li> </ul>
	<b>2.8 Communications. Advocacy</b>	0.5	<ul style="list-style-type: none"> <li>- Formal communication is very limited and cautious and poorly planned</li> <li>- Communication is specially weak in relation to needs assessment and emergency response</li> <li>- What to communicate and how in relation to an emergency is managed as a sensible political issue</li> <li>- Humanitarian learning is not used to advocate at national level to improve humanitarian preparedness and response</li> </ul>
	<b>2.9 Institutional risk management</b>	0.5	<ul style="list-style-type: none"> <li>- Financial risks are not well managed and corruption remains high</li> <li>- Other risks in terms of achieving institutional goals are not formally managed</li> <li>- No specific procedures and tools are applied for an effective emergency response</li> <li>- Government structures are not able to scale up their humanitarian operations keeping their risks under control</li> </ul>

ASSESSMENT OF DISTRICT GOVERNMENT HUMANITARIAN CAPACITIES (Except refugees)														
Capacity cluster	Thematic area	Score (0-5)	Main remarks											
3. Approach, Commitment (“Soft How”)	3.1 Gender Approach	1.5	<ul style="list-style-type: none"><li>- Gender is an issue of growing importance in all institutions, however most of the government officials have not received any specific training on gender and gender is not the strong cross-cutting issue that should be</li><li>- Women are not more than 20% of the technical staff at district level.</li><li>- In some district councils women members are close to 50%, but generally they are less than 25%</li><li>- There is no gender policy to address gender issues in humanitarian response</li></ul>											
	3.2 Conflict sensitivity. Rights approach	2	<ul style="list-style-type: none"><li>- Government offices have a good understanding of the potential conflicts but they have limited experience in humanitarian response.</li><li>- Quite often they are involved in assessing and/or managing different types of conflicts; however they have not received any specific training for it.</li><li>- Government offices do not make rights analysis and do not plan their interventions according to those analyses.</li></ul>											
	3.3 Connectedness, resilience and DRR	2	<ul style="list-style-type: none"><li>- The concept of resilience is known.</li><li>- The concepts about disaster risk reduction are known but there are not specific plans.</li><li>- Risk reduction is part of the activity of most of Government program despite it has not been addressed as such.</li><li>- Link between emergency response, recovery and development is very poor. Emergency response is very weak, in most cases there are not recovery plans after disasters, only programs dealing with certain issues but usually not connected to the emergency direct consequences.</li></ul>											
	3.4 Highly vulnerable groups	2.5	<ul style="list-style-type: none"><li>- There is limited attention to highly vulnerable groups through Government social programs (OVC, HIV/AIDS, older persons, people with disabilities)</li><li>- There is some expertise/experience in dealing with highly vulnerable groups through the department of Community Based Services.</li></ul>											
4. Technical Expertise (“What”)	4.1 Competences in WASH, EFSVL & Others	2	<ul style="list-style-type: none"><li>- Government offices have usually good expertise and capacity in relevant sector for humanitarian work.</li><li>- The next table summarizes the estimation of the capacity of preparedness and response of Government officials (See Annex 4). Average estimated level of preparedness is 3.8/10 and average estimated capacity to respond 4.1/10.</li></ul>											
			Hazards		Estimated level of preparedness (0/10)			Estimated capacity to response (0/10)						
					Isingiro	Kaabong	Koboko	Kotido	Lamwo	Isingiro	Kaabong	Koboko	Kotido	Lamwo
			Drought / prolonged dry spell		3	4	4	4.5	2	4	4	3		3
			Animal diseases		5	5			4	6	6			6
			Pests and crops diseases				5					7		
			Human diseases			4		3						2
			Floods			5		2	2					3
			Heavy rains/hail storms				4	2				3		
			Wild fires, wild animals			5		1.5			3			
	Conflicts (land, cattle)					6	5					3		
4.2 Standards’ compliance. Quality management	0.5	<ul style="list-style-type: none"><li>- Government staff do not know about humanitarian standards.</li><li>- No monitoring of the application of humanitarian standards is done.</li><li>- Progress towards quality management is poor.</li><li>- There are no indicators to manage quality at institutional level</li></ul>												

ASSESSMENT OF DISTRICT GOVERNMENT HUMANITARIAN CAPACITIES (Except refugees)			
Capacity cluster	Thematic area	Score (0-5)	Main remarks
5. Size Capability ("How much")	5.1 Capacity to increase resources	2.5	<ul style="list-style-type: none"> <li>- Total size of Government services in comparison to other humanitarian actors is big.</li> <li>- There is a large presence in all the territory (districts and sub-counties).</li> <li>- There are relevant activities in risk reduction (no estimation of total investment). Contingency fund are small (less than 25 million UGX, 6,000 €). Investment in humanitarian response is small.</li> <li>- There is a strong Government capacity at national level to pre-finance emergency operations, but no capacity at district level to raise funds from international actors</li> <li>- Human resources include well skilled technicians, there is an important capacity not used enough for humanitarian work.</li> <li>- District staff is very important to assess humanitarian needs, however need training. If Government funds are available they should play an important role to initiate response as soon as possible, however they are not competent to design humanitarian intervention according to donor requirements.</li> </ul>
	5.2 Geographical outreach	4.5	<ul style="list-style-type: none"> <li>- Strong field presence in all territory.</li> <li>- Relationship with all other stakeholders, with capacity to play a leading role.</li> <li>- Coverage of all local languages.</li> </ul>

Table 5.3.9. HUCOCA estimation of the average Government humanitarian capacity at district level (Refugees not included)

Figure 5.3.10 summarizes the average capacity: 5 of the 19 thematic areas have scored between basic and medium level (2.5: Human Resources, Logistics, Networking, Highly vulnerable groups, Capacity to increase resources); 6 thematic areas have a basic score (2: Finances, Analysis & planning, Programme management, Conflict sensitiveness & rights, Connectedness & DRR, Technical Competences); 4 thematic areas are below basic level (1.5: Values, Leadership, Governance & structure, Gender) and 3 below minimum level (0.5: Communications & advocacy, Institutional risk management, Humanitarian standards & quality management); only 1 thematic area is above the medium level (4.5: Geographical outreach). A mid-term objective should be that all thematic areas score at least 3, the medium level.

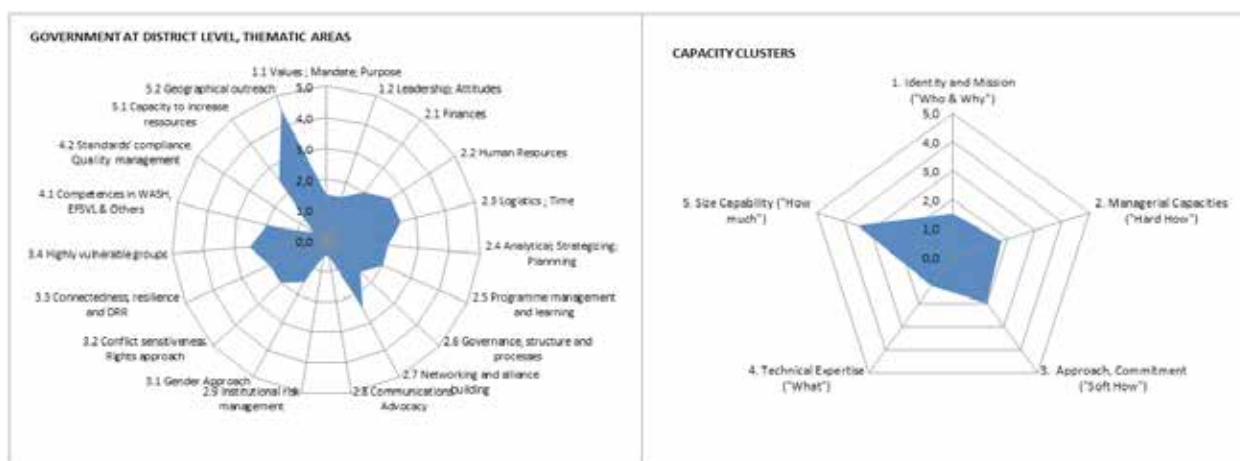


Figure 5.3.10 - Government humanitarian average capacity at district level

## 5.4 HUMANITARIAN CAPACITY OF NON GOVERNMENTAL ORGANISATIONS

A total of 16 national and local NGOs/CBOs have been interviewed in order to assess their humanitarian capacities. Just a few of them can be considered a humanitarian NGO in the sense they have clearly integrated the Humanitarian Mandate and they are responding to humanitarian crises. Most of the rest are NGO/CBO with a relevant work in terms of preparedness, risk reduction and strengthening of people's resilience, with some of them eventually participating in humanitarian response. However the majority of these organizations have potential to develop capacities and perform a stronger role in humanitarian preparedness and response. Using the HUCOCA methodology, table 5.4.3 describes the collective strengths and weaknesses of the humanitarian capacity of this group of NGOs/CBOs.

Figure 5.4.1 summarizes the average capacity. Most of the thematic areas score around the basic level (2), only the geographical outreach scores medium level (3). The weakest areas are humanitarian standard's compliance, communications/advocacy and institutional risk management.

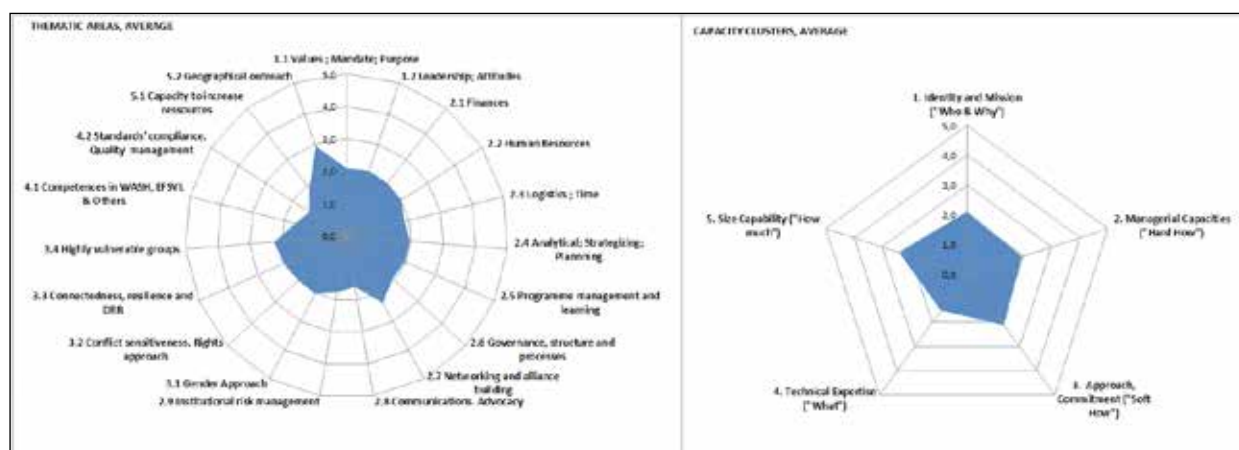


Figure 5.4.1 – Average humanitarian capacity of 16 national and local NGO/CBO analysed

However there are big differences from one organisation to another: figure 5.4.2 shows minimum and maximum capacity, revealing that there are organisations with good capacities in most of the thematic areas. Sector competencies appear as the only thematic area where no NGO/CBO scores the medium level (3).

