

# UNDERSTANDING BUDGET ALLOCATION TO THE ENVIRONMENT AND NATURAL RESOURCES (ENR) AND AGRICULTURE SECTORS AT THE NATIONAL AND LOCAL LEVELS IN UGANDA: WHAT ARE THE OPPORTUNITIES AND RECOMMENDATIONS FOR ADVANCING RESILIENCE TO CLIMATE CHANGE?



Sustainable Transition to Entrepreneurial Production in Agriculture through Upgrading (STEP-UP) project team demonstrating to farmers the best ways to apply fertilizers on a banana plant, Photo credit: Environmental Alert.

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## List of Acronyms

ASSP	Agriculture Sector Strategic Plan
CAADP	Comprehensive Africa Agriculture Development Program
CCD	Climate Change Department
CSBAG	Civil Society Budget Advocacy Group
COVID-19	Corona Virus Disease 19
CSO	Civil Society Organisation
EA	Environmental Alert
EAC	East African Community
ENR	Environment and Natural Resources
INDC	Intended Nationally Determined Contribution
HLG	Higher Local Governments
JESE	Joint Effort to Save the Environment
KP	Kyoto Protocol
LLG	Lower Local Governments
LGDP	Local Government Develop Plans
MAAIF	Ministry of Agriculture, Animal, Industries and Fisheries
MoFPED	Ministry of Finance, Planning and Economic Development
MWE	Ministry of Water and Environment
NAP	National Adaptation Plan
NCCP	National Climate Change Policy
NEA 2019	National Environment Act 2019
NEMA	National Environment Management Authority
NFA	National Forestry Authority
PETS	Public Expenditure Tracking Systems
REDD+	Reducing Emissions from Deforestation and Forest Degradation
STRENPO	Strengthening Resilience and promoting inclusive Governance Program
SOP	Standard Operating Procedures
ToRs	Terms of Reference
UNCCD	United Nations Convention to Combat Desertification
UNFCCC	United Nations Framework Convention on Climate Change
UWASNET	Uganda Water and Sanitation NGO Network

## Foreword

I am delighted to present to you the report on understanding budget allocation to the environment and natural resources (ENR) and agriculture sectors at national and local levels in Uganda. The study report has emerged as a product of wide participatory consultation among the main stakeholders in budget allocation and implementation of Climate Resilience activities. It is worthy to note that climate change directly impacts livelihoods for all walks of life and must be a concern for every institution and individual.

Overtime, the Government of Uganda has been addressing climate variability & change, especially prolonged drought and floods, in dispersed actions (*NAP-AG, 2018*). Much as this has been the case, efforts to increase climate resilience have been skewed to disaster risk reduction, humanitarian action, preparedness and response actions with less attention to investment in long-term adaptation to climate resilience. While adequate financing and investments across sectors (including ENR & Agriculture) is one of the strategies for achieving this, there are information gaps in respect to; understanding the budget allocation trends, gaps in planning & budgeting processes, factors/reasons for the current allocations, and underlying emerging opportunities.

Through this study, Environmental Alert<sup>1</sup> has generated adequate information that will facilitate understanding of the trends in budget allocation to the ENR and Agriculture sectors that are key in championing climate change actions. Therefore, the information & facts generated will be used as evidence to inform practical alternative recommendations aimed at increased and more dedicated budget allocations in the ENR and Agriculture sectors that contributes towards building sustainable climate change interventions.

May the good work we have begun be brought to fruition as we strive to achieve the vision of resilient and dignified communities, managing their environment and natural resources sustainably. With the serious commitment by the Ministries, agencies and departments, I have no doubt that we will see increase in funding to climate change actions at both national and local levels. I therefore conclude by thanking all the different stakeholders and our consultants who worked tirelessly to have this report take shape.

**Chairman- Board of Directors  
Environmental Alert**

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<sup>1</sup> Further information about Environmental Alert is available in Box1

## Acknowledgment

I wish to take the opportunity to pay tribute to all individuals and institutions for their invaluable contribution in carrying out this study on understanding budget allocation to the environment and natural resources (ENR) and agriculture sectors at the national and local levels in Uganda.

In no specific order, the following persons and institutions are applauded for the invaluable support provided:

- (i) Care International in Uganda and DANIDA for having provided financial and technical support towards this budget allocation study;
- (ii) The technical Teams in Ministries of Water and Environment and Agriculture for your technical inputs right from preparation of the Terms of Reference, analytical input in the draft report and during validation of the study finding;
- (iii) M/s Bakamfrin Enterprises (U) Ltd for having expeditiously executed the consultancy engagement leading to collection and synthesis of information to the eventual publication of the study report;
- (iv) The Heads of Natural Resources Departments, District Agricultural Officers, District Environment Officers and District Planners in the Districts of Kasese, Kabarole, Kyenjojo, Kyegegwa, Arua, Isingiro and Buduuda that availed their time and technical input;
- (v) The Technical Working Committee of Environmental Alert for having seamlessly coordinated the activities and averted the study process from becoming a daunting task;

Last and by no means least, the representatives of partner institutions enumerated below, and they are profoundly thanked for their immense contributions:

- a) CSBAG
- b) Joint Effort to Save the Environment
- c) HEWASA Caritas- Fort Portal
- d) UWASNET

To the communities, you not only exhibited enthusiasm in voicing your expectations and concerns for managing your environment and natural resources sustainably but also provided a great wealth of information regarding climate change, we pride in your commitment to enhancing agricultural productivity and sustainable natural resources management.

Finally, Environment Alert hereby places on record every body's contribution and shall always treasure the support provided by whoever commits themselves to ensure climate resilient communities.

Sincerely;

**Dr. Joshua Zake (Ph.D),**  
**Executive Director**

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## 1.0 EXECUTIVE SUMMARY

This study report on “*Understanding the Budget Allocation to the Environment and Natural Resources (ENR) and Agriculture Sectors at the National and Local Levels in Uganda*” is structured into Seven (7) sections inclusive of; a) Executive Summary, b) Introduction, c) Approach and Methodology, d) Study Findings and Analysis, e) Conclusion f) Recommendations and g) Appendices to the Report.

Commissioned by Environmental Alert under the program entitled “*Strengthening Resilience and Promoting Inclusive Governance Program (STRENPO) for women and youth in vulnerable communities*”, the study sought to understand the budgetary trends, basis for allocations as well as the existing gaps within the budgeting processes in the Agricultural and Environment and natural resources sectors so as to articulate options for advancing resilience to climate change within the two sectors.

Guided by this study report, Environmental Alert will champion policy engagements aimed at influencing duty bearer’s decisions and actions along the planning and budgeting processes at the national and local levels.

### 1.1 Purpose of the Study

The study seeks to understand the underlying factors for constrained resource allocations to climate resilience actions in Uganda to inform policy development and implementation. Information and facts generated from this study provide evidence to inform practical alternative recommendations to duty bearers aimed at increased and more dedicated budget allocations in the ENR and Agriculture sectors that contributes towards building community resilience.

### 1.2 Study Approach and Methodology

1.2.1 **Inception Meeting:** The study was preceded by an Inception Meeting where consensus was built among other others on information sources, timelines for collecting, analysing and validating data and the roles of EA, the Coordinating Task Team and other stakeholders in this assignment.

1.2.2 **Backstopping by the Technical Committee:** EA constituted a technical committee to review the draft report and provided technical backstopping to the study.

1.2.3 **Validation Meetings:** The draft study report was validated through an online meeting held on 15<sup>th</sup> December 2020 by the technical working committee and stakeholder comprising of representatives MWE,MAAIF and CSOs, the input fed into the final report.

### 1.3 Key Budget Allocation Findings for ENR Sector

- i. Funding levels represented by ENR sector budget allocations have increased annually by less than 50% of the sector projected funding thereby implying the sector will not achieve any of its 2030 targets. The resource allocation structure has consistently fallen within the *Business as Usual* financing scenario



- ii. The undesirable ENR sector allocation trend has coincided with incomplete release of the planned annual sector resource envelope by a three year average of 89% between 2016/17 and 2018/19 clearly pointing to prevalence of unfunded sector priorities.
- iii. Annual ENR sector resource absorption rates have averaged 96.5% over the same period ended 30<sup>th</sup> June 2019, signifying persistence of resource wastage scenarios denoted by unspent balances amidst reported scarcity.
- iv. The Percentage funding allocation for climate change has averaged 23.3% of the resources availed to Water and Environment Sector over the period 2016/17 to 2020/21 while the proportion of the sector budget to the National budget has averaged 4.5% over the same period. The significance of this finding is such that long after the adoption of the national sector climate resilience indicators encapsulated in the *Standard National Climate Change Indicators and Indicator Reference Sheets, September 2018*, consensus is yet to be built on what the national resource allocation for Climate resilience actions should be and therefore remains undetermined.

#### 1.4 Key Budget Allocation Findings for Agriculture Sector

- v. Growth in annual average resource allocation to the agricultural sector is deduced as 22.2% over the period 2016/7 to 2020/21. By implication, the sector continues to grapple with resource malaise at macro sector resource allocation level that inevitably and adversely affects availability of funding to climate resilience actions;
- vi. Annual actual budget releases to the Agricultural sector averaged a less impressive 86.5% performance level between 2016/17 and 2018/19 when correlated against a performance level of 89% over the same period for the key sector for water and environment is so far as the two sectors were availed resources to champion climate resilience actions.
- vii. The annual agricultural sector resource absorption rates averaged 94.1% over the three year period ended 30<sup>th</sup> June 2019 signifies inadequate synchronisation between time intervals for funds releases from MoFPED, extended procurement process management majorly at MAAIF headquarters and NARO hence delayed activity implementation and reduced absorption.
- viii. The Percentage funding allocation for climate change has averaged 9.9% of the resources allocated to the Agricultural Sector over the period 2016/17 to 2020/21. This signifies that long after the adoption of the national sector climate resilience indicators encapsulated in the *Standard National Climate Change Indicators and Indicator Reference Sheets, September 2018*, consensus is yet to be built on what the Sector resource allocation for Climate resilience actions should be and therefore remains undetermined

#### 1.5 Key Budget Allocation Findings for Agriculture and ENR Sectors at District Level

At District level, a qualitatively adopted and highly variable criterion for resource allocation to the ENR and Agricultural sectors encompassing:

- a. Lobbying capacity of area councillors;
- b. Proportion of sector funding allocated by central government;

- c. Perceived impact of sector interventions at local government level

## 1.6 Existing gaps within the planning and budgeting processes in respect to advancing climate

- 1.6.1 **Undetermined Climate Change Targets:** Long after the adoption of the national sector climate resilience indicators encapsulated in the *Standard National Climate Change Indicators and Indicator Reference Sheets, September 2018*, consensus is yet to be built on what the national resource allocation for Climate resilience actions should be and therefore remains undetermined.
- 1.6.2 **Insufficient Climate Change Regulatory framework:** Whereas the main objective of the Uganda's Climate Change policy is "*Ensure that all stakeholders address climate change impacts and their causes through actions that promote a green economy and sustainable development*" there is no elaborate regulatory framework in form of an Act of Parliament and regulations to enforce and operationalize the aspiration. The notion of promoting and supporting climate change education, awareness raising and capacity development for stakeholders from the local level to the national level as stipulated in the Uganda's Climate Change policy has not been fully operationalized due to limited financial resources allocated towards climate change across the different Ministries, Departments agencies and Local governments.
- 1.6.3 **Dysfunctional District Environment Committees:** Funding modalities for operationalizing District Environment Committees<sup>2</sup> as provided for by the National Environment Act 2019 are yet to be documented and as such the functional effectiveness of these structures has remained in abeyance at the district level hence cross-Sectoral coordination of environmental matters have continued to remain unattended to.
- 1.6.4 **Insufficiency of Staffing** in the department of climate change in the Ministry of Water and Environment to actualise the mainstreaming policy of climate change and resilience across all local governments and Ministries. This challenge is amplified by the fact that climate change is an abstract concept in Local Governments, CSOs involved in natural resources and private institutions. While Sectors at Local government are arranged to mirror the ministries and departments for ease of sector coordination and capacity building, the water department is delinked from the Natural resources sector. Secondly, NEMA and UNMA have no direct representation within the local government establishments. There is observable limited technical capacity at district level to translate climate change issues into locally appropriate and adaptive practices and actions (*Okolo, Twyman, etal August 2015*).

