

Ex-post evaluation

UNHCR project in eastern Africa, here: Uganda

Title	Regional UNHCR project in eastern Africa: here Uganda		
Sector and CRS code	Basic health care 12220; Basic drinking water supply 14031; Agricultural inputs 31150		
Project number	2016 40 473		
Commissioned by	German Federal Ministry for Economic Cooperation and Development (BMZ), Special Initiative on Displaced Persons and Host Countries		
Recipient/Project-executing agency	UNHCR United Nations High Commissioner for Refugees		
Project volume/ Financing instrument	EUR 3.0 million, grant		
Project duration	May 2016 – May 2020		
Year of report	2023	Year of random sample	2022

Objectives and project outline

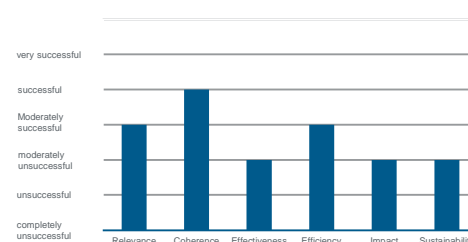
The objective at outcome level was to increase the use of improved access to basic services and improved income opportunities. At impact level, this was intended to contribute to strengthening the resilience of refugees and host communities for five settlements in western and south-west Uganda. A multi-sectoral approach supported access to health services, drinking water supply and income-generating measures.

Key findings

The project is rated as “moderately unsuccessful” overall.

- While the impact logic is generally plausible, the definition of specific activities and timelines over three years was not appropriate in such a volatile context and due to the distribution of the limited funding over a large number of activities in different regions, a limited contribution to the impacts could be assumed (relevance).
- The project was standalone in German DC; the external coherence of the co-financing of the UNHCR-programme is assessed as positive.
- The effectiveness indicators could not be met even though targets on the output level were achieved and in some cases even exceeded. This was due, among other things, to the increased number of refugees in the implementation period and thus also to the further increased demand for basic services. FC financing was therefore not able to contribute to a significant improvement in basic services.
- In view of the limited effect at outcome level, limited effects at impact level can also be assumed. Although there are indications of improvements in the health of children of refugees, there is no evidence of improved income opportunities or improved opportunities for refugees to provide for themselves and thus strengthened resilience.
- The sustainability is limited

Overall rating:
moderately unsuccessful



Conclusions

- Similar to other multi-sectoral programmes with UN organisations, it is also evident here that, in retrospect, the allocation of funds to specific activities and duration is not appropriate. More flexible approaches, e.g. pro rata financing of the country programme, make it possible to respond better to volatile changing context and needs.

Ex post evaluation – rating according to OECD-DAC criteria

Overview of sub-ratings:

Relevance	3
Coherence	2
Effectiveness	4
Efficiency	3
Overarching developmental impact	4
Sustainability	4
Overall rating:	4

General conditions and classification of the project

The years 2015/2016 were characterised by global refugee flows, particularly from the countries of the Middle East (Syria and Iraq) to neighbouring countries, but also to Europe. In order to improve the framework conditions, the international community and the German Federal Government have made great efforts to prevent further destabilisation in the affected regions.

In view of this context, the ongoing donor-financed support programmes of the international community for long-term refugee situations in several eastern African countries were dramatically underfunded, with corresponding negative effects.

The German Federal Government therefore agreed to support the activities of the United Nations High Commissioner for Refugees (UNHCR) from the special initiative “Tackling the Root Causes of Displacement, Reintegrating Refugees”¹ in Eastern Africa. The evaluated FC project was part of the eastern Africa regional project for a total of EUR 15 million in the countries of Ethiopia (BMZ no. 2016 404 6, EUR 5 million), Sudan (BMZ no. 2016 4048 1, EUR 9 million) and Uganda with a further EUR 3 million. The allocation of funds per country was done by the German Federal Ministry for Economic Cooperation and Development (BMZ). With UNHCR, KfW had designed a multi-sectoral project with defined outputs per sector. The further analysis in this ex-post evaluation (EPE) is limited to the project activities implemented in Uganda and their respective outcomes and impacts.

Brief description of the project

In order to improve the living conditions for refugees in Uganda, measures to improve basic health services, drinking water supply and income-generating measures were financed in a total of five refugee settlements in western and south-western Uganda (Kyangwali, Kyaka II, Nakivale, Oruchinga, Rwamwanja). In the area of health and hygiene, these measures included the recruitment and training of voluntary village health teams (VHT) and hygiene committees in the settlements and schools. In addition, the rehabilitation and equipment of state health facilities was supported. Incinerators for menstrual products for girls attending school were built in several schools to ensure girls’ access to education. In the water sector, wells were rehabilitated or newly built. The measures for the promotion of income opportunities included training in agricultural and craft methods as well as providing training graduates with productive assets such as seeds and work equipment or tools. The aim of the project was to increase the use of improved access to basic services and improved income opportunities (outcome) and thus contribute to improving resilience² (impact). The target group was particularly refugees from Burundi in the south and southwest of Uganda, as well as refugees from other countries of origin and residents of the host communities. The recipient and executing agency of the project was UNHCR, which implemented the project from 2016–2018 in consultation with local partners.

¹ The Special Initiative has been renamed Special Initiative for Displaced Persons and Host Countries since the 2023 fiscal year

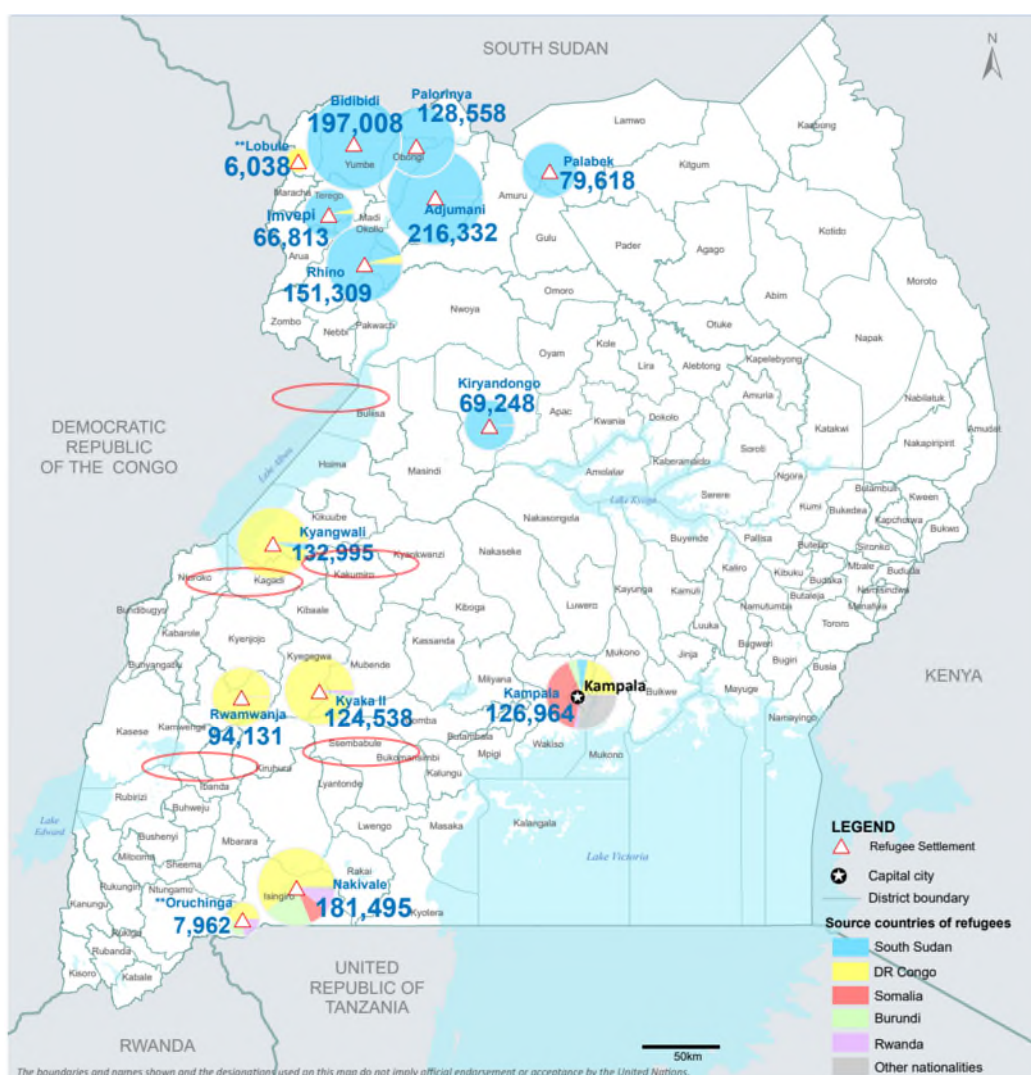
² In terms of people, resilience describes the ability of individuals or communities to survive difficult life situations such as crises or disasters without permanent harm or impairment.

Breakdown of total costs

UNHCR is financed exclusively from donor contributions; there is no counterpart contribution.

In EUR million	Inv. (planned)	Inv. (actual)
Investment costs (total)	3.00	3.00
Counterpart contribution	0	0
Debt financing	3.0	3.00
of which BMZ budget funds	3.0	3.0

Map of the project country incl. project locations



The project supported five settlements for refugees in Uganda: Kyangwali, Kyaka II, Nakivale, Oruchinga and Rwamwanja. Source: UNHCR Uganda Refugee Response, Refugees and Asylum Seekers in Uganda, 31 October 2023.

Rating according to OECD-DAC criteria

Relevance

1. Alignment with policies and priorities

Due to its geographical location and relative stability, Uganda has been a target country for refugees from neighbouring countries (Democratic Republic of Congo (DRC), South Sudan, Sudan and Burundi) for decades. The ongoing and constantly emerging conflicts in Uganda's neighbouring countries resulted in continuously increasing numbers of refugees in Uganda for years (also see "alignment with needs"). In 2022, Uganda was the African country with the highest number of refugees and the third most important host country in the world³. Regardless of this, Uganda has an open and progressive approach. Refugees are allowed to move and work freely; there are no refugee camps; instead, refugees are assigned a plot of land in so-called settlements on which they are allowed to settle and to cultivate to secure their own livelihood⁴. At the same time, access to basic public services such as health care and education is free of charge. The Ugandan government therefore relies on international support for refugees and on enabling them to provide for themselves as quickly as possible.