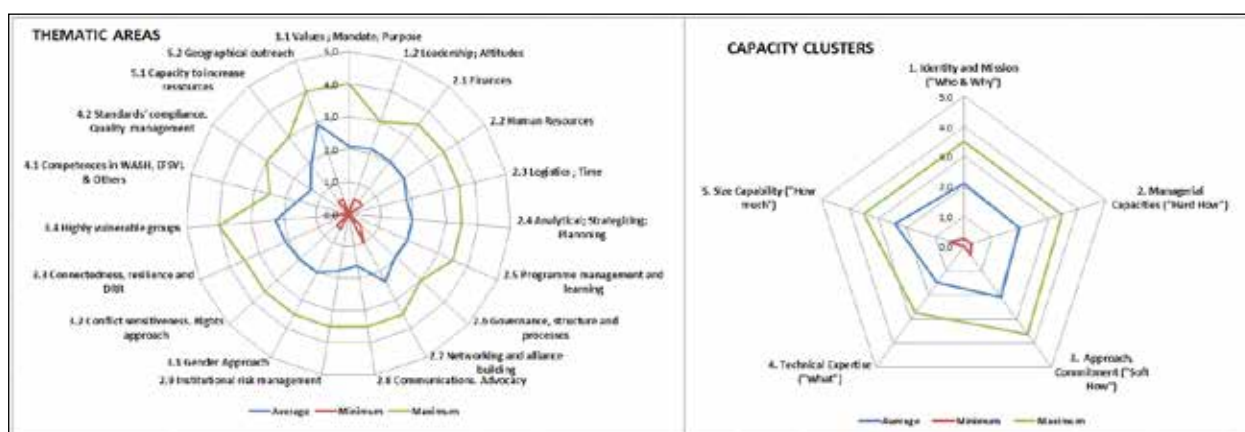

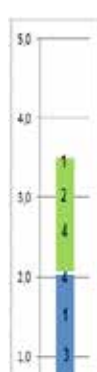


Figure 5.4.2 – Minimum and maximum capacity of 16 national and local NGO/CBO analysed

A goal to achieve is to develop capacities of NGO/CBO in order they collectively score over medium level (3), and individually at least they score basic level (2) in all thematic areas.

Table 5.4.3 - HUMANITARIAN CAPACITY ASSESSMENT OF LOCAL/NATIONAL NGO		
Thematic area	Score (0-5)	Main remarks
<b>1. Identity and Mission ("Who &amp; Why")</b>		
<b>1.1 Values ; Mandate; Purpose</b>	2,1	<ul style="list-style-type: none"> <li>- 4 organisations have explicitly integrated the Mandate in their organisations and their plans are in accordance, while other 4 take humanitarian into account but it is not very well developed/planned.</li> <li>- 4 organisations plan and mainstream DRR in all their projects; 2 in some specific components; 8 more are not planning DRR but they perform relevant work in terms of risk reduction and resilience.</li> <li>- 5 organisations have their values well defined and disseminated; 5 have values defined but basic, rhetoric or with limited appropriation; other 4 mention basic values which have not been formalised or regularly shared.</li> <li>- Only 2 national organisations have a humanitarian structure, based in Kampala; other 4 organisations have skilled humanitarian staff, but no humanitarian structure.</li> <li>- Only 1 organisation has specific procedures to analyse and respond to emergencies; other 5 have some specific humanitarian practices but they have not been formalised.</li> <li>- 3 organisations can initiate small-scale interventions; 3 others are able to plan quickly an immediate response if there is donor money.</li> <li>- 7 organisations have been significantly involved in humanitarian projects during the last 5 years and 7 more have implemented some humanitarian projects.</li> </ul>
<b>1.2 Leadership; Attitudes</b>	2,1	<ul style="list-style-type: none"> <li>- Only in 4 cases Institutional Governance and Operations are clearly separated; in 6 cases structures are in place but there are interferences or no clear separate roles; in other 5 cases a few people controls everything or the Board is not solid.</li> <li>- Only in 2 cases there is rotation in the leadership; in most cases a few people are controlling the organisation during many years.</li> <li>- In only 3 cases specific mechanisms are used to analyse and take decision about emergencies, in most other cases they deal with emergencies with exactly the same procedures than development work.</li> <li>- In 4 cases the leaders of the organisation are highly committed with humanitarian, while in most other cases it is very depending on other institutional issues and donors.</li> <li>- No organisation has played a leadership role in coordinating the response to emergencies, while 13 have been participating actively in humanitarian work.</li> <li>- 8 organisations have good recognition for their contribution to humanitarian, however only one has specific reputation as a humanitarian organisation.</li> <li>- In some organisations there are good leadership skills to deal with humanitarian work, but in general this is an issue that needs to be strengthened.</li> <li>- All organisations have weaknesses in terms of commitment and/or systems to ensure accountability, good management and quality control.</li> <li>- In 3 cases there is a monitoring an evaluation system applied to projects; in other 7 cases M&amp;E is very project-based; in other cases is very basic.</li> <li>- In most of the organisations there are regular exchange and learning spaces for all staff and members.</li> </ul>

Table 5.4.3 - HUMANITARIAN CAPACITY ASSESSMENT OF LOCAL/NATIONAL NGO		
Thematic area	Score (0-5)	Main remarks
<b>2. Managerial Capacities ("Hard How")</b>		
<b>2.1 Finances</b>	2,1	<ul style="list-style-type: none"> <li>- During the last 3 years only 2 organisation have had an annual funding bigger than 1 M€; 2 others bigger than 0.5 M€; 4 others bigger than 0.2 M€.</li> <li>- During the last 3 years only in 3 cases the annual humanitarian funds have represented more than 40% of the total income.</li> <li>- 7 organisations have a good base of donors; 4 more are not enough diversified; 5 are depending on 1 donor or eventual donations.</li> <li>- 4 organisations gets funds regularly from UN agencies; 3 got it in the past or eventually</li> <li>- During the last 3 years only 1 organisation had an average annual income of own funds bigger than 50,000 €; 2 others bigger than 10,000€; 5 others with less than 3,000€; others nothing.</li> <li>- 8 organisations have an institutional accounting system in place, despite almost all need a parallel Excel reporting to donors; 3 organisations are running their accounts only with Excel; 5 more have very weak systems.</li> <li>- 6 organisations manage and annual budget, including detailed running costs and the total cost of projects; 5 more monitor only basic running costs and projects; 4 only account projects. No organisation is able to produce financial reports to donors with the data from their accounting system; they need a parallel Excel system.</li> <li>- 15 organisations have financial and administration management procedures, 6 advanced and 9 basic.</li> <li>- Only 1 organisation has financial and administration procedures adapted to emergency response; 4 others use ad hoc adaptations.</li> <li>- 7 organisations are running annual institutional audits and auditing projects; 5 more are only auditing projects.</li> <li>- No organisation has formal procedures and tools to monitor financial risks</li> <li>- 5 organisations have competent staff in finances and accounts; 10 more have basic competences in accounting.</li> <li>- Only 2 organisations have some capacity to pre-finance emergency operations; 4 more are limited to needs assessments and prepare delivery.</li> <li>- 5 organisations have capacity to manage large amounts of money (&gt; 1 M€); 1 more than 350,000€; 5 more than 100,000€; 5 less than 100,000€.</li> </ul> 
<b>2.2 Human Resources</b>	2,0	<ul style="list-style-type: none"> <li>- 2 organisations have more than 100 staff; 2 others more than 50; 4 others more than 15; others less than 15.</li> <li>- In 3 organisations the % of women in all staff is 50% or more; in other 8 cases is bigger than 30%; in only 1 case the % of women in technical staff is at least 50%; in other 6 cases is bigger than 30%.</li> <li>- In 4 cases the average time of staff staying in the organisation is higher than 5 years; in other 7 cases is higher than 3 years; in other cases is lower, usually due to lack of funding.</li> <li>- Technical staff has university education in almost all partners, only in two cases some staff do not have (except community workers).</li> <li>- There are not humanitarian thematic experts in the organisations; only in 1 case there are thematic program coordinators; most of the partners have staff with education and experience related to humanitarian sectors, but only in one case the staff have been systematically trained in humanitarian issues.</li> <li>- Total number of thematic expert staff with more than 3 years of experience in humanitarian response</li> <li>- Only in 2 cases the organisation provides humanitarian induction and training systematically; in other 2 cases there are regular training opportunities; in other 6 cases eventually; in other 6 cases very little training or nothing at all seem to be the case.</li> <li>- Only 2 organisations have a specific structure to manage human resources; in other cases it is included in administration and/or combined with program management or directly managed by the director.</li> <li>- Only 1 organisation has human resources policy/procedures to deal with emergency needs for a rapid scaling up when a disaster strikes; in 2 others there are basic issues inserted into a general HR policy; 3 more organisations have a HR policy without specific humanitarian consideration.</li> <li>- Only 1 organisation has a security policy/protocol and staff trained on it; other 2 organisations have basic criteria.</li> <li>- 13 organisations have volunteers, increasing their humanitarian capacities; however in only 3 cases these volunteers have been trained in humanitarian.</li> </ul> 





**Table 5.4.3 - HUMANITARIAN CAPACITY ASSESSMENT OF LOCAL/NATIONAL NGO**

Thematic area	Score (0-5)	Main remarks	
2.3 Logistics ; Time	1,8	<ul style="list-style-type: none"><li>- Almost all have headquarters with good conditions for work, or reasonably good, only in 1 case not. These are rented premises, except in two cases.</li><li>- Almost in all organisations the organisation provides communication equipment or allowances to staff, only in 2 cases communication is a problem.</li><li>- In 8 organisations technical staff have computers in good condition; in other 6 organisations there are weaknesses, mainly in field offices.</li><li>- 12 organisations have cars at headquarters: 2 have 5; 4 have 3-4; 6 have 1-2</li><li>- Only 5 organisations have cars in their field offices; transport in field offices is mostly by motorbikes, which also gives staff better access to some otherwise difficult motorable areas. Only 2 organisations have no transport vehicle at all.</li><li>- Only 2 organisations have big warehouses for stockpiling/storage (more than 60 tonnes); 3 others have small stores (less than 20 tonnes). There are some facilities at community level.</li><li>- Only 3 organisations have staff with emergency logistics expertise; only 1 organisation has a logistics officer; all other organisations have not specific logistics staff.</li><li>- 3 organisations have logistics policy/procedures adapted to emergencies; other 6 organisations are using general logistics guidelines; others have no logistics guideline.</li><li>- No organisation has emergency stocks.</li><li>- 6 organisations have skilled staff to assess humanitarian needs (at least 3 people), in 1-2 days; 6 others less than 3 staff and more days; 4 are not able.</li><li>- 6 organisations have staff who can prepare a humanitarian profile/project proposal (in most cases external assistance will be needed); 7 others have staff but with very limited availability; 3 cannot.</li></ul>	
2.4 Analytical; Strategizing; Planning	2,0	<ul style="list-style-type: none"><li>- 5 organisations have a good process of reflection of their work and a strategic plan; 10 others do also strategic planning: in some cases based on external support, in other cases not solid or well-focused, in other cases only at national level and poor local link.</li><li>- In most cases there is no context analysis, in others cases the analysis is basic or not formal. There are no analyses of the internal context.</li><li>- Only in 4 organisations DRR is well integrated in the strategic plan; in other 4 cases it is done partially, not clearly or only for some components.</li><li>- Only in 3 organisations there is capacity for a continuous analysis of the humanitarian situation and response according to capacities; in other 9 cases the capacity is limited to a basic analysis of the humanitarian context.</li><li>- 8 organisations participate actively in stakeholder groups to analyse the humanitarian context and plan a response, one of them is considered a good reference; in other cases the participation is episodic or related to specific issues.</li></ul>	



