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The role of social protection programmes in reducing household poverty and vulnerability in Katakwi District - Uganda

A PhD Dissertation Thesis Submitted

By

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Signatures

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1 Kings 8:61. My father, your word demands of me to commit my works to you so that I may be established. Father, here is the work you started in my life, and I now commit it to you, May you establish me now as your word demands in **Proverbs 16:3**. Thank you for enabling me Cross River Jordan going to the Promised Land.

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In loving memory of my mother, Joyce Mary Apulet.

Mum, my tears will never stop because of your love and the care you showed while you were still with us. I will always remember your smile and the protective care you gave my siblings and I. You will remain my hero just like Christ Jesus is a hero to us.

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I am delighted to let you know that I am graduating today with a Doctor of Philosophy in Social Development, focusing on Development Economics.

I LOVE YOU, MUM and MISS, YOU!

May your soul Rest in Eternal Peace.

Declaration

I, Julius Okello, hereby declare that this thesis is my original work (except where acknowledgements indicate otherwise) and that neither the whole work nor any part of it has been, is being, or is to be submitted for another degree in this or any other university. The errors that may appear in this thesis are entirely my responsibility and not of my supervisors or the University of Cape Town (UCTs). I have used the Harvard Method of referencing

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Signature:…… Signature removed to avoid exposure online **Date**……09/06/2020…….

Dedication

I would like to dedicate this work to my dear wife, Dorothy Massa Akiiki, for encouraging me throughout my doctoral journey. Her encouragement enabled me to give it all it takes to finish the project. I also dedicate it to my beloved children, Okello Engwau Duncan Elly, Atim Desire Ednah, Okello Emmanuel Dyron, and Ayiro Deborah Erinah, who have been affected in every way possible by this expedition. My love for you can never be quantified, and I ask God to bless you all.

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List of Acronyms

AHMs	All Household Members
AIDS	Acquired Immune Deficiency Syndrome
CBAs	Community-Based Actors
CCTs	Conditional Cash Transfers
CDO	Community Development Office
CHHs	Child Headed Households
CTs	Cash Transfers
DAO	District Agriculture Officer
DHD	District Health Department
DBNSAs	District Based Non-State Actors
CBNSAs	Community Based Non-State Actors
DPU	District Planning Unit
ESP	Expanding Social Protection Program
FDPs	Formerly Displaced Persons
FGDs	Focus Group Discussions
FHHs	Female-Headed Households
GoU	Government of Uganda
HC	Health Center
HIV	Human Immune Deficiency Virus
IDP	Internally Displaced Persons
IDPs	Internally Displaced Person Camps
IGA	Income Generating Activities
INSAs	International Non-State Actors
KDLG	Katakwi District Local Government
K.T.C	Katakwi Town Council
KI	Key Informant
KIIs	Key Informant Interviews
KIs	Key Informants
KM	Kilometre
LC	Local Council
LRA	Lord's Resistance Army
MDGs	Millennium Development Goals
MFPED	Ministry of Finance Planning and Economic Development
MGLSD	Ministry of Gender, Labour and Social Development
MMR	Mixed Methods Research
MNL	Multi-Nomial Logit
OHHs	Older Headed Households
OPs	Older Persons
MoES	Ministry of Education and Sports
MoH	Ministry of Health
MSP	Measures of Social Protection
NDP	National Development Plan
NER	Net Enrolment Rate
NGOs	Non-Governmental Organisations
NNSAs	National Non-State Actors
NSAs	Non-state actors
PPI	Poverty Probability Index
RoU	Republic of Uganda
RQ	Research Questions
SCC	Sub-County Chief
SCT	Social Cash Transfer
SCTs	State Cash Transfers
SDGs	Sustainable Development Goals
SP	Social Protection
SPAs	Social Protection Actors
SPCTs	Social Protection Cash Transfers
SPIs	Social Protection Interventions
SPMs	Social Protection Measures
SPPs	Social Protection Programmes
SPT	Social Protection Transfers
SPSs	Social Protection Services
SSA	Sub-Saharan African
UBOS	Uganda Bureau of Statistics
UCSPS	Unconditional Social Protection Services
UCSPT	Unconditional Social Protection Transfers
UCTs	Unconditional Cash Transfers
UNDP	Uganda National Development Plan
UNHS	Uganda National Household Survey
UPE	Universal Primary Education
VC	Vulnerable Children
VSLAs	Village Savings and Loan Associations
PPP	Purchasing Power Parity
PWDs	People With Disabilities

Abstract

This study examined the role of social protection programmes in reducing household poverty in the post-conflict area of Teso in Eastern Uganda and focused on Katakwi district. Mixed methods, was used in the form of qualitative and quantitative tools drawing on a sample of 200 respondents and 20 key informant interviews and 30 participants who were part of focus group discussions. The study results showed that 45% of the sampled population in Katakwi district was poor; 20% were at risk of being poor if social protection is removed, and 35% not poor. We further established that 53% of the female non-beneficiaries live in poverty compared to 49% of female beneficiaries. In contrast, male beneficiaries (51%) were found to be living outside the poverty line compared to male non-beneficiaries (47%) who live in poverty (see Figure 4.2). This variation in poverty levels among male respondents is attributed to the over-reliance of household beneficiaries to social protection services, which in most cases are delayed; hence, they fall back into poverty

These findings further show that social protection cash transfers constitute the most direct approach that the Government of Uganda uses to address household poverty and vulnerability. Social protection cash transfers can raise living standards; reduce the severity of poverty and vulnerability at the household level and distribute income to the poorest which, thus, reduces the poverty gap between the rich and poor. We further, established that male heads of households who shoulder the burden of paying school fees do not actually receive cash transfers. Factors that significantly influence the standard of life of households include having a university graduate in the household, receipt of income and access to social services. Access to social protection services such as education, health and water were shown to significantly influence a household's status.

Although households in Katakwi district that receive social protection support have better chances of escaping poverty, the district is more susceptible to insecurity as a result of continued the cattle rustling compared to those districts that are not closer to cattle rustling warriors. The value of the study is that it provides a better understanding of social protection services in reducing household poverty in post-conflict areas. This study contributes to the limited body of literature on household heads experiences in dealing with vulnerability poverty and household vulnerability to community poverty in post-conflict settings. It provides a disaggregated analysis of social protection measures in responding to poverty and vulnerabilities at the household level.

CHAPTER ONE

INTRODUCTION AND BACKGROUND TO THE STUDY

Chapter 1: Introduction and Background to the Study

Social protection measures (SPMs) are central in addressing poverty and vulnerability, protecting and transforming poor and vulnerable households to achieve their full potential (ILO, 2015:2). Household and community vulnerability to poverty has remained a primary concern for developing nations in Sub-Saharan Africa (SSA). However, little is known about household and community vulnerability to poverty, causes of the household and community poverty, how household heads deal with household and community poverty, and strategies household use to cope after conflict and disaster period. Although countries in SSA still encounter several challenges including inter-intra war and conflicts, weak governance institutions, unemployment, lack of transparency and accountability; poverty and vulnerability continues to threaten the lives of about 80 per cent of the households that are, already marginalised and discriminated (Slater and McCord, 2009). Globally, a social status report indicates that 1.4 billion people are actively living in poverty (United Nations, 2009). Also, millions of people that are, considered to be living slightly above $1.25 per day are still vulnerable to poverty (World Bank, 2012).

Although significant efforts have been made to end poverty and vulnerability by 2030, more so in the Low and Middle-Income Countries (LMICs), poverty still bites hundreds of the poor and vulnerable household in LMICs. The 2017 United Nations (UN) report indicates that one hundred million people in LMICs have remained poor and are living only on USD1.90 per day (UN, 2017:12). Despite these trends in poverty and vulnerability, significant efforts have been, made to reduce poverty and vulnerability. For instance, remarkable economic performance was, registered in most SSA countries and among other LMIC in the first 15 years of the 21st century (Odusola et al., 2017:1). The population that consequently live below $1.90 in most SSA countries reduced from 56% in 1990 to 43% by 2012; despite this, one hundred million people have remained poor and are living only on USD1.90 per day (UN, 2017:12). However, those living in extreme and vulnerable to poverty are, increasingly found in rural communities that are difficult to reach. According to Slater & McCord (2009), 80 per cent of the global poor live in hard to reach remote

rural areas and 64 per cent work in subsistence farming (Slater & McCord, 2009). In this case, children below 18 years of age are more vulnerable to poverty. According to the Chronic Poverty Report (2008), between 320 and 443 million households are, believed to have inherited poverty, and most are children who survived their infancy (CPRC, 2008).

Thus, poverty and vulnerability are much higher in SSA where the implementation of an intervention to reduce poverty and vulnerability at household and community level been lower than the rest of Africa. Household vulnerability to poverty has been, attributed to the current economic crisis, financial, population increase, fluctuations in commodity price, food insecurity and climate change (OECD, 2009; UN, 2009). The incidence of poverty and household vulnerability to poverty is, noted to have a gendered face with women and children constituting a higher proportion of the poor a result of social exclusion (UN, 2009). Although there is inadequate access to social protection measures (SPM) to help women and children to cope, only 35% of the children, 41% of women and 68% of older persons who receive an old-age pension are covered (UN, 2017).

Social protection interventions (SPI) are actions taken to improve and empower households to manage and reduce their vulnerability to poverty (Devereux et al., 2004). These social protection interventions (SPI) are, considered vital because they seek to protect and prevent poor households from falling back into poverty by transforming their social, cultural and economic status (Shepherd A. et al., 2011; Harkness, Gregg and Macmillan, 2012). According to the European Union (EU) report of 2012, broader targeting of SPI should be, aimed at equipping the poor to escape poverty and vulnerability through household empowerment to manage risks and shocks (EU, 2012:3). The adoption of social protection programmes (SPP) as a means for reducing household vulnerability to poverty, cannot be overstated as International Non-State Actors (INSA) reinforce the implementation of SPP (OECD, 2009).

Multilateral and bilateral agencies, as well as national and international non-state actors (NINSA), view SPP as a real instrument to steer international and national development agendas (Kabeer, 2009:2). The increasing interest in SPP has resulted in the demand and promotion of interventions that help to reduce poverty and vulnerability at the household level (WB, 2014). For instance, informal social protection measures are, recognised as supporting households in need through

kinship sharing and contributions in a given community. Formal social protection measures take the shape of in-kind and cash transfers directed to help the poor and vulnerable individuals across communities (OECD, 2009).

Household and community poverty are prevalent among both rural and urban poor populations, especially in Sub-Saharan Africa (SSA). Household failure to move out of poverty is, attributed to the existing gap between the recipient and deliverer of social protection services (Adesina, 2010; Slater & Mccord, 2009; Holmes & Jones, 2010). The failure to implement these social protection services in most SSA is brought about by weak governance structures and high prevalence rates of corruption cases, as well as a low resource base to finance SP activities for the poor and vulnerable households. Most SP activities are, implemented in the form of pension schemes, health insurance, relief assistance, social grants and public works, and at times they do not cover the entire poor and vulnerable population (Upreti et al. 2013). Devereux (2006) provides detailed classifications of social protection interventions (SPIs) into four categories namely: (1) preventive SPIs, (2) promotive, (3) protective, and (4) transformative (Devereux, 2006). These SPIs are, designed to respond to households food crisis (Devereux et al., 2006:4), poverty and vulnerabilities (Sabates et al., 2008).

Social protection delivery remains the Ugandan government role with funding support from multilateral and bilateral agencies as well as national and international NSAs. The types of SPSs provided by social protection actors (SPAs) in Uganda include social assistance grants, social security, public works and retirement pension schemes (Lwanga-Ntale Charles, 2008). Despite these measures, many remain chronically poor and vulnerable. Households, especially those that live in rural areas, are trapped and live in poverty below $1.25 in a day (Shepherd et al., 2011). However, social protection services are jointly being implemented by the State and NSAs who deliver particular interventions to vulnerable poor households. The providers (State and NSAs) provide various SPSs through agreed mechanisms that encompass social assistance grant, social security, public works grants and retirement pension-scheme benefits (Lwanga-Ntale Charles, 2008).

Despite the existence of well-established and documented social protection measures and other schemes, most households in rural areas still live in poverty due to various reasons, and this makes

them more vulnerable (Lwanga-Ntale Charles, 2008). The cause of this is a result of the weak governance structures that often affects and hinders effective implementation of agreed social protection services (UNESCO. 2015; Darkwah, 2015). As such, addressing and reducing poverty and vulnerability at the household level and more so among households emerging from decades of conflicts and wars, require concerted efforts of all stakeholders. By national and international standards, most families in poor and fragile states live under the established poverty lines (Shepherd et al., 2011). Half of the world's population are chronically poor and vulnerable to poverty. In Uganda, for instance, poverty levels rose from 19.7% in 2012/13 to 21.4% in 2016/2017 (UBOS, 2017). Further, 31% of the rural population in Uganda live in poverty compared to 15% for urban areas (UBOS, 2017). In Eastern Uganda and in particular Katakwi district, poverty levels rose from 24.5% in 2012/13 to 35.7% in 2016/2017 (UBOS, 2017).

1.1 Background and Demographic Characteristics

Uganda has a total surface area of 241,550.7 square kilometres (sq. KMs) of which 41,027.4 sq. Km is open to water and swamps, while 200,523.2 sq. Km is land. The altitude above the sea level ranges from 620 metres to 5,111 metres. Uganda shares Lake Victoria with Kenya and Tanzania and Lakes Albert and Edward with the Democratic Republic of Congo (UBOS 2006:1). According to the Uganda National Population and Housing Census (UNHS) results conducted in 2014, the country had an estimated population of 34.9 million persons with 16,935,456 being males and 17,921,357 females with an annual growth rate of 3.03 per cent (UBOS, 2014:6). About 80 per cent of the 34.9 million people depend on agriculture as their primary source of social and economic livelihood (UBOS, 2014:6). However, by 2019, the population size increased from 34.9 million persons in 2014 to 40.3 million by 2019 (UBOS, 2019).

Like any other Sub-Saharan African (SSA) country, Uganda adopted and implemented the World Bank and International Monetary Fund structural adjustment policies (SAP) in early 1990. The SAP aimed at economic reforms towards stabilisation and rehabilitation of the economy. The restoration of macro-micro economic stability, removal of market distortions, better terms of trade, and improved peace and security in some parts of the country, significantly contributed to economic recovery and poverty reduction. As a result of the economic reforms, the proportion of the Ugandan population whose expenditures and poverty levels reduced from 56 per cent in 1992

to 44 per cent in 1997/8 and further, reduced to 34 per cent in 2000 (MFPED, 2007:12). In 2012, the Ministry of Finance Planning and Economic Development (MFPED) conducted a national survey on household poverty and income distribution.

The findings from the MFPED shows regional variations in terms of poverty and income levels between regions. The middle-class population dominates the Central and Western sub-regions. In contrast, the post-conflict Eastern, Northern and West-Nile sub-regions are, dominated by the insecure income and poor people (MFPED, 2012:13). In terms of statistics, 27.2 per cent of the population in rural areas was, found to be income secure in central and western, and 46 per cent of the rural population were income insecure in eastern and northern Uganda (MFPED, 2012). The report further notes that 26% of the urban population are income insecure, and only 65% are middle class. The report further notes that only 27.5 per cent are middle class in central, compared to urban areas where only 9.1% of the population live below the poverty line.

1.1.1 The Concept of Social Protection in the Ugandan Context

Social protection can be, defined as policies and actions designed to 'enhance the capacity of all people who are deemed poor and vulnerable. These policies, however, are aimed at enabling poor and vulnerable households to escape poverty and to avoid falling back into poverty' (European Commission, 2012:3). A broader and rights-based view of social protection also includes policies and actions that enable people to participate and benefit from inclusive growth and human development (Devereux and Sabates-Wheeler, 2004). Social protection responses are deemed essential because they seek to reduce individual vulnerability to poverty and to improve on their wellbeing. According to Upreti et al., (2012) social protection can be, seen as instruments to achieving multiple objectives ranging from income and food security, which overcomes social exclusion (Upreti et al., 2012:37). Thus, social protection in Uganda is at the heart of the Government of Uganda aimed at attaining the Global Development Agenda of 2030's Sustainable Development Goals (SDGs) and the Africa Union's Development Agenda 2063. From this perspective, most African countries – including Uganda have, incorporate social protection policies and programmes into the national development plans (NDP II, 2015). Holmes and Lwanga-Ntale, (2012) on their part, define social protection as the transfers of services that help individuals and households to overcome risk and adversity and to ensure a minimum standard of dignity and wellbeing throughout the life-cycle (Holmes and Lwanga-Ntale, 2012). In Uganda,

social protection is, defined as "public and private interventions that address vulnerabilities associated with being or becoming poor" (MGLSD, 2015). The two definitions share a common approach to which this study objective three seeks to analyse the structures through which social protection programmes in Katakwi District are, implemented and whether they are preventive or protective measures.

The Government of Uganda (GoU) national development plan two (NDPII, 2015/16-2019/2020) commits to evolving a comprehensive National Social Protection Policy (NSP) of 2015 as a critical part of its national development strategy (GoU, 2015: 45). Within the Uganda Vision 2040 and the Second National Development Plan (NDP 11), the Government outlines the aspiration to increase access to social protection. The establishment of the national universal pension scheme, social assistance grants for vulnerable children and people with disabilities, public works schemes and expanding coverage of the contributory social security system are all attempts by the Government (NPA, 2007, NPA, 2015). These commitments are further, articulated in the 2015 National Social Protection Policy (NSPP), which outlines the Government's vision of 2040 "a society where all individuals are secure and resilient to socio-economic risks and shocks" (GoU, 2015). The policy lays out the rationale for investing in social protection as "…a crucial component of national development strategies for achieving inclusive, pro-poor and equitable growth and supporting the population to maintain a minimum acceptable level of consumption and live dignified lives" (MGLSD, 2015:1).

Social protection not only tackles the most critical development challenges in Uganda but also helps to improve inclusive, sustainable and pro-poor economic growth (ILO, 2017). Robust evidence base demonstrates the channels through which social protection operates in the achievements of developmental outcomes, especially in poverty reduction. The impact evidenced from across Africa highlights the role of social protection not only as an income multiplier but also as an authoritative source of human capital formation through education skills building. Social protection initiatives promote the local economy through strengthening communities' access to health care services, investment and innovation, stimulating productive inclusion, and expanding the workforce by fostering productivity and growth.

In Uganda, the 1995 Constitution provides for the protection and promotion of fundamental human rights and freedoms in Chapter Four. Furthermore, some of the objectives of the constitution, such as objectives VII, XI (i) and XIV (b), succinctly outline aspects directly related to protecting the rights of Ugandans. With this as a basis, social protection policy is, anchored in the several laws of Ugandan. The Uganda National Development Plan Two (NDP II) and Vision 2040 clearly articulates the importance of social protection in addressing risks and vulnerabilities by age, social class, gender, exposure to climate disaster and cultural norms. This is achieved through national programmes that target the poor and vulnerable persons in both formal and informal employment. Social assistance programme, for instance, targets children and disabled persons through the delivery of health insurance as a strategy to provide affordable health care services for all. The NDP II (2015/16-2019/20) and Vision 2040 recognises social protection as an avenue for transforming Uganda into the much-needed middle-income status (GoU, 2015). Specifically, the NDPII sets out interventions to realise the National Vision 2040, which include:

1. Expanding the scope and coverage of social security services to include the informal sector;
2. Expanding labour intensive public works to poor and vulnerable households;
3. Promoting access to social care and support services for Orphans and Vulnerable Children (OVC), Persons with Disabilities (PWDs) and older persons;
4. Promoting and protecting the rights of vulnerable groups, including children and PWDs, and protecting older persons against abuse, exploitation, violence and neglect;
5. Strengthening the scope of social assistance grants to vulnerable groups;
6. Promoting the formulation of legal frameworks for vulnerable persons at all levels;
7. Enhancing social rehabilitation and
8. Establishing the National Council for Older Persons.

1.2 Background to the Study District

This section briefly describes the geographical location of the district, administrative units of the district. Demographical profiles and characteristics and the synopsis of the conflict in the district.

1.2.1 The Demographic Characteristics of Katakwi District

Katakwi District is, located in the North-Eastern region of Uganda, and it shares the borders with the districts of Moroto in the North, Nakapiripirit in the East, Amuria in the West, Soroti in the Southwest and Kumi in the South with a total area of 2,507sq km (KDLG, 2012:1). Katakwi district was curved from Soroti District in 1997 through an Act of Parliament. In terms of administrative structures, the district has 10 two constituencies, namely Usuk and Toroma. The two constituencies (counties) are further, subdivided into sub-counties administrative units which include Kapujan, Magoro, Omodoi, Toroma, Katakwi, Katakwi T.C, Ngariam, Ongongoja, Palaam and Usuk. It is about 380 km road distance from Kampala, the capital city of Uganda by the most direct route. The dominant ethnic group in Katakwi district are the Nilo-Hamites, who are predominantly Itesots.

According to the Uganda National Bureau of Statistics (UBOS) and Uganda National Household Survey (UNHS) report (2016), the district has a total population size of 169,814 of which, 51.2 per cent are female, and 48.8 per cent are male (UBOS, 2016). The district further is, regarded to be one of the poorest District in Uganda with the highest population growth rates estimated at 6.5 per cent, which is well above the national average growth rate of 3.4 per cent (UBOS, 2016). Only 2 per cent of the Katakwi district population lives in the urban area (KDLG, 2012). The high population growth rate in Katakwi is, noted to have a negative implication related to food and income security, access to health and education services and low productivity per unit output (KDLG, 2014). The dependency ratio (per 100 productive populations) that require social protection support in Katakwi district is, estimated to be 89.4 per cent (UN 2012:13).

In terms of delivery of health and education services, Katakwi has significantly registered a decline[1] in infant mortality rate (IMR) from 116 to 65 per 1000 live birth and under-five mortality

[1] The decline is attributed to decongestion of IDP camps, strengthening of the preventive activities for Malaria (use of IRS and ITNs), and increased immunization coverage. The increased access to health services due to opening of 8 new health centres, increased staffing levels, an audit of all maternal deaths up to the community level to ensure preventable causes of death are, addressed to avoid future re-occurrences, improved health-seeking behaviour among communities as a result of mass sensitization through radio, dram and dialogue meetings. However, challenges to maternal health services utilization remain.

(U5MR) (from 192 to 108 per 1000 live births) (2009/10) over the last ten years (KDLG, 2013:1). According to the Ministry of Education and Sports (MoES) (2009), the proportion of school-going children (primary and secondary school) is above 100% (Net Enrolment Rate (NER) -101.1%). The NER for boys (102 is slightly higher than for girls (101), the completion rate is very low established at 59 per cent for boys and 47 per cent for girls (MoES, 2009). Moreover, evidence shows how social protection initiatives are capable of promoting the local economy, strengthening healthcare services in communities, encouraging investment and innovation, stimulating productive inclusion, and besides, expanding the workforce productivity and growth (AfDB, 2017). Health and education constitute a relevant portion of Uganda's development potential, particularly concerning the stages of the life cycle corresponding to childhood and youth (UNICEF, 2016).

Most households in Katakwi district derive their economic livelihood from subsistence farming. About 81.6 per cent of the population that live in rural areas of Katakwi are, employed in agriculture in which, they cultivate crops such as cassava, sorghum, millet, sweet potatoes, and sim-sim. The primary sources of energy used for cooking by households in Katakwi are charcoal, firewood and kerosene for lighting. Also traditionally known as pastoralists, most families in Katakwi keep and rear cattle just like their neighbouring tribes of Karamoja. They earn their livelihood through livestock rearing and crop production at subsistence, which contributes about 81.6 per cent to their livelihood. Commercial farming constitutes about 1.3 per cent, trade 3.8 per cent; employment income 5.9 per cent; family support 5.8 per cent and others, including small scale industries, about 1.6 per cent (UNFPA, 2009).

1.2.2 The Synopsis of Conflicts in Katakwi District

Katakwi district in Teso sub-region is still recovering from the two and half decades of war and civil conflict and cattle rustling. Katakwi district faced threefold of conflicts: (1) Cattle rustling, (2) The Uganda Peoples' Army (UPA), and (3) The Holy Spirit Movement (HSM)/Lord's Resistance Army Rebels (LRA) groups. The three types of conflicts are distinctly presented and discussed as follows.

1.2.2.1 The 1987 -1992 Uganda People's Army (UPA) rebellion

As the NRA/M government forces took over power in 1986, the NRA/M forces continued to pursue the defeated UPA soldiers of the Tito Okello Lutwa regime who were fleeing toward Teso sub-region. These marked the beginning of social, cultural and economic disintegration of the Itesots population. The defeated UPA forces settled in Teso and regrouped as rebels to regain political power from the settled NRM in 1987. Unlike other rebellions that existed in Teso and other parts of the northern region of Uganda, UPA military operation agenda was to Force Obote Back Group (FOBA). Under the command and leadership of Peter Otai who was once a minister in the Milton Obote II government in the 1980s, the UPA rebel group waged warfare against the advancing NRA/M troops in 1987. This conflict greatly affected the social and economic status of the people in Teso and Katakwi district in particular. It led to the massive displacement, loss of lives and property, including domestic animals, which impoverished the population. Through peaceful mediation and negotiation, the two parties ended the conflict in 1992 in which most rebels benefited from the NRM government Amnesty. However, Peter Otai, the commander of the UPA, decided to flee into the United Kingdom (UK) where he lived until his death on 2nd January 2020.

1.2.2.2 The Lord's Resistance Army (LRA) Rebels

The first sight of the LRA rebels in Teso sub-region was, said to have been on 25th April 2003 by some villagers who reported that they had seen strangers in their communities. This, however, appeared to be scouts who had been, sent by the LRA top commanders to come and familiarise themselves with the Teso terrain. In June 2003, residents of Alito parish at the extreme north end of the Obalaanga suddenly saw their neighbouring Lango population fleeing from the LRA rebels passing through their villages. The fleeing civilians from Lango kept telling the Itesots people that the LRA rebels were coming, please run away, but most villagers did not heed to the advice. The advance LRA rebel team came with a letter allegedly written and signed by the LRA commander, Tabuley **(see Appendix 10a - 10b).** This letter specified the date on which the LRA claimed they were coming and reasons why they were coming. The messaged contained in the letter talked about the NRM government negligence in attending to the needs of people in Teso. It contended that the Karamojong's looting of cattle from Teso was a Government ploy to impoverish the people of Teso. The letter further, warned civilians not to associate with the NRM government soldiers and

said that the LRA rebels were coming to team up with Itesots civilians to overthrow the NRM Government. Civilians who came across them took this letter and many other authored documents by the LRA rebels, to the Obalaanga sub-county headquarters. The sub-county authorities, in turn, forwarded the letters to the army barracks.

According to the sub-county officials, the army did nothing substantial to prepare in response to these imminent threats. Instead, the army detaches in Obalaanga was moved to Kapelebyong, now a district curved out from Amuria District. Obalaanga sub-county remained with only a small force of approximately 30 Anti-stock Theft Unit (ASTU), NRA soldiers and a few police officers. As a result, the LRA rebels indeed attacked the Obalaanga trading Centre on 15th June 2003, which was undefended. The first village that fell victim to the LRA rebel attacks was Angica A village in Alito Parish, 30 kilometres north of Obalaanga. The attack that came as sudden rumour but later turned out to be real led to massive displacement of the households, abduction, raping of women and girls, indiscriminate killings, burning of houses and looting of household property including cattle. As a result, the social, cultural and economic status of the Itesots was within days, destroyed rapidly by the LRA rebels. Cattle, in particular, was the primary source of household income in Teso and Katakwi district, is no more. Thus, the LRA conflict did not only hurt the households in Katakwi district alone, but it affected some of the districts within Teso sub-region, namely Kaberamaido, Amuria and Soroti Districts. Thus, the researcher seeks to investigate the effectiveness of social protection programmes implemented by the Government and NSAs in supporting households coping mechanisms in Katakwi District.

1.2.2.3 The Armed Karamojong Cattle Rustlers

Cattle have always been a symbol of wealth and source of livelihood among many African communities. In the eastern sub-region of Uganda, cattle have an additional and essential function among the Itesots and Karamojong ethnic groups. Both groups use cattle as a primary source of livelihood income and currency for men to marry. The two communities are traditionally cattle keepers. The Itesots community live in a more settled and civilised life compared to the Karamojong counterparts. For the case of Iteso people, a young man's worth is, measured by the number of cows he has to give in as bride price. On the other hand, the Karamojong suitor must accomplish a significant feat of raiding cattle and bringing back a bounty to the family where he

belongs. Efforts to find peace following years of bloody border conflicts and cattle rustling failed to create harmony between the two ethnic groups. Nonetheless, cattle remain the main currency for paying dowries.

The conflict between the Itesots and Karamojong dates back to many decades and is, unlike in other regions of Uganda, not political but a social and cultural. From as early as 1910, the Iteso and Karamojong people lived peacefully on their pieces of land, shared grass, water points and grazed their animals together. At independence in 1962, the colonial master introduced internal borders and this demarcated borders, meant that the two ethnic groups were, separated from each other. The Karamojong now settled and lived in Moroto and the Itesots formed part of Usuk County now known as Katakwi district, in Teso sub-region.

Water supply in Karamoja is inadequate to sustain the people's way of life, and some Karamojong often moves with their cattle to parts of Teso to look for greener pasture and water for their herds (UIA, 2016). During the dry season, the Karamojong nomads live peacefully with the Itesots in Teso land. However, when the rainy season begins, they return to Karamoja but only after stealing herds of cattle from the Itesots who hosted and allowed them to graze their cows in Teso land. With their continued habits of stealing and raiding, the Itesots that borders with the District of Karamoja in 1979 took the raids as a bearable nuisance against which they would defend themselves. Nevertheless, the balance of power tilted in favour of Karamojong who had homemade and acquired large quantities of guns left abandoned in Moroto military barracks by the fleeing forces of President Idi Amin in 1979.

The effects of the conflicts have been disastrous, especially among the Itesots and other neighbouring communities to Karamoja. The conditions in the protected villages or IDP camps in Teso and Katakwi district are often poor. Besides, life in IDP camp has gradually changed the family traditions, values, and culture. Because of difficulties in living in such an environment, a professional person such as health workers and teachers find it challenging to work. Some schools and health facilities in Katakwi and other districts that live along the Karamoja border closed. It is against this background that this study seeks to establish the impacts of social protection measures (SPMS) on poverty reduction in a post-conflict setting.

1.2.3 Gender Relations in Katakwi District

Gender relations remain unequal influenced by the patriarchal beliefs, norms, values and practices including payment of bride price; ritual healing; food taboos and women's limited mobility. Such relations are characterised by low participation of women, in decision-making in matters, about the family and community affairs. However, there is increasing recognition of the need for harmonious gender relationships (KDLG, 2012). Son preference on issues of education and property rights/ownership of productive resources such as land is, entrenched within the social setting (MoES, 2016). In general, men control the cash/ money while women remain in the unpaid subsistence sector (World Bank 1993). Unequal gender relations undermine efforts to increase production and reduce poverty (KDLG, 2014).

1.3 The Statement of the Problem

The consequences of emerging and recovering from decades of conflicts cannot be overstated. Household's exposure to community poverty, limited access to social protection services mainly health and education during and after the conflict period, have resulted into the social, cultural and, economic breakdown as well as poor and ineffective political governance structures. Whereas policy and decision-makers at national and international levels are grappling with designing best strategies that respond to the needs of the household's in post-conflict areas of Uganda, household heads in those post-conflict areas struggle to provide reasonable basic meals, shelter, clothing, medical and education to family members.

Lack of convergence during the planning, coordination, and implementation of the agreed strategies between the providers and the recipients of the post-conflict intervention, for instance, remains an area of contention for both policy and decision-makers as well as policy implementers at the community, district, national, and international level. The disjointed efforts of the social protection providers, both State and NSAs have partially contributed to poor service delivery in healthcare and education, food and income insecurities, and malnutrition. Despite the efforts by the Government of Uganda towards restoring economic recovery, peace and security in post-conflict-communities, strategies for the households to mitigate poverty and vulnerability at household and community level remains inadequate.

Being, a post-conflict district of eastern Uganda, Katakwi like any other district in the post-conflict area is just recovering from the long period of conflicts and cattle rustling. Besides, the district experienced multiple and severe shocks associated with high household vulnerability to poverty, limited access to health and education services, food and income insecurities (UBOs, 2011). Poverty in Katakwi district, however, is characterised by household lack of social protection services, high rate of health workers and teachers' absenteeism and unemployment. Most households' heads in Katakwi district live below the national poverty line of $1.90 per day. As a means to cope and provide support to the family member, adult household heads forced their school-going daughters to drop out of school to marry at an early age. Low-income family welfare is always associated with a lack of household heads ability to provide basic needs such as adequate meals, clothing, shelter, education and medical cost.

Although the State with support from development partners introduced social protection interventions to support communities recover from conflicts, poverty and vulnerability remain biting especially among the poor and vulnerable households headed by children, women and older persons (GoU, 2015a: 283). The geographical coverage, selection and targeting criteria of the beneficiaries is still a problem. Besides, the good intentions of social protection measures introduced by the Government, these programmes are inadequate to help households cope and to transit out of poverty and vulnerability. The National Development Plan (NDP II), for instance, ranks poverty and vulnerability as number one on the national development agenda (GoU, 2015b).

The misinterpretation and implementation of social protection programmes further have been, linked to poor and weak governance structures, transparency and accountability. While there are lessons of success from elsewhere in the world, these lessons use a multidimensional understanding of poverty and vulnerability (Haddad et al., 2003; Chaudhuri, 2003; Bidyadhar et al., 2015; Calvo et al. 2015; Leubolt 2014; Mafini & Meyer, 2016).

It is against this background that this study thought to investigate the role of social protection programmes in reducing poverty and vulnerability as well as how households use measures of social protection services to cope and manage their vulnerabilities to household and community poverty in Katakwi district.

1.4 The Objectives of the Study and Research Questions

This study sought to establish the role of social protection programmes in poverty and vulnerability reduction at household level in Katakwi District of Uganda.

1.4.1 Specific study objectives

1. Assess the effectiveness of social protection programmes in addressing gendered vulnerability to household poverty and community poverty in Katakwi District,
2. Establish the main causes of household poverty and community poverty in Katakwi District,
3. Analyse the governance structures through which social protection programmes are implemented in Katakwi District,
4. Propose a conceptual framework for the implementation of social protection programmes in post-conflict situations.

1.4.2 Research questions

1. What are the main causes of household and community poverty in Katakwi district?
2. What is your understanding of social protection services delivered to your community in Katakwi district?
3. What are the types of conditional and unconditional social protection programmes being, provided in Katakwi district?
4. How does access to social protection services such as education and health enable the poor and vulnerable households to cope in Katakwi district?
5. How effective are these social protection programmes addressing gendered vulnerabilities to poverty in Katakwi district?
6. Could some of these, interventions that the poor and vulnerable households use to reduce their poverty and vulnerability be part of social protection programmes in Katakwi district?
7. What are the governance structures through which social protection providers use to provide social protection services to the households in Katakwi district?

1.4.3 Hypothesis and Research Assumptions

It was, hypothesised that there would be no significant difference between beneficiaries and non-beneficiaries of social protection services towards escaping household and community poverty from a post-conflict setting. It was also hypothesised that there would be no significant difference between social protection beneficiaries and those not receiving social protection services to reduce their household poverty and community poverty. Based on the conceptual framework, the study is guided by three main research assumptions;

1. That SPMs can promote social inclusion by addressing poverty and vulnerability in post-conflict situations such as Katakwi district;
2. That the role of social protection is perhaps, influenced by partnerships between State as well as Non-State Actors in Katakwi district; and
3. That existing measures of social protection are inadequate to address household multiple deprivations in Katakwi district, of Uganda.

1.5 Justification and Motivation of the Study

Poverty research has provided new methods of estimating poverty during the last few decades (World Bank, 2016:27). However, most empirical studies are, still dominated by the conventional approach where household poverty is, measured in terms of current consumption expenditure or food energy intake (*ex-post* poverty). The approach fails to capture the substantial proportion of non-poor households who are likely to become poor, the poor households who are likely to become more miserable to community poverty, and those poor households that are likely not to move out of household poverty and community poverty in the near future (*ex-ante* vulnerability to poverty). Moreover, measuring poverty solely based on consumption expenditure or energy intake ignores households' deprivations on multiple fronts such as household access to better social protection services, employment, better healthcare, and quality education, (multidimensional poverty).

In Uganda, for instance, poverty and vulnerability have received considerable attention in terms of policies and rhetoric political discussions. As such, several strategies aimed at dealing with poverty and vulnerability in Uganda have not fully been implemented (GoU, 2015). These strategies include targeted social protection cash transfers to the poor and vulnerable households',

operation wealth creation for agriculture practice, and youth livelihood fund for reducing unemployment among others are the Government of Uganda's effort to confront poverty and vulnerability at all levels. Although the Government of Uganda has achieved a substantial reduction in *ex-post* poverty in the recent past decades, it is unclear whether household vulnerability to community poverty has also declined or whether social protection has had any impact in reducing household poverty and household vulnerability to community poverty in a post-conflict setting.

Motivated by the fact that there is no single set of anti-household poverty and household vulnerability to community poverty interventions for all the countries of the world, this study, aims to establish and determine the leading causes of household poverty and household vulnerability to community poverty from a post-conflict setting. The lack and weak governance structures in the implementation of social protection programmes make it difficult for families to cushion against idiosyncratic (household-specific) and covariate (community shared) shocks that lead to increase in the prevalence of poverty and vulnerability to poverty. This study, therefore, is inspired by the need to establish and examine the types of social protection programmes being implemented and how effective are these social protection programmes helping and supporting households in conflict and post-conflict situations to cope. Consequently, the justification of carrying out this study in Katakwi district is the need to enrich the researchers understanding on the causes and reason for the uneven progress in poverty and vulnerability reduction, the role of social protection programmes (social safety nets and social security benefits) in reducing household poverty and vulnerability.

1.6 Classification and Definition of the Key Study Concepts

1.6.1 Household Poverty

This study builds on the 2002 understanding of poverty as articulated by Jean-Yves Duclos (Duclos, 2002: 26) as a situation through which a household head fails to provide social and socio-economic support to his/her immediate household members due to constraints in income levels. The basic needs that households require include incomes, food, shelter, clothing, education and health, and clean water (Rema, Hanna and Karlan, 2016). Quite often, household heads (children, single female mothers, widows, and older), endure in caring and providing for a family with their

monthly stipend received from the Government as a social transfer (Devereux, 2016). They always struggle to provide basic needs because they are less, exposed to opportunities owing to the absence of employment, productive assets like land and capital and have no sources of income.

1.6.2 Household Head

This study defines the head of the household as a male or female, including a boy or a girl who is mainly charged with decision-making on behalf of other family members. A household head in Katakwi district provides for and looks after the entire family by ensuring meals and clothing are accessible to all in the household (FAO, 2009).

1.6.3 Community

In this study, I define community as a group of households sharing the same resources, for example, water points, schools, health facilities, forests; have similar agricultural farming and planting seasons. Further, they may also have the same characteristics, such as traditional dancing, dressing code, marriage ceremonies, the same behaviours in farming and harvest, and live in the same geographical area or location.

1.6.4 Community Poverty

In this study, I use the term community poverty to mean households in the same geographical area that are without access to adequate social protection services like education, health, agricultural farm inputs, poor roads, and clean water. This study understands community poverty in terms of unavailability of social services particularly education and health facilities, limited access to market opportunities, information access, transport, communication, and clean water points within their geographical reach.

1.6.5 Household Vulnerability to Community Poverty

This study conceptualises household vulnerability to community poverty as the inability of the household head to provide for and look after the needs of family members such as paying school fees. Medical costs, among others, makes this household vulnerable to poverty (Chaudhuri, 2003). Household sources of income, consumption behaviour and expenditure priorities have a bearing

on a household head's ability to provide for social needs, asset ownership, utilities and wellbeing and coping strategies (Chaudhuri, 2003).

1.6.6 Household Vulnerability to Poverty

Chaudhuri, in 2003, conceives household vulnerability to poverty as a probability of the household future consumption levels decreasing below the known poverty line (threshold). Furthermore, vulnerability to poverty refers to a situation in which a household head and family members fail to recover from physical damage (Chaudhuri, 2003) comprehensively. This failure results from geographical location and distance, health conditions, age, conflicts, isolation, discrimination, marginalisation and being deprived of access to publicly known services like education and health, employment, freedom for expression and other social services including roads, electricity, information, peace and security (Duclos, 2002).

1.6.7 Vulnerability

Vulnerability is a state of being at risk of any potentially harmful event, and, as such, it is something that should be avoided or, where an individual is facing significant physical impairment (Chaudhuri, 2003). These can be consequences of being discriminated, marginalised and deprived of access to socially recognised rights, including food, education, health, employment, freedom of expression and other social services like roads, clean water, peace and security (Duclos, 2002).

1.6.8 Social Protection Measures

Social protection has several definitions and concepts that require examination and in-depth understanding and interpretation (Devereux, 2016). Building on other scholars, this study defines social protection as a policy mix with precise interventions that influence the development and progress of individuals and households living in various communities. Taylor (2008), describes the concept of social protection as having comprehensive policies and programmes designed to eradicate poverty and vulnerability (Taylor, 2008).

1.6.9 Gender Relations

Holmes & Jones (2010) understand the concept of gender that emphasises the importance of "culture-bound conventions, roles and behaviours" that shape women and men, girls and boy's relations (Holmes & Jones, 2010: 4-5). This study, therefore, defines the concept of gender as those unique characteristics that women and men have, but which are, socially constructed.

1.7 Contribution of the Study

The study contributes new insights to the social protection field firstly in the following ways: scholars that are, cited in this study provide less *ex-post* analysis of poverty based on food energy intake and consumption expenditure. However, this study delves to establish and examine the role of social protection programmes that are *ex-ante* measurement founded on poverty and vulnerability (Chaudhuri, 2003). Whereas *ex-post poverty* text on the household in Uganda exists, its inexhaustible readings on the *ex-ante* household poverty and vulnerability as well as community poverty. Further, it contributes to the limited literature on household experiences and vulnerability to poverty in a post-conflict setting in Uganda. The study further, contributes by providing a disaggregated analysis of social protection programmes in enabling and empowering households to mitigate poverty and vulnerability at the household level (Villalon and Calvo, 2009). This study, therefore, extinguishes the annualised causes of poverty and vulnerability by delving to provide the causes of household poverty and vulnerability and households vulnerabilities to community poverty from a post-conflict setting. The dataset used in this study is spatially discrete isolated household dataset collected using a mixed-method approach to research.

1.8 The organisation of the thesis

This study is made of seven Chapters. Chapter **One**: provides information on introduction and background, problem statement, the objectives and research questions/hypothesis and study assumptions. The justification and motivation, descriptions of concepts and the study contributions to the existing body of literature. Chapter **Two:** reviews literature and conceptualisation of the social protection, poverty and vulnerability concepts. Chapter **Three:** outlines the methodology used and includes data collection procedures, description of analysis and conclusion. Chapter **Four**

presents the quantitative study approach and findings presented in tables and figures as descriptive statistics.

Descriptive statistics provided here answers the study objectives and research questions/hypothesis that focus on the role of social protection in supporting household coping strategies, access to health, education, and agricultural inputs. Chapter **Five:** presents the qualitative findings guided by the study objectives. It captures the respondent's voices and experiences on social protection programme implementation, the governance structures and social protection actor's interaction with households. Chapter **Six:** is dedicated to the discussions of findings derived from *chapter four* and *five*. The mixed method research approach is used to aid the debate on the role of social protection in reducing poverty and vulnerability, governance structure, performance, and interaction structures. Chapter **Seven:** contains the summary, conclusions, recommendations, lessons learned and future areas of research and limitations.

1.9 Conclusion

Chapter One of this study provided details on the study introduction and background, statement of the problem, the aim and objectives of the study, justification, definitions of key terms and provided an outline and explains the basis of our assumed understanding and the influence of social protection measures on poverty and vulnerability reduction at the household and community level.

This chapter has, therefore, indicated that the current study is the first to explore the measures of social protection intervention that contributes to household poverty and vulnerability reduction in Uganda. I have identified and discussed some scholarly work on the role of social protection policies and programmes in reducing household poverty and vulnerability; household vulnerability to community poverty and access to health and education services

CHAPTER TWO
CONCEPTUALISATION AND REVIEW OF LITERATURE

Chapter 2: Introduction

Chapter Two is devoted to the conceptualisation and analysis of related text on the role of social protection programmes in poverty and vulnerability reduction. The chapter reviews and discusses further, the relevant kinds of literature on governance structures and delivery plans of social protection measures, social protection trends, and coverage to answer the research objective three. Literature is also reviewed on the leading causes of poverty and vulnerability, strategies used by the Government, development partners, and households themselves to overcome poverty and vulnerability. Finally, the chapter provides the theoretical and analytical framework to unpack the relationship between social protection, poverty and vulnerability, as well as examining how it relates to the existing theories reviewed in this study. The overall theoretical conclusions on measures of social protection on poverty and vulnerability drop at the household level are also presented in this chapter.

2.1 Global and Africa Conceptualisation of Social Protection Measures

The conceptualisation of social-protection measures (SPMs) varies across countries and all actors that adopt and implement social protection. Scholars within the State and independent researchers, as well as academic research institutions and organisations, perceive and view social protection concepts differently. This study, therefore, confines itself in understanding actions of social protection as given by the following International Institutions.

2.2 The Multilateral International Agencies

The Multilateral Agencies (MAs) have over several decades been championing and demanding global partners to adopt and implement social protection measures to reduce poverty and vulnerability.

2.2.1 The African Development Bank

The African Development Bank (AfDB) adopted social protection as its primary overarching mission of helping member countries to achieve accelerated reductions in poverty (AfDB, 2018). AfDB views social protection as a vital component through which grants for public works are, transferred to the recipient countries. The AfDB grants contribute to the reduction

of poverty and vulnerability among its member states or countries of Africa. The AfDB further supports the human capital investment of member countries through transfers of grants for public works like electricity, roads, and agricultural security for reducing unemployment.

2.2.2 International Labour Organisation

In the recent world report (2015) on social protection floors, the International Labour Organisation (ILO) notes that only 27 per cent of households in the world have opportunities to comprehensive cover under social protection and 73 per cent is partially covered (ILO, 2015:1). Social protection measures in the public context are, expected to address problems such as the absence of a substantial drop in household incomes, healthcare demands, and work benefits (ILO, 2003). To this end, 'social security' and 'social protection' are primarily considered by ILO inter-changeably within its constituents in the provision of relevant interventions (ILO, 2015:162-163). Taking ILO as an example of an institution that demands comprehensive implementation of social protection (SP) promotes rights to social security, and it is responsible for initiating global actors including governments to mainstream social protection into national planning discourse (ILO, 2011).

The International Labour Organisation (2017) report on World Social Protection further, argues that social protection measures should constitute a "key element of the national strategies that should promote human development, political stability and inclusive growth" (ILO, 2019:1). It should also, ensure that people enjoy income security and have sufficient access to health and other social services, and are empowered to take advantage of economic opportunities. By raising household incomes such, social protection policies should play, a significant role in, boosting domestic demand, supporting the structural transformation of national economies, promoting decent work, and fostering inclusive and sustainable growth (Ortiz, I et al., 2015). Exclusion from social protection services is unacceptable, as the lack of protection leaves people more vulnerable to poverty, financial consequences of life-cycle shocks such as ill-health, maternity or old age, or poverty and social exclusion. Such lack of social protection also constitutes a major obstacle to economic and social development, associated with high and persistent levels of poverty, inequality and economic insecurity" (ILO, 2019:1). The ILO further, provides social protection framework that separates social protection measures into three categories: protective, preventive and promotive (ILO, 2003).

2.2.3 International Monetary Fund (IMF)

The International Monetary Fund (IMF) on the other hand, conceptualises and considers social protection as "… expenditures on services and transfers provided to individuals and households, including expenditures on services provided on a collective basis" (IMF, 2001: 106-107). It further highlights that effective social protection implementation needs to embrace collective social protection services which the Government should adopt during the design and execution of policies; steering theoretical research before the application of social protection programmes (IMF, 2001: 106-107). The conceptualisation of social protection measures by the IMF significantly resonates with the arguments given by ILO. The two institutions (IMF and ILO) discussions on the potential role of SPM always concerned with the social conditions of the employees in public service arising from various employment crises (IMF, 2001: ILO, 2015). This underpinning of social protection as an unavoidable obligation of the State to the citizenry during the emergencies may require a restructuring of the public service or retirement or dismissal of officers not performing their duties well.

Accordingly, IMF attaches serious attention to the need for designing and establishing effective social protection mechanisms that can be, used to avert any future socio-economic risks and shocks at household and community levels. Programmes such as social group solidarity, employer subsidy or assistance from the government are other forms of SP interventions provide social security to workers employed in the public sector (ILO, 2010). While this is of paramount importance to those persons engaged in informal sectors, the concern gravely omits those rural-based citizens who are, trapped in persistent poverty and who are arising from employment in the informal sector. This study focuses on attending to the critical omission by the IMF to tackle issues related to household and community vulnerability to poverty in the informal sector in Uganda, with Katakwi as a case in point.

2.2.4 The United Nations

The United Nations (UN) identifies that social protection is now a challenge; it is not merely a set of economic policies in the workplace and the areas of production. Instead, it is also a set of measures in the social sphere, which allows substantial contributions to the generation of frameworks of equality, by reducing the gaps in inequality and the eradication of poverty and social exclusion. The United Nations (2015) report findings identified that some 80 per cent of the world households have limited opportunities for social protection services (UN, 2015:3).

Thus, the 2015 United Nations global social protection findings resonate with the ILO global appeal for universal access to social protection (UN, 2015:3). The UN report demands that national governments take responsibilities in financing and supporting social protection implementations (UN, 2015:3).

It is, therefore, necessary to analyse the impact of fiscal contraction trends and public expenditure adjustment, which have been, identified in several countries on those most vulnerable in society. In this context, it is necessary to consider the most appropriate social policies to protect these groups while taking into account the UN Social Protection Floor initiative, which calls for universal access to essential social transfers and services. There is a growing consciousness of the benefits of social protection as a measure to protect people from becoming trapped in poverty, to empower them to seize opportunities, to help workers to adjust to changes and to deal with unemployment and thus support productivity. Therefore, the importance of social policies and social protection systems that address and reduce inequality and social exclusion for long-term sustainable and inclusive growth and the achievement of the Millennium Development Goals (SDGs) should be taken into consideration (UN, 2020:157-157).