UNHCR has also been active in Uganda for decades. Against the backdrop of the conflicts in Burundi in 2015, the United Nations (UN) organisation developed a regional programme with the governments of the neighbouring countries to support Burundian refugees. The FC project was assigned internally by UNHCR to support Burundian refugees and host communities in Uganda and thus as a contribution to the corresponding country programme (Burundi Regional Refugee Response Plan 2016).⁵ ⁶ An integrated approach was pursued with the local administration at the start of the FC project's implementation, which was further strengthened by the establishment of the UN's "Comprehensive Refugee Response Framework" (CRRF) in 2017. Uganda was the first country to implement aspects of the CRRF. UNHCR together with the Ugandan Office of the Prime Minister (OPM) was leading the CRRF consultations in Uganda. The CRRF is continuously further developed by the Ugandan government and UNHCR on the basis of evaluations⁷ (also see Coherence section). The CRRF reflects the globally applicable UN standards (including SPHERE⁸ standards) and the internationally recognised objectives on human rights, women's participation, inclusion and alleviating poverty, which were set out in the development goal of "leave no one behind". The activities of the FC project were based on these political framework conditions.

2. Alignment with needs and capacities of stakeholders and affected persons

At the time of project design in February 2016, Uganda recorded around 509,000 refugees and asylum seekers registered by the OPM. Around 279,000 refugees lived in the "South-West" and "Mid West" project regions, including around 30,000 refugees from Burundi, who had settled particularly in this border region⁹. In addition, there were the host communities.

After Ethiopia and Kenya, Uganda was and is the third largest host country of refugees in Africa. As a result of the riots before and after the 2015 presidential elections in Burundi, 17,000 Burundian refugees were newly registered in Uganda. The number of registered refugees from the various neighbouring countries had risen to 1.2 million nationwide by the end of 2018. Around 620,000 people were registered for the five co-financed settlements alone by mid-2022¹⁰. The composition of the target group was volatile, and refugees from Burundi were able to return to their home country to some extent while further influxes to Uganda from the DRC and South Sudan

³ UNHCR and Government of Uganda, Uganda comprehensive refugee response portal, March 2022

⁴ 2006 Uganda Refugees Act, 2010 Uganda Refugee Regulation

⁵ [UNHCR Burundi Regional Refugee Response Plan 2016 \(unhcr.org\)](#) Objectives included protection and emergency aid for newly arrived refugees, the creation of peaceful coexistence with host communities, the creation of sustainable income opportunities and integrated access to social services for refugees and host communities.

⁶ Burundi Regional Response Plan Uganda 2018 End Year Report;

⁷ Evaluation of the Implementation of the Global Compact on Refugees and its Comprehensive Refugee Response Framework (CRRF) in Uganda, March 2022

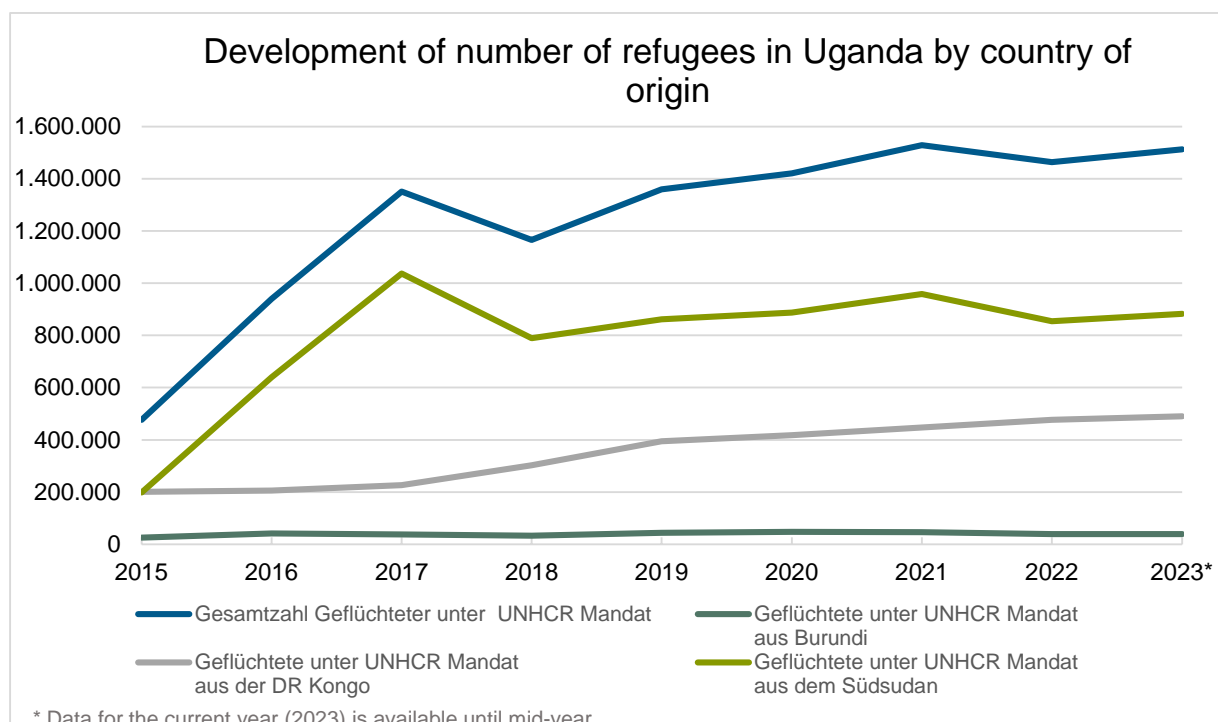
⁸ SPHERE: The Sphere standards are a set of principles and minimum humanitarian standards in four technical areas of humanitarian response: water supply, sanitation, and hygiene promotion (WASH); food security and nutrition; shelter and settlement and health.

⁹ [UNHCR Uganda Fact Sheet – February 2016 \(unhcr.org\)](#)

¹⁰ Source: the respective Settlement Profiles 2022 of UNHCR, OPM registration data

continued. In 2022, this most recently affected around 6,900 people¹¹. The project was designed with a focus on refugees with uncertain return options (“protracted refugee situation”).

Graph 1



Source: UNHCR, November 2023, own visualisation

The constant influx of more refugees presented Uganda with great challenges. Core problems identified during the project appraisal, were limited access to basic services (such as WASH, health, education) for refugees and the population of the host communities, and limited income opportunities which became even further restricted due to the additional influx. Various studies show an increased burden of illness and mortality in emergency situations such as refugee contexts¹². Countries affected by humanitarian crises therefore have the highest maternal and neonatal mortality rates as well as high child mortality rates^{13,14}. The environmental impact continued to increase, and the open refugee policy, including the allocation of plot of land for own cultivation, reached its limits. The core problem has been correctly identified from today’s perspective.

At the same time, only 1.6% of the funding for UNHCR’s annual programme for Uganda was secured at the beginning of 2016 (needs nationwide amounted to USD 252 million; by the end of the year, financing commitments totalling EUR 80 million had been received (this corresponds to around 32%)). The annual demand for the country component for refugees from Burundi alone was estimated at close to USD 10 million. The FC financing from the special initiative “Tackling the root causes of displacement, reintegrating refugees” thus addressed urgent financing gaps.

In order to achieve a “do no harm”-approach, the Ugandan government stipulated that 70% of funding should benefit refugees and 30% the local population of the host communities in the project area. There have been and continue to be violent conflicts between different groups of refugees, including members of different parties to the conflict in South Sudan or different countries of origin.¹⁵ Nevertheless, UNHCR generally adheres to common

¹¹ <https://reliefweb.int/report/uganda/uganda-country-refugee-response-end-year-inter-sector-dashboard-2022>

¹² OECD inter alia. States of fragility report: Understanding violence. Paris: Organisation for Economic Co-operation and Development, 2016.

¹³ WHO, UNICEF, UNFPA 2014: Trends in maternal mortality: 1990 to 2013

¹⁴ Gasseer NA, Dresden E, Keeney GB, Warren N. inter alia: Status of Women and Infants in Complex Humanitarian Emergencies. Journal of Midwifery & Women’s Health. 2004; 49(S1): 7–13.

¹⁵ IRR1, 2019: understanding conflict dynamics around refugee settlements in northern Uganda.

settlements for refugees of all origins. In 2022, however, there were individual cases of unrest in refugee settlements in the north, which lead to resettlements of groups of refugees in Uganda.

3. Suitability of project concept

The aim of the project was to increase the use of improved access to basic services (health and drinking water supply) and improved income opportunities (outcomes) for refugees and host communities and thus improve their resilience (impact). The intended outputs, the development of voluntary village health teams as the first point of contact for health care and advice, and the provision of medicines and equipment to health centers seem adequate for increasing the use of improved health services (outcome). The building or rehabilitation of wells (output) aimed to contribute to increasing the use of an improved drinking water supply (outcome). Training and the distribution of productive assets was meant to improve the income opportunities of refugees and host communities (outcome). As a prerequisite for the planned improvements, a stable refugee situation was assumed without further influx. The results logic is generally plausible, but limited impacts were to be assumed in view of the limited funding and its distribution over a large number of activities in different regions. The extent to which the support of activities in various areas could have a positive effect on the perceived situation of refugees is not clear. At the same time, refugee movements were and are volatile rather than stable as assumed; the basic assumption for effectiveness therefore does not appear realistic.

As with comparable UN projects, the indicators applied concentrated on the output level (e.g. number of voluntary village health teams per household, number of rehabilitated/newly built wells or number of trained persons). Outcomes should be measured by the amount of drinking water available per person/day, the development of consultations in healthcare facilities and the proportion of self-employed people (see Effectiveness and Impact).

The specific co-financed measures were proposed and prioritised by UNHCR on the basis of the current situation and needs at the time. User committees were foreseen to decide which individuals specifically benefit from the measures. The selection process of beneficiaries was designed to take into account the specific needs of women and vulnerable groups such as people with disabilities and single mothers within the target group (refugees and host communities).

4. Reaction to changes/adaptability

Naturally, in emergency assistance, adjustments are necessary during implementation. A special feature here was that the project duration was set at three years. This conflicted with UNHCR's planning cycles, which each covered one calendar year. In 2016 and 2017, the measures were implemented according to the original concept. In 2018 support for the health sector was prioritised due to the influx of further refugees from the DRC and the Ebola outbreak there. The project proved an ability to adapt, but the definition of specific project activities to be financed was not appropriate for this type of project.

Rating summary

The core problem was correctly identified. The results chain is generally plausible and the project measures are also relevant from today's perspective, but unrealistic assumptions on the development of the refugee situation and limited funds spread over a large number of activities and regions limit the expected impact. The preselection of specific activities and different planning cycles does not appear to be context-appropriate. There was a need for adjustment in the implementation due to the volatile context, to which UNHCR responded with shifts in funds to the health sector activities.

The relevance is therefore rated as moderately successful.

Relevance: 3

Coherence

5. Internal coherence

At the time of the appraisal, the project financed by the BMZ from the special initiative "Tackling the root causes of displacement, reintegrating refugees" was standalone in German DC with Uganda and represented the starting

point for further German DC cooperation to support Ugandan refugee policy. The other components of the regional programme in Ethiopia and Sudan were designed at the time to complement the humanitarian aid measures of the Foreign Office there. The regional project was the first cooperation between UNHCR and German FC, which initially involved a lot of effort in preparation and internal coordination. Only in the following phase targeting refugees from southern Somalia in the north of Uganda, there were potential synergies in terms of the operation of infrastructure with a GIZ project on “Water Supply and Sanitation for Refugee Settlements and Host Communities in Northern Uganda”.