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<sup>2</sup> Every district shall establish a district environment and natural resources committee, which shall comprise—The District Chairperson; (b) the Members of Parliament from the district; (c) the Resident District Commissioners; (d) the Secretary for environment; (e) the District Natural Resources Officer; who shall be the secretary; (f) the Chief Administrative Officer; (g) the district engineer; (h) the town clerk; (i) the Mayor, town clerk and secretary responsible for environment at the urban council; (j) the district planner; (k) the physical planning officer; and (l) community development officer.



- 1.6.5 **Limited Human Resource Capacity:** A baseline study conducted in 2012 across selected institutions in Uganda and the different sectors indicated the need to strengthen human skills and capacity development for purposes of addressing climate change. (*Ministry of Water and Environment Climate Change Unit June 2013*). This informed the preparation of the National Strategy and Action Plan to strengthen human resources and skills to advance green, low-emission and climate-resilient development in Uganda 2013 - 2022 . However, the proposed interventions are yet to be fully implemented.
- 1.6.6 **Infective Coordination of Climate Change actions at District Level:** While Government Public Service designated the District Natural Resources Officer (DNRO) as the Climate Change Focal person within Local Governments, there has been no instrument officially requiring the DNRO to coordinate, report and enforce climate change interventions within the District. Consideration of Climate Change and Mineral Development as cross cutting issues at district level has provided ground for ineffective planning, reporting and coordination of climate change actions. In effect, Climate Change is left to everybody and no body takes responsibility. The practice of UNMA coordinating with the line department at local government levels on only specific activities like information dissemination has aggravated the effects of not mirroring the aspiration of the Climate change department and UNMA at local government level.
- 1.6.7 **Limited compliance to Local Government Development Planning guidelines:** Integration of CSO / PSO development priorities and activities in Local Government Development Plans is well provided for in the Local Government Development Planning Guidelines 2014. The guidelines require adequate buy-in of CSOs/PSOs in the HLG and LLG where they operate, Integration of CSO/PSO development activities in the LGDP and Inclusion of CSO/PSO issues in the HLG development priorities. This is supposed to be amplified and concretised during District Budget Conferences. Review of minutes of District Budget Conferences, Conference Papers and Key Informant Interviews revealed limited compliance to this provision. While MoFPED had started the process of developing budget tagging with support from the World Bank, the system is yet to take-off. Climate change policy provides for inclusion of climate change resilience initiatives in all budgets at different levels, unavailability of a system to tag budget to climate resilience actions has left a big gap realising such a provision.
- 1.6.8 In circumstances where government has promoted high value crops under special agricultural programs like NAADS and OWC interventions has often been done in disregard to environment considerations. For instance, the study has established that in some areas of Kyenjojo District free tea seedlings distributed under the NAADS program have been planted in ecologically sensitive areas such as wetlands while some households have cleared huge chunks of forest cover for coffee farming promoted under OWC. This has partly contributed to the loss of 2.8 million hectares of woodland and over 0.4 million hectares of wetland across the country between 1990 and 2015 having been converted to farmland (*UBOS, 2020*). These scenarios point to gaps in

mainstreaming of climate change actions in the agricultural sector at local government, Ministry, and CSO levels. Key Informant Interviews at District level revealed that often times, in efforts to champion climate change sensitive actions while implementing special agricultural programs, the technical teams at Districts level are construed to be sabotaging government programs which have demotivated their efforts regarding climate resilience. This is due to the limited sensitisation of the communities and political leadership on climate change and its impact on livelihoods.

- 1.6.9 Among the strategies envisaged in the National Agricultural Policy (NAP), 2013 that aims at transforming subsistence farming to sustainable commercial agriculture include; Regulate the exploitation of agricultural resources within ecologically sustainable levels, including addressing the hazards of land fragmentation, encouraging and supporting local governments to enact and enforce bylaws and ordinances that promote household food security through appropriate food production or storage practices; Support development and sustainable use, management, and maintenance of water and land resources for agriculture to boost production, enhance value-addition, and reduce the effects of climatic Shocks (MAAIF 2013). A review of work plans and departmental reports for the department of agriculture at district level confirmed limited implementation of these policy strategies, which was attributed to limited resource envelope to finance activities such as enacting and enforcing agriculture specific by-laws, the land tenure system within the communities that is highly fragmented, subsistent nature of agriculture and the poor mind-set of expecting allowance/hand-outs for any engagement at community level thus hindering productive engagements.
- 1.6.10 Limited use of up-to-date researched information and statistics at community level regarding proper use and conservation of agricultural resources. Whereas government has established robust organs and systems to collect and analyse data inclusive of UBOS and departments of planning at District level, use of update information regarding agriculture as a tool for planning and decision making towards climate resilience action was found minimal. Key informant interviews at District level confirmed that annual surveys regarding agriculture and effects of climate change on agriculture production to generate planning information are used on a very small scale. A constrained resource envelop was identified as the cause of this regrettable situation.

## 1.7 Recommendations

### 1.7.1 Policy Formulation:

- 1.7.1.1 Upon commencement of the 11<sup>th</sup> Parliament, the Natural Resources Committee of Parliament should cause the expeditious tabling and discussion of the National Climate Change Bill, 2020 for enactment of an Act of Parliament for purposes of mainstreaming commitment and sanctions for non-adherence to the Uganda Climate Change Policy and sector declarations;

- 1.7.1.2 Parliament should undertake to compel the Ministry of Water and Environment to expeditiously gazette regulations for operationalizing the enacted act of Parliament;
- 1.7.1.3 Beyond the climate desk, the Ministry of Public Service should provide for a climate change sector working group, regularise Climate Change Focal Persons at all levels and make climate change interventions/innovations one of the components for appraisal rating for Public Servants.
- 1.7.1.4 Ministry of Public Service should undertake a workload analysis to establish the required human resource at all levels to fully champion climate change in the country.
- 1.7.1.5 Parliament should consider instituting a mechanism where Private Developers<sup>3</sup> are compelled to make financial contributions to climate resilience actions in line with the benefits accruing to their investments due to climate resilient ecosystem and communities. This could also be buttressed with a revenue enhancement strategy to provide off-sets for degraded ecosystems by the specific private sector led development actions.
- 1.7.1.6 The Ministry of Agriculture should review the Agriculture policy to align it to the local context to include regional and district specific interventions cognisant of the specific local social and environmental dynamics.
- 1.7.1.7 Ministry of Education should consider inclusion of climate change activities to make schools as entry points for climate change reliance within the communities. This could among other, entail inclusion of climate change innovation within the curricular at all levels, a ministerial policy position on climate change to be adopted by all educational institution.

### **1.7.2 Planning Cycles**

- 1.7.2.1 The Department of Climate Change under the Ministry of Water and Environment should be strengthened with adequate financial, human and infrastructure capacity to champion implementation of the climate change policy in the Country;
- 1.7.2.2 The Finance Development Committee should champion consolidating and documenting lessons learnt from donor funded projects for replication. The Ministries should periodically examine results and implementation challenges from such projects to provide innovative ideas since such projects integrate both local/ indigenous and international knowledge;
- 1.7.2.3 The CSOs and networks should support capacity building for skills and knowledge enhancement of their members to effectively engage in planning and budgeting processes at both local and national levels with a target of influencing resource allocation and investments for building community resilience to climate change in the agriculture and water and Environment Sectors.
- 1.7.2.4 Environmental Alert and other CSOs should create community awareness/ empowerment on Climate resilience planning and budgeting such that communities can hold their leaders accountable on Climate change resilience issues within their localities.

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<sup>3</sup> Factories, fuel stations, quarries etc

### **1.7.3 Budgeting and Policy Implementation**

- 1.7.3.1 Through the Budget Committee, Parliament should champion evaluation of responsiveness to national climate resilience budgeting targets embedded in ministerial policy statements;
- 1.7.3.2 Ministries of Local Government and Public Service should strengthen the human resource capacity of local governments with respect to climate resilience planning and budgeting;
- 1.7.3.3 MoFPED should revisit the practice of blanket budget cuts on all recurrent expenditure across all ministries and department to cater for departments whose actions are mainly recurrent/consumptive in nature;
- 1.7.3.4 The Ministry of Local Government should Institute Community Climate Change Champions at village level to identify and harness the natural capacities of some communities regarding predicting climate change incidences and make proactive awareness on climate change among the communities;
- 1.7.3.5 The Ministry of Water and Environment should strengthen the effectiveness of the District Environment Committees so that they can deliberate on issues and actions for advancing climate change resilience. District Environment Committees should among others; periodically review responsiveness of the District Development Plans to climate change, support fund raising initiatives for Climate Change interventions and approval of an annual calendar of committee meetings;
- 1.7.3.6 The District Production Department working together with the District Statistician should undertake periodic surveys and publication of findings regarding status of the climate change resilience interventions, impact, social practices in line with climate change, challenges and lessons learnt. Finds of such surveys should be an agenda item on one of the scheduled District Environment Committee meetings.

## 2.0 INTRODUCTION

### 2.1 The Concept of Climate Change Resilience

Resilience refers to a coping mechanism or ability to withstand adverse changes to conditions without a significant change to the system's functions and processes or the ability of the ecosystem to bounce back. (*LJ McCook, et al, 2007*). Climate Change denotes effects of human activities triggering alterations to the composition of the global atmosphere resulting in natural climate variability over comparable time periods (*Uganda National Climate Change Policy, 2015*). Climate Change Resilience is therefore the ability to withstand any adverse effects resulting from climate change.