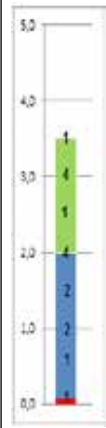
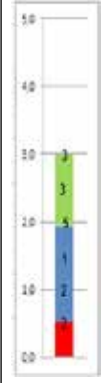
Table 5.4.3 - HUMANITARIAN CAPACITY ASSESSMENT OF LOCAL/NATIONAL NGO			
Thematic area	Score (0-5)	Main remarks	
2.5 Programme management and learning	2,0	<ul style="list-style-type: none"> <li>- In 7 organisations the program staff have a reasonable understanding of the project cycle and tools; in other 5 only a few people have such knowledge.</li> <li>- Only in one case there is a formal induction program for new staff; in other 2 cases induction takes place through ad-hoc mechanisms; in other 9 cases it is bases in the guidance and follow-up of the line manager.</li> <li>- In only 2 cases staff has relatively good access to education or training; in 8 cases it depends on eventual opportunities through projects; in others there are not opportunities or very few.</li> <li>- In most of the organisations there are regular exchange and learning spaces for all staff and members.</li> <li>- Only 2-3 organisations can afford several programme managers related to specific program components; 8 organisations works through just one program manager and several project coordinators; 5 cannot even afford a program manager.</li> <li>- In 8 cases there is a basic coordination between programmes and other functional structures; in other cases there are not functional structures, only assistants in some of them.</li> <li>- In 3 cases there is a monitoring an evaluation reference system to apply to projects; in other 7 cases M&amp;E is very project-based; in other cases is very basic.</li> <li>- In 4 cases there is an institutional structure providing tools and guidance for M&amp;E; in 3 other cases there are efforts but it is not yet solid.</li> <li>- In only 1 case there are procedures/tools in place to feed learning with monitoring and evaluation; in other 9 cases there are not formal mechanisms but some learning is flowing.</li> <li>- No organisation has documented their humanitarian intervention strategies and methodologies, despite some of them have significant expertise or experiences.</li> <li>- As a consequence learning is weakly capitalised through learning documents and learning spaces.</li> <li>- 5 organisations pay attention to the integration of humanitarian cross-cutting issues, but they are not really managed; in other 5 some issues are considered, but without a clear strategy or cross-cutting approach.</li> </ul>	
2.6 Governance, structure and processes	1,9	<ul style="list-style-type: none"> <li>- In 6 cases Governance and management bodies play complementary roles and functions to assure alignment of the operations with institutional mandate, values and goals; in 9 cases there are weakness due to lack of enough Board involvement or no clear separation of roles.</li> <li>- In 4 cases the management team provides good coordination between functional structures and coherent decision making, although some weaknesses might be there; in 8 cases management is limited to the director, sometimes with a few close people.</li> <li>- In many cases there important weaknesses at Board level: not enough attention to operations, based on few people, lack of link with field staff.</li> <li>- 3 organisations can accommodate analyse and response to humanitarian crises without major disruptions in their internal functioning; in 7 organisations response might affect seriously other operations and need a good contingency plan.</li> <li>- In fact, no organisation has an updated and well assumed contingency plan to respond to humanitarian crisis.</li> <li>- 12 organisations say they have job descriptions. Only a few run staff performance evaluations.</li> <li>- Only 2 organisations have functional structures which can work with higher autonomy in case of need; in all other cases, these structures are very dependent or managed directly by the director.</li> </ul>	

Table 5.4.3 - HUMANITARIAN CAPACITY ASSESSMENT OF LOCAL/NATIONAL NGO			
Thematic area	Score (0-5)	Main remarks	
2.7 Networking and alliance building	2,3	<ul style="list-style-type: none"> <li>- 6 organisations are present in most relevant spaces at national level and district level; 5 at district level and only in some spaces at national level; 5 only at local level.</li> <li>- Only one organisation plays a coordination role in some main spaces at national level, but not humanitarian specific; 3 play a relevant role at regional or district level.</li> <li>- 3 organisations have more than 5 people participating in networks or coordination spaces; 9 others have between 2 and 5.</li> <li>- Only in some organisations the contents in such spaces and position of the Organisation are shared/discussed with all the operational team.</li> </ul>	
2.8 Communications. Advocacy	1,6	<ul style="list-style-type: none"> <li>- Only 2 organisations have policy/strategy in relation to external communication; other 10 make punctual communications without formal mechanisms (including humanitarian).</li> <li>- Only 1 has a competent communication structure in place; some are limited to communications at regional and district level (branches of national NGO or no capacity at national level).</li> <li>- Only 3 national NGO have policies on advocacy, some not updated and in some cases not linking well the national and the local level.</li> <li>- 3 organisations have an advocacy structure at national level; in other 5 the advocacy issue is done by the director and/or a few Board members or it is delegated to other managers.</li> <li>- The Director controls the advocacy activity including and assessment of advocacy risks</li> <li>- 8 organisations do some advocacy but it is not usually planned, it is based on specific cases or activities. It is the same for humanitarian interventions.</li> </ul>	
2.9 Institutional risk management	1,8	<ul style="list-style-type: none"> <li>- 4 organisations have a good understanding of institutional risk management; others focus only on critical aspects or have a basic knowledge limited to a few people.</li> <li>- Only in 2 organisations Governance and Management institutional risks are assessed and reported with specific tools; in other 6 cases only the state of finances are reported regularly and other issues informally; in other cases only finances are regularly discussed.</li> <li>- In only 1 organisation program/project risks are assessed by means of specific procedures and tools; in other 9 cases the risk analysis is a project discussion usually limited to finances and institutional relationships; in other 3 cases attention is only given to project finances.</li> <li>- Only 1 organisation has specific risk management tools for emergencies; other 2 organisations apply ad-hoc tools for each emergency intervention; all other cases do not have any specific humanitarian risk management.</li> <li>- 3 organisations are able of a rapid and large increase of their operations; 4 others are able of a rapid but moderate increase -provided there is stronger risk control-; 3 others needs some preparation for a moderate increase; others are not ready now.</li> <li>- Only in 1-2 cases the organisational structure allows higher levels of autonomy without excessive risks.</li> </ul>	
3. Approach, Commitment ("Soft How")			



Table 5.4.3 - HUMANITARIAN CAPACITY ASSESSMENT OF LOCAL/NATIONAL NGO


Thematic area	Score (0-5)	Main remarks	
3.1 Gender Approach	2,0	<ul style="list-style-type: none"> <li>- In 5 cases gender is an important issue understood and appropriated at least by all levels of managers and Board members; in other 5 at least key staff and some Board members; in other cases is limited to a few people.</li> <li>- Only in 1 case specific gender issues in a humanitarian context/intervention are considered in the gender policy</li> <li>- 6 organisations have policies on gender, but usually there is no regular gender analysis; in 2 cases the policies are not adapted to the local context; other 5 organisations do consider gender key issues in their interventions</li> <li>- In 2 cases the development of the organisational structure has made important progress in terms of gender balance; in 6 cases the progress has been moderate; in other cases the progress is basic, irregular or null.</li> <li>- Only 1 organisation has a specific structure focused on gender issues, in another 1 case there is a structure with this and other functions; in other 3 cases basic gender guidance is provided.</li> <li>- Only in 1 organisation the % of women in the Board of Governors is 50% or more; in other 4 cases is bigger than 30%.</li> <li>- In 3 organisations the % of women in all staff is 50% or more; in other 8 cases is bigger than 30%.</li> <li>- in only 1 case the proportion of women in technical staff is at least 50%; in other 6 cases is bigger than 30%.</li> <li>- In 2 organisations there is a gender approach to mainstream gender in all program/ projects; in other 4 cases key gender issues are always considered and implemented.</li> </ul>	
3.2 Conflict sensitiveness. Rights approach	2,0	<ul style="list-style-type: none"> <li>- 4 organisations have a good understanding and experience of the conflicts related to programmes and context in a humanitarian response; 7 others organisations have a good understanding of the potential conflicts but they have limited humanitarian experience; 4 others have basic understanding or not experience in a humanitarian crises.</li> <li>- Only 1 organisation has expertise in assessing conflicts in humanitarian response; 10 other have some expertise in assessing some type of conflicts; 4 other have been involved in conflict assessments or know about.</li> <li>- 4 organisations have good expertise in managing some type of conflicts; 8 others have successfully managed specific cases.</li> <li>- Only 1 organisation produces policies/plans with a rights analysis; other 6 pay attention to some level of rights awareness in their plans; other 3 have some basic experience on rights.</li> <li>- Only 1 organisation introduces in their projects the analysis of right holders and duty bearers; 6 organisations do basic rights awareness</li> </ul>	

**Table 5.4.3 – HUMANITARIAN CAPACITY ASSESSMENT OF LOCAL/NATIONAL NGO**

Thematic area	Score (0-5)	Main remarks	
3.3 Connectedness, resilience and DRR	2,1	<ul style="list-style-type: none"><li>- 10 organisations know the concept of resilience; 4 others have a practical understanding.</li><li>- Only 1 organisation has an overall DRR policy; 8 others understand the concept; 5 others have a practical understanding.</li><li>- 2 organisations have DRR and resilience as their main goal, reflected in their budgets; 4 others mainstream risk reduction in their most important projects/budgets; 6 others only introduce risk reduction in some specific projects or they do a basic mainstreaming.</li></ul>	
3.4 Highly vulnerable groups	2,3	<ul style="list-style-type: none"><li>- In 15 cases highly vulnerable groups are part of the target population; in one case indirectly.</li><li>- 8 organisations have good expertise/experience in working with highly vulnerable groups; 5 others have basic experience with some groups.</li><li>- 7 organisations have policies on issues like HIV/AIDS or child protection.</li><li>- In 8 cases all program/projects take into account how highly vulnerable groups are involved; in other 4 cases only in some projects.</li><li>- 3 organisations have regular coordination activities with other stakeholders to address highly vulnerable groups; 2 others have regular contacts.</li><li>- Only 1 organisation has a policy to assist highly vulnerable groups during emergencies.</li><li>- 5 organisations have good expertise in working with highly vulnerable groups in humanitarian response; 6 others some experience.</li></ul>	
4. Technical Expertise ("What")			
4.1 Competences in WASH, EFSVL & Others	1,6	<ul style="list-style-type: none"><li>- 4 organisations have more than 5 years of experience in WASH, however only 3-4 have at least 1 expert staff.</li><li>- 7 organisations have more than 10 years of experience in livelihoods and some insight in EFSVL; other 3 have recent experience. 8 in total have several staff with good experience.</li><li>- Only 1 organisation has a database of technical people for humanitarian response.</li><li>- 3 organisations coordinate with Government structures at national and district level; 4 others have a good coordination at district level; 7 others have a basic coordination.</li><li>- Only 1 organisation coordinates regularly with UN agencies; other 5 coordinate only when they are funded by them.</li></ul>	
4.2 Standards' compliance. Quality management	1,4	<ul style="list-style-type: none"><li>- 4 organisations usually apply some humanitarian standards (Sphere,...); 3 others have a basic knowledge.</li><li>- 2 organisations use tools for monitoring of humanitarian standards; 2 others in a basic way.</li><li>- Only 1 organisation includes humanitarian standards in staff induction</li><li>- Only 1 organisation provides training to all staff in humanitarian standards; 5 others have several people trained on some standards (Sphere mainly); 6 others have received eventual training on different humanitarian issues.</li><li>- In 3 organisations there is an important progress towards quality management; in other 3 there is a basic understanding of quality issues.</li><li>- No organisation has a set of institutional indicators to manage quality at institutional level</li></ul>	



Table 5.4.3 - HUMANITARIAN CAPACITY ASSESSMENT OF LOCAL/NATIONAL NGO			
Thematic area	Score (0-5)	Main remarks	
5. Size Capability ("How much")			
5.1 Capacity to increase re-sources	1,9	<ul style="list-style-type: none"><li>- 2 organisations can be considered of big size, 4 medium size and the rest small size.</li><li>- 6 organisations have a high presence in the Ugandan territory, 5 medium, 5 reduced and 1 very limited.</li><li>- During the last 3 years only 2 organisation have had an annual funding bigger than 1 M€; 2 more are bigger than 0.5 M€; 4 more are bigger than 0.2 M€.</li><li>- During the last 3 years only in 3 cases the annual humanitarian funds have represented more than 40% of the total income.</li><li>- In 1 case the budget of the organisation has been growing largely during the last 3 years; in other 6 cases budgets have been growing; in 5 cases budgets have fluctuated; in 4 cases have been decreasing, they are erratic or very small.</li><li>- During the last 3 years only 1 organisation had an average annual income of own funds bigger than 50,000 €; 2 more are bigger than 10,000€; 5 more with less than 3,000€; others nothing.</li><li>- Only 2 organisations have some capacity to pre-finance emergency operations; 4 more are limited to needs assessments and prepare delivery.</li><li>- 5 organisations have capacity to manage large amounts of money (&gt; 1 M€); 1 more than 350,000€; 5 more than 100,000€; 5 less than 100,000€.</li><li>- There are no humanitarian thematic experts in the organisations; only in 1 case there are thematic program coordinators; most of the partners have staff with education and experience related to humanitarian sectors, but only in one case the staff has been systematically trained in humanitarian issues.</li><li>- Total number of thematic expert staff with more than 3 years of experience on humanitarian response</li><li>- 13 organisations have volunteers, increasing their humanitarian capacities; however in only 3 cases these volunteers have been trained on humanitarian issues.</li><li>- Only 1 organisation has a database of technical people for humanitarian response.</li><li>- 3 organisations coordinate with Government structures at national and district level; 4 others have a good coordination at district level; 7 others have a basic coordination.</li><li>- Only 1 organisation coordinates regularly with UN agencies; other 5 coordinate only when they are funded by them.</li><li>- Only 2 organisations have big warehouses for stockpiling/storage (more than 60 tonnes); 3 others have small stores (less than 20 tonnes). There are some facilities at community level.</li><li>- No organisation has emergency stocks.</li></ul>	
5.2 Geographical outreach	2,9	<ul style="list-style-type: none"><li>- 12 organisations have a strong field presence; 4 are localised in some communities.</li><li>- 13 organisations have a good relationship with local authorities; 3 have scanty or no regular relations.</li><li>- Most of the organisations have staff covering all local languages.</li><li>- 2 organisations work in more than 25 districts; 3 others work in 7-8; 6 work in 2-4 districts; 5 are focused on one district</li><li>- 2 church-based organisations have parishes as field structures; 8 others have field offices; 6 have only one office at district level (headquarters)</li></ul>	
Range of values above the average		Intermediate values	Lowest value
Table 5.4.3. HUCOCA humanitarian capacity assessment of 16 Ugandan NGO/CBO			