6. External coherence

In terms of external coherence, the project was embedded as co-financing in the Ugandan government’s joint refugee programme with UNHCR. The implementation was carried out by local partners and non-governmental organisations commissioned by UNHCR. The project was designed to use the existing government structures under coordination of UNHCR and the OPM. An evaluation of the 2022 CRRF¹⁶ confirms the success of the approach of bringing multiple actors together, with the aim of making coordination mechanisms more efficient. At the same time, the evaluation calls for further efforts, among other things, to further strengthen the coherence of approaches to support refugees with existing district development plans and sector plans, as well as to standardise approaches to take into account host community needs. The evaluation also concludes that there is still a lack of consistent monitoring of activities for refugees and host communities and that none of the governing institutions has a comprehensive overview of financing, actors and implemented measures.

Rating summary

Due to the unique position within German DC in Uganda at the time of implementation, internal coherence is limited. The external coherence of the project through the co-financing of UNHCR and the close coordination of UNHCR with the Ugandan government and implementation via state structures can be assessed as successful. Overall, the coherence is therefore assessed as moderately successful.

Coherence: 2

Effectiveness

7. Achievement of (intended) objectives

The objective at outcome level was to increase the use of improved access to basic services (health and drinking water supply) and improved income opportunities (outcome). As part of the EPE, the following indicators were used to measure target achievement: the development of consultations in healthcare facilities; available drinking water per person and day in the refugee settlements; proportion of refugees who are employed (also see Annex 1). Since the indicators alone are only partially suitable for measuring the achievement of the objectives, further proxy indicators are used, including the development of the number of consultations per medical professional per day and, where possible, supplementary data for the supported settlements. Unfortunately, the data situation is incomplete; especially for the period before/during implementation, only limited data is available. Available UNHCR data relate exclusively to refugees. Results for the host communities shall be made plausible a.o. on the basis of a rigorous impact evaluation which examined the effects on local development through refugee settlements in Uganda.¹⁷ Since the number of refugees increased significantly during the course of project implementation, the target values set at the time of the appraisal are not very informative.

¹⁶ IMPACT 2022: Evaluation of the implementation of the CRRF in Uganda

¹⁷ Yang-Yang Zhou, Guy Grossmann, Shuning Ge 2022: Inclusive refugee-hosting can improve local development and prevent public backlash

The target achievement at outcome level is summarised in the table below:

Indicator	Status during PA	Target value PA/EPE	Actual value at final inspection (optional)	Actual value at EPE
(1) Use of health stations, contacts per year	n/a	Year 2: 403,000	Year 3: 750,000	n/a
(2) Drinking water supply litres/person/day	16	18	16	14 ¹⁸ Target was met in individual settlements, but not on average
3) Percentage of people who run their own business, self-employed	35%	40%	72.4%	64% ¹⁹

Improved use of health services should be measured through the use of public health centres. The absolute number of treatments in areas with settlements in which refugees live has increased from around 403,000 to around 750,000 visits during the project period. However, the absolute figures are not very meaningful in terms of a relative improvement in use or supply. There is also no information on the quality and appropriateness of health care. With regard to the planned outputs, the target values in the health sector were not met, e.g. instead of a target ratio of one health team per 250 people, only an average ratio of one team per 373 people was achieved at the end of the project.

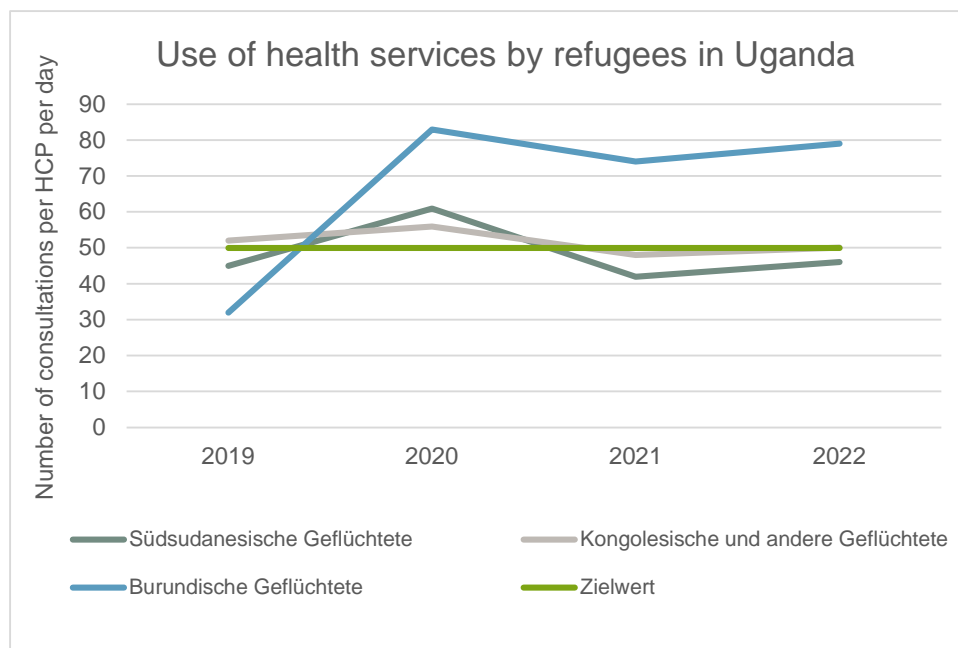
The number of consultations per healthworker per day in the supported settlements in 2018 averaged between 44 in Nakivale and 66 in Kyaka II²⁰. Following the implementation of the FC project, the average number of consultations per healthworker per day increased for the total number of refugees in Uganda and with <58 in 2022 is still above the recommended UN standard of up to 50 consultations per day (see also Graph 2).

¹⁸ UNHCR, Dashboard end of 2022, 14 litres/person/day in southwest Uganda

¹⁹ UNHCR, Dashboard end of 2022

²⁰ With the exception of the significantly smaller settlement of Oruchinga with 25 consultations per healthcare professional per day. Source: UNHCR December 2018

Graph 2



Source: UNHCR Health and Nutrition Dashboard, November 2023, own visualisation.

Studies at the end of the implementation period show comparatively positive health developments for refugees in Uganda compared to other refugee contexts, such as the participation of 82% of pregnant women in all preventive check-ups and 94% of childbirths with professional support^{21,22}. This is due, among other things, to the geographical proximity to health stations and easy/free access²³. A study also shows that health care (as well as education and roads) has improved for host communities²⁴. At the same time, however, in a survey in 2019, refugees from the supported settlements cited the greater proximity to healthcare facilities as one of the main reasons for a family member moving to urban areas in the last 12 months.²⁵ And at the end of 2018, UNHCR reported that due to funding gaps, necessary improvements to the health infrastructure had to be postponed and that health centres were under enormous pressure. Overall, there is a mixed picture of improved use of healthcare services, but it is plausible to assume that the outcome target was not achieved.

The use of the drinking water supply has initially improved somewhat. According to UNHCR, dependence on a comparatively expensive supply from water trucks was significantly reduced in 2018. However, due to the further influx of refugees, the status at the time of the EPE was lower than at the time of the project appraisal. With the exception of Oruchinga, by far the smallest settlement, the recommended UN standard of 20 litres/per person/day could not be achieved (see also Graph 3). The indicator is therefore not achieved.

²¹ Department of Community Health and Behavioural Science, Makerere University School of Public Health, Kampala, Uganda, 2020: Essential newborn care practices and determinants among mothers of infants aged 0–6 months in refugee settlements, Adjumani district, West Nile, Uganda

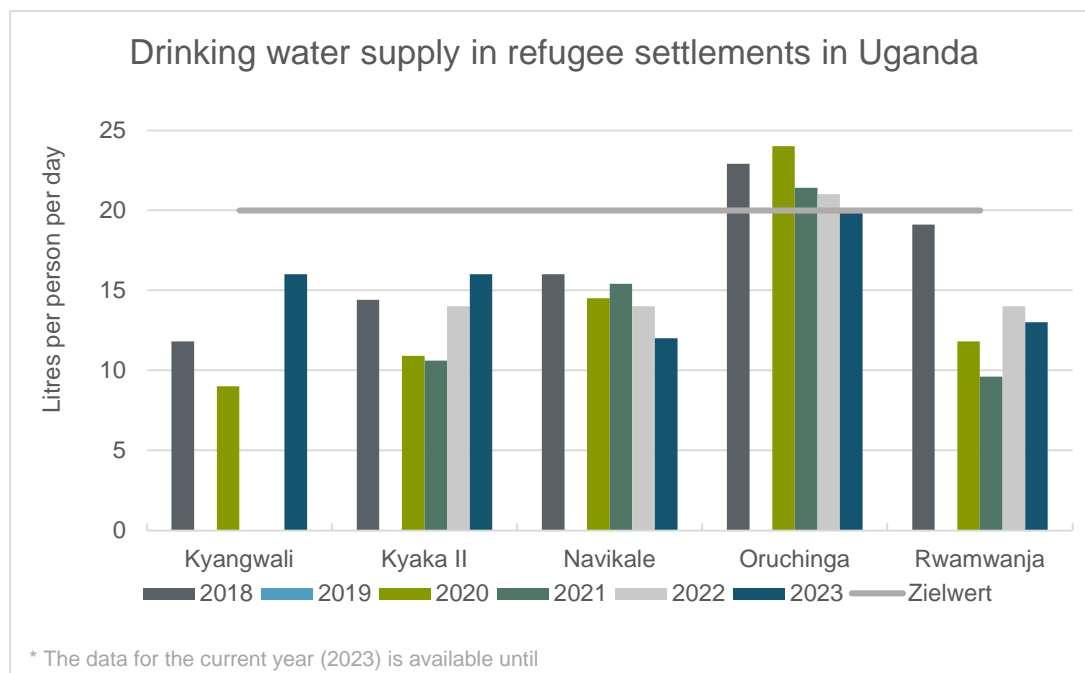
²² UNHCR. Refugee Health Report Uganda Kampala, Uganda: United Nations High Commission for Refugees 2019.

²³ UNICEF. Child Poverty and Deprivation in Refugee-Hosting Areas Evidence from Uganda. Kampala, Uganda United Nations Children’s Fund, 2018.

²⁴ Yang-Yang Zhou, Guy Grossmann, Shuning Ge 2022: Inclusive refugee-hosting can improve local development and prevent public backlash

²⁵ REACH, 2019: Refugee Access to Livelihoods, Housing, Land and Property (incl. Arua, Kyaka II, Kyangwali, Nakivale); other named reasons for moving in the past year are: access to education, employment opportunities and food, reunification with family members and security.