2.2.5 United National Children Education Fund (UNICEF)

The United National Children Education Fund (UNICEF) report expanded by the Ortiz and Daniels, (2012) conceptualises social protection on what came to be known as the 'lost decade' (Ortiz and Daniels, 2012). The UNICEF report responded with a powerful statement "*Adjustment with a Human Face"* at the time. It argued that children must be protected during an economic crisis (Ortiz and Daniels, 2012). The report explains how this can be, done through more expansionary macro-meso policies directed to protect critical economic sectors serving the poor (UNICEF, 1985; IMF, 1994). The report critiqued the impact of structural adjustment programmes had on developing countries economy, especially on health and education. However, this shows a shift in the thinking of UNICEF towards the need for social protection measures that positively respond to the challenges that emerging countries encounter (UNICEF, 1985).

UNICEF further define social protection as "a set of transfers and services that help individuals and households confront risk and adversity (including emergencies), and ensure a minimum standard of dignity and wellbeing throughout the life-cycle". This definition again speaks to

the UN agency's mandate by highlighting the need for "a concept of social protection for children to focus on the objectives of systemically protecting and ensuring the rights of all children and women, achieving gender equality, and reducing child poverty".

Although the reviewed literature above agrees that social protection measures can address poverty and vulnerability, the question of household poverty and household vulnerability to community poverty is not well articulated. This thesis attempts to address the above knowledge gap on the role of social protection in reducing household poverty and community poverty in the context of post-conflict district of Katakwi in Uganda.

2.2.6 The World Bank

Given the substantial role played by the ILO, the World Bank (WB) on the other hand, conceptualises social protection in the context of social security (SS) as that system which creates security for human beings to overcome vulnerable situations (WB, 2012). The World Bank further conceptualises social protection as a way of moving towards a comprehensive understanding of strategies that reduce poverty. Therefore, instituting household strategies to poverty blends well with the standardised concept of social protection interventions aimed at reducing poverty and vulnerability (WB, 2001). The WB (2012) report further, notes that 70 per cent of the African households in Sub-Sahara Africa are not, covered under the measures of social protection policies and programmes (World Bank, 2012). In light of this view, the WB successfully provides useful highlights to the primary goal of this research, which focuses on examining the causes of household poverty and household vulnerability to community poverty in Uganda, the case of Katakwi district.

The WB recognises the need to influence the allocation and utilisation of government expenditures across developing countries as crucial if poverty and vulnerability are to be curved (WB, 2014). However, conditionalities may be used in determining the beneficiaries and resource allocation, the principle of fairness and equity is emphasised when addressing the plight of the poor and vulnerable households. To address poverty and vulnerability, the WB recommends that there should be an effective application of social protection measures developed to reduce poverty and vulnerability and this can be, done by having in place robust governance structures (World Bank, 2011).

The WB (2012) report that covered 142 countries of the world indicates that 70 per cent of the countries surveyed receive unconditional social protection cash transfers and 43 per cent of them receive conditional social protection cash transfers (WB, 2012). Similarly, in the same report, 80 per cent of the countries surveyed provide school feeding programmes to schools. For instance, the same report identifies 67 per cent of the countries studied were found implementing social protection public works programmes, and 56 per cent had fee waivers on social services (World Bank, 2011). The report, therefore, notes that effective governance structures in those countries were responsible for better delivery and increased motivation to implement the senior citizens' social protection grants over time (World Bank, 2011).

2.3 The Bilateral Agencies

The Bilateral Agencies (BAs) with support from their home governments have been scaling up the implementation of social protection programmes.

2.3.1 The United Kingdom Department for International Development (DFID)

The United Kingdom Department for International Development (DFID) conceptualises the concept of social protection as "the subset of public actions carried out by the state or privately that address risk, vulnerability and chronic poverty" (DFID, 2005). The DFID further defines and groups social protection policies into two main subsets. First, the social-insurance where households share the resources through paying contributions; and second, social – assistance involves non-contributory transfer with minimum values to protect the working class through legislation of the minimum wage (DFID, 2005). As a set of policies, social protection consists of interventions, which address vulnerabilities and factors, which hinder a group or individual's capacity to enjoy a fulfilling life (DFID, 2005). Thus, the DFID conceptualisation of social protection ignores the fact that household poverty exits and household vulnerability to the community are real, which this study seeks to establish.

2.3.2 United States Agency for International Development (USAID)

United States Agency for International Development (USAID) conceptualises social protection as 'a system of public interventions that seek to enable poor and vulnerable households to increase their ability to manage risk; thereby allowing them to contribute to, participate in, and benefit from economic growth' (USAID, 2013). As with many other

definitions, this is also silent on the role of social protection programmes in reducing household poverty and household vulnerability to community poverty.

2.3.3 The European Union

Social protection definitions which are relevant for this study can be found from other sources as well. Brunori, P. and O'Reilly, M. (2010) contributed a background paper[2] to the recently published 2010 European Report on Development[3] which reviewed a range of definitions. The report adopted a working definition for social protection as "the specific set of public actions to address the vulnerability of people's life via social insurance, offering protection against risk and adversity throughout life; via social assistance, offering payments to support and enable the poor; and via social inclusion efforts that enhance the capability of the marginalised to access social insurance and assistance. This definition focuses unambiguously on vulnerability, defined as the "threat of persistent poverty", and includes three components: social insurance, social assistance, and social rights promotion. By stressing "public actions", (Brunori, P. and O'Reilly, M. 2010). This definition also excludes the role of informal social protection measures in reducing household poverty and vulnerability in the context of a post-conflict setting.

2.4 The Social Protection Coverage and Trends in Africa

The last decade has seen social protection, gaining centrality in the development plan of many African countries. Several factors explain this heightened interest. First, despite evidence of considerable economic growth across the continent, poverty and vulnerability continue to persist. In turn, this has prompted a resurgence in awareness and debate about the effectiveness of growth alone in delivering the continent's ambitious development goals. Secondly, it is evident that the safety net programmes which were, introduced in the 1990s in many African countries as part of attempts to tackle the poverty that accompanied structural adjustment programmes. This failure to respond appropriately and adequately is, in part, a reflection of the complexity of poverty, risk and vulnerability. However, an area, which has hitherto received

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[2] See *Brunori, P. and O'Reilly, M. (2010):* Social protection for development: A review of definitions. Paper prepared in the framework of the European Report on Development 2010, European Report on Development, the European Commission.

[3] This report is titled "Social Protection for Inclusive Development – A New Perspective in EU Cooperation with Africa"

little or no attention, is that of an African drive for a home-grown social protection agenda. To unpack this puzzle is, beset by several challenges, which includes perceptions that a common African voice is absent and that an African definition of social protection has, however, not been articulated at an international level.

The multiplicity of donor interests and interventions may have stifled the emergence of a consistent and harmonised set of social protection objectives for Africa (Maxine M, et al. 2016). That traditional African social protection mechanisms have, however, been undermined by the imposition of conventional western social protection approaches and imposed policies which are in place are not consistent with actions on the ground. To address this gap, the African Union (AU) commissioned a study on social protection in 2008 by Viviene Taylor. The AU report (2008) conceptualises social protection as "a range of public (government-funded) measures that gives support to all citizens and helps individuals, households, and communities to manage risks better and participate actively in all spheres of life" (Taylor, 2008:29).

Another document for the African Union by the same author gives a more detailed definition of Social Protection as "a package of policies and programmes to reduce poverty and vulnerability of large segments of the population" (Taylor, 2008). The document adds: "This is undertaken through a "mix" of policies/programmes that promote efficient labour markets, reduce people's exposure to risks, and contribute to enhancing their capacity to protect and cover themselves against lack of or loss of adequate income, and basic social services" (AU, 2007). The key elements of this definition focus on formal policies and programmes, and the range of functions (across social and economic spheres), that the definition span to the study objectives, research questions and assumptions (Section 1.4) of this study thesis.

As is the case with the various institutions and agencies described above, sub-Saharan African Governments also demonstrate variations in the way they define social protection, and hence in the policy objectives that they set. The definitions which the governments tend to adopt are usually closely related to those of the donor partners that are predominant in supporting social protection programmes in the respective countries and, hence, they could be seen as an amalgamation of government and donor perspectives on social protection. Not surprisingly, therefore, and while the picture is not uniform across the continent, a number of the definitions and policy statements are a mirror-image of the varied donor perspectives, or combinations

thereof, reflecting both complementarities and differences in philosophical stance and levels of detail. Numerous examples attest to this.

2.4.1 Republic of Benin (2002):

Social protection comprises all systems and measures that provide social assistance and various social services to the different social and professional groups. In Benin, a considerable effort has been, made to ensure the physical, mental, and social and economic welfare of all strata of the society: children, men, women, the older, and disabled, marginalised and needy persons (the Republic of Benin, 2002:70).

2.4.2 Cape Verde (2004):

Social protection plays a vital role in the context of the poverty reduction strategy. As part of the non-contributively regime of social protection in Cape Verde, various public and private entities are, involved in different areas, such as families, children, the older, the handicapped and drug dependents. The social protection goal in Cape Verde is to contribute to the protection and improvement of the living conditions of the poor and the excluded. Various programmes and activities are underway, ranging from school programmes to help poor students to fully-fledged social programmes to provide social facilities and services (Republic of Cape Verde, 2004:42).

2.4.3 Republic of Chad (2003):

Social Protection measures may be institutional (laws, regulations) or programmes and projects. Their function is to lessen vulnerability and ease the poverty of vulnerable groups. To this extent, they help to contain the excessive inequality and disparities between different social strata and to mitigate the possible negative impact of social and economic policy decisions and choices, and those of social unrest (Republic of Chad, 2003:70).

2.4.4 Republic of Côte d'Ivoire (2002):

Concerning social protection, the government of the Republic of Côte d'Ivoire is committed to alleviating the problematic situation of the poor and the vulnerable groups through a consistent policy. The objectives consist of: (i) improving the living conditions of disabled and vulnerable people (women, older); and ensuring coverage of infancy in an integrated fashion (Republic of Côte d'Ivoire, 2002:73).

2.4.5 Republic of Zambia (2006):

Social protection refers to policies and practices that protect and promote the livelihoods and welfare of people suffering from critical levels of poverty and deprivation or are vulnerable to risks and shocks (the Republic of Zambia, 2006:210).

2.4.6 The Republic of Tanzania:

Social Protection goes beyond narrow institutional parameters and is defined in a way that recognises structural and multi-causal vulnerabilities, and is more aligned to the rights-based approach. The Tanzania government defines social protection measures to include family and community support structures. The interventions provided by the State Non-State Actors help individuals, households and communities to prevent, manage and overcome the risks threatening their present and future security and well-being, and to embrace opportunities for their development and social and economic progress[4] (United Republic of Tanzania National Social Protection Framework 2008:1).

The risks against which households in conflict and post-conflict situations require social protection differ from those in non-conflict countries. Besides the loss of income or regular earnings, conflict and post-conflict countries are, often characterised by the breakdown of the family and other social networks. For example, Angola, Ethiopia, Sierra Leone and Uganda where violent conflict-affected and dislodged large numbers of households over several years, social protection efforts ought to be, conceived in the context of not only addressing livelihood and economic deprivation but also the re-establishment of systems that ensure human security.

The trend in these and other post-conflict countries is to institute measures which are, designed to ensure conflict and post-conflict household's access to basic social protection needs. While this objective needs to be pursued by government and development partners, the approach and emphasis appear to ignore the almost irreplaceable but vital informal networks and links (as an objective itself) which communities previously relied on upon times of distress. Furthermore, the effective implementation of "other" government programmes or interventions (for example

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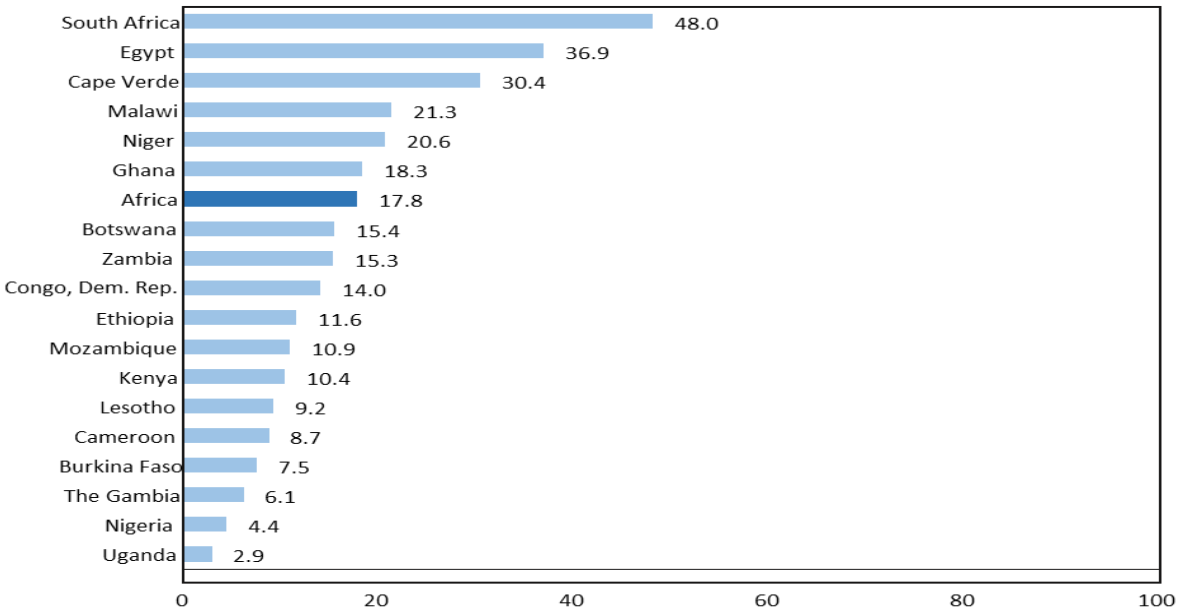
[4] United Republic of Tanzania (2008). National Social Protection Framework. Ministry of Finance and Economic Affairs, Poverty Eradication and Empowerment Division. Dar Es Salam, 28 October 2008, p1.

in education and health and agriculture) also tends to be done with the assumption that impacts in these communities would be affected in much the same way as in non-conflict communities. The geographical, scope, coverage and provision of social protection measures in Africa reflects colonial preferences and considerations, which are, clearly interlinked with the geography and colonial history of the continent (Adesina, 2010; Taylor, 2008). These systems emerged to support economic development activities, with the colonial powers initially extending their system to their expatriates and rolling it out later to African workers, especially those in white-collar jobs (Barya, 2009). Another trend relates to HIV and AIDs that has negatively impacted on the households among the population (USAID, 2010). In some of these countries like Botswana, the multiple forms of exclusion from which these populations suffer, including social, economic, and medical and other types make the situation of persons living with HIV and AIDs worse. As such, countries like Botswana are responding to these risks through the actualisation of social protection support linked to social cash schemes that represent an opportunity for reaching out to rural populations (UNICEF, 2017).

Social protection (SP) has become central to the development policy debate in many developing countries like in Africa and Uganda in particular. The Government of Uganda, for instance, recognises the vital roles of social safety nets and social security programmes in helping the poor to transit out of poverty (NDP II, 2015/16 – 2019/2020). These two roles of social protection are termed the static and dynamic functions (Alderman and Haque, 2006; Sumarto et al. 2003): static in that it seeks to reduce households' *ex-post* poverty; and dynamic in that it aims to minimise households' *ex-ante* vulnerability to poverty. Social protection coverage in Sub-Saharan Africa- where the need is greatest- remains low. Globally, the share of the population adequately covered by at least one cash social protection benefit ranges from 84.1 per cent in the well-established systems in Europe and Central Asia to 67.6 per cent in the America and 38.9 per cent in the Asia Pacific region. However, Figure 2.1 points the context of social protection coverage in the selected African countries in Sub-Sahara where only 17.8 per cent of the population in Sub-Saharan Africa receives at least one social protection benefit **(Figure 2.1).**

Figure 2. 1: Coverage and Percentage Trends of Social Protection in Africa



Population covered by at least one social protection benefit (%)

Source: ILO, 2017

The majority of workers in Africa make a living in the informal economy, but most social security schemes include works in the public and formal private sector. Moreover, despite growing efforts to invest in non-contributory cash transfers, only 9.5 per cent of vulnerable populations in Africa receive them (ILO, 2019). Moreover, yet, "*a third of the population is persistently poor, while other third moves in and out of poverty"* (World Bank, 2019:109). While some progress has been, made by extending social protection coverage in Africa, should be, regarded as a high priority.

2.5 Social Protection Coverage in Uganda

Social Protection in Uganda, like in most Sub-Saharan Africa, is firmly rooted in the country's local institutions and traditions. The popular view is that pre-colonial Africans lived in mutual support networks of community, extended family and clan groups. 'Reciprocity and social cohesion [were] the two pillars of traditional social protection . . . acts of reciprocity, altruism, social cohesion and personal intimacies were sufficient to guarantee social protection in both good and bad times to all members of any ethnic nationality by ensuring equity and social

justice (Ouma 1995: 6). However, due to the structure of Uganda's economy, access to contributory social security is limited, reaching only about 15 per cent of workers in employment.

The supervisory role of the Office of the Prime (OPM) is critical for the achievements of social protection targets that the MGLSD and other government agencies and institutions undertake in the country. Besides, the OPM coordinating social protection application in Uganda, the Ministry of Agriculture, Animal Industry, and Fisheries (MAAIF); the Ministry of Education and Sports (MoES); the Ministry of Health (MoH); the Ministry of Finance, Planning and Economic Development (MFPED) and Ministry of Local Government (MoLG), play a vital role in in the application of social protection measures in Uganda. At District level, the District Chief Administrative Officer (CAO), Sub-county Chief Officer (SCO), and Community Development Officers (CDO). Others are Parish Chiefs, and Villager Officers are, all responsible for the delivery of social protection programmes including cash and in-kind transfers to the targeted population.

The geographical coverage of the Uganda social protection programme Phase I (2010-2015), with support from the UK's Department for International Development (DFID/UKAID), Irish Aid Government and UNICEF piloted a social grant, the Senior Citizens Grants, in 15 districts around the country. These were Amudat, Apac, Kaberamaido, Katakwi, Kiboga, Kole, Kyankwanzi, Kyegegwa, Kyenjojo, Moroto, Nakapiripirit, Napak, Nebbi, Yumbe and Zombo (RoU, 2015). The implementation of social assistance grants for empowerment (SAGE) programme is within the framework of the conditional cash transfers that considers age for the selection of beneficiaries (MGLSD, 2012). On the other, the vulnerable family grant (VFG) is, implemented under the unconditional cash transfers (UCTs) programme. The vulnerable family grant targets specific households considered to be, more vulnerable than any other households in a community were. The programme targets female, child and older heads of households regardless of age, which is not a prerequisite for selecting a beneficiary. The DFID, Irish Aid Government and UNICEF are supporting the Ugandan government to implement social protection programmes through cash transfers.

2.5.1 Social Protection Schemes in Uganda

The two contributory social protection schemes in Uganda are the National Social Security Fund (NSSF) and the Public Service Pension Scheme (PSPS), which have only 830,000 and

388,853 active members, respectively. Although only portions of these members are recipients of the NSSF and PSPS, the coverage is still problematic. The Uganda Retirement Benefits Regulatory Authority (URBRA) was, established in 2011 by an Act of Parliament to regulate the establishment, management and operation of voluntary retirement benefits schemes in Uganda. In line with its mandate, the URBRA has licenced two voluntary programmes, namely: Voluntary Individual Retirement Benefits Scheme (MVIRBS) and Uganda Provident Fund to offer contributory social security services to informal sector workers. However, international experience suggests that the ability of these voluntary schemes to close the wide coverage gap for low-income workers may be limited, which to date has 898 contributors only.

Health insurance coverage remains low, reaching less than 5 per cent of the population (UBOS, 2017) - a long way from the universal health insurance envisaged in Vision 2040. Other forms of social insurance, such as accident and injury insurance, are also small in coverage. Insurance against accident and injury at work is limited (MGLSD, 2015). "Even though the law requires every employer to insure and keep themselves insured in respect of any liability which may arise under the Workers Compensation Act, only a few employers in the private sector have insurance cover. The government does not provide insurance cover for its employees" (MGLSD, 2015:16).

2.5.2 Cash Transfer Support in Uganda

Following cabinet approval of the Expanding Social Protection Programme (ESPP) in 2010, the Ministry of Gender Labour and Social Development (MGLSD) successfully piloted the Social Assistance Grants for Empowerment (SAGE) programme. Since the FY 2010/2011, the Senior Citizens Grants (SCG) component of the SAGE programme has been, gradually expanded to reach 157,284 beneficiaries in 81 districts. Government funding to the programme has accordingly increased from nine (UGX 9) Billion (Equivalent of US$2,350,060, EUR2, 168,770, GBP 1,892,200) in 2015/16 to UGX62.88 Billion (Equivalent of US$164,191,000, EUR151, 525,000, GBP132, 202,000) in FY 2019/20. Having established delivery systems and generated strong evidence of impact on household and communities, the Government has decided to roll out the SCG to all districts in FY2019/20 (MGLSD, 2019).

2.5.3 Northern Uganda Social Action Fund

Within the Office of the Prime Minister, Government is implementing Labour Intensive Public Works (LIPW) programmes under the Northern Uganda Social Action Fund (NUSAF3). Financed by a US$130 million concessional loan from the World Bank, the programme covers Northern and Eastern Uganda targeting 600,000 vulnerable people in 56 districts. NUSAF includes a Disaster Risk Financing facility designed to respond to the scale of recent exogenous shocks, especially drought and the arrival of high numbers of refugees. LIPW is a critical response to building resilience to covariate shocks designed to engage local communities in short-term employment, increase the productivity of the landscape and to improve livelihoods for the population. Indeed, the UBOS (2017) has partially attributed the increase in household consumption in Northern Uganda to such interventions (UBOS, 2017).

2.5.4 The Social Security Scheme in Uganda

Although it constitutes the second pillar of the social protection system outlined in Uganda's policy, the social care and support services system has not been, given considerable attention. The government-led institutional care exists, particularly for children and people with disabilities. Still, most institutions are, in need of rehabilitation, and provision falls very short of demand in both quality and quantity. The bulk of Social Care and Support Services (SCSS) delivered by NGOs with a focus on advocacy on rights, community sensitisation, support, and care for vulnerable groups, legal representation, and income-generating opportunities. In 2018, the ministry developed a conceptual framework for delivery of SCSS; and is currently developing a costed vision for the SCSS system in 2019/20. Thus, the Social Security coverage in Uganda is low in which, only 1.6 million Ugandans are, covered, as shown in Table 2.1. What should, in principle, be the basis for the contributory tiers — so-called 'formal social security'— is extremely limited, in terms of coverage, adequacy and scope.

Table 2. 1: The Social Security Coverage in Uganda

Type of the Social Protection Scheme	Coverage (## beneficiaries)
Contributory/ social insurance	
Public Service Pension Scheme	388,853
National Social Security Fund*	1,840,010
Parliamentary Pension Scheme	959
Voluntary Occupational Schemes	43,148

Direct Income Support	
Social Assistance Grant for Empowerment-Senior Citizens Grants	157,284
Northern Uganda Social Action Fund (NUSAF3)	136,571
Total	**2,566,825**
Active NSSF members are 830, 000 (45%), of 31/6/2019	

Source: Authors own computation based on URBRA (2019); MGLSD, & OPM Data administrative data

2.5.5 Financing of the Social Protection Programme in Uganda

The Government of Uganda (GoU) committed to providing SHS.149 Billion (Equivalent of US$38,933,500 and GBP 31, 531, 900) towards financing the implementation of social programme over the next five years as part of the MTEF starting with nine billion (Equivalent of US$2,351, 690, EUR2,180,080, GBP1,904,610) in the FY2015/16. The development partners, on the other hand, have committed to providing up to Shs.290.6 Billion (Equivalent of US$75,933,400, EUR70, 392,400, GBP61, 497,800) over the same period. The cash transfer programme, however, has two segments, namely: The Social Assistance-Grants for Empowerment (SAGE), or the Senior Citizens Grant (SCG), which supports older persons aged 65 years. The Vulnerable Family Grants (VFG) support the poor and vulnerable households regardless of age.

The Vulnerable Family Grants (VFG), therefore, used a set of proxy indicators based on weighted demographic characteristics to target households for eligibility for the grant. Final verification of eligibility would take place at the parish level, by Sub-County local authorities, led by the Community Development Officer (CDO). Following the end of the SAGE pilot in 2015, MGLSD decided to phase out the VFG with effect from November 2015. According to the MGLSD data, the total VFG households during that period were 13,131 in the six districts where the VFG was, implemented. During that period, a total of UGX 12, 954, 124, 200 Billion (US$3, 384, 900; EUR3, 137, 890; GBP2, 741, 400) was, disbursed in the VFG districts. Before the phase-out, ESP made efforts to inform beneficiaries that the VFG was going to be, phased out a study was, conducted to establish beneficiary knowledge of the end of the programme. Each recipient of the programme both SCG and VFG receive government monthly cash transfers of about UGX 25,000 (Equivalent US$7, £5), but paid out every two months hence beneficiaries receive UGX 50,000 (US$14, £10) every two months.

Similarly, income transfers to support orphans and vulnerable children are top on the list of targets under the Ugandan National Development Plan (RoU, 2015). According to Lwanga-

Ntale Charles (2008), social protection tools like cash transfers allow households and community members to plan over a more extended period and thereby to let their investments and spending patterns to be productive (Lwanga-Ntale Charles, 2008). The cash transfer programmes also lead to the prevention and mitigation of future food crises, difficulty coping mechanisms like selling off their assets (land, livestock), reducing their food intake and unnecessary spending (Lwanga-Ntale Charles, 2008). Research has shown that people who receive regular cash transfers are somehow better off than none recipients (Sabates-wheeler, 2011). Government regular cash transfers received by beneficiaries empowers them to be involved in other socio-economic activities that generate additional incomes (Sabates-wheeler, 2011; Lwanga-Ntale Charles, 2008; Khaleque et al., 2008). Thus the problematic nature in cash transfers application and other interventions that target the poor and vulnerable household makes social protection tools as an array that respondents to the multiple needs of the poor facing shocks and risks especially, in conflict-affected communities (WB, 2001).

2.6 The Delivery of Social Protection Services in Uganda

In this section, we review and present literature on the measures of social protection responses on health workers and teachers' absenteeism, agriculture, peace-building and conflict-resolution and gendered vulnerability to poverty in Uganda.

2.6.1 Response of Social Protection to Health

The contribution of inadequate health workers and teacher's numbers have been, highlighted in the literature presented by different scholars, but relatively little attention has been paid to absenteeism as a factor that undermines the delivery of health and education. The study, therefore, aimed to review the literature on the effectiveness of social protection measures in reducing absenteeism among the health workers and teachers. Specifically, I aimed to review the measures of social protection responses in increasing health workers and teachers' attendance to duty, delivery of healthcare and education services and student enrolment rates at different levels. Therefore, this section, I reviewed and present literature on the role and effectiveness of social protection programmes in reducing health workers and teachers' absenteeism in the context of the Ugandan post-conflict setting. To address absenteeism in health centres, the government of Uganda is adopting social protection measures to ensure health workers attendance to duty by ensuring the provision of staff accommodation and medicines at all health facilities in the country. Unpublished government reports acknowledge

that social protection measures a pre-requisite for achieving goals like health care access (UBOS, 2018).

The Ministry of Health (MoH), for instance, aims to meet the goal of providing quality health service to citizens through supporting health workers presence in health facilities. Therefore, the application of social protection measures in Uganda by the MoH has registered a significant increase in health worker attendance to duty (MoH, 2005). Studies reveal that poor and vulnerable households have improved on their household, leaving standards through social protection access, especially health care and education (MoH, 2015; Belita and Mbindyo, 2005). In the Katakwi district, regardless of whether one is a beneficiary or not, households have access to health care services provided through government structures (MoH, 2005).

The implementation of social protection programmes, especially conditional cash and in-kind transfers has resulted in the increased supply of medicine in most health facilities. Attendance to duty by health workers improved from 41 per cent in 2013 to 64 per cent in 2019 because of increased cash transfers to health facilities (MoH, 2005). Having better supplies of medicine, accommodation and hard to reach allowances for staff has significantly made a difference in the lives of the poor and vulnerable households access to quality health care. Other findings show that the maternal death rate due to the implementation of social protection has reduced from 148/100,000 in 2012/13 to 119/100,000 in 2016/17 and under-five deaths in health facilities were reduced from 18/1000 (2013) to 16/1000 by 2017 (GoU, 2017). The health workers attendance to duty has significantly reduced patient's complaints about the lack of health workers to offer treatment (MoH, 2005). The Government efforts in constructing health worker's accommodation facilities are, credited for the decline in malaria reported cases. The health workers are now present and are, able to create awareness through sensitization of the communities about sleeping under mosquito nets (UBOS, 2017).

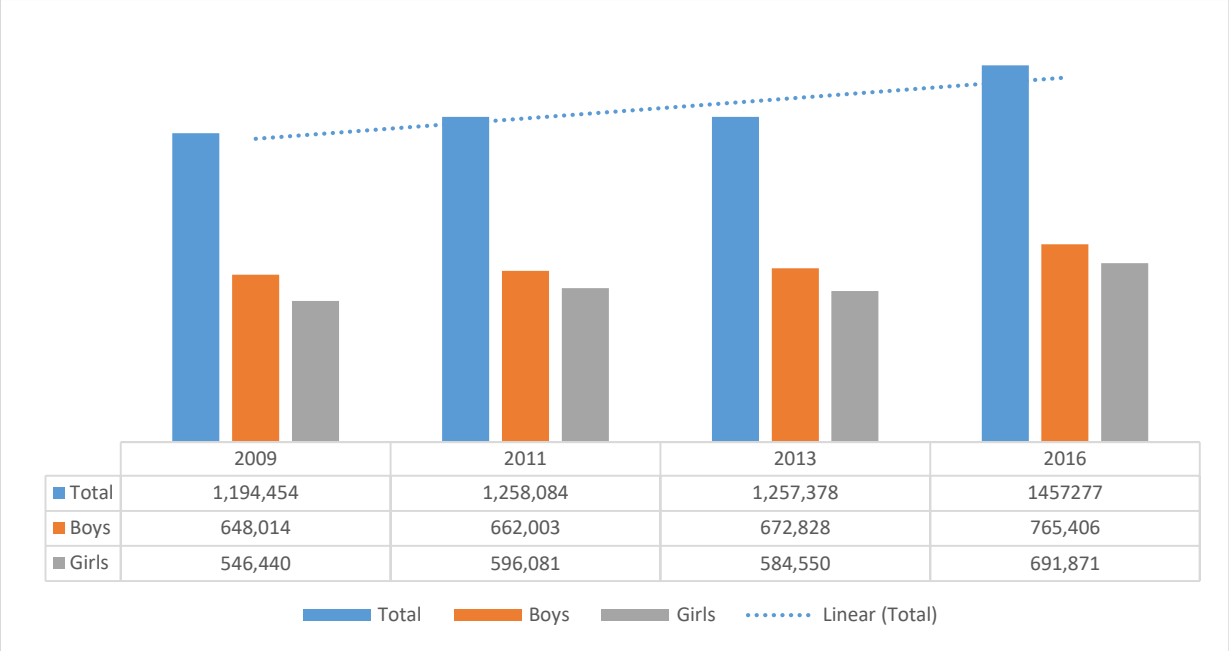
2.6.2 Responses of Social Protection to Education

In pursuit of the National Vision 2040, the Ugandan government through the Ministry of Education and Sports aims to contribute to national development by ensuring that all public institutions are fully operational and delivering services to citizens (GoU, 2015). The second Uganda National Development Plan (NDP II) recognises that the Ministry of Education and Sports (MoES) has a vital role in eradicating illiteracy and promoting human capital development (GoU, 2015). As a result, the MoES is currently implementing conditional, and

unconditional social protection grants inform of cash transfers to support all schools with development partners providing additional funding (GoU, 2015). The social protection measures seek to support the second national development plan in three ways: (i) to increase the completion rate of grade seven pupils from 70.3 per cent to 85 per cent by 2019/20. (ii) Increase the number of children joining high schools from the current (2014) 73 per cent to 83 per cent by 2019. (iii) Increase the net secondary school completion rate from (2014) 36 per cent to 50 per cent by 2019. The MoES transfers grants to the local district council for schools construction, and rehabilitation of staff accommodation to ensure that the facilities are suitable for the provision of educational services, which has significantly increased teachers' attendance to duty and time-on-task and reduced the absenteeism rate among teachers (Okurut, 2012 Groot, et al. 2006).

Grant transfers to the MoES have significantly improved on the performance of education institution, especially of teacher absenteeism. The approved budget in Ugandan shillings (UGX) for the Financial Year (FY) 2016/17 was UGX 15.9 Billion. Out of the total approved budget, the MoES spent 65.7 per cent of the released grants (MFPED, 2018). The expenditure was mainly on planned activities such as the construction of school facilities, including staff accommodation. The implementation of school conditional grant transfers for infrastructure facilities has led to improved attendance to duty and time to task by teachers. Figure 2.2 shows the responses of social protection to teachers' attendance to duty and pupils enrolment in government schools.

Figure 2. 2: Responses of social protection to teachers and pupils enrolment



Source: Ministry of Education and Sports 2017

The gross school enrolment rate of pupils increased from 1,194,454 in FY 2009 to 1,457,277 in FY 2016. By gender, 765,406 more boys were, enrolled to school compared 691,871 of the girls in the same FY 2016/17. The efficiency and effectiveness of educational facilities are essential aspects of education if the country is to achieve sustainable economic growth and development. Results from Table 2.2 show that the completion rate increased from 35.3 per cent in 2013 to 37.8 per cent in 2016. A higher percentage of boys (39.6 per cent) completed compared to girls (36.0 per cent) in 2016, although by only 4.6 percentage points.

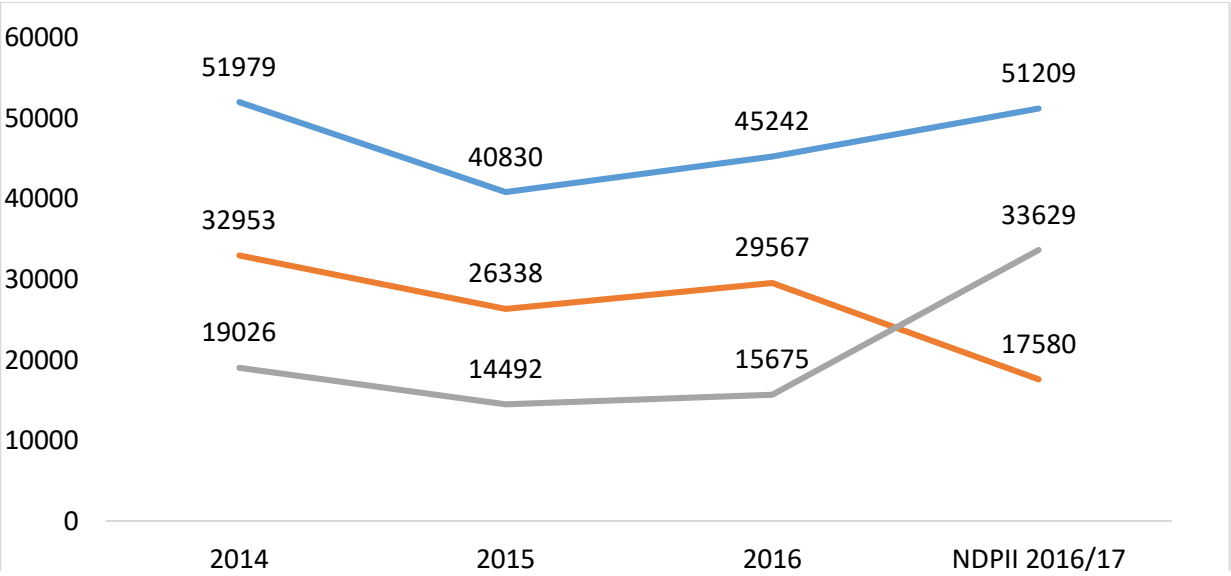
Table 2. 2: School completion rate

Category	**2013**	**2014**	**2015**	**2016**
	%	**%**	**%**	**%**
Total	35.3	35.8	36.2	37.8
Male	36.7	36.4	36.4	39.6
Female	33.8	33.9	35.9	36.0

Source: Own computation using the Ministry of Education and Sports 2017 data

This level of performance indicates that less than half of the students enrolled complete senior four and this, therefore, calls for concerted efforts towards improving the completion rate at this level (UBOS, 2017). In the FY 2016/17, the skills development subsector had an approved budget of Uganda Shillings of 216.31 billion out of which 78.38 per cent was released and 99.4 per cent spent (MFPED, 2018). The subsector planned to train and build the technical capacity of business, vocational and education training institutions and accommodation facilities to improve education access (MoES, 2016). Because of these social protection interventions, the total enrolment improved from 42,674 (28,024 males; 14,650 females) in FY 2013 to 45,242 (29,567 boys; 15,675 girls) in FY 2016 as shown in Figure 2.3.

Figure 2. 3: Vocational education and training enrolment rate



Source: Ministry of Education and Sports, 2017

The use of social protection conditional grants by the Ugandan government has led to a significant decline in teacher's absenteeism. The decline in teacher's absenteeism is due to the

construction of staff houses and transfer of hard to reach conditional grant allowances for teachers to be, accommodated at school. For instance, the overall performance of the education sector has generally improved due to social protection interventions from FY 2015/16. Government through the MoES is, however making more resources available to support teachers to attend to their duties and to increase their productivity. Table 2.3 provides emerging issues and recommendations for the education sector.

Table 2. 3: Key Emerging issues and recommendations

Issue	Recommended Action
Inadequate resources to construct additional infrastructure mainly classrooms and accommodation	There is a need for increased transfers of conditional cash to rural schools.
Schools in Katakwi district have no access to electricity.	The Ministry of Education and Sports (MoES) needs to support rural schools through an additional public transfer of grants.
Lack of school feeding programmes High dropout rate and low school completion rates of primary seven	MoES should lay strategies of increasing in-kind transfers as a way of reducing the dropout rate, Cash and in-kind transfers should be, aimed at increasing pupil school retention at school Teachers retention in schools
Completion rates at primary and lower secondary levels remain very low	MoES should lay social protection strategies to improve child school completion rates at all levels of education.
Enrolment at BTVET at is low compared to other levels. The gender gap is also still wide.	Efforts should be, made by schools towards attracting grants for improving enrollment at all levels, which might reduce the gender gap.

Source: Ministry of Education and Sports 2017

2.6.3 Response of Social Protection to Agriculture

The understanding of the poor and where the poor are, found in the context of Sub-Saharan Africa (SSA) is often associated with support to increase production on a large scale. The majority of poor and vulnerable households in SSA are, regularly found participating in low-productivity activities, employed in low paying jobs that often keeps them trapped in poverty cycles. The existing texts on social protection contribution through cash transfers to agriculture indicates that farmers who receive cash and in-kind transfers can escape poverty levels more than those farmers that do not receive any support (Okurut, 2012). The World Bank (2018) household survey on social protection conducted in 28 selected low-income countries found

that 73 per cent of the individuals employed were, found to be poor and 29 per cent of them were engaged in agriculture (WB, 2018:66). This finding aligns with a study conducted by Handa et al., (2017) which indicated that 49 per cent of employed individuals were self-employed and 30 per cent were unpaid workers (Handa et al., 2017). The majority of poor individuals live in non-existent labour markets without robust insurance credit schemes, and this affects their social and economic decisions at the household level (WB, 2018:66).

The Ministry of Agriculture, Animal Industry and Fisheries supports and strengthens the capacity of different targeted farmers through cash transfers inform of the in-kind transfer programmes. The cash transfer programme aims to support targeted farmers through procuring of more additional farm inputs. This farm input includes costs on irrigation, spraying, post-harvest handling and human labour. On the other hand, In-kind transfer is, implemented through the supply of agricultural seeds to all farmers regardless of the geographical location. The transfer of farm inputs to farmers through operation wealth creation is part of unconditional social protection that aims at supporting and empowering households to strengthen their food and income security. Since 2003, many insurance companies integrated the provision of agriculture insurance among focus areas. Despite the increased supply, uptake of agricultural insurance remains low, especially in rural areas. Although claims that low absorption of agricultural insurance point to the high cost of products and the small nature of farming operations, empirical evidence remains unavailable to validate the claim (Coudouel, and Wodon, 1997).

2.6.4 Response of Social protection to gendered vulnerability to poverty

Integration of gender in development is critical for reducing gendered vulnerability to poverty. Cristina Cirillo and Raquel Tebaldi report (2012) show that non-state actors in Uganda support the efforts of the Ugandan government in the application of social protection interventions through targeting of poor and vulnerable households (Cirillo, Cristina, and Tebaldi, 2012). Uganda considers social protection as a significant intervention area for empowering the poor and vulnerable households, primarily focusing on women and girls (Lwanga-ntale and Mcclean, 2014). These two reports provide a robust valuation of social protection effectiveness in addressing household vulnerability to poverty (Cirillo, Cristina, and Tebaldi, 2012; Lwanga-ntale and Mcclean, 2014). In addition to the existing literature, the United Nations report (2018) indicates that the lack of decent work opportunities leads to poverty (United Nations, 2018).

The promotion of inclusive growth through effective implementation of social protection can reduce the number of unemployed youth (United Nations, 2018:37).

The United Nations report further, estimates that youth found living in poverty to be higher (14 per cent) compared to the adults (10 per cent) living in poverty (United Nations, 2018:37-38). Thus, social protection through cash transfer programmes and nutrition can play a more significant role in the reduction of the number of youth living below poverty lines (United Nations, 2018). Social protection measures (SPMs) in Uganda indicate that the government uses some measures to support relatively poor and vulnerable households (UBOS, 2017). Official documents further show how the government of Uganda uses SPMs to provide specific targeted social support to address gender inequalities (UBOS, 2017). The unremunerated heavy time-burden on women and girls is, noted to affect girls and women productivity, which is, considered to be one of the leading causes of poverty among girls and women (Abdourahman, 2010: 19).

Consequently, girls and women constitute the majority of households that live in poverty and they mostly suffer from exclusion from primary education, healthcare, land ownership and employment (CPRC, 2008; United Nations, 2009). In the case of Uganda, the social exclusion of girls and women in most communities is, associated with traditional cultural perceptions and attitude regarding their position and role (MGLSD, 2010). Thus, interventions to address gendered vulnerability to poverty should move beyond the gendered gaps in education and health to include issues of access and geographical coverage. According to CPRC (2008), 'a social compact to end chronic poverty cannot be found without gender equality and that leadership and effective public policy can find better and faster routes to addressing gender inequality' (CPRC, 2008: 73).

2.7 The Governance Structures of Social Protection Programmes

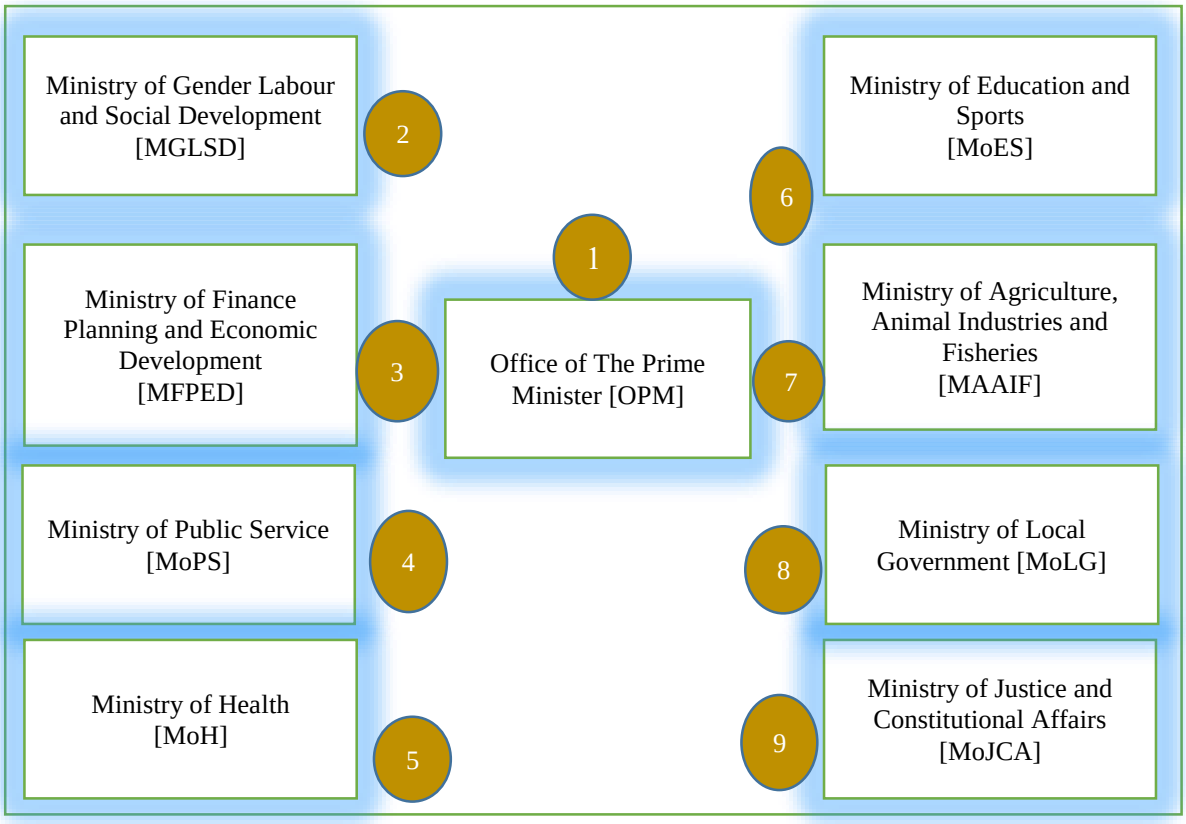
The intent of this objective was to review the structures through which social protection programmes are delivered in Uganda.

2.7.1 Government structures

The concept of governance has attracted increasing interest both in the institution, individual research scholars and in policy and decision-makers over the recent years as it has generated diverse debate. Lowndes and Skelcher, (1998:314) conceptualise governance as 'The means

by which social coordination is achieved' (Lowndes and Skelcher, 1998:314). This definition helps in understanding the mechanisms by which social protection actors or providers of social protection services and interventions manage their operations and how the formal and informal rules and other governance mechanisms that they employ influence the delivery of social protection services (UNDP, 1997). Therefore, governance of social protection in Uganda is through a multi-sectoral approach right from the Central Government to the District Local Governments. The roles of the various stakeholders vary according to their mandates and functions. The government established a Committee of Cabinet on Social Protection whose mandate shall be to provide oversight and policy direction. Figure 2.4 presents the structure through which social protection policies and programmes are delivered by the Cabinet Committee composed of the Ministers from the following Ministries.

Figure 2. 4: Structure for Delivery of Social Protection Programmes in Uganda



Source: Own Conceptualisation using Government of Uganda National Social Protection Policy 2015

The Ministry of Gender Labour and Social Development (MGLSD) provide the coordination and implementation of the social protection policy and a secretariat to the Committee formed by other Government Ministries, Departments and Agencies (MDAs). The multi-sectoral technical Committee of Permanent Secretaries from the above Ministries provide technical support to the Cabinet Committee. The Cabinet Committee have representation from the National Planning Authority, Uganda Bureau of Statistics, Uganda Registration Services Bureau, Uganda Retirement Benefits Regulatory Authority, Uganda Immigration and Citizenship Board. The Private Sector, Development Partners, International and National NSAs, Faith-Based Organisation partner with the government of Uganda to implement social protection through resource mobilisation and financing. Other stakeholders involved in the implementation of social protection policy in Uganda include the Traditional and Cultural Institutions and Households who participate in procedures for targeting of the beneficiaries of social protection interventions; encouraging and supporting communities to generate social protection initiatives; and participate in planning, implementation and monitoring of the social protection programmes. The Ministry of Gender Labour and Social Development (MGLSD) as the main key Government sector tasked to delivery social protection. Within the MGLSD,

there is a Department of Expanding Social Protection (ESP) in Uganda. The Department of Expanding Social Protection directly collaborates with the District Chief Administrative Officer who supervises the officer.

2.7.2 Multilateral and Bilateral Agencies

The Multilateral and Bilateral Agencies support the Government of Uganda's efforts to scale up the implementation of social protection policies and programmes. They align their financial support to the priorities of the National Development Plans (NDP) and use the existing systems; coordinate actions, simplify procedures and share information; and provide technical assistance for social protection. In addition, Multilateral and Bilateral Agencies make their transfers available to the specific government Ministries, Departments and Agencies as well as the District Local Government. Agencies such as the African Development Bank (AfDB), World Bank (WB), International Monetary Fund (IMF), the European Union (EU), United Nations Agencies such as the International Labour Organisations (ILO), United Nations Development Programme (UNDP), and United Nations Children Education Fund (UNICEF) among others contribute to the implementation of social policies and programmes.

Each of the above mentioned agencies have their structures inform of departments and units that are deep rooted and linked to a particular government ministry where funding is transferred to implement specific projects activities. The Multilateral and Bilateral Agencies also have their structures linked to the International, National and District Based Actors whom they fund through cash transfers to implement certain social protection activities inform of projects on their behalf. The International Non-State Actors (INSAs) and National Non-State Actors (NNSAs) provide support to the implementation of social protection measures through conducting advocacy work for transparency in the implementation of social protection policies and legislations. They also use their structures to mobilise resources and advocate for increased funding for social protection programmes; participate in planning, implementation and monitoring of social protection programmes; monitor the operationalisation of international instruments and protocols on social protection; mobilise and sensitize the population on social protection; and contribute to develop and implement social protection programmes.

At district level, the literature reviews further discovered that there exist both formal and informal non-state actors. The formal non-state actors are well established and have clear

structures through which they deliver social protection services. The formal NSAs quite often receive funding from their counterparts at the national and international level. Multilateral, Bilateral and International as well as National NSAs provide financial and technical support to the District Based Organisations (DBOs). Thus, DBOs prepare fundraising proposal for funding for which they receive grants to implement specific social protection activities. Although many definitions identify formal NSAs as the main or sole providers of social protection, there are many examples where informal social protection actors are providing services that formal non-state actors provide.

2.7.3 The World Bank Conceptualisation of Governance

The World Bank's (1989) report on Sub-Saharan Africa conceptualises the concept of governance as "the exercise of political power to manage a nation's affairs" (WB, 1989). The International Labour Organisation (ILO) builds its concept of governance to mean Social security and social dialogue with both pillars of the Decent Work Agenda, are interrelated and mutually supportive in reaching the objective of social justice and fair globalisation. Effective and sustainable social security systems, therefore, are based on the sound tripartite governance, full accountability, and participation of workers and employers' organisations. Participation includes the involvement of the social partners in the design of social security policies and reforms as well as in the management of social security schemes (ILO, 2013:224). Consequently, the ILO governance of social protection is about people and families having security in the face of vulnerabilities and contingencies, having access to healthcare, and education services and it is about working in safety in which, Socio-economic security is key to the well-being of the individual and the family (ILO, 2003).