Finally we would like to highlight some major challenges identified ascertaining the capacity of the local/national NGO in the humanitarian field:

**Funding challenges:** There is a challenge of capacity among the local/national NGO actors working in the humanitarian area (as well as local governments), however overall we note that funding appears to be a major constraint for their operation and activities. While funding remains a challenge, several of the NGOs we interviewed showed very promising financial growth with increment in financing over the years. What appears to be the major issue for local/national actors is the sustainability of funding over the longer term. Some of the smaller organizations appear to be struggling financially despite the fact that they seem to be doing good work at community levels. However we had limited information about their activities or competence. For example, some international actors say they have not been able to locate very good local partners to work with on gender programming in humanitarian context.

**Critical human resource deployment and skills:** The HUCOCA analysis indicates that a huge skills gap remains among the local/national humanitarian actors. While staff are committed and quite selfless in their commitment to respond to humanitarian crisis and emergency, in many cases few staff have the critical skills required in an emergency such as a quick and rapid needs assessment or concept/proposal development. Even bigger organization like Uganda Red Cross society does not have many staff when it comes to critical response skills.

**Governance and management:** Other challenges are in the areas of proactive leadership in the humanitarian sector, resource mobilization, governance accountability and funds management. While some strong governance framework exists for some NGOs we have assessed, in other cases the boards and management role still appears fused. Some of the boards chairpersons still retain funds accessibly powers yet they may not be accessible at all times. It is our well-considered view that local organizations should detach governance from operation by concentrating funds accessibility powers and approval of funds disbursement from the bank to the operation team. It is our belief that once the board which meets quarterly has looked at the work plan and financial spending plans and has approved it, the onus should then be on management to ensure that implementation is done as specified. Management should also retain the monitoring roles on activity implementation. Concentrating financial and operation management in the hands of the management team increases the speed of response and it is a cardinal issue in the humanitarian sector where emergencies occur very frequently and requires very timely and fast response as well. Internal and external audits can be relied upon, if carried out by a credible company, to assess the financial health of the organization, and how it has adhered to financial good practices in its activities.

## 6. UGANDA HUMANITARIAN PROFILE

Using the analysis of the previous chapter, we produce a humanitarian profile for Uganda:



### Humanitarian crises in Uganda

- Uganda has a long list of hazards that may provoke humanitarian crises. The most regular and with highest impact are drought and floods, with districts along the cattle corridor being affected seriously every few years.
- Refugees are another big humanitarian concern. South Sudan, Congo RDC and Burundi experience long lasting political crises and create a continuous influx of refugees into Uganda which will continue for the short term.
- 70% of the Ugandan population depends on smallholder subsistence agriculture which makes the country highly vulnerable to climate change. Rainfall will be less favourable in the future with an increase in extreme events (heavy storms, floods, droughts) which the country has already been experienced.
- Strong population growth in an already overpopulated country exacerbates disputes on access to land and water.
- In some years up to 30% of the total Ugandan population suffers severe or moderate food insecurity.
- Governance needs to be significantly improved in order to face the social challenges of the country with strong legitimacy and capacity and reduce the risks of conflict and violence which make part of the recent history of Uganda.

### Understanding of the humanitarian action

- For many years humanitarian action has been equated to emergency response with a high involvement of international humanitarian actors. Generally the Ugandan society is not aware and educated about the rights of people affected by humanitarian crises and the how the fulfilment of these rights would benefit the whole society.
- Disaster risk reduction and resilience have been gaining space in Uganda in recent years and there are many Government institutions and CSO/NGO which take these concepts into account. However in most cases the link between humanitarian and development not yet clear and most CSO/NGO are not engaged with humanitarian response. Rethinking and adapting the humanitarian understanding to Uganda reality is an important step towards a change in the Uganda humanitarian system.
- Government of Uganda has had an approach to the refugee issue which is considered a reference model at



Figure 6.1 – Humanitarian cycle



international level. Further new developments are putting Uganda in the front line of innovative approaches to link humanitarian and development work and bring closer the interests of hosting communities, refugee settlements and Local Governments.

- In recent years Government of Uganda has developed a policy for disaster preparedness and response (the National policy for Disaster preparedness and Management-2010) and some capacities in preparedness and response were developed. However the implementation has been poor at local level and the understanding of humanitarian work has not significantly evolved.

## Actors and responsibilities

- The OPM-Refugees is relatively well resourced and has built an important capacity. The strong support from UNHCR has played and continues to play an important role. The implementation of a new policy (not yet approved) and new initiatives like ReHoPE will continue to indicate that the refugee issue is at the forefront of new approaches to humanitarian work in Uganda with international influence.
- The OPM-Disasters has significant capacities at central level but they are not enough to develop and mobilise capacities at local level. More resources and innovative strategies are needed in order to perform the role which is expected in the disasters policy. Unfortunately the collaboration between OPM-Disasters and OPM-Refugees appears to be weak and they have not yet developed strong links, complementarities and synergies.
- UN agencies like UNHCR, UNDP or UNWOMEN have played an important role in capacitating and bringing

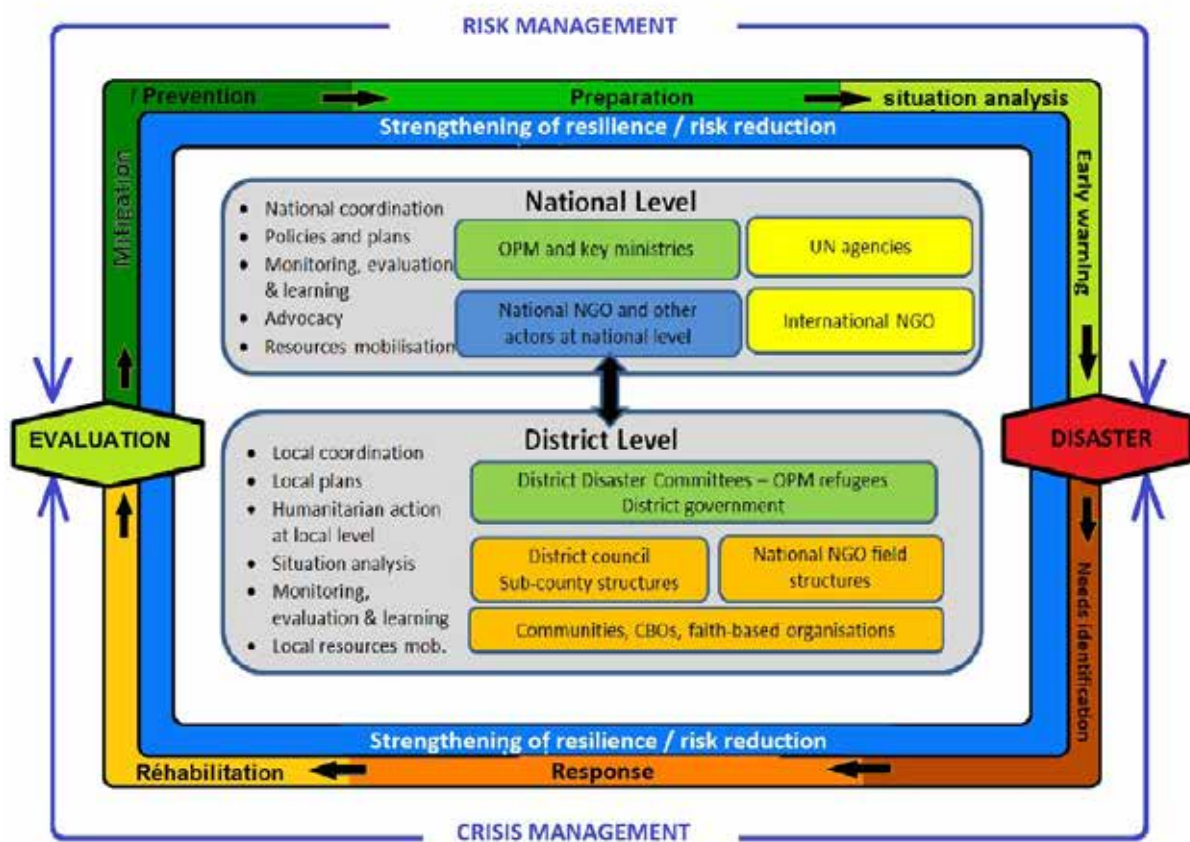



Figure 6.2 – A key issue is a better information exchange between the local and the national level





resources to OPM, sometimes crucial like UNHCR in OPM-Refugees. They usually work with international NGO and very little support to local/national ones, a challenge for the future.

- The lack of capacity at local level is a critical impediment for disaster preparedness. Local governments and NGO/CBO are well positioned in all work related to preparedness, risk reduction and resilience but their potential has not been developed.
- There is a large group of International NGOs in Uganda, quite a lot involved in humanitarian action. They have significant capacities in relevant sectors, both for disasters and refugee settlements. They have an important role to play to enhance the Uganda humanitarian capacity. However they should evolve their intervention model in order to be vehicles for strengthening the local/national humanitarian capacity.
- There are many Ugandan CSO, NGO and CB involved in supporting communities who are suffering from poverty and heavy impacts of the humanitarian disasters. They are doing relevant work to reduce risks and strengthen people's resilience and they have a strong potential to improve preparedness and contribute to a more effective and sustainable response. However in most cases the capacity of these organisations has not developed because such development has always been poorly targeted. Their involvement is also important to advocate and improve the humanitarian system in Uganda.
- Some academic institutions are nowadays more involved in humanitarian, especially in relation to the consequences of climate change, but they are still far away from the role they could play. A similar situation happens with the mass media. The private sector is particularly not yet playing any significant role despite some companies are developing relevant corporate social responsibility.
- The Uganda Red Cross Society is a fundamental humanitarian actor thanks to its mandate, international network, link to Government and capacity to mobilise local resources. It continues to be the main non-governmental actor by it has the challenge to overcome the accountability crisis it suffered in recent years. We note however that several donors seem to have comeback on board and are providing finances to the Ugandan Red cross Society.
- Donors would be a lot interested in new approaches which can improve national capacity and sustainability.

## 7. RECOMMENDATIONS

This group of recommendations were discussed and reviewed in small groups during the stakeholder's workshop in Kampala in May 2016. During the workshop each participant selected 10 most relevant ones; the numbers in brackets indicate the number of people who marked each recommendation as most relevant. In food notes we have added some relevant comments during the stakeholder's workshop.