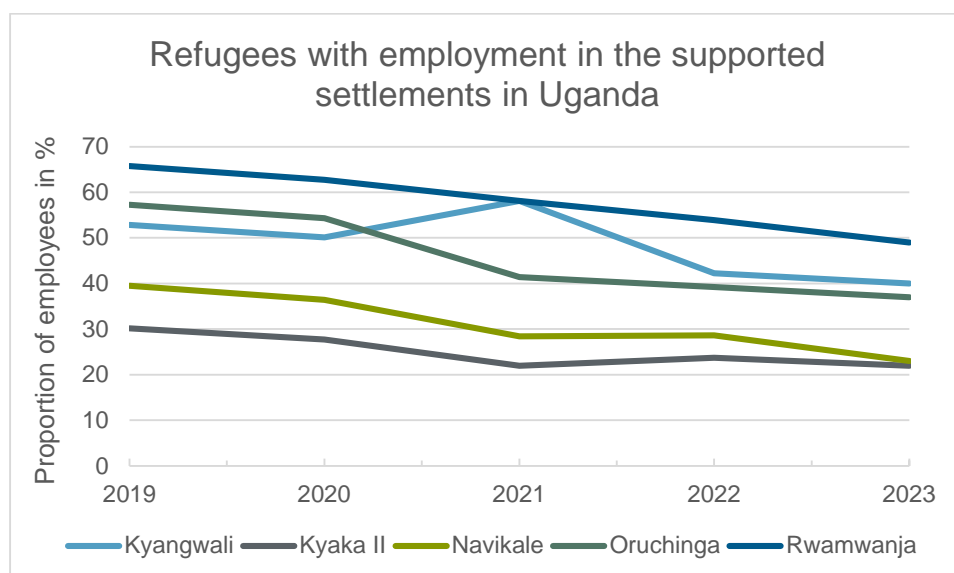
Graph 3



Source: UNHCR Settlement Performance Dashboard, November 2023, own visualisation.

With regard to income-generating activities, it should be noted that according to the indicator, the significant increase in self-employment over the course of the project does not allow any conclusions to be drawn as to whether the employment is also adequate. According to UNHCR, a large part of the original target group of Burundian refugees was dependent on humanitarian aid such as food and cash transfers at the end of the 2018 project term. More recent data for the supported settlements show a downturn in the proportion of employees (see Graph 4, although this statistic is not limited to self-employment).

Graph 4



Source: UNHCR Uganda: Refugee statistics, November 2023, own visualisation.

Typical sources of income in the settlements include occasional jobs, livestock farming, the ownership or use of a solar panel or bicycle for paid services, as well as cash transfers by the UN. Refugees surveyed cited lack of capital/access to loans to start/continue a company, lack of employment opportunities, but also lack of qualifications

as the most important obstacles to generating their own income.²⁶ Here, too, target achievement at the time of the evaluation is therefore rated negatively.

The (sometimes only temporary) expansion of basic infrastructure implemented in connection with the reception of refugees and thus ensuring access for host communities is perceived very positively by the Ugandan population in areas with a high proportion of refugees. There is no evidence that attitudes towards migration and refugees have changed negatively in Uganda due to the increasing numbers.²⁷

8. Contribution to achievement of objectives

The proportion of FC funds to support Burundian refugees per sector was between 46% for health and 26% for livelihoods (also see Efficiency section). During the implementation of the measures, there were shifts in the allocation of funds between the individual activities (also see Relevance section). Specifically, in the third year of implementation, the funds allocated to income-generating measures were transferred to health. The already small financial contribution to the “livelihoods” sector has been reduced even further. Accordingly, the effects achieved can only be approximately traced back to the outputs financed with German funds.

The objectives of the UNHCR annual plan often cannot be achieved due to a lack of financing (also see Sustainability section). The measures actually implemented from the UNHCR annual plan depend on the financing commitments of the donor community. In its international calls for funding, UNHCR itself regularly points out the negative consequences of chronic underfunding, such as reduced access to basic services (e.g. health due to staff shortages or lack of equipment and supplies) or the continuation of dependence on humanitarian aid (e.g. due to a lack of funds to support income-generating measures). UNHCR also warns about the associated increasing tensions amongst refugees and with host communities.²⁸ It is plausible that the significant underfunding of UNHCR had a negative impact on the target achievement of the FC-financed measures (also see Efficiency and Sustainability sections).

9. Quality of implementation

For UNHCR, the regional project with financing from FC funds was a challenge overall, as the UNHCR’s working method is not designed to finance outcomes and outputs defined in advance over several years. UNHCR implements only a few activities itself and instead commissions non-governmental organisations with the implementation. The multi-stage system has shown weaknesses in monitoring, the reporting was in most cases delayed and was in some cases very general and not specific to the project under review.

Not directly attributable to the project, but spreading in the sector, are proven cases of corruption in recent years, which have referred to government bodies in the OPM, but also to UNHCR itself.^{29 30} The cases were consistently investigated, and appropriate personnel action was taken in the organisations. As a result, alternative implementation structures were chosen in FC follow-up projects, and cooperation with UNHCR and OPM was not continued.

10. Unintended effects (positive or negative)

Due to the urgency, no “do no harm” analysis was prepared at the time of the appraisal. This was also not done during the implementation. Over the duration of the project, UNHCR paid attention to conflict-sensitive and balanced implementation in accordance with its own regulations. In particular, the Ugandan government’s requirement for a proportionate promotion of refugees and host communities in a 70:30 ratio contributed to the reduction of tensions between these groups and improved social cohesion³¹ (also see Relevance and “Achievement of objectives” sections).

²⁶ REACH, 2019: Refugee Access to Livelihoods, Housing, Land and Property (incl. Arua, Kyaka II, Kyangwali, Nakivale)

²⁷ Yang-Yang Zhou, Guy Grossmann, Shuning Ge 2022: Inclusive refugee-hosting can improve local development and prevent public backlash

²⁸ <https://reliefweb.int/report/uganda/uganda-refugee-operation-impact-underfunding-2023>

²⁹ [https://taz.de/Korruption-bei-Fluechtlingshilfe-in-Uganda-Jeder-Stein-wird-umgedreht-\(German-only\)-,Jan.2018](https://taz.de/Korruption-bei-Fluechtlingshilfe-in-Uganda-Jeder-Stein-wird-umgedreht-(German-only)-,Jan.2018)

³⁰ <https://www.welt-sichten.org/artikel/39787/gut-aufgenommen-aber-ohne-perspektive>, 8 February 2022

³¹ <https://data.unhcr.org/en/documents/details/94044> Evaluation of the Implementation of the Global Compact for Refugees and CRRF Uganda Evaluation Report March 2022

The overall evaluation of the CRRF has shown that even though gender aspects are conceptionally reflected in all the institutions involved with special gender working groups and relevant strategy documents, gender-related aspects further need to be improved in practice.³²

The environmental consequences reported in various sources due to the overuse of agricultural land are not directly attributable to the project but are the result of the long-term influx of refugees into Uganda.³³

Rating summary

It is plausible to assume that the implemented measures of the evaluated FC project at least temporarily prevented a deterioration in access and supply and possibly contributed to a short term improvement in the situation of some refugees and host communities. A positive impact on social cohesion between refugees and host communities is also plausible. However, the outcome targets were not achieved and the situation at the time of the post evaluation is even worse than at project appraisal in some aspects. Therefore, overall, the efficiency is rated as moderately unsuccessful.

Effectiveness: 4

Efficiency

11. Production efficiency

The use of the funds by UN organisations can only be reviewed to a limited extent in accordance with the single audit principle.

According to the certified final financial report for the FC project, 46% of the project funds were used for Component 1 (health), 26% for Component 2 (income-generating measures) and 28% for Component 3 (drinking water) during the term between 2016 and 2018 (see also Annexes 3 and 5). Insofar as individual outputs can be clearly assigned to the project, the unit prices, e.g. for the construction or rehabilitation of drinking water wells and for the implementation of various training measures, were assessed as appropriate in the final inspection. Unit prices were also lower than in comparable countries in Sub-Saharan Africa.

UNHCR implement only a few programme activities itself; instead, international or national non-governmental organisations are usually commissioned for the implementation on the basis of UNHCR's standardised procurement and contract regulations. UNHCR itself carried out the construction of an isolation ward in a health station, which was assigned to the FC project.

With an administrative fee for organisation and support amounting to 7% of the funds spent, UNHCR is below the standard administrative costs of other UN organisations (e.g. UNRWA at 11% of direct costs or UNICEF and UNDP at 8% each). In addition, UNHCR reported direct personnel costs and implementation costs in Uganda of 5.4% for the present project. Compared with traditional financial cooperation projects involving the use of (international) implementation consultants, the overall cost structure still appears to be good.

The term was designed to last three years and was completed on time, so the time efficiency is rated as good.

12. Allocation efficiency

UNHCR is financed exclusively from fixed contributions from the donor community (core financing), further commitments for programme financing and donations and does not have any own funds. In many cases, the financing of UNHCR's annual plan is not fully secured, including in Uganda during the implementation of the FC-financed measures (also see Effectiveness and Sustainability sections).

Financial additionality was realised. The question of whether the outcomes and impacts achieved could have been achieved more cost-effectively cannot be conclusively verified. Since UNHCR is the lead organisation for

³² <https://data.unhcr.org/en/documents/details/94044> Evaluation of the Implementation of the Global Compact for Refugees and CRRF Uganda Evaluation Report March 2022

support measures for refugees according to UN regulations, plays a central role in Uganda as part of CRRF and coordinates implementation via non-governmental organisations, implementation is traceable via UNHCR.

Based on the total number of refugees in the five settlements supported by the FC project, specific investment costs of only 6.8 EUR per capita per refugee were determined at the end of the implementation period in Uganda. The amount was significantly lower than the per capita costs of the other components of the regional programme in Ethiopia and Somalia.³⁴

The created capacities in health care and drinking water supply can only be offered to a limited extent in a way that covers costs. Health care in the health centres is provided by the Ugandan government and is free of charge for patients. A symbolic price of UGX 1,000 (Ugandan shilling) (approx. 0.25 EUR) is charged monthly per household for the use of the water points. Refugees who are supplied by commercial providers or who have a house connection line pay the applicable tariffs of the water authority (NWSC), which are significantly higher.

With regard to the regional project, of which the FC project in Uganda was part, and a fund allocation across three countries, each with a specified disbursement volume over three years and then across several sectors, it can be assumed that a concentration on fewer countries and fewer sectors could have made a more significant contribution to or, potentially, achieved greater impacts. At least within the project in Uganda, there should have been greater sectoral concentration. The allocation of funds is therefore to be assessed as moderately successful.