2.7.4 The International Monetary Fund

The IMF on the other hand, beginning with the broadest term, "governance" which is generally understood to concern the various institutions, mechanisms, and established practices through which a country exercises governmental authority, discharges its responsibilities and manages its public resources. These include processes at the country level, including institution-level arrangements. Governance is an inherently neutral term, describing a framework—including the institutions, mechanisms, and practices through which a country exercises governmental authority and manages its public resources—but not its outcome. While there is a consensus on the basic concept, different authors and institutions tend to have specific focuses within this

universe—indeed, the social protection covers the range of policies and programmes needed to reduce the lifelong consequences of poverty and social exclusion. Cash transfers programmes include child grants, school meals, and nutritious-food and skills development. The cash transfer programme helps connect families to primary healthcare and quality education services (UNICEF, 2018:39).

2.7.5 The International Labour Organisation

Further, it provides support in cases of extreme and chronic poverty and enhances the social status and rights of "marginalised groups." Governance is considered vital to the successful implementation of any support that targets all the population (ILO, 2011). Governance helps to determine the direct and indirect beneficiaries of social protection services as well as the approach to effective and efficient service delivery, whether formal or informal (Bassett et al., 2012). The concept of governance refers to the ability and capabilities to implement SP interventions clearly and effectively by the state. Actors champion the idea of effective and efficient governance structures that needs to address different interests and perceptions. The different characterisation of governance helps policy and decision-makers to understand various apparatus used by the NSA in executing social protection interventions (Fiszbein, Kanbur and Yemtsov, 2013). It links how NSA run and manage SPI and how effective and efficient external governance structures outside Uganda influence the timely delivery of social protection services to beneficiaries. Barrientos notes that there is a growing consensus around NSA role in shaping the application of SP measures for poverty and vulnerability (Barrientos 2008:13).

2.7.6 Other Scholars Conceptualisation of Governance

The widespread involvement of various forms of developmental and charitable organisations (local, national and international) is of obvious relevance to the discussion of social protection governance. Jutting (undated) in his writing show that different actors have different institutional characteristics, which inform what they do, the scope of activities, their target populations and eventual continued service delivery. While mentioning to the workings of Robinson and White (1997), Jutting pronounces that civic organisations in the form of membership organisations [self-help groups/cooperatives/ mutual interest groups] are, characterised by the "episodic or long term and inter-generational. Framed by the norms of exchange and reciprocity, mediated by rules and institutions which may not assume concrete

organisation forms" which are essential in their governance and service delivery. The literature on governance and administration of formal social protection indicates that self-help groups are characterised by a poor governance environment and low administrative capacity (Harvey et al., 2007; UNICEF 2009). In recognition of the above, UNICEF (2009:43) recommends that there should be strong multi-sectoral coordination and donor harmonization, which are critical for expanding child-sensitive social protection adopting a comprehensive approach.

Bassett et al. (2012) acknowledge that governance is essential for the implementation of any state intervention and the achievement of the national development agenda (Bassett et al., 2012). These interventions and initiatives could be in the form of social protection measures that require effective implementation and adherence to the rules and procedures clearly defined for the achievement of results. The suitability and selection principles of beneficiaries are also established through strong and good governance structures required for the delivery of social protection (Bassett et al., 2012). Although non-state actors view weak governance structures as an obstacle to effective responses to household vulnerability to poverty, state and powerful independent organisations and agencies, attribute weak governance to greed and corruption (Rose-ackerman, 2004). In SSA where most states or governments have failed to address issues related to households coping strategies, behaviours, attitudes, in implementing social protection measures to conflict-affected communities due to corruption (Rose-ackerman, 2004). Laiglesia (2011) points to the fact that there is a struggle amongst African states to support vulnerable households to overcome poverty and vulnerability (Laiglesia, 2011:8; Rebecca, 2013; Holmes et al., 2010:4).

The struggle and failure of the state to support vulnerable households using existing donor-driven or "pilot driven social protection schemes" is attributed to weak state governance structures (Holmes et al., 2010:4). Harvey et al., (2007) argue that regardless of which actors are responsible for delivering social protection there will always be a concern over the potential for benefits to be corruptly diverted or captured by local elites and therefore it is important to build trust between donors, governments and other actors. This highlights the need to analyse accountability mechanisms for service provision but also interaction and collaboration mechanisms. Foster et al., (2001) suggest that social protection in family and kin, 'community', religious bodies, non-governmental organizations, savings and credit groups, and forms of 'traditional' insurance such as burial societies revolve around some level of patronage within the given 'community'. The literature on socially-based risk reduction, mitigation and coping

strategies draws upon the concept of the 'moral economy' in traditional societies with small and relatively weak states. These strategies to minimise the probability of risk that generally come with a trade-off (Ellis 1993).

In Uganda, the Government of Uganda (2012) through the Ministry of Gender Labour and Social Development Protection (MGSD) released a report on the state of social protection in the country. Entitled, 'Uganda: Social Protection Public Expenditure Review" the document provides insights into efforts towards "expanding social protection' (Wylde et al., 2012). The review recognises the critical role of local and international NGOs in social protection, and these have by, and large received donor funding to implement social protection interventions. They also utilise funding from other sources and not just government programmes. Non-sate actors broadly categorised as advocacy organisations and service providers. For the former much of the literature suggests that advocacy focused organisations include mainly the national loosely networked organisations often advocating on human rights (rights and entitlements that reduce vulnerability like land ownership advocacy for women), employment advocacy, care for the older and other vulnerable groups among others. Advocacy organisations acknowledge the need for protection, especially by the state to the very poor and other marginalised groups in society.

Their actions contribute to the formulation of regulations, structures, and policies for social protection service delivery. In Uganda, these include national and international organisations. Examples are Platform for Labour Action (PLA), Uganda Reach the Aged Association, and the Uganda Social Protection Platform (USPP). The latter is a recently formed coalition of civil society organisations championing Social Protection (SP) to address poverty, risk and vulnerability in Uganda. Service delivery actors in Uganda target different population groups that suffer various forms of vulnerability, providing such services as healthcare, food, and shelter. They, at times, incorporate economic empowerment interventions such as loans and savings schemes and income-generating activities (Onapa, 2008).

Therefore, good governance and transparency can provide a basis for monitoring efforts towards reducing poverty by the state and non-state actors (Handley et al., 2009). It is further, argued that effective and efficient governance structures usually result in accountability and state responsiveness to the needs of the population. The strategic features in the governance of any organization include institutional predictability in responses to the demands and needs of the poor and vulnerable (Darkwah and Nketia-amponsah, 2015). The state ought to have the

ability to promote the participation of the population, the capability to provide accountability and adherence to transparency principles (European Union, 2012). However, governance includes, generating strong institutions with a clear framework to support, for example, social transfers of social protection services (SPS). Norton (1984:8) cited in Jütting (1999) defines organisations as: "a set of ethical and behavioural norms which defines the lines that pressure how procedures and rules are, enforced and followed by those in authority to carry out state roles and activities" (Norton, 1984:8 cited in Jütting 1999).

2.8 Theoretical, Analytical and Conceptual Framework

The underlying theoretical, analytical, and conceptual framework of this study draws more insights through the review of empirical literature contributions of different theories on the role of social protection measures in reducing poverty and vulnerability. Therefore, the theoretical conceptualisation of social protection initiatives and interventions is on the existing body of the scholarly text reviewed in this PhD thesis. Attempts to respond to the study objectives and research questions dilemmas on, what others have found on the theoretical and potential role of social protection measures (SPMs) to reduce poverty and vulnerability, remains debatable. Across all actors that seek to derive empirical conclusions on social protection. The preventive SPMs come in the form of social insurance schemes like funeral services, health insurance and unemployment benefits, which directly link to the *Theory of Vulnerability* as given by Nina A. Kohn (2014: 21).

The promotive social protection measures are also, related to the Structural Theory of Poverty and Cultural theory of poverty in the implementation of social protection measure to boost household incomes. Besides, SPMs also aim to improve on households coping capabilities by providing interventions like credit and microfinance services. The implementation of promotive measures of social protection by non-state actors tends to broaden the scope of social protection beyond its core motivation. Transformative measures of social protection, on the other hand, are, performed to correct the absence of social equity among poor households in various communities. Transformative measures of social protection address issues related to poor labour standards and discrimination against specific disadvantaged groups like vulnerable children, women and people with disabilities (UNICEF, 2016:17). The reviewed theories link to the overall study objectives and research questions and assumptions as presented and discussed below:

2.8.1 The Underlying Theoretical

2.8.1.1 Theory of social change

This study thought to establish the role of social protection programmes in poverty and vulnerability reduction at household level in Katakwi District of Uganda. The Theory of Social Change has been, articulated by a different renowned scholar such as Doug Reeler in 2007. In his writing, Doug R underpins the importance of social change to deepen the understanding and respect of what causes change:

> According to Doug R (2007), understanding deeply and respecting what change processes already exist can only help policy and decision-makers to respond to and work with a more profound sense of reality, rather than its shallowly perceived set of problems and needs. In facing this challenge to observe what is working more deeply, the policy and decision-makers may then be able to develop more comprehensive and successful measurable practices that create positive impacts. These frameworks enable the people to more deftly manage and practice their relationships, including processes and systems for planning, monitoring, learning from, evaluating, rethinking and reporting on practice (Doug Reeler, 2007:7).

The above Theory of Social Change in this study is relevant because it helped the researcher to examine how social protection interventions have changed households' attitude and how to have the households used their cash transfer programmes to improve on their social and economic status.

2.8.1.2 Structural theory of poverty

The structural theory of poverty blames poverty in the existing situations and structures within the established social, economic, and political systems where for instance, aspects such as marginalisation, discrimination by race, tribe, gender, sexism and religion limit an individual from accessing socio-economic opportunities. In their writing, Klugman, J. et al., (2017), poverty is thus, caused by the deprivation of an individual from accessing training and job opportunities that are sufficient to get a job to maintain his/her acceptable ideals of life (Klugman, J. et al., 2017). Other scholars such as Barbieri P and Bozzon R. (2016) contribute to the above structural theory of poverty by cementing that:

> Poor massive government reform within the economy may significantly contribute to the increased social, economic marginalisation and discrimination of the affected individuals. Thus poverty is, held responsible for causing structural state failures, which include discrimination and marginalisation. Discrimination and marginalisation could be, based on race, tribe, gender, religion, and human rights abuse, bad and poor governance systems wretched with weak

> institutions to execute growth and development policies programmes, corruption, and human rights abuse. (Barbieri and Bozzon, 2016:199).

Thus, a Structural Theory of Poverty contends that the state failures to provide support to the poor and vulnerable households is responsible for the increased poverty.

2.8.1.3 Cultural theory of poverty

Oscar Lewis builds on the Karl Marx theory of poverty where he states that as a retrenchment of public workers continues as led by the capitalism desire of improving means of production and revenues, poor people will continue emerging (Oscar Lewis, 1966). The cultural theories are, commonly grounded on what has been, called and referred to as "culture of poverty" revealed and described by the poor and vulnerable persons who are the common threshold in the Critical Marxist and social Darwinist paradigms (Lewis 1996:187; Shulman 1990:1). Cultural theories postulate that:

> People are poor because they have a distinctive cultural setting with already predetermined means tangled with social life, which largely explains why there are an incidence and perseverance to poverty among most poor and vulnerable households. These socially predetermined ways that cause poverty are what the ideational cultural theories refer to as a defective culture (Shulman 1990:1). The characteristics of imperfect culture take account of the incompleteness of the time prospect with impulsive need aimed at fulfilment, low aspirations, and emotional one or self-doubt. These features when considered together change and shape the world view of the poor and vulnerable people which later help them cope with a persistent desperateness and misery, a result of weak government governance structures that address poverty (Lewis, 1996:187; Shulman, 1990:1; Jones 1984:253).

2.8.1.4 Vulnerability theory

The vulnerability theory is, constructed using the analytical and conceptual framework of this study, as presented in Figure 2.5 and Figure 2.6. This study considers vulnerability as a broader term that often results in constant possibility of one's destruction, and or exposure that cannot be hidden. This is one of the main reasons why vulnerability today is a debate by different policy and research scholars that often talk about the concept, meaning of the word and its pivotal role it has. Referring and building on Martha Fineman's theory of vulnerability, Nina Kohn (2014:21) underscored the concept of "vulnerability theory" as:

> Kohn (2014) conceptualises vulnerability as a persuasive concept that is powerful in the new critique of formal equality but also as an alternative framework in understanding substantive equality. The Nina A. Kohn argument further, recommends that vulnerability is inherent to today's human condition and that government institution, therefore, have a duty to respond

> positively to human vulnerability through ensuring that all households have equal access to the state social services that should be distributed equally (Kohn, 2014:3).

Accordingly, vulnerability theory offers an alternate basis to defining and understanding the role by giving valid justifications of the government governance structures in extending social services to all people and for expansive execution of social and economic policies and programmes (Kohn, 2014). Thus vulnerability is usually linked to victim-hood, dependency, deprivation, and, or pathology (Fineman, 2008:8).

2.8.2 Analytical Framework of Social Protection

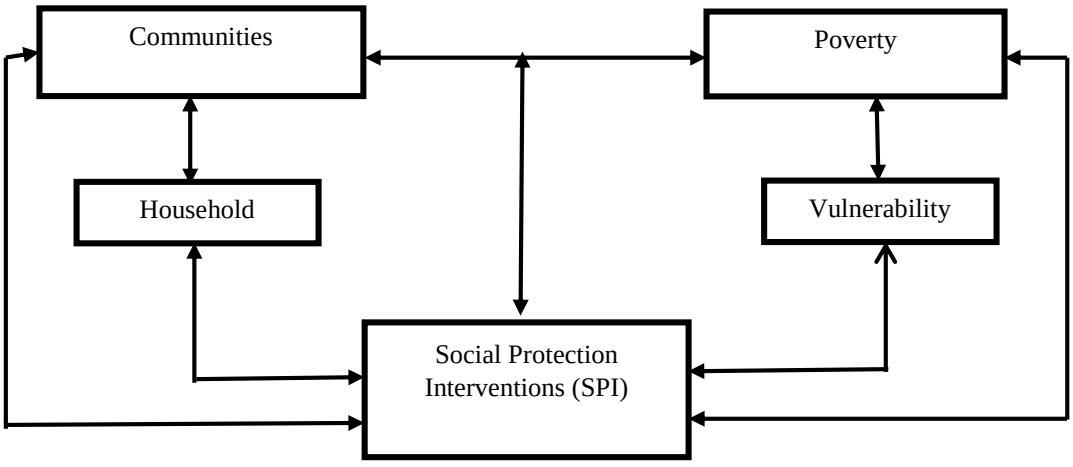
Social protection refers to publicly mandated policies and programmes that are, used by the State and Non-State Actors to address poverty and vulnerability among vulnerable poor households. Measures of social protection have been, used in social policy and social development literature as a framework that conceptualises the causes of poverty and vulnerability. However, the African Union report notes that social protection is a useful lens for researching and analysing the effects of social protection policies and programmes on poverty and vulnerability reduction (Taylor, 2008). It discusses current trends in social protection discourse and some specific examples of how social protection could promote social inclusion by addressing some of the main causes of poverty and vulnerability.

The social exclusion lens makes it possible to unpack the complex relationship between households coping mechanisms between the beneficiaries and non-beneficiaries, and wellbeing by focusing on the role of cash transfers in enabling the recipient's access to essential services. This lens, therefore, highlights the role of social and institutional factors that translate into household participation in managing household poverty and vulnerability. This assertion responds to the study assumption that assumes social protection measures can promote social inclusion by addressing poverty and vulnerability. The reasons for these differences may include differing traditions, cultures and organisational philosophies as well as structures. Perhaps, the most significant difference which is relevant for this study is that between African academics, researchers and some institutions who view social protection as a broader framework (Taylor, 2008; Adesina, 2010). The social and economic framework is sensitive to the pervasive levels of poverty across Africa and includes community-based approaches as opposed to a narrower definition that focuses only on risk and vulnerability (Taylor, 2013; Adesina, 2010).

These authors further argue that the all-inclusive approach to social protection is necessary to manage structural poverty and outcomes of institutional failures (Taylor et al., 2011). Others say that a limited and targeted approach is more appropriate as the state does not have resources but can only provide for the poorest (Taylor, 2008; Adesina, 2010). There is a growing convergence which seems to be emerging due to the set of frequent occurrences of crises that have led to deepening levels of poverty among African countries (Taylor et al., 2011). The perspectives introduced and discussed here provide an analytical framework to make sense of the role played by actors in designing measures for reducing household vulnerability to poverty, and how to mitigate household vulnerability to community poverty. While social protection, poverty, and vulnerabilities perspectives remain central to this thesis, concepts on household poverty and community poverty are, integrated into the analytical framework. See Figure 2.5.

The analytical framework suggested here establishes the conceptual and operational linkages between social protection, household poverty and household vulnerability to community poverty. The analytical framework provides examples of how social protection measures can contribute to social inclusion, by pulling together different social policy strands of literature and presenting an approach for structuring the analysis and evaluation of social protection measures in reducing poverty and vulnerability, rather than prescribing 'road map' steps for the implementation of measures related to social protection.

Figure 2. 5: The Analytical Framework of Social Protection



Source: Own Conceptualisation

The casual relationship of the analytical framework in Figure 2.4 shows that there is a direct link between social protection influence in poverty and vulnerability mitigation at household and community level. The analytical framework further reveals the potential role social protection interventions can play in reducing household and community vulnerabilities to poverty through promotive and transformative measures as existing coping strategies (Devereux & Sabates-Wheeler 2004; Taylor, 2008). Social protection actors, including State, Multilateral, and Bilateral Agencies, as well as Community, District, National and International Non-State Actors, can use this kind of approach to engaging all households in managing their vulnerabilities to community poverty. The connection lies in the understanding of issues that determine why social protection is appropriate for reducing poverty and vulnerability.

Principally, the framework addresses the gaps identified by Lumsdaine, and Vermeer, (2015) on how households in communities can if not augmented by social protection interventions, slide back to high levels of vulnerability to poverty (Lumsdaine and Vermeer, 2015). In the above, social protection interventions are, conceptualised to include social and economic support received through transfers as well as In-kind transfers in the form of health and education services. The framework thus builds understanding that households in communities that lack such social protection services tend to be more vulnerable to poverty.

As such, different strategies are necessary for effective reduction of poverty and vulnerability among households living in various communities (McCord, 2009). The assumption in the framework above is that comprehensive implementation of social protection measures is, intrinsically and directly influenced by the demand for effective social protection policies that address household vulnerability to community poverty. Effectiveness is measured by the ability of social protection actors to use their interventions to help the poor and vulnerable households to manage poverty. In addition, the effective implementation of social protection policies and programmes in the post-conflict setting is, measured by how actors interact and engage with conflict-affected households in productive economic activities.

The study also assumes that the delivery of the existing measures of social protection are inadequate and cannot address multiple household deprivations due to poor and weak governance structures. To have effective delivery of social protection measures to the poor and vulnerable households recovering from conflict situations, there is need to have a harmonised governance structures that different actors have in terms of what they do, the types of social

protection they provide, the scope of their activities, and their target populations for eventual continued service delivery.

The designed analytical framework establishes the role of social protection programmes in poverty and vulnerability reduction and assess how households use their cash transfers to improve their social and economic status in Katakwi District of Uganda.

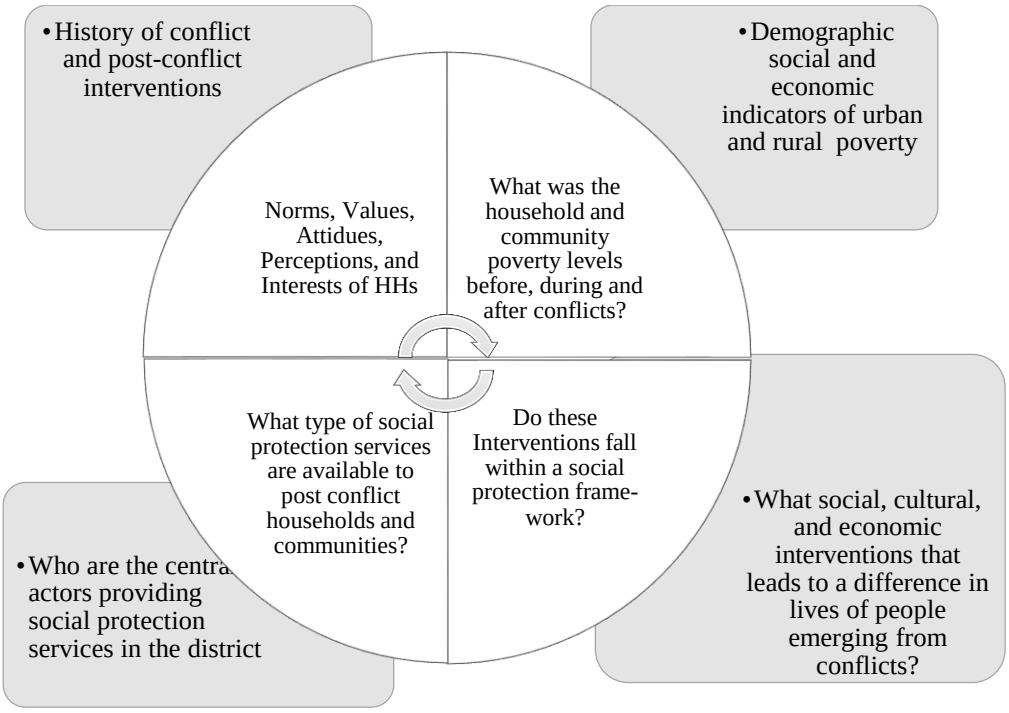
2.8.3 Conceptual Framework of Social Protection

The conceptual framework, as presented in Figure 2.6, underscores the need to adopt social protection measures to support households to transit out of poverty and vulnerability (ILO, 2011a). The conceptual framework focuses on the historical factors that cause conflict and poverty, measures of preventing and managing inter-intra conflicts and strategies for post-conflict recovery. It situates social protection relevance in responding to demographic dimensions as well as economic pointers of poverty. It examines social protection intervention links in addressing the causes of household and community vulnerabilities to poverty before, during and after conflict. Central to this is the role of social protection actors in providing psychosocial support to households, managing household attitude, perceptions, norms, cultures, and perceptions to stir reconciliation and to promote collective coping strategies. The conceptual and theoretical framework is also used to analyse what social, cultural, and economic interventions lead to a difference in the lives of households in conflicts. Therefore, this conceptual framework attempts to answer research question four: Could interventions that poor households use to reduce poverty be part of their social protection?

The role played by cultural and traditional institutions in making a positive difference among the populations living and emerging from shocks of conflicts is crucial in preventing and managing conflicts. This conceptual framework and theoretical framework examines household participation and engagement in recovery activities. Studying the central actors providing social protection services in the district is crucial in understanding their roles and contributions towards managing poverty and preventing conflicts. Establishing types of social protection services provided to households by actors of social protection is essential in identifying and understanding the causes of household poverty as well as the coping strategies of the households. History and the root causes of the conflicts and the post-conflict interventions are, analysed according to household perceptions, norms, and values in, regard to the coping strategies. The need to determine household poverty and vulnerability status

before, during and after the conflict is critical for the delivery of social protection interventions. Therefore, establishing the existing types of informal and formal social protection and whether these interventions protect and help households to move out of poverty is vital (Taylor, 2008:32). Based on a review of the literature and study aims, a conceptual-framework is nonetheless, drawn from the literature. **See Figure 2.6**.

Figure 2. 6: The Conceptual Study Framework



Source: Adapted from Taylor (2008)

This conceptual framework requires the inclusion of social protection strategies that respond to traditional culture, norms, values, attitudes, and perceptions of social protection services recipients receive from providers. It also entails the one to identify state social protection actors and non-state social protection actors and, how they address household poverty and community poverty. Therefore, the social protection framework represents a progressive shift concerning the role of social protection actor's play in embracing multidimensional understanding, designing precise mechanisms for addressing household and community vulnerability to poverty. There is a need to appreciate the cultural beliefs, values, attitudes, and perceptions of recipients targeted. This will help communities to determine the type of social protection intervention they prefer before the delivery of SPMs as articulated in the Theory of Social Change. However, recipients understanding behaviours, as well as attitudes, are essential if social protection measures are to succeed in helping the poor transit out of poverty, protect and

prevent a household from reverting into cycles of poverty and conflict. The Structural Theory of Poverty postulates the need to strengthen government institutions at all levels will result in effective implementation of SPIs that are required to promote informal and formal traditional strategies for reducing poverty. The Marxist Theory of Poverty highlights that poverty arises as, a result of several structural consequences that poor and vulnerable households experience over time. This conceptual study framework places the role of social protection programmes at the forefront to positively, change the mind-sets of individuals who receive cash and in-kind transfers to better integrate their benefits to reducing household poverty and community poverty.

Scholars need to provide policy and decision-makers with empirical evidence for purposes of designing SP interventions in, an effort to extend and bring closer SPS to the poor and vulnerable households. The analysed data contains household demographic, social, cultural and economic indicators for both rural and urban, and historical contexts about poverty status and causes of conflicts when designing social protection interventions before the approval of those interventions. Selected principles that social protection actors should adopt during the designing and implementation process should examine what type of social protection services are available to households in post-conflict communities. On the other hand, the principles should consider historical perspectives about conflict, social, cultural norms, values, community beliefs, and behaviours. They should take account of previous social and economic strategies used by inhabitants to address poverty and vulnerability.

Furthermore, there is a need to establish the socio-economic livelihood for households in post-conflict communities during the process of programme design and the need to ascertain whether those socio-economic coping strategies fall within the social protection scope. Other principles considered include poor and vulnerable households' accessibility to SPS, managing household attitude, norms, and cultures. The state preparedness and receptiveness to protect the poor and to empower them to prevent conflicts through is crucial.

Thus, there should be strategies in place for promoting transformation in the contexts of targeting recipient's capabilities to execute social protection interventions within the existing structures that shape their capacity to cope, build and empower (Rema and Karlan, 2016). A considerable number of theoretical presentations and descriptions of literature identify the state as the sole primary provider of SPIs; however, this is not the case in sub-Sahara Africa (SSA). Quite often, most countries in SSA seek help from non-state actors, mainly from multilateral

and bilateral agencies, regional and international non-state actors (Fiszbein, Kanbur, and Yemtsov, 2013). In some instances, governments also seek support from powerful individuals so that they can be able to provide and meet the needs of the population. Although the State retains the role of offering procedures and rules on how social protection interventions can be, administered, NSA; on the other hand, provides specific guidance on how, SP should be, governed and administered to households.

Formal institutions are, supported with sharp and transparent governance structures, legal rules and procedures. The informal institutions, in most cases those found in rural areas have no clear governance structures, and they exist without a legal identity, rules or procedures but with bylaws. The analytical and conceptual framework presentation on social protection measures reveals that formal and informal social protection actors have clear goals that they pursue in reducing household vulnerability to poverty, denial, and promotion of decent standards of fair and equitable working conditions (Mahon et al., 2012). Non-state actors have executed several social protection interventions through their structure despite being limited in scope and coverage. The analytical framework in **Figure 2.5** and the conceptual framework presented in **Figure 2.6** is linked to the literature reviewed on social protection, poverty and vulnerability.

2.9 Conclusions

This chapter emphasises the importance of providing clarification and understanding of the critical concepts such as governance, social protection, poverty, vulnerability, and a theoretical, analytical and conceptual framework that underpins this study. Despite the existence of independent and dependent usage of social protection concepts, there is a significant linkage, which exists amidst the diverse concepts, which all links to the analytical and conceptual frameworks used in this study. However, the conventional definition of social protection, poverty and vulnerability is relevance when developing measures of social protection that help the poor to overcome poverty and vulnerability. The concerns regarding the household's cultural behaviours, norms, attitude, and perceptions are necessary during the design of social protection responses to household socio-economic risks and shocks (WB, 2012). However, different scholars on social protection, poverty and vulnerability agree that social protection measures are necessary for reducing poverty and vulnerability (Holzmann Robert & Jørgensen Steen, 2000).

In this section, we broadly outline critical research gaps and opportunities at a general level. To understand the landscape of social protection research across the African continent, the study focus on the functional areas and approaches. Several new issues have been, raised by the study. There is, however, the question of whether or not opportunities exist for developing integrated development objectives and procedures in which economic and social policy can play a mutual and complementary role. Similarly, because of the complexity of social protection, a gap exists in understanding whether or not alternative mechanisms can be, identified for ensuring coordinated and harmonised oversight and strategic direction for social protection in the respective African countries. Also, given the significant number of people who are currently outside of the "formal" social protection systems, another area for research could focus on opportunities for integrating informal and community-based mechanisms with the formal ones. At a practical level, it is also vital to ascertain what functions on the social protection plane would best be carried out at the different levels of political administration (regional, sub-regional, national, province).

From the literature, this study established the relevance of effective governance in the application, conceptualisation and understanding of social protection concepts. The conceptual and analytical frameworks used provided the researcher with the necessary avenues in establishing strategies and the significance of SP programmes in addressing poverty and vulnerability. However, the existing measures of social protection literature on poverty and vulnerability were, found to have research gaps that the policy and decision-makers, including researchers in academic institutions, did not pay attention. The research gaps identified during the literature review include not enough evidence of governance structures that are operational in social protection application of policies and programmes, the missing knowledge gap between household poverty, and household vulnerability to community poverty. This study, therefore, aims to fill these gaps to gain a better understanding of state and non-state governance structures used in reducing poverty and vulnerability at the household level using social protection programmes. Chapter Two was dedicated to the conceptualisation and analysis of related works on social protection role on poverty and vulnerability reduction at the household level using Katakwi district in Ugandan, as a study area representing the post-conflict districts of Eastern and Northern Uganda.

CHAPTER THREE METHODOLOGY

Chapter 3: Introduction

Chapter three of this study provides the research approach used, the research design and methods defines the scope and limitations of the research. All research is, based on fundamental assumptions regarding the social world, what constitutes well-founded research and the appropriate methods of conducting such research. Methodology refers to a process that underpins the logical presentation of ideas studied and its design (Keetie and Laura, 2012). Research methods are specific techniques that are used by researchers in data collection and analysis (Creswell, 2014). Chapter Three offers an overview of the geographical area where the research activities were, conducted, including the population who participated in quantitative and qualitative. The study population, sampling technique, demographic characteristics and procedures are, discussed in this chapter. Information on the data collection methods (pre-testing and piloting of data collection instruments, identification and training of research assistants in data collection procedure) is also provided. The process of data sorting, cleaning, coding and authentication of quantitative and qualitative analysis is presented using Multi-Nomial Logit (MNL) model with study assumptions (Williams, 2017). The conclusion and ethical consideration is, provided at the end of the chapter with limitations.

3.1 Mixed Method Research Approach

Foundation of mixed method research (MMR) was employed in this study, as outlined in Creswell's work (2013). MMR method is, used to gather data that provided this study with a deeper understanding of the research problem (Creswell, 2014). This study, therefore, adopts the Creswell (2017) definitions of the MMR as the main research approach that researchers use in collecting, analysing data separately to answer study questions (Creswell, 2017). Collection of data in this study was, done concurrently and sequentially analysed but independently through the integration processes at different stages using Creswell approach (Creswell et al., 2005). Kroll and Neri (2009), describe MMR as a design that combines quantitative and qualitative method (Kroll & Neri 2009). The MMR is also, defined as a research strategy that has logical assumptions with well-laid methods of the research inquiry that mainly focuses on data collection and jointly mixing quantitative and qualitative findings into a single set during the analysis (Clark et al., 2008). Therefore, this research thesis shares the same views and the model provided by Creswell et al., (2005) on the collection and concurrent sequential analysis through mixing of the quantitative and qualitative data (Creswell et al., 2005). Creswell et al.,

(2005) further, suggested there are three known steps one should follow during the research period (Creswell et al., 2005).

The three steps to be followed when designing an MMR are data type to be collected, choosing and determining the aim, research objectives and questions of the study. The first step is to decide whether to use an explicit theoretical lens or classifying on procedures of data collection, analysis and integration. Step two is about determining data collection procedures and priorities. These steps solve the quantitative and qualitative hitches when data collected is simultaneous, but following the sequential approach and combination of both methods. The third step requires the researcher to determine the point of gathering quantitative and qualitative data before the analysis. Hence, stage two and three builds on the MMR, as suggested by Creswell & Garrett, (2008). These characteristics are; timing, style, and priority (Creswell & Garrett, 2008). An MMR approach was, adopted and conceptually used in this study because the researcher sought to generate descriptive statistics in the form of figures and tables on poverty as well as vulnerability reduction.

Qualitative data helps in validating the relationships established through the quantitative approach. Several approaches to mixed research methods have been suggested and used (Bentahar and Cameron, 2015). Meyer and Mittag, (2017), for instance, proposed the concurrent triangulation design, separation of data analysis, and integration of data information at the discussion stage (Meyer and Mittag, 2017). The MMR main features are its methodological pluralism that provides the researcher with a more comprehensive viewpoint than those offered in the mono-method study designs (Azorín and Cameron, 2014). Nonetheless, approaches to data gathering have limits; therefore, the use of a mixed approach cancels out some of the disadvantages of mono-method designs (Creswell, 2014). According to Creswell (2008), the mixed method design has three operational issues, including use of paradigm perspectives, data analysis procedures, and expanded visualizations and procedures.

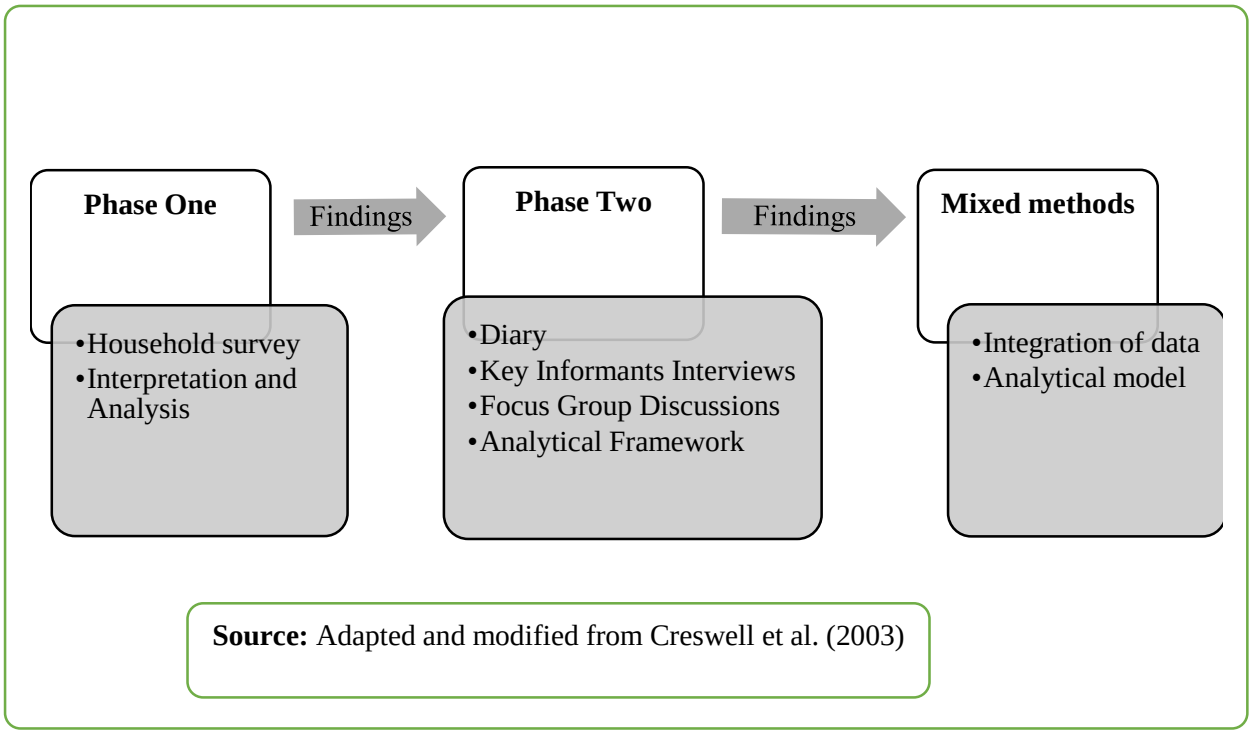
The qualitative component is, used to provide a deeper conceptual understanding of nature and strengths in the relationships between poverty and the set of independent variables comprised of economic characteristics and access to social amenities (Bentahar and Cameron, 2015). The qualitative component was, used to provide a deeper contextual understanding of how and why the present relationships exist in the social system (Creswell & Garrett, 2008). Using the

Creswell and Garrett approach of 2008, this study adds new knowledge on household coping mechanisms during, and after conflicts (Creswell & Garrett, 2008).

The MMR methodological approach offers the basis for exploiting multiple data sets to address the research problem, objectives, research questions and study assumptions. The study is, grounded on the understanding of social science research which does not, however, operate in isolation from other reviews that seeks to know the entire process of research and its results (Creswell and Garrett, 2008). The research process and expected outcomes help in moulding and shaping the policy and decision-making process based in organizations and problems these institutions consider as their central units of analysis (Creswell & Garrett, 2008). Therefore, the significance of this approach is that it endeavours to influence research direction by not only the social problems it seeks to address but also by the ethics and views of carrying out empirical investigations (Schurink, 2003). This is what motivated the researcher to use MMR as a methodological and research design of choice.

This study, therefore, places more emphases on the quantitative approach and considers it as phase one and a qualitative approach as phase two of the survey (exploratory research design). The study follows the examples given by Creswell (2003) that looks at the various existing qualitative element of research (Creswell, 2003). The sequential explanatory study design was considered as phase one of the study because the researcher wanted to collect and analyse quantitative data first and also to generate descriptive statistics that provided a more profound and contextual understanding of the study problems under investigation (Bowen, 2017). The results from phase one (quantitative) were generated and grouped into themes and analysed to aid phase two (qualitative) smooth discussions. The qualitative approach is, used to define and explain or refute statistical findings in phase one (quantitative). The mixing of the two data sets occurred after gathering and analysis of data in a two-phased manner (Driscoll, Salib and Rupert, 2007). Thus, the research design was conducted across the two study phases namely: quantitative research design was, taken in phase one of the study (sequential explanatory), and qualitative research design in phase two (sequential exploratory) as presented in **Figure 3.1**.

Figure 3. 1: The Research Design Implementation Plan



3.2 The Explanatory Sequential Design Procedure

3.2.1 Quantitative Approach Phase One

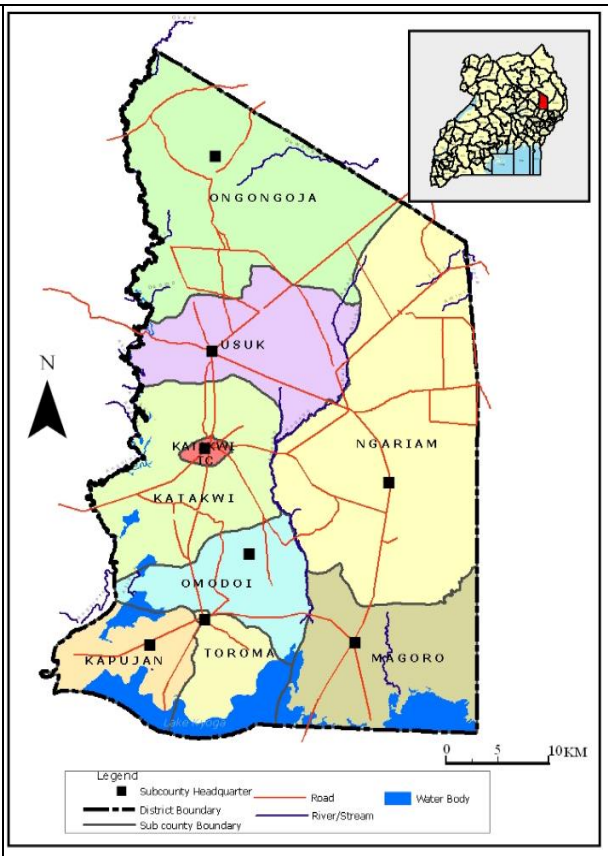
In quantitative research methods, phenomena are, studied through numerical means (Neuman, 2014). As such, this study used a quantitative research method because the researcher needed to establish and examine social protection role in poverty and vulnerability reduction. Household data was collected using close-ended questionnaires that mainly targeted child, female and older heads of households.

3.2.2 Study area

This research was, undertaken in Katakwi district, Teso sub-region, situated in Eastern Uganda. It is about 380 km distance travel by road from Kampala capital city of Uganda to Katakwi district (KDLG, 2012). The district has two administrative structures, namely Toroma county and Usuk county with 10 sub-counties, 54 parishes and 352 villages (UBOS, 2015). **Figure 3.2** shows the geographical location of the study area.

Figure 3. 2: Geographical location of the study area

Source: UBOS, 2014



Source: Katakwi population Secretariat, 2010

3.2.3 The study population

The last official Uganda National Housing and Population census (2017) revealed that Katakwi district had a total population of 166,231 with the female having the highest population of about 84,558 (50.9%) and male 81,673 (49.1%) spread across the 10 sub-counties (UBOS, 2017:20). The overall population sample size for this study was three hundred (N=300) respondents drawn from the Katakwi district total population of 165,553 (see **Table 3.1**). At the district level, two hundred (n=200) household heads respondents were selected for the quantitative survey (Phase One) of the study. The households head respondents constituted beneficiaries and non-beneficiaries of social protection in the category of; Female household heads (FHH), Child Household heads (CHH) and Older household heads (OHH). The age category and other characteristics of the household head respondents selected for quantitative phase one of the urban, semi-urban and rural study areas.

The remaining one hundred (n=100) respondents were selected for qualitative phase two of the study comprising of policy and decision-makers at the community, district, national and international levels. The policy and decision-makers were chosen from the cycle of those actively engaged in the implementation of social protection measures (SPMs). They comprised of the State Agencies, Multilateral and Bilateral International Agencies as well as the Non-State Actors (NSAs) at the community, district, national, regional and international levels. The State Agencies are defined in this study as those government institutions, Ministries, Departments, and Agencies directly involved or mandated to implement government policies and programmes that provide social services to the citizens who put them to power.

Multilateral Agencies are those internationally recognised institutions such as African Development Bank, World Bank, International Labour Organisation, International Monetary Fund and other UN agencies. Bilateral Agencies are defined in this study as those international institutions formed and owned by foreign governments such as DFID and USAID. Non-state actors are defined in this study as those national, regional and international non-governmental organisations and Civil Society Organisations. For example, The World Vision, Plan International, Save the Children, Oxfam, Caritas, Care-International, and Lutheran World Federation, among other others.

The researcher was able to use simple and stratified random sampling techniques (Maree & Pietersen, 2007:172; Strydom, 2005b:198) that helped to determine the population sample of respondents who participated in the first quantitative phase of the study (Neuman, 2014). **Table 3.1** shows the Katakwi district total population, where the overall study population sample size was drawn.

Table 3. 1: Shows the Katakwi District Population Distribution by Sub-County

County (Constituency)	Sub-County	2014 Population			Percentage	Study Population
		Male	**Female**	**Total**	**%**	**For HH res**
Toroma	Kapujan	6,979	7,489	14,468	9	20
	Magoro	9,058	9,506	18,564	11	20
	Omodoi	8,187	8,879	17,066	10	20
	Toroma	5,773	6,052	11,825	7	20
Usuk	Katakwi	17,570	19,211	36,781	22	20
	Katakwi T.C	3,343	3,604	6,947	4	20
	Ngariam	4,298	4,529	8,827	5	20
	Ongongoja	8,342	8,320	16,662	10	20
	Palam	7,048	6,177	13,225	8	20
	Usuk	10,247	10,941	21,188	13	20
Total		**80,845**	**84,708**	**165,553**	**100**	**200**

Source: Katakwi District Population Department Report 2015 and National Population and Housing Census Report of 2015, (UBOS, 2015)

Where, HH res = household heads respondents

Note: 20 household heads respondents for the quantitative study was, drawn from each sub-county of Katakwi district**.**

The household respondents included in this phase one (quantitative) study are Female household heads (FHH), Child household heads (CHH) and Older household heads (OHH). The respondents in this category comprised of single mothers, widows, orphans, child mothers, youth, and older persons selected from urban and rural areas. Child household heads are children aged 15–18, female household heads were women aged between 19-64 and old household heads were aged 65 and above**.** For the qualitative data collection, the study population comprised of 100 respondents that included key informants (KIs) respondents who are implementing social protection measures at different levels.

The key informant respondents targeted in phase two (qualitative) study are individuals selected from government ministries, district local government leaders, sub-county chiefs, non-state actors (NSAs) at the community level. Other key informants targeted were; multilateral and bilateral agencies mainly the African Development Bank staff, World Bank, International Labour Organisations, International Monetary Fund, United Nations Agencies, United Nations Children Education Fund, United Kingdome Department for International Development, and

Traditional leaders as well as clan elders. One hundred (n=100) key informants were selected to participate in the qualitative key informant interviews (KIIs). The key informants were, purposively drawn to complete Phase-Two of the study (qualitative).

3.2.4 Sample size

The study area and study units were selected by a combination of purposive and non-purposive sampling methods. Katakwi district, the study area was purposively selected because of the high poverty levels, and the protracted conflict that the people of Katakwi faced compared to any other district in Teso sub-region. Purposive sampling was very relevant because of the need to reach the specific target area of study. All the sub-counties that makeup Katakwi district was purposively considered. The overall study population sample units selected using the simple random sampling technique was three hundred respondents for both quantitative and qualitative (N=300).

Appropriate sample size computation in research is, regarded very important because there should be reliability, validity and representativeness of the population of interest during the collection and processing of data in any study such as this. Kish (1965) sampling method was, adopted in this study to derive the sample size for this study (Kish, 1965).

$Eqn.\ 1.$ $$n = \frac{Z^2_{\propto/_2} P\ (1-P)}{SE^2}$$

Here:

n = required population sample size;

$Z_{\propto/_2}$ = The standard normal-curve with the corresponding desired confidence interval level of 95% (1.96)

P = estimates of proportions of the vulnerable heads of the household's study population. The proportion sample of the vulnerable household population in this study was assumed to be at 40% (0.4);

SE = standard and or permissible error or desired level of precision in this study is 7%

$$n = \frac{1.96^2\ * 0.4 * 0.6}{0.07^2}$$

$$n = \frac{0.921984}{0.0049}$$

$$n = 188.16 \approx 188 \text{ respondents}$$

Besides, a non-response rate of 10% was assumed, which brought the final sample size (n) to 207 (188 + 18.8) respondents. With a response rate of 97%, and therefore, the sample size was 200 respondents.

The qualitative phase two of data collection, the area and study units were carefully chosen by the grouping of the purposive and non-purposive techniques of sampling. The study site, therefore, was, purposively selected because of the high poverty levels and the protracted suffering that the population faced. The purposive sampling technique is, however, the type of the non-probability technique sampling that has been, assumed to be more accurate and efficient when investigating certain cultural spheres of the study population who have experience and knowledgeable of the subject under inquiry (Tongco, 2007). Considering the relevance of purposive sampling, all the 10 sub-counties in the Katakwi district were, chosen for this study (**see Table 3.1**).

3.2.5 Data collection process

The researcher used two data gathering techniques to collect responses from selected household heads to answer study questions 1, 2 as well as 3 of this study.

3.3 Exploratory Sequential Design Procedure

3.3.1 Qualitative Approach - Phase Two

The Sequential Exploratory study design was, undertaken with the main key informants (Tesliuc and Lindert 2002). While the explanatory design has advantages in providing information that can be defined and easily generalised, an ethnographic approach in the exploratory design was used to yield further insights by testing the findings from the study first phase of data analysis. The qualitative component of this study further provided the researcher with a more profound sense in understanding social protection role on poverty reduction. This was, done through delving into real stories and household's choices and coping strategies after conflicts to enrich the study findings (Creswell and Plano-Clark, 2012).

The qualitative approach in MMR provided the possibility of exploring the association between variables under social protection programmes and poverty reduction strategies in post-conflict settings. The design was, used to generate deep insights about community welfare and vulnerability to poverty. Access to data on social amenities like schools, health facilities, markets, and social protection programmes, was interrogated during the FGDs. Key informant interviews provided data on SPS delivery process. Therefore, key informant respondents became the primary source of information and their more active participation in the study, influenced proper capture and storage of data. The key informant respondents were also able to self-reflect on their experiences based on the daily activities concerning the study research questions (McKenna and Main, 2013; Elliot, 1997).

The data provided was subjective and specific to the information that the respondents used to share their unique experiences in managing household poverty and vulnerability as well as their coping strategies. They also provided information on how social protection inclusion has led to improved social protection access. Further, the integration of providers of social protection services helped to initiate discussions that generated new ideas during the in-depth follow-up interviews. diary note-making was useful in this study because it limits some of the challenges associated with social science research like bias, and poor memory to recall. Notwithstanding the concern over the reliability and validity of the accounts, respondents were prepared by the researcher to be able to complete research questions and other records competently.

3.3.2 Qualitative sampling design

According to Keetie and Laura (2012), purposive sampling was guided by the various aspect with more emphasis placed on sub-counties affected by the conflict and cattle rustling activities (Keetie and Laura, 2012). Thus, the purposive sampling method was used for data collection in phase two a non-probability sample which was, based on the selected population characteristics and the overall objective of the study. In a nutshell, purposive sampling was, found to be beneficial in circumstances where there seemed to be a need to reach the selected population quickly.

3.3.3 Heterogeneous and homogeneous purposive sampling

The heterogeneous and homogenous is technique was, used to collect selected but diverse range of cases that were found to be relevant to the study objectives and research questions. The

reason for adopting this kind of sample design was to generate and provide detailed insight into the study variables under investigation from both beneficiaries and non-beneficiaries of social protection programmes. The intended to construct a robust view of responses about the impact of social protection measures (SPMs on poverty reduction and how do households use cash transfers to improve their social and economic status in a post-conflict setting, like the case of Katakwi district. Heterogeneous and homogeneous sampling was, chosen to support the study process by collecting household data regarding their perceptions, needs, attitude, behaviour, experiences and benefits derived from being a beneficiary of social protection support across all the 10 sub-counties. **See Figure 2.5** and **Figure 2.6**.

3.3.4 Expert purposive-sampling technique

Purposive sampling is the form of sampling used by researchers as it requires one to collect particular information (Creswell, 2013). This technique was, however, adopted because the researcher wanted to be conversant with the relevant themes before starting data collection and analysis. The early-stage expert-based research helped to answer research questions four and five. The researcher considered the sub-counties and neighbouring districts of Katakwi that had the highest number of internally displaced persons during the conflict. The study also took into account the reintegration of formerly displaced people and their access to social protection services mainly health, and education. Purposive sampling helped the researcher to determine the number of respondents for the qualitative study. The number of respondents used in phase two of the study was 60 key informants selected.