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### Recommendations to all humanitarian actors

1. All actors should participate in a **rethinking process of the humanitarian work in Uganda**, in order to maximise the strengthening and utilisation of local / national capacities for higher effectiveness and sustainability of humanitarian preparedness and response<sup>16</sup> [13].
2. All actors should mainstream **disaster risk reduction strategies** into their programs [11].
3. All humanitarian actors should **strengthen the collaboration with a broad range of civil society actors** (including CBOs, faith-based organisations, media, and academics) and **private sector organisations committed to humanitarian** values and principles. This openness will facilitate the mobilisation of more resources and will increase the humanitarian geographical coverage across all disaster prone communities in the country<sup>17</sup> [16].
4. **Building the capacity of local actors at district level should be a key principle.** All humanitarian actors should engage themselves in staffing and training human resources devoted to development and humanitarian work at local level [5].
5. Development/humanitarian workers should have **access to humanitarian training** to improve skills and promote knowledge development, both at district level (on-line training) and at national level [9].
6. **Sector working/learning groups at district and national level** should be the spaces to reflect learning, share best practices and inform policy making<sup>18</sup> [2].
7. The coordination of the humanitarian work between the district and the national level should be based on a **Local Humanitarian Information System** and agreed procedures to share plans and learning in humanitarian strategies<sup>19</sup> [1].
8. Innovative approaches are needed to support the **active participation of CBOs and faith-based organisations** that are deeply rooted and connected to the local communities [4].
9. All humanitarian actors should encourage a more **prominent role of competent local/national NGO** in humanitarian coordination spaces [5].

<sup>16</sup> How has humanitarian been understood in the past? How is understood today? How should it be understood in the future?

<sup>17</sup> People feel the need of a closer collaboration or partnership of key players and influencers. A shared framework would be very useful for coordination and sustainability of the process.

<sup>18</sup> For sustainability purposes, at district level they should be linked to the district departments.

<sup>19</sup> The System could play a key role in improving the access to information, encourage coordination, simplify reporting and share learning. To assess the feasibility of the system it should be investigated the existing system in OPM/NECOD and complementarity.

## Recommendations to the Government of Uganda

10. Both **OPM departments (Disasters and Refugees)** should build **synergy and complementarity**, sharing the approach to humanitarian action and addressing together the challenge of changing the humanitarian system [\*]<sup>20</sup>.
11. The OPM has to **ensure that the District Disaster Management Committees do perform the tasks specified in the National Policy** for Disaster Preparedness and Management, with special attention to vulnerability assessment, annual budget in the district council, management of preparedness and contingency plans, and annual report<sup>21</sup> [13].
12. The OPM should **finalize the National Refugee Policy**, publish and distribute to operational and implementing partners [\*].
13. Civil servants appointed to the District/City Disaster Management Committee should **participate in the working groups with all other stakeholders** on a regular basis [4].
14. The OPM should **support and maintain a Local Humanitarian Information System** as a basic tool for a dynamic exchange between local and national levels, able to inform humanitarian action and national policies [10].
15. **District/City Disaster Management Committees must be regularly trained** or updated for an effective management of emergency responses, ensuring the training is inclusive for all members [5].

## Recommendations to UN agencies

16. UN agencies should **develop a reference partnership policy** to promote the collaboration with Ugandan NGO, beyond the current support provided on ad-hoc basis [8].
17. UN agencies should encourage/nurture active participation of Ugandan NGOs **in humanitarian working groups** at national and district level. They should provide necessary facilitation and technical skills, building the local/national capacity to take over [7].
18. UN agencies should **be more engaged strategically and financially with the strengthening of technical and operational capacities of local/national actors**, through: i) Specific budget lines within projects; ii) Specific programme for capacity building [9].

## Recommendations to local / national NGO

19. Local/national NGOs should **reflect a higher involvement in emergency response** within their institutional goals, interests and perspectives on their capacities (after appropriate training on a new understanding of humanitarian work in Uganda) [6].
20. A **mechanism of certification of humanitarian local/national NGO** should be created, learning from existing mechanisms in Uganda to certify NGOs. Such mechanism should promote trust towards Ugandan NGOs by international actors [6].
21. Humanitarian NGOs must **integrate the humanitarian mandate and principles** within their mission and institutional plans [1].
22. **Leading Ugandan humanitarian NGOs** should strengthen their leadership skills and culture, financial autonomy and capacity to scale up their operations [6]<sup>22</sup>.

<sup>20</sup> Recommendation added after the stakeholder's workshop.

<sup>21</sup> Simplified versions of the Disaster Policy with plain language should be produced and disseminated in local languages.

<sup>22</sup> The recommendation focuses in some NGO who can develop leadership and become an example, without forgetting the strengthening of other NGO.

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23. Local/national NGOs must **improve governance structures and systems** till they achieve higher capacity according to national and international best practices [5].
  24. Local/national humanitarian NGOs should be committed to **improve the humanitarian competencies of their operational teams** [6].
  25. Humanitarian NGOs should **integrate into their programs and monitor the cross-cutting humanitarian issues** (rights, gender, highly vulnerable groups, conflict management, risk reduction, strengthening of resilience) [8].
  26. The **NGO forum should promote the debate** about the redesign of the humanitarian action and advocate for a more effective and sustainable humanitarian system in Uganda [11].

### Recommendations to international NGO

27. International NGOs should **reduce their direct operational interventions and increase operational partnership** with Ugandan actors<sup>23</sup>.
28. International NGOs should **redefine their role to be more strategic**, mobilize resources and support, accompany and enhance technical and advocacy skills of Ugandan actors [12].
29. International NGOs should **develop a joint humanitarian partnership mechanism** with Ugandan NGO, including accompaniment in the long term [9].
30. International NGOs should **be engaged with the humanitarian training of staff of local/national organizations** [9], supporting specific programs for this purpose.

### Recommendations to the private sector

31. Private sector umbrella organizations should promote the **mobilization of private sector capacities into humanitarian work**, with particular attention to humanitarian values and principles [17]
32. Institutions from the private sector should regularly participate in humanitarian coordination groups [\*].
33. Government and international NGO should play a stronger role in **engaging the private sector in risk reduction and emergency response** [\*].

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<sup>23</sup> Some people suggest that international NGO should work together to build consensus and have a common agenda for changing the humanitarian system.

## 8. GOALS AND OUTCOMES FOR A CAPACITY BUILDING INDICATIVE PLAN

The implementation of the recommendations of the « **Fresh Analysis** » should lead to the capacity strengthening of the local and national humanitarian actors in order for them to play a stronger leadership role in the humanitarian action, with the support from international actors. The overall goal is to encourage a change in the humanitarian system in Uganda to achieve a more effective humanitarian action (relevant, on time and accountable).

Considering those recommendations, next table proposes some change goals for the humanitarian system in Uganda. These goals correspond to similar goals that the «**Fresh Analysis**» exercise has proposed in other countries, with the intention to facilitate that different countries can share strategies and learning towards similar objectives.

The goals are accompanied with outcomes and monitoring/evaluation mechanisms, providing a basic framework that can be a starting point for the Ugandan stakeholders to build a shared plan for the change of the humanitarian system. Goals and outcomes were discussed and reviewed during the stakeholder's workshop in Kampala in May 2016.

Goals (humanitarian capacities to achieve)	Outcomes	Monitoring and evaluation mechanisms
1. HOLISTIC / INTEGRATED HUMANITARIAN APPROACH: Humanitarian actors operate under a common approach that links humanitarian with development (DRR, Resilience and Response).	<ul style="list-style-type: none"> <li>- Humanitarian actors in Uganda have a common approach which integrates standards and best practices in order to strengthen households and communities resilience, reduce risks and respond to crises.</li> <li>- Humanitarian mandate and principles are embedded in the mission and plans of all humanitarian actors.</li> <li>- Sector working groups at national and district level have common positions and work together to support the implementation of such approaches.</li> <li>- Humanitarian actors mainstream crosscutting issues (rights, gender, highly vulnerable groups, conflict management, risk reduction, resilience) into their programming.</li> </ul>	<ul style="list-style-type: none"> <li>- Common humanitarian approach assumed by humanitarian actors</li> <li>- Network of humanitarian actors promoting the common approach</li> </ul>
2. QUALITY, ACCOUNTABILITY AND INDEPENDENCE: Government and non-government actors are accountable and trusted by stakeholders.	<ul style="list-style-type: none"> <li>- Humanitarian actors have improved their institutional governance according to international standards.</li> <li>- Humanitarian actors respect and practice humanitarian principles and standards to support people affected by crises while preserving their dignity.</li> <li>- A certification mechanism designed and managed by Ugandan humanitarian actors is in place.</li> <li>- A network of Ugandan humanitarian NGO implements an advocacy strategy at national and international level to base the Ugandan humanitarian system on qualified local and national capacities, with the support of UN agencies and international NGO.</li> <li>- Official assessments of the humanitarian situation are informed or complemented by means of basic assessments from local humanitarian working groups.</li> <li>- There is an increase in the number of programmes for disaster risk reduction and response delivered by Ugandan government and local and national NGOs.</li> <li>- There is an increase of humanitarian funds managed by local and national humanitarian actors.</li> </ul>	<ul style="list-style-type: none"> <li>- Certification mechanism in operation</li> <li>- Certification mechanism reports</li> <li>- Regular evaluation of the humanitarian network</li> <li>- Added value of a local-national information exchange system</li> <li>- OPM and DDMC annual reports</li> <li>- Regular evaluation of humanitarian preparedness and response</li> </ul>

Goals (humanitarian capacities to achieve)	Outcomes	Monitoring and evaluation mechanisms
3. QUALIFIED HUMAN RE-SOURCES: Government structures and NGOs have qualified and motivated human resources with access to humanitarian education and regular training.	<ul style="list-style-type: none"> <li>- There are institutions that provide continuous humanitarian education and training, including on-line education and training for humanitarian workers who are staying in districts.</li> <li>- International actors accompany local/national organisations and make a deliberate effort to develop sustainable capacity and transfer knowledge by means of qualified humanitarian human resources.</li> <li>- Members of the District Disaster Management Committees are educated, trained and updated regularly on humanitarian concepts and practices, management procedures and information systems to exchange learning between local and national levels.</li> <li>- Government district departments are able to retain staff with education and expertise in humanitarian preparedness and response.</li> <li>- Local and national NGOs have permanent staff with education and expertise on the prioritised humanitarian sectors of intervention.</li> <li>- Humanitarian actors are more engaged with the professional development of staff of local origin who are motivated and committed with humanitarian work.</li> </ul>	<ul style="list-style-type: none"> <li>- National institutions providing quality education on the new approach</li> <li>- Increase in number and retention of qualified and experienced staff for humanitarian action</li> <li>- District plans &amp; reports</li> <li>- Census in district contingency plans of qualified and experienced humanitarian workers</li> </ul>
4. CAPABLE HUMANITARIAN STRUCTURE: Uganda has a humanitarian structure well-coordinated, flexible and effective at national and district levels.	<ul style="list-style-type: none"> <li>- Services of the OPM departments of Disaster Preparedness/ Management and Refugees are better integrated and evolve towards a more efficient and effective government agency for humanitarian preparedness and relief.</li> <li>- The OPM departments (or a specialised government agency) have an effective leadership of the Ugandan humanitarian system, implement effectively the national policies for disasters and refugees and engage other humanitarian actors to assure enough capacity at national and district levels.</li> <li>- A mapping of qualified humanitarian actors in each district identifies existing capacity as well as capacity building needs to assure full humanitarian coverage.</li> <li>- With the support of other actors, District Disaster Management Committees assure the coordination of humanitarian action at district level.</li> <li>- Ugandan actors participate actively and develop leadership in national and district sector working groups, together with UN agencies and international NGO.</li> <li>- A Local Humanitarian Information System maintained by Government is in place to support learning exchange, strategic reflection and policy making between the local and the national levels.</li> <li>- CBOs and faith-based organisations play a key role to mobilise and develop endogenous humanitarian capacities, with the support of other organisations.</li> <li>- A number of private sector organizations are engaged, add value and increase the capacity of the humanitarian system in Uganda.</li> </ul>	<ul style="list-style-type: none"> <li>- Regular evaluation of the capacity of the Uganda humanitarian system</li> <li>- Regular evaluation of humanitarian preparedness and response</li> <li>- Added value of a local-national information exchange system</li> <li>- Census in district contingency plans of mobilisation capacity at sub-county level</li> </ul>