### 2.2 Legal and Regulatory Framework on Climate Change Resilience

To this end, Uganda has made significant commitments towards developing a robust regulatory framework for climate change by adopting International, Regional and Country enabling frameworks.

At International level, Uganda signed the United Nations Framework Convention on Climate Change (UNFCCC) (21<sup>st</sup> November 1994), ratified the same on 25<sup>th</sup> June 1997 and the Kyoto Protocol 1997 as a commitment to the adoption and implementation of policies and measures designed to mitigate Climate Change and adapt to its impacts.

As a member of the Eastern African Community, Uganda is enjoined to prepare and implement collective measures to address Climate Change in the region while assuring sustainable social and economic development in line with the East African Community (EAC) Climate Change Policy, 2010. Secondly, Uganda is a signatory to the Comprehensive Africa Agriculture Development Program (CAADP) or the Maputo Declaration/Protocol that compels Uganda to among others invest 10% of its annual national budgets on agriculture.

As a supreme law of Uganda, Objective X111 of the Uganda Constitution calls for management of the environment for sustainable development and Article 39 states that "*every Ugandan has a right to a clean and healthy environment*". The Constitution empowers parliament to enact laws that; protects and preserves the environment from abuse, pollution and degradation; manage the environment for sustainable development; and promotion of environmental awareness in fulfilment of Article 245 of the constitution.

Uganda's Vision 2040 recognises the importance of addressing the challenges of climate change to champion sustainable economic and social development. Among the many projects to be implemented to drive this aspiration include the establishment of large irrigation schemes in different parts of the county. This is further amplified by the National Development Plan III (2020/21-2024/25) that espouses the goal of stopping and reversing the degradation of Water Resources, Environment, Natural Resources as well as the effects of Climate Change on economic growth and livelihood security (*National Development Plan III 2020/21 – 2024/25, pp 96*).

Parliament enacted the National Environment Act, 1995 that was repealed by the National Environment Act 2019 (the "NEA 2019") to provide for the massive infrastructure projects in the

energy sector, the imminent production of oil, increasing urbanisation and the consequent pressures on land, and climate change. This followed approval of the National Climate Change Policy (NCCP) and its costed implementation Strategy 2013 by cabinet on 1<sup>st</sup> April 2015 prepared by Ministry of Water and Environment through the Department of Climate Change.

In preparation to respond to the global call to initiate domestic preparations for nationally determined contributions towards curbing temperature rise to below 2°C by the end of the century, on October 14, 2015 MWE commissioned the Intended Nationally Determined Contribution (INDC) (2015) aimed at setting out the Priority Adaptation Action for Climate Change.

Created in 2008, the Parliamentary Forum on Climate Change is charged with promotion of awareness and action around the effects of climate change and to ensure resilience through targeted capacity building efforts. In May 2019, an amendment to Parliament's Rules of Procedure was made and Parliament created the Committee on Climate Change, and spelt out its functions in the new rule 182A.

On 7th February, 2020 the memorandum of the National Climate Change Bill was gazetted with objectives of providing an enabling law to enforce International, Regional and National commitments regarding climate change.

As a focal point for the United Nations Convention to Combat Desertification (UNCCD), the Ministry of Agriculture Animal Industries and Fisheries (MAAIF) has developed the National Adaptation Plan for the Agriculture Sector, 2018 (NAP-Ag), with the overall goal of increasing resilience of the Agricultural Sector to the impacts of climate change, through coordinated interventions that enhance sustainable agriculture, food and nutritional security, livelihood improvement and sustainable development. (MAAIF 2018). MAAIF has also prepared the Uganda Sustainable Land Management Strategic Investment Framework (2010 – 2020); 10-year Climate Smart Agriculture Program (2015-2025); guidelines for mainstreaming Climate change into activities which has influenced the ASSP and the associated instruments.

Objective 23 and Article 249 of the resulting Constitution, called for an end to intolerable and persistent loss of life, suffering and disruption of economic activities by disasters resulting from the lack of preparedness and patchy uncoordinated responses. In line with this provision, the Ministry for Relief, Disaster Preparedness and Refugees developed the National Policy for Disaster Preparedness and Management (2010); with the overall policy goal of promoting national vulnerability assessment, risk mitigation, disaster prevention, preparedness, effective response and recovery in a manner that integrates disaster risk management with development planning and programming. *This is to ensure people of Uganda build capacities that would enable them minimise serious social and economic disruptions as a result of disaster events. (National Policy for Disaster Preparedness and Management 2010).*

Natural capital management and development has been made one of the focus areas in Uganda Green Growth Development Strategy (UGGDS) prepared in 2017.



## 2.3 Climate Change Resilience Initiatives in Uganda

Agriculture, water and environment sectors are cardinal to the fulfilment of the climate resilience agenda in Uganda (MWE 2007). Natural resources constitute the primary source of livelihood for the majority of the Ugandan population. Indeed, the economy of Uganda depends on exploiting of its natural resources and will remain so for the foreseeable future. Management of these natural resources is therefore important and critical to Uganda's long-term development (MWE 2007). Over 80% of households in Uganda are in one way or the other engaged in agriculture, which contributes to 26.2% of the national GDP and 53% of the total export earnings of Uganda (MAAIF 2016). To that effect, Government of Uganda mandated the Climate Change Department in the MWE to champion coordinating the national climate change initiatives and support formulation of the climate change policies. This is to be achieved through mobilisation of funds, ensure capacity building and transfer of technology. Over the years, the department has prepared comprehensive plans for Climate Change resilience whose implementation has been constrained by financing. Accordingly funding initiatives have been devised in form of preparation and submission of winning proposals to potential funders. To this end, a number of organisations have financed Climate change resilience initiatives notably, World Bank, UNDP, FAO, UNEP, Green Climate Fund (GEF). The table below provides an insight on some of the projects financed off the government budget through such initiatives.

**Table 1:** Off- Budget Climate Resilience projects financed through grants and donations.

Sn	Project Name/Title	Partner(s)	Funding Partner	Duration	Closing date	Location
2.6.1	Building Resilient Communities, Wetland Eco-systems and Associated Catchments.	Ministry of Water and Environment (MWE)	GEF	8 years	2025.	12 districts in Western and (12 districts in Eastern Uganda.
2.6.2	Fostering Sustainability and Resilience for Food Security in Karamoja sub-region	MAAIF	GEF	5 years 2018 – 2023		Nakapiripirit, Nabilatuk, Moroto, Kotido, Kaabong and Karenga
2.6.3	Integrated Landscape Management (ILM) for Improved Livelihoods and Ecosystem Resilience in Mount Elgon	MAAIF	GEF	3 years plus No-cost extension of 18 Months	Feb 2016- August 2020	Mbale, Manafwa, Bulambuli Districts
2.6.4	Uganda's National REDD+ PROGRAMME-E	MW	Forest Carbon Partnership Fund	2013	2017	
2.6.5	Enhancing Resilience of Agricultural Landscapes and Value Chains in Eastern Uganda – Scaling up CSA Practices	MAAIF	COMESA/EU and UNDP	3 years 2019 - 2021		

2.6.6	Enhancing the environmental sustainability and resilience of agricultural production to land degradation and climate risks (ATAAS-SLM)	MAAIF	World Bank	5 yrs	2017	Country Wide 28 Districts
2.6.7	Enabling Environment for SLM to overcome land degradation in the cattle corridor of Uganda.	MAAIF	UNDP	4 yrs	2016	Lake kyoga Basin 2 Districts
2.6.8	Mainstreaming SLM in Cattle Corridor Districts of Uganda	MAAIF	UNDP	3 Years	2014	West, Central and Eastern (6 Districts)
2.6.9	Enhancing the adoption of CSA in Uganda's Farming Systems	MAAIF	UNDP/FAO	1½ yrs	2016	Eastern 5 Districts
2.6.10	Stimulating Community Initiatives in Sustainable Land Management (SCI-SLM)	MAAIF	UNEP	3 yrs	2014	West, Central and East 3 Districts
2.6.11	Transboundary Agro-Ecosystem Management Programme for the Kagera River Basin (Kagera TAMP)	MAAIF	FAO	4 yrs	2015	South Western 4 Districts
2.6.12	Addressing Barriers to the Adoption of Improved Charcoal Production Technologies and Sustainable Land Management Practices through an Integrated Approach (Green Charcoal)	MEMD	UNDP	4yrs	2019	Central 4 Districts
2.6.13	Kalagala Offset			2010.	2019	Kalangala, Nile Bank and Namavundu and the entire Mabira Forest Reserve
2.6.14	Natural Capital Accounting (NCA) program	UBOS, the MoFPED, MWE, NPA	Wealth Accounting and the Valuation of Ecosystem Services (WAVES) Global Partnership Program.	2018	2000	

Source: MAAIF and MWE.

Notably these initiatives are implemented under the Inter ministerial corporation committee combining 4 sectors of Land, MWE, Agriculture, Trade and Energy. While Response to climate change takes two broad responses of adaptation and mitigation, Uganda has been engaged in reactive initiatives to majorly curb effects of prolonged drought and floods as major elements of climate change (MAAIF, 2018). Despite these efforts, the initiatives have been in form of disaster response actions with less emphasis to investment in long-term climate resilience adaptation

mechanisms. Whereas it is imperative that adaptation takes a central role in climate policies, funding for adaptation initiatives is limited (*Bouwer and Jeroen, 2004*).

## **2.4 Previous Studies on Resource Allocation to Climate Change Resilience Initiatives in Uganda**

Yet, since 2016/17 to 2019/2020 Uganda has allocated an average of 2.8% and 4.5% (*Uganda National Budgets 2016/17 to 2019/2020*) of national budgetary resources to agriculture and ENR sectors respectively in contravention of International and regional protocols. Such constrained resource allocation to long-term Agriculture, Water and Environment sector interventions has exacerbated climate change uncertainty and associated impacts in form of; prolonged droughts and floods, landslides, deteriorating state of the forest cover and wetland coverage, which are to make agriculture, environment and natural resources more vulnerable to climate shocks. (*MWE, 2018*).

Previous studies have identified gaps in resource allocation, for climate resilience actions namely; constrained sector resource allocation, first call on allocated resources encompassed employee costs, such as salaries and wages, human resource capacity gaps inadvertently accelerating the consequences of not funding climate resilience actions, frequent policy overrides significantly influence the budget process - (*Environmental Alert 2007*).

Apparently, in the last five years, no similar studies have been undertaken in Uganda hence necessitating ascertainment of prevailing trends on budget resource allocation for climate change reliance; a likely indicator that planning, budgeting and implementation of climate resilience interventions in the country are not guided by current statistics.