Rating summary

As far as can be determined, the project has demonstrated good production efficiency. This is offset by only limited allocation efficiency due to the comparatively small financing shares for a large number of measures. The efficiency shall therefore be rated as moderately successful.

Efficiency: 3

Impact

13. Overarching (intended) developmental changes

The objective of the FC project was to contribute to improved socio-economic development of refugees and host communities and thus to strengthening their resilience (impact). The achievement of the target should be measured by the development of child mortality among refugee children under the age of 5, which primarily depends on factors such as food security, WASH and health, to which the project should contribute. As part of the EPE, the effectiveness is to be additionally checked for plausibility using proxy indicators on the nutritional status of children (recovery rates from acute undernourishment), information on the development of dependence on humanitarian aid and selected study results for refugee contexts in Uganda.

UNHCR counts the deaths in the group of refugee children under five years in the intervention area (unlike the international standard calculation of deaths per 1,000 live births). According to UNHCR, at the end of implementation in 2018 in the supported settlements, death of children under five amounted to 0.1 per 1000 refugee children which was significantly below the recommended UN standard of 1.5 per 1,000 refugee children under five. According to UNHCR, the status at the time of the EPE has improved even further, to 0.05 per 1,000 refugee children in Uganda. UNICEF confirms a positive downturn in child mortality under the age of five in Uganda overall (from 56.1 in 2015 to 45.8 in 2019 to 42.1 per 1,000 live births in 2021)³⁵. Since refugees use public health facilities, a positive effect of clearly improved health care for children is also plausible for children of refugees. Studies on the health of newborns, which confirmed a comparatively high use of preventive examinations and professionally supervised births in refugee communities, support this statement (also see Effectiveness section).

The UNHCR also reports on the recovery rates from acute malnutrition in the “Performance Dashboards”. At the time of the EPE, the indicator is 66%, significantly below the recommended UN standard of 75%. Only quarterly

³⁴ For comparison, in the other components of the UNHCR Regional Programme, the figure in Ethiopia was EUR 21 and in Somalia EUR 68 per refugee.

³⁵ UN-IGME 2022: Child mortality report

figures are available for the end of the implementation of the FC-financed measures, which fluctuate significantly as snapshots and are therefore not very meaningful, so a before/after comparison is not possible.

The ability to provide for oneself and, if possible, independent of humanitarian support such as food distribution or cash transfers, etc. was not achieved (also see Effectiveness section). All supported settlements continued to be dependent on support³⁶.

It is plausible that the impact indicator “Reduction of child mortality among refugee children” is achieved. At the same time, refugees’ dependence on UN support for their livelihoods remains high, which indicates that their resilience remains limited.

14. Contribution to overarching (intended) developmental changes

It is plausible that the FC project made a small positive contribution to health care developments and thus to the health situation of refugees and to stabilising the drinking water supply (also see Effectiveness and Efficiency sections). In view of the very low proportion of financing for income-generating measures, the project’s contribution is rather negligible here.

15. Contribution to unintended overarching developmental changes

The constant influx of new refugees to Uganda has socio-economic and environmental consequences, which cannot, however, be attributed to the FC project evaluated here and shall therefore not be described in more detail.³⁷

Rating summary

Effects on improving resilience measured by the ability to be self-sufficient could not be demonstrated. Although the health situation of refugee children has improved, the contribution of FC-financed measures to this is low. The desired outcomes could not be achieved, so the financed measures were also unable to contribute to increasing the resilience of refugees and the host communities. The developmental impact is therefore rated as moderately unsuccessful overall.

Impact: 4

Sustainability

16. Capacities of participants and stakeholders

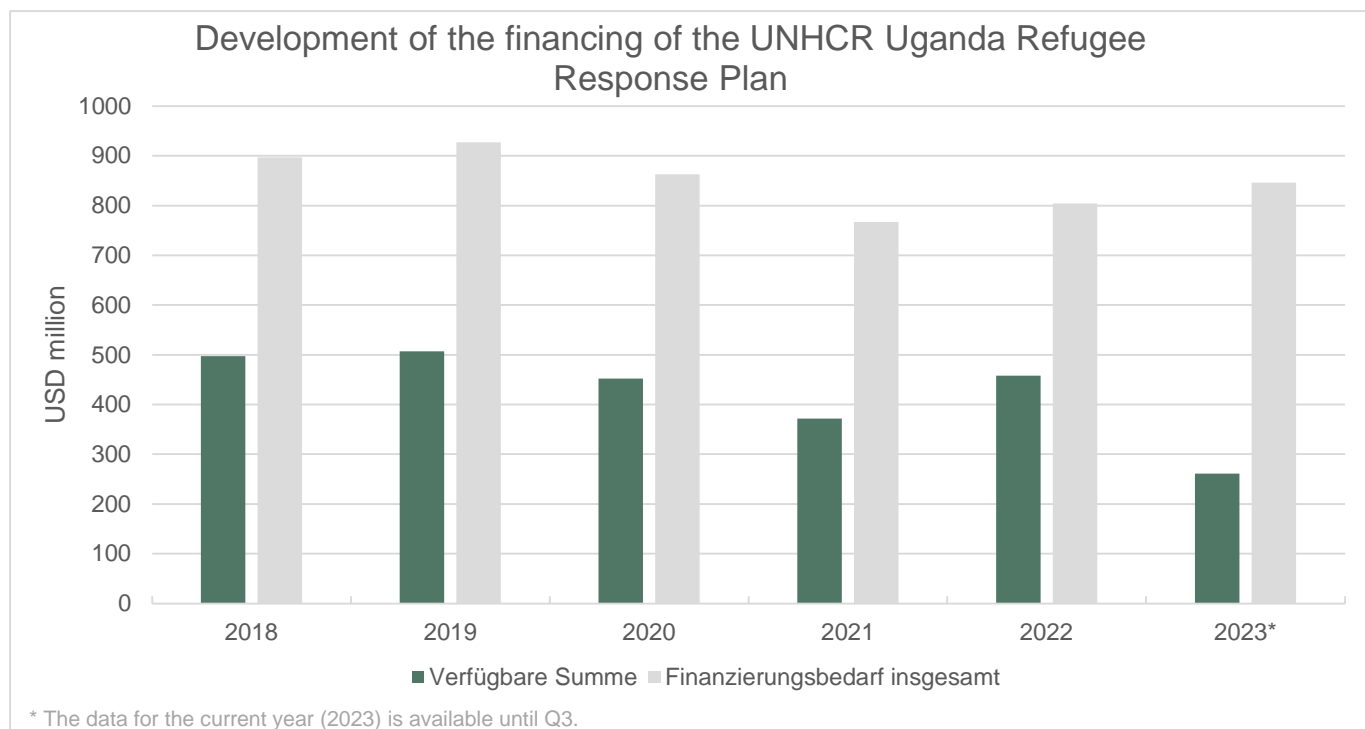
Naturally, recurring financial contributions from the international donor community are necessary to support refugees. The Ugandan government and UNHCR are not in a position to provide basic services to the continuously increasing number of refugees, either in terms of personnel or financially, without permanent support. The underfunding of the country programme by UNHCR and other UN organisations at the time of the project appraisal continued until the time of the evaluation (see also Graph 5). UNHCR regularly warns of the negative consequences in the individual sectors.³⁸ Outputs repeatedly had to be reduced due to a lack of financing and the targets set in accordance with the UNHCR annual plan could not be achieved (also see Effectiveness and Impact sections).

³⁶ https://www.researchgate.net/publication/363726939_Contribution_of_Agriculture_in_the_Enhancement_of_Refugees_Livelihoods_in_Nakivale_Settlement; See also the performance dashboards per settlement for the breakdown of food aid (cash or in-kind)

³⁷ e.g. <https://www.independent.co.ug/refugees-and-environmental-degradation/>

³⁸ <https://reliefweb.int/report/uganda/uganda-refugee-operation-impact-underfunding-2023>

Graph 5



Source: UNHCR November 2023, own visualisation

Even at the time of the final inspection, it became apparent that the activities to improve the health situation (training and strengthening voluntary village health teams) had no lasting effects (also see Effectiveness section). The rate of assisted inhabitants per VHT had already deteriorated again due to high staff turnover. According to UNHCR, among other things, the motivation of the participating volunteers had decreased due to the low expense allowances.

When it comes to ensuring the water supply, sustainable operation is being carried out by the National Water and Sewerage Corporation (NWSC); the infrastructure is to be gradually transferred to their responsibility.³⁹ Most recently, the transfer was agreed between UNHCR, the OPM and NWSC for three settlements, including the Rwamwanja settlement supported by the FC project.⁴⁰ The evaluation of the CRRF recommends developing more uniform guidelines for the operation of infrastructure created in the context of support for refugees and host communities.⁴¹ Information on the functionality of the supported infrastructure is not available at the time of the EPE.

It is plausible that the skills created as part of the training courses and the distribution of starter kits are generally permanently available to those that graduated from the training. However, the extent to which they can also use these to generate income depends on other factors, a.o. such as access to small loans (also see Effectiveness section). Information as part of the EPE thus proves that the majority of refugees in the supported camps continue to depend on aid deliveries or cash transfers (also see Effectiveness and Impact sections).

17. Contribution to supporting sustainable capacities

With the exception of a few rehabilitation measures in the area of health and drinking water supply, the project was not designed to create sustainable capacities. The FC co-financing was designed as a one-off financing, an exit strategy was not set up or the connectivity to future projects was not considered. The high risks to sustainability already identified during the appraisal occurred during the course of the project.

³⁹ A Transition for All: Equity and community engagement in the transition of water supply management to utilities in refugee settlements in Uganda (openrepository.com), Dec. 2020

⁴⁰ <https://reliefweb.int/report/uganda/uganda-country-refugee-response-end-year-inter-sector-dashboard-2022>

⁴¹ IMPACT 2022: Evaluation of the implementation of the CRRF in Uganda

18. Durability of impacts over time

With the exception of the promoted infrastructure in the area of health and drinking water supply, which will continue to be operated by national utilities, services providers or the public administration, no lasting effects can be assumed (also see Effectiveness and Impact). There is no information on the status of maintenance measures for this infrastructure. At the same time, increasing numbers of refugees are facing declining funding for support measures, which suggests that the pressure on existing infrastructure is high and increasing, i.e. that it is being heavily used and possibly overused, with corresponding effects on maintenance/repair requirements and wear and tear.

Rating summary

With the exception of activities to rehabilitate or expand infrastructure for health and drinking water supply, the project was not aimed at sustainable impacts. Already at the time of the final inspection, capacities created in the healthcare sector as part of the project were declining with plausible, corresponding effects on the impacts. It is also plausible that the promoted infrastructure will be heavily used and possibly overused with corresponding effects on maintenance requirements and wear. The sustainable financing of further support measures is not (fully) secured. The sustainability is therefore rated as moderately unsuccessful.