3.4 Data collection tools

Quantitative and qualitative study methodologies, therefore, involved different data collection methods and analysis techniques (Schurink, 2003). Close – ended survey tools were, develop to collect quantitative household data set. The structured research questionnaires were, administered to the selected beneficiaries and non-beneficiaries' household head respondents at various levels. The use of a cross-sectional survey method implies that the researcher was able to collect data at one point in time. The tools used were of different formats but targeted mainly the recipients and non-recipients of social protection programmes in the study area. Consequently, this enabled the researcher to ask respondents in phase one (quantitative) of the study, one option that applies to their situation with, dichotomous answers such as "Yes" and "No". For phase two (qualitative), respondents were, drawn from the State and NSAs who have

implementation experience of SPMs. Before the commencement of interviews, background data (socio-demographic information, work experience, education level, and place of work) was, recorded. In some instances, several meetings were, carried out with the same respondents where insightful approaches were revealed (Creswell, 2013).

Key informant-interview (KII) and focus group discussion (FGDs) were, conducted using KII and FGD guide in the collection of qualitative data. This study guide consisted of the open-ended questionnaires, which further allowed deeper probing of participants' responses. The use of an open-ended questionnaire about household poverty, their vulnerability, access to social protection cash transfers, incomes-expenditures and conflicts was, administered to each selected KII and FGD respondent[s]. After collecting factual data, subsequent investigations and in-depth analysis of issues were applied to establish the strategies household heads used for poverty and vulnerability reduction. Questions about the types of the social protection services and interventions provided to households by social protection actors, the governance and interaction structures, alternative sources of social protection support programmes and strategies used by actors in reducing poverty and vulnerability were, obtained using a KII and FGDs interview guide with selected respondents (McKenna and Main, 2013).

The two approaches helped the researcher to obtain historical background context in which social protection programmes are, delivered. This approach helped the research to collect data regarding the type of social protection services provided; targeting criteria, governance structures, and programme coverage. The KII was conducted with individual participants for the qualitative approach using semi-structured questionnaires. The key informants were persons that possessed experience in implementing social protection cash transfer programmes. Quality data control was ensured by providing proper training to the research assistants. This enhanced the consistency and validity of the study. Finally, the focus group discussions (FGDs) approach was, used in gathering data from different participants during each discussion group sessions. Two FGDs were, held in each sub-county, giving a total of 18 FGDs. On average, there were eight participants with an equal number of males and females in each focus group discussion. Table 3. 2 shows the number of FGD held and the number of participants in each FGD. Note that, Katakwi district being in the urban area was not included in the FGD. Notably, two FGDs were held in each rural sub-county and on average, there were eight participants with a fairly representative number of males and females in each FGD.

Table 3. 2: Sample size for focus group discussions

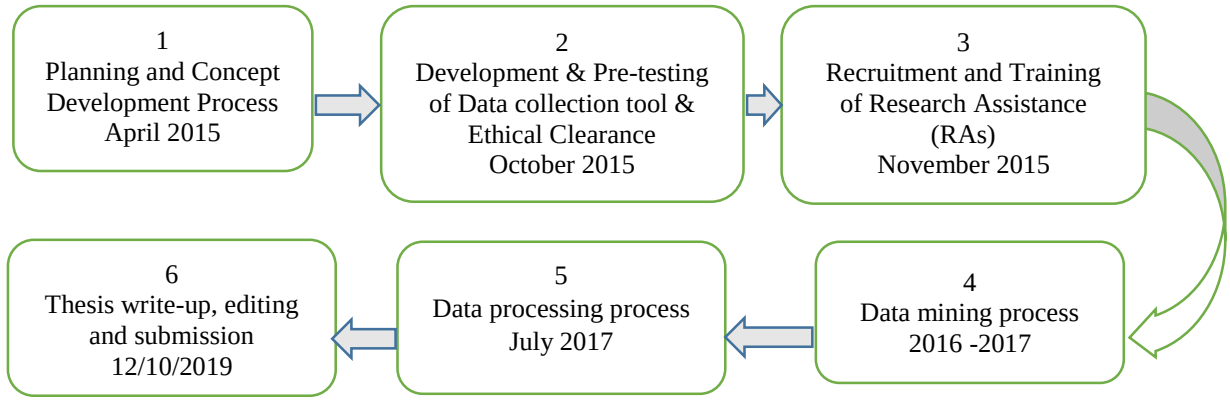
Sub-county	Number of FGDs	FGD Participants		Total participants
		Female	Male	
Kapujan	2	3	5	8
Magoro	2	4	4	8
Omodoi	2	5	4	9
Toroma	2	3	4	7
Katakwi*	2	5	4	9
Ngariam	2	4	3	7
Ongongoja	2	5	3	8
Palaam	2	5	3	8
Usuk	2	4	4	8
Total	**18**	**38**	**34**	72

Source: Own computation using field data
NOTE: Katakwi Town Council was not included in the FGD because the researcher wanted real voices from the rural community respondents about their plight.

3.4.1 Recruitment and Training of Research Assistants

Twenty (20) Research assistants (RAs) with bachelor's degree holders were locally recruited, trained and deployed. The trained RAs administered the household survey tools in local vernacular (Ateso) to household respondents who did not understand the English language and those who knew the English language were, guided to complete the given questionnaire. Each completed questionnaire was checked by the principal investigator. Any anomalies and inconsistencies identified during and after administration of household survey tools were, fixed following the questionnaire serial number. The survey tools were completed by household heads who responded on the major questions regarding their coping strategies, access to education and healthcare services. The use of their incomes received from the cash transfers, which were recorded for the last twelve-month period preceding the survey to smoothen their consumption level.

Figure 3. 3: Recruitment and data collection process



Source: Own conceptualisation

At data collection stage, a sequential approach was adopted which also predicates independent processing of quantitative and qualitative data analysis before later integration of data information to provide a strong understanding of the relationship between social protection transfers and poverty and vulnerability. Qualitative data was collected through focus group discussions that were held at the village level, whereas quantitative data was collected through direct personal interviews (at the household level) using a structured questionnaire. All discussions and questioning of respondents were done in the local dialect and English. This study considers the household as the primary unit of measurement and the basic unit of analysis for the qualitative approach in the mixed method research design. A household is a person or group of persons, related or unrelated, who for at least 6 of the last 12 months normally cooked, ate, and lived together in the same dwelling (Shreiner, 2015).

3.4.2 Interviews and semi-structured interview

The use of open-ended questionnaire about household poverty, their vulnerability, access to SPCT, incomes-expenditures and conflicts was, posed to each purposively selected respondent in the study sample. After collecting the factual data, the subsequent investigation step was to establish the strategies used in reducing poverty and vulnerability. Questions about the sources of household income and expenditure, type of programmes and approaches used in reducing poverty and vulnerability were, obtained using carefully designed KII guide and FGD with

selected respondents. The KII guided was, administered to SPA including SSPA and NSAs, and FGD tools were, administered to community leaders including religious, cultural, opinion and community leaders. The two approaches helped the researcher to obtain historical background and the context in, which SP programmes are delivered and what procedures is followed or used. This method of interviews produced basic facts about the SPS, targeting, and coverage of the programme.

3.4.3 Data analysis process

Quantitative and Qualitative data underwent careful entry and cross-checking, cleaning, and analysis. Econometrics Eviews 10, SPSS version 22, and Excel spreadsheet were used to analyse quantitative data and to generate descriptive statistics in the form of frequencies, figures and tables in chapter four, five and six. The descriptive study statistics are used in this study to describe the main features of the study population. Inferential statistics in this study are, used to make conclusions regarding the population characteristics, which was, drawn from the original population sample size of N=300. Therefore, it allowed the researcher to make predictions and explanations for generating study assumptions using the household dataset collected in phase one (quantitative). During analysis, the researcher was also, able to situate the case within its context and themes related to the study findings of phase one helped in answering the study objectives, and questions, which generated together key areas of discussions in chapter four, five and six and specific conclusions and recommendations in chapter seven.

3.5 Analytical framework under Sequential Design

The mixed methods research design refers to the sequential approach that first entails examining the relationship between the dependent and independent variables. In this case, the sequential approach involved the use of quantitative and qualitative research methods to generate information that gives a proper understanding of the research problem (Creswell, 2013). This section, therefore, attempts to explain how the two approaches in mixed methods were operationalised in the study by exploring and explaining the relationship between measures of social protection (MSP), poverty and vulnerability, socio-economic variables and the influence of social protection measures in reducing poverty and vulnerability.

3.5.1 Quantitative approach (Phase One)

The quantitative method is used in this study to determine how social protection cash transfer associated with social protection programmes influence the poverty status of household levels in Katakwi. Poverty, in this case, is quantitatively measured based on the poverty line (WB, 2005). In this case, the poverty line is a measure of the general household wellbeing based on his/her consumption expenditure or income expenditure (WB, 2016). Hence, scholars calculate poverty differently but, all focus on specific household characteristics that are, based on household consumption levels of given bundles of goods and services regarded as adequate for empowering as well as enabling the households to meet their basic consumption needs. The poverty line may be subjective since respondents state their essential minimum to survive in a day (WB, 2005). However, poverty lines are, often set after deriving what is required for a person to survive in a particular area based on the prevailing market prices. To address the existing poverty, there may be a need of least increasing household incomes which is vital for the individual household head to fulfil his/her needs like food, clothing, medical cost and other essentials. Thus, there is need when one is defining poverty line to include household real consumption level by assessing the available household incomes (cash transfers) required to support them (households) to transit out of poverty and vulnerability.

Although different approaches and definitions of poverty line exit, the World Bank uses more than one approach to identifying and defining the poverty line (WB, 2005). World Bank, for instance, uses “food poverty line” approach that is, based on estimating who is poor now and future culprit likely to be poor or extremely becoming poor (WB, 2005). The least amount of money (cash transfer) that households require to purchase a shopping basket of goods and services using their cash transfer benefits (WB, 2005). The levels of poverty lines vary according to the geographical setting, especially between rural and urban. For example, the cost of essential non-food items is, estimated to be lower in rural areas compared to the crucial non-food elements of the urban population, which is relatively higher (WB, 2005). Another approach based on qualitative measures to categorize household poverty level using poverty probability index scorecard. According to Shreiner (2017), the scorecard ought to be used to measure the share of poverty and to gage who is lower the given poverty of $1.25 per day (Schreiner, 2017).

Nonetheless, the scorecard approach should also provide a consumption-based objective tool with known and acceptable accuracy (Schreiner, 2017). The construction of scorecard involved

four poverty indicators, including household composition (number of household members), access to health and education services (literacy rates), housing type (roof and walls), access and ownership of assets (land). The World Bank thus defines the poverty line for household z as: z_i, with the minimum spending levels on household consumption items (income and other measures) desired for achieving at least the smallest utility of u_z, with prices (p), demographics and characteristics of the household population (x) is presented in equation one below.

Eq. 1 $$z_i = e\ (p, x \ldots . u_z)$$

Practically, one cannot measure the utility of u_z, of e *(.)* because of variances and this, therefore, requires a more pragmatic approach. However, two conventional methods have been, used in computing poverty line for each household which can be adjustable from household to household considering differences in prices that household pay based on demographic composition. Households in a rural setting, for instance, may face lower housing and food costs compared to households in an urban area who are relatively facing higher housing and food prices. Analysing z_i, the finding may be lower compared to their counterpart who may have larger household family members living in urban towns or trading centres where, for example, housing cost are expensive as well as food prices. Therefore, it gives the different levels of poverty lines for each household living in different areas (rural and urban).

The per capita poverty line for an individual household is measured using the second poverty line approach that is more and widely recognised as per capita income and or expenditure given as y_i, that measures the differences in food prices and household consumption characteristics. To adjust household per capita y_i requires comparing rural and urban poverty line that determines if households are below the poverty line. The study, therefore, adopts the income-based measure of approach to determine the household poverty line level.

Absolute poverty lines is referred to as the cost a given household head spends in purchasing a various basket of goods and services for his/her entire family, including relatives (the "commodity-based poverty line," denote by *z*). A utility function or the household standard of living is assumed to be a function of household income (*y*), as given in Equation Two below.

Eq. 2 $$u = f(y)$$

In addition, for any given additional level to the household utility function or the household head standard of living, some of the income levels of the household head are needed to achieve given standard living conditions for the entire family. If $u_z$is the utility/standard of living that is just sufficient enough to avoid being poor, then the commodity-based household utility of the standard of living, u_z, will mainly depend on the household income (see Equation 3). These imply that for any given level of the household standard of living conditions to improve, their income level required by the household head to achieve it or to improve the general household living conditions.

Eq.3 $y = f^{-1}(u)$

If u_z is the utility that is just sufficient enough for a household to avoid being poor, then a household poverty line is absolute of welfare which gives u_z, corresponding absolute commodity-based poverty line being measured (see Equation 4) below.

Eq. 4 $z = f^{-1}(u_z)$

Therefore, in establishing and examining the SP role on poverty reduction, the study benefited from the World Bank approach (Ferreira et al., 2015). This was because data collection was, carried out between the month March 2015 and November 2016 under which, the threshold of US$1.25 poverty line was adopted and used rather than the current US$1.9.

The approach adopted and the attendant regression results helped to illustrate the predictable coefficient of explanatory variables that differ significantly across the four measures of the poverty line, signifying that using different methods has diverse policy implications. The study focused on the households affected by human-made and natural calamities such as civil wars and conflicts, and climate change. Households face the effects of death, loss of property and long spells of droughts, floods, food crises and income insecurities, limited access to SPSs like education and health shocks. This category of households is more likely to fall back into poverty or become poor and vulnerable in the near future.

The poor and vulnerable heads of households whose incomes decrease lower than the known set of the poverty margin are, referred to be vulnerable to poverty (Haughton and Khandker, 2009). Having set the poverty line based on the World Bank value and what was used by the government of Uganda before the adoption of the current US$ 1.9 threshold on households whose income fell below the US$ 1.25 were regarded as poor. Therefore, households into three

levels of poverty: absolute poor, vulnerable/ relatively poor, and relatively not poor. Households that had an income of below US$ 1.25 were, considered absolute poor while those that had twice US$ 1.25 were, considered not poor and households with between US$ 1.25 and US$ 2.5 were considered relatively poor.

In this case, all household respondents in the study sample were selected from urban and rural areas within the Katakwi district. A uniform poverty line was, used irrespective of residence. As the household head age increased, he/ she is more prospective to suffer from social as well as economic risks and shocks compared to a younger household head. This confirms the studies theoretical expectations that between household head ages and; younger household heads access to SP interventions like cash transfers (income received) is higher than, the household with the advanced age of 65 years and above. This category of the household head is, expected to be relatively poor and vulnerable to poverty.

Given characteristics in the outcome variables, a Multi-Nomial Logit (MNL) model in this study, is used to estimate the factors that may influence differently household vulnerability to poverty in the Katakwi district. The MNL is a discrete choice model that falls in the class of non-linear probability models, and the dependent variable has more than two outcomes (Meyer and Mittag, 2017; Hensher et al., 2005). Choice probability of each of the alternative is a function of the likelihood of being in a defined poverty line category (Greene, 2003; Wooldrige, 2002). Therefore, the general expression of each of the probability of a given household i falling in category j (household poverty), (where); $j = 1, 2, 3$) from a set of $j = 3$ categories is presented below.

Eq.5 $$Pr_i(h = j|x_i)\frac{\exp(V_i)}{\sum_{j=1}^{J}\exp(V_j)}$$

Where: h is underlying household poverty level observed as j category and j is dependent on specific explanatory variables. Pr_i is the probability, that ahead of the household falls in category j of the poverty level and V_i is the systematic function of the category j dependent on the given character set of the household x. The set of the selected household characteristics include household family size, age, sex, education, and marital status and the family member receiving cash social transfers.

The set of selected explanatory variables derives basis from the literature of other proponents and the social context of the study area. Household size, age, and the road-distance covered are

the factors assumed to exhibit a positive relationship with higher poverty level, whereas, the education level of household head, male-headed households, marital status, and access to social protection services were, assumed to have a negative link with the poverty levels. The study also used the district health department (DHD) dataset report (2016) that was, obtained from the district planning unit (DPU).

The study further estimated the household health spending-consumption allocation using the MNL model. The main explanatory study variable was household access to cash transfers as the welfare measure of the household consumption per capita level, and the dependent variable was the household spending on health and education is some circumstances. The variables were both continuous variables, which were, specified in their MNL regression model form. Like in the health status-consumption level, the allocation and the analysis effort is principally on the relationship of two variables (health and education access).

3.5.2 Data Quality - Reliability and Validity

Reliability and validity in quantitative research of instruments are critical components for eliminating errors that might occur during the analysis or the measurement of the problem. Reliability is the accuracy and precision capacity procedure (Schurink, 2003). Test-retest reliability of the survey instrument was, obtained through piloting and testing of the study data collection tools. In this case, test-retest reliability was, done to show if the same study results in phase one (quantitative and phase two (qualitative) would be, obtained with repeated administration of the same data collection instruments from the same study participants. The corresponding actual findings were then, compared and correlated to the initial pilot test study findings using expressed “Pearson r coefficient” reliability instruments. The results, from this test, enabled the researcher to assess how well various social protection interventions and other measures reflect on the attribute and household coping mechanisms. Validity is, defined as the degree in which accurately reflect and assesses the specific concept and constructs of the study (Seawright, 2005). Thus validity shows the extent to which the research data collection questionnaire is used to scores representative of all possible answers on respondent’s coping strategy.

3.6 Ethical considerations

In this study, the researcher was cautious and observed ethical standards to safeguard the interest of informants (Creswell, 2013). From the inception of the survey, explanations were, provided to respondents about how the collected information would be protected. Other issues that were central to this study were informed consent, voluntary participation, confidentiality, reliability, validity and protocol interviews that require special procedures to be, followed when dealing with particular age category (Creswell, 2013). Access and entry to the study site were, also considered because the district is emerging from war and conflicts.

3.6.1 Ethical Research Approval

Ethical research approval from the University of Cape, Faculty of Humanities, and Department of Social Development was, obtained as well as research clearance from the National Council of Science and Technology in Uganda.

3.6.2 Access to the study site and study population

Access to data and study site permission was, obtained from the two central government ministries. The Ministry of Gender and Labour (MGLSD) is responsible for the delivery of SP programmes, and the Finance Ministry (MFPED) is accountable for cash transfers. At the district level, permission and access to the study site were obtains from the Katakwi District Local Government (KDLG). Permission was also, obtained from the non-state social protection actors whose governance structures ranged from the national level to the district, sub-county, parish and village levels.

All cited Ministries have structures and technical staff who are, heads of departments at national, district and community level providing and supervising the implementing measures of social protection programmes (SPPs). There is a district social protection officer at each sub-county who works closely with the sub-county chief, community development office, and sub-county social protection committee. This committee consists of the chairperson, vice-chairpersons and committee members whose primary responsibility is to map, plan and identify community needs and potential beneficiaries of social protection services. Access to the study site, information and key respondents was mostly dependent upon the mentioned structures. The heads of departments were the starting point of entry into the field of study, access to research respondents, key informants and focus group discussion participants.

3.6.3 Informed Consent

Informed consent was obtained through verbal consent before interviews commenced and where respondents indicated their willingness to participate. The informed consent focused on the purpose of the study, selection criteria, voluntary participation, benefits, possible risks or dangers resulting from the study participation, length of interview or discussion, data protection and confidentiality, among other issues. Respondents decisions were, based on satisfactory facts concerning the nature and purpose of this study.

Additionally, respondents were, informed that their participation in the study and during interviews was voluntary and that they were free at any time to withdraw from the interview session. They were, also informed that they are free not to answer any question. In the event, that one or a group of respondents had issues that could adversely affect the interview, the researcher provided an alternative arrangement, such as rescheduling of the meeting to an appropriate date and time. Respondents were also informed about the study selection criteria, which varied according to the data collection technique. Furthermore, respondents were, told that the researchers lack any prior knowledge about them; therefore, they should feel free to participate in their individual's capacity representing their community area.

3.6.4 Confidentiality

The researcher ensured the anonymity of the respondents and their confidentiality of the information supplied was kept and protected. These means that the identity of the participants, including their names, addresses, tribes, religion, race or any other details, were not revealed. Codes were, used in this study to refer to individual interview questionnaires. Direct permission was, required from all the respondents' contribution was used as verbatim or where it was likely that their contribution would add value to the qualitative study. Maximum respect and the right to privacy were adhered to by the research team. All participants selected were met at neutral venues of their choice, and they were, informed in advance that they had the right to participate and data provided would be preserved as confidential and used only for purposes of this study. Additionally, the collected data and data analysis were, carried out in an aggregate form, and no respondent identifiers would appear in the report.

3.6.5 Data Dissemination

The study findings and information gathered during this research process is, anticipated to disseminated in several ways, including dissertation publications with various recognised journals, conference and workshop presentations, among other avenues. The researcher did not offer any incorrect information to solicit respondents participated in the study. The following key issues were, taken into considerations; the use of simple language and a sample size of the population selected to participate in the research. The objectivity during data collection, transcription, analysis, and report writing process was, adhered following the University of Cape Town ethical rules and regulations.

3.6.6 Limitations of the study

The current study has limitations in terms of sampling and data collection language as presented in subsections 3.6.6.1 and subsection 3.6.6.2.

3.6.6.1 Sampling

The findings of this study are, based on a small purposive sample of 300 participants drawn from one post-conflict district in Teso sub-region. As stated above, there are more districts in Teso that suffered from the two types of conflict (Cattle rustling by the Karamojong and LRA rebels. However, Katakwi district gave an insight and perspectives on the how household heads use their paid stipend grants to support family members, shared responsibilities in terms of perceptions, attitude, culture and strategies used to confront poverty and vulnerability. Therefore, it is not representative of all social protection role in addressing household poverty and vulnerability, social grants recipients receive, and it cannot be generalised at the moment that social protection can be a single tool to reduce poverty and vulnerability in a conflict setting. Although quantitative methods adequately represent the number of the poor and vulnerable households from a conflict setting, or household issues studied, it does not produce a sample that represents the wider population emerging from conflict environment.

3.6.6.2 Data collection language

In Katakwi district, the majority of households are Itesots people who speak Ateso language, and I have a speaking and reading leader who was ready to help in case the respondent chose to speak in another language, not in Ateso language, which I am familiar. Every time I was

conducting my interviews, I had back up plan in case I could meet someone who could struggle to communicate in English. One of the community leaders accompanied me all the time, but luckily, the respondents managed to communicate in English. The use of the English language did not pose a limitation as I had thought before conducting the interviews. The English language was used to collect data because it was the language that I had in common with the participants.

3.7 Conclusion

In summary, Chapter three employed MMR strategy as outlined by Creswell work because the approach helped in answering study objective and questions. Quantitative and qualitative of the study is, used in chapter four, and five to generate descriptive statistics in the form of figures and tables to provide a deeper conceptual understanding of the research problem. The researcher found the MMR useful because it enabled the researcher to generate descriptions of the unique and significant means in which, SP programmes have been, applied and used by various actors. The quantitative component provided a general picture and detailed broader findings in terms of numbers and percentages of households living in poverty, household moving out of poverty because of social protection impact on poverty and vulnerability reduction. Qualitative component provided the research with a more in-depth contextual analysis, interpretation and understanding of how and why these relationships occur through delving into stories and coping experiences of communities emerging from conflicts. The component enriched the integrity of the quantitative study findings.

CHAPTER FOUR

PRESENTATION OF QUANTITATIVE FINDINGS ON: THE ROLE OF SOCIAL PROTECTION IN REDUCING POVERTY AND VULNERABILITY IN KATAKWI DISTRICT

Chapter 4: Introduction

Chapter Four of this study addresses the main objectives by establishing the contributions of social protection (SP) programmes on poverty and vulnerability decline. **Section 4.1** of this chapter, describes demographic characteristics and profiles of household respondents in the form of descriptive statistics presented in tables, frequencies and figures that establishes the percentages of social protection programmes in reducing poverty and vulnerability, and the causes of household poverty and community poverty. **Section 4.2** presents quantitative descriptive statistics findings. **Section 4.3** provides the role of social protection in reducing household poverty and community poverty. **Section 4.4** specifically presents the role of social protection measures in supporting household coping mechanisms. **Section 4.5** presents statistical findings on the governance and delivery structures of social protection services. Finally**, Section 4.6** presents conclusion of chapter four descriptive statistics.

4.1 The Demographic Profiles and Description of Respondents

4.1.1 : Marital Status of Household Respondents

The Table 4.1 presents the marital status of the household respondents in Katakwi district. Of the household respondents, 18.5% were married in a church, 8.5% never married, 23.0% are widow, 4.0% divorced, 20.5% in a polygamous marriage and 25.5% were in cohabiting relationships. Of the respondents who never married were found to be child-headed households, both boys and girls. The majority of the girls are school dropout due to family pressure to get married and poverty.

Table 4. 1: Showing Marital Status of the Respondents in Katakwi District

Marital type		Frequency	Per cent	Valid cent	Per Cumulative cent	Per
Valid	Married	37	17.6	18.5	18.5	
	Never Married	17	8.1	8.5	27.0	
	Widowed	46	21.9	23.0	50.0	
	Divorced	8	3.8	4.0	54.0	
	Polygamous marriage	41	19.5	20.5	74.5	
	Cohabiting	51	24.3	25.5	100.0	
	Total	200	95.2	100.0		

Source: Own Computation using 200 Household Respondents [2016/2017]

4.1.2 The Average Age of the Household Respondents

The Table 4.2 presents the age category of the household respondents. The majority of the respondents were aged between 30-39 years old representing 33.8% with the lowest being between 60-69 years and above, representing 3.3%.

Table 4. 2: Presents the age group of household respondent (Binned) in Katakwi district

Age group		Frequency	Per cent	Valid Percent	Cumulative Per cent
Valid	10 - 19	8	3.8	4.0	4.0
	20 - 29	62	29.5	31.0	35.0
	30 - 39	71	33.8	35.5	70.5
	40 - 49	35	16.7	17.5	88.0
	50 - 59	17	8.1	8.5	96.5
	60 - 69	7	3.3	3.5	100.0
	Total	200	95.2	100.0	

Source: Own Computation using 200 Household Respondents [2016/2017]

4.1.3 The Education Background of Household Head Respondents

The study found out that the majority of the household respondents aged between 30-39 years old, representing 33.8% with about 0.6% who never attended school. The lowest quintile of 0.2 showed those who never went to school-aged between 60-69 years and above, representing 3.3%. The table below presents the age group of household respondents with an overall median of 22.9. The likelihood of attaining secondary school is considerably better among the wealthiest households in urban K.T.C than it is for those from poorer households living in deep rural sub-counties. However, of the children, aged 10-19 years or older 3.8% were able to

complete secondary education with an average rate of 2.7 percentage point and with the median 5.3 were able to enrol into high school education. This has implications on the role of social protection in reducing household poverty and vulnerability through employment, which smoothens household socio-economic status because there is income earned.

Table 4. 3: Shows the respondents' education levels

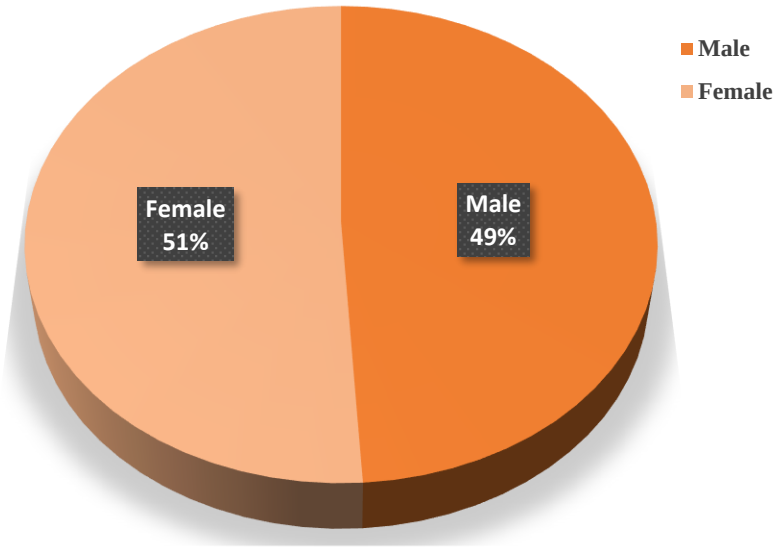
				Attended some/ Finished		Attended some or Finished		
		Education status		Primary		Secondary		
Age	**Freq**	**Percent**	**Never**	**Incomplete**	**Complete**	**Incomplete**	**Complete**	**Median**
10 - 19	8	3.8	8.2	9.9	8.9	10.1	2.7	5.3
20 - 29	62	29.5	9.8	8.4	2.9	11	2.9	5.3
30 - 39	71	33.8	0.6	6.7	0.6	0.8	2.5	4.1
40 - 49	35	16.7	2.8	4.7	1.8	7.6	0.2	3.7
50 - 59	17	8.1	4.2	6	9.6	9	0.2	2.7
60 - 69	7	3.3	0.2	2.1	0.1	0.2	0.3	1.8
Total	**200**	**95.2**	**2.1**	**37.8**	**23.9**	**38.7**	**8.8**	**22.9**

Source: Own Computation using 200 Household Respondents [2016/2017]

4.1.4 Gender of Household Respondents

In designing social protection measures that respond to household poverty and community poverty, there is to understand the nature of poverty and vulnerability among the household respondents in Katakwi district. Gender was considered in this study as very crucial because it unveils the household characteristics in terms of poverty and vulnerability levels, income status, consumption and expenditure behaviours, access to and ownership of productive resources including land and household property, and the number of domestic animals owned among others. The study administered two hundred (200) questionnaires to the selected household heads respondents comprising of female, child and older persons from the Katakwi district. A total number of 81 questionnaires representing (40.5%) were administered to rural household heads, 63 questionnaires (31.5%) were administered to semi-urban areas (trading centres), and 56 questionnaires (28%) were administered to urban household respondents' areas of Katakwi District headquarters and Katakwi Town Council. The results in **Figure 4.1** shows the gender of the household heads respondents in the Katakwi district. Out of 200 households interviewed, 51% of the households were females and 49% males.

Figure 4. 1: The Gender of Household Head Respondents



Source: Own Computation using 200 Household Respondents [2016/2017]

4.2 Presentation of Quantitative Descriptive Statistics Findings

4.2.1 Distribution of Household Poverty and Vulnerability among Respondents

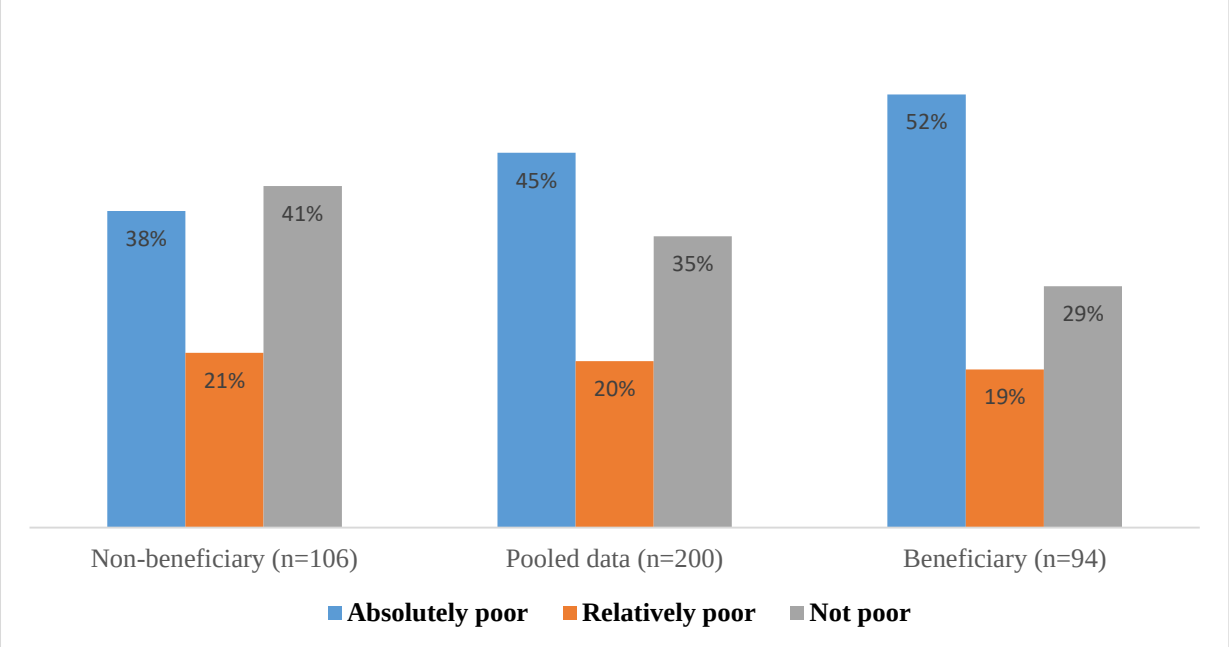
The distribution of household poverty and household vulnerability to community poverty in Katakwi district is, based on the three categories that the study seeks to establish, which includes, absolute poor, relative and not poor households. From the household analysis, this study finds that 38% of the household non-beneficiaries in Katakwi district are Absolutely Poor compared to 52% of the beneficiaries. About 21% of the non-beneficiaries and 19% of the beneficiaries fall in the category of Relatively Poor. Moreover, 41% of the non-beneficiaries and 29% of the beneficiaries are Not Poor. These findings imply that both households' non-beneficiaries and beneficiaries are susceptible to household poverty and community poverty in Katakwi.

Figures 4.2 presents the category and distribution of household poverty and vulnerabilities among household respondents in Katakwi district. The application of social protection measures in the Katakwi district is, motivated by two main factors: the high prevalence rate of poverty and the extent of vulnerability at household and community. Poverty is mainly linked to, relatively low consumption levels of the households, while the vulnerability is, connected

to risks and shocks that drag household back into poverty. The trends and severity of poverty among household respondents in Katakwi district point towards the urgent need for social protection interventions. Katakwi district faces constraint to collect revenues due to the high prevalence rates of poverty among the household heads who would be the district taxpayers.

Overall, the quantitative data from the household heads showed that 45% of the sampled population in Katakwi district was absolutely poor; 20% were relatively poor and at risk of being falling back to poverty poor if social protection services are removed and 35% not poor but vulnerable to slide back into poverty shocks (**Figure 4.2**). This finding correlates with the Uganda poverty status report issued by MFPED (2014), which shows that 19.7% of the population in Uganda were actively surviving on less than US$1.25 (absolute poverty) and approximately 43% were at risk and thus vulnerable (MFPED, 2014).

Figure 4. 2: Shows the percentage distribution of poverty



Source: Own Computation using 200 Household Respondents [2016/2017]

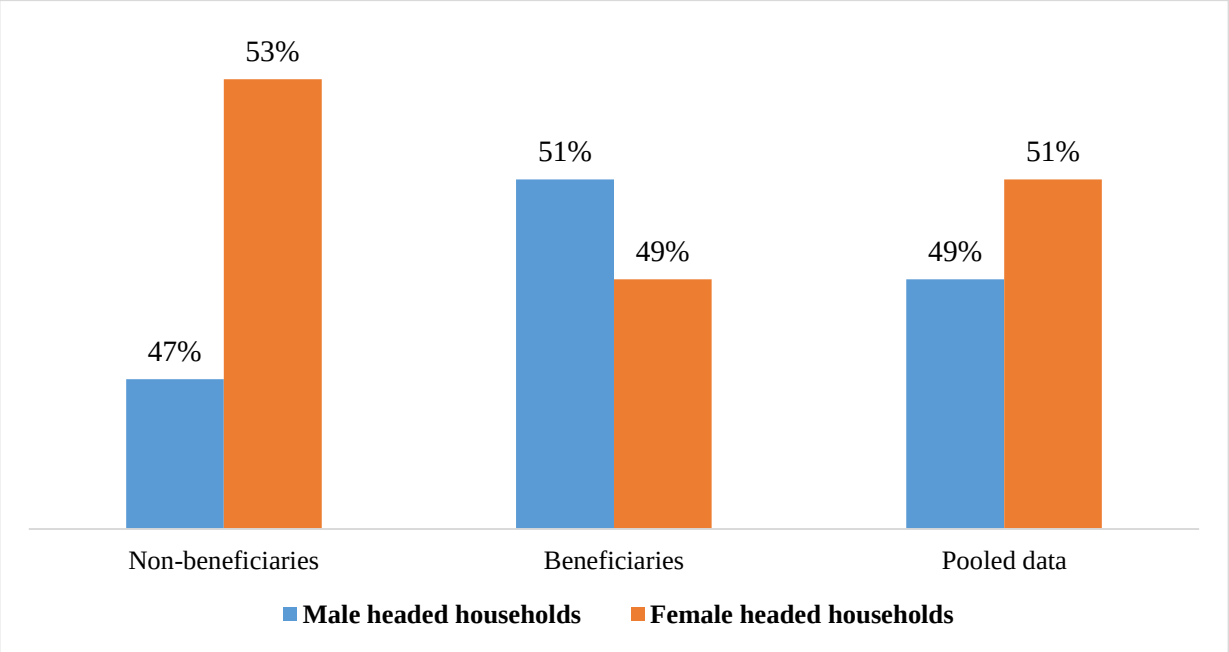
Figure 4.2 shows that poverty among the beneficiaries of social protection interventions is higher compared to non-beneficiaries of social protection. This is not surprising. For instance, the older persons in the study sample were, found to be more vulnerable despite receiving formal social protection support. This is because the support older persons receive is inadequate, given the cost of living, especially medical and food. This is further, compounded by delays in the release of remittances and lack of support from the immediate family members,

which further, triggers more susceptibilities. Of the heads of the household respondents, 71% of beneficiaries are nonetheless poor (as a sum of absolute poor and the relatively poor) compared to 59% among the non-beneficiaries. Considering the poor section of society, the study findings are, consistent with the national poverty line which showed that 65% of the population in Uganda is poor (GoU, 2015).

4.2.2 Gendered vulnerability to community poverty

The experiences of living in poverty among female and male heads of the households vary within families. Among the non-beneficiaries of social protection, women are more vulnerable to poverty compared to men, and as such, this results in gendered disparities amongst female and male in the same family setting. Poverty is higher among the non-beneficiaries compared to beneficiaries of social protection interventions. For instance, about 53% of the female non-beneficiaries live in poverty compared to 49% of female beneficiaries. In contrast, 51% of the male beneficiaries in Katakwi district were found not poor compared to 47% of the male non-beneficiaries who live in poverty. This variation in poverty levels among male respondents is attributed to over-reliance of beneficiaries of social protection services on remittances, which in most cases is delayed; hence, they fall back into poverty **(Figure 4.3).**

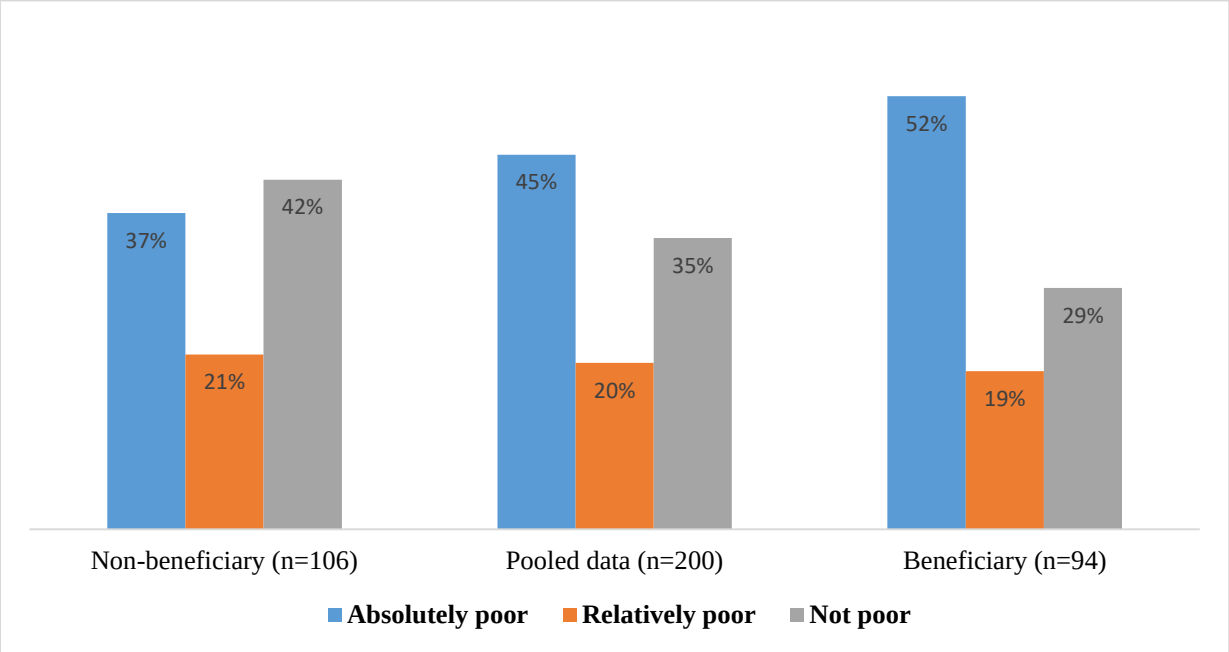
Figure 4. 3: Disaggregated gendered vulnerability to community poverty



Source: Own Computation using 200 Household Respondents [2016/2017]

Household gendered vulnerability to poverty in post-conflict contexts is habitually presumed to include the household poor - who have a high likelihood of remaining poor or failing to transit out of poverty. It also includes households not currently in poverty but likely to be pushed back into poverty when they encounter a shock. This study finds that 45% of households' beneficiaries were absolutely poor; 20% relatively poor, and 35% not poor. Among the non-beneficiary, 37% of the respondents were absolutely poor, 42% not poor, and 21% were relatively poor. By contrast, beneficiaries seem to have lower levels of slipping back into poverty compared to non-beneficiaries. About 52% of the beneficiaries were absolutely found to be poor, while 19% were relatively poor, and 29% not poor (**Figure 4.4**).

Figure 4. 4: Disaggregated gendered vulnerability to household poverty by category



Source: Own Computation using 200 Household Respondents [2016/2017]

4.2.3 Causes of Household Poverty and Community Poverty

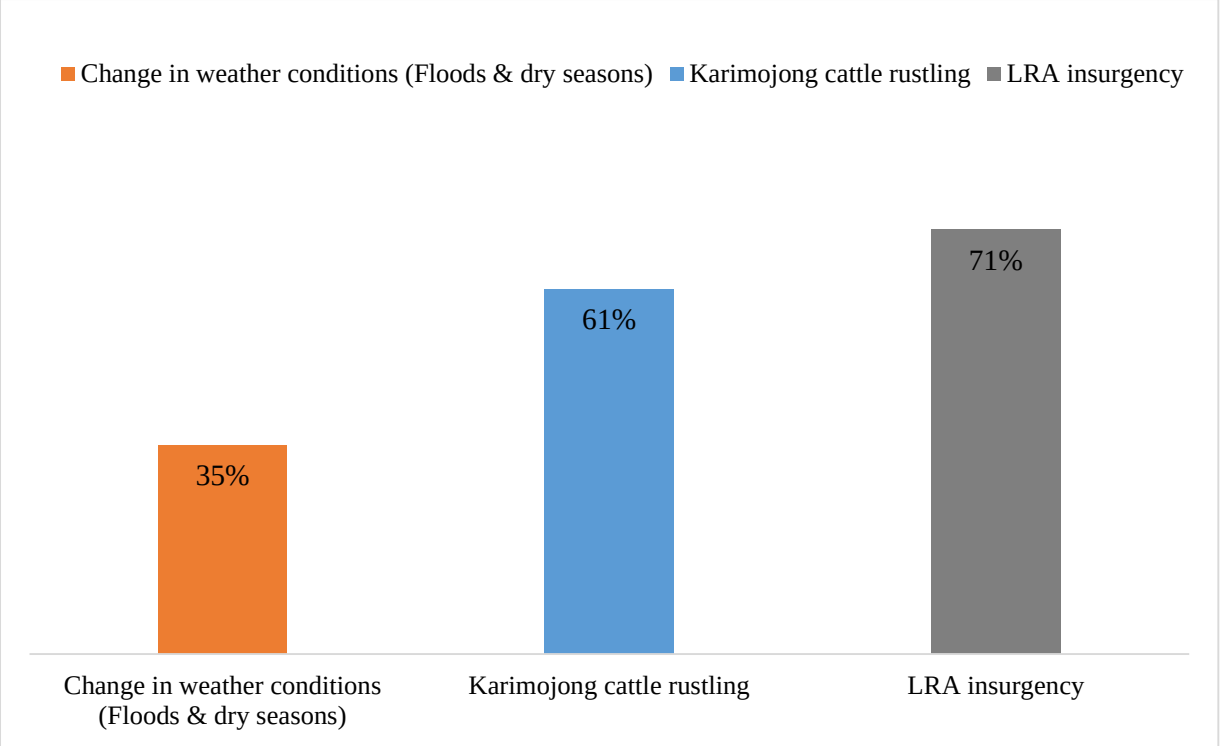
This objective thought to establish the main causes of household poverty and community poverty in Katakwi district.

4.2.3.1 Causes of Household Poverty in Katakwi district

The analysed household data revealed three main causes of the household and community poverty, which has continuously kept households vulnerable to risks and shocks. The 1987-1993 Uganda People Army (UPA) rebellion and the Lord Resistance Army (LRA) conflicts.

The UPA and LRA conflicts were against the National Resistance Movement (NRM) government. The other cause of the household and community poverty mentioned was the endless armed cattle rustling from the neighbouring Karamojong and changes in weather conditions resulting from floods during rainy seasons and long dry seasons. About 61% of the respondents cited insecurity occasioned by Karamojong armed cattle rustlers, 71% cited UPA and LRA rebels, and 35% of the respondents identified changes in weather conditions characterised by floods and long dry seasons, which causes food and income insecurities and malnutrition. **See Figure 4.5**.

Figure 4. 5: Shows the causes of household poverty in Katakwi district



Source: Own Computation using 200 Household Respondents [2016/2017]

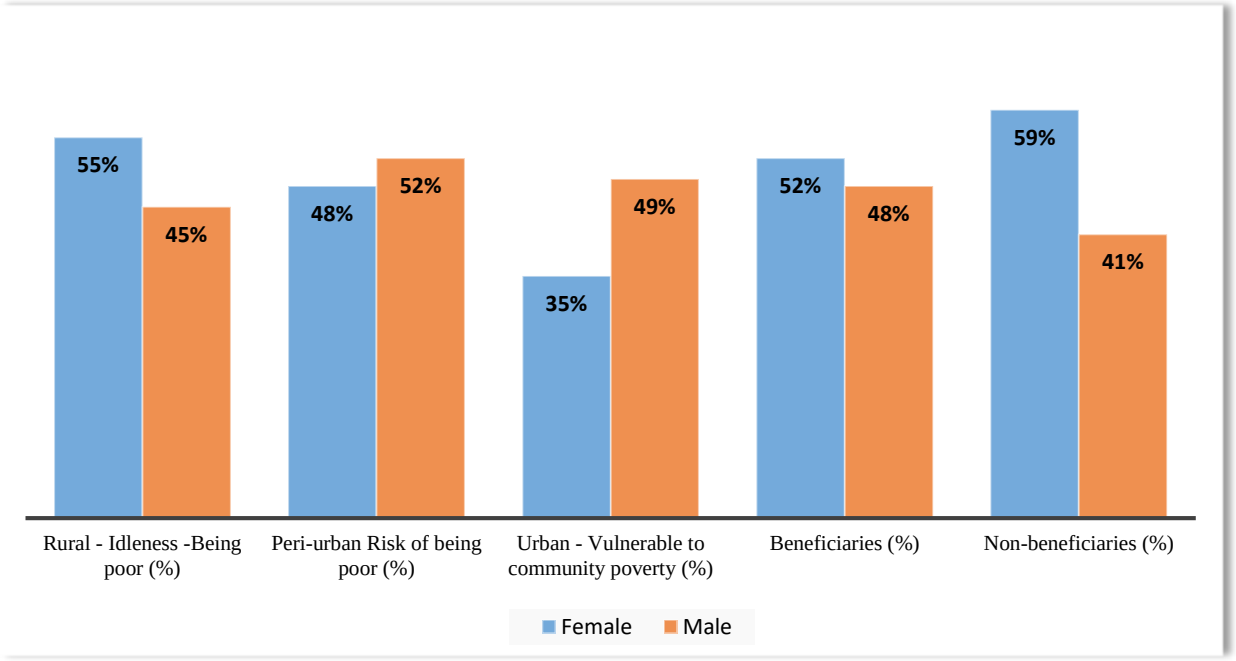
Figure 4.5 further provides the household likelihood of becoming vulnerable to food and income insecurity during and after the post-conflict period. Most of the explanatory variables are statistically significant and carry expected signs. This study results correspondent with the Ssewanyana S and Kasirye I, (2013) findings that found 31.1% of Ugandans are poor corresponding to nearly 8.1 million persons (Ssewanyana S. et al. 2013). Apart from confirming the World Bank (1993) conclusion that, Northern Uganda is the poorest region, the finding has helped shed more light on the gravity of the poverty situation in Teso sub-region and parts of post-conflict districts of Northern Uganda. While all other regions have their

poverty lines above the World Bank (1993) average of US$55, Katakwi district and Teso sub-region is the peculiar case with a poverty line of US$44. What this brings to play is that an effort to alleviate household and community poverty, it is critical to incorporate region-specific poverty indicators in the planning and designing process of social protection measures.

4.2.3.2 Causes of Community poverty in Katakwi district

Results from the study analysis indicate that about 21.9% of the rural household respondents were, found living in absolute poverty due to attitude and perception. The findings show that 2.2% of the households was found to be absolutely poor due to large family size. This finding correlates with the national poverty line definition as given by the MFPED (2014). According to the poverty status report published by MFPED (2014), 19.7% of the population were considered absolutely poor (living on less than US$1.25) and approximately 43% were at risk of being vulnerable to poverty (MFPED, 2014). Generally, the analysis from this study reveals that out of 200 sampled household respondents, idleness and drunkards are 45% of the male and 55% of respondents are absolutely poor. About 48% of the female and 52% of male respondents are at risk of being poor due to limited access to land and other productive resources, and 35% of female and 49% of male respondents are more vulnerable to community poverty.