Goals (humanitarian capacities to achieve)	Outcomes	Monitoring and evaluation mechanisms
5. TIMELY RESPONSE, ACCESS AND FULL COVERAGE: Humanitarian Government structures and NGO are able to respond to humanitarian crises timely and effectively, reaching all people in need.	<ul style="list-style-type: none"> <li>- In each district there is an agreed and shared response framework and contingency plan which facilitates rapid and timely response, clarifying roles of different actors.</li> <li>- Each district has adequate number of humanitarian actors which are collectively able to respond timely and effectively.</li> <li>- In each district the humanitarian system has the logistics for an effective response.</li> <li>- The humanitarian system in each district provides the right information for a rapid decision making on humanitarian response.</li> <li>- In each district the District Council has a contingency fund which allows the initiation of the response.</li> <li>- Partnership between Ugandan and international organisations supports a quick access to funds and other resources in order local/national NGO can scale up their operations and contribute to a full coverage in disaster prone districts.</li> <li>- Local and national humanitarian actors increase their participation in humanitarian response.</li> <li>- In disaster prone districts diminishes the number of people in need which have no support.</li> </ul>	<ul style="list-style-type: none"> <li>- Regular evaluation of humanitarian preparedness and response</li> <li>- District contingency plans</li> <li>- District contingency funds</li> <li>- OPM and DDMC annual reports</li> <li>- Added value of a local-national information exchange system</li> </ul>
6. ENABLING ENVIRONMENT FOR LOCAL/NATIONAL ACTORS. STRATEGIC SPACE FOR THEIR LEADERSHIP: Ugandan actors play an effective leadership and they are complemented by international humanitarian stakeholders.	<ul style="list-style-type: none"> <li>- Government and local/national NGO have taken the lead for strengthening the local/national capacities in humanitarian action and mobilise financial resources at national and international level.</li> <li>- UN agencies and international NGO have adapted their partnership policies and practices to give more space to local and national humanitarian actors and they support them for an active participation in the humanitarian leadership.</li> <li>- UN agencies and international NGO increase their programmes and funds for humanitarian capacity building of local and national organisations.</li> <li>- There is an increase of Ugandan NGO who plays a leading role in the humanitarian action in Uganda.</li> </ul>	<ul style="list-style-type: none"> <li>- Regular evaluation of the capacity of the Uganda humanitarian system, with specific attention to financial resource mobilisation</li> <li>- Regular evaluation of the humanitarian network</li> </ul>

Table 8.1 – Capacity building indicative plan for Uganda

## Annex 1. DOCUMENTATION CONSULTED

#	Global Humanitarian System
1	ALNAP 2011 - Role national governments in humanitarian
2	ALNAP 2015 - State of the humanitarian system
3	ALNAP 2015 - Exploring Coordination in Humanitarian Clusters
	Charter for Change: Localisation of Humanitarian Aid
4	Christian Aid 2012 - Building the future of humanitarian aid
5	Clarke 2014 - Rethinking operational leadership
6	CRED 2014 - Annual disaster statistical review
7	Global Humanitarian Assistance - World report 2015
8	Global Humanitarian Platform 2007 - Principles of Partnership
9	HAP et al 2014 - Core Humanitarian Standard
10	ICVA 2009 - Engagement of NGO with humanitarian reform process
11	Oxfam 2013 - Oxfam role in humanitarian action
12	UNISDR 2015 - Global Assessment Report on Disaster
#	Uganda
1	Bainomugisha 2011, "Child Soldiers in Northern Uganda: an analysis of the Challenges and opportunities for reintegration and rehabilitation"
2	FAO 2010, What to do about Karamoja? A food security analysis of Karamoja
3	Foundation for Human Rights Initiative 2016, "Human Rights and elections in Uganda"
4	GHA - Uganda domestic humanitarian response
5	Gov of Uganda, "The national policy for disaster preparedness and management", October 2010
6	Human Rights Commission, Annual report 2014
7	INTRAC 2014 - "Study on Support to Civil Society through Multi-Donor Funds. Final report"
8	IPC - Food insecurity outlook 2016
9	IPC Feb 2015 - "Report of the integrated food security phase classification"
10	IPC Juny 2015 - "Report of the integrated food security phase classification for Karamoja"
11	Katungi et al 2016: Evaluation of humanitarian capacity building for partners in Uganda, Oxfam
12	Local Government District Abstracts
13	MAIF 2008 - Drought Risk Reduction Policy Analytical Report
14	MER 2015 - climate change profile of Uganda
15	Ministry of Internal Affairs, "National NGO Policy. Strengthening Partnership for Develop.", 2010
16	Nzita & Niwampa, "Peoples and cultures of Uganda", 1993
17	Omach 2010 "Politics, Conflict and Peace building in Uganda"
18	OPM 2014, "Uganda national report and information on disaster risk reduction efforts for the world conference on disaster reduction"
19	OPM-UNHCR - Interagency meeting April 2016
20	Oxfam - Uganda Country Strategy 2015-19
21	Oxfam 2013, "Humanitarian partner capacity report"
22	Oxfam 2014 - Country Analysis Review



#	Uganda
23	Oxfam 2016 - Commitment to change
24	Oxfam Contingency Plan, 2015
25	Parliament of Uganda, "Non-Governmental Organisations Act", March 2016
26	Pedersen et al, "Evaluation of Danish Support to Civil Society. Annex H: Uganda Study", 2013
27	UBOS, National Population and Housing Census 2014
28	UBOS, Uganda Census of Agriculture 2008/2009
29	Uganda INGO 2016 - Karamoja Group, Who is Doing What Where
30	UNHCR Sept 2015 - Uganda Fact Sheet
31	UN 2015, "ReHoPE Strategic Framework. Refugee and Host Population Empowerment"
32	UNDP - Uganda Human Development Report 2015
33	UNHCR 2015 - UGANDA: Burundi Refugee Situation, Who's Doing What Where
34	UNHCR 2015 - UGANDA: DR Congo Refugee Situation, Who's Doing What Where
35	UNHCR 2015 - UGANDA: South Sudan Refugee Situation, Who's Doing What Where
36	UNHCR 2016 Uganda RRP - South Sudan refugee situation
37	UNHCR 2016, "Protection and Solutions Strategy. Uganda 2016-2020"
38	UNHCR Dec 2015 - Burundi Refugee situation
39	USAID "Assistance Uganda 2006-2012. Final Report"
40	USAID 2016 - Uganda climate change vulnerability assessment
41	WFP June 2015 - Food security assessment Karamoja

## Annex 2. HUCOCA METHODOLOGY

See the document is in a separate PDF attachment.

## Annex 3. ORGANISATIONS INTERVIEWED

ORGANISATIONS INTERVIEW	
National level - KAMPALA	
1	Uganda national NGO Forum
2	ACCRA Uganda – Africa Climate Change and Resilience Alliance
3	ACORD – Agency for Cooperation and Research in Development
4	UNHCR – United Nations High Commissioner for Refugees
5	Department of Disaster Preparedness and Management – Office of the Prime Minister
6	Department of Refugees – Office of the Prime Minister
7	Uganda National Meteorology Authority
8	Ministry of Water – Climate Change Dept.
9	Parliamentary Forum on Disaster Risk Reduction
10	Uganda Red Cross Society
11	Church of Uganda
12	CARITAS Uganda
13	UNWOMEN
14	UNICEF
15	UNDP – United Nations Development Program
16	World Vision
17	FAO
18	Private Sector Foundation
19	DFID
District level - ARUA	
20	Chief Administrative Office – Ministry of Local Government
21	Department of Refugees – Office of the Prime Minister
22	CEFORD – Community Empowerment for Rural Development
23	CREAM West Nile
24	UNHCR – United Nations High Commissioner for Refugees
25	NRC – Norwegian Refugee Council
District level - AGAGO	
26	Chief Administrative Office – Ministry of Local Government
27	FRO- Friends of Orphans
District level - KOTIDO	
28	Chief Administrative Office – Ministry of Local Government
29	Uganda Red Cross Society – Kotido
30	Church of Uganda – Kotido

ORGANISATIONS INTERVIEW	
31	Caritas Kotido
32	JICAHWA
33	Warrior Squad Foundation
34	WFP – World Food Program
<b>District level - ISINGIRO</b>	
35	Chief Administrative Office - Ministry of Local Government
36	HIJRA
37	AEDI - African Ecosystems Development Initiative
38	UNHCR Mbarara - United Nations High Commissioner for Refugees
<b>District level - KAABONG</b>	
39	Chief Administrative Office - Ministry of Local Government
40	AWARE Uganda
41	KAPDA - Karamoja Peace and Development Agency
42	DADO - DODOTH Agro Pastoralist Development Organisation
<b>District Level - LAMWO</b>	
43	Chief Administrative Office - Ministry of Local Government
44	VEDCO - Volunteer Efforts for Development Concerns
45	OWODOL - Organization for the Development Of Women in Lamwo
46	RALNUC
<b>District level - KOBOKO</b>	
47	Chief Administrative Office - Ministry of Local Government
48	RICE - Rural Initiative for Community Empowerment West Nile
49	CEFORD - Community Empowerment for Rural Development
50	PICOT - Partners In Community Transformation
51	KOCISNET - Koboko Civil Society Network

FOCUS GROUPS IN DISTRICTS	
1	Arua District: 9 people (2 women) from Planning, Administrative Office, OPM-Refugees, Production, Security, Health, Education, Water.
2	Koboko District: 7 people from Production, Water, Planning, Agriculture, Production.
3	Agago District: 12 people (1 woman) from Natural Resources, Security, Water, Information, Planning, Engineering, Community Services, Finances, Education Town Council, Administrative Office.
4	Lamwo District: Officials from Natural Resources, Production and Community Services.
5	Kotido District: 8 people (all men) from Human Resources, Planning, Water, Administrative Office , Production, Education, natural Resources, Community Based.
6	Kaabong District: 9 people from the district office and town council, Health, Production, Natural Resources, Works Department and Community Services.
7	Isingiro District: 6 people from Planning, Community services, Forestry, Natural Resources, Engineering, Education, Environment.