Climate change is real and Uganda has witnessed its share of natural and human-induced climate related disasters evidenced by; the flooding of rivers Mubuku, Nyamwamba and Nyamugasani in Kasese District resulting into closure of Kilembe Hospital and many schools in May 2014. (*National Planning Authority Uganda, 2015*); lowering of the GDP by an average of 3.5percent between 2010 and 2014 with an impact equivalent to 7.5percent of the GDP in 2011 (*World Bank-GoU: Uganda Rainfall Deficit 201016*); The value of disaster damages and losses in 2010 and 2011 was UGX2.8 trillion or USD 1.2 billion (*World Bank-GoU*) and the estimated recovery and reconstruction needs was estimated at UGX423.9 billion or USD 173 million. Major natural and human-induced disasters include drought, flooding, severe storms, famine, landslides, earthquakes, wild fires and lightning, conflicts and wars, accidents, terrorism, and environmental degradation.

Therefore, limited funding to climate change could be the greatest hindrance for Uganda to realize its Vision 2040. Within a few decades, tens of billions, and possibly over a hundred billion, dollars will be needed for climate change adaptation in developing countries (*Joel B. Smith Etal, May 2011*)

## **2.5 Purpose of the Study on Budget Allocation to Climate Change Resilience Sectors**

It is therefore imperative to understand the underlying factors for such constrained resource allocations to climate resilience actions in Uganda to inform policy development and implementation. Information and facts generated from this study provide evidence to inform practical alternative recommendations to duty bearers aimed at increased and more dedicated budget allocations in the ENR and Agriculture sectors that contributes towards building community resilience.

### **2.6 Specific Objectives of the Study**

- a) To conduct analysis of trends in the budget allocations in the ENR and Agriculture sectors at the national and local levels in relation to building climate change resilience;
- b) To understand the basis for the budget allocations, the existing gaps within the planning and budgeting processes in respect to advancing climate change resilience in ENR and Agricultural sectors at national and local levels;
- c) To provide recommendations for building climate resilience in the ENR and agriculture sector.

### **2.7 Outputs of the Study**

The study yielded the following out puts:

- i. Trends in Budget allocation towards Water and Environment and Agricultural Sectors at both National and District Levels for the FY 2016/17 to 2019/20;
- ii. An inventory of the basis for budget allocations to the Water and Environment and Agricultural Sectors;
- iii. Recommendation in form of policy brief to inform, improvement in budget allocations to Water and Environment and Agricultural Sectors.

## 3.0 STUDY APPROACH AND METHODOLOGY

### 3.1 Approaches

- 3.1.1 **Client Participation:** Study Tools were validated and adopted prior to assignment execution while consensus was built jointly between the consultant and Environmental Alert on documents for review and key informants followed by validation of draft findings and draft policy briefs through online meetings.
- 3.1.2 **COVID-19 Risk Management Plan:** A risk management plan illustrating how Standard Operating Procedures (SOPs) for COVID-19 prevention as prescribed by the Ministry of Health was drawn and adhered to during the implementation of the assignment for purposes of guarantying both the safety of data collectors as well as key Informants.
- 3.1.3 **Quality Control and Assurance:**
- a) Each stage of assignment was subjected to peer review within the hierarchy of the consulting firm.

### 3.2 Methodologies

- 3.2.1 **Inception Meeting:** Before commencing the assignment, an online meeting was convened with EA to discuss the inception report. The meeting explored the availability of information source so as to provide a deeper understanding of the assignment. This enabled the client, consultants and other stakeholders reach a consensus on the list of documents to be reviewed and what the whole assignment would entail in terms of areas of focus. The inception meeting reviewed and approved timelines for collecting, analysing and validating data and the roles of EA, the Coordinating Task Team and other stakeholders in this assignment.
- 3.2.2 **Backstopping by the Technical Committee:** A technical committee comprising of selected staff of EA was constituted to review the draft reports and provided technical input to ensure the study was aligned to the Terms of Reference.
- 3.2.3 **Validation Meetings:** The draft study report was validated through an online meeting held on 15<sup>th</sup> December 2020 by the technical working committee and stakeholder and the input fed into the final study report.
- 3.2.4 **Literature Review:** This facilitated capturing of information that subsequently aided formulation of policy brief. EA mobilised a set of documents for project implementation, and were made available to the consultants. *A list of literature reviewed is annexed in appendix 3*

### 3.3 Data Collection Tools

Key Informant Interview Guides (*refer to Appendix 2*) were used for data collection. These were pre-tested in a randomly selected district on the similar categories of selected respondents to guarantee responsiveness of the tool to the study objectives.

### **3.4 Multivariate and Time Series Statistical Analyses**

Objectives of the assignment envisaged data capture and analysis to derive trends on budget allocation, basis for the budget allocations and the existing gaps within the planning and budgeting processes with respect to Climate Resilience for the ENR and Agriculture Sectors.

**Multivariate statistical analysis Method for Public Expenditure Tracking Systems (PETS)** encompassed relational comparison of resource appropriations in the budget framework paper, sector budgets, sector review reports and levels of absorption for the allocated funds for a minimum of five (5) years.

### **3.5 Key Informant Interviews**

Key informants provided a strategic view of sectors they are positioned in. This method was employed with the aid of Key Informant Interview Guide among selected informants as per *appendix 1*.

### **3.6 Sampling Criteria**

The consultants were mindful of the fact that the assignment was of a quantitative and qualitative nature hence Purposive Sampling was adopted as a way of reaching out to respondents. For this reason a sample of Twenty Eight (28) respondents were interviewed on the basis of their involvement in the budgeting and implementation responsibilities in the sectors of Finance, Agriculture, Water and Environment. (*See Appendix 1*).

The representative sample of Districts in the study was premised on District participation in the STRENPO program (Kyenjojo, Kyegegwa, and Arua) and regularity of reported negative episodes of environmental hazards (Bududa, Kasese and Isingiro).

### **3.7 Data Analysis**

Quantitative data was analysed using Microsoft Excel spread sheets while qualitative data was analysed thematically for identification of the basis for budget allocation to the climate reliance actions in the Agriculture, Water and Environment Sectors. Spread sheets were chosen for deriving correlational relationships between variables while content analysis was used for qualitative data.

### **3.8 Challenges and Limitation of the Study**

- a. This study restricted itself to the investigation of annual resource allocation and utilization to Agriculture, Water and natural resources Sectors without verification of reportedly implemented Climate resilience interventions. It is therefore recommended that a study be instituted on future to encompass value for money reviews on resources earmarked and applied to climate resilience interventions.
- b. Red tape approach to accessing information from Ministries, Departments and Agencies slowed down the study.
- c. The Covid-19 Pandemic adversely affected the timing of data gathering thereby stretching the period of study.



## 4.0 RESULTS AND DISCUSSIONS

This chapter presents the planning and budgeting principles, analytical trends and gaps in budget allocations, actual budget releases and actual resource absorption rates in the Agriculture, Water and Environment Sectors at National and Local Levels in relation to building climate resilience. The trends cover the period from FY 2016/2017 to 2020/2021.

The results presented and discussed in this chapter relate to the Agriculture, Water and Environment Sector where Climate Change resilience interventions are majorly domiciled.

The Water and Environment Sector encompasses the Ministry of Water and Environment and self-accounting bodies inclusive of National Environment Management Authority (NEMA), National Forestry Authority (NFA), Uganda National Meteorological Authority (UNMA), Kampala Capital City Authority (KCCA), National Water and Sewerage Corporation (NWSC) and Local Government. (*MWE 2016*).

The Agriculture sector comprises of the Ministry of Agriculture, Animal Industry and Fisheries and Semi-Autonomous Agencies including Coordinating Office for the Control of Trypanosomiasis in Uganda, Cotton Development Organization, Dairy Development Authority, National Agriculture Advisory Services, National Agriculture Research Organization, National Genetic Resource Information Centre and Data Bank, Uganda Coffee Development Authority, Uganda Cotton Development Organisation, Kampala Capital City Authority and Local Government. (*MAAIF 2016*).

### 4.1 Budget Allocation Trends for Climate Resilience Actions

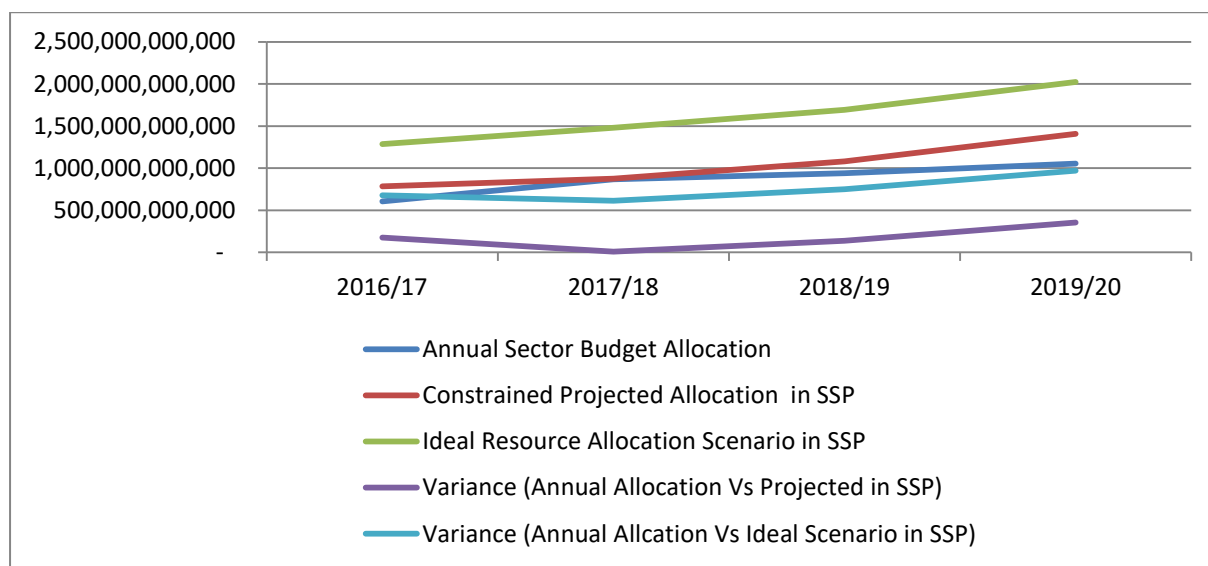
#### 4.1.1 National level

Against a baseline sector annual budget allocation level of UGX 800B in 2018, the Water and Environment Sector Strategic Investment Plan (SSIP) 2018- 2030 illustrated three funding scenarios of Business as Usual (BAU), Moderate I (MOD-L) and Moderate II (MOD-H) respectively denoted by subsequent year's increase in budget allocation by less than 50%, slight increase by 50% (equal to UGX 1200B) and tripling the funding levels (equal to UGX 2400B), (*MWE,2018*). Moderate II (MOD-H) funding scenario signifies a growth rate for imminent attainment of climate resilience set targets by 2030 (*MWE, 2018*). Findings indicate that funding levels to Water and Environment sector represented by sector budget allocations have increased annually by less than 50% consistently falling within the *Business as Usual* financing scenario thereby implying the sector will not achieve any of its set targets by 2030.