Sustainability: 4

Overall rating: 4

Against the backdrop of the global refugee crisis in 2016 with crises competing for donor contributions, the regional programme and the component in Uganda were relevant. While the impact logic is generally plausible, the definition of specific activities for a three years period was not appropriate to the volatile context. Due to comparatively low funding and its distribution over a large number of activities in different regions, only limited impacts could be assumed. While the project was standalone in German DC at the start of cooperation with Ugandan refugee policy, the external coherence through the co-financing of the UNHCR programme can be assessed positive. The effectiveness indicators could not be achieved, although the outputs targets were met or partially exceeded. This was due, among other things, to the further increase in the number of refugees during the implementation period and thus also to the further increased demand for basic services. FC financing was therefore not able to contribute to a significant improvement in the supply situation. In view of the limited effect at outcome level, limited effects at impact level can also be assumed. Although there is evidence of improvements in the health of the children of refugees, there is no evidence of improved income opportunities or the ability for refugees to provide for themselves and thus increased resilience. The sustainability is limited. As a result, the project is rated as moderately unsuccessful overall.

Contributions to Agenda 2030

With its multi-sectoral approach, the project aimed to strengthen the resilience of refugees and host communities by increasing the use of improved basic services and income opportunities. The implemented measures aimed to contribute to improving the health situation (SDG 3 Ensure healthy lives and promote well-being for all at all ages). Improvement of the water supply was the subject of Component 2 (SDG 6 Ensure availability and sustainable management of water and sanitation for all). Component 3 on employment aimed to contribute to improving the income situation (SDG 1 End poverty in all its forms everywhere, and SDG 8 Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all).

Project-specific strengths and weaknesses as well as general conclusions and lessons learned

The project had the following strengths and weaknesses in particular:

- Impact monitoring was weakened by the formulation of unrealistic or inappropriate outcome indicators.
- The original allocation of funds in a multi-sectoral and regional programme to individual outputs in the context of the crisis proved inappropriate.

- UNHCR was not familiar with the requirements and procedures associated with FC co-financing.

Conclusions and lessons learned:

- As with other multi-sectoral programmes with UN organisations, it is also evident here that, in retrospect, the allocation of funds to individual activities of the project was not appropriate. It is easier to respond to changing contexts with a more flexible approach. In the follow-up project, a pro rata financing of the overall UNHCR budget was therefore chosen instead of specific earmarking for selected activities.
- With a limited funding volume, focusing on few activities leads to more significant impacts.
- There are only limited conceptual opportunities for cooperation with UNHCR and for targeted allocation of funds.

Evaluation approach and methods

Methodology of the ex-post evaluation

The ex-post evaluation follows the methodology of a rapid appraisal, which is a data-supported qualitative contribution analysis and constitutes an expert judgement. This approach ascribes impacts to the project through plausibility considerations which are based on a careful analysis of documents, data, facts and impressions. This also includes – when possible – the use of digital data sources and the use of modern technologies (e.g. satellite data, online surveys, geocoding). The reasons for any contradicting information are investigated and attempts are made to clarify such issues and base the evaluation on statements that can be confirmed by several sources of information wherever possible (triangulation).

Documents:

Project documentation

including KfW module proposal and final inspection report,

UNHCR Final Narrative Report August 2019

UNHCR data

Relief Web, various UNHCR dashboards for the five supported settlements, performance reports per sector, etc. including UNHCR and Government of Uganda, Uganda comprehensive refugee response portal, March 2022, UNHCR Burundi Regional Refugee Response Plan 2016, Burundi Regional Response Plan Uganda 2018 End Year Report; UNHCR Uganda Fact Sheet – February 2016, UNHCR Settlement profiles, UNHCR end of year inter-sector dashboard 2022, UNHCR Refugee Health Report Uganda

UN data

UNICEF 2018: Child Poverty and Deprivation in Refugee-Hosting Areas Evidence from Uganda

<https://reliefweb.int/report/uganda/uganda-refugee-operation-impact-underfunding-2023>

UN-IGME 2022: Child mortality report

Ugandan Government

2006 Uganda Refugees Act

2010 Uganda Refugee Regulation

Studies

Department of Community Health and Behavioural Science, Makerere University School of Public Health, Kampala, Uganda, 2020: Essential newborn care practices and determinants among mothers of infants aged 0–6 months in refugee settlements, Adjumani district, West Nile, Uganda

Gasseer NA, Dresden E, Keeney GB, Warren N. inter alia: Status of Women and Infants in Complex Humanitarian Emergencies. *Journal of Midwifery & Women's Health*. 2004; 49(S1): 7–13.

IMPACT 2022: Evaluation of the implementation of the CRRF in Uganda

IRRI, 2019: understanding conflict dynamics around refugee settlements in northern Uganda

OECD. States of fragility report: Understanding violence. Paris: Organisation for Economic Co-operation and Development, 2016.

REACH, 2019: Refugee Access to Livelihoods, Housing, Land and Property (including Arua, Kyaka II, Kyangwali, Nakivale)

WHO, UNICEF, UNFPA 2014: Trends in maternal mortality: 1990 to 2013

Yang-Yang Zhou, Guy Grossmann, Shuning Ge 2022: Inclusive refugee-hosting can improve local development and prevent public backlash

https://www.researchgate.net/publication/363726939_Contribution_of_Agriculture_in_the_Enhancement_of_Refugees_Livelihoods_in_Nakivale_Settlement;

A Transition for All: Equity and community engagement in the transition of water supply management to utilities in refugee settlements in Uganda (openrepository.com), Dec. 2020

Labour Market Assessment covering Refugee Hosting districts in Uganda, November 2022

Media reports

<https://www.independent.co.ug/refugees-and-environmental-degradation/>

<https://taz.de/Korruption-bei-Fluechtlingshilfe-in-Uganda/!5482840/> Jeder Stein wird umgedreht, Jan. 2018

<https://www.welt-sichten.org/artikel/39787/gut-aufgenommen-aber-ohne-perspektive>, 8 February 2022

Interview partners:

KfW project managers

The analysis of impacts is based on assumed causal relationships, documented in the results matrix developed during the project appraisal and, if necessary, updated during the ex-post evaluation. The evaluation report sets out arguments as to why the influencing factors in question were identified for the experienced effects and why the project under investigation was likely to make the contribution that it did (contribution analysis). The context of the development measure and its influence on results is taken into account. The conclusions are reported in relation to the availability and quality of the data. An evaluation concept is the frame of reference for the evaluation.

On average, the methods offer a balanced cost-benefit ratio for project evaluations that maintains a balance between the knowledge gained and the evaluation costs, and allows an assessment of the effectiveness of FC projects across all project evaluations. The individual ex post evaluation therefore does not meet the requirements of a scientific assessment in line with a clear causal analysis.

The following aspects limit the evaluation:

Insufficient specific data that could be attributed to the FC financing contribution

Rating methodology

A six-point scale is used to evaluate the project according to OECD DAC criteria. The scale is as follows:

- Level 1** very successful: result that clearly exceeds expectations
- Level 2** successful: fully in line with expectations and without any significant shortcomings
- Level 3** moderately successful: project falls short of expectations but the positive results dominate
- Level 4** moderately unsuccessful: significantly below expectations, with negative results dominating despite discernible positive results
- Level 5** unsuccessful: despite some positive partial results, the negative results clearly dominate
- Level 6** highly unsuccessful: the project has no impact or the situation has actually deteriorated

The overall rating on the six-point scale is compiled from a weighting of all six individual criteria as appropriate to the project in question. Rating levels 1–3 of the overall rating denote a “successful” project while rating levels 4–6 denote an “unsuccessful” project. It should be noted that a project can generally be considered developmentally “successful” only if the achievement of the project objective (“effectiveness”), the impact on the overall objective (“impact”) and the sustainability are rated at least “moderately successful” (level 3).

List of abbreviations:

FI	Final inspection
GBP	Gross domestic product
BMZ	Federal Ministry for Economic Cooperation and Development
DAC	Development Assistance Committee
DR Congo	The Democratic Republic of the Congo
EUR	Euro
FC	Financial cooperation
FC E	FC evaluation
HDI	Human Development Index
MP	Module proposal
NGO	Non-governmental organisation
NWSC	National Water and Sewerage Corporation
OPM	Office of the Prime Minister
UNHCR	United Nations High Commissioner for Refugees
VHT	Village Health Team
PP	Project proposal
TC	Technical cooperation
USD	US dollar
WASH	Water Sanitation and Health

Publication details

Responsible

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Annex 1: Target system and indicators

Project objective at outcome level		Rating of appropriateness (former and current view)			
During project appraisal: Contribution to improved socio-economic development of refugees and host communities and basic services		The project purpose does not correspond to the current state of the art of measuring a change in the use of improved infrastructure/output at outcome level.			
For the EPE (if the target was modified): the project's objective was to increase the use of improved access to basic services and improved income opportunities for refugees and host communities (outcome).					
Indicator	Rating of appropriateness	PA target level* Optional: EPE target level	PA status 2015	Status at final inspection 2020	EPE status 2023
Indicator 1 (PA) Number of consultations in healthcare facilities	Absolute figures are only of limited significance in view of the significantly increased numbers of refugees in the supported settlements**	n/a	403,000	750,000	n/a
Indicator 2 (PA) Available drinking water in litres/person/day	The indicator refers to the settlements of the refugees. The target level added as part of the EPE corresponds to the WHO recommendation of 20 litres/person/day.	18 litres (PA) 20 litres (EPE)	16 litres	16 litres	14 litres (target was met in individual settlements, less on average)
Indicator 3 (PA) Proportion of refugees who are self-employed	The indicator is only partially suitable, it does not allow a statement to be made as to whether the earnings are adequate***	40%	35%	72.4%	64%

* Since the number of refugees increased significantly during the course of project implementation, the target values set at the time of the appraisal are not very meaningful.

** Additional consideration of proxy indicators on the development of consultations per healthcare professional per day, data on the supported settlements and results of studies on impacts on host communities.