## Annex 4. DETAIL OF BASIC HUMANITARIAN CAPACITY ASSESSMENT AT DISTRICT LEVEL

**Table A4.1 – PREPAREDNESS AND RESPONSE CAPACITY AT DISTRICT LEVEL**

	Hazards and their effects	Preparedness	Response	Capacities to strengthen
Kaabong	Prolonged dry spell, having as effects: <ul style="list-style-type: none"> <li>- Damaging pasture quality</li> <li>- Destroying crop productivity</li> <li>- Withering of the crops</li> <li>- Hunger &amp; starvation in extreme cases</li> <li>- Leading to charcoal burning</li> </ul>	<ul style="list-style-type: none"> <li>- Farmer sensitization on crop varieties</li> <li>- Food assessment</li> <li>- Seed distribution</li> <li>- Valley dams along side</li> <li>- Diverse farming</li> </ul> <p>Estimated level of preparedness: 4/10</p>	<ul style="list-style-type: none"> <li>- Assessing to find out the number of people affected</li> <li>- Food distribution</li> <li>- Distribution of inputs</li> <li>- Agencies like WFP have been helping with school feeding, nutrition and food for work</li> </ul> <p>Estimated capacity to respond: 4/10</p>	<ul style="list-style-type: none"> <li>- Staffing of extension services</li> <li>- Increasing mobility, transport and facilitation of staff movement</li> <li>- Increasing water for production capacity and system to detect crisis (early warning), currently limited by poor weather forecast.</li> <li>- Training in other technical areas</li> </ul>
	Animal diseases (FMD CBPP CCPP and Trypanosomiasis), having as effects: <ul style="list-style-type: none"> <li>- Low productivity</li> <li>- Low quality of the products</li> <li>- Death of animals reduced draft power of oxen</li> <li>- Reduced household income</li> </ul>	<ul style="list-style-type: none"> <li>- Sensitization</li> <li>- Vaccination and extension services</li> <li>- Involvement of the comm. animal health workers</li> <li>- Use of smart phone technology in reporting animal diseases</li> </ul> <p>Estimated level of preparedness: 5/10</p>	<ul style="list-style-type: none"> <li>- Vaccination</li> <li>- Supportive treatment</li> <li>- Spraying of animals</li> <li>- Quarantine</li> <li>- Lobbying from partners</li> </ul> <p>Estimated capacity to respond: 6/10</p>	<ul style="list-style-type: none"> <li>- Recruitment of more extension staff</li> <li>- Establishment of diagnostic labs</li> <li>- Facilities of staff movement /vehicles, motor cycles</li> <li>- Livestock infrastructure</li> </ul>
	Human diseases (Hepatitis E -2011 2013-, and cholera -1990-), having as effects: <ul style="list-style-type: none"> <li>- Death</li> <li>- Reduced productivity in terms of human labour</li> </ul>	<ul style="list-style-type: none"> <li>- Adequate staffing</li> <li>- Some logistics</li> <li>- Laboratories</li> </ul> <p>Estimated level of preparedness: 4/10</p>		<ul style="list-style-type: none"> <li>- Staffing gaps</li> <li>- Transport facilities</li> <li>- Medical supplies</li> <li>- Isolation unit</li> </ul>
	Floods (Karenga and Kapedo), having as effects: <ul style="list-style-type: none"> <li>- Crop destruction</li> <li>- Migration</li> <li>- Distraction of the roads</li> <li>- Worm infections in the animals</li> </ul>	<ul style="list-style-type: none"> <li>- Sensitization of the community on the appropriate use of the roads</li> <li>- Road rehabilitation</li> </ul> <p>Estimated level of preparedness: 5/10</p>		<ul style="list-style-type: none"> <li>- Flood control measures in crops in crop production areas.</li> <li>- More equipment</li> <li>- Provision of parts for the machines</li> </ul>
	Seasonal wild fires (Every dry season), having as effects: <ul style="list-style-type: none"> <li>- Destruction of crops and homes</li> <li>- Destruction of pasture</li> <li>- Wild animals attacks</li> </ul>	<ul style="list-style-type: none"> <li>- Sensitization on wild fires</li> <li>- Food distribution</li> </ul> <p>Estimated level of preparedness: 5/10</p>	<ul style="list-style-type: none"> <li>- Assessment</li> <li>- OPM relief food supply</li> <li>- Strengthening flood control measures</li> </ul> <p>Estimated capacity to respond: 3/10</p>	<ul style="list-style-type: none"> <li>- Enforcing the capacity through staffing</li> </ul>
Koboko	Prolonged dry spell, having as effects: <ul style="list-style-type: none"> <li>- Reduction of water level</li> <li>- Low animal &amp; crop production</li> <li>- Famine</li> <li>- Low incomes</li> </ul>	<ul style="list-style-type: none"> <li>- Sensitization on protection methods</li> <li>- Sensitization of environmental (forests &amp; plants) protection</li> <li>- Process to develop an ordinance on environment protection.</li> </ul> <p>Estimated level of preparedness: 4/10</p>	<ul style="list-style-type: none"> <li>- Distribution of seedlings</li> <li>- Early land preparation</li> </ul> <p>Estimated capacity to respond: 3/10</p>	<ul style="list-style-type: none"> <li>- Enhancing environmental protection</li> <li>- Local early warnings</li> <li>- Water for system production</li> <li>- Skills and training capacity</li> <li>- Strengthening capacity for weather forecasting</li> </ul>

Table A4.1 – PREPAREDNESS AND RESPONSE CAPACITY AT DISTRICT LEVEL				
	Hazards and their effects	Preparedness	Response	Capacities to strengthen
	Heavy rains/hail storms, having as effects: <ul style="list-style-type: none"> <li>- Affects productivity, yields, destruction of certain crops</li> <li>- Outbreak of animal &amp; human diseases</li> <li>- Soil erosion</li> <li>- Displacement of people</li> <li>- Destruction of access to social services</li> <li>- Destruction of property</li> </ul>	<ul style="list-style-type: none"> <li>- Putting up culverts &amp; bridges to enhance access to services</li> <li>- Tree planting in schools and households</li> <li>- Establishment of latrines to avoid diseases</li> <li>- Community led sensitization</li> <li>- Creating drainages. Rating is</li> </ul> Estimated level of preparedness: 4/10	<ul style="list-style-type: none"> <li>- School infrastructures</li> <li>- Registering cases of hailstorms</li> <li>- Deist and seed distribution. Rating is</li> </ul> Estimated capacity to respond: 3/10	<ul style="list-style-type: none"> <li>- Support to more technical workers</li> <li>- Local early warning</li> <li>- Staff training on climate change response</li> </ul>
	Pests and diseases, having as effects: <ul style="list-style-type: none"> <li>- Low crop and animal production</li> <li>- Poverty</li> <li>- Reduced school attendance</li> <li>- High treatment costs</li> </ul>	<ul style="list-style-type: none"> <li>- Reduced surveillance</li> <li>- Sensitization of the communities</li> <li>- Vaccination</li> <li>- Carrying out sanitation programmes</li> </ul> Estimated level of preparedness: 5/10	<ul style="list-style-type: none"> <li>- Treatment</li> <li>- Immunization</li> <li>- Transport</li> <li>- Home nets distribution</li> <li>- Sensitization</li> <li>- Operation of plant clinics</li> </ul> Estimated capacity to respond: 7/10	<ul style="list-style-type: none"> <li>- Staff training for procurement &amp; livestock agro chemicals</li> <li>- Improving transport facilities</li> </ul>
	Evasive weeds(congress weeds), having as effects: <ul style="list-style-type: none"> <li>- Pasture is affected</li> <li>- Low animal productivity</li> <li>- Allergies</li> <li>- Reduces crop production</li> </ul>	<ul style="list-style-type: none"> <li>- Sensitization of farmers</li> <li>- Low capacity to procuring methods.</li> </ul> Estimated level of preparedness: 2/10	Estimated capacity to respond: 1/10	<ul style="list-style-type: none"> <li>- Staff training</li> <li>- Procurement of herbicides</li> <li>- Strengthening farmers knowledge and capacity</li> </ul>
Koboko	Influx of refugees i.e. adding to internal displacements, having as effects: <ul style="list-style-type: none"> <li>- Environmental degradation</li> <li>- Pressure on social services</li> <li>- Increased conflicts over resources</li> <li>- Cases of SGBU</li> <li>- Increased vulnerability</li> <li>- Malnutrition</li> <li>- Reduction of household incomes</li> <li>- Early marriages</li> <li>- Family break ups</li> </ul>	<ul style="list-style-type: none"> <li>- Designated land</li> <li>- Recruitment of teachers and health workers</li> <li>- Construction and renovation of schools &amp; health facilities</li> <li>- Sensitization in reunion. Rating is</li> </ul> Estimated level of preparedness: 6/10	<ul style="list-style-type: none"> <li>- Wash facilities</li> <li>- Organization of peace building conference</li> <li>- Training of both the refugees and the community on their rights</li> <li>- Livelihoods &amp; initiative seeds/poultry/goats</li> <li>- Documentation of the refugees</li> <li>- Distribution of materials</li> </ul> Response to refugees rating is 7/10 but that of internal displacement rating is 2/10 because there is no adequate support for them	<ul style="list-style-type: none"> <li>- Emergency responses</li> <li>- Planning</li> <li>- Strengthening on technical areas of intervention</li> <li>- Addressing infrastructures in key service areas</li> <li>- Strengthening functionality of the DDMC.</li> </ul>
Lamwo	Flooding occurs in aug-sept yearly in areas of palabek & padibe, having as effects: <ul style="list-style-type: none"> <li>- Destruction of crops</li> <li>- Displacement of households and schools</li> <li>- Transport interference</li> <li>- Water borne diseases</li> <li>- Malaria out break</li> </ul>	<ul style="list-style-type: none"> <li>- No preparedness plan</li> <li>- No strategic issues</li> <li>- Some little efforts to provide information though it will not be systematic</li> <li>- No early warning systems. Rating is</li> </ul> Estimated level of preparedness: 2/10	<ul style="list-style-type: none"> <li>- Assessment by the sub county officials and the district</li> <li>- Reports to OPM and CAO</li> <li>- Some food came but almost after a year</li> <li>- There is the will but no resources.</li> </ul> Estimated capacity to respond: 3/10	<ul style="list-style-type: none"> <li>- Training on early warnings preparedness plan</li> <li>- Development/updating of contingency plan.</li> <li>- And training on how to disseminating weather updates and critical information.</li> <li>- No descent weather station at the district and sub county</li> </ul>

Table A4.1 – PREPAREDNESS AND RESPONSE CAPACITY AT DISTRICT LEVEL				
	Hazards and their effects	Preparedness	Response	Capacities to strengthen
Lamwo	Animal and human disease out break - i.e. nodding disease, hept B and malaria, having as effects: - Reduced productivity both animals and humans - Increased expenditure on drugs - Loss of livelihoods - Pressure on health facilities and technical staff - Reduced school attendance - Stigma on N/S victims.	- Some stocking of the health facilities with drugs-almost there are no anti-malaria drugs - Plan in place for animal disease mgt. - No vaccines - Some staffing of facilities in place.  <i>Estimated level of preparedness: 4/10</i>	- Community sensitization - Malaria prevention - Early treatment - Extra quantum supply for malaria which is not adequate. There is also resistance to quantum now days - No vaccination for hepatitis B - Initiative to cost share vaccination but some farmers couldn't afford  <i>Estimated capacity to respond: 2/10 human health Estimated capacity to respond: 6/10 for animals</i>	- Immunization vs disease - Hept B/animal diseases - Timely provision of vaccine/animals - Transport facilitation - Production of veterinary
	Prolonged dry spell, having as effects: - Food insecurity - Malnutrition - Increased food expenditure	- No systematic preparedness - We have district enumeration - Action plan but not funded.  <i>Estimated level of preparedness: 2/10</i>	- Assessment mainly responding with little support to people.  <i>Estimated capacity to respond: 3/10</i>	- There is a project plan to construct Adam to supply irrigation water. - Identification & dissemination of crops that do well under difficult situation. - Department facilitation/training and recruitment
	Cross boarder conflicts, having as effects: - Displacement of people - Destruction of crops - Loss of animals - Decline in business transactions	- Promotion of trade and cross boarder markets - To be handled by the central government  <i>Estimated level of preparedness: 3/10</i>	- Cultural leaders meeting  <i>Estimated capacity to respond: 4/10</i>	
	Land conflicts biggest problem & boundary conflicts, having as effects: Family displacement - Physical injuries - Loss of life and property	- Sensitization - Need of structures like area land committees and mediation teams.  <i>Estimated level of preparedness: 5/10</i>	- Early warnings for leaders - Land conflicts - District chain links committees.  <i>Estimated capacity to respond: 3/10</i>	- Community dialogue - Train elders/cultural structures
Isingiro	Refugee settlements. Mostly Burundians and some Congolese. 16,090 received during 2015 (24,219 in total). 9,430 received first half of 2016. - Land is still available but becoming a problem, some conflicts with local population for land and water.	- New policy, Refugee and Host communities Empowerment (ReHOPE). Link government services to refugee settlements	- Strong collaboration OPM-Refugees and UNHCR to create conditions for settlements in right conditions. - Implementing NGO partners funded by UNHCR. - Most of NGO are international, a few local.	
	Heavy storms almost every rainy season, and eventual floods.			