While Uganda had targeted to allocate an average of UGX 1.925 trillion per year to the water and environment sector for the period 2015/16-2019/20, (*MWE, 2015*), an average of UGX 1.466 Trillion was allocated over the same period representing a 76% performance.

The Percentage funding allocation for climate change resilience has averaged 23.3% of the resources availed to Water and Environment Sector over the period 2016/17 to 2020/21. Uganda's budget allocation trends to climate resilience actions in Water and Environment Sector are no better than Kenya's, where previous studies have revealed a less than 50% annual incremental allocation from 2010 – 2014 standing at only 36.4%. (*Nzau, 2014*)

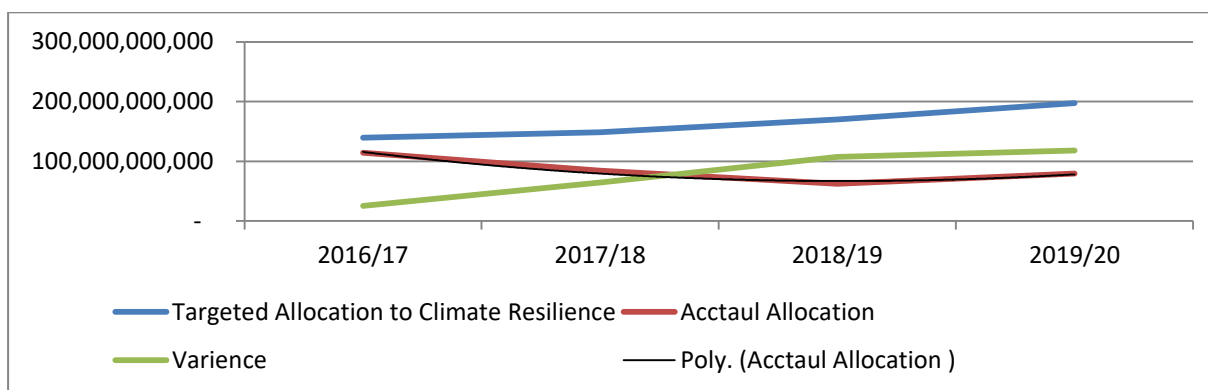
Uganda’s Agriculture Sector has developed the Agricultural Sector Strategic Plan (ASSP) 2015/16 to 2019/20 to guide annual investments in the sector by prescribing the constrained budget allocation and the ideal case scenario. Aided by a four-year moving average, the constrained resource allocation criteria was set at UGX 1,036,625 M while the four-year moving average for the ideal case scenario was set at UGX 1,620,025M. (MAAIF 2016). Consistently, budget allocation to the sector have fallen below both projected funding scenarios with a four- year moving average of UGX 866,863M as depicted in Fig 1 implying a significant deviation of allocated resources in the annual agricultural sector budgets from the annual budget allocation target of Sector Strategic Plan.



**Fig 1 Variance in trends between budget allocations to agricultural and targeted allocations**

Uganda’s growth in annual average resource allocation to the agricultural sector is deduced as 22.2% over the period 2016/7 to 2020/21(Fig 1). This growth trend compares reasonably with that of Kenya at 21% (National Treasury of Kenya, 2019).

The five year (2015/16- 2019/20) targeted proportion of the agricultural sector budget allocated to climate resilience actions was 16.3% and 11.09% for the constrained and ideal funding scenarios respectively (MAAIF, 2016). The proportion of actual budget allocations to climate resilience actions in the agricultural sector averaged 9.9% for the period 2016 to 2020 falling below the constrained budget targets (MoFPED 2016 -2020). The deviation between the target and actual annual budget allocation progressively widened for the period 2016 to 2019 as illustrated in Fig 2 below.



**Fig 2 Variance between targeted allocations to climate resilience actions in the agricultural sectors versus actual allocations**

Annual actual budget releases to the Agricultural sector averaged a less impressive 86.5% performance level between 2016/17 and 2018/19 when correlated against a performance level of 89% over the same period for the key sector of water and environment is so far as the two sectors were availed resources to champion climate resilience actions.

The annual sector resource absorption rates averaged 94.1% over the three year period ended 30<sup>th</sup> June 2019 signifies inadequate synchronisation between time intervals for funds releases from MoFPED, extended procurement process management majorly at MAAIF headquarters and NARO hence delayed activity implementation and reduced absorption.

By implication, the sector continues to grapple with resource malaise at macro sector resource allocation level that inevitably and adversely affects availability of funding to climate resilience actions as postulated in Tables 1 and 2.

**Table 1:** Percentage Trend Analysis in Annual Budget allocation, Actual Budget Releases and Resource Absorption Rates for the Water and Environment Sector

	2016/17	2017/18	2018/19	2019/20	2020/21
Annual Budget Allocation Growth Rate		43.9%	21.2%	-31.3%	42.7%
Annual % Budget Release	65.6%	82.0%	77.3%		
Annual Absorption rate	95.6%	96.4%	97.5%		

**Source:** Survey Data

**Table 2:** Percentage Trend Analysis in Annual Budget allocation, Actual Budget Releases and Resource Absorption Rates for the Agricultural Sector

	2016/17	2017/18	2018/19	2019/20	2020/21
Annual Budget Allocation Growth Rate		43.3%	8.6%	12.0%	25.0%
Annual % Budget Release	97.6%	84.4%	77.6%		
Annual Absorption rate	99.8%	97.6%	84.7%		

**Source:** Survey Data

**Table 3: Trend Analysis in Annual Budget allocation to climate resilience within the Agriculture Sector**

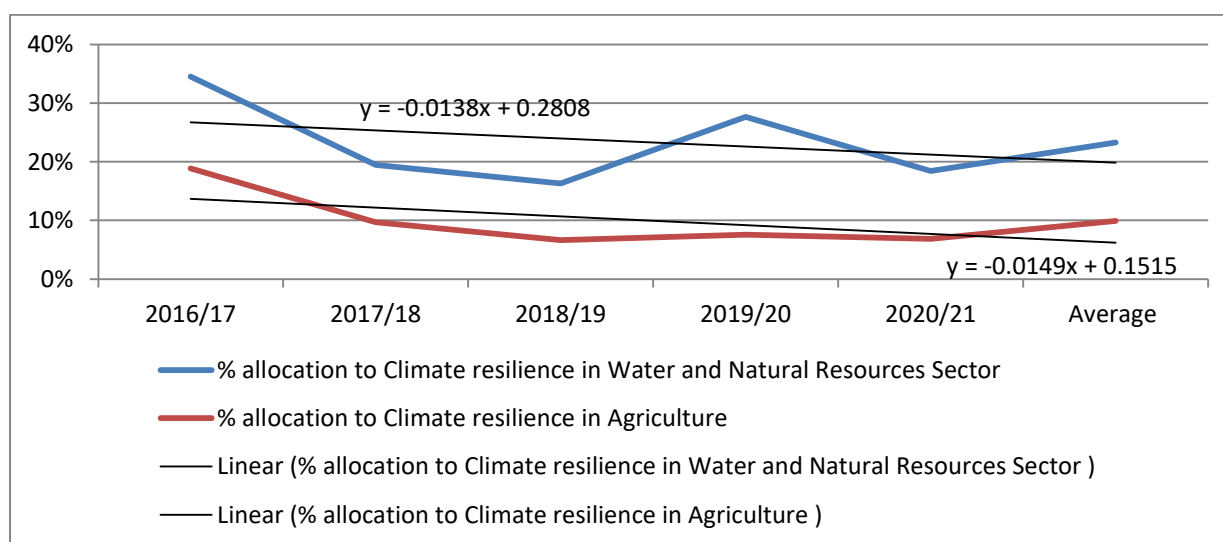
		2016/17	2017/18	2018/19	2019/20	2020/2021
<b>Total National Budget</b>	Amount In UGX	25,688,482,000,000	28,251,020,000,000	31,645,330,000,000	40,487,900,000,000	44,693,654,000,000
Total Agric Sector Budget	Amount In UGX	604,943,007,540	866,744,283,000	941,622,000,000	1,054,146,050,000	1,317,676,603,000
	% of Budget	2.4%	3.1%	3.0%	2.6%	2.9%
Total climate change budget	Amount	114,136,835,000	84,103,000,000	62,354,000,000	79,661,796,000	90,443,047,000
	% CC to Sector Budget	19%	10%	7%	8%	7%
Total Recurrent budget: CC	Amount	37,267,461,000	29,783,000,000	29,571,000,000	42,188,802,000	52,970,053,000
	% CC allocation to recurrent	32.7%	35.4%	47.4%	53.0%	58.6%
Total development budget: CC	Amount	76,869,374,000	54,320,000,000	32,783,000,000	37,472,994,000	37,472,994,000
	% CC allocation to devt	67.3%	64.6%	52.6%	47.0%	41.4%

**Source:** *Survey Data*

The undesirable sector allocation trend has coincided with incomplete release of the planned annual sector resource envelope by a three year average of 89% between 2016/17 and 2018/19 clearly pointing to prevalence of unfunded sector priorities.

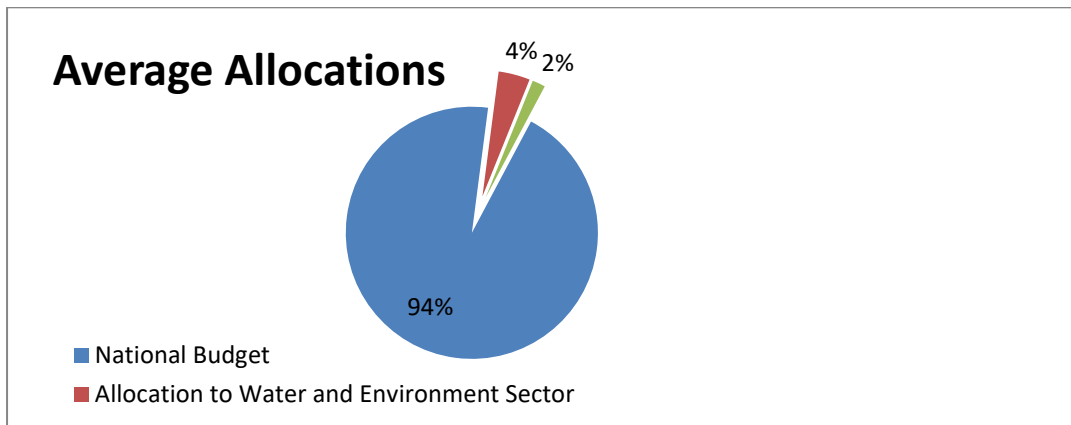
Annual sector resource absorption rates have averaged 96.5% over the same period ended 30<sup>th</sup> June 2019, signifying persistence of resource wastage scenarios denoted by unspent balances amidst reported scarcity.

Extrapolation of the trend lines of the Budget allocation to agriculture and ENR sectors depicts an undesirable negative gradients of 0.0138 for ENR and 0.0149 for Agriculture as Illustrated in Fig3.