*** Additional consideration of proxy indicators on the development of refugee employment in the supported settlements as a whole as well as statements on the development of dependence on UN aid supplies

Project objective at impact level					
During project appraisal: Contribution to improved socio-economic development of refugees and host communities and basic services			The project objective during project appraisal does not differentiate between output (or outcome) and impact levels.		
During EPE: The objective of the FC project was to contribute to improved socio-economic development of refugees and host communities and thus to strengthening their resilience (impact).					
Indicator	Rating of appropriateness	Target level PA / EPE (new)	PA status 2015	Status at final inspection 2018	EPE status 2023
Indicator 1 (PA) Child mortality rate under five years old per 1,000 children of refugees	The achievement of the target should be measured by the development of child mortality among refugee children under the age of 5, which primarily depends on factors such as food security, WASH and health, to which the project should contribute. The target level of 0 at PA is unrealistic. As part of the EPE, the international standard <1.5 per 1,000 is therefore applied. UNHCR measures deaths per 1,000 children of refugees instead of deaths per 1,000 live births as in the international comparison****	0 (PA) <1.5 (EPE)	1	0.1	0.05

**** additional proxy indicators on the nutritional status of children (recovery rates from acute undernourishment), developments in child mortality in Uganda as a whole, information on the development of dependence on humanitarian aid as well as study results for refugee contexts in Uganda

Annex 2: Risk analysis

Risk	Relevant OECD-DAC criterion	Status at EPE
Overall financing is not secured.	Effectiveness, sustainability, impact	All risks foreseen during the project appraisal (PA) have occurred to varying degrees. In particular, risks associated with inadequate overall financing from UNHCR and further increasing numbers of refugees had an impact on the FC project's target achievement and impacts.
Security situation and general conditions, further influx of refugees	Impact	
Executing agency risk due to decentralised organisation of the executing agency	Effectiveness, efficiency, sustainability	
UNHCR mandate: country programme with small-scale measures without sustainability claim	Efficiency, sustainability, impact	
Risks of corruption	Effectiveness	
Do no harm	Sustainability, effectiveness	
Measures have no lasting effects	Impact, sustainability	

Annex 3: Project measures and their results

UNHCR excerpt from “final narrative report”

	Original target 2016–2018	Revised target 2016–2018*	Achievement 2016	Achievement 2017	Achievement 2018	Progress Against Target 2016–2018	Percentage progress 2016–2018
Sanitation and health care support							
# of Village Health Teams (VHTs) per persons/households	1 VHT per 250 persons/50 households		1 VHT per 340 persons/68 households	1 VHT per 291 persons.	1 VHT per 373 persons.	1 VHT per 373 persons	67%
# of hygiene and sanitation focus groups in communities and schools	30		0	43	43	43	143%
# of schools with incinerators constructed	9		0	12	5	17	189%
Provision of safe water points							
# of abandoned boreholes restored	30		19	19	3	41	137%
# of boreholes drilled in institutional locations	9		0	22	0	22	244%
Support for livelihoods and self-reliance*							
# of households receiving production kits or inputs for agriculture/livestock/fisheries	10,000		7,142	17,339	0	24,481	245%
# of households trained on crop management or livestock production	10,000		1,989	10,583	0	12,572	126%
# of stores for produce collection constructed	2	0	0	0	0	0	N/A
# of Warehouse Receipt Systems established	1	0	0	0	0	0	N/A
# of households trained on basic business development, record keeping, income projection and the entrepreneurial cycle	5,000		7,142	1,427	0	8,569	171%
# of households supported with non-agricultural livelihood starter kits	1,000		70	2,071	0	2,141	214%
# of back yard vegetable graded and group gardens established	8,000		2,000	6,040	0	8,040	101%

Annex 4: Evaluation questions in line with OECD-DAC criteria / ex post evaluation matrix

Relevance

Evaluation question	Specification of the question for the present project	Data source (or rationale if the question is not relevant/applicable)	Rating	Weighting (- / o / +)	Rationale for weighting
Evaluation dimension: Policy and priority focus			3	o	
Are the objectives of the programme aligned with the (global, regional and country-specific) policies and priorities, in particular those of the (development policy) partners involved and affected and the BMZ?	Initially, funds were to be allocated to the water sector, shifts on the proposal of UNHCR Uganda as a result of the needs at the time; Priorities are set by UNHCR	UNHCR country programme on an annual basis			
Do the objectives of the programme take into account the relevant political and institutional framework conditions (e.g. legislation, administrative capacity, actual power structures (including those related to ethnicity, gender, etc.))?	UNHCR has been active in Uganda since independence, and UN organisations have now drawn up a refugee response plan in cooperation with the Ugandan government in 2020.	Executing agency analysis			
Other evaluation question 1	How is UNHCR now implementing do no harm requirements?	Progress reports			
Other evaluation question 2	What impact is the unrest in the north (conflicts between refugees and host communities) in 2022 having on the refugee policy in UGA as a whole?	No direct link to the project can be identified			
Evaluation dimension: Focus on needs and capacities of participants and stakeholders					
Are the programme objectives focused on the developmental needs and	Refugees in settlements are organised into committees, prioritisation by UNHCR				

capacities of the target group? Was the core problem identified correctly?					
Were the needs and capacities of particularly disadvantaged or vulnerable parts of the target group taken into account (possible differentiation according to age, income, gender, ethnicity, etc.)? How was the target group selected?	Selection by UNHCR, committees with representatives of host communities and refugee settlements; no separate analysis				
Would the programme (from an ex post perspective) have had other significant gender impact potentials if the concept had been designed differently? (FC-E-specific question)	How does UNCHR address these questions, how are committees set up?	No disaggregated data available			
Other evaluation question 1	According to the PP, significant contribution to improving living conditions: How can a net allocation of EUR 2.8 in five settlements that currently have 477,000 inhabitants be significant? Calculated over three years, EUR 5.80/person				
Evaluation dimension: Appropriateness of design				3	o
Was the design of the programme appropriate and realistic (technically, organisationally and financially) and in principle suitable for contributing to solving the core problem?	Co-financing of a country programme, i.e. explicit contribution, no separate investment project	Not further elaborated, as specified			Co-financing UN-HCR country programme
Is the programme design sufficiently precise and plausible (transparency and verifiability of the target system and the underlying impact assumptions)?	Determination of fund allocation (ear marking) and output indicators against the will of UNHCR due to small volume, procedure and planning horizon of three years new for UNHCR	Target system cannot be checked because allocation of funds to individual activities is not traceable			
Please describe the results chain, incl. complementary measures, if necessary in the form of a graphical					

representation. Is this plausible? As well as specifying the original and, if necessary, adjusted target system, taking into account the impact levels (outcome and impact). The (adjusted) target system can also be displayed graphically. (FC-E-specific question)					
To what extent is the design of the programme based on a holistic approach to sustainable development (interplay of the social, environmental and economic dimensions of sustainability)?		Not in depth, only taken into account in the follow-up phase Support for refugees and host communities in North Uganda by UNHCR BMZ no. 2017 407 11.			
For projects within the scope of DC programmes: is the programme, based on its design, suitable for achieving the objectives of the DC programme? To what extent is the impact level of the FC module meaningfully linked to the DC programme (e.g. outcome impact or output outcome)? (FC-E-specific question)	n/a, no DC programme No TC project, but since 2018 GIZ project specifically in North Uganda with connections to the follow-up phase UNHCR Financial Cooperation and UNHCR cooperation with GIZ				
Other evaluation question 1	How has UNHCR's funding developed over the implementation period?	UNHCR and Relief Web, consistently poor or even declining at the time of the EPE			
Evaluation dimension: Response to changes/adaptability			2	+	Adaptability is a strength of co-financing
Has the programme been adapted in the course of its implementation due to changed framework conditions (risks and potential)?	Necessary by its very nature, emergency procedure, budget lines moved from income-generating measures to health care; output indicators adjusted	UNHCR reports, not verifiable due to UN Single audit principle, but according to final financial report shifts between budget lines and thus between outputs			

Coherence

Evaluation question	Specification of the question for the present project	Data source (or rationale if the question is not relevant/applicable)	Rating	Weighting (- / 0 / +)	Rationale for weighting
Evaluation dimension: Internal coherence (division of tasks and synergies within German development cooperation):			3	0	
To what extent is the programme designed in a complementary and collaborative manner within the German development cooperation (e.g. integration into DC programme, country/sector strategy)?	Regional project, for Uganda component stand-alone for FC	Work instruction memo after German Federal Ministry for Economic Cooperation and Development (BMZ) meeting in the preparation phase, funds from Special Initiative on Forced Displacement were to be used to form structure			
Do the instruments of the German development cooperation dovetail in a conceptually meaningful way, and are synergies put to use?	n/a				
Is the programme consistent with international norms and standards to which German development cooperation is committed (e.g. human rights, Paris Climate Agreement, etc.)?	Does the country programme take international standards into account?	International standards are set by the UN and observed by the UN itself			
Evaluation dimension: External coherence (division of tasks and synergies within German development cooperation):			2	+	
Is the design of the programme and its implementation coordinated with the activities of other donors?	Was there donor coordination in 2016?	In 2017, the Comprehensive Refugee Response Framework (CRRF) was launched for Uganda as the first country in the world to help it take an integrated approach to			

		supporting refugees with local administrations. Evaluation results of the CRRF are available.	
Was the programme designed to use the existing systems and structures (of partners/other donors/international organisations) for the implementation of its activities and to what extent are these used?	Systems and structures of UNHCR, not the state structures, PBA 0; coordination of refugee activities in Uganda by OPM	UNHCR	
Are common systems (of partners/other donors/international organisations) used for monitoring/evaluation, learning and accountability?	UNHCR systems	UNHCR	
Other evaluation question 1	In Uganda, how does coordination between UN organisations work, overlap of sectors, UNICEF and ILO are also involved	UNHCR	

Effectiveness

Evaluation question	Specification of the question for the present project	Data source (or rationale if the question is not relevant/applicable)	Rating	Weighting (- / 0 / +)	Rationale for weighting
Evaluation dimension: Achievement of (intended) targets			4	-	Partly unrealistic targets, external factors: strong increase in refugee numbers, limited financing for UNHCR overall
Were the (if necessary, adjusted) objectives of the programme (incl. capacity development measures) achieved?	--	Water supply: permanent follow-up l/d/c by UNHCR to date, source: Performance dashboards available for various sectors per settlement			