**Table A4.1 – PREPAREDNESS AND RESPONSE CAPACITY AT DISTRICT LEVEL**

	Hazards and their effects	Preparedness	Response	Capacities to strengthen
Isingiro	<ul style="list-style-type: none"> <li>Prolonged dry spell (drought), having as effects: <ul style="list-style-type: none"> <li>Malnutrition</li> <li>Irregular school attendance</li> <li>School drop out</li> <li>SGBVL defilement</li> <li>Crop failure</li> <li>Animal death</li> <li>Water scarcity</li> <li>Food insecurity</li> <li>Conflicts</li> <li>Migration</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Cost sharing households, water tanks</li> <li>Excavation of valley tanks and dams</li> <li>Water for production (targeting mainly animal movement)</li> <li>People also have private valley tanks/ wells</li> </ul> <p>Estimated level of preparedness: 3/10.</p>	<ul style="list-style-type: none"> <li>Training team of technicians</li> <li>These consult private water sources; awareness creation natural results on climate changes</li> <li>Lobbying for equipment of excavation of large water resources (excavator back hoe digger)</li> <li>OPM relief aid assessment, devastation of crops and livestock</li> <li>Collaboration with NGOs green house</li> </ul> <p>Estimated capacity to respond: 4/10</p>	<ul style="list-style-type: none"> <li>Increase on coverage of water for production</li> <li>Training programming for new staff</li> <li>More equipment</li> <li>Recruitment of new technicians, staffs</li> <li>Improving information and communication technology</li> <li>Funds availability (resource mobilization)</li> <li>Policy review on resource management –strategic implementation</li> </ul>
	<ul style="list-style-type: none"> <li>Disease outbreaks), having as effects: <ul style="list-style-type: none"> <li>Foot and Mouth Disease</li> <li>Banana wilt</li> <li>Vaccine preventable disease (measles)</li> <li>Crop disease (cassava mosaic/ streak)</li> <li>Pests; eucalyptus, coffee twigbores</li> <li>Seasonal resurgence related to weather problems</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Task forces for control of diseases. Village, parish, sub county</li> <li>Bye laws for control of movements for animals and crops</li> <li>Fine; if not reported/ non compliance</li> </ul> <p>Estimated level of preparedness: 5/10</p>	<ul style="list-style-type: none"> <li>Awareness and training of control on supplementary immunization activities, writing to the Ministry (of environment and natural resources) for eucalyptus – but not much has been done</li> <li>Livestock market closure</li> <li>Quarantine</li> </ul> <p>Estimated capacity to respond: 6/10</p>	<ul style="list-style-type: none"> <li>More collaboration with development partners</li> <li>Increase vaccines availability</li> <li>Infrastructure- storage system</li> <li>More efficient surveillance strategy , strengthening extension services</li> <li>Funds/ training</li> </ul>
Kotido	<ul style="list-style-type: none"> <li>Drought (critical in north agro-pastoral zone), every 2-3 years. Effects: crops decimation, hunger, displacement, survival in neighbouring districts, diseases.</li> </ul>	<ul style="list-style-type: none"> <li>Increasing awareness</li> </ul>	<ul style="list-style-type: none"> <li>Food distribution; more livestock; resistant seeds; inputs; protection of natural resources; borehole pipelines; water management</li> </ul>	<ul style="list-style-type: none"> <li>Irrigation schemes; expertise not enough; inputs; cultivation practices; machinery.</li> </ul> <p>Estimated current capacity: 4.5/10</p>
	<ul style="list-style-type: none"> <li>Epidemics: Human (cholera 2010); animal disease outbreaks and lost of livestock, mainly due to lack of water.</li> </ul>	<ul style="list-style-type: none"> <li>Emergency assessment; vaccination, treatment, prevention, quarantines; monitoring.</li> </ul>		<ul style="list-style-type: none"> <li>Animals: No district veterinary; inadequate drugs; very limited capacities.</li> </ul> <p>Estimated current capacity: 3/10</p>
	<ul style="list-style-type: none"> <li>Floods and storms (2007, 2008). Effects: displacement, crops damage, damage of roads and infrastructure.</li> </ul>	<ul style="list-style-type: none"> <li>Some knowledge on what to do; no real contingency plans; drainage improvement.</li> </ul>		<ul style="list-style-type: none"> <li>Lac of meteorological data; weak early warning; better awareness and preparedness.</li> </ul> <p>Estimated current capacity: 2/10</p>
	<ul style="list-style-type: none"> <li>Conflict (border cattle raids, inter-ethnic clashes, land disputes)</li> </ul>		<ul style="list-style-type: none"> <li>Disarmament on-going; peace committees and conflict resolution bodies; land committees; police animal tracking; police monitoring.</li> </ul>	<ul style="list-style-type: none"> <li>Family planning; gender &amp; culture issues; rural land management?.</li> </ul> <p>Estimated current capacity: 6/10</p>



**Table A4.1 – PREPAREDNESS AND RESPONSE CAPACITY AT DISTRICT LEVEL**

	Hazards and their effects	Preparedness	Response	Capacities to strengthen
	<ul style="list-style-type: none"> <li>- Wild fires (2009), wild animals (2013). Many crops destroyed and people killed.</li> </ul>	<ul style="list-style-type: none"> <li>- Sensitisation; support of wild life organisations.</li> </ul>		<ul style="list-style-type: none"> <li>- Understanding wildlife-human interaction; surveillance systems; community organis. for fire control.</li> </ul> <p>Estimated current capacity: 1.5/10</p>
Agago	<ul style="list-style-type: none"> <li>- Floods: frequent (2010, last big one); 4-5 sub-counties affected.</li> </ul>	<ul style="list-style-type: none"> <li>- Reallocation of children to nearby schools; need to reallocate some schools to safer places; drainage of water; tree planting</li> </ul>		<ul style="list-style-type: none"> <li>- Plan reallocation of children when schools flooded, need of temporary facilities; move from pit latrines to drainable latrines</li> <li>- Cash crops (soya bean, sunflower, ..) to raise income; agriculture programs for recovery</li> <li>- Many CBOs, they have an important role when a crises happens.</li> <li>- A few national and international NGO (Community Connector, World Vision, AMREF, ADRA, CONCERN)</li> </ul>
	<ul style="list-style-type: none"> <li>- Drought (2014, 2012). Every few years. Only one crops season.</li> </ul>	<ul style="list-style-type: none"> <li>- Situation analysis, collection of data; promotion of food security crops (cassava, sorghum,...); food distribution during emergencies</li> </ul>		
	<ul style="list-style-type: none"> <li>- Land and cattle conflicts: every year people killed; all sub-counties.</li> </ul>			
	<ul style="list-style-type: none"> <li>- Destruction due to wildlife.</li> </ul>			
	<ul style="list-style-type: none"> <li>- High risk of epidemics (very weak water and sanitation; outbreaks of several diseases)</li> </ul>			
Arua	<ul style="list-style-type: none"> <li>- Main issue are refugees (19,000, South Sudan)</li> </ul>	<ul style="list-style-type: none"> <li>- New policy, Refugee and Host communities Empowerment (ReHOPE). Link government services to refugee settlements</li> </ul>	<ul style="list-style-type: none"> <li>- Strong OPM-Refugees office (44 staff, 3 districts); contingency plan.</li> <li>- Strong collaboration with UNHCR.</li> <li>- Interagency coordination group (30 organisations, 5 local)</li> <li>- Weak link between OPM and local NGO</li> </ul>	<ul style="list-style-type: none"> <li>- Some local partners with good capacities and potential, just started to work in humanitarian in recent years</li> <li>- Involvement of government offices and staff is a challenge, not easy to motivate them</li> </ul>
	<ul style="list-style-type: none"> <li>- Other disasters</li> </ul>	<ul style="list-style-type: none"> <li>- Disaster preparedness plan produced 5 years ago, no further work, no implementation. No disasters contingency plan.</li> <li>- No link between OPM-Refugees and OPM-Disasters.</li> </ul>		<ul style="list-style-type: none"> <li>- Preparedness plan</li> <li>- Contingency plan</li> <li>- Capacity building</li> <li>- Partnership with local NGO for humanitarian work</li> </ul>



Table A4.2 – FUNCTIONING OF DDMC AND AVAILABLE GOVERNMENT RESOURCES AT DISTRICT LEVEL		
	Functioning of the District Disaster Management Committee	Government resources at district level
Kotido	<ul style="list-style-type: none"> <li>- Operation: Most of the years not working; in theory quarterly meetings but only eventual meetings when there is any crisis; sometimes stimulated by NGO.</li> <li>- Problems: No means to bring people from sub-counties; lack of situation information; role &amp; functionality not clear; no link with national level; no demand from national level.</li> </ul>	<ul style="list-style-type: none"> <li>- Some district offices with low human resources capacity (Production 4/10; Natural resources 2/10; Water 6.5/10; Community services 4.5/10; education 7.5/10).</li> <li>- Sub-counties with very low human resources (Production 0/10; Natural resources 1/10; Water 5/10; Community services 4/10).</li> <li>- Only some district offices have a vehicle (Production, Water). All have several motorbikes.</li> <li>- Only some sub-county structures have motorbikes</li> </ul>
Agago	<ul style="list-style-type: none"> <li>- Not active. Last meeting in 2014 due to floods; only meeting when there is a crisis.</li> <li>- Formal members: DRC (chairman), CAO and all heads of departments; development partners are invited</li> <li>- Not active in practice</li> <li>- Problems: No budget; no availability of funds when a crisis comes; long delay to get support; no anticipation of problems/crisis; no lobby.</li> <li>- In summary: no responsible response on time</li> </ul>	<ul style="list-style-type: none"> <li>- Only 33% of the foreseen staff at district level; 20% women.</li> <li>- Scarce and overcharged staff at sub-county level. Not skilled, all of them community workers</li> <li>- At least one car per district department.</li> <li>- Computers in all offices</li> <li>- Budget 2016: 19 billion (5 M€)</li> </ul>
Arua	<ul style="list-style-type: none"> <li>- DDMC not operational. Formally led by DRC. Unable to remember when last meeting happened.</li> <li>- When a crisis strikes it is created a task force led by DRC.</li> </ul>	<ul style="list-style-type: none"> <li>- Shortage of staff at all levels.</li> <li>- Work highly dependent on transport availability. Shortage of vehicles.</li> <li>- Very few people have received training in humanitarian.</li> <li>- Budget 2016: 63 billion (16 M€); 50% staff</li> </ul>
Isingiro	<ul style="list-style-type: none"> <li>- The DDMC exists but its functionality is below average.</li> <li>- Only meet when there is an issue to handle. Perhaps due to lack of budget to facilitate its activities.</li> <li>- Last meeting was held in April 2015.</li> <li>- CAO conformed that the DDMC is very weak although he is required to chair it by law.</li> </ul>	<ul style="list-style-type: none"> <li>- Staff in district departments is only 47% of the staff foreseen (variable between 36 and 61%). Staff at sub-county level has similar figures.</li> <li>- Some departments have 1-2 vehicles, other 0. There are some motorbikes in all departments and some at sub-county level.</li> <li>- Most of the departments are not executing the whole budget, variable between 60 and 80%</li> </ul>
Koboko	<ul style="list-style-type: none"> <li>- DDMC in place but not functional</li> </ul>	<ul style="list-style-type: none"> <li>- Staff in district departments is only 49% of the staff foreseen (variable between 20 and 75%).</li> <li>- Few departments have 1 vehicle in good condition. There are a few motorbikes in all departments and a few also at sub-county level.</li> <li>- Budget execution varies between 92 and 100%. Several departments complain the budget is not enough to facilitate what they are required to do.</li> </ul>
Lamwo	<ul style="list-style-type: none"> <li>- The DDMC last met in 2010. it is very weak and not very operational.</li> </ul>	<ul style="list-style-type: none"> <li>- Staff in 3 district departments consulted is only an average of 25% of the staff foreseen (variable between 5 and 43%). Even lower at sub-county level.</li> <li>- Only 1 of the 3 departments has got a vehicle, and very few motorbikes.</li> <li>- Very few motorbikes at sub-county level.</li> <li>- Only part of the budget was released last year (between 30 and 48%).</li> <li>- Very poor at sub-county level.</li> </ul>
Kaabong	<ul style="list-style-type: none"> <li>- The Committee hasn't met in a very long time.</li> <li>- It's more a crisis management than risk management.</li> <li>- Need of an updated contingency plan.</li> </ul>	<ul style="list-style-type: none"> <li>- Staff in district departments is only 48% of the staff foreseen (variable between 22 and 91%).</li> <li>- Staff at sub-county level is only 34% of the staff foreseen (variable between 10 and 65%), basically community development workers.</li> <li>- Some departments have 1-2 vehicles, other 0. There are some motorbikes in all departments and some at sub-county level.</li> <li>- Most departments are only executing around 80% of the budget</li> <li>- Some sub-county complain they only receive 20% of the expected budget.</li> </ul>



## Annex 5. HUCOCA QUANTITATIVE ANALYSIS FOR UGANDA

See the document in a separate Excel attachment.