**Fig 3: Budget allocation Trends to Agriculture, Water and Environment Sectors at National Level (Billion Shillings)**

As per the international commitments Uganda is supposed to allocate at least 10% of her resources to climate resilience action that prevalent in the Agriculture, water and environment Sectors. The study has revealed that the average allocation for the two sectors is less that 5 %.(Fig 4)



**Fig 4: Average Percentage allocations to the Agriculture and Water and Environment sectors to the National Budget**

Whereas climate change reliance activities are mainly consumptive in nature, Key Informant interviews revealed that often times, there are budget cuts especially on all recurrent/consumptive expenditure across all Ministries and Department. This has rendered Budget to “wish lists”. It therefor calls for a detailed understanding of the operations of a department so as to provide to exemptions whose actions are mainly recurrent/consumptive like the Climate Change Department.

For purposes of informing planning and budgeting for climate resilience interventions, the NDP III enumerates an elaborate intervention framework for resource allocation that assigns responsibilities to MWE, LGs, NEMA, NFA, MEMD, MoFA (*NDP III, pp.99-103*) this provides an opportunity for the respective Ministries, Departments and Agencies to develop fundraising models that will enhance funding to the climate resilience initiatives.

Desk review has confirmed that within the last ten years, more than **USD 76,346,500** has been mobilised by the MWE and MAAIF from International donor agencies including UNPD, FAO, GEF, UNEP world bank, Forest Carbon Partnership Fund to champion climate resilience initiatives. Key informants confirm that there are enormous key lessons to learn regarding best practices for climate resilience interventions. For example the USD 800,000 project supported by the Tripartite of UKAID, Norway and EU, - in 5 districts of Namutamba, Bugiri, Buyende, Budaka and Busia for enhancing CSA in Uganda farming system through supporting demonstrative irrigation & supporting schools<sup>4</sup> in enhancing food production resulted in tripling the volume of maize production in the project district. However, there is no comprehensive system for documenting and replicating such lessons especially in planning and budgeting for similar climate change reliance initiatives.

It is noteworthy that impact of climate change resilience actions and funding is not easy to ascertain since the result are not immediate, as such maintaining a database of lessons learnt would inform the learning and growth in championing climate change resilience within the communities.

<sup>4</sup> schools were supported with fencing poles to demonstrate CSA and a Farm Manager

#### 4.1.2 District Level Budget Allocation Trends for Climate Resilience Actions

In each District, the Water and Natural Resources Sector encompasses the Department of Natural Resources and the Water Development and Sanitation Division under the Works Department. The Department of Natural Resources comprises of the Coordination unit, Environment and Wetlands, Forestry and Land Management Division. On the other hand, the Agricultural Sector comprises of Agricultural Extension Services, District Production Services and District Commercial Services.

Six Districts of Kyenjojo, Kyegegwa, Arua, Bududa, Kasese and Isingiro were selected to form a representative sample of District Local Governments to inform the study findings. The sample was premised on District participation in the STRENPO program (Kyenjojo, Kyegegwa, and Arua) and regularity of reported negative episodes of environmental hazards (Bududa, Kasese and Isingiro)

Growth in annual average district budget resource allocations to the Agricultural and Water and Natural Resources Sectors over the period 2016/7 to 2020/21 is presented in table 3 below.

**Table 3: Average Values of Specified Budget Allocation Indicators for Period 2016/17 to 2020/21 by sampled District**

Average Values of Specified Budget Allocation Indicators for Period 2016/17 to 2020/21 by sampled District						
Indicators	Kyenjojo	Kyegegwa	Arua	Buduuda	Kasese	Isingiro
% Production to Dist. Budget	8.8%	7.8%	5.0%	6.0%	5.2%	8.1%
% Water & Env to District Budget	3.6%	4.1%	3.0%	3.9%	3.1%	5.4%
Annual Budget Allocation Growth Rate- W&E	7.0%	12.1%	396.5%	9.7%	22.5%	174.5%
Annual Budget Allocation Growth Rate- Production	72.1%	61.6%	181.8%	27.7%	75.4%	154.2%

**Source:** *Survey Data*

There was a sharp increase in budget allocations to Agriculture, Water and Environment in the Districts of Isingiro and Arua (**Fig 4 and Fig 5**). A review of the District Development Plans for the sampled Districts indicate minimal allocation to climate resilience actions, by implication the sharp increase in funding point to the reactionary nature of allocation to the two sectors. The abrupt increase in funding to the two sectors in Isingiro is a response to the prolonged drought that hit the District in 2016 (*New Vision 6th November 2016*).

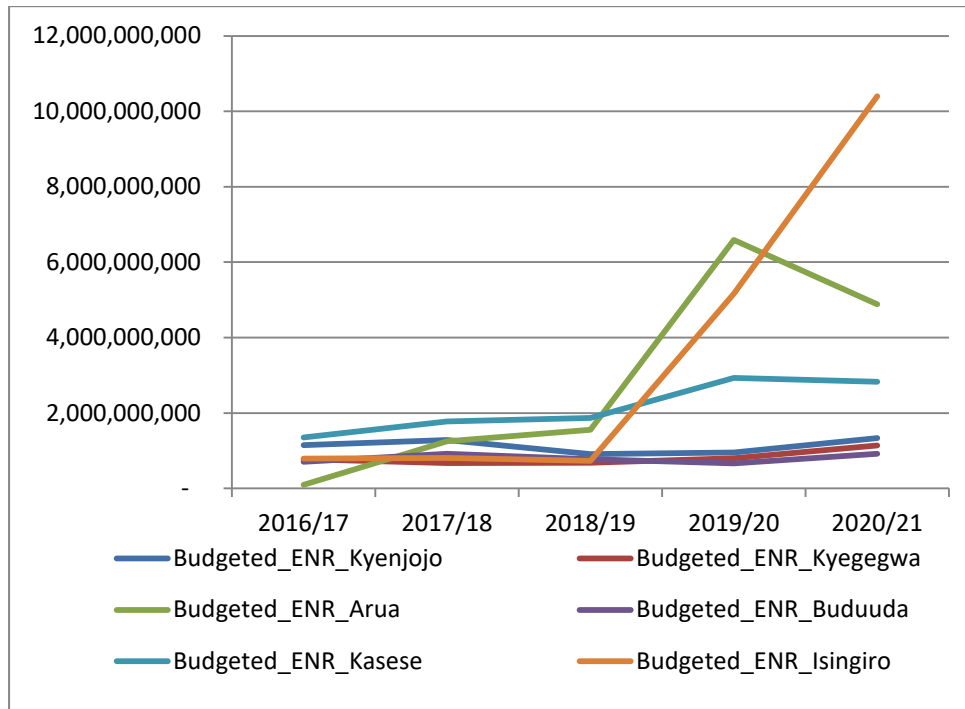
Key informant interviews revealed a qualitatively adopted and highly variable criterion for resource allocation to the ENR and Agricultural sectors encompassing:

- i. Lobbying capacity of area councillors;
- ii. Proportion of sector funding allocated by central government;
- iii. Perceived impact of sector interventions at local government level

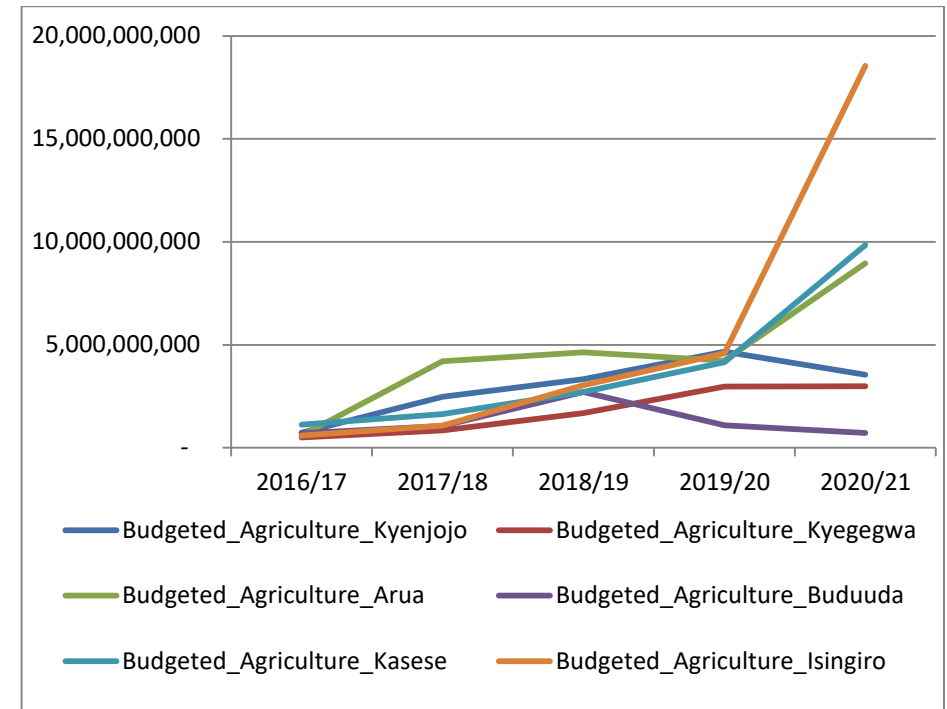
Key informant interviews brought to fore the untapped potential of some individuals within the communities with indigenous and natural knowledge of accurately predicting climatic conditions. Harnessing and documenting such knowledge would go a long way in advancing climate change resilience at the cheaper cost.



It was further noted that the un-synchronised planning between departments at Local Government level and Ministries has often times resulted in a mismatch between development activities and increase in natural resources and limited follow up on climate change resilience interventions. This is due to the fact that sustainable climate change reliance interventions should not be a one-off activity in a project mode but rather an on-going process.