Figure 4. 6: Shows the causes of community poverty in Katakwi district



Source: Field Data based on Household Survey

Figure 4.6 indicates household vulnerability to community poverty among the beneficiaries of social protection is higher compared to non-beneficiaries. This is because most beneficiaries of the cash transfers are older persons (women and men) who are helpless and cannot run away in case of insecurity. For instance, 52% of the cash transfers beneficiaries at the community level are poor (as a sum of absolute poor and the relatively poor) compared to 59% of the non-beneficiaries in the same community. Most household respondents in Katakwi attributed their state of being poor and vulnerable to insecurities caused by the Karamojong. Although the margin of error is small, the finding is consistent with the national poverty levels which show that 44.3% of the population living in post-conflict communities areas of Uganda are poor and vulnerable (MFPED, 2003).

Overall, our results provide empirical evidence that social protection has the potential to make a significant contribution to poverty and vulnerability reduction in Katakwi. The reason for the overall positive impact of social protection may be due to the combination of direct and indirect benefits of social protection transfers. Direct benefits reflect the mitigation of negative impacts from shocks while indirect benefits reflect the reduction of household's risk aversion. Consequently, this enables poorer and vulnerable households to escape the vicious cycle of community poverty (health and education). Due to data limitations, the study could not conclusively investigate and measure why poverty-reducing impacts are lowest for some individual households in the bottom quantile when their vulnerability levels-reducing impacts were highest for such households in the hard-to-reach rural areas.

A potential explanation for lower poverty reduction in the bottom quantile may be due to the crowding-out of private transfers, mainly from family and friends, which is usually, associated with the formal provision of both conditional and unconditional social protection measures. Previous studies suggest that public transfers can replace up to 80% of private transfers in the lowest quantile (Wylde et al., 2012). This suggests that the extent of household vulnerability to community poverty reduction depends on the trade-off between public and private transfers. Large direct cash transfers to the informal groups may offset the gains from household dependence on public sources of assistance. **Table 4.4** offers the levels of household vulnerability to community poverty at sub-counties in ascending order based on access and availability.

Table 4. 4: Levels of poverty and vulnerability at sub-county

Sub-county	Absolute poor (%)	Vulnerable poor (%)	Relatively non-poor (%)
1 Katakwi	29	12	29
2 Katakwi TC	46	13	41
3 Ongongoja	46	25	29
4 Usuk	35	23	42
5 Toroma	52	15	33
6 Omodoi	42	17	41
7 Kapujjan	4	32	28
8 Ngariam	59	21	50
9 Magoro	53	20	27
10 Palaam	34	29	37

Source: Own calculations using field dataset from the Household Survey.

Respondents living closer were, significantly found not susceptible to community poverty due to their location and distance. For instance, residence in Katakwi sub-county and KTC ranks lowest on all these measures except for poverty-severity. However, Ngariam and Magoro sub-counties are ranked higher of all these poverty and vulnerability measures due to their closeness to Karimojong armed cattle rustlers. Nevertheless, there is a sizable re-ranking of sub-counties placed in the middle, notably Usuk, Ongongoja, Toroma, Omodoi, and Kapujjan. This implies that it is imperative to take into account the ranking based on levels of vulnerability headcount when the *ex-post* poverty rate (headcount) is neither high nor low. This is because of the likelihood of having a sub-county with a medium level of headcount-poverty with a relatively high level of headcount vulnerability.

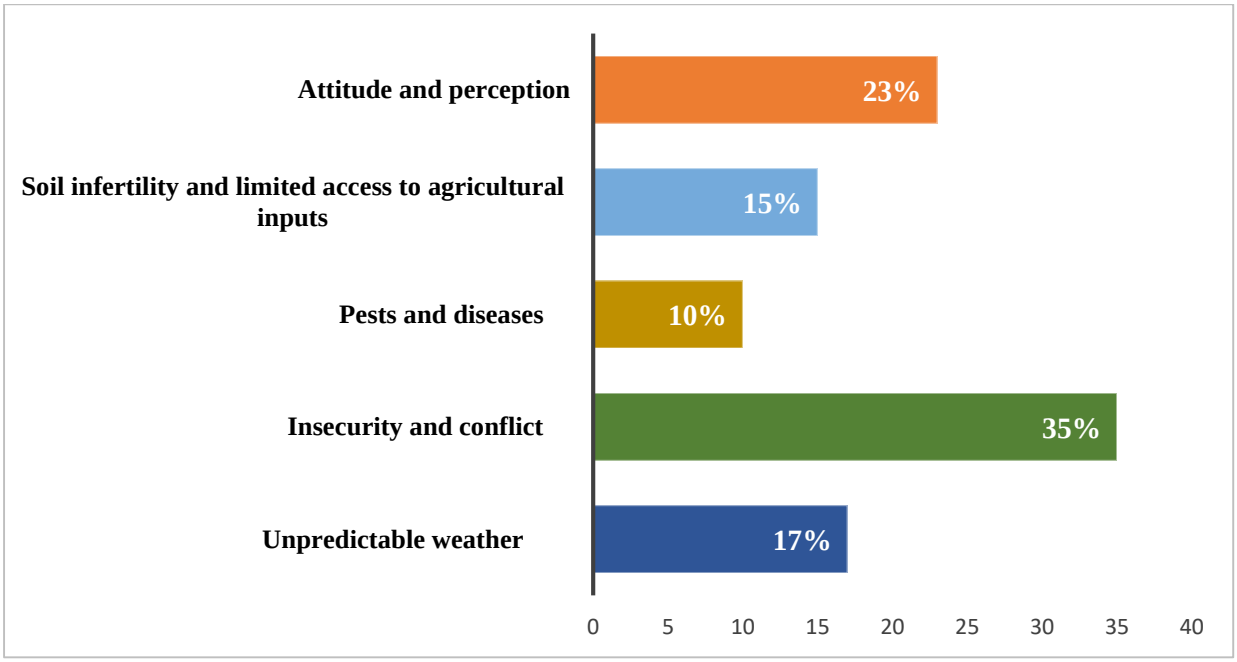
4.2.3.3 Other Causes of household vulnerability to risks and shocks in Katakwi district

All the five variables (food/water, shelter, bedding, health and education) denote the causes of household vulnerabilities to community poverty and other risks and shocks. Household capacity to manage and cope with risks (access to agricultural farm inputs, soil infertility, control of pests and diseases, managing and preventing latent conflicts, and planting drought-resistant crops) are statistically significant and positively linked with the expected mean and variance of household vulnerability to food insecurity. Predictably, this finding indicates a household improvement in access to social protection agricultural farm input support from social protection actors that come with the increased household capacity to mitigate risks and shocks while holding all other factors constant. **Figure 4.7** reveals that of those who

participated in the household survey, 35% of the respondents cited insecurity and conflict as the main cause of their vulnerability to household food insecurity.

About 23% of household respondents said that they have poor attitude and perception towards participating in recovery activities because their family members were, killed during the war and conflict. About 17% said they are susceptible to unpredictable bad and poor weather conditions, 15% said soil erosion and limited access to agricultural farm inputs is the cause of their household food crisis, while 10% mentioned the existence of pests and diseases that affect and contribute to food insecurity in their homes. The ability of the household head to work as a casual labourer and as a private employee is statistically and negatively associated with household mean consumption. This suggests that lack of access to agricultural farm input and a stable source of income will lead to low household consumption levels. This implies that the household head will not be in a position to harvest any food from the garden to feed the family, neither will s/he earn any incomes to support and provide for the entire family; hence, becoming vulnerable to food insecurity as detailed in **Figure 4.7.**

Figure 4. 7: Shows the causes of household vulnerability to risks and shocks



Source: Own Computation using 200 Household Respondents [2016/2017]

4.2.4 The Extent of Poverty and Vulnerability in Katakwi district

To comprehend the need for measuring household poverty and vulnerability levels, the study predicts the causality between the recipient and non-recipient of social protection grants. The model prediction of the recipient and non-recipient results indicate that a recipient is vulnerable, with a 55% likelihood of falling below the poverty line. Besides, if the recipient of the social protection grants faces a shock of falling sick, this will increase his/her probability of becoming vulnerable and poor from 55% to 70%. In such situations, the recipient in the model would be counted as vulnerable to both household poverty and community poverty. Such an individual has more chance of becoming poor in case the provider (state and NSA) has stopped the social protection grants due to lack of grants. However, such a household's vulnerability and failure manage risks, and anticipated shocks are much higher than the non-beneficiary one that does not depend on social protection cash transfer programmes.

Table 4. 5: The extent of poverty and vulnerability among respondents in Katakwi

Measures	**Urban District**	**Semi-Urban Trading Centres**	**Rural/Hard to reach Rural Areas**	**Katakwi**
Poverty*				
headcount	0.31	0.39	0.39	0.38
poverty-gap	0.07	0.09	0.09	0.08
poverty-severity	0.02	0.03	0.03	0.03
Idiosyncratic-vulnerability				
headcount	0.42	0.55	0.57	0.55
vulnerability-gap	-0.35	-0.49	-0.48	-0.47
severity of vulnerability	0.46	0.64	0.61	0.60
Covariate-vulnerability				
headcount	0.23	0.33	0.33	0.32
vulnerability-gap	-0.46	-0.64	-0.63	-0.62
severity of vulnerability	1.04	1.41	1.40	1.37

Source: Own calculations using a dataset from the Household Survey and KDPU 2016.

Notes: The above results in **table 4.5** correlate with Wylde et al., (2012) findings: "Take an example of livelihoods of farmers and beach-front property owners in a coastal area all of

whom are vulnerable from the risk of coastal flooding" (Wylde et al., 2012:63). The "farmers acted to reduce (but not eliminate) their vulnerability through hard coastal defences that changed coastal processes and displaced the risk of flooding down the coast such that the owners of the beachfront coastal properties were now more vulnerable than previously" (Faber, 2017:14). A vulnerability measure should be sensitive to this changed distribution of risk (property owners more vulnerable, farmers less vulnerable) even if the total vulnerable population remains the same. The argument by Wylde et al., (2012) suggests that vulnerability measure ought to take into consideration not only the individual household poverty status of facing vulnerability impact but the extent of individual vulnerability from the national threshold level of household vulnerability (Wylde et al., 2012:63).

4.2.5 The types and categories of the poor and vulnerable households.

The results in **Table 4.6** demonstrates that most households are poor and vulnerable to risks and shocks. Although the difference is statistically small, more female-headed households tend to be poor compared to the male-headed households. The child-headed households are significantly poorer compared to households headed by the adult's male and female. The overall picture is that although household poverty among poor older persons is, based highly on the parameters used in this study, poverty remains relatively very higher among older persons. Among the beneficiaries and non-beneficiaries, poverty is, closely correlated with the occupation of the household head. Even though poverty reduced amongst the sample population in the study area, poverty remains highest amongst them. For instance, 45% of the female-headed households who are engaged in food crop production, 44% of them still depend on cash transfer programmes. Pockets of persistent household vulnerability to poverty among all respondents were noted to be located in rural areas.

Indeed, it was, revealed that poverty among older persons living in border sub-counties with Karamoja was increasing. For instance, based on the household characteristics and parameters used to measure household poverty, 64% of older persons were found to be poor and vulnerable, followed by females (50%) and children (42%). This is, attributed to cattle rustling and food theft in Magoro and Ngariam sub-counties in the Katakwi district. In addition, the rural poor also suffer from high levels of illiteracy, with 51% of illiterate people found in rural areas compared to 33% in urban areas; the majority of illiterate adults were women. This evidence suggests that specific needs for social protection among certain communities may be, concealed by a deceptively strong aggregate national macroeconomic performance.

Table 4. 6: Shows the type and categories of poor households

Household type	**Percentage of the study sample (n=200)**		
	Poor	**Vulnerable**	**Relatively not poor**
Male-headed households	44	20	36
Female-headed households	45	20	35
Youth-headed households (15-24)	50	20	30
Adult-headed households (25-54)	42	21	37
Older persons- household heads (55 and >)	64	9	27

Source: Own Computation using 200 Household Respondents [2016/2017]

In examining the overall role of social protection programmes in reducing household poverty and vulnerability in Katakwi district, the study employed a wealth-score index to investigate and determine who is actually falling into the three categories of absolute poor, relatively poor and relatively not poor. **Table 4.6** shows the wealth-score index model that helped the study to examine and generate positive or negative relationships in terms of household reduction in idiosyncratic and covariate vulnerability. This was based on whether social protection interventions have the influence to trigger household movement in (negative) or movement out (positive) of poverty from a post-conflict setting. Furthermore, by estimating the impact and contribution of social protection services, the study first estimated the frequency of household vulnerabilities to risks and shock and its variation among the urban, peri-urban and rural areas. Based on the results, the researcher separately grouped different sources of household vulnerability into poverty segments as presented in **Table 4.7**.

Table 4. 7: The categories of poor households by residential location

District setting	Poverty status	SP category (%)		Overall (%)
		Non-beneficiaries	Beneficiaries	
Urban setting	Absolute poor	45	47	45
	Relatively poor	19	23	20
	Relatively Not poor	35	30	35
Peri-urban	Absolute poor	33	52	42
	Relatively poor	13	26	19
	Relatively Not poor	53	22	39
Rural setting	Absolute poor	35	57	46
	Relatively poor	27	11	21
	Relatively Not poor	38	32	33

Source: Own Computation using 200 Household Respondents [2016/2017]

Note: Urban includes district capital, semi/peri-urban sub-county trading centres, and rural includes households in the district capital and sub-county trading centres.

The household survey findings indicate that households that have access to social protection services in a post-conflict setting have a chance of moving out of poverty based on the restrictions used in this study. If all households have access to land, markets, peace, security and stability, they would be in a position to mitigate their current risks and anticipated shocks. However, this is often not the case between beneficiaries and non-beneficiaries. More beneficiaries of social protection services rely on both private and public transfers, which limits innovations; it becomes worse if no transfers are guaranteed. Findings reveal that 45% of the overall population sample (N=200) in urban area participants were in the category of absolute poor, peri-urban (42%) and surprisingly, 46% for the rural community. By contrast, the beneficiaries and non-beneficiaries in the same category, 45% of the non-beneficiaries in an urban setting, 33% for peri-urban and 35% of the rural respondents were absolutely poor compared to beneficiaries in an urban setting with 47%, peri-urban 52% and rural 57% respectively.

4.3 The role of social protection in reducing household and community poverty

4.3.1 Beneficiaries and Non-beneficiaries access Social Protection Services

About 60% of the households have school-going children have access to social protection services, and 49% of the household heads were not paying school fees. Results shows, the

statistically significant variances in beneficiaries' percentages as well as non-beneficiaries. Generally, 60% of the households had school-going children; however; the households in the beneficiary category had fewer school-going children compared to non-beneficiary category. Additionally, results show that the percentage of household heads that had never received any formal education is significantly higher amid the recipients matched to non-recipients of SPCT. In terms of income sources, 56% of social protection cash transfer beneficiaries reported being investing their incomes earned from social cash transfers into farming as the main income source compared to 52% of households that do not have social cash transfers benefits (**Table 4.8**). This finding implies that non-beneficiaries of social cash transfers are more vulnerable to both household and community poverty compared to beneficiaries who are less susceptible to poverty and vulnerability.

Social cash transfers were, received from either state agency or non-state agencies, and the results show that the beneficiary households were receiving cash transfers from the state, which included either pension or special assistance grants, and non-state, which included NGOs or relatives. It is further, reported that 46% of non-beneficiaries of social cash transfers had some source of non-farm income whereas all beneficiaries had non-farm sources of income because of the SCT programmes. In addition, most of the beneficiaries (73%) were receiving social services compared to the (67%) non-beneficiaries. **Table 4.8** shows the recipients of cash transfers (CT) in Katakwi district aged 65 years. The other social protection transfers recipient in the district are the poor and vulnerable child and female heads of household who receive CT but categorised as non-beneficiaries because of their age. Similarly, the size, as well as the number of child heads of households receiving social cash transfers, are higher than that of their counterparts.

Table 4. 8: Beneficiaries and Non-beneficiaries of social protection services

Variable	Percentage of Respondents			
	Pooled data (n=200)	**Non-beneficiary (106) %**	**Beneficiary (n=94) %**	**Chi value**
1. Dummy variables for male HH	49	47	51	0.398
2. Have children	56	60	56	0.567
3. Have school going children	60	75	41	**0.000**
4. Pay school fees	49	51	47	0.559
5. Dummy variables for health care	92	94	89	0.195
Marital status of HH head				
1. Never married	9	9	7	**0.014**
2. Monogamous marriage	19	25	11	
3. Polygamous marriage	20	20	21	
4. Divorced	4	5	3	
5. Widow	23	14	33	
6. Concubine marriage	25	26	24	
Education level of HH head				
1. *Primary*	21	27	13.8	**0.006**
2. *Secondary*	28	32.1	23.4	
3. *College training*	27	25.5	28.7	
4. *University*	8	6.6	9.6	
5. *Never studied*	16	8.5	24.5	
HH member with university education	26	28	24	0.540
Sources of income				
1. *Agriculture Farming*	54	52	56	0.707
2. *Small business*	34	34	33	
3. *Another source*	12	14	11	
Sources of social protection				
1. *State cash transfer (SAGE)*	27	0	42	**0.000**
2. *NSA cash transfer*	12	0	24	
3. *Remittance from relative*	10	0	20	
4. Have non-farm income	72	46	100	**0.000**
Access to education, health, agriculture, clean water	70	67	73	0.323
Poverty status				
1. *Poor*	45	38	52	0.096
2. *Vulnerable to poverty*	20	21	19	
3. *Not poor*	35	41	29	

Source: Own Computation using 200 Household Respondents [2016/2017]

4.3.2 Distance and location of the household to the service point

Household distance and location determines access to healthcare services by the most vulnerable as well as the chronically ill individuals. Data analysed revealed that health centres in the Katakwi district were situated between 2 – 5 KMs far away for the most household respondents. The study participants reported that even when they access the facilities, there was no medical staff (absenteeism), or at times, there were drug shortages. Hence, this exposes the population already living under unhealthy conditions to more risks and shocks (**Figure 4.8**). This calls for locating social protection facilities closer to the population to protect vulnerable groups from poverty and vulnerability.

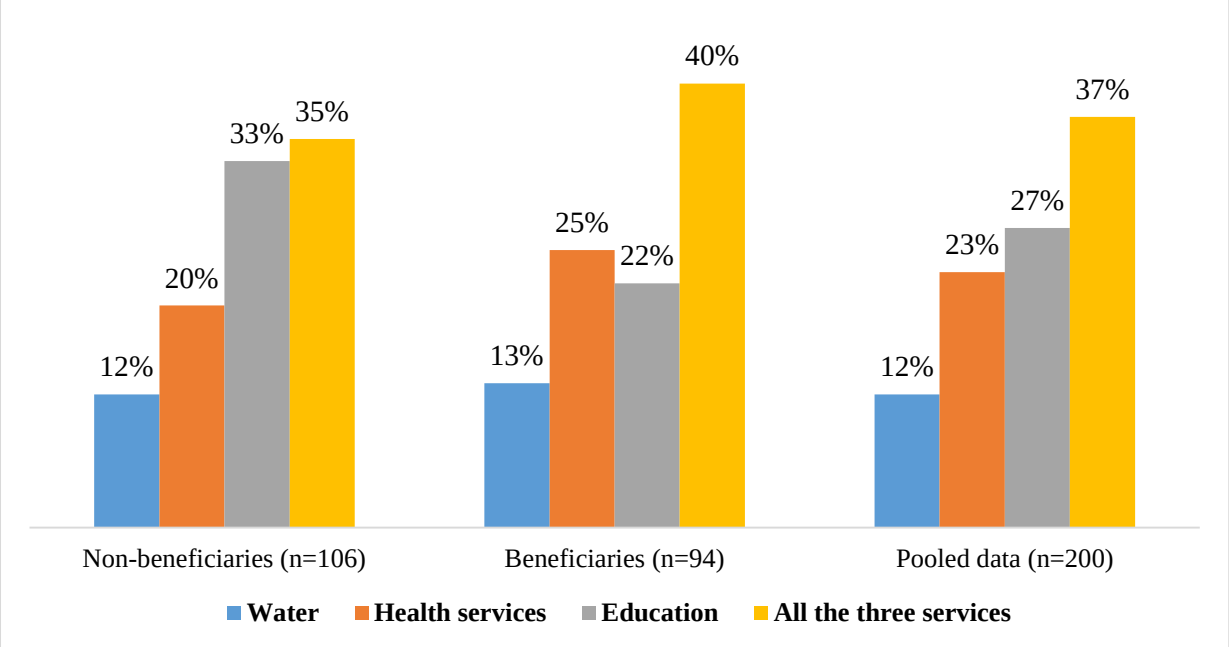
The vulnerable poor heads of the households who are non-beneficiaries of SPS were, less likely to have children attending formal education than beneficiaries from eligible selected households. Women were less likely to have any formal education than men were. Age was found to be a big driver because older people were much less likely to have attended school. However, **Figure 4.8** shows the difference between the proportion of eligible (40%) and non-eligible beneficiaries (35%) of the eligible beneficiaries who attended formal education in Katakwi. Regarding education attendance and attainment, literacy rates for men were higher, compared to women across the sample of the non-beneficiaries and beneficiaries of social protection cash transfers. For instance, the report states that over all the literacy rate was lower than the national average. At the national level, 71% of those attending formal education can read and write; the literacy rate for men is higher at 81% compared to women at 61% (MoES, 2016). Once again, this is likely to be driven by the higher average age of the study population in comparison to the national population. These characteristics potentially limit earning power, which implies that a social cash transfer can be an important buttress against hardships for these households (UNHS, 2013).

Figure 4.8 further, indicates that on average, there was a Government-aided primary school located within five and two kilometres from the respondents' homes across different communities. Before the introduction of social protection conditional grants, most households had their children travel long distances to access education. These long distances led to increased dropout rates for girls compared to boys for fear of being raped, rebel abduction, or killed by the cattle warriors. The study included household distance to the nearest public health facility as an additional control variable for ill health, health expenses, and death of an income earner. The projected separate probit models and a multivariate probit model. Thus, the poor

and vulnerable households are now able to access education and healthcare services due to the introduction of social protection measures.

The multivariate probit is a more competent estimator when the error terms of the outcomes are correlated. The study also examined whether the household location and welfare status affect the number of shocks reported. A Poisson regression model was also used in the analysis because the dependent variable (number of shocks) is based on a count. We use the same set of predictor variables as those used for the probit models. The Findings in **Figure 4.8** indicate that multivariate probit is more efficient than estimating separate probit models for each shock. Because of social protection interventions, the average distance to the nearest post-primary school was estimated at five kilometres in 2015/16, which was a reduction from 7.7 kilometres in 2013/2014.

Figure 4. 8: Distance and location of the household to the service point



Source: Own Computation using 200 Household Respondents [2016/2017]

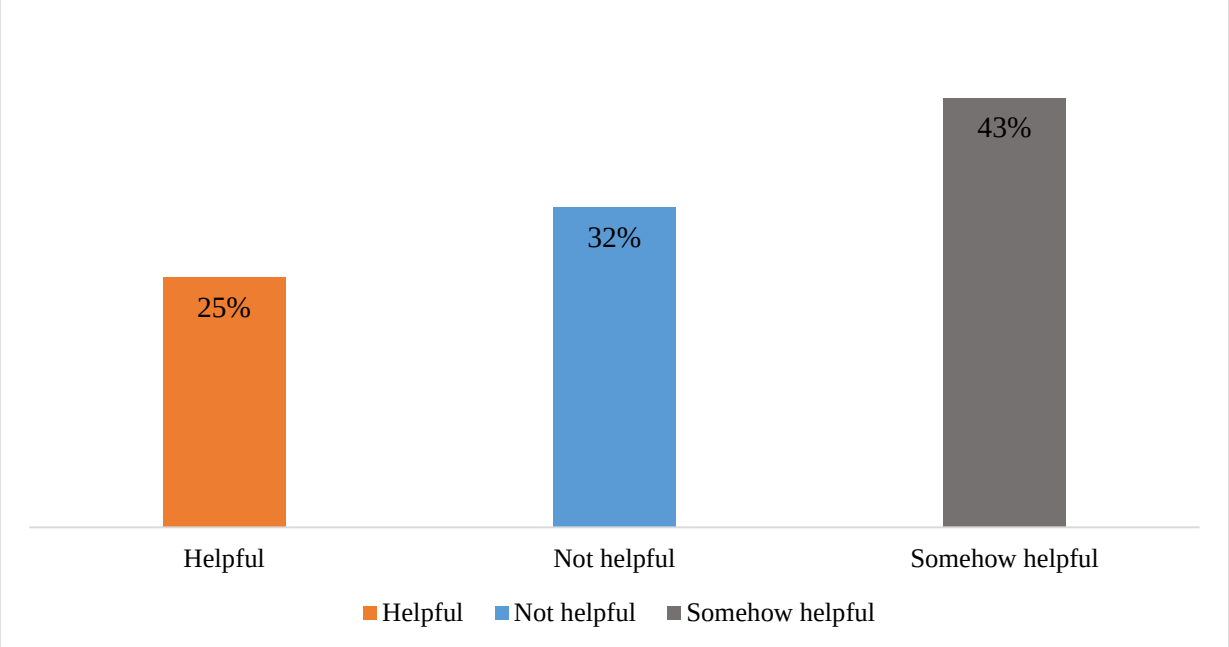
Finding with regard to government-aided schools show that the average distance to primary school remained the same 2.2 kilometres within the same period. **Figure 4.8** further showed that across the non-beneficiaries and beneficiaries of the study population, only 12% of non-beneficiaries and 13% of the beneficiaries had access to clean water. About 20% of the non-beneficiaries and 25% of the beneficiaries had access to health care service, with 33% of the non-beneficiaries and 22% of the state beneficiaries of adults, receiving cash transfers had their

children attending formal education and 35% of the non-beneficiaries and 40% of the beneficiaries have access to other social protection services like credit facilities.

4.3.3 Respondents views and satisfaction with Social Protection services

While many studies have examined in different contexts, the influence and contribution of social protection on *ex-post* poverty, the impact on *ex-ante* vulnerability to poverty has received less attention (Alderman and Yemtsov, 2012). The results from the household survey reveal that social protection has significantly reduced poverty and vulnerability at the household level. However, there are significant variances in both types of social protection provided and the influence they exhibit when measuring and rating the impact of social protection on households in a post-conflict setting. Findings from the household analysis reveal that 25% of the beneficiaries indicate that social protection is helpful; 43% find social protection interventions somehow helpful; while 32% said that social protection interventions do not benefit them. **Figure 4.9** presents the relevance of social protection services and the overall findings with households in the lowest quintiles in terms of their responses. Figure 4.9 further shows that vulnerability to poverty is reducing, but not as much in terms of eliminating poverty. The results further provide reliable evidence that social protection programmes have an impact on both household poverty and vulnerability reduction in support of further social protection cash transfers programmes.

Figure 4. 9: Respondents view and satisfaction of Social Protection services



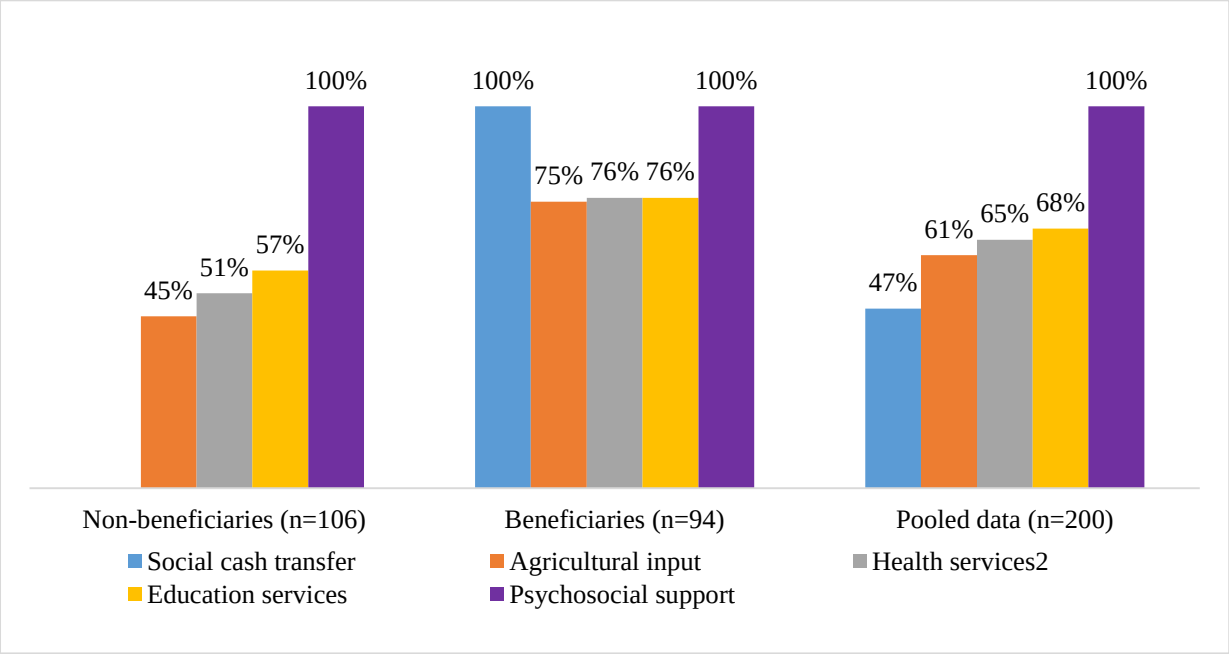
Source: Field Data based on Household Survey

Using the Chaudhuri (2003) model, the relationship between the poverty level and a set of household factors was estimated (Chaudhuri, 2003). The Chaudhuri (2003) model was proven to be suitable given the prob.>chi2=0.016, thus validating the influence of independent variables on the poverty level outcome. Estimation errors due to endogeneity, collinearity, influencing observations, misspecification, omitted variable bias, and inappropriate functional form was eliminated. The results show that poor households are relatively vulnerability to poverty, which has a positive relationship with a male-headed household, household size, and a male household head who can read and write. This is also true with a household that has school fees responsibility and children below 18 years, accesses social protection services, and allocates productive resources (land and labour) to orphaned children. Thus, these factors have a likelihood of making a household vulnerable to poverty. However, relative poverty showed a negative relationship with receipt of cash transfers and having a household relative with a university education, implying that the two factors are important for making households less vulnerable to poverty.

Looking at households that were considered relatively not poor, their poverty status is shown to have a positive relationship with household size, the ability of the household head to read and write, having children below 18 years of age, access to social protection services, and allocation of productive resources to the children. The preceding factors have a likelihood of making the non-poor households poor. Moreover, non-poor status exhibited a negative relationship with having a male household head, payment of school fees, having university graduates in the household, and receipt of social cash transfers. The two factors of having a relative who is a university graduate and receipt of non-state cash transfers were found to statistically significant in reducing household poverty level (1) while access to social protection services (education, health, and water) is shown to be significantly influenced by a household having a higher poverty level (3).

The results also indicate that 75% of the beneficiaries had access to agricultural farm input support compared to 45% of the non-beneficiaries, 76% of the beneficiaries reported better access to health and education services compared to 51% and 57% of the non-beneficiaries, respectively. **Figure 4.10** shows that all respondents reported having access to psychosocial support and other basic social services like water and security.

Figure 4. 10: Respondents access to social protection support



Source: Own Computation using 200 Household Respondents [2016/2017]

Figure 4.10 household access to social protection such as social cash transfers, agricultural inputs, health care services, education services and psychosocial support differentials between beneficiaries and non-beneficiaries apart from psychosocial support. Descriptive statistics revealed that most social protection actors are engaged in providing preventive and promotive social protection services. Most household beneficiaries considered to, be more vulnerable to poverty received various preventive and promotive social support from social protection actors with the view of helping them manage their risks and shock. The mean for protective social actors was shown to be 0.356 (confidence interval CI: 0.191 – 0.522), with a weighted mean of .050. See **Table 4.9.**

The coefficient of variation and median, as illustrated in **Table 4.9** shows that household beneficiaries under protective social protection measures are 191.8% for a protective score of 22, representing 27.8%. The coefficient variation of household's beneficiaries under preventive social protection measures was, found to be in the lower bound category of .197 and the upper bound of .345 for 95% confidence interval means of .316, and a weighted mean of .059.

Statistically, the significant coefficient of variation under preventive interventions measures median is 183.0% with a score of 19, representing 24.1% of all social protection actors providing preventive social protection interventions. The study also explored the promotive social protection interventions on affected households. The promotive measures lower bound .220, and upper bound .546 for 95% confidence interval mean is .383, with a weighted mean of .059. The coefficient of variation under promotive intervention measures median is 249.3% with a score of 11. This represented 13.9% of social protection actors who are working in the areas of protective social protection services. The transformative measures lower bound .191, and upper bound .530 for 95% confidence interval mean is .383, with a weighted mean of .061. Statistically significant the coefficient of variation under transformative initiatives measures median is 249.7% with a score of 27 representing 34.2%. **Table 4.9** presents the main intervention area of various social protection actors within the broader framework of expanding social protection programmes in Uganda.

Table 4. 9: The intervention areas of social protection actors

	95% Confidence Interval for Mean				Category		Coefficient of Variation	
		Lower	Upper	Weighted			Std.	Centred
Group	Mean	Bound	Bound	Mean	Number	%	Deviation	Median
Protective	.356	.191	.522	.050	22	27.8	.467	191.8%
Preventive	.316	.197	.435	.059	19	24.1	.452	183.0%
Promotive	.383	.220	.546	.059	11	13.9	.609	249.3%
Transformative	.360	.191	.530	.061	27	34.2	.614	249.7%
Overall	.353	.277	.429	.058	79	100	.543	221.3%

NOTE: The confidence intervals are, constructed by assuming a Normal distribution for all ratios.
Source: Own Computation using 200 Household Respondents [2016/2017]

4.4 Role of social protection measures in supporting household coping mechanisms

There is a range of different cash transfer programmes that Katakwi district receives with various project objectives and intended outcomes. However, the primary objective of cash transfers is to support and enable poor and vulnerable households to boost the consumption by way of meeting basic household needs like food, water, shelter, education, and health. Others

include market access, roads, electricity, peace, security and stability. The most prevalent social protection transfers include social assistance support such as social pensions for the older, disabled and widows, or monthly allowances to HIV and AIDS. There are also other social and economic livelihoods support made to households living below the poverty line. Data on social protection transfers to the district were readily available to both beneficiaries and non-beneficiaries though household respondents could not distinguish between conditional (CCTs) and unconditional cash transfers (UCTs).

The probit model was used to determine household access to social protection services supported by CCTs and UCTs. Data was obtained from household recipients and non-recipients. So far, the study results correlate with other studies undertaken in similar environments; however, they are not statistically significant. A discrete choice binary model was used to analyse the relationship between social protection components and absolute poverty. With data on the dependent variable and a set of covariates, the analyst is interested in specifying a relationship between poverty and explanatory variables (Green, 2003). The binary choice model arises in the context of a model in which the nature of the observed data dictates the special treatment of a binary choice model. In this case, the dependent variable, absolute poverty, takes on two outcomes, so the household is either absolute poor (Y=1), or it is not (Y=0). The straight regression is not applied because it is not easy to constrain xβ to the 0–1 interval, which can otherwise produce both nonsense probabilities and negative variances (Green, 2003). For these reasons, the probit model was used because it is also consistent with probability theory. The model follows the assumption that the error terms takes on a normal distribution as specified in Equation 6.

Eq. 6 $$Prob(Y = 1|x) = \theta(x'\beta)$$

Where;

$Y = 1$ Denotes the outcome that a household is absolutely poor conditional on independent factor x. The function on the right takes on a normal distribution and x' is a vector of the explanatory variables, while β is the vector of parameter estimates. The model was operationalized following the function in Equation 1 above to formulate Equation 2 below.

Eq. 7 $$Prob(Y = poor = 1|x) = \beta_0 + \beta_1 x_1 + \beta_2 x_2 + \beta_3 x_3 + \beta_4 x_4 + \beta_5 x_5 + \beta_6 x_6 + \beta_7 x_7$$

Where:

Y is a binary outcome variable (poor=1 and 0 otherwise) given a set of factors x which include x_1= Sex of household head (1=male or female=2 headed); x_2 = Household size; x_3 = Dummy for household head literacy; x_4 = Dummy for having school fees responsibility; x_5 = Number of dependent children (below 18); x_6 = children access to productive resources; x_7 = distance to the nearest school. After controlling for factors, which include the gender of the other household head, household size, literacy rate of household head, responsibility for school fees, and the number of dependent children below the age of 18 among others. Findings from the analysis show that household access to social protection services have mixed results in that cash transfers programmes have a positive relationship with absolute household poverty and psychosocial support. On the other hand, household access to basic social services related to education and health or medical care had a negative relationship. **Table 4.10** presents the factors that influence poverty.

Table 4. 10: Factors influencing households coping mechanism

Variable	**Coef.**	**Std. Error**	**P>z**
Dummy for male-headed household	0.022	(0.196)	0.911
Household size	- 0.144	(0.098)	0.143
Household head literacy (head can read & write) *	-0.524	(0.262)	0.046
Have school fees responsibility	0.019	(0.191)	0.922
Number of children below 18	-0.099	(0.092)	0.283
Child access to productive resources	-0.217	(0.221)	0.327
Distance to school (Km)	0.045	(0.041)	0.274
Having education more than primary schooling	0.279	(0.198)	0.157
Access to state social protection cash transfer	0.298	(0.243)	0.219
Access to non-state social protection cash transfer**	0.807	(0.265)	0.002
Access to agricultural inputs**	0.508	(0.212)	0.016
Access social services (Medicare, psychosocial support) *	-0.424	(0.213)	0.047
Constant	0.741	(0.627)	0.237
Observations			200
LR chi (12)			27.310
Prob>chi2			0.007

Source: Computation based on household field data

In line with the study expectations, the household size and household structure categories were most statistically significant in the model. They are negatively related to household consumption levels and are statistically significant in all cases. This implies that as the number of household size becomes bigger, there is a negative effect on the household head to re-allocate the available resources to meet all family needs-consumption. Controlling for non-linear effects in household size, the household variable is positively related and associated to be relatively poor or relatively not poor, which suggests there might be a positive relationship arising from the scale of economies as the household number becomes significantly bigger. This, therefore, supports the need for further social policy discussion in the context of post-conflict situations. Households headed by single older persons, especially females, are more likely to be relatively poor as opposed to single older males with lower quintile. They are assumed better off than any other single-headed households in the middle and higher quintiles when household size is doubled. This negative relationship can be further attributed to alcoholism, laziness and marrying more women by the male household head. Access to non-state social protection cash (money) and in-kind transfers in the form of agricultural farm inputs have a likelihood of strongly influencing a household being absolutely not poor whereas (at 5% level) medical-related services have a likelihood of weakly influencing those not being poor.

4.5 The Governance and Delivery Structures of Social Protection Services

This objective aimed at investigating the Governance arrangements and structures which social protection services are delivered in Katakwi district.

4.5.1 A Logistic Regression Model: Governance and Performance

The analysis was further performed to determine the net effect of selected independent variables on the dependent variable after controlling the confounding influence of other variables. In this case, the independent variables (governance) included in the analysis were; pieces of training and member's participation in post-conflict household and community recovery activities. The dependent variables (performance) included in the model were: beneficiary consultation on the services to be provided; the extent of services provided if, they were the most needed by the beneficiary; adequacy with which the services provided met the needs of the beneficiary/member; and rating of the current model of the service delivery process. In addition, availability of services, timeliness of services, quality of services, level of

beneficiary satisfaction with the service, reported changes in the beneficiary conditions pre and after receipt of service, changes in household welfare since the time of receipt of service and comparison of living conditions with those of other community members not receiving the social protection service. A logistic regression model was run to identify these governance factors that influence the performance of NSAs. **See Table 4.11**.

Table 4. 11: Shows the association of governance and performance of SPAs

Variable/Response category	p-value	Probabilities
District (Reference=Katakwi)		
Toroma constituency	827	1.063
Usuk constituency	.382	823
Category of the Organization (Reference=Other CBOs)		
Community-based organization (CBOs)	.228	1.440
Local/district based NGOs	.000	6.372
National (NNGOs)	.000	6.112
International (INGOs)	000	14.547
Burial Groups	.584	.829
Requirements that you fulfilled before becoming a member	.180	1.322
Governance (Reference = Good)	.000	3.190
Constant	.339	.729

Source: Field Data

The findings reveal that the type of NSA and quality of governance were significantly associated with good performance. Organizations that were rated to have good governance were significantly associated with higher odds (3.2) or were 3.2 times likely to have good performance compared to those who were, rated with poor governance. International NGOs had much higher probabilities (14.5) of being associated with good performance compared to CBOs with a probability of 1.4, and this was equally true with national NGOs (6.1) and local/district NGOs (6.4).

4.5.2 Overall Beneficiary Satisfaction with NSA

The findings from household respondents indicated that a big proportion of about 18.2% were highly satisfied with social protection support received from burial groups (informal),

17.9% of the beneficiaries highly satisfied with formal social protection services provided by credit and savings schemes (CSS), and 15.9% highly satisfied with self-help groups (informal). The overall satisfaction with services provided by formal non-state actors (NSA), 13.3% of the beneficiaries highly satisfied with social protection services provided by the community-based organisation (CBOs), 12.7% highly satisfied with farmer group support and 5.8% with national non-governmental organizations (NNGOs).

Table 4. 12: Beneficiaries satisfaction with NSA delivery of SP services

	Extent of satisfaction						
Category of NSA	Highly satisfied	Percentage	Moderately satisfied	Percentage	Not satisfied	Percentage	$\sum(n_1...n_3=N)$
	n_1	%	n_2	%	n_3	%	
Family-based	29	9.4	27	12.2	4	7.8	60
CBO	41	13.3	28	12.7	14	27.5	83
LNGO	13	4.2	21	9.5	14	27.5	48
NNGO	18	5.8	14	6.3	2	3.9	34
INGO	8	2.6	11	5.4	2	2.0	21
Burial group	56	18.2	36	16.3	2	3.9	94
CSS	51	16.5	35	15.9	5	9.6	91
Farmer	39	12.7	23	10.4	5	9.8	67
Self-help	49	15.9	21	9.5	2	3.9	72
Total	n=308		n=220		n=52		∑570

Source: own computation using household field data

Table 4.12 shows the total number of NSAs mapped and providing different interventions to the households in Katakwi district. Although **Table 4.12** postulate 2.6% of the international non-governmental organisations (INGOs) percentage being low, they have a significant impact in influencing the operations of the national and district social protection actors through remittances (cash transfers) to implement social protection project programmes and interventions.

4.6 Conclusion

Analysis of household poverty and vulnerability is increasingly recognised as an important input in the implementation of social protection policies and programs designed for reducing household vulnerability to poverty. Therefore, the role of social protection in reducing poverty and vulnerability in Katakwi District cannot be overestimated. Given the lack of empirical evidence in the case of Katakwi district, this thesis thought to answer research questions one and two of the study. The researcher examined the main causes of poverty and household

vulnerability to poverty in Katakwi district. In the analysis, the researcher applied a multinomial logit (MNL) modelling approach proposed by Hensher et al., (2005; Greene, 2003; and Wooldridge, 2002). The study finds that social protection measures have a positive impact on reducing poverty and preventing households from the likelihood of becoming more vulnerable in the future relative to the current poverty levels. Further analysis was, carried out to answer the second research question on how households use cash transfers to improve their social and economic status. It was found from the analysis that recipients of social protection services used their stipend to control and manage their risk-induced vulnerabilities, which were found to be higher than the structural-induced vulnerability and further, vulnerability to personal shock is higher than the covariate shock.

Findings from this study show that most vulnerable households located near Karamojong cattle rustlers were more vulnerable to insecurity and poverty compared to those living in urban areas (district headquarters). The results suggest that household vulnerability to poverty among the respondents is significantly higher among the respondents selected from urban, peri-urban and rural areas. Besides, higher household exposure to the poverty gap among household respondents implies that the effects of idiosyncratic and covariate shocks are more pronounced in the entire district regardless of the settlement patterns for both rural, peri-urban, and urban households. This study, therefore, proposes further research on the role of social protection in reducing poverty and vulnerability at household and community to design effective and inclusive access to social protection services.

The major policy implication of the study finding is that addressing household poverty while ignoring the potential impact of conflicts on households makes more households to be more vulnerable to poverty and thus becoming more insecure in future is a self-defeating strategy. The Katakwi district local government should go beyond merely observed household poverty to addressing the needs of the relatively larger higher population that is more vulnerable to poverty. Risk-induced vulnerability among beneficiaries and non-beneficiaries of SPS at household and community level was, found to be higher than the structural-induced vulnerability and vulnerability to idiosyncratic shock than the covariate shock. This study shows that the majority of vulnerable households were located in rural rather than urban areas within Katakwi district. The study findings imply that households should be assisted in preventing and managing their household-induced risks because most of the population is vulnerable to idiosyncratic shocks. It is also important to realize that there are differences in

the usage of SPCT between beneficiaries (FHH, CHH, and OHH) residing in either urban or rural areas. These disparities should be taken into account when designing SPI by targeting assistance to those who are currently more vulnerable and likely to face the risk of being insecure in the near future.

CHAPTER FIVE

PRESENTATION OF QUALITATIVE FINDINGS ON THE: DETERMINANTS OF SOCIAL PROTECTION IN KATAKWI DISTRICT

Chapter 5: Introduction:

The purpose of this study was to explore the role of social programmes in reducing household poverty and vulnerability in Katakwi district. Exploratory sequential phase two of the study present case studies results from distinct 100 participants explored in-depth to validate the findings from the statistical tests. Consistent with accepted conventions of scholarly writing, purposeful sampling and open-ended data collection procedures, analysis of text and pictures, maps, representation of information in figures and tables, and personal observation. In this phase two of the study, we attempt to establish the determinants of social protection in Katakwi district.

Section 5.1 presents the demographic profiles and description of respondents. **Section 5.2** Delves to make presentation of Qualitative Findings. **Section 5.3** discusses the causes of poverty and vulnerability in Katakwi District. **Section 5.4** presents responses of social protection measures to household poverty and vulnerability in Katakwi district. **Section 5.5 examines t**he governance structures of social protection programmes in Katakwi district. **Section 5.6** analyses the respondents understanding of the impact of social protection cash transfers (SPCTs). **Section 5.7** establishes the contribution of social protection actors to service delivery in Katakwi district. And **Section 5.8** provides the conclusion of Chapter Five.

5.1 The Demographic Profiles and Description of Respondents

The objective of this section is to provide brief background characteristics to the qualitative respondents conducted during the key informants' interviews (KII) and focus group discussions (FGDs). The synthesis data gathered from exploratory sequential phase two of the study (Qualitative) were, held with a 100 representative purposefully selected from the State, Non-state actors and Community Leaders representative at national, and district and community levels. **See Table 5.1.**

Table 5. 1: Demographic Profiles of Respondents

Categorisation of Respondents	Male	Female	Total
Focus Group Discussion (FGD)	34	38	72
Key Informants Interviews	12	16	28
Total	**46**	**54**	**100**

Source: Own computation using qualitative field data

5.1.1 Key Informant Interviews (KII)

The key informant interviews (KII) were, conducted with 28 respondents purposively selected from the Multilateral Agencies, Bilateral Agencies, International Non-State Actors ([INSAs] including Non-Governmental and Civil Society Organisations and Faith-Based Organisations), National Non-State Actors comprising of Faith-Based, Non-Governmental and Civil Society Organisations (NNSAs). At the district level, District Community Based Actos (DCBAs) comprising of Faith-Based, Non-Governmental and Civil Society Organisations, and Sub-county Community Based Actors (SCBAs) comprising of Faith-Based, Formal and Informal youth and women organisations and associations. **See Table 5.2.**

Table 5. 2: Key Informant Interviews

	Gender		Total	
Actors	**Male**	**Female**	**Number of Participants**	**Percentages (%)**
Multi-Lateral agencies	1	2	3	10.7
Bilateral agencies	2	2	4	14.3
International NSAs	2	1	3	10.7
National NSAs	2	4	6	21.4
District CBAs	3	4	7	25
Sub-county CBAs	2	3	5	17.9
Total	**12**	**16**	**28**	**100.0**

Source: Own computation from qualitative data

5.1.2 The Focus Group Discussion (FGD)

The study conducted focus group discussions (FGD) with respondents at sub-county and parish level. Eighteen (18) FGD were, held with 72 participants carefully chosen from nine (09) sub-counties and excluding Katakwi Town Council (KTC). The researcher excluded KTC from the

FGD sample because the targeted respondents come to town for a few hours and go back to their homes. The approached helped the researcher to avoid duplication and research fatigue of the respondents. Notably, two FGDs were held in each rural sub-county and on average, there were eight participants with a fairly, equal number of males and females in each FGD.

Table 5. 3: Focus Group Discussion (FGD)

Sub-county	Number of FGDs	FGD Participants		Total participants
		Female	Male	
Kapujjan	2	3	5	8
Magoro	2	4	4	8
Omodoi	2	5	4	9
Toroma	2	3	4	7
Katakwi*	2	5	4	9
Ngariam	2	4	3	7
Ongongoja	2	5	3	8
Palam	2	5	3	8
Usuk	2	4	4	8
Total	**18**	**38**	**34**	72

Source: Own computation from qualitative data

Note: Katakwi Town Council was not included in the FGD because the researcher wanted real voices from the rural community respondents about their plight.

Each FGD comprised of male and female heads of households, separately held in the study sites. Each FGDs had eight (08) members across all the 18 FGD that lasted about 30 to 45 minutes. The researcher used tape to record during the FGD and transcription of voices and reviewing several times before actual interpretation and analysis (**see research ethics in Appendix 1 and Appendix 2).**

Experiences on the structures through which social protection providers (State and NSA) interact with project beneficiaries in the study area emerged. Data from all State and NSA respondent were gathered, grouped into main themes and analysed separately and from each participating group, the impact of social protection interventions on households' poverty and vulnerability reduction in Katakwi district was, established. Analysis, presentation and discussions below emerged systematically following all KII and FGD and presented and discussed below.

5.2 Presentation of Qualitative Findings

Results from KII and FGD findings are analysed and presented into two frameworks based on the study analytical and conceptual framework **(see Section 2.8.2 and 2.8.3).**

5.3 The Causes of Poverty and Vulnerability in Katakwi District

This objective thought to establish the leading causes of household poverty and community poverty in Katakwi District. Different causes of household poverty and community poverty are presented in subsections **5.4.1** and **5.4.2**.

5.3.1 The Leading Causes of Household Poverty in Katakwi district

Respondents shared many ways in which they understand household poverty and the causes of poverty within their families. **See Section 1.6.1.**

5.3.1.1 Attitude and perception

It was, discovered during the focus group discussion and key informant interviews that household poverty in Teso and Katakwi district, in particular, is caused by individual household attitude and perception associated to limited land access by women and children, and displacement due to conflicts and cattle rustling. During FGD with female household heads respondents held in Palaam sub-county, the participants reported that they have failed to provide basic social needs to family members because of the traditional and cultural norms of the past. One of the FGD members had this to say:

> "We already have poor attitude and perception toward participating in the recovery post-conflict activities. This is because we have limited access to basic social necessities and services that we require to satisfy the needs of our families. We are extremely very poor". **[Female FGD held in Palaam Sub-county]**

The basic needs identified by the female heads of household's respondents as important for the smooth running of the family include food, water, shelter, clothing, shoes, beddings, radios and bicycles. The other domestic needs include lack of ownership of land, poultry, goats, cows, sheep and pigs.

From the KII held with the Faith-Based Organisation (FBO) church leader in Toroma sub-county gave differing experiences concerning the causes of household poverty, and he had this to say:

> "Household poverty in my community is caused by laziness and idleness among the youth, alcoholism, lack of employment or productive opportunities and lack of access to credit facilities. There is work to be, done, nevertheless, but the youth are lazy, and they are drunkard. So what do you expect from such a drunk person? Where do they get the money they use to buy alcohol? There is a problem here in my community that needs to be resolved apart from the known conflict and cattle rustling, he exclaimed with a tough tone of voice." **[KII held with an FBO in Toroma Sub-county].**

From the above discussion, this study, therefore, conceptualises and relates household head voices in understanding poverty. Data analysed from FGD and KII reveals the household perspective in understanding the causes of household poverty in Katakwi district. Participants from Ngariam sub-county on their part defined and associate household poverty as '*Aiwurio - Alomun toma ibakor lu ichan'* meaning born and transiting into poverty because of their unpredictability consumption pattern. Household poverty, however, is "poverty that remains when inter-temporal variability in household consumption has been, smoothed out."

A Non-state actor during KII stressed that social protection remains a vital tool for smoothing household incomes through cash transfers to poor and vulnerable to fight against livelihood risks and shocks. The findings from the KII further, highlights the significance of measures of the social support provided by the state and NSAs to help the poor and vulnerable to transit out of household poverty. KII respondents further indicated that social protection measures should be universal and available to all poor and vulnerable households. It is vital for governments and non-state providers of social protection to recognise that targeting some of the poor and leaving others out will not address issues of universal access and social inclusion (ILO, 2017).

Devereux and Sabates-Wheeler's (2004), on the other hand, suggest that providers of social protection services need to be broader and rights-based to address social inclusion. It should contain policies and actions that enable poor people to participate and benefit from social protection support. Findings from the Katakwi district reveal that social protection measures have primarily responded to the household economic needs and in poverty and vulnerability reduction rather than social-economic inclusion perspective. Indeed, the conceptualisation of social protection needs adaptation during design and execution. Thus, all poor and vulnerable

households in conflict situations need social protection cash transfer to support them escape household and community vulnerability to poverty.

5.3.1.2 Weather conditions

Participants from Ongongoja identified poor weather conditions as the main reasons given for their poor state of living at the household level. When asked how weather conditions have affected their livelihood given that land is available for cultivation and grazing of their animals. The group members who participated in the FGD acknowledged that their crops are destroyed during the dry and wet seasons. Because of the variations in weather conditions, most household heads have difficulties in providing the basic social needs to the family, especially food. A member identified that some hazards occur throughout the district (floods, crop and animal disease, and severe storms) and that some sub-counties experience more hazards than others such as Ongongoja, Usuk and Magoro have nine of the ten hazards endemic. Even if we talk about modernising the way to cultivate and acquiring exotic animals, this cannot work here in Katakwi because of the poor weather conditions. A male single household head had this to say:

> "Poor uptake of exotic or crossbreeds are too expensive to maintain, and purchase, too hard to look after, not suitable for the location climate conditions. The preference for local breeds due to familiarity and resistance to diseases is preferred by the community, but they are also being threatened by the cattle rustlers who think that all animals in Teso belong to them". **[FGD held in Ongongoja sub-county].**

5.3.1.3 Land conflicts

Apart from the usual guns and bombs, the causes of household poverty is linked to land conflict-related incidences. This was, reported by all participants selected from the sub-counties of Katakwi district where FGD and KII were conducted. Participants attributed the leading causes of household poverty to increased land conflicts due to the population increase, greed, unclear boundaries, and inadequate land tenure titling processes. The conflicts occur between clans, institutions and communities, and between individual household members. Incidences of death, hatred, displacement and destruction of property cases have been, reported and recorded by police. I captured one of the voice as reflected in the FGD held with participants from Ongongoja sub-county with severe land conflicts:

> "Land conflicts have increased over the last 5 years, primarily due to competition for land with the rich and powerful politicians taking advantage over the poor. The poor cannot cultivate and

> produce to meet other livelihood groups, and this has increased household poverty levels among the poor and vulnerable households besides the family size".
>
> **[FGD held with participants in Ongongoja sub-county].**

Apart from the individual attitude and perception, poor weather conditions, and land conflicts, there are other leading causes already highlighted in this thesis study that contribute to increased household poverty within the post-conflict communities, and a cause of increased conflict with other livelihood groups such as gender violence and unemployment.

5.3.1.4 Civil wars and conflicts

The fourth cause of household poverty, according to the respondents, has been insecurity and conflict in the region. One of the respondents argued that insecurity has kept them poor because they are always moving in and out of protected villages also known as internally displaced persons camp (IDPs) in search for safety and therefore cannot carry out any income-generating activities.

> The tribal conflicts in Karamoja and cross-district cattle rustling have made it impossible for us to unite and fight household poverty by way of starting up income-generating activities. **[Joint FGDs held with female and male in Palaam sub-county].**

5.3.2 The Causes of Gendered Vulnerability to Household and Community Poverty

Respondents shared their experiences in which both the women and men, boys and girls access the social protection services. They understand household poverty and the causes of poverty within their families and in communities. During the key informant interview (KII) with the ActionAid International representative in Katakwi district, the respondent described gendered vulnerability to household poverty as:

> Poverty and in particular chronic poverty is not simply about low income; it also includes hunger, illiteracy, undernutrition, limited access to safe drinking water by both men and women and boys and girls. The difficulty of access to healthcare and education services due to distance is the main cause of gendered vulnerability to household and community poverty in Katakwi district. Disadvantage grouped in Katakwi (Older person, women and girl child) often face social discrimination, physical insecurity and political exclusion.
>
> **[KII with ActionAid representative in Katakwi District]**

In a study conducted by the Chronic Poverty Research Centre ([CPRC], 2008) and United Nations, ([UN], 2009) in which the CPRC (2008) affirms the above description, and it identifies five dimensions of gendered poverty to include, insecurity (environmental, conflict/war, violence and lack of assets or entitlements). The lack of political voice and

representation/powerless (limited citizenship); spatial disadvantage (exclusion from politics, markets, resources due to geographical remoteness). (See CPRC, 2008; United Nations, 2009).

Vulnerability depends on the household exposure to risk and the capacity of the individual and household members to respond and reduce the impact of the shock or risk event that has occurred (Fy et al., 2008: 2). However, households gendered vulnerabilities to poverty in various communities in Katakwi district still suffer from high levels of extreme poverty and particularly of inequality, in comparison with communities that did not witness any conflict. Such inequities are also visible regarding gendered access to basic social protection services and human development dimensions, such as nutrition, education and health. Preventive and transformative interventions and services are, known to be long term and address the strategic needs of men and women to cause the transformation of gender relations with a sustained reduction in gendered vulnerability to poverty and unlocking the social and economic potential women and men in the communities.

During the joint FGD held with both female, child and older household heads, the respondents described gendered vulnerability:

> Concerning gender, vulnerability to poverty is gendered characterised by unequal possession of power (powerlessness) and ownership of productive resources such as land, denial of education, formal employment and lack of citizenship participation in resource allocation and decision-making process. **[Joint FGD held in Omodoi sub-county].**

The interactions amongst gender (men and women), poverty and vulnerability at household and community levels are complex; they are further, complicated by traditional and cultural norms, values, ethnicity, social class and age. Women in Uganda experience multiple constraints that increase their gendered vulnerability to poverty. These constraints are associated with their low levels of education and multiple roles and responsibilities that subject them to time constrain and poverty (Devereux et al., 2002).

5.3.2.1 Distance to service health and education

This study discovered that the highest proportion of households in all sub-counties of the Katakwi district walk the longer distance between 2 and 5 km to access social protection services. In an effort to meet and provide better livelihoods to the family. Members from the

FGD referred community poverty as the distance covered by both men and women, boys and girls to access a health and education services. One of the member in the FGD had this to say:

> "It is community poverty because we walk a longer distance to get health and education service. I am an older man; how do you expect me to walk all that distance. Besides, I do not have a bicycle, and the Community roads and rural feeder roads are very bad. So I prefer to stay at home and wait for my time of death. Even my grand children whose parents were killed during the intensive eight months of conflict have the challenge to go to school".
>
> **[FGD held with Older Persons in Palaam sub-county]**

The ILO (2015b) report acknowledges that the African population will continue to travel the longest distances in the world towards accessing the universal coverage of social protection by 2030. Most of its inhabitants have no access to social protection systems, including floors; effective coverage– combining contributory and non-contributory schemes – is as low as 18 per cent of the total population. There is significant dispersion across the continent; even the front-runner, South Africa, is still only halfway through the set indicator of universal coverage. Social assistance programmes cover on average a small share of the population (and even of the poor or extremely poor populations) and are in most cases targeted to households or individuals with limited or no labour capacity (older persons, persons with severe disabilities and, to a lesser extent, children) to cover longer distances.

The above definitions and understanding of household and community poverty bring out the complexity of interpreting and conceptualising household poverty and community poverty in the Katakwi district and Teso sub-region context. The conceptualisation of household poverty and community poverty goes beyond the lack of necessities to issues of insecurity, loss of incentive to work, lack of productive assets and the feeling that one is born and trapped in the cycle of poverty. Results from FGD with selected household respondents demonstrate that poverty is multidimensional and gendered with women being more vulnerable to household and community poverty than male.

5.3.2.2 Corruption

Different stakeholders in academia and policy realm have identified corruption as a hindrance to the effective delivery of social protection measures to poor and vulnerable households and communities that need the service. Drawing from the FGD and KII, respondents reported that they lack services such as healthcare and education. Health workers come to work, but there is no medicine to be given to us. Our children go to school, but they are no teachers teaching them

and no books for our children to read. Even the roads are not good enough to enable us to move our products to the market. One of the female participants from the FGD held in Usuk had this to say:

> "…….. we hear that Government has transferred money to the district to help construct health and schools facilities, build staff houses, repairing roads and construct water points for us. Nevertheless, you are here. Tell us your experience about the road you have used to reach here, tells how you found the road? Our children are at school, but they seated down, where are desks they promised us? We go to health facilities, but the doctors and nurses refer us to go and buy medicine from clinics and drug shops? Are we Ugandans? Where are the services they promised us during the political campaigns? It is bad, and the situation is worse with our expectant mothers and children who need the services".
>
> **[FGD held with Female household heads in Usuk]**

Corruption has hampered the implementation of social protection programmes and other initiatives in the district. Development partners are complaining about mismanagement of cash transfers by individuals in the district who are connected at the national level. To stem the current pattern, every effort must be, made to defeat the current corruption level in the district and in this way, social protection services can reach the intended poor and vulnerable communities. A community Development Officer during the KII held in Usuk sub-county quarters had this to say:

> There have been reports that so many eligible people fail to access the community grants, especially the Northern Uganda Social Action Fund (NUSAF). Some of them fail to qualify due to corruption in the system created by government officials at the district and connected to other stakeholders at the national level. There have been cases that female and child and the older households do not have Identity Documents that warrants them to benefit from the community project such as NUSAF thus are denied access to the grant". **[KII held with the World Bank Official, Kampala].**

> Uganda has the best policies and programmes in Sub-Sahara Africa that if well implemented, would make the country the gold of Africa. The only frustrating problem is the poor understanding and interpretation of policies that should cause social and economic positive change in reducing poverty and vulnerability, more so in former conflict-affected sub-regions of Uganda. **[KII held with the World Bank Official, Kampala].**

5.4 Responses of SP to Household Poverty and Vulnerability

This objective intended to ascertain whether some of these, interventions that the poor and vulnerable households use to reduce their poverty and vulnerability be part of social protection

programmes in post-conflict communities of Katakwi district. The sections below present the views of the respondents.

5.4.1 The Role of Cash Transfer in Reducing Household Poverty and Vulnerability

Responses obtained during the FGD and KII indicates that social protection cash transfers provided through Northern Uganda Social Action Fund (NUSAF) by the State and NSAs were responsible in pulling beneficiaries out of poverty and graduating them from vulnerability traps (UNDP, 2015). Most households have enrolled their school-going children to benefit from the government Universal Primary Education (UPE) and Universal Secondary Education (USE). Seven of the eight (87.5%) participants who participated in the focus group discussion held with female household heads in Kapujjan sub-county stated that NUSAF cash transfer had transformed household relationships through the necessity of joint planning and budgeting. The respondents further, revealed that receiving the NUSAF grants improves how household members relate to each other when choosing economic activities, the money can be, spent. These respondents said that only men in old days were, viewed as household heads mandated to make decisions on how to spend family incomes, but now female household heads recipients have a say in how the group grants are spent. They had these to say:

> "My husband is not with me, and the children are missing him! We have not seen him since his abduction by the Lord Resistance Army rebels. The little time I spent with him, he was working as a lorry driver, we could not discuss anything, and he could decide alone how he wants to spend the money. Nevertheless, when I joined a community group formed by other women who had also lost their husbands to conflict or died, I started receiving group benefits as a member, and now I can plan together with my children on what to do with money. Family joint planning is very important because we make sure we prioritise our needs together. In the group, we discuss how to spend the grant and the income from the business that we own together as women use the grants received from the NUSAF officials". **[Female FGD held in Kapujjan sub-county, 2017].**

The NUSAF social grants have enabled and seen most households engaged in self-supporting activities within their community. However, this is not all for all community members; there remains a big challenge for households headed by children and older widows. While a good number of respondents' especially female household heads were satisfied with several aspects of service delivery and had received support over a period, child and older widows have a challenge of managing both household poverty and community poverty. Results from phase one of the study reveal that about 86.1% of the child and older widows' household heads wished they continued to receive social protection interventions provided by NSAs. About

70.1% believing they should continue benefiting from state cash transfers (NUSAF) for as long as possible and only 19% reported that they had a plan to meet their own needs through family support and 10.9% were not sure. These data suggest the need for social protection actors (SPAs) to provide more of the transformative social protection services, which call for change in strategies used by SPAs if their interventions are to be more effective in pulling households out of poverty, vulnerability and dependency syndrome on handout support.

When asked about their children access to education, which is also conditional like the NUSAF programme, one participant said that:

> "I am happy with the government conditional education because we do not pay for school fees. The problem we have is we do not have alternative sources of income required at school. But we are happy". **[FGD held Female household heads in Palaam sub-county]**.

5.4.2 Household Access to Education and Health Services

Data obtained from the household head respondents during the FGD reveals that access to education and health remains the main problem that mostly affects households in rural areas. Nearly in equal proportions, 33.1% of the child and 35.4% of the old household heads reported difficulties in accessing health and education services due to distance and transport cost against 31.5% of the female households' heads who reported on the challenges of health workers not being supportive. The community leader echoed the above finding during the KII:

> "Disadvantage group, especially single mothers, the older persons and child parents in my community have difficulties in getting social services they need like education and medical treatment. These services are far from us, and as a leader, I feel I have not done my part to help them, yet they elected me." **[KII held with local council leader Omodoi sub-county].**

Despite this existing problem of access to education and healthcare, most poor and vulnerable households in rural communities are now able to receive social protection support from Ugandan government and development partners through cash and in-kind transfers. For instance, the promotion of an equity-focused approach to the realisation of children's literacy rates and their rights to education has seen increased enrolled of school-going children. The structure and delivery of SPSs designed to address household vulnerability to poverty. Social protection transfers to vulnerable households mainly target child, female and older heads of households in Katakwi through in-kind and cash transfers. However, many households have additional sources to supplement the grants they receive from the government and non-state actors. These additional sources come from farming, and livestock rearing where income earned is used to improve their social and economic livelihood.

Data obtained from the Ministry of Education and Sports official and analysed revealed that the ratio of the children aged 10 years and above and who are at school can now read and write increased from 69% in 2015/16 to 73% in 2017/18 with 79% of the boys being more literate than 66% of the girls. These variations underscore the relevance of cash transfers in addressing the high illiteracy rate that existed before the introduction and implementation of conditional cash transfers programmes. Further, 65% of the male and 35% of female respondents who participated in the KII said that effective implementation of cash transfers helps in addressing the underlying causes of household inequity by guaranteeing access to basic education services. One of the Ministry of Education official had to say this about the role of conditional cash transfers to support Universal Secondary Education:

> "A critical problem facing Uganda is that it does not have enough men and women with the competencies needed to achieve its development goals. Appropriate levels of investment in education as a link to higher education and the world of work are, therefore, critical to the development process. Secondary education should offer qualitative learning that should form a basis for higher education and quality of primary education by influencing the quality of teacher's attendance to duty at that level. Effective secondary schooling introduces students to formal reasoning, problem-solving skills, and occupationally relevant content and applications of knowledge. It develops competencies that provide access to the global economy and the potential that this offers for economic growth. It is the arena from, which many of the next generations of leaders will be, drawn. Expanding access can contribute to equity, can be organised in ways that are pro-poor and contribute to poverty reduction, and can enhance the capabilities on which development depends, yet the anticipated rate of economic growth (GDP) is not enough to expand the education system over the next five years to meet the demands of a rapidly growing school-age population." [**KII with MoES Official**].

This finding confirms the results discussed in chapter four of this study and other documents available regarding the relevance of social protection cash transfers in household empowerment. It was, observed that 42.6% of the teachers whose schools receive social protection cash transfers were present in class and teaching children (time-on-task) compared to 6.4% of the teachers in class but not teaching pupils (time not on-task) whose schools are not beneficiary. Government reports also acknowledged the significance of conditional cash transfers in boosting the education sector and calls for the social protection expansion to cover other critical areas of education such as illiteracy and dropout rate of girls. For instance, the increase in the general literacy rates is, attributed to the introduction of conditional cash transfers that supports government Universal Primary Education since its introduction in 1997. Thus, effective implementation of social protection cash transfers has led to increased

enrolment of girls and boys currently estimated at 50.1% for boys and 49.9% for girls respectively (UBOS, 2012).

Finding generated during the FGD and KII suggests that government and NSAs surveyed in this study provide a wide range of services – ranging from traditional social services such as curative health, and to, a more innovative service such as health insurance. It was, noted during the FGD that international NSAs played significant roles in capacities building of community-based actors (CBAs) in the areas curative and health insurance. Overall, 80.7%; of the CBAs who participated in KII informed the research team that they received a cash transfer from international NSAs to support their healthcare-related activities at the community level. From FGDS, 49% of the household heads indicated that they use their benefits (cash transfers) to access healthcare services provided by NSAs and 51% of the beneficiaries (older people) use their incomes on traditional curative health services due to the distance. One of the international NSA, such as Intra-Health International representative, had this to say during the KII:

> "Having heard the idea, the members who are interested in sharing their risks through the pooling of funds are the ones who come forward. All we do is capacity building and those who can take up the initiative; they build it, own it and run it themselves. For us, we do not own those groups; our role is capacity building, and if people like the innovation, then it is upon them to embrace it because they are the beneficiaries".
>
> **[KII with, Intra-Health Staff held in Kampala, Uganda**]

Although households receive cash transfers from government and non-state actors, multilateral and bilateral agencies (World Bank, International Labour Organisation, African Development Bank, European Union, African Union and International Monetary Fund) do not provide cash transfers directly to households. Instead, they transfer their conditional and unconditional support through the established government structures. The cash transfers meant to support programmes in education and health, as well as the agricultural sector, credit and savings schemes and large, medium and small-scale business enterprises.

5.4.3 Responses of social protection to healthcare services

Most households have access to conditional social protection healthcare services with specific reference to gender equality among the poor and vulnerable in post-conflict communities. The provision of social protection conditional cash transfers in the form of in-kind health interventions and CCTs to host communities is, regarded as a mechanism for promoting equity in healthcare delivery. The process ensures that there are better and well-equipped qualified health personnel and drugs at the health unit. Data from the household survey on health status

and access was analysed using the multinomial logit model, and the results answered the broad research questions (RQ3) concerning access. Children and women, especially the older and expectant mothers, are most vulnerable to malaria. The other common illnesses among children are acute diarrhoea, urinary tract infections; anaemia, dysentery, pneumonia, eye infections and skin diseases. During the male FGD held in Magoro sub-county, most adults reported having used their social protection grants to treat diarrhoea and malaria or buy mosquito nets.

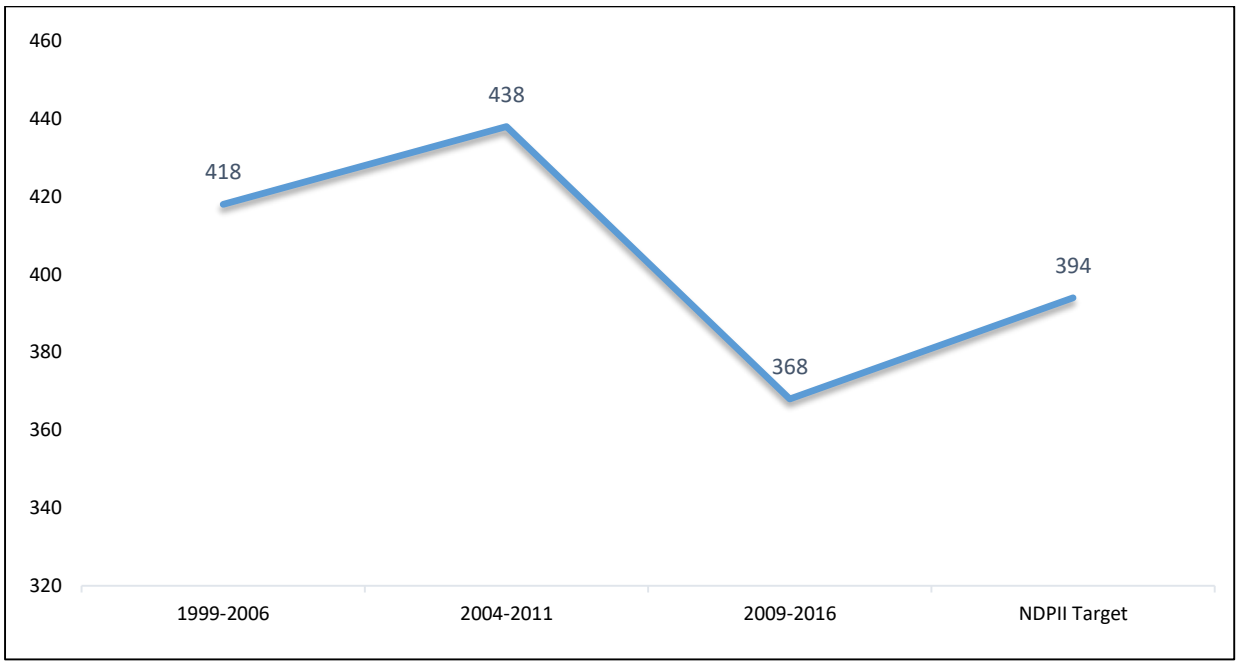
This probably explains why GoU and development partners through MoH are distributing free mosquito nets to the poor and vulnerable households in Katakwi district. Other common illnesses mentioned by the respondents are the prevalence of urinary tract infections, HIV and AIDS, injuries (trauma), eye infections and intestinal worms. This study finding compares with a previous study conducted in Katakwi District that established similar diseases. The prevalence rates of HIV and AIDs reported by the district health officer during the KII is 6.9%. However, the increase in expectant mothers attending antenatal healthcare (28%) was, attributed to the implementation of CCTs. Accessibility to SPSs in the areas of health care is still limited and problematic for most rural households, which call for effective implementation of SPIs. With CCTs from both the state and NSA, the district has been able to renovate the one hospital situated at the district headquarters.

However, the construction of more public health centres (HC IV) in each sub-county headquarters has operational challenges given the resource envelop of CTs that the district receives. Both household respondents and FGD participants complained about the presence of one surgical theatre at Katakwi district headquarter; moreover, the distance and location hinder them from accessing such services. Overall, Katakwi district has seven health III centres (5 public and two owned by the NSA), 14 health II centres, 12 government-owned and 2 NSA. However, they face understaffing (one Medical Officer) challenges, poor and limited quality maternity services, and about 52% of the population live within the 5-kilometre radius from the health unit. The provision of immunisation, free medical check-ups for older persons, and antenatal care for expectant mothers became prominent during the KIIs and FGDs; the participants' responses are consistent with national surveys on transformation (UBOS, 2017a). This is, exemplified by an emphasis by the state and with support from NSA on creating wealth through access to health.

Households in Katakwi district have access to healthcare services due to increased government investment through conditional cash transfers to the district. The increased access to healthcare

services is, attributed to the efficient implementation of social protection measures that targeted to reduce the high population growth rate. The maternal mortality rate for Katakwi district first declined from 438 deaths per 100,000 live birth between, 2004 and 2011 from 418 death per 100,000 live birth between, 1999 and 2006 before improving about 368 death per 100,000 live births between 2009 and 2016. The decline is, linked to the government of Uganda efforts of achieving the national development plan target of 394 deaths per 100,000 live birth by 2020. However, the Health Ministry and Development partners are implementing social protection measures that address the leading causes of maternal deaths. The maternal and perinatal death review indicates that haemorrhage stands at 36%, abortion-related deaths at 10%, and pregnancy-related hypertension 15% and uterine rupture at 11%. The underlying causes of maternal death in the Katakwi district are, related to delays in seeking for health care services by rural woman, reaching at health facility late due to distance and lack of adequate human professionals at the health facility.

Figure 5. 1: Maternal Mortality Rate



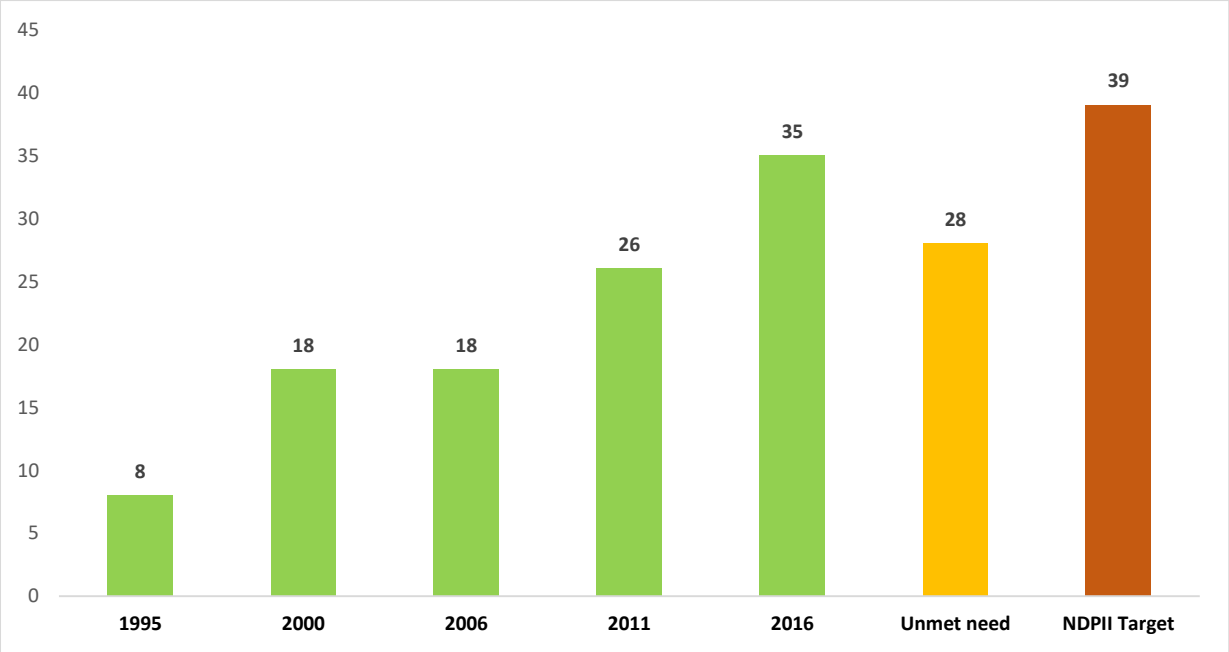
Source: Own computation using Katakwi district Health Data

Social protection actors support healthcare provision through in-kind and cash transfers to Katakwi district through increased medicine supplies, construction of accommodation units, and hard to reach allowances. In addition, social protection actors through their governance structures mobilise communities to participate in family planning as a way of reducing the burden of bigger families. Most poor and vulnerable households in the district have many

children that sometimes they fail to provide social support, mainly educational and treatment cost. Data obtained from the district health unit indicates that both male and female household heads trained in the use of contraceptive. Using their governance structures, state and NSAs use their social protection services to support households already married through pieces of training. The training program is, focused on contraceptives use to help couples to realise their basic rights but also to decide freely when, and how many children to have.

Data from a household survey on health status and access were analysed using a multinomial logit model, and the results answered the broad research questions (RQ3) concerning access. Children and women, especially the older and expectant mothers, are most vulnerable to malaria. The other common illnesses among children are acute diarrhoea, urinary tract infections (UTIs); anaemia, dysentery, pneumonia, eye infections and skin diseases. During the joint FGD held in Ngariam sub-county, most adults reported having used their social protection grants to treat diarrhoea and malaria or buy mosquito nets. **Figure 5.2** show trends in the implementation of social protection measures, which, has led to an improvement in the percentage of the female using recent family planning from 8% in 1995 to 35% women using Family Planning methods in 2016. However, the use of family planning stands at 28% at the national level while the Katakwi district development plan (2016) target is 39%. This implies that the target is low, as more women need to benefit from family planning methods.

Figure 5. 2: Show the percentage of women using modern family planning

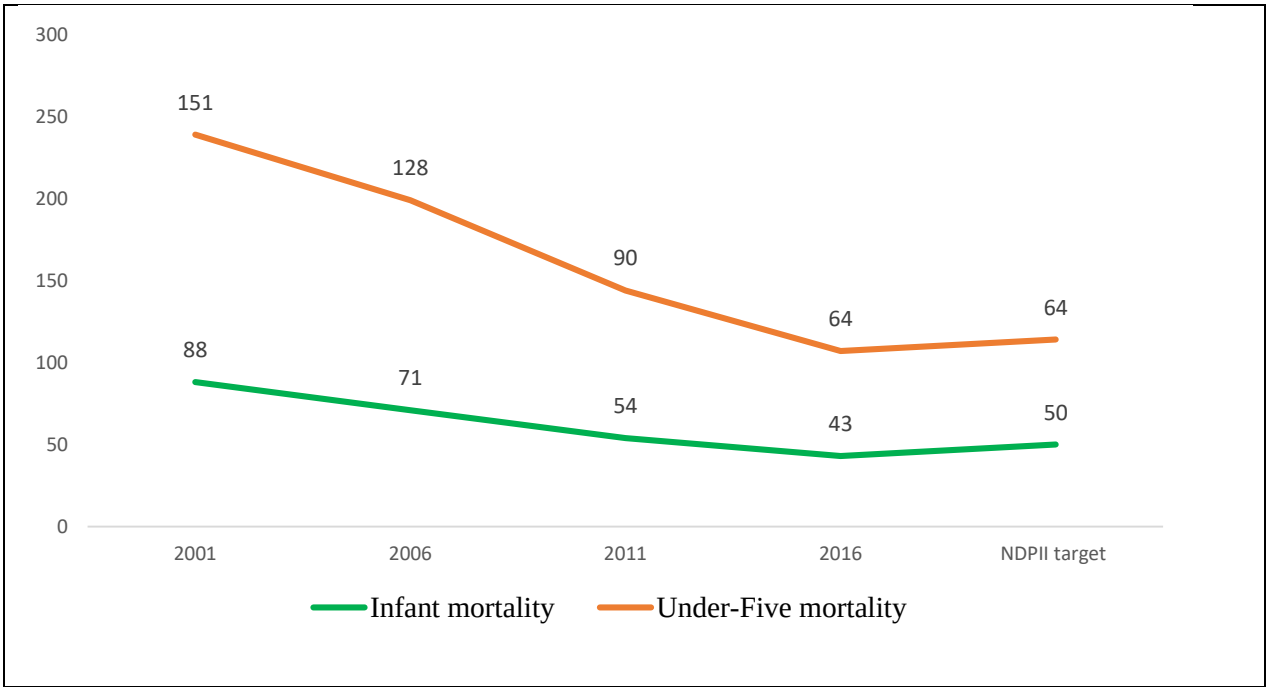


Source: Own computation using Katakwi district Health Data

The measure of child mortality rate includes infant-mortality and the under-five mortality. Infant mortality in this study is defined as the death of a child less than one year per 1000 live birth while mortality rate under-five of the death rate of children before their fifth birthday per is 1000 live births. Infant-child mortality rates are a basic indicator of Uganda's socio-economic situation that measures the quality of life (GoU, 2015).

Results in **Figure 5.3** show the decline in infant under-five mortality rates due to the effective application of social protection measures (SPMs). The under-five child mortality rate, however, reduced from the 151 to about 64 deaths per 1000 live birth in 2001 and 2016 respectively thus achieving the NDPII target of 64 deaths per 1000 live birth The infant-mortality rate also reduced from the 88 to about 43 deaths per 1000 live births in 2001 and again in 2016 respectively. The infant mortality rate target under NDP II is 50 deaths per 1000 live birth; thus, there is a high likelihood for the district to meet this target.

Figure 5. 3: Decline in the child mortality per 1,000 live births



Source: Own computation using Katakwi district Health Data 2016

5.4.4 How Households Use Social Protection Transfers

The adult respondents in FGD said that they use their grants to support the children's educational needs. About 48% of OHH beneficiaries stated that they use their grants to meet

their family consumption needs, such as purchasing nutritious food (meat, and fish) for the entire family. Whereas most of the respondents claim that they spend their grants on household needs like beddings and clothing, others claim to spend their grants on meeting the educational needs of the children such as sanitary towels for girls, books, uniforms, and shoes among others. Although a smaller group of the respondents expressed their fear during FGD that access to medical services and the costs of getting treatment is higher compared to the monthly stipend they receive through transfers, they are better off than receiving nothing. This discussion correlates with the study's assumption: (that existing measures of social protection are inadequate to address multiple deprivations in Katakwi district). Respondents further emphasised by a single mother who said that she does not want her children to feel uncomfortable because she cannot meet school requirements:

> "I always pray and ask God to help me look after my children. I am a single a mother and God is only my husband that I turn to. With God, we make sure that our children should not envy anyone and God; my husband does not want our children deprived of anything. I strive to purchase necessities, including school uniform, shoes, church clothes, jelly, sanitary towels and beddings for all my children. I openly tell my children that the rebels killed their father; so I am their father and mother. My children listen and obey me. We always pray together every evening, and God has seen us through. My first-born girl is now joining Makerere University. To God, be the glory and honour."
>
> **[FGD Participant, a mother of 3 girls and 2 boys in Kapujjan sub-county]**

> I do not like sending my grandchildren to school hungry. I try my best to provide for them since they lost both parents by buying and parking for them something to eat at school. Using my monthly SP stipend, I also try to divide the money and give each of them as pocket money. **[FGD held with older Participants, Ongongoja Sub-county]**

In addition, the focus group discussion members in Katakwi district town council suggested one need for successful and effective execution of social protection in post-conflict communities. They argued that there should be an increase in the total consumption of households that would lead them to transit out of poverty. One of the respondents illustrated:

> Social protection (SP) transfer initiatives that target women can empower more in the decision-making process, which eventually leads to a more than proportional increase in the share of household budget spending on necessities such as clothing, medical, food and educational requirements. **[Older FGD Participants in Omodoi sub-county]**

Further, an 83-year-old woman in Ngariam sub-county, Acanga parish, supported this and *Orukurukio* village explained that her money is, used for buying paraffin for "*etodoma*" (a locally made kerosene lamp), meat, millet, greens and other small basic needs.

Given the culture in Teso where women are not, allowed to own land and to some extent, even land access and other productive resources are limited. It emerged from focus group discussion that 67% of the participants, particularly the recipients do not reflect on their spending of SP cash transfers in the form of saving or starting a small-scale business compared to 33% who save. They are, nonetheless credited to social protection cash transfers meant for children being insufficient to invest or save. During FGD, participants stressed that the amount of money received under social protection cash transfer programme is not sufficient to meet daily domestic needs; however, they are, able to meet other family basic needs, which are immediate like medical treatment and fees for those going to school. When they were, asked if the amount of the cash transfers received under social protection programme was adequate in supporting them to meet all their basic needs, one beneficiary was sceptical but said the following:

> "As you can see by yourself, we are poor because we have limited options to better ourselves. When my husband was killed, I was removed from the house despite being pregnant with our first-born. I regret that my husband is not here to see what is happening. I do not have anything; the monthly stipend transfer somehow assists, but it is not enough. So, I have to plan how to use the stipend carefully to meet my needs and that of my child in future". [**FGD held with female participants in Ngariam sub-county**]

Reading from the above responses, the majority of the household who participated in the FGD largely agree that social protection cash transfers are useful in helping them manage household poverty and vulnerability to the community despite receiving a little stipend. Thus, this finding corresponds with the findings in chapter four where the majority of the household respondents recognised the importance of social protection in poverty reduction.

5.4.5 Responses of Social Protection to Conflict Mitigation

Conditions that predispose households to mitigate vulnerability at the community level is a result of the extreme presence of armed Karamojong cattle rustlers, which further exposes them to poverty. Other sources of vulnerability include volatile food prices, ill health, civil strife and conflicts, theft, and injury from accidents (MFPED, 2012). The majority of poor and vulnerable households and especially women, children and older persons use various approaches to mitigate their effects of conflicts and vulnerability to poverty (RoU, 2015). These approaches fall within the formal and informal social protection measures championed and implemented by the state, cultural, religious, and traditional leaders as well as non-state actors to address

household vulnerabilities (CPRC, 2008; Younger, 2004). Thus, the concept of equity requires a state and NSA perspective to commitment in the provision of healthcare services (Fernando, and Moonesinghe, 2012). This perspective should deal with household difficulties in accessing healthcare social protection services by way of eliminating poverty and enabling access to healthcare services by the poor and vulnerable households. Perhaps, this should not only provide care aimed to improve the health conditions of the poor and vulnerable households, but it should also support households to alter their conditions that create, worsen, or perpetuate household and community poverty marginalisation.

> "Poverty is both the cause and result of poor health, and the government argues that reducing health inequalities will contribute to combating poverty at household and community level. The proportion of poor and non-poor women and men and the gap between poor women and men is so significant. These gaps create difficulties for some of them in accessing health care services. Thus, the introduction and implementation of cash and in-kind transfers by state and non-state actors need to be, re-examined at all levels, especially in the health care service delivery (GoU, 2015:44)".

Notably, poverty levels among the middle class in central and western Uganda are minimal compared to the post-conflict regions of eastern and northern Uganda, which are insecure (MFPED, 2014). The variations in poverty levels across regions of Uganda is, attributed to the causes of civil wars and conflicts. The peaceful sub-regions attract growth and development with about 23% of the population benefiting from the growth compared to 77% of the sub-regions affected by conflicts living in chronic poverty (MFPED, 2014) as reflected in the following quote:

> Essentially, there is no gender disparity in access to health care services in the district and at the national level. Women and men, girls and boys, living either in semi-urban trading centres or in rural and hard-to-reach areas are at risk of facing difficulties in accessing health care services, thus raising their vulnerability to household and community poverty levels. Women, in particular, reported significantly less access to health care than men due to distance and difficulty in accessing qualified medical personally. **[KII held with UNICEF staff, Kampala].**

5.5 The Governance Structures of Social Protection Programmes

This section presents findings of the data collected from various respondents during the key informant and focused group discussions held at national, district and community respondents.

5.5.1 Governance of Social Protection

Governance entails structures, rules/regulations, instruments and interrelations between staff that are involved in the management of the affairs of an institution and organisational given initiative. The governance structures constitute mechanisms and processes through which, NSA engaged in social protection make decisions regarding the administration and implementation of their mandates. The specific focus areas of governance analysed in this section of the thesis are policies, regulations and accountability mechanism that institutions and organisation apply to ensure effective delivery of social protection services and performance of NSAs in addressing gendered vulnerability to poverty and the overall satisfaction **(see Table 4.5)**.

Findings from the KII reveals that NSAs at community level largely involve 41% of their member beneficiaries and 26% of the non-beneficiaries in the design of an intervention, while 33% of both beneficiaries and non-beneficiaries are involved in deciding on who should be, included in the overall governance structure responsible for the implementation of social protection intervention. During the KII with NSA officials at the community level, there is high participation of all the recipients across the different stages of project development. A female respondent said they gather beneficiaries to participate in the decision-making process regarding the prioritisation of their needs and interests. We involve households in our project programming to get their participation:

> "We normally involve household in communities that we target to have their buy-in and for them to be part of the decision-making process in their community".
>
> **[KII held with Female aged 35 in Katakwi Town council]**

This finding corresponds with the government of Uganda national development plan two (NDP II) proposal involving household participation in government programmes (NDP, 2015). Quite often, government interventions to reducing household poverty and vulnerability have failed to a certain extent to deliver the poor and vulnerable households from poverty and vulnerability (Lwanga 2015). Consequently, household heads in rural communities are progressively starting their self - help initiatives that deal with poverty and vulnerability. Therefore, community-based associations, organisations, do planning and prioritisation of the needs and interest of their members through their self-help groups involving all leaders as revealed during the KI:

> "If you look at the way the village SACCOs are operating, they are composed of both men and women and also in some cases the youth are, given special consideration. In

> such a case, you find that the group members are working together as a team and getting results. The same approach has been, applied to revolving fund schemes (*aipoono*) in the villages". **[KI Male, Katakwi sub-county].**
>
> Perhaps this is what we here in our community call good governance with a clear structure that is transparent, and all members have a say in the decision-making process. He proudly remarked with a smiling face. **[KI with a 68-year-old man in Ngariam sub-county]**

The women further, confirmed the above findings on how they are involved in the project activities and equal sharing of the benefits accruing from their SACCO. They participate actively in the planning meetings. Most informal NSAs use their governance structures since the majority of their staff are field-based who implement to implement project activities. As a result, beneficiaries of their interventions are, routinely summoned to attend community consultative meetings. On the other hand, the informal NSAs at community level implement their activities collectively with each member having a responsibility to play. Of specific interest to this study was the extent of gender involvement to the day-to-day operation of the organisational project activities. While 66.7 per cent of top organisational management were male among the NSA organisation operating in Katakwi district, only 33.3 per cent of the top management officials were females. This finding has an implication in the delivery of social protection measures, especially those that target poverty and vulnerability reduction. The casual variations in gendered poverty level where 51% of the male beneficiaries in Katakwi district were, found not poor compared to 49% of the female beneficiaries who live in poverty **(see Figure 4.3)**.

5.5.2 Selection criteria

As noted from the previous discussions in Chapter One and Two the central and significant concern of this study is in the role of social protection programme in reducing poverty and vulnerability, how to ensure that social protection benefits and other services reach the intended people a right time. I further, explained in the previous chapters that poor governance structures and dishonesty in delivery of SPMs occur when individuals responsible for performing the intervention manipulate programme requirements for private gains. **See Section 5.3.2.2.**

Accordingly, the existing problem that may arise from the indirect flow of relevant and accurate information on SPCTs intervention may result in slow execution of SP programmes. Shunning dishonesty and promoting transparency in the implementation and avoiding errors during the

design of SP policies and programmes is essential in ensuring that the targeted and intended household receive the benefits they require. In circumstances where households affected by trauma, SP providers need to design coping strategies that adequately address the mindset of the poor and vulnerable families. This can be, done through avoiding corruption and disharmony and by promoting best practices of transparency as a basis of good governance and accountability.

Amanda Ellis (2012), for instance, observed that:

> Notwithstanding the efforts made by agencies delivering targeted social transfers, there is a need to explain the concept of transparently and why specific individuals or families are deemed eligible to receive social protection transfers. Despite involving communities in the beneficiary selection, a sense of puzzlement and unfairness about the selection process can nevertheless persist in populations long after the targeting decisions have been, made.

Amanda Ellis (2012) made a further observation:

> "That the peculiar problem in social protection programme execution is targeting of the beneficiaries especially when the coverage level of the programme is limited to certain numbers of people and not universal to the cover the entire population" (Ellis, 2012).

The above quote means that social protection actors require the necessary skills of gathering the right information during the design of social protection interventions. Actors providing social protection need to know the need and culture of the beneficiaries before the actual delivery of social protection intervention to the intended household beneficiaries.

5.5.3 Interaction

As noted from the previous chapters, this study recognises the importance of governance structures of NSA in the application of the social protection policies and programmes. The study explored how the NSA uses the existing structures to interact with beneficiaries and how NSA arrange the delivery of social protection serviced to the intended recipients. During the KIIs held with the implementers providing social protection measures, one respondent explained the channels through which they interact with recipients while delivering the intended interventions to the selected project recipients. The explanations highlighted the importance of having active governance structures if they are to be successful in the delivery of social protection interventions and if these interventions and initiatives are to have a meaningful impact on the recipient's household livelihood. From the KII, a senior programme officer working with the World Vision Uganda has this to say about governance:

> "She defines and links the governance of organisations that have sets of rules and regulations. These rules and regulations have procedures on how the organisation work is done collectively as a team. Finally, governance is, conceived as a set of moral, ethical behavioural norms, which define the outlines that constrain how the rules and regulations are specified, and enforcement is, carried out. Institutions dictate behaviours, approaches and strategies that organisations adapt to deliver services". **[KII held with World Vision Program Officer in Kampala]**

Another female participant from USAID head Office in Kampala describes how they interact and use their social networks as:

> "Social interaction networks are considered critical to the delivery of social protection services. These social networks have structures, although informal that can be used to deliver social protection services. This description and the finding collaborates with Sabates-Wheeler et al., (2008) proposition". **[KII held with USAID staff Kampala]**

> "When they are invited by the state actors to attend meetings, they are given little or no time to prepare for a comprehensive discussion. Sometimes the invitations are, extended at stages when the most critical decisions, have been made. Also, they perceive that the Government's invitations are meant only to make the processes inclusive and not to solicit comprehensive input from NSAs". **[KII Action Aid International-Katakwi District Field Office]**

In this regard, governance means a set of formal and informal processes, arrangements, practices, procedures and rules exercised in the management of non-state actors (NSA) as well as relationships created during delivery of social protection services to the recipients. While the minority of the international NSAs agree with the above principles on governance, few of the national NSA and community-based actors (CBAs) indicated that there is very little text on how governance arrangements may influence the interaction between recipients and providers of SPSs. These make the realisation of social protection objectives more difficult for most African nations (Taylor, 2008). The researcher was interested in understanding the structures through which social protection providers interact with project beneficiaries and the governance arrangements that describe non-state social protection initiatives and their effects on the performance of social protection providers in the post-conflict context.

The fundamental debate, however, is about the role that providers of social protection actors play in distributing available quality social protection services. For NSAs to make a constructive and significant contribution to the social-economic welfare of recipients, they need to strengthen their governance structure. Governance as conscious management of public and private institutions has multiple definitions and understanding. This study appreciates the

role of governance in the delivery of SPSs that includes; mechanisms and processes required to articulate the interests, rights and differences of citizens. Brody (2009:26) while articulating the concept of gender equality, "recognises the important elements of effective governance in the delivery of SPSs" (Brody, 2009:26). During focus group discussions, participants appreciated their participation in electing their leaders without influence. Because of their involvement in choosing their leaders, they can receive services though not adequate; it is better than acquiring nothing at all, as stated in the following quote:

> "With the state providing a peaceful environment that enables NSA operations, we have been in a position to spell out our community needs and challenges which NSAs have responded to, especially the construction of water points, supporting our brothers and sister's education and sensitisation program on home economics. This was not there previously; we can now access social protection services that NSAs provide and the distance to access such services has now, been reduced for us in this sub-county".
>
> **[FGD held with youths, Magoro sub-county].**

> "When we are, faced with a crisis, development partners always communicate to us their intentions to support our community. We also have our community-based structures or groups, family and or kin through with formal communication. The response is through cash and in-kind transfers; traditional informal systems also provide some form of insurance that plays a significant role. Indeed, they have adopted various designs, approaches and strategies, which contribute to the effective delivery of social protection services". **[KII, Local Council III chairperson, Kapujjan sub-county]**

> "This simply defeats the whole purpose of eliminating discrimination and inequalities against any individual ….. and taking affirmative action in favour of groups marginalised based on sex, gender, age, disability or any other reason created by history, tradition or custom to redress imbalances which exist against them". **[KII held with the Senior Policy Actor, MGLSD].**

Most of the respondents from the study site indicated that their participation and inclusion in the governance structures of NSAs have been useful in empowering them to manage poverty and vulnerability. They further claim that there has been an increase in the level of self-confidence and self-esteem for both of them, especially during the return and resettlement process. In terms of gender, men and women constitute notable proportions among top governance and management of social protection in post-conflict communities. A significant number of NSA were working on supporting female households to access health services.

Results from the KIIs and FGDs reveal the spatial distribution of NSA; some of them having their offices located within Katakwi district headquarters (urban), some in trading centres and town councils (peri-urban) and with frequent visits to rural and hard-to-reach areas. Whereas

the implementation of social protection activities in sub-counties differs, each project's terms of reference, geographical scope, target beneficiaries and model of the application, the decision and selection criteria for delivery of SPI also differs because projects have different objectives and timelines. In an interview with KII respondents, their decision to work in selected sub-counties is, however, hampered by limited resource envelope with most of them implementing their activities in few sub-counties and selecting a manageable number of beneficiaries. During the KII, one respondent had this to say:

> "……we are the main providers of social protection services here in Katakwi district, we need to expand our social protection interventions so that the community can leapfrog to catch with the rest of the country. As actors of social protection, we have put in place a mechanism to support the poor and vulnerable households with our minimal resources". **[KII with Katakwi District NGO Forum at Town Council].**

The impact these projects have in supporting and defending the poor and vulnerable households cannot be, disputed or questioned. For example, these projects help and bring out the voices of the voiceless females and children in accessing, utilising and owning of property like land. Responses obtained from the K.T.C leaders reveals that men own about 92% of the land in Kapujjan sub-county. Almost, 99% of males in Ngariam sub-county have control over family resources, including land, domestic animals, radios, and incomes earned from the sale of extra units of agricultural outputs. One of the NSA officials attributed limited operation of NSAs in some sub-counties to poor road network and conflicts that threaten the lives of its employees, which were, reported to be high in these two particular sub-counties.