Table of indicators: Comparison of actual/target					
Other evaluation question 1	Why does UNHCR calculate child mortality of children under 5 years old per month?	UNHCR guidelines on standard indicators			
Evaluation dimension: Contribution to achieving targets:			3	+	Outputs were sometimes even exceeded
To what extent were the outputs of the programme delivered as planned (or adapted to new developments)? <i>(Learning/help question)</i>		Ongoing due to the dramatic financing gaps and the influx of new refugees from South Sudan, DRC; individual adjustments not traceable in detail			
Are the outputs provided and the capacities created used?		UNHCR project reports and newer dashboards			
To what extent is equal access to the outputs provided and the capacities created guaranteed (e.g. non-discriminatory, physically accessible, financially affordable, qualitatively, socially and culturally acceptable)?		UNHCR reports on the situation in individual settlements			
To what extent did the programme contribute to achieving the objectives?	Proportionally				
To what extent did the programme contribute to achieving the objectives at the level of the intended beneficiaries?	Proportionally				
Did the programme contribute to the achievement of objectives at the level of the particularly disadvantaged or vulnerable groups involved and affected (potential differentiation according to age, income, gender, ethnicity, etc.)?		UNHCR dashboards with disaggregated data by subgroup			
Were there measures that specifically addressed gender impact potential (e.g.	Health groups	UNHCR health reports			

through the involvement of women in project committees, water committees, use of social workers for women, etc.)? (FC-E-specific question)				
Which project-internal factors (technical, organisational or financial) were decisive for the achievement or non-achievement of the intended objectives of the programme? (<i>Learning/help question</i>)				
Which external factors were decisive for the achievement or non-achievement of the intended objectives of the programme (also taking into account the risks anticipated beforehand)? (<i>Learning/help question</i>)	External: what are the consequences of the permanent influx of refugees due to new crises in neighbouring countries?	Indicators initially achieved, but further deterioration of dramatic further influx of new refugees, initially from South Sudan, UNHCR dashboards		
Evaluation dimension: Quality of implementation			4	o
How is the quality of the management and implementation of the programme to be evaluated with regard to the achievement of objectives?	Project was a new type of cooperation for UNHCR; no more new KfW projects with UNHCR due to difficult cooperation, follow-up project in northern Uganda the last project with UNHCR bank-wide	Interviews with KfW project managers, own evaluation		
How is the quality of the management, implementation and participation in the programme by the partners/sponsors evaluated?		Interviews with project managers, own evaluation of reports		
Were gender results and relevant risks in/through the project (gender-based violence, e.g. in the context of infrastructure or empowerment projects) regularly monitored or otherwise taken into account during implementation? Have corresponding measures (e.g. as part	How does UNHCR monitor?	UNHCR reports		

of a CM) been implemented in a timely manner? (FC-E-specific question)					
Evaluation dimension: Unintended consequences (positive or negative)			3	o	
Can unintended positive/negative direct impacts (social, economic, ecological and, where applicable, those affecting vulnerable groups) be seen (or are they foreseeable)?	Are there any unintended effects that can be attributed directly to the project?	Checked for directly attributable negative effects; source: evaluations, press reports			
What potential/risks arise from the positive/negative unintended effects and how should they be evaluated?					
How did the programme respond to the potential/risks of the positive/negative unintended effects?					

Efficiency

Evaluation question	Specification of the question for the present project	Data source (or rationale if the question is not relevant/applicable)	Rating	Weighting (- / o / +)	Rationale for weighting
Evaluation dimension: Production efficiency			2	+	Specific costs appropriate, on time schedule
How are the inputs (financial and material resources) of the programme distributed (e.g. by instruments, sectors, sub-measures, also taking into account the cost contributions of the partners/executing agency/other participants and affected parties, etc.)? (Learning and help question)		Cost and financing plan			

<p>To what extent were the inputs of the programme used sparingly in relation to the outputs produced (products, capital goods and services) (if possible in a comparison with data from other evaluations of a region, sector, etc.)? For example, comparison of specific costs.</p>	<p>Cost comparisons</p>	<p>Final inspection report, other evaluations of UN projects</p>			
<p>If necessary, as a complementary perspective: To what extent could the outputs of the programme have been increased by an alternative use of inputs (if possible in a comparison with data from other evaluations of a region, sector, etc.)?</p>					
<p>Were the outputs produced on time and within the planned period?</p>		<p>UNHCR progress report and adjusted budgets, final inspection report</p>			
<p>Were the coordination and management costs reasonable (e.g. implementation consultant's cost component)? (FC-E-specific question)</p>	<p>Comparison of UNHCR costs with other UN organisations</p>	<p>Cost plan, comparison with other UN projects</p>			
<p>Evaluation dimension: Allocation efficiency</p>			<p>4</p>	<p>–</p>	<p>Allocation was the weak point of the project</p>
<p>In what other ways and at what costs could the effects achieved (outcome/impact) have been attained? (<i>Learning/help question</i>)</p>	<p>Has direct cooperation with NGOs been reviewed?</p>	<p>Direct cooperation between KfW and NGO instead of KfW with UNHCR and this commissions NGO or INGO; however, the German Federal Ministry for Economic Cooperation and Development (BMZ) specified cooperation with UNHCR in 2016. Due to tight time schedule of the German Federal Ministry for Economic Cooperation and Development (BMZ), no opportunity to develop alternative executing agency concept, implemented in subsequent phase</p>			
<p>To what extent could the effects achieved have been attained in a more</p>		<p>Different executing agency strategy, implemented directly with NGO in follow-up phase</p>			

cost-effective manner, compared with an alternatively designed programme?		
If necessary, as a complementary perspective: To what extent could the positive effects have been increased with the resources available, compared to an alternatively designed programme?		
Note: If PSP (Private Sector Participation; see Inpro under 1.11) was issued for the project or there is generally cooperation with private actors (commercial banks, companies, professional NGOs) in the implementation of FC (private sector as an instrument), the following evaluation question must be taken into account:		
In what respect was the use of public funds financially complementary?		

Impact

Evaluation question	Specification of the question for the present project	Data source (or rationale if the question is not relevant/applicable)	Rating	Weighting (- / 0 / +)	Rationale for weighting
Evaluation dimension: Overarching developmental changes (intended)			4	0	
Is it possible to identify overarching developmental changes to which the programme should contribute? (Or if foreseeable, please be as specific as possible in terms of time.)	How can the overarching impacts of the small-scale measures be determined?	Allocation gap extended over three years due to small scale			
Is it possible to identify overarching developmental changes (social, economic, environmental and their interactions) at the level of the intended beneficiaries? (Or if foreseeable, please be as specific as possible in terms of time)	Target group: refugees from Burundi, very volatile, new arrivals vs. returnees to Burundi, refugees from other countries of origin in the supported settlements also benefited from the measures	No data available for changes in individual groups, only total per settlement over time			

<p>To what extent can overarching developmental changes be identified at the level of particularly disadvantaged or vulnerable parts of the target group to which the programme should contribute? (Or, if foreseeable, please be as specific as possible in terms of time)</p>	<p>Changes over time worsened again due to high influx of refugees</p>	<p>UNHCR dashboards, refugees are all vulnerable</p>			
<p>Other evaluation question 1</p>	<p>Can the effects of the coronavirus pandemic be assessed and are they relevant for impacts? Impacts on income situation etc.</p>	<p>Not relevant for the project</p>			
<p>Evaluation dimension: Contribution to overarching developmental changes (intended)</p>			<p>4</p>	<p>o</p>	
<p>To what extent did the programme actually contribute to the identified or foreseeable overarching developmental changes (also taking into account the political stability) to which the programme should contribute?</p>		<p>Only validation possible</p>			
<p>To what extent did the programme achieve its intended (possibly adjusted) developmental objectives? In other words, are the project impacts sufficiently tangible not only at outcome level, but at impact level? (e.g. drinking water supply/health effects)</p>	<p>Partially, but disappeared again; table on drinking water consumption l/d/c for the settlements</p>	<p>National Health Survey from 2016, but no up-to-date data available for the districts; Water data available, regularly collected and published by UNHCR</p>			
<p>Did the programme contribute to achieving its (possibly adjusted) developmental objectives at the level of the intended beneficiaries?</p>	<p>Up to time of final inspection</p>				
<p>Has the programme contributed to overarching developmental changes or changes in life situations at the level of particularly disadvantaged or vulnerable parts of the target group (potential differentiation according to age, income,</p>		<p>Only validation possible</p>			

gender, ethnicity, etc.) to which the programme was intended to contribute?					
Which project-internal factors (technical, organisational or financial) were decisive for the achievement or non-achievement of the intended developmental objectives of the programme? <i>(Learning/help question)</i>		Measure made a contribution, but hardly measurable			
Which external factors were decisive for the achievement or non-achievement of the intended developmental objectives of the programme? <i>(Learning/help question)</i>	What was the impact of the dramatic influx of refugees from South Sudan in 2017 and DRC in 2018?				
Does the project have a broad-based impact? <ul style="list-style-type: none"> - To what extent has the programme led to structural or institutional changes (e.g. in organisations, systems and regulations)? (Structure formation) - Was the programme exemplary and/or broadly effective and is it reproducible? (Model character) 		None, too small-scale; adjustments in follow-up project Northern Uganda as lessons learned, not replicable, KfW UNHCR cooperation discontinued instead			
How would the development have gone without the programme (developmental additionality)?		UNHCR financing gaps lead to permanent undersupply of basic services to the target group			
Evaluation dimension: Contribution to (unintended) overarching developmental changes			3	0	

<p>To what extent can unintended overarching developmental changes (also taking into account political stability) be identified (or, if foreseeable, please be as specific as possible in terms of time)?</p>		<p>Cannot be attributed to the project Further intensification of competition for land and resources, environmental damage due to dense settlement, UGA provides land for refugees, further soil degradation, subsistence agriculture at risk</p>
<p>Did the programme noticeably or foreseeably contribute to unintended (positive and/or negative) overarching developmental impacts?</p>		<p>UNHCR data</p>
<p>Did the programme noticeably (or foreseeably) contribute to unintended (positive or negative) overarching developmental changes at the level of particularly disadvantaged or vulnerable groups (within or outside the target group) (do no harm, e.g. no strengthening of inequality (gender/ethnicity))?</p>		

Sustainability

Evaluation question	Specification of the question for the present project	Data source (or rationale if the question is not relevant/applicable)	Rating	Weighting (- / 0 / +)	Rationale for weighting
<p>Evaluation dimension: Capacities of participants and stakeholders</p>			4	0	UN project without sustainability claim
<p>Are the target group, executing agencies and partners institutionally, personally and financially able and willing (ownership) to maintain the positive effects of the programme over time (after the end of the promotion)?</p>		<p>Measure is not designed for sustainability, requires stabilisation of financing by international donors</p>			

To what extent do the target group, executing agencies and partners demonstrate resilience to future risks that could jeopardise the impact of the programme?	What influence did the strong influx of new refugees have?				
Other evaluation question 1	Should the effects of the coronavirus pandemic on living conditions be considered?				
Evaluation dimension: Contribution to supporting sustainable capacities:			4	+	
Did the programme contribute to the target group, executing agencies and partners being institutionally, personally and financially able and willing (ownership) to maintain the positive effects of the programme over time and, where necessary, to curb negative effects?					
Did the programme contribute to strengthening the resilience of the target group, executing agencies and partners to risks that could jeopardise the effects of the programme?	Are there any long-term effects of training on agricultural techniques?	UNHCR			
Did the programme contribute to strengthening the resilience of particularly disadvantaged groups to risks that could jeopardise the effects of the programme?		UNHCR reports			
Evaluation dimension: Durability of impacts over time			4	o	partly depending on sector and outcome
How stable is the context of the programme (e.g. social justice, economic performance, political stability,		UNHCR reports, media reports			

environmental balance)? (<i>Learning/help question</i>)		
To what extent is the durability of the positive effects of the programme influenced by the context? (<i>Learning/help question</i>)	What is the impact of the influx?	UNHCR reports and dashboards
To what extent are the positive and, where applicable, the negative effects of the programme likely to be long-lasting?		No data and information available; not measurable because too small-scale, final inspection report