**Fig5: Budget allocation Trends to Water and Environment Sector for selected Districts**



**Fig6: Budget allocation Trends for Agriculture Sector for selected Districts**

## 4.2 Gaps and implications of Budget allocation to Climate resilience actions

- 4.2.1 **Undetermined Climate Change Targets:** Long after the adoption of the national sector climate resilience indicators encapsulated in the *Standard National Climate Change Indicators and Indicator Reference Sheets, September 2018*, consensus is yet to be built on what the national resource allocation for Climate resilience actions should be and therefore remains undetermined.
- 4.2.2 **Insufficient Climate Change Regulatory framework:** Whereas the main objective of the Uganda's Climate Change policy is "*Ensure that all stakeholders address climate change impacts and their causes through actions that promote a green economy and sustainable development*" there is no elaborate regulatory framework in form of an Act of Parliament and regulations to enforce and operationalize the aspiration. The notion of promoting and supporting climate change education, awareness raising and capacity development for stakeholders from the local level to the national level as stipulated in the Uganda's Climate Change policy has not been fully operationalized due to limited financial resources allocated towards climate change across the different Ministries, Departments agencies and Local governments.
- 4.2.3 **Dysfunctional District Environment Committees:** Funding modalities for operationalizing District Environment Committees<sup>5</sup> as provided for by the National Environment Act 2019 are yet to be documented and as such the functional effectiveness of these structures has remained in abeyance at the district level hence cross-Sectoral coordination of environmental matters have continued to remain unattended to.
- 4.2.4 **Insufficiency of Staffing** in the department of climate change in the Ministry of Water and Environment to actualise the mainstreaming policy of climate change and resilience across all local governments and Ministries. This challenge is amplified by the fact that climate change is an abstract concept in Local Governments, CSOs involved in natural resources and private institutions. While Sectors at Local government are arranged to mirror the ministries and departments for ease of sector coordination and capacity building, the water department is delinked from the Natural resources sector. Secondly, NEMA and UNMA have no direct representation within the local government establishments. There is observable limited technical capacity at district level to translate

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<sup>5</sup> Every district shall establish a district environment and natural resources committee, which shall comprise—The District Chairperson; (b) the Members of Parliament from the district; (c) the Resident District Commissioners; (d) the Secretary for environment; (e) the District Natural Resources Officer; who shall be the secretary; (f) the Chief Administrative Officer; (g) the district engineer; (h) the town clerk; (i) the Mayor, town clerk and secretary responsible for environment at the urban council; (j) the district planner; (k) the physical planning officer; and (l) community development officer.

climate change issues into locally appropriate and adaptive practices and actions (*Okolo, Twyman, et al August 2015*).

- 4.2.5 **Limited Human Resource Capacity:** A baseline study conducted in 2012 across selected institutions in Uganda and the different sectors indicated the need to strengthen human skills and capacity development for purposes of addressing climate change. (*Ministry of Water and Environment Climate Change Unit June 2013*). This informed the preparation of the National Strategy and Action Plan to strengthen human resources and skills to advance green, low-emission and climate-resilient development in Uganda 2013 - 2022 . However, the proposed interventions are yet to be fully implemented.
- 4.2.6 **Infective Coordination of Climate Change actions at District Level:** While Government Public Service designated the District Natural Resources Officer (DNRO) as the Climate Change Focal person within Local Governments, there has been no instrument officially requiring the DNRO to coordinate, report and enforce climate change interventions within the District. Consideration of Climate Change and Mineral Development as cross cutting issues at district level has provided ground for ineffective planning, reporting and coordination of climate change actions. In effect, Climate Change is left to everybody and no body takes responsibility. The practice of UNMA coordinating with the line department at local government levels on only specific activities like information dissemination has aggravated the effects of not mirroring the aspiration of the Climate change department and UNMA at local government level.
- 4.2.7 **Limited compliance to Local Government Development Planning guidelines:** Integration of CSO / PSO development priorities and activities in Local Government Development Plans is well provided for in the Local Government Development Planning Guidelines 2014. The guidelines require adequate buy-in of CSOs/PSOs in the HLG and LLG where they operate, Integration of CSO/PSO development activities in the LGDP and Inclusion of CSO/PSO issues in the HLG development priorities. This is supposed to be amplified and concretised during District Budget Conferences. Review of minutes of District Budget Conferences, Conference Papers and Key Informant Interviews revealed limited compliance to this provision. While MoFPED had started the process of developing budget tagging with support from the World Bank, the system is yet to take-off. Climate change policy provides for inclusion of climate change resilience initiatives in all budgets at different levels, unavailability of a system to tag budget to climate resilience actions has left a big gap realising such a provision.
- 4.2.8 In circumstances where government has promoted high value crops under special agricultural programs like NAADS and OWC interventions has often been done in

disregard to environment considerations. For instance, the study has established that in some areas of Kyenjojo District free tea seedlings distributed under the NAADS program have been planted in ecologically sensitive areas such as wetlands while some households have cleared huge chunks of forest cover for coffee farming promoted under OWC. This has partly contributed to the loss of 2.8 million hectares of woodland and over 0.4 million hectares of wetland across the country between 1990 and 2015 having been converted to farmland (*UBOS, 2020*). These scenarios point to gaps in mainstreaming of climate change actions in the agricultural sector at local government, Ministry, and CSO levels. Key Informant Interviews at District level revealed that often times, in efforts to champion climate change sensitive actions while implementing special agricultural programs, the technical teams at Districts level are construed to be sabotaging government programs which have demotivated their efforts regarding climate resilience. This is due to the limited sensitisation of the communities and political leadership on climate change and its impact on livelihoods.

4.2.9 Among the strategies envisaged in the National Agricultural Policy (NAP),2013 that aims at transforming subsistence farming to sustainable commercial agriculture include; Regulate the exploitation of agricultural resources within ecologically sustainable levels, including addressing the hazards of land fragmentation, encouraging and supporting local governments to enact and enforce bylaws and ordinances that promote household food security through appropriate food production or storage practices; Support development and sustainable use, management, and maintenance of water and land resources for agriculture to boost production, enhance value-addition, and reduce the effects of climactic Shocks (*MAAIF 2013*). A review of work plans and departmental reports for the department of agricultural at district level confirmed limited implementation of these policy strategies, which was attributed to limited resource envelope to finance activities such as enacting and enforcing agriculture specific by-laws, the land tenure system within the communities that is highly fragmented, subsistent nature of agriculture and the poor mind-set of expecting allowance/hand-outs for any engagement at community level thus hindering productive engagements.

**4.2.10** Limited use of up-to-date researched information and statistics at community level regarding proper use and conservation of agricultural resources. Whereas government has established robust organs and systems to collect and analyse data inclusive of UBOS and departments of planning at District level, use of update information regarding agriculture as a tool for planning and decision making towards climate resilience action was found minimal. Key informant interviews at District level confirmed that annual surveys regarding agriculture and effects of climate change on agriculture production to generate planning information are used on a very small scale. A constrained resource envelop was identified as the cause of this regrettable situation.

## 5.0 CONCLUSIONS

Whereas the government of Uganda has instituted a compressive framework for championing climate reliance, the study has brought to light the glaring gaps in climate resilience budget allocation evidenced by trends that fall below the policy targets embedded in National planning frameworks and international declarations to which Uganda subscribes.

The criterion for resource allocation at district level is largely sentimental rather than grounded in technical principles thereby impeding proper climate resilience intervention setting and actualization.

Key gaps identified include regulatory and human capacity inadequacies both at National and local levels which have impeded planning, mainstreaming and implementation of climate resilience interventions. The gaps calls for a deliberate policy shift aimed at enhancing sustained funding Agriculture and Water and Environment as front-line sectors for sustained climate resilience.

## 6.0 RECOMMENDATIONS

### 6.1 Policy Formulation:

- 6.1.1 Upon commencement of the 11<sup>th</sup> Parliament, the Natural Resources Committee of Parliament should cause the expeditious tabling and discussion of the National Climate Change Bill, 2020 for enactment of an Act of Parliament for purposes of mainstreaming commitment and sanctions for non-adherence to the Uganda Climate Change Policy and sector declarations;
- 6.1.2 Parliament should undertake to compel the Ministry of Water and Environment to expeditiously gazette regulations for operationalizing the enacted act of Parliament;
- 6.1.3 Beyond the climate desk, the Ministry of Public Service should provide for a climate change sector working group, regularise Climate Change Focal Persons at all levels and make climate change interventions/innovations one of the components for appraisal rating for Public Servants.
- 6.1.4 Ministry of Public Service should undertake a workload analysis to establish the required human resource at all levels to fully champion climate change in the country.
- 6.1.5 Parliament should consider instituting a mechanism where Private Developers<sup>6</sup> are compelled to make financial contributions to climate resilience actions in line with the benefits accruing to their investments due to climate resilient ecosystem and communities. This could also be buttressed with a revenue enhancement strategy to provide off-sets for degraded ecosystems by the specific private sector led development actions.
- 6.1.6 The Ministry of Agriculture should review the Agriculture policy to align it to the local context to include regional and district specific interventions cognisant of the specific local social and environmental dynamics.

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<sup>6</sup> Case of factories, fuel stations etc



- 6.1.7 Ministry of Education should consider inclusion of climate change activities to make schools as entry points for climate change reliance within the communities. This could among other, entail inclusion of climate change innovation within the curricular at all levels, a ministerial policy position on climate change to be adopted by all educational institution.

## **6.2 Planning Cycles**

- 6.2.1 The Department of Climate Change under the Ministry of Water and Environment should be strengthened with adequate financial, human and infrastructure capacity to champion implementation of the climate change policy in the Country;
- 6.2.2 The Finance Development Committee should champion consolidating and documenting lessons learnt from donor funded projects for replication. The Ministries should periodically examine results and implementation challenges from such projects to provide innovative ideas since such projects integrate both local/ indigenous and international knowledge;
- 6.2.3 The CSOs and networks should support capacity building for skills and knowledge enhancement of their members to effectively engage in planning and budgeting processes at both local and national levels with a target of influencing resource allocation and investments for building community resilience to climate change in the agriculture and water and Environment Sectors.
- 6.2.4 Environmental Alert and other CSOs should create community awareness/ empowerment on Climate resilience planning and budgeting such that communities can hold their leaders accountable on Climate change resilience issues within their localities.

## **6.3 Budgeting and Policy Implementation**

- 6.3.1 Through the Budget Committee, Parliament should champion evaluation of responsiveness to national climate resilience budgeting targets embedded in ministerial policy statements;
- 6.3.2 Ministries of Local Government and Public Service should strengthen the human resource capacity of local governments with respect to climate resilience planning and budgeting;
- 6.3.3 MoFPED should revisit the practice of blanket budget cuts on all recurrent expenditure across all ministries and department to cater for departments whose actions are mainly recurrent/consumptive in nature.
- 6.3.4 The Ministry of Local Government should Institute Community Climate Change Champions at village level to identify and harness the natural capacities of some communities regarding predicting climate change incidences and make proactive awareness on climate change among the communities.
- 6.3.5 The Ministry of Water and Environment should strengthen the effectiveness of the District Environment Committees so that they can deliberate on issues and actions for advancing climate change resilience. District Environment Committees should among others; periodically review responsiveness of the District Development Plans to climate change, support fund raising initiatives for Climate Change interventions and approval of an annual calendar of committee meetings.

6.3.6 The District Production Department working together with the District Statistician should undertake periodic surveys and publication of findings regarding status of the climate change resilience interventions, impact, social practices in line with climate change, challenges and lessons learnt. Finds of such surveys should be an agenda item on one of the scheduled District Environment Committee meetings.