A KII had this to say:

> "When it comes to the issue of land, you will see that there is a problem and everyone's eyes are open wide. As an organisation working on land issues, our experience is that particular sub-counties are still affected by the traditional cultural norms, strong cultural beliefs like, for example, in Kapujjan, Ongongoja, Ngariam and Magoro. Currently, we would like to have our activities there, but we are, cut off because of the conflicts. For fear of being in the middle of conflicts in Ongongoja sub-county, there has been an issue of land grabbing. Besides the issue of land grabbing and conflicts, the roads are not good, so you may be forced just to keep silent, and yet some of the households in those sub-counties are really in need of our interventions". **[KII held with Oxfam Representative, Kampala].**

The above discussion collaborates with other scholar's arguments regarding the selection and delivery criteria of SPS by the State and NSAs. The selection of the recipients is, often marred with incorrect and poor decision-making processes. The ILO (2015), emphasises the need to have correct decisions in protecting, preventing, promoting and transforming the lives of the

individual selected to benefit regardless of the causes and effects of the vulnerability levels they face (ILO, 2015). Therefore, social protection providers ought to target specific aspects that cause certain groups of people, such as children, orphans, women, older and PWDs to remain poor for so long or easily fall back into poverty-vulnerable households (Holmes, 2011). The designed interventions should be able to address a given aspect of vulnerability for a given target of the population (Wim et al., 2015: 23-24).

Echoing the above text, a female counsellor from Usuk sub-county had this to say during the joint male and female FGD held in Usuk sub-county:

> "Sub-counties that had between 20-37 NSAs sub-counties including Ngariam, Magoro and Ongongoja were identified by the NSAs to be more vulnerable than the other sub-counties. Because of their presence in those sub-counties, their decisions and choices made to select beneficiaries have yielded positive successes compared to sub-counties with no or few NSAs".

However, the presence of more NSA in sub-counties such as Katakwi, Ngariam, Magoro, and Ongongoja appear to have over half (53%) of the NSA presence with high poverty levels. Nevertheless, female and child heads of households in Usuk, Toroma, and Kapujjan respondents were concerned about why they, have been, neglected by NSAs. One of the members in the FGDs had this to say:

> "They have limited presence in our area, and we wonder how they have selected those receiving their services, yet we are also here looking for help! We see them bring and offer assistance to those they have selected. There is an older woman who is about 71 years who needs support! Can those organisations come to help this older woman?"
>
> **[Joint FGD held with women and men in Usuk sub-county and KTC].**

Therefore, the concept of accountability is, primarily judged based on the participation of the project beneficiaries and the providers of the interventions. The information on the interaction of actors and recipients, and none recipient participation in the design, application, monitoring and evaluation is crucial. Participation of beneficiaries should be through physical attendance of meetings; sharing information; mobilisation; training workshops and seminars; and contributing money to savings and credit scheme initiatives among other activities. During the KIs with NSA, in Katakwi district, the respondent noted that:

> "We do not even receive any support from the NGOs. They always go to other communities but not here. Sometimes they come and go. We always hear money has been stolen, but we do not see any benefits. They would rather give money to the groups, who know what they want.

> They use the money to buy what the community does not need some of us have not benefited [from the formal NSAs]. They should bring those activities to the groups. The groups should determine what they want, not them deciding for the groups and people". **[FGD, men, Katakwi Sub-county).**

The men in the above excerpt disclosed the need to have improved all-inclusive participatory approach introduced by some of the NSA. Whereas men and women in the community revealed that there was limited NGOs work in the areas despite their presence, households in Katakwi sub-county with the highest number of NSA are transiting from poverty and vulnerability. Nonetheless, households in all sub-counties are progressively participating and setting up associations to support each other to deal with some of the problems at the household and community level as one of the opinion leaders reveals:

> "I, actually support that system of governance [which involves men and women]. If you look at the way the village SACCOs are operating, they are composed of both men and women; in some cases, the youth have been, given special consideration. In such a case, you find that the group members are working together as a team and getting results. The same approach should apply to other areas that have activities related to revolving fund schemes (*aipoono*) in the villages". **[KII Male Toroma sub-county].**

5.5.4 Participation in Social Protection

A community leader revealed, "Participation in social protection initiatives has a bearing on the social and economic wellbeing of all participating members". This is because social protection has a variety of interventions and initiatives that have been provided to improve household consumption. During the focus group discussions (FGDs), a female-head of household stated that their participation in social and post-conflict recovery activities helps them to access extra additional incomes that they use to provide education and health for family members.

In our capacity as a community-based organisation, we provide health and educational services to community members in areas that we work through engaging them in activities that make them earn extra income to supplement their monthly stipend paid by the government. Thus household access to social protection services, especially with, regard to health and education, places them in a strong position to protect the entire family against livelihood risks and shock.

The Key Informant had this to say:

> Although household participation in social protection governance at the community level can take place within different social and economic contexts, support for household participation in community development and poverty reduction programmes increases on their sense of ownership and belonging as part of demands for effective delivery of health and education. Household participation in these programmes under social protection policies is a big step forward because they acknowledge the gravity of poverty, unemployment and social exclusion. They are a policy effort towards addressing these situations, and they are, cast as a rights-based approach, which citizens can claim. [**KII with A Community Based Actor at Toroma sub-county**]

The implication of the above quote resonates with the findings where 20% of the non-beneficiaries and 25% of the beneficiaries had access to health care service. 33% of the non-beneficiaries and 22% of the state beneficiaries of adults, receiving cash transfers had their children attending formal education and 35% of the non-beneficiaries and 40% of the beneficiaries have access to other social protection services like credit facilities.

A female household head had this to say:

> Before participation in the programmes, they had engaged in activities of which they were ashamed, such as begging for food, sending children to school hungry, and wearing ragged clothes. **[FGD with female household head in Ongongoja sub-county].**

A Chairman of a Local Council Five (LCV) had this to say about the NRM government policy:

> Indigenous or homegrown governance that is effective and transparent will allow greater participation of citizens in the decision-making process, and this empowers citizens to exercise their authority in public affairs and demand health and education services. **[KI with the District Local Council Five, Katakwi District]**

Most respondents view social protection as a vital tool for enhancing the household's social status and their rights. Before the introduction of cash transfers, respondents who participated in FGD stated that they were unable to meet their needs (food, clothing and shelter, healthcare and education) for their children. However, the introduction of social protection cash transfers to the poor and vulnerable household heads has made it possible for them to address the causes of poverty. Findings from the FGD held with heads of households indicate that 27.7% of the male and 31.6% of the female heads of households now have a sense of belonging, which was never the case where family or community members isolated them because of their age. Besides, 27.7% of the male and 28.4% of the female respondents said they are now able to contribute to the needs of the family, especially in education for grand-children and medical costs. In terms of acquiring life living skills, 24.6% of the male and 28.4% of the female respondents said that community-based organisations trained them.

A female household beneficiary had this to say:

> "Like in our group, people have benefitted in getting mattresses, and we agreed that every Sunday a member contributes 2000/= (USD$0.8) towards the purchase of a mattress for another member. The group contributes for a member who is in need, for example, to buy beddings, household utensils; some borrow money when they have problems and pays back with no interest. When we save, we also buy cows, goats and anything that one desires". **[FGD Female Household head in Ongongoja sub-county]**

The implication of these finding indicates that benefits such as empowerment, counselling, and access to essential health care services, among others, is made possible with the cash transfers they receive every month. Male heads of household were happy of being able to provide food to family using monthly cash transfer benefits. The benefits reflect the need to recognise the efforts of the social protection service providers in meeting the needs of the beneficiaries. For instance, it found that 45% of the sampled population in Katakwi district was poor; 20% were at, risk of being poor and vulnerable and 35% not poor **(see Figure 4.2)** for more details.

Besides, some of the respondents explained that because of their lack of gainful employment, they were unable to participate in income-generating activities and peace-building meetings. About 35% of the household respondents cited weather conditions as the leading cause of household poverty (constraints in financial sources as their main reason that hindered them from accessing medical and education services). About 61% of the respondents cited insecurity occasioned by Karamojong armed cattle rustlers, and 71% cited LRA rebels as the leading cause of their household and community poverty **(see Figure 4.5).**

Before the introduction of social protection cash transfers, 77% of older persons were living in extreme household poverty; while 88% of children dropped out of school, especially girls. Almost, 82% of female-headed households were vulnerable and not capable to meet their basic needs as an older person during the KII states:

> The government has selected me to be a beneficiary of the social protection cash transfer, which is a good thing, but there are, more people that need this kind of support. This programme has renewed me and made me stronger each day; I am still healthy to continue providing for my family because I have the alternative sources of income. I invest the money into productive activities, especially diversifying my agricultural practice. Thus, this has helped me get additional income to pay for medical care for family members and me and sometimes school fees for my grandchildren of my late brother killed during the war. **[KII with Female-headed household beneficiary, Usuk sub-county]**

Older persons are often compelled to continue doing hard work due to the lack of a predictable source of income to meet the basic family needs for grandchildren under their care. About 14.5% of older respondents were, found engaged in active agricultural activities or informally employed during the period of the study. Because of poverty and vulnerability, several older persons are, forced to work to sustain themselves and their family members. The findings in this study reveal that 85% of older respondents are engaged in crop farming, which is categorised by prices oscillations, irregular income and low returns on labour, which in turn increases their vulnerability levels. Over 93% of older respondents in Katakwi district do not have any form of savings or access to a pension scheme or any other form of social security.

Similar views were, observed during the interviews with the district NSA comprising of religious and opinion leaders. During the interview discussions, NSAs stressed that social protection remains central in providing incomes and boosting household consumption levels due to the transfers the vulnerable poor receive to fight against livelihood risks. Services provided by government and NSA should work towards promoting inclusive growth regardless of gender, age and location. Devereux and Sabates-Wheeler's (2004) recognises social protection framework that provides broader and rights-based social protection measures to include policies and actions that enable poor people to participate and benefit from inclusive growth. In contrast, findings from Katakwi district reveal that the government social protection framework has primarily dealt with economic risks and shocks (ILO, 2019). Indeed, the conceptualisation and understanding of social protection measures need revision when it is being, applied to post-conflict situations. The conceptualisation and knowledge should extend beyond the economic risks created by insecurities on how do households use their cash transfers to improve their social and economic status within a human rights framework.

5.5.5 Accountability and Transparency

The importance of transparency mechanism confirms that the recipients' have sufficient access to information concerning the implementation of social protection policies and programmes. Data from the focus group discussions (FGD) shows that NSAs provide opportunities for sharing information with the communities. From the review of the existing texts, this study discovered that most NSA uses meetings as their primary channel for communication with communities. The frequency of meetings ranges from annually to weekly with the view of promoting accountability and transparency in the implementation of SPIs. However, results

analysed from the FGDs in all sub-counties visited reveal that NSA did not hold any meetings with beneficiaries and non-beneficiaries at all. The FGD participants affirmed that some of the interventions provided by social protection actors (SPAs), especially the NSAs, do not reflect their needs and interest they face. One of the members who participated in FGD had this to say:

> "Our leaders play politics all the time. They do not call us for a meeting, and they come to ask us about our problems and needs. They simply bring us projects that don't meet our needs and interest".

In the KII held with the District Local Government (DLG) official representative, the respondent said most groups have members with diverging interests, which explains why soon after receiving money from NUSAF they disintegrate amidst conflict over how to share the money or manage the group. Therefore, there is no real accountability and transparency in such circumstances. She had this to say:

> Where group-based enterprises had succeeded with Vulnerable Group Support (VGS), it was often in cases where the groups had been established well before applying for and using NUSAF funds. They had written laws, rule and procedures which process accelerated transparency and accountability. We shall continue to support such groups that meet our standards. There is no short cut to this, she exclaimed! **[KII held Katakwi District Chief Administrative Officer, 2017]**

Another District Local Government official who participated in the KIIs explained how social protection cash transfers implementation done, which contradicts with the CAOs views. He told how community members are, expected to assist in sensitising and informing all the communities about the government programs as follows:

> "The role of the local council one (LC 1) at the community that we refer to as the chairman is that any time we are in the community. He would help us to organise and talk to his community members about the benefits of the programme because he/she is the one who takes and makes decisions on behalf of the community. **[KII held with CAO, Katakwi].**

The opportunities for sharing information are, commonly provided through community review meetings and training workshops as well as through monitoring and evaluation visits conducted by both the state and NSAs field staff. Overall, the most common communication and feedback channel are through meetings as reported by more males during the FGDs. The least channels of communication and feedback mechanism are the monitoring and evaluation activities. This prearrangement was, however, eminent in creating ownership and sense of belonging through responsibility accountability and transparency among the membership.

5.6 The Respondents Understanding the impact of SPCTs

This objective aimed to establish the respondents understanding of the impact of social protection services delivered to their community in Katakwi district. The sections below present the views of the respondents.

5.6.1 : Respondents Understanding of the impact of SPCTs

Although scholars in research institutions and organisations attempt to provide different definitions regarding SPCTs, beneficiaries who participated in FGDs conceived it as "money was given to those who require help", which in turn use the social grants to support their needs can address absolute poverty. Other respondents understood social protection as the "support provided to the needy or poor or youth; it can be in the form of cash, utensils, moral support among others." Although the non-beneficiaries who participated in FGDs were not clear about the selection criteria of recipients, they acknowledged that they use the grant transfers in different ways.

They also acknowledged seeing some members within their communities receiving cash and other support from government and NGOs. The majority the respondents perceive SPCTs delivered by the state as a way of giving back to the community for voting the current government into power. However, a few of the FGD participants confused conditional with unconditional cash transfers. About seven of the eight participants had no idea about both the conditional and unconditional transfers. Most of the respondents were not aware that state transfers have conditions attached. Some participants believe that the government gives cash transfers to enable the government to stay power longer, as reported during the focus group discussion.

During the FGD, one respondent stated:

> 'Conditional state-supported transfers are given to her because her children are enrolled and attending both Primary and Secondary education'.
>
> For instance, I know that the state gives financial support to the poor and vulnerable households like myself. I am grateful because my children can now go to school since I do not have enough money and enough land for cultivation; besides, I am a single mother with seven children is not an easy task. I cannot manage to meet the school requirements like uniforms, basins, sanitary towels and shoes since the educational expenditure is high! Thanks to God for helping my children to be, selected as recipients of SP transfers,

> and I now know that my children will complete their education because they are hardworking. **[KII with the female recipient, Toroma sub-county]**

Nevertheless, findings from the KIIs held with the traditional, opinion, and religious leaders on their perceptions about the recipients' selection criteria indicate different responses. Practically, all respondents said they are not consulted and not given the mandate to identify those members who are more poor and vulnerable in their communities. It was further revealed that the government wants people to move out of poverty through such initiatives, but these programmes are, marred with corruption. Officials tend to consider those close to them; accountability for some social protection programmes is poor. The government needs to follow up on the implementers to ensure that there is transparency and effective implementation of social protection programmes. One of the respondents from the FGD insisted that those involved in the selection should be, investigated methodically as reflected in the following quote:

> "I believe most of the current beneficiaries are close relatives of those implementing the programme. However, most of them do not tell the truth about their social and economic status. An investigation and a fact-finding should be prompt to those currently receiving SP grants and the outcome of the investigation with our assistance should be made public for purposes of promoting transparency."**[KII with elders in Ngariam Sub-county]**

> You visit those current household beneficiaries and see for yourselves if they are poor or not, for what I know they are not, they are deceivers, they help their close relatives and friends. Surely, this is not fair! **[KII held with an older woman in Ongongoja Sub-county]**

Another member from the faith-based organisation emphasised that:

> Households who are, not regarded as more poor and vulnerable must not get social protection grants, let the grants be for separate households especially single mothers, child-mother, child-headed households and older persons, whose children have abandoned them or killed during the war. **[KII held with FBO representative Usuk Sub-county].**

Whereas households (beneficiaries) receiving social protection cash transfers from the central government can meet part of their expenditure, especially food and health care, their counterparts (non-beneficiaries) are regarded poor and vulnerable had no alternatives to cope. Non-beneficiaries complained that there is no transparency in the selection of beneficiaries, and this mainly involves government officials who make wrong decisions during the selection process. The district official stated that before the identification and selection of beneficiaries, we have the following procedures:

> "During the planning and designing of the programme intervention, we organise initial meetings with the relevant committees at district and sub-county levels with the cultural, religious and local council leaders in their respective communities. We present to them the plan and main objectives of the project before discussions with them commence. The project scope is, communicated to beneficiaries, and they are, informed about how we intend to implement the project, the intended project goals and objectives at the end. Before that, we further constitute different committees that would work with us during the implementation process. The purpose of this is to ensure that there is ownership and stakeholder buy-in. The selected members of the committee are, mainly drawn from the local communities comprising the head of the clan, youth and women leaders, faith-based organisations, and local council leaders at villages and parishes. Besides, we also ensure that community extension officers and community health assistant are involved at all levels of the project. We do this because we want to promote all-inclusive participatory approach while delivering SPCTs to all selected beneficiaries. The theory behind this is that we want them to be involved in the programme management and at the same time to be sure that all our participants in those committees are attending community meeting regularly". **[KII held with FBO Representative at District Headquarters]**

Results from the household analysis in Chapter four indicate that most household respondents, both beneficiaries and non-beneficiaries, had adequate access to in-kind social protection transfers. The In-kind transfers in this study include agricultural farm inputs, medical waiver, free immunisation and antenatal healthcare, universal primary and secondary education and psychosocial counselling support. It was also discovered that a higher proportion of the household recipients of in-kind social protection transfers were saving after sale of their produce. Furthermore, the ability to borrow increased their purchasing power for goods and services on credit than their none recipient's counterparts who were, considered less credit-worthy. However, receipt of formal transfers among respondents in Katakwi district was low but much higher for targeted social protection cash transfers households than for non-recipient's households. **See Figure 4.10**.

5.6.2 The impact of SPCTs on household coping strategy

The need for effective implementation of social protection measures is crucial for achieving global and national policy-related aspirations—through supporting equity and social justice. According to Taylor, the state works towards social justice and redistribution of resources to attain sustainable development of social protection floors (Taylor, 2013). Therefore, social protection measures generally contribute to and strengthen the capacity of poor and vulnerable household heads to care for their family members, and removes barriers to services that obstruct families from achieving their goals and aspirations to progress (Taylor, 2013). Therefore, NSAs experience should not be, ignored because their experiences validate the role of SP

interventions in improving and enabling the poor and vulnerable households to access education, health, water, and food besides other household needs across the entire community. Social protection is consequently an essential channel for bridging the gap between households that are, adequately reached and those that have been, excluded from the mainstream social protection through promoting social justice and equity in access to SPSs that reduces extreme poverty (Taylor, 2013).

5.6.3 The impact of SPCTs on household poverty

Most social protection service providers, especially from NSA reported that their target beneficiaries received basic formal training on income-generating activities, psychosocial support, mentorship and advice. The main training areas covered major household coping strategies, particularly income generation, home hygiene and sanitation, savings, and other aspects like labour sharing. Formal training was reported more amongst national and international NSA. Informal training targeted community-based actors and focused on capacity building of households through learning from each other, information sharing and other informal means.

> Having heard about the idea, the members who are interested in sharing their risks through a pooling of funds come forward. All we do is to provide the capacity building and those who can take up the initiative; they build it, own it and run it by themselves. For us we do not own any of those groups; our main role is to conduct capacity building, and if people like the innovation, then it is upon them to embrace it because they are the beneficiaries of the initiative. **[KII held with Action-Aid Uganda staff, Katakwi District]**

5.6.4 The impact of SPCT on Food Security

The impact of social protection measures on food and nutrition are apparent in Katakwi district. According to respondents, during the long dry spells, the government of Uganda usually supplies food to some households, especially households with older and disabled people. Respondents acknowledged the support received from humanitarian agencies as sufficient in enabling them to cope and overcome household risks and shocks. Respondents in Omodoi sub-county, for instance, accepted that social protection services provided at school like porridge is helping their children to study and remain at school:

One of the respondents illustrated:

> "The humanitarian agencies like UNICEF supply food to our community schools and teachers prepare porridge for our children. I am happy with the social protection though,

> and I am not a receiver of cash transfer!" **[FGD, women, Palm sub-county]**.

Another respondent revealed that:

> Our main problem is hunger. The little food supplied to us by the United Nations and other agencies, especially the World Food Programme and UNICEF is not enough to feed all of us because we are many here. Food is our priority. **[Joint FGD held in Palm Sub-county]**

When asked why they think that the portions provided were little, the respondents explained that corrupt leaders sometimes sale food and at the same time they favour relatives more than other people.

Corruption inhibits the delivery of programmes on food and nutrition, which affects progress. Leaders misuse the money meant to support households trapped in food and malnutrition, which leaves us exposed to household poverty and community poverty. Another source of household failure to address food and malnutrition to poverty is the existing social inequality that stems from the cultural perceptions and attitude about gender roles, ethnicity, and social classes. A KII respondent recognised that inequality right from birth to growth is a significant factor contributing to poverty, as stated below:

> "Most households are dependants and greatly rely on the subsistence production for their existence during and time of the harvest to avert famine. During these periods of scarcity, about 71% of the household lacks adequate resources to meet their nutritional needs. Moreover, natural disasters such as prolonged droughts, flooding and armed cattle rustling have devastated households in communities. Households often suffer much more extensive and acute crises during shock and risks periods because they have limited productive resources that inhibit household recovery processes with inadequate shelters, meals, and productive resources to respond to crises". **[KII, MoH staff Kampala].**

However, there are new forms of social protection services that are gaining popularity in most conflict-affected households. These include community-based and facility-based health insurance schemes, and village savings and loan associations. These initiatives represent a different way of providing social protection services, by mobilising resources from the intended beneficiaries themselves. The increasing popularity of group income-generating activities and vocational skills training for vulnerable youth signify yet other forms of social protection measures. These measures seek to go beyond traditional preventive and protective services and break into *promotive* and transformative social protection services that can place the power to break vulnerability in the hands of the target groups themselves. The emerging discussion from

the targeted respondents at national and district levels suggests that credit and saving schemes, as well as group support for income-generating activities (IGAs), are vital. Further, this can enhance micro-entrepreneurship and economic empowerment of the hitherto vulnerable household groups.

Besides, a male non-beneficiary who was present during the FGD session in Palaam sub-county noted that the SP programme had helped women in the community where he stays. He had this to say:

> "The social protection programmes and other interventions provided are recipes for fighting poverty and vulnerability at household level". [**FGD held in Kapujjan sub-county].**

The Local Council one (LC1), also had this to say:

> "The selection of beneficiaries is done based on the priorities and needs of the committee. The committee members make recommendations, and those considered to be in need and require assistance are selected together with their children who are of school-going age".

Another female household head also a widow and a single mother revealed that:

> "If you saw me at that time before I was selected to be a beneficiary of the cash transfer programme, you would probably imagine that I am a dead but living person because of the way I was living and surviving. I was very small and skinny as a result of the many problems I was experiencing, especially looking after six children with twins. The LRA rebels killed my husband, and his relatives rejected me. They chased me away from the land that my late husband, occupied and built a house. The responsibility of taking children that my husband left with me is, proving difficult because I have no access to land, and I cannot support my children school requirements alone. My living condition got worse when one of my eldest daughter, aged 13 years old, got pregnant, and the boy who made my daughter pregnant disappeared from our community. I had to find ways of helping her but also look after her siblings. The situation worsened until the community leaders nominated me to get government support. When I started receiving the cash transfers from the government, my situation changed positively, and today, I am happy because I can afford to have two-three meals in a day, buy pencils and books for my school-going children. Generally, my life has changed because of the social protection cash transfers".

She further added that on the day of the selection, she was, called to attend the meeting without knowing the plan and purpose of the meeting at the LC 1. At first, she thought that there are going to chase her away from the community since she was not married. Unmarried woman do not have, respect, and they are, regarded as a curse in the community. The committee chairperson on, behalf of the members informed her that she was nominated to be a beneficiary because she was suffering allot. And that there seemed to be no help coming from the relatives of the deceased husband.

According to another FHH beneficiary in Ongongoja sub-county:

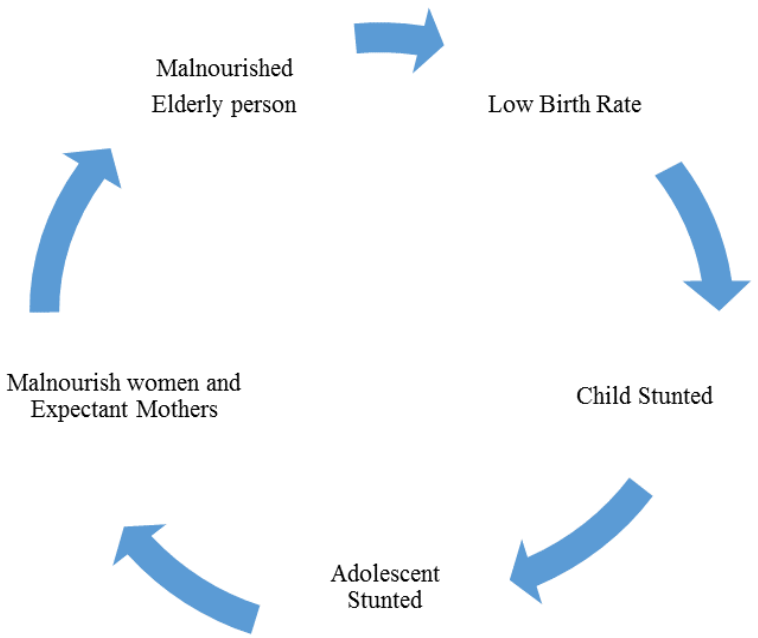
> I benefited from the SPCTs programme and how I wish such program can be extended to other communities with a continued transparent way of selection so that others in my situation who were, not selected on that day could also benefit as well.

An older man who did not benefit from the programme was in attendance during, the selection, said that the exercise was conducted openly because many people were in attendance; thus this shows transparency and good leadership by our community leaders. He, however, expressed his feelings as follows:

> In my view, the relevance of the SPCTs program in helping women is a good program, but these programmes should be available to help men because men are also vulnerable. "I hope men will also get their turn soon" **[KII with an older male, Omodoi Sub-county]**

Households headed by children are predominantly vulnerable to household and community as well as nutrition, and optimal childhood development. Malnutrition, micronutrient deficiencies, and absence of access to social protection services, especially health and education, are causes of low birth weight. Low birth weight signifies poor household nutrition that expectant mothers face during the pregnancy period, which raises the concerns for the healthy development of an infant. In Katakwi district, there are many cases of early teenage pregnancies. Nearly 11% of child mothers' give birth to babies who are of low weight compared to older women (UBOS, 2017b). In addition, 23% of the CHH have difficulties in accessing health and nutrition services, especially those living in rural communities due to long-distance, lack of transport, and lack of care from the relatives and neighbours. Consequently, CHH who are non-beneficiaries of SPIs in conflict areas are more exposed to poverty than those who are not.

Figure 5. 4: The Effects of Malnutrition on Productivity



Source: Own conceptualisation using field data

Food and nutritional dilemmas remain the most fundamental challenge households in Katakwi district face during this period of post-conflict recovery (Fernández, 2015). The state of food and nutrition insecurity, especially among households headed by children and older point to the need for social protection. Food nutrition constitutes an important component of the Uganda national development plan two (NDP II) that addresses household poverty and vulnerability (GoU, 2015). On the issue of food insecurity, it emerged in focus group discussions that some people have resorted to some simple and traditional irrigation. Some use water cans to water plants, while there are very few who can afford to purchase irrigation systems, have managed to secure them. Others were using the bottle irrigation method, which is very cheap and affordable for most households. Some households have adopted the traditional means of storing food in traditional granaries. Although some coping measures have been, adopted, some households continue to look for donations from the government and NSA to fill the nutritional gap.

> "Malnourished children suffer from irreparable intellectual impairment and stunted physical growth. Hungry children make poor students and are prone to drop out of the educational system. Hungry and malnourished adults are unable to be fully productive workers and are more likely to be ill, increasing the burden of the already over-stretched health system. Under-nourished women give birth to low birth-weight babies, transferring the large economic disadvantages of malnutrition in their own lives to the next generation. The aggregate costs of nutrition insecurity at the national level impose a heavy burden on efforts to foster sustained economic growth and improved general welfare". **[KII held with Education Officer, Katakwi district]**

The above discussion with the district education officer points to the vital objective of nutrition security that requires improved welfare that requires the household to live a healthy and productive life. This efforts of food nutrition security drive the national objective aimed at achieving zero hunger[5] (GoU, 2015:21). Therefore, the implementation of social protection transfers aimed at strengthening Uganda food and nutrition policy must be, identified and defined (UBOS, 2011).

5.7 The Contribution of Social Protection Actors to Service Delivery

Non-State Actors operating in Katakwi district have been credited for providing protective, preventive, promotive and transformative social protection services to households primarily through addressing domestic gender violence and early marriage. In a KII with a UNICEF representative, the respondent acknowledges the challenge of domestic gender violence and early marriages increasing in Katakwi due to poverty and helplessness situation. She had this to say:

> "Working together with our partners such as the Lutheran World Federation, ActionAid International and other district stakeholders, it is regrettable to see women being, buttered by their husbands and older people removing their girls from school to get married". **[KII held with a UNICEF representative, Kampala]**

The ActionAid International supported the UNICEF voice, and he had this to say:

> There is a need to build on the lessons and experiences that should strengthen the activities of the few NSAs, such as burial groups that are working to providing preventive and protective services. As stakeholders in the game against violence and girl-child marriage campaigner, we have to diversify our programme interventions to support the activities that transition rigid cultures into promotive and transformative that can break the cycle of household vulnerability to poverty. Its poverty that causes early girl child marriage, nothing else! Says the ActionAid International representative in Katakwi District. **[KII held with ActionAid representative, Kampala]**

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[5] http://www.fao.org/sustainable-development-goals/goals/goal-2/en/

Marriage below the age of 18 years (Child marriage) remains a widespread practice across many cultures in Teso and Katakwi district of Uganda in particular (UNICEF, 2015). Evidence from the Uganda Demographic and Health Survey (UDHS, 2011) reveals that over 15% of ever-married women aged 20-49 were married by the age of 15 and 49% were married at 18 years (UBOS, 2012). The literature reviewed further indicates an increase in the marriage age. For instance, 55.7% of women aged 20-49 married below the age of 18, and 19.6% married below 15 years (UBOS, 2018).

Although the prevalence of child marriage is declining with fewer women marrying at a young age (before 15 years), a study by Jain and Kurz (2007: 14) ranked Uganda 9th among the top 20 'hotspot' countries for child marriage. In 2013 the World Vision, Uganda ranked 16th among 25 countries with the highest rates of early marriages; with 46% of girls marrying before 18 years, and 12% before they are 15 years (World Vision, 2013). Social protection interventions respond to multiple livelihood vulnerabilities considered socially unacceptable ICRW (2011). Thus, vulnerability may be transitory, chronic or structural (Devereux, 2006). Vulnerability is, a state of being in which, a person is likely to be in a risky situation, suffering significant physical, psycho-social or mental harm that may result in their human rights not being fulfilled.

The transformative social protection services should include psychosocial counselling, capacity skills building and training. It is, however, essential to note that the types of social protection services offered are limited to support preventive and transformative activities that would address critical household vulnerabilities identified, such as domestic gender violence. Other limitations include access to productive resources like the land that was, identified as challenges to women, poverty, unequal access to and control over resources. The Domestic Violence Act does not cover cohabiting partners, at the same time 2004 amendment to the Land Act of 1998 requires spousal consent to sex but does not recognise co-ownership of land between spouses. During the FGD, in Omodoi, a female respondent had this to say:

> "The Land Act also fails to require customary land tenure systems to permit women to act as co-owners/managers of customary land and creates weak protections for widows who seek to inherit their husband's land. She also points out that the Employment Act, 2006 restricts punitive action in sexual harassment cases at work to an employer or his representative, saying nothing of physical, sexual and verbal abuse by co-workers". **[FGDs with the District Youth Councillor, Katakwi District]**

In an interview with the Police office during the KII, the respondents indicated that their organisations did not address gender issues in their activities compared to other organisations

who considered gender issues and yet, the gender violence is rampant in their community as stated by the Police Officer in-charge on Omodoi sub-county:

> We see and receive such cases, but we cannot address them because we are not, facilitated to investigate and prepare files to be submitted to courts for action. So we only receive and record complaints but those who can facilitate us, we do the investigation and forward their files for further management. **[KII held with the Head of Police Station, Omodoi].**

Uganda has better laws that can protect and transforms every one right from the household to the national level. Nevertheless, we have a challenge in implementing those laws. A female representative from the Uganda Law Society had this to say:

> "Ineffective laws pose a big challenge to the fight against Laws such as the Penal Code (Amendment) Act 2007, the Domestic Violence Act 2010, the Sexual Offences Bill and the Marriage Bill do not address key aspects of the law. None of these laws criminalises marital rape".
> **[KII held with a female representative from the Uganda Law Society, Kampala].**

The study also found that non-state social protection actors who provide social protection services in the study areas were, dominated by small, grassroots and membership-based groupings. These groups initiate and form their associations themselves to respond to their needs. In part, the widespread nature of these types of initiatives reflects the gap in service-delivery left by government line Ministries responses. It is a significant gap in the literature referred to in this study as "gap-filling" in the face of a deficient state. Gap filling in Katakwi district and more in Uganda is not new. Literature has shown how non-governmental organisations (NGOs) and other non-government actors emerged in the early 1980s to fill the gap left by collapsed state services following the social and economic crisis brought by previous governments (MFPED, 2012). The emergence of non-state actors at different times and indeed the age of non-state actors also resonates with the socio-political situation. In Katakwi district, these self-help and membership organisations are older, some of the initiatives date back to 1980s and post-conflict efforts.

However, Katakwi district has a few types of social protection services provided by non-state actors because cultural and traditional initiatives were, destroyed during the peak of the civil war in Northern Uganda. Since the return of relative peace, the non-state scene has been, dominated by international and national humanitarian actors, who have also increased their project activities. The non-state initiatives in Katakwi district are therefore the post-conflict

responses that have come following the end of hostilities in the region. The findings seem to suggest that the action of NSAs in social protection provision often triggered by some events such as wars, epidemics, etc. However, their durability and sustainability are, conditioned by a different set of factors, and most critically, their source of resources and support-with depend on whether this source is internal or external. Consequently, various social protection services in Katakwi district have provided both formal and informal social support to the affected population.

5.8 Conclusion.

Overall, many state and NSAs respondents who participated in phase two (qualitative) noted that social protection measures and other interventions were good for households evolving from conflict. Effective and transparent application of social protection has a positive influence on households emerging from conflict mainly through employment opportunities and better living conditions. While 20.6% of KII was cognisant on the role, social protection plays in addressing poverty and vulnerability, 14.3% of the KII respondents credited social protection actors for fighting poverty and vulnerability. It is important to identify and provide targeted social protection support to the internally displaced persons (IDPs) and the neighbouring communities hosting IDPs. However, recipients and non-recipients believed that there should be inclusive SPIs than giving to the selected few. "When there is war or conflict, it doesn't affect the few beneficiaries, but it affects all of us in this community either rural or urban, it affects all walks of people including children, older, women, and people with disabilities[6]".

The socio-economic status of the recipients is, examined with, respect to the causes of household's poverty and community poverty, responses of social protection measures to Household Poverty and Vulnerability, the governance structures of social protection programmes and the contribution of social protection to household nutrition. Access to SPSs, improved household consumption patterns, income, employment, resettlement and reintegration, and family support network. The implementation of educational cash transfers has the possibility of increasing enrolment of children into primary education, and most of them have a chance to complete primary education despite the difficulties they encounter. Female respondents who are residents of peri-urban areas say that they have access to

[6] A voice of the community clan leader in Ngariam sub-county

information regarding health, and education SPMs. The respondents between the age group of 26-45, said that targeting only older persons would not help the community recover from conflicts, but they too should be, targeted with specific cash transfers programmes since they are energetic, can contribute to protective and community transformation.

CHAPTER SIX

PRESENTATION AND DISCUSSION OF QUANTITATIVE AND QUALITATIVE FINDINGS

Chapter 6: Introduction

Chapter Six provides a discussion based on the few selected variables derived from chapter Four and five. The findings are discussed concurrently in order to provide an in-depth analysis that provides deeper insights into the causal relationship derived from the quantitative and qualitative analysis. I used quantitative phase one and qualitative phase two of the study to generate data that answered the explanatory, and exploratory sequential study objectives and questions: **Section 6.2** of the study presents and discusses the theoretical perspective and the role of social protection in poverty and vulnerability. **Section 6.3** The effectiveness of social protection programmes in supporting households coping strategies. While **Section 6.4** presents household access to social protection services, **Section 6.5** presents the structures through which social protection programmes are, delivered in Katakwi District. **Section 6.6** provides the readers, policy and decision-makers with a framework through which social protection measures can be, applied in the context of crisis. Finally, **Section 6.7** provides the conclusions of chapter six analysis drawn from chapter four and five study findings.

6.1 Theoretical Perspective and the Role of Social Protection in Poverty

This study objective sought to establish the role of social protection programmes in poverty and vulnerability reduction by answering the study research question on what are the impacts of social protection measures (SPMS) on household poverty and community poverty reduction in a post-conflict setting such as Katakwi district within Teso sub-region Eastern Uganda.

6.1.1 The Theoretical perspective of social protection in poverty and vulnerability

The theories of poverty as discussed in **Chapter Two** of this study, the analytical and conceptual framework in **Figure 2.5 and 2.6** respectively are used in this study to analyse the impact of social protection programmes in poverty and vulnerability reduction. The study uses the Greer and Thorbecke (1986) model to compute the role of social protection programmes in reducing poverty and household vulnerability to risks and shocks in Katakwi district, Teso sub-region of Uganda. Several variables, including access to social protection services, were fitted

in the logistic regression model that helped to identify significant factors and causes of household poverty and vulnerability from a post-conflict environment. In a logistic regression model, the probability *p*, that a household is non-poor is given by:

Eqn.8. $$p = \frac{e^z}{1+e^z}$$

The central to the use of the logistic regression is the logit transformation of *p* given by *Z*

Eqn. 9. $$Z = In\left[\frac{p}{1-p}\right]$$

Eqn. 10. $$Z = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_3 + \cdots \ldots \ldots \ldots \beta_n X_n$$

Where

β_1 in the model are taken as the regressor parameters
X_1 *in the model are considered as the independent variables*

The categorical variables consist of the education level of the household head, the gender of the household head and the residence (urban, semi-urban and rural). The model results that are, fitted were, got by selecting only those significant variables on household access to social protection services (SPS) as presented in **Figure 4.10 and Table 4.8** the last row in the table gives the number of cases used in the process. The poverty "head-count index" in **Table 4.5**, P_0, is the proportion of households below the study poverty line**.** The higher the P_0, the worse the poverty situation. The poverty gap index (P_1) is the total proportion of income required to enable the poor and vulnerable households below the poverty line to cope by acquiring the minimum recommended daily calorie allowance, which should enable households to move out of the household and community poverty. The household severity to poverty in the study analysis is, however, recorded by P_2. The higher the P_2, the more severe the poverty situation among the poor and vulnerable households in the post-conflict district of Katakwi.

Overall, 47% of household beneficiaries and non-beneficiaries' had access to social cash transfers in Katakwi district. About 61% of the beneficiaries and non-beneficiaries of household respondents had access to agricultural farm inputs in all sub-counties of the study area. Whereas 65% of the beneficiaries and non-beneficiaries had access to healthcare, and 68% for education social protection services, 100% of the beneficiaries and non-beneficiaries received post-conflict psychosocial support. Thus, based on the P_0 measure, Ngariam sub-county has the highest proportion of needy poor households. The poverty gap guide/index, P_1,

also reflects that 27.8% of households in Magoro sub-county have the greatest depth of poverty. The severity of poverty captured by P_2 also suggests that Palaam, and Ongongoja sub-counties have more severe poverty 24.1% and 13.9% respectively. All three measures suggest that the poverty situation is worse, especially in the sub-counties within Katakwi district that border Karamojong, thus requiring urgent social protection support to escape household and community poverty.

It was, further discovered that household heads with better education levels are less likely to be poor and vulnerable to household poverty and community poverty. The likelihoods of being non-poor for those without education was found to be 24.5% compared with households whose heads have tertiary education. They are 13.8% for household heads whose education level stopped at primary school and 23.4% for household heads whose education level ended at secondary/high school, 28.7% for college or equivalent of diploma holder and 9.6%.

6.1.2 Attitude and perception

The main cause of the household poverty cited by respondents was the attitude and perception of individuals towards participation in the post-conflict recovery activities. Results from the household survey in **Section 4.4.1.3** confirms that 23% of household have poor attitude and perception towards participating in post-conflict recovery activities due to the killings of their family members. They attributed their poor attitude and perception towards participating in the post-conflict recovery activities to the family members who were killed during the conflicts.

The findings in ***Chapter Four and Five*** reinforces the **Cultural Theory of Poverty** which postulates that the counterproductive behaviour that causes poverty is the behaviours of the households (Dahl et al. 2014). Lamont M and Harding S (2010:6) also state that the "behaviour of the low-income population in reference is a function of cultural factors" that demonstrates how culture and behaviour are "processes and mechanisms that lead to the reproduction of poverty" (Lamont M and Harding S, 2010:6). Vaisey (2010) who also examined the "cultural theory models and motives that the poor internalise suggest that there might be an "exogenous explanatory power" that serves to inhibit socioeconomic success" (Vaisey 2010: 96). In addition, Lamont and Harding (2010) further argue that poor neighbourhoods are more culturally heterogeneous, which causes problematic adolescent male sexual, violent behaviour, which in turn reinforces poverty (Lamont and Harding (2010).

While the above advocates of the **Cultural Theory of Poverty** (Lamont and Harding, 2010; Dahl et al. 2014; Vaisey 2010: 96) have explicitly explained the behaviour of low-income populations in reference to cultural factors, their theory fails to predict the individual household heads attitude and perception towards participation in post-conflict recovery activities, categories of poverty and causes of poverty in the context of a conflict situation.

In this study, we find that poverty in the conflict setting is caused by several factors other than those cultural factors mentioned above by the Cultural Theory of Poverty scholars. In Katakwi district, for instance, civil wars and violent conflicts have caused household and community poverty. Most household respondents cited the killing of the family members, destruction of household property, and psychological torture of maiming and raping of women and girls. These plus other different combination of factors have negatively impacted on the household attitude and perception to imagine that there is a better tomorrow. Because of the devastating impact of the conflict, the household still have a negative attitude and perception towards participating in post-conflict recovery activities. The analysed data demonstrates that 23% of the beneficiary and non-beneficiary respondents cite their attitude and perception to poverty and of the conflict. [**see Figure 4.7 and Subsection 5.4.1.1**].

Social protection actors need to address household's attitude and perception to help poor and vulnerable households recover fully from decades of conflicts and trauma if social protection services are to create a positive change in the recovery process. According to Taylor (2008), poverty is multidimensional and requires a multifaceted approach of social protection programmes that respond to those who are experiencing absolute deprivation and those who are vulnerable because of age (children and the elderly), because of gender discrimination women and girls are underrepresented in social insurance schemes and suffer poor health and disabilities (Taylor, 2008:51). The International Labour Organisation (2015) also acknowledges that in any society, the prevailing attitudes depends on such matters in the distribution of responsibility to support the poor and vulnerable through intergenerational solidarity (ILO, 2015b:90).

Confirming this analysis, Armando Barrientos (2010) recognises the importance of social protection measures that provide interventions to address multidimensional and persistent poverty and vulnerability (Armando Barrientos, 2010). The attitude and perception among poor respondents in Katakwi district contributes to the high levels of household poverty and community poverty. **(See Figure 4.3**). The implication of these findings, therefore, calls for

decisive action by the providers of social protection to deal with the household attitude and perception if household poverty and community poverty is to be defeated (Taylor, 2008; ILO, 2015b; Armando Barrientos, 2010:6).

6.1.3 Civil wars and Conflicts

Another cause of household poverty identified by the respondents in Katakwi district was the devastating violent conflict that swamped the entire Teso sub-region. The civil wars and violent conflicts greatly affected the social, cultural and economic setting of the population negatively in Katakwi and Teso sub-region in general. The **Theory of Social Change** as articulated by the renowned scholar of poverty such as Doug Reeler in 2007 postulates that there is a need to have deepened understanding and respect of what causes social change. According to Doug R (2007), understanding deeply and respecting what change processes already exist can only help policy and decision-makers to respond to and work with a more profound sense of reality, rather than its shallowly perceived set of problems and needs (Doug Reeler, 2007). However, the **Theory of Social Change** fails to link social change to civil war and conflict as identified by the respondents in Katakwi district.

While the **Theory of Social Change** points to the fact that there is need to understand deeply and respecting what social change processes can be used to respond to any social crisis, it does not mention what kind of social crisis should be followed policy and decision-makers to the needs of the affected society. In this study, we find a combination of the causes of poverty and vulnerability. **See, for example**, ***Section 1.2.4, subsection 1.2.4.1; subsection 1.2.4.2 and 1.2.4.3 in Chapter One.*** Results from the household survey reveal that poverty and vulnerability are deeply rooted among post-conflict communities. About 61% of the respondents stated their sleep back to poverty and vulnerability is because of the cattle rustling activities, and 71% of respondents attributed their state of poverty and vulnerability to the LRA insurgence. **See Figure 4.5**.

Statistically, this study thesis finding correlates to a greater extent with the national results which founds that 38% households in Teso are poor because of the wars/conflict and 43% due to other social factors (UBOS, 2017d:102). Taylor (2008) empirically observed that global changes reflect disturbing trends in relation to poverty and waged work (Taylor, 2008: 23-25). She further contends that lessons from these from other studies confirm that when social protection is located as a critical component of social policy and development, it has the

potential to address multiple dimensions of poverty, to reduce inequities and inequalities and to play a role in the national economic growth agenda (Taylor, 2008:23-25). This study finds that households in rural areas are deeply swimming in poverty and vulnerability due to a mismatch in understanding and interpretation of policies and programmes by the implementers at the national and district level. See Section 5.4.2 and subsection 5.4.2.1 KII with World Bank representative.

Although in his writing Doug R underpins the importance of social change to deepen the understanding and respect of what causes a change (Doug Reeler, 2007), Adesina underscores the relevance of social protection policies in addressing social security through cash transfers to leverage household consumption levels (Adesina, 2010). The importance of vulnerability and insecurity analysis should be, built with a clear strategy that strengthens social protection policies links with an over-arching analysis of poverty and vulnerability (Norton A. et al., 2001:39).

The fight against household poverty and household vulnerability to community poverty in Katakwi district and Teso sub-region as well as other post-conflict districts of Uganda should be, integrated into social policies that are pro-poor and social protection policies and programme interventions should be, adopted and used as weapons to destroy poverty and vulnerability. The above findings on poverty and vulnerability reduction remain a global concern due to its magnitude and the uneven distribution across regions (World Bank, 2012). Such dimensions of poverty are significant in their own right and are also essential analytical components for the understanding of household poverty and community poverty. See Figure 2.5 and 2.6 for more details.

6.1.4 The infertile land and limited access to agricultural farm inputs

Another cause of household poverty and household vulnerability to risks and shocks identified by the respondents is the soil infertility and limited access to agricultural farm inputs. About 15% of the respondents cited unpredictable weather conditions contributing to household poverty and their vulnerabilities. Whereas 15% of the respondents reported soil infertility and limited access to agricultural farm inputs, 10% of the household respondents cited increased pests and disease such as locus as the main cause of their vulnerability to poverty. *See Figure 4.7.* During the focus group discussion (FGD) participants further, cited that they cannot participate in the production of food as a means of boosting their food and income security and

consumption levels due to land and resource conflicts mainly grass and water for animals. See section 5.4.1.3.

Poor weather change aggravates household vulnerability of the already risky livelihoods; compounding and exacerbating the causal issues of household poverty and household vulnerability to food and income insecurity (*see Subsection 5.4.1.2).* Cyclical droughts, unpredictable rainfall, and poor soil fertility all render poor and vulnerable households chronically food insecure and create an interrelated set of humanitarian and development crisis. The Structural Theory of Poverty blames poverty in the existing situations and structures within the established social, economic, and political systems where for instance, aspects such as marginalisation, discrimination by race, tribe, gender, sexism and religion limit an individual from accessing socio-economic opportunities**.** In their writing, Barbieri and Bozzon (2016) identifies that failure of government reform within the economy may significantly contribute to the increased social, economic marginalisation and discrimination of affected individuals (Barbieri and Bozzon, 2016).

Borrowing a leaf from the work of Chaudhuri, S (2002), absolute poverty in this study thesis is theoretically associated with the vital minimum (Chaudhuri, 2002). The concept of relative poverty incorporates the concern with inequality or relative deprivation, where the bare minimum is socially guaranteed in the case of Katakwi district. Taylor V (2008) explains that social assistance programmes can target the 'most vulnerable and those living in absolute poverty (Taylor, 2008:124). The study defines absolute poverty as "a condition of life degraded by diseases, deprivation, and squalor." The essence of poverty, in relative terms, is "inequality" that ought to be eliminated through social protection transfers.

6.2 The effectiveness of social protection in reducing poverty

This question explored the main causes of household poverty and community poverty by examining the effectiveness of social protection programmes had on the beneficiaries and non-beneficiaries of social protection services from a post-conflict setting. The findings from chapter four and five are, presented and discussed in the following subsections.

6.3 Gendered Vulnerability to Household and Community Poverty

The objective of this question was to ascertain how effective are these social protection programmes addressing gendered vulnerabilities to poverty in Katakwi district? The sections below present the views of the respondents derived from quantitative and qualitative results.

6.3.1 Gendered Vulnerability to Household

The Quantitative analysis of the household gendered vulnerability reveals mix results as presented in **Table 6.1.** Based on the household survey data collected from Katakwi district, 59.5% of male household respondents in the Katakwi district are likely to remain poor now due to income instabilities compared to 40.5% of females. While 35.2% of male households are likely to become poor soon due to limited asset base, 64.8% of females are more vulnerable and have limited access to productive assets.

Table 6. 1: Gendered Vulnerability to Poverty levels in Katakwi district

Major causes of vulnerability	Gender	Frequency	Per cent
Lack of incomes	Male	22	59.5
	Female	15	40.5
	Total	37	100.0
Lack of assets	Male	19	35.2
	Female	35	64.8
	Total	54	100.0
High expenditure costs	Male	28	56.0
	Female	22	44.0
	Total	50	100.0
Large extended families	Male	22	46.8
	Female	25	53.2
	Total	47	100.0
Others	Male	7	58.3
	Female	5	41.7
	Total	12	100.0

Source: Own computation using household survey data

From **Table 6.1** limited access to income and productive asset, resources are major causes of gendered vulnerability to poverty. The Gendered expenditure and consumption levels among the exiting extended families are high, which also plays a significant role in contributing to vulnerabilities and inequalities. For instance, about 56% of male respondents complained that they spend a lot of their income on higher education and health expenditures. On the female heads of households, 44% of females bear the burden of taking care of all household members.

The study also reveals that 46.8% of older household heads, male respondents have larger and extended families compared to 53.2% of female-headed households who have more burden to provide for the orphans and older persons. In this regard, the gendered vulnerability can be, decomposed in terms of vulnerable poor and non-vulnerable poor households. Overall, 58.3% of male household respondents in Katakwi district are likely to remain poor now, while 41.7% of female households will be non-vulnerable in the near future. It can be, concluded that gendered vulnerability to household poverty and household vulnerability to community poverty among the recipient respondents is decreasing because of the social protection cash and In-kind transfers programmes as opposed to the sizable fraction of non-recipient households who are likely to remain vulnerable to poverty**. (See Chapter 5.4.2).**

In addition, social discrimination characterised by exploitative relationships of power and patronage and poor work opportunities (limited economic growth – work does not allow asset accumulation and children's education). The poor people are susceptible to a diversity of risks, including political, environmental, social and economic shocks and stresses (Holmes and Jones, 2009) that increase their vulnerability to poverty. Economic and social risks are, intertwined and hence initiatives to address these gendered vulnerabilities to poverty should recognise this interconnectedness to have a holistic approach to addressing gendered vulnerability to poverty. Vulnerability to poverty is conversely, noted to vary across age, ethnicity, religion, class, location (urban and rural) and gender.

Specifically, women's vulnerability to both household and community poverty arises from their socio-economic status and from unequal power relations, which have often accorded women less access to and control over socially productive resources than men and less right to participate in decision-making processes. Traditional and cultural shared norms that impact gender roles within a given context often lead women to take on heavy burdens in terms of their social roles especially home care and, yet they are economically constrained in terms of access and control of productive activities than men. In Katakwi district, the processes through which households become poor and the levels of vulnerabilities that they face are usually, gendered differentiated.

While some generalisations can certainly be made in the context of Katakwi and other post-conflict districts, such as women who are widows, they are more likely to be vulnerable to both household and community poverty than men. Therefore, any social protection interventions (SPIs) must take care of women because of the social and economic roles they shoulder.

Women need to be treated differently and categorised with homogenous needs (poor, vulnerable and not poor). However, it is impractical and dreadful to tailor all SPIs to idiosyncratic needs of individuals. Some effort should be, made and directed to disaggregate gendered related types of vulnerabilities as much as possible. However, male and female respondents are facing hardships because they are unable to provide basic needs to household members due to unemployment and limited access to productive resources like land.

Addressing gendered forms of vulnerability across the life cycle can lead to gains in gender equity, poverty reduction and human development, which is crucial for unlocking the economic potential for pro-poor growth. The higher levels of vulnerability often faced by girls affect future productivity; they are more likely than boys to be kept out of school for domestic chores and home-based work (although boys run the risk of not attending because of income-earning responsibilities); and early marriage and childbearing may further restrict their education, skills development and opportunities.

6.3.2 Gendered vulnerability to community poverty

Additional results from the chapter **Four section 4.2.3, Figure 4.3** showed that 53% of the female non-beneficiaries lived in poverty compared to 49% of the female beneficiaries. In contrast, it was, found during the focus group discussion (FGD) held with child and older household heads that 86.1% of the beneficiaries thought they would continue to benefit from the social protection interventions provided by actors. In addition, 70.1% of the female household heads respondents believed they should continue benefiting from state cash transfers for as long as possible. **See Section 5.3.1 for more details.**

The ability of a household head, either female or male, to generate income impinges on the household's strengths to address gendered vulnerability to poverty at the household level. In 2016, the World Food Programme (WFP) conducted a food assessment study in Teso sub-region; it discovered that 8 out of 10 households in Katakwi district are malnourished with some households having a single poor meal in a day (WFP, 2016). In 2018, a different study conducted by the Uganda Bureau of Statistics also found that gendered vulnerability to poverty in Teso sub-region and Katakwi district, in particular, was high (UBOS, 2017c). However, with the introduction of social protection cash transfers and In-kind transfers, most households are now food secure (WFP, 2016; UNDP, 2013). This survey has, therefore, found that both male and female household heads in the study category of 'absolutely poor' and 'relatively poor'

and not poor households are working towards ending gendered vulnerability to poverty and deprivations in their communities.

Social protection is a relatively new policy approach that aims to integrate concerns about social security and poverty reduction into a unified framework (Kabeer, 2008). To date, the social protection agenda has generally, been presented in terms of categories of poor, excluded and vulnerable social groups, differentiated according to age, health status and relationship to formal labour markets. This emphasis on the formal sector has left out women in particular. Although some measures are, targeted primarily at female-headed households, gender is, rarely used as a differentiating lens through which to understand poor people's exposure to risk and vulnerability and to design social protection measures accordingly. At the same time, however, social protection programmes are rarely gender-neutral, and poorly designed programme can exacerbate or contribute to inequalities.

Most female households are owning on average between 0.02 and 1.2 acres of land, which is insufficient to sustain household needs, they are using their social protection cash transfers to hire additional land from those who are not cultivating the land. As a result, about 86.7% of households, both male and female households have increased on their agricultural yields over the last 18 years. According to the District Agriculture Officer (DAO), gendered vulnerability to poverty is reducing due to social protection transfers that have positively influenced on household wellbeing of men and women. The study finding further confirms the International Labour Organisation (ILO) report (2019) that demands governments to increase access to social protection floors by the poor and vulnerable households (ILO, 2019). The UNDP (2014: 14) affirms contention that even though households in Katakwi district produces enough food for everyone, 14 – 52% of households' experience food insecurity because they do not earn an income. From this discussion, it is clear that many households in Katakwi district have invested their social grants into other income-generating activities to put food on the table (World Bank, 2017).

6.4 Household Access to Social Protection Services in Katakwi District

This study objective focused on establishing how does, access to social protection services such as education and agriculture farm inputs enable the poor and vulnerable households to cope in Katakwi district. We present both Quantitative and Qualitative findings based on households and key informant's responses.

6.4.1 Household Access to Education Services in Katakwi District

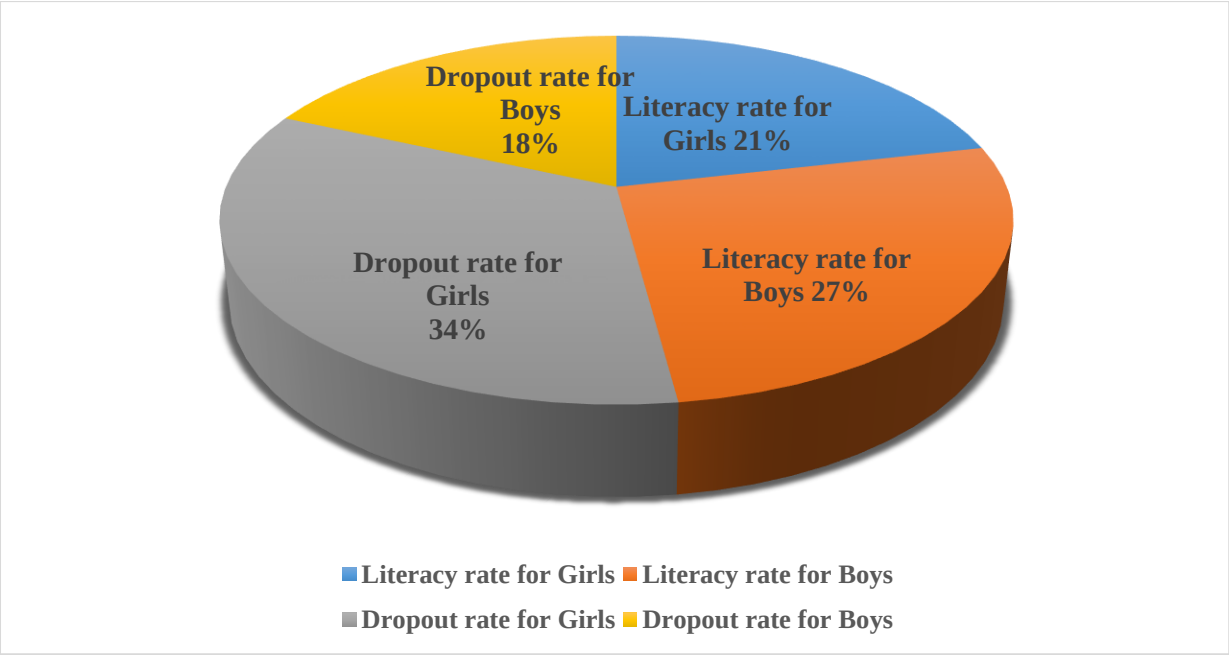
6.4.1.1 Access to education services

Quantitative findings showed that 100% of beneficiaries' respondents of cash transfers were not paying school fees (**Figure 4.10).** It can be argued that State and NSAs are jointly supporting the implementation of free primary education (UPE) and secondary education (USE) in Uganda through school conditional cash transfers (CCTs). The conditional school transfer has, therefore, resulted in gross enrolment of children joining primary and secondary school, hence reducing the illiteracy rate **(see Section 5.5.1).**

Additional reading from the Ministry of Education and Sports (MoES) indicates that the proportion of school-going children (primary and secondary) is above 100% due to the increase in CCTs application (MoES, 2017). The net enrolment rate (NER) -101.1% for boys increased from 101.1% to 102%, which is slightly higher than for girls (101%). The completion rate is low, at 59% for boys and 47% for girls. There is no doubt that school conditional cash transfers in any context are important in measuring socio-economic indicators for health status among the poor and vulnerable households. However, emerging results from the analysis further indicate that there are variances in literacy levels among the school-going children, particularly between boys and girls.

The literacy rates in this study are, defined as the individual's ability to read and write, coupled with the completion rate of primary education, which is indicative of an individual's level of literacy. This presupposes that there is a need to strengthen the implementation of social protection measures to address the current variances. We further discovered from the study analysis, a disparity in educational outcome rates where 21% of girls have literacy rates and 27% for boys. This discovery in the disparity suggests that there is a high dropout rate among girls. For instance, **Figure 6.1** shows that 34% of girls dropped out of school compared to 18% of boys. This disparity gap in the achievement of the educational outcome can be addressed by strengthening the existing measures of social protection (SP) in the Katakwi district.

Figure 6. 1: Percentage of dropouts in Katakwi District



Source: Household field data

Additionally, traditional and cultural institutions need to be involved in the implementation of social protection programmes. Traditional and cultural institutions are deemed necessary in promoting equity in education for both boys and girls through sensitisation of household heads. This will significantly play a leading role in addressing early marriages in this post-conflict district of Katakwi and the entire Teso sub-region. This study further, finds that married girls and child mothers in the Katakwi district have limited decision-making ability with reduced life choices due to household poverty. Although boys are also, affected by child marriages, they are, however, less affected compared to girls who by far number their counterparts the boys and bear more intensity. Even when a married couple lives together as husband and wife, the girl now who dropped out of school turned into a woman lives and takes on the role of caregiver for the husband and entire relatives of the man in the family. This is assumed that she has become an adult woman ready to give birth, even if she has not yet reached the age of 18. The literature reviewed in this study reveals similar challenges of early marriages that affect a girl's education.

For instance, in South Asia, the World Bank discovered that:

> The girls' schooling lags well behind that of boys, even though the returns to female education—both in wages and in terms of child health—are at least as large as those for males.

> Low levels of investment in girls' schooling may be rational from the viewpoint of parents who are thinking of their welfare (either because girls are more, costly in terms of dowries or because boys are more likely to take care of their parents than are girls who move to their husbands' homes upon marriage), but they are *prima facie* evidence of a socially inefficient outcome. CCTs that compel parents to send their daughters to school are one way to address inefficient and inequitable gender disparities (WB, 2009:9).

Additional concerns (such as inheritance, citizenship and social recognition) due to the informality of the relationship make girls more vulnerable to household and community poverty than who are informally recognised marriages (UNICEF 2007). The variations in **Figure 6.1** in the educational outcomes for boys and girls are a result of the deepening levels of household and community poverty in Katakwi district. There is, therefore, a need to have a decisive action on increasing and designing new strategic measures of social protection that addresses this existing disparity in the educational outcome.

Social protection measures need to be redirected to address the particular issues that make girl's drop out of schools. Issues related to school sanitation for all sexes, distance, and learning materials were discovered to be barriers to the attainment of the National Development Plan Two (NDP II) and Sustainable Development Goals (SDGs) in Katakwi district. In Katakwi district, about 22% of school-going children aged between 6 – 13 still walk long distances to reach school (See Chapter Four). This finding correlates with the Uganda National Household Survey report which discovered that children aged between 6-10 years walk for 5 kilometres to reach school, and they usually have no packed lunch leaving them hungry (UBOS, 2017b). Although children enrolled and attending school may be higher as incomes decreases such school enrolment also decreases suggests Holmes et al, (2010). Girl's and women's empowerment requires continuous education and development for them to attain leadership positions.

Holmes et al. (2010) note that:

> Women have less access to social protection services because there are constraints that prevent them from full integration into leadership positions. The lack of financial resources to pay for the higher education of children, confidence and family contacts often hinder women from accessing strategic positions necessary for influencing decisions, and they face gendered poverty and vulnerability because they have limited access to social support (Holmes et al., 2010:11).

The above assertion collaborates findings in this study obtained from the district education departments that has seen increased completion rates of girl child education, and their

participation in leadership at school and in the district. From the analysis, the results reveal that 52% of males and 47% of females can attend and complete their education (KDLG, 2014). This also correlates and fits well into the National Development Plan two (NDP II) goals of increasing illiteracy and numeracy rates using social protection conditional cash grants to schools in Uganda (RoU, 2015).

6.4.1.2 Access to agriculture farm input of social protection services

Taking a transformative approach, as reflected in the study analytical and conceptual framework design, social protection interventions and or in linkages with complementary programmes and services are vital in addressing poverty and vulnerability. **See Figure 2.5 and Figure 2.6**. Indeed, maximising the effectiveness of social protection requires complementary measures, which may not be considered a core component of social protection, but are necessary to ensure an effective enabling environment to achieve the national (NDP II) and global social protection objectives (NDP II, 2019; UN SDGs, 2015). These complimentary services include (basic social services such as quality health, education and social welfare services, as well as economic services including infrastructure, functioning markets and opportunities for financial inclusion such as microcredit and microfinance) as well transformative programmes (such as sensitisation and awareness-raising campaigns to transform public attitudes and behaviour along with efforts to change the regulatory framework to protect marginalised groups from discrimination and abuse). **See Table 6.2**.

Table 6. 2: Transformative social protection approach

	Type	Focused social protection Intervention for household Poverty & community poverty	Types of instrument
1	Protective measures	Social assistance support for the vulnerable poor	Cash transfers, food transfers, fee waivers for social services, health and school subsidies, and school feeding
2	Preventive	Social insurance	Health insurance, waivers, subsidised risk and shocks pooling mechanisms
3	Promotive measures	Productive transfers, subsidies and work	Agricultural farm inputs transfers, fertiliser subsidies,

			asset transfers, public works-roads and bridges programmes
4	Transformative measures	Social and economic equity measures	Equal access to productive resources like land, rights/social justice legislation, affirmative action policies for girls education, asset ownership and protection.

Source: Adapted and modified from [Taylor V (2008; Devereux and Sabates-Wheeler (2004].

Data from the household survey in Katakwi district reveals that 67% of the non-beneficiaries' and 73% of the beneficiaries have access to transformative social protection (TSPs) services like education, health, agricultural farm inputs and clean water. **See Table 4. 8.** The transformative perspective is particularly useful in understanding and addressing societal power imbalances that encourage, create and sustain poverty and inequality – extending social protection to areas such as equity, empowerment and economic, social and cultural rights (Taylor V, 2008; Devereux and Sabates-Wheeler, 2004; Holmes and Jones, 2010; UNICEF, 2010). Taking this approach also allows for a better conceptual understanding of the dimensions of poverty and vulnerability and of the fact that the distribution of resources is influenced by factors at the community, household and intra-household level. **See Figure 4. 10.** By protecting consumption and enabling more people to participate in economic growth, social protection would boost poor and vulnerable households' demand for basic foodstuffs and in turn, strengthen agricultural growth. Boosting the transformative approach effectively would increase on demand for education and health services that have beneficial outcomes in terms of human capital, as shown by the long term monitoring of Mexico's Oportunidades programme (Barrientos and Niño-Zarazua, 2010).

In the context of this study analytical and conceptual framework, the term social protection has evolved differently in different socio-economic and political contexts. In developed, middle-income and developing countries of sub-Sahara Africa, many interventions are embedded in broader social policy frameworks (Taylor, 2008; Devereux and Sabates-Wheeler, 2004; Holmes and Jones, 2010). Interventions are increasingly being adopted in low-income countries too, as social protection is seen as an effective mechanism to support poverty and vulnerability reduction as well as to protect the poor from falling back into further vulnerabilities to household poverty and community poverty. For this study, Taylor, (2008),

Devereux and Sabates-Wheeler ‘s (2004) transformative social protection framework offers the most relevant conceptual approach, as its analytical view goes beyond social safety nets and encompasses the four social protection measures. **See Table 6.2.**

A common definition as given by Taylor (2008) of social protection is one which includes all public and private initiatives that provide income or consumption transfers to the poor, protect the vulnerable against livelihood risks and enhance the social status and rights of the marginalised (Taylor, 2008). This study, therefore, views Taylors definition of social protection as an overall objective aimed to reduce the economic and social vulnerability of poor, vulnerable and marginalised groups like those one found in Katakwi district and Teso sub-region. In addition, this study agrees with the definition because it seeks to support the poor to overcome the demand-side barriers which prevent them from accessing basic economic, social protection services. Such interventions may be carried out by the State, and Non-State actors or even the private sector, or through informal individual or community initiatives. As such, social protection interventions often aim to tackle extreme poverty; given the depth and breadth of the existing household poverty and community poverty in a country like Uganda where multidimensionality of poverty at the intra-household, household and community level, as described above is increasing where current approaches are inadequately to address the situation.

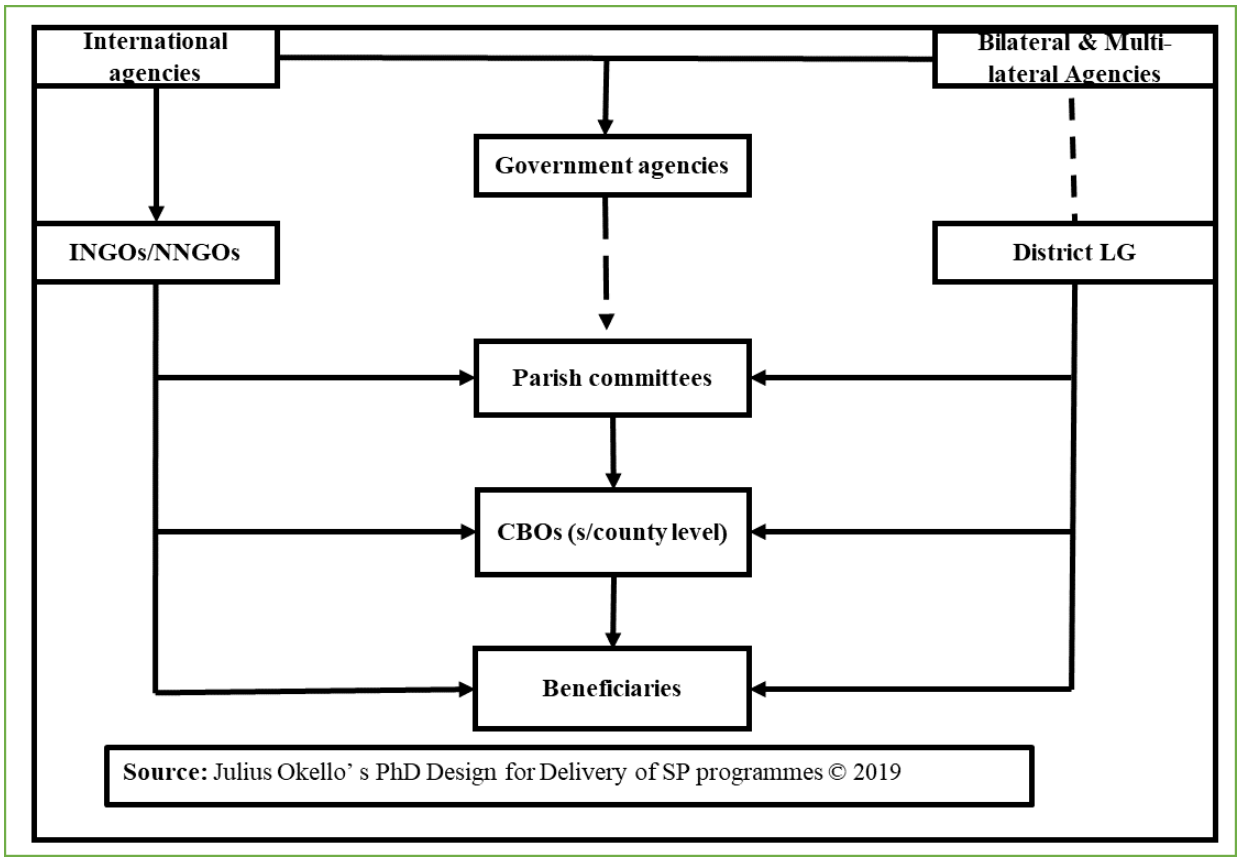
6.5 The Proposed Framework for Implementation of SPI

To halve the gap in the delivery of social protection measures, the proposed conceptual framework is designed to help the providers of social protection to decisively adopt the five implementation principles. These five implementation principles include: Planning for implementation, Prioritisation, Problem-solving, Pressure for results and Progress reporting (5Ps). Effective delivery of social protection programmes requires clear linkages among the agencies involved for effective coordination and efficient delivery to recipients of social protection services.

The framework below shows how social protection providers at various levels can coordinate the common goal of serving those who need social protection. The linkage shows that agencies at the institutional level need to cooperate with government and work within the established institutional framework. Both government and donor agencies should have a clear linkage to the district local government and NGOs which tend to have a closer reach to the beneficiaries.

Beneficiaries should be formed in groups and have elected representatives at parish level to have a clear flow of information on any matter pertaining to the programme. The framework is, designed as a fit-for-all social protection measure aimed at aiding the effective implementation of social protection interventions undertaken by actors involved in the delivery of social protection services.

Figure 6. 2: Conceptual-Framework for application of SP



The continuous arrow suggests that there is a strong direct forward and the inward correlation between actors implementing social protection interventions (SPI). The dotted line suggests that there is a weak forward and inward linkage correlation between actors advancing the course of SPI. The dotted arrow shows that while there exists strong and weak forward and inward linkages between actors of SP, sometimes there is a break in the linkage in terms of communication and corruption due to weak governance structures.

Unpacking this problem is beset by several challenges that actors of social protection encounter. The interaction between and among actors of social protection, which includes State, Multi-bilateral agencies, International and National actors, Community-based formal and

informal actors have a close link with traditional and cultural institutions. The use of multiple lines can help SPAs in distinguishing different household poverty levels (Relative and Absolute poverty lines) which social protection framework seeks to address.

As a result, designing a fit for all social protection frame (SPF) for reducing household poverty and vulnerability requires social protection actors to categorise SPMs. Actors involved in designing and implementing any SPI, need to contextualize their definitions inwardly and forwardly. The definition of SPM should be, operationalised from the quantitative perspective as advanced by other scholars. For instance, the African Union, the International Labour Organisation, and the African Development Bank take SPMs as a key starting point for the delivery of social services. I provide in this study clarifications and definitions of social protection measures using Taylor (2008:29).

> …That covers all interventions and initiatives designed by the State and Non-state actors, envisioned to address and reduce individual(s) vulnerabilities to risks (ex-post) and shocks (ex-ante) of a household living in a given community that is facing or emerging from burdens of stress and trauma resulting from a pre-defined and undefined set of situations (Taylor, 2008:29).

The above definition is beneficial from the quantitative perspective because it does not restrict the intention and scope of SPIs. Likewise, it embraces the notion of household "needs", which essentially are not the needs of only "critical poor" individuals, as projected by World Bank definition but also takes the needs of the entire community.

6.6 Conclusion

This chapter demonstrates that the effective implementation of social protection can greatly lead to reduced household vulnerability to poverty. Findings from both Chapter Four and Five confirm that SPM has a direct link to poverty reduction and vulnerability mitigation measures. While the study sample size could have affected this analysis and comparison of results, the fact remains that there still is a large difference in findings that cannot be, explained on the causes of household poverty and household vulnerability to community poverty. It would be very useful for social protection actors including the State, Multilateral and Bilateral Agencies as well as the international, national, district and community Non-State Actor to explore further the reason behind these differences in poverty and vulnerability levels in order to determine better strategic and attainable measures of social protection. Additionally, accessing the raw data on household poverty and community poverty might shed more light on whether receiving

beneficiaries of social protection cash transfers are effective enough to escape poverty and vulnerability. This study, therefore, recognises the importance of working together in the implementation of social protection measures, which should be a "need" for every social protection actor[s]. Investment in social protection transfers increases investment in human capital, particularly education and health, improving the underlying micro-level determinants of growth. Stronger policies on nutrition through providing cash transfers directly to mothers and grandmothers is an effective strategy to improve child nutrition

Effective application of social protection programmes can provide households with the means to manage their vulnerability levels to household and community poverty. Through cash transfers, households create opportunities for themselves by engaging in other income-generating activities, which eventually broadens household sources of incomes. Consequently, effective implementation of social protection measures can facilitate reform of the household attitude, perception, values and norms. Transfers to schools can lead to early childhood growth and development since children will be having teachers' in-class teaching them. This is vital because most children in post-conflict communities drop out of school at an early age, as presented and discussed in chapter four and five.

CHAPTER SEVEN:

SUMMARY CONCLUSIONS AND RECOMMENDATIONS

Chapter 7: Summary Conclusions and Recommendations

7.1 Introduction

This final chapter seven presents summary, conclusions, and recommendations based on the quantitative, qualitative and mixed method research findings. Consequently, the study thought to establish the role of social protection programmes in poverty and vulnerability reduction in Katakwi district of Uganda. The summaries and conclusions are presented based on the study main contributions findings and four objectives followed by the recommendations to actors involved in the implementation of social protection measures.

7.2 Summary

This study aimed at establishing and examining the role of social protection measures (SPM) on poverty and vulnerability reduction in the Katakwi district of Uganda. The contribution of this thesis lies first in determining the effectiveness of social protection programmes in reducing household poverty and vulnerability. The second contribution lies in assessing the main causes of household poverty and household vulnerability to community poverty, the third examined the governance structure through, which social protection transfers are channelled to reach the target beneficiaries; while the fourth and most significant contribution is to design a conceptual framework for the application of social protection initiatives and interventions from a post-conflict setting.

Using the data set obtained from the 200 households quantitatively and 100 qualitative respondents, this study contributes in the generation of new empirical knowledge gap on the causes of the household poverty, community poverty, household heads vulnerability to poverty and social protection role in addressing poverty and vulnerability. This is expected to help policy and decision-makers at the community, district, national, and international level social protection actors working in conflict and post-conflict communities to better understand and address issues related to household poverty and household vulnerability to community poverty as highlighted in Chapter Four and Five of this study thesis. The overall aim of the thesis was, addressed through the research objectives, questions/hypothesis and assumptions.

7.2 Conclusions

7.2.1 Research Question 1:

The literature review in Chapter Two reveals the relevance of the existing SPM in reducing poverty and vulnerability in a post-conflict setting. More explicitly, results from data analysis revealed that effective implementation of SPM can greatly contribute and empower the poor and vulnerable households to transit out of poverty. It was also, discovered that beneficiaries of social protection services use their benefits mainly cash transfers to improve on their social and economic status. Furthermore, findings from the reviewed literature indicate that most households are using informal SPMs that complements and improves their social livelihood status.

Joint efforts in the design and application of SPMs can play a significant role in reducing poverty and vulnerability. Thus, the main policy implication of this study is that strong partnerships and joint implementation of social protection measures as portrayed in Chapters Four and Five serves as a proxy for addressing household poverty and community vulnerabilities. Given the capability measures of SP features in reducing household poverty and vulnerability, actors need to refocus their efforts to address the main causes of household poverty and household vulnerability to community poverty with off-farm income-generating activities.

7.2.2 Research Question 2:

This study also, established and examined whether social protection interventions can reduce household vulnerability to poverty. In chapter four, descriptive statistics show that the number of those who are relatively not poor, relatively poor and absolutely poor provide an answer to this question. The study found out that most household recipients use their cash transfers to provide for basic needs to family members, thus reducing household poverty. Household consumption expenditure is structurally poverty-led especially in meeting food, transport, education, and health costs. Hence, household vulnerability is related to household heads being in poverty (lack of incomes) due to structural constraints or lack of access to resource endowments at the community level. The key findings indicate that most households in post-conflict situations are more, exposed to household and income poverty if targeting of social protection measures is inadequate; food shocks; access to water, health and education challenges. This implies that households in post-conflict areas are likely to become more food

and income insecure not as a result of poor resource endowments, but because of their exposure to and failure to manage risks and anticipated shocks resulting from natural disasters and manmade factors like the outbreak of war and conflicts. However, this conclusion does not hold in cases of household vulnerability to income and poverty in non-conflict situations, where household vulnerability to poverty is lower than household vulnerability to community poverty because of distance, location and costs of accessing the intervention. The current coverage of some of these SP programmes is limited to certain geographic areas and the State or groups implementing it have narrowly defined it. The target population have their own needs and interests; therefore, actors of SP should have in place good mechanisms that connect them to both beneficiaries and non-beneficiaries because war and conflicts affect all citizens in a given setting.

7.2.3 Research Question 3:

While the effect of cash transfers as a social protection instrument for poverty reduction in the post-conflict setting has widely been appreciated by the beneficiaries and non-beneficiaries, the central question regarding the human right access to social security services remains unfulfilled for the majority of poor and vulnerable households in the conflict environment. It is clear that post-conflict communities require robust social protection services, especially conditional cash transfers to support access to health and education services. Social protection actors in Katakwi district are, currently engaged in the provision of cash transfer targeting the construction of health and educational facilities, helping the poor and needy vulnerable household children realize their right to the sense of belonging. They do this in partnership with the state with a clear understanding and interpretation of social protection measures that have significantly led to the reduced levels of household poverty and their vulnerability to community poverty in the district. Designing SPMs that fits all requires the need to recall many informal and traditional social protection actors to part take in the operation of various SPI historically and demographically. This should be a built-in context of cultural norms, values and social beliefs that comprehensively address and empowers households emerging from conflict-affected communities to fully recover.

7.2.4 Research Question 4:

Although 87% of the households in conflict-affected communities still grapple with the effects and trauma of conflict and crisis, the district is, faced with a deep social predicament - a crisis

of access to social protection services. Most interventions that exist in the district do not address issues of household access to social protection services, mainly health and education rights. Readjustment to fiscal measures threatens the household in coping with living standards strategies in a significant number of ways especially access to health and education services when health workers and teachers are absent. Therefore, there is a need to address workers absenteeism by providing conditional cash transfers for the construction and rehabilitation of staff accommodation.

The household heads perceived humanitarian assistance insufficient in helping service providers at the community level to extend their services to them. For instance, school and health facilities that do not receive conditional grants, their workers are often absent from duty. This, therefore, does not help the poor and vulnerable households to overcome poverty and vulnerability. Most households have difficulties in accessing protection services especially education and health due to high costs. There is a need for providers of social protection services to have an intervention that fits all.

7.2.5 Research Question 5:

Non-beneficiaries face stronger constraints in accessing social protection services as opposed to beneficiaries due to poor and weak governance structures used by actors in extending social protection coverage. Naturally, the poor and vulnerable household that falls within this category (non-beneficiaries) face higher levels of poverty and destitution that have not been addressed through effective governance structures. Most sub-counties in the district have limited resources, weak governance structures, and institutional capacities to interpret and understand social protection measures. However, many non-beneficiary respondents indicated their decisive steps taken towards addressing their high levels of vulnerability to household and community poverty. For instance, comprehensively reforming and strengthening their informal social protection support through forming credit and saving schemes have played a great role in enabling households to fight poverty and vulnerability. Farmers groups are among the many groups that have clear structures, in which group members interact and share their experiences and information.

The state being the main implementer of SPM should have a fit-for-all SPI that supports all members to access SPS related to hygiene, home economics, credit schemes, antenatal care service and agricultural advisory services. A clear structure that embeds all providers and

beneficiaries and non-beneficiaries of SPS needs to be established and strengthened. This will further aid public service delivery, which has been limited or even absent for some time. The extension of social pension coverage should be, enhanced through income security for the poor and vulnerable households. Thus, effective good governance structures can contribute to the enhancement of income and food security as witnessed by the group leaders working for their group members.

This study finds that effective implementation of social protection programmes in any setting can reduce poverty and vulnerability at all levels. However, the concept of clear governance structures and beneficiary participation is key to the achievement of better standards of living. Therefore, participation during the design, selection criteria of the beneficiaries and application of SPMs will reduce household exposure to poverty and vulnerabilities related to expected shocks and risks since they are directly selected as beneficiaries and have a stake in deciding the most pressing needs.

7.3 Recommendations

Counting on the household survey data obtained from the 200 quantitative household responses, and 100 qualitative KIIs and 14 FGDs held with key stakeholders at various. This study established and analysed the existing status of social protection policy and programming in Uganda and finds that it is falling significantly short as a policy response to address the needs of the poor and vulnerable households. It then makes a set of policy and programming recommendations for the government and development partners to strengthen the nascent agenda.

7.3.1 Recommendation to Policy and Decision makers in Government

There has of recent been recognition that focusing on the supply of services not being adequate in reaching the poor and vulnerable households, and that there needs also to be a simultaneous focus on addressing the barriers that the poorest face in accessing social protection services. This study therefore, recommends that the government of Uganda should proportionally increase her expenditure on agriculture sector, health, education and social welfare (child protection) which is currently, a key criticism of the government for low prioritisation interests of the poor.

Social protection policy has been discussed since 2010 at both district and national levels as evidenced its inclusion in the National Development Plans and Vision 2040, but this has not resulted into policy traction beyond eliminating household poverty and household vulnerability to community poverty. Documents on social protection take a lifecycle and gender approach to risk and vulnerability (recognising both economic and social risks, such as job discrimination and harmful traditional practices). This study strongly recommends that social protection should be organised around four main themes: social assistance, social insurance, child protection and the labour market. However, in practice, implementation is extremely narrow, *ad hoc* and most often government rhetoric specific.

Drawing from the current literature of social protection landscape in Uganda, this study finds that a number of actors are including the government and development partners both multilateral and bilateral agencies are involved in funding and implementation process of social protection measures. This study recommends that the four main government programmes are the conditional cash transfer (CCT) to agriculture sector, health, education, and public infrastructure works be strengthened. Operation wealth creation (OWC), a maternal and Child Health (MCH) health fee waiver for pregnant women and immunisation of children under five and the Community-based Health Insurance, universal free education and feeding programme, and rehabilitation and maintenance of community roads. Other social assistance programmes are implemented in an *ad hoc* manner, by government ministries, departments and agencies (MDAs) at national level. These include youth livelihood programme, disability grants, and nutrition support.

The multiplicity of social protection actors at national and district both in public and private sector levels means that social protection programming is currently *ad hoc* and uncoordinated. This study recommends that the National Social Protection Committee (NSPC) in the Ministry of Gender Labour and Social Development is responsible for coordinating the sector, but has weak institutional capacity, high staff turnover with poor governance structures be strengthened with political and financial commitment in order to foster effective implementation of social protection measures.

7.3.2 Recommendations to Development Partners

In a context of high levels of poverty and inequality, Ugandan existing social protection approach faces a number of significant challenges. The key challenges include low coverage

of existing programmes which only reach a fraction of the poor and vulnerable households, the implementation of only a narrow set of social protection instruments, and the fragmentation of approaches and projects across the country. Although districts operate under decentralisation with the responsibility for mobilisation and expanding avenues for revenue, additional support through the Conditional Grants transfer Schemes (CGTS), needs to be established to match the unprecedented population demands. Given that government budgets are contracting, only a third of all the districts in Teso sub-region have committed to co-funding the social protection programme, and coverage is estimated at less than 0.001% of the poor. This study recommends that development partners need to support directly the districts with low coverage of existing social protection programmes. Coupled with low transfer values from the central government and short programme participation by the poor will enable recipient districts to support the moving out of poverty agenda under the NDPII and SDGs effectively. Specifically, development partners should:

- → Develop an overarching social protection policy framework to provide clear institutional roles and responsibility and guide social protection design and implementation at the community and district level;
- → Supporting and generating political commitment to social protection at the district and community level;
- → Increasing investment in service delivery;
- → Integrating an equity focus into the design and implementation of programmes;
- → Although there is systematic corruption at national and district level, development partners should allocate resources to scale up social protection programmes at district and community level with a conscious strategy with clarity;
- → Strengthening governance features of social protection programmes.

7.3.3 Recommendations to National and District Non-State Actors

Given the high value placed on measures of social protection to reduce poverty and vulnerability by policy planners, decision makers and scholars, the national and district actors should play the following roles:

- → Promote the expansion and strengthening family self-help programmes;
- → Transparently support substantive resources mobilisation with intensity and with well thought strategy;

- → Support sensitization programmes by addressing the extensive gendered vulnerability to poverty at household and community level;
- → Ensure that there is effective social protection planning and programming that is essential and has a coherent message on household poverty and community poverty issues;
- → Ensure that there is robustness of household poverty and household vulnerability to community poverty data provides alternative specifications of interventions;
- → Routinely collect social protection representative panel data to facilitate better future poverty and vulnerability reduction planning;
- → Given the time and financial constraints of expanding healthcare to better reach the poor, the most immediate action, with possibly the most significant impact on the health and welfare of the poor households, is to prevent them from succumbing to ill-health;
- → Improve access to savings and credit groups. Cost is often associated with limited uptake of health services, particularly among the poor. For poor households to effectively embrace preventive health, and be better prepared to meet unexpected medical costs, they must be encouraged to strengthen their financial positions. One means of achieving this is by strengthening their savings ability. It is suggested, therefore, that the establishment of savings and credit groups be significantly scaled-up across the district. Savings will act as a buffer against shocks, while access to credit will allow households either to purchase assets which can be liquidated in times of need or make productive investments which reap income rewards.

7.3.4 Recommendations to Household Heads

- → Attitudinal and behavioural issues: Poverty is not simply an economic or physical issue, but also has to do with attitudes and behaviours. As such, approaches to reducing poverty should not merely focus on resolving the tangible aspects of poverty (low incomes, lack of food or poor housing), but also on transforming attitudes and mind-sets that perpetuate poverty.

This study has highlighted questionable attitudes, among respondents toward the high fertility rate, low education for girls, early marriages, mens attitude towards women and work, all of which lead to behaviours that have detrimental effects on economic development and human welfare. In view of this, it is recommended that considerable efforts be made by households

heads not only to tackle the physical aspects of household poverty and community poverty, but also the attitudes and behaviours that constitute mental poverty and vulnerability through.

- → Reduced on alcoholism and idleness
- → Reduced early marriage
- → Allowing women and girls to participate in governance and leadership issues
- → Increase on their uptake for better farming practices, such as the use of agricultural inputs and better soil and water conservation by households, be strongly encouraged.
- → Education plays a central role in enhancing livelihoods and in giving life chances to both family members,

7.4 Lessons learned

I have learned that:

> "To be born in poverty and vulnerable to household poverty and community poverty does not necessarily mean that I will remain poor and vulnerable to household poverty and community poverty".

7.5 Areas for Future Research Direction

Future research should take into account the aspects related to social protection access and how geographical coverage, targeting, participation, location, distance, household attitude, perceptions, norms, values and cultural differences before, during and after conflict periods influence outcomes with regard to poverty and vulnerability.

7.6 Limitations

The limitations of this research stem from the lack of panel data that establishes and examines the relationship between household poverty and community poverty and household vulnerability to poverty.

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Appendixes

Appendix 1: Clearance from the department of social development

Department of Social Development
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Upper Campus
Leslie Social Sciences Building
5th Floor, Office 5.13
Private Bag X3
Rondebosch
7701
South Africa

Tel: +27 21 650 3494
Fax: +27 21 689 2739
Enq: Dr. Khosi Kubeka

18 August 2015

Dear Sir/Madam

RE: Confirmation of Mr Julius Okello's (OKLJUL001) Enrolment in the Department of Social Development's Doctoral Programme

This letter serves to confirm that Mr Julius Okello OKLJUL001 is enrolled in the Doctoral Programme in the Department of Social Development at the University of Cape Town. He is in the data collection phase of his research project on the role of social protection programmes in reducing household poverty and vulnerability in Katakwi District – Uganda as part of his Doctoral studies.

Thank you in advance for your co-operation and support. Should you have any concerns you would like to discuss further, please contact Professor Viviene Taylor at Viviene.Taylor@uct.ac.za or Dr. Khosi Kubeka at am.kubeka@uct.ac.za.

Yours sincerely,

Signature removed to avoid exposure online

Professor Viviene Taylor, Supervisor

Signature removed to avoid exposure online

Dr. Khosi Kubeka, Co-Supervisor

Appendix 2: Clearance from the Uganda National Council for Science and Technology

Uganda National Council for Science and Technology

(Established by Act of Parliament of the Republic of Uganda)

UNCST

Our Ref: SS 3905 **16th September 2015**

Mr. Julius Okello
University of Cape Town
South Africa

Re: Research Approval: **The role of social protection programmes in reducing household poverty and vulnerability in Katakwi District - Uganda**

I am pleased to inform you that on **24/08/2015**, the Uganda National Council for Science and Technology (UNCST) approved the above referenced research project. The Approval of the research project is for the period of **24/08/2015** to **24/08/2018**

Your research registration number with the UNCST is **SS 3905**. Please, cite this number in all your future correspondences with UNCST in respect of the above research project.

As Principal Investigator of the research project, you are responsible for fulfilling the following requirements of approval:

1. All co-investigators must be kept informed of the status of the research.
2. Changes, amendments, and addenda to the research protocol or the consent form (where applicable) must be submitted to the designated Research Ethics Committee (REC) or Lead Agency for re-review and approval **prior** to the activation of the changes. UNCST must be notified of the approved changes within five working days.
3. For clinical trials, all serious adverse events must be reported promptly to the designated local REC for review with copies to the National Drug Authority.
4. Unanticipated problems involving risks to research subjects/participants or other must be reported promptly to the UNCST. New information that becomes available which could change the risk/benefit ratio must be submitted promptly for UNCST review.
5. Only approved study procedures are to be implemented. The UNCST may conduct impromptu audits of all study records.
6. A progress report must be submitted electronically to UNCST within four weeks after every 12 months. Failure to do so may result in termination of the research project.

Below is a list of documents approved with this application:

	Document Title	Language	Version	Version Date
1	Research proposal	English	N/A	April 30, 2015
2	Household Questionnaire	English	N/A	N/A

Yours sincerely,

Signature removed to avoid exposure online

Hellen .N. Opolot
for: Executive Secretary
UGANDA NATIONAL COUNCIL FOR SCIENCE AND TECHNOLOGY

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Appendix 3: Household Survey Tools

UNIVERSITY OF CAPE TOWN – SOUTH AFRICA
THE ROLE OF SOCIAL PROTECTION PROGRAMS IN REDUCING HOUSEHOLD POVERTY AND VULNERABILITY IN UGANDA. THE CASE OF KATAKWI DISTRICT

A composite wealth index was used to categories households into the three main groups: (1) 'Absolutely poor', (2) 'Relative poor', and (3) 'Not poor'. In total, 10 assets and basic needs were selected to make up the composite index. These included four physical assets, four productive assets, one human asset and one basic need. Indicators were defined for each of the assets as per the table below.

My name is [.....***enumerator name***]. I am here on behalf of ***Julius Okello*** **who** is conducting a study on the social protection programs in Katakwi District – Uganda. I would like to ask you to participate in a one-to-one interview on issues concerning your social and economic livelihoods and welfare coping strategies given your cultural and traditional historical perspectives on approaches to peace building and post-conflict resettlement experiences as well as plans and aspirations you have as a family and community. The discussion will take about **15 to 20 minutes.** Please answer all the questions truthfully. You will not be judged on your responses, you may refuse to answer any question and you may choose to stop the discussion at any time. Your responses are strictly confidential.	Questionnaire No. |___|___|___| Date: |____| |____| |____|____|____|____|____|____|____| **Enumerator:** Name: …….. Signature: ……. Starting Time ……..…

District: _____ Sub-County: _____Parish: _____ Village: _____

Respondent's Demographic Characteristics:

A. 1a). Age (in years): How old are you?

1. = 15 – 19 ☐ **2.** = 20 – 24 ☐ **3.** = 25 – 29 ☐ **4.** = 30 – 34 ☐ **5.** = 35 – 39 ☐

6. = 40 – 44 ☐ **7.** = 45 – 49 ☐ **8.** = 50 – 54 ☐ **9.** = 55 – 59 ☐ **10.** = 60+ ☐

1. **Gender:**	2. **Residence within the District:**	3. **Marital Status:**	4. **Education Level completed**	5. **Religion:**
1 =Male ☐ 2 =Female ☐	1 =Rural ☐ 2 =Urban ☐	1 = Married ☐ 2 = Never Married ☐ 3 = Widowed ☐ 4 = Divorced ☐ 5= Polygamous Married ☐ 6= Concubine marriage ☐ 99= Others specify ☐	1. Nursery ☐ 2. Primary ☐ 3. Secondary ☐ 4. Training College ☐ 5. University ☐ 6. Never studied ☐ 99. Others specify ☐	1 = Protestant ☐ 2 = Catholic ☐ 3 = Moslem ☐ 4 = Seventh Day ☐ 5 = Saved ☐ 6= Adventist ☐ 99 Others specify ☐

ASSET		**INDICATOR**
PHYSICAL	Housing	Type of roof
		Type of walls
	Transportation	Number of bicycles
	Communication	Ownership of mobile phones
	Information	Ownership of radios
PRODUCTIVE	Land	Value of land owned
	Livestock	Ownership of cattle
		Ownership of goats
	Fish farming	Ownership of small canoes
		Ownership of large canoes
		Ownership of fishing nets
	Access Credit	Amount of credit accessed
HUMAN	Work status	Work status of household head
	Education	Completed, never studied or dropped out of school, distance
	Wear	3 pairs of clothes, shoes,
	Beddings	Mattress, bedsheets, blankets, bed, mosquito nets
	Medical	Immunisation, antenatal care, distance
	Food consumption	Meals per day, clean water, distance to water points
Others	Access to transport	Bicycles, motor cycle, vehicle
	Participation and governance structures	

END

Appendix 5: Key Informant Interview Guide (KII)

UNIVERSITY OF CAPE TOWN – SOUTH AFRICA
THE ROLE OF SOCIAL PROTEION PROGRAMS IN REDUCING HOUSEHOLD POVERTY AND VULNERABILITY IN KATAKWI DISTRICT UGANDA
Key informant interview guide for development partners and funders (Multi-Bilateral Agencies and Faith Based Organisation)

Introduction
My name is [.....***enumerator name***]. I am here on behalf of ***Julius Okello*** who is conducting a study on the social protection programs in Katakwi District – Uganda. I would like to ask you to participate in a one-to-one interview on issues concerning your social and economic livelihoods and welfare coping strategies given your cultural and traditional historical perspectives on approaches to peace building and post-conflict resettlement experiences as well as plans and aspirations you have as a family and community. The discussion will take about **15 to 20 minutes.** Please answer all the questions truthfully. You will not be judged on your responses, you may refuse to answer any question and you may choose to stop the discussion at any time. Your responses are strictly confidential.

Notes on methodology:
- While some structure in the order and sequencing of questions is desirable, this should **NOT be rigid**
- The informant should be encouraged **to elaborate** or **add additional issues** along the way
- This process requires at least two researchers: **one facilitator asking the questions; one note-taker**.
- It should be **conducted in the local language that the respondent is comfortable with.**

***Getting started*:**
- Thank the respondent for his/her time and interviewers should introduce themselves and explain – in simple terms - the purpose of the research, stressing the importance of getting individual views and feedback on the program and how much this is valued
- Interviewers should explain that they will be taking notes and recording the interview, as well as taking pictures (where necessary), and should gain consent from the respondent to do so (using informed consent checklist). The Interviewer should explain that care will be taken to preserve anonymity (unless the respondent want names used)

Recording, note taking and transcriptions:
- After obtaining consent, **all Key informant interviews should be recorded or carefully written in a summarised notebook**, with the date, place, time and identification of interviewer and interviewee recorded first.
- **Complete** and legible notes should be taken (in English) of all responses. It is **VERY important** to report as much as possible on what was said **in the respondents' own words**. Specific verbatim quotes, phrases, expressions, etc. should be noted down along the way, including particular expressions in the local language (which can later be translated into English).
- Notes should include **start and end time of the interview group discussion**, as well as a record of any difficulties encountered
- Any **pictures taken** should be carefully labelled and dated using meta-data photo approach

- Key highlights of the discussions should be noted in form of **inventories** in the **daily reporting format**
- Recordings should be **transcribed** into English after field work

Other consideration:

- At the end of the interview, respondent should be appreciated for their time and the information they provided and allowed to ask questions and offer any further suggestions or ideas.

1. Name and type of the Organization,
2. Contact person details in the organisation if he/she allows to provide them.
3. What specific concerns do you have on gender and vulnerability aspects in the design of the SP you are supporting?
4. How do you assess the level of success and if less than satisfactory how do you enforce corrective measures?
5. **In your view, would you say that the SP initiatives have performed well in reducing effects of household poverty and household vulnerability to poverty? Rating Scale or score out of 100% and give reasons?**
6. What gaps and challenges do exist in the SP provided by the NSAs?
7. What should be done to improve the state of social protection in the country?
8. Comment on the Teachers attendance to duty and absenteeism

End

Appendix 6: Focus Group Discussion Guide (FGD)

UNIVERSITY OF CAPE TOWN – SOUTH AFRICA

THE ROLE OF SOCIAL PROTECTION PROGRAMS IN REDUCING HOUSEHOLD POVERTY AND VULNERABILITY IN KATAKWI DISTRICT UGANDA

Focus group discussion QUESTION guide FOR Community members (beneficiaries and non-beneficiaries of NSA SP)

Introduction

My name is [.....***enumerator name***]. I am here on behalf of ***Julius Okello*** who is conducting a study on the social protection programs in Katakwi District – Uganda. I would like to ask you to participate in a one-to-one interview on issues concerning your social and economic livelihoods and welfare coping strategies given your cultural and traditional historical perspectives on approaches to peace building and post-conflict resettlement experiences as well as plans and aspirations you have as a family and community. The discussion will take about **15 to 20 minutes.** Please answer all the questions truthfully. You will not be judged on your responses, you may refuse to answer any question and you may choose to stop the discussion at any