## 7.0 References

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- Climate action Network Uganda and CSOs network, 2018, *Civil Society Position on State of Climate Resilience and COP 24/CMP 14/CMA 1.3.*
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## 7 LIST OF ANNEXES

### Appendix1: List of people interviewed

S/n	Name	Gender	Organisation	Role	Contact
1	Amos Lugolobi	M	Parliament of Uganda	Chairperson-Budget Committee	
2	Matte Robert	M	East African Community	Climate Change Directorate	+255-684-722091
3	Manzi Victor	M	East African Community	Policy Directorate	0772-895564
4	Margret Mugisa Muhanga	F	Parliament of Uganda	Presidential Advisory Committee on Budget	0772634609
5	Edmond Bishaka	M	MAAIF		0772-514818
6	Fred Kabango	M	MAAIF	Assistant Commissioner-Soil and Water conservation	
7	Stephen Muwaya	M	MAAIF	Senior Range Ecologist	
8	Lucy Iyagu	F	MWE	Commissioner for Environment	
9	Bob Natifu	M	MWE	Acting Commissioner, Climate Change department	
10	James Kawesi	M	MWE	Assistant Commissioner	
11	Mildred Martha Nawiire	F	MWE	Economist, Policy and Planning	
12	James Tibenkana	M	MoFPED	Ass. Commissioner Policy and Planning	0712-995329
13	Stephen Kasamgaki	M	MoFPED	Commissioner Cabinet and Parliamentary Affairs	0392-944909
14	Desteo Mugabe	M	MoFPED	Advisor- Budgeting	0772-461730
15	Samuel Mugume	M	MoFPED	Commissioner Statistics	0772-329013
16	Patrick Baguma	M	JESE	Team Leader	0772-492109
17	Pamella Kabasinguzi	F	Caritas Fort Portal-Hewasa	Executive Program Manager	0777-594083
18	Tsubira Ardson	M	Kyenjojo DLG	Agriculture Officer	0772-844610
19	Shem	M	Kyenjojo DLG	Dep. Production Officer	0772-977903
20	Onzima Luke Patrick	M	Inter District Forum	Coordinator	0772-497620
21	Bigabwa Julius	M	Kyenjojo DLG	Senior Environment Officer	0772-665633
22	Olike Christopher	M	Kyenjojo DLG	Ag. DFO	078-525548
23	Denis Busobozi	M	Kyegegwa DLG	District Planner	0772-862050
24	Sefrosa Nakyanzi	F	Kyegegwa DLG	DFO	0775951394
25	Perpeta Nakachwa	F	Kyegegwa DLG	DPO	0782-557167
26	Arthur Mbalire	M	Kyegegwa DLG	Senior Agric. Officer	0775-255128
27	Noeline Kabajungu	F	Kyegegwa DLG	Agriculture Officer	0771-436732
28	Nicholas Ategeka	M	Kyegegwa DLG	Environment Officer	0785-465388
29	Margret Aharikundira	F	Kyegegwa DLG	District Natural Resources Officer	0772-771445
30	Eunice Kanyiginya	F	Kabarole DLG	Environment Officer	0772-369564
31	Ruyonga	M	Kabarole DLG	Natural Resources Officer	0782-673188
32	Malyamu	F	Kyenjojo DLG	Planner	0771-636962
33	Joseph B Monday	M	Ibanda Municipal Council	Town Clerk	0772-604228
34	Kanimi Kaganda	M	Ntoroko DLG	District Planner	0788-203036
35	Michael Kisuuuro	M	NFA	Sector Manager- Itwara	0784-933548

## Appendix 2: Study Tools

### KEY INFORMANT INTERVIEW GUIDE FOR CONDUCTING THE STUDY ON UNDERSTANDING THE BUDGET ALLOCATION TO THE ENVIRONMENT AND NATURAL RESOURCES (ENR) AND AGRICULTURE SECTORS AT THE NATIONAL AND LOCAL LEVELS IN UGANDA

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Date of assessment .....Name of Respondent.....

Gender.....Designation .....Contact .....

Ministry: **Finance, Planning and Economic Development**. Department .....

1. Could you kindly share the National budget framework papers and the annual budgets for the years 2015/6-2020/21.....
2. Could you take us through the guiding principles for resource allocations to sectors of Environment and Natural Resources and Agriculture
3. Update us on the Structures established within MoFPED to champion climate resilience initiatives.
4. How does the department coordinate strategic interventions for Climate resilience?
5. Has there ever been instances of variances between budget allocations and actual transfers? If yes, what were the underlying factors for the variances?
6. What benefits does the sector resource allocation model bring out so far?
7. What are the timelines for resource transfers to line ministries, departments and agencies focusing on climate resilience?
8. What are the levels of Climate resource absorption deduced by MoFPED in respect of MAAIF and ENR and reasons provided?
9. What value for money issues has MoFPED noted in the process of resource allocation and accountability among climate resilience leaning departments?
10. What are the challenges usually faced in budget monitoring and implementation for climate resilience interventions?
11. What are your recommendations to enhance resource allocation and utilisation in climate resilience focusing departments in Ministries and Local Governments?

**KEY INFORMANT INTERVIEW GUIDE FOR CONDUCTING THE STUDY ON UNDERSTANDING THE BUDGET ALLOCATION TO THE ENVIRONMENT AND NATURAL RESOURCES (ENR) AND AGRICULTURE SECTORS AT THE NATIONAL AND LOCAL LEVELS IN UGANDA**

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Date of assessment .....Name of Respondent.....

Gender.....Designation .....Contact .....

Ministry: **MAAIF /MWE/ Self Accounting Bodies (NEMA, CCD, NFA and UNMA)**

Department .....

1. Could you kindly share the Sector budget framework papers, Ministerial Policy Statement and the Sector annual budgets for the years 2015/6-2020/21.....
2. Could you take us through the guiding principles for resource allocations to the sector focus areas?
3. What is the structural positioning of climate resilience in your Sector?
4. How does the department coordinate strategic interventions for Climate resilience?
5. Has there ever been instances of variances between budget allocations and actual transfers/Releases? If yes, what were the underlying factors for the variances?
6. What benefits does the sector resource allocation model bring out so far?
7. What are the timelines for resource transfers to line ministries, departments and agencies focusing on climate resilience?
8. What are the levels of Climate resource absorption in respect of climate resilience and reasons for the budget performance?
9. What value for money issues has the Ministry noted in the process of resource allocation and accountability for climate resilience Interventions?
10. What are the challenges usually faced in budget monitoring and implementation for climate resilience interventions?
11. What are your recommendations to enhance resource allocation and utilisation in climate resilience?

**KEY INFORMANT INTERVIEW GUIDE FOR CONDUCTING THE STUDY ON UNDERSTANDING THE BUDGET ALLOCATION TO THE ENVIRONMENT AND NATURAL RESOURCES (ENR) AND AGRICULTURE SECTORS AT THE NATIONAL AND LOCAL LEVELS IN UGANDA**

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Date of assessment .....Name of Respondent.....

Gender.....Designation .....Contact .....

District: **Kyenjojo, Kyegegwa, Arua** Department .....

1. Could you kindly share the Sector budget framework papers, District Development Plan and the Sector annual budgets for the years 2015/6-2020/21.....
2. What are the successive annual contributions of Central Government funding to Climate Resilience budgeting in the District?
3. What are the successive annual local revenue Contribution to Climate Resilience budgeting?
4. What are the successive annual CSOs and private sector Contributions to Climate Resilience budgeting in the District?
5. What is the structural positioning of climate resilience in your Sector?
6. What are the current staffing levels and skill sets in the departments focusing on climate resilience in the District?
7. How does the department coordinate strategic interventions for Climate resilience?
8. Has there ever been instances of variances between budget allocations and actual transfers/Releases? If yes, what were the underlying factors for the variances?
9. What benefits does the sector resource allocation model bring out so far?
10. What are the timelines for resource transfers to line departments and units focusing on climate resilience?
11. What are the levels of Climate resource absorption in respect of climate resilience and reasons for the budget performance?
12. What value for money issues has the District noted in the process of resource allocation and accountability for climate resilience Interventions?
13. What are the challenges usually faced in budget monitoring and implementation for climate resilience interventions?
14. What are your recommendations to enhance resource allocation and utilisation in climate resilience?

**KEY INFORMANT INTERVIEW GUIDE FOR CONDUCTING THE STUDY ON UNDERSTANDING THE BUDGET ALLOCATION TO THE ENVIRONMENT AND NATURAL RESOURCES (ENR) AND AGRICULTURE SECTORS AT THE NATIONAL AND LOCAL LEVELS IN UGANDA**

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Date of assessment .....Name of Respondent.....

Gender.....Designation .....Contact .....

CSOs: **CSBAG, UWASNET, JESE, EA** Department .....

1. What is the level of participation by CSOs and private sector in National/District planning and budgeting processes for climate resilience?
2. What institutional and policy issues have the CSOs and Private sector institutions laid before Government to enhance climate resilience?
3. Of the planning and budgeting proposals linked to climate resilience submitted at National/District level, what is the verifiable level of adoption by government?
4. What are the benefits and challenges presented by the planning and budgeting frameworks for climate resilience at National and District levels?
5. What recommendations would you make to enhance planning and budgeting for climate resilience at District and National levels.



### **Box 1.** About Environmental Alert

Environmental Alert (EA) was founded in **1988** and has developed and transitioned into a National Non-Governmental organization contributing to an enabling policy environment for sustainable agriculture and sound environment and natural resources management at community, local, national and international levels. EA is officially registered with the NGO Board as a Ugandan non-governmental organization (NGO), incorporated as a company limited by guarantee. EA is governed by an Independent Board that is responsible for providing strategic oversight of the organization including ensuring its integrity as a voluntary service organization.

EA is a **1<sup>st</sup> prize winner of the Energy globe award for environmental sustainability-2005 under the category, earth.**

EA is a member of the International Union for Conservation of Nature (IUCN) and a Member of The IUCN National Committee for Uganda.

EA envisions, *'Resilient and dignified communities, managing their environment and natural resources sustainably.'*

**EA's mission is to,** *'Contribute to improved livelihoods of vulnerable communities by enhancing agricultural productivity and sustainable natural resources management'*

#### **Program and institutional Components:**

1. *Environment and Natural resources management;*
2. *Food security and Nutrition;*
3. *Water, Sanitation and Hygiene;*
4. *Finance and Administration;*
5. *Resource mobilization and Investment.*

#### **Scale of Implementation:**

EA operates in selected districts for generation of evidence to inform policy engagements on agriculture, environment and natural resources at National and International levels. Currently EA's operations are in over 40 districts across the country. EA undertakes area wide targeted awareness on selected issues in agriculture, environment and natural resources engagements

#### **EA is a Secretariat for following networks:**

- a) The Network for Civil Society Organizations in Environment & Natural Resources Sector (ENR-CSO Network) - <http://enr-cso.org/>;
- b) Uganda Forestry Working Group - <http://ufwg.entalert.org/>;
- c) The Standards Development Group (for promotion of Sustainable Forest Management in Uganda); and
- d) Promoting Local Innovation in ecologically oriented agriculture and natural resources management (PROLINNOVA-Uganda Network) - <http://www.prolinnova.net/uganda>;
- e) The Renewable Energy CSO Network - <http://recso-network.org/>

**Further information about Environmental Alert is available at:** <http://entalert.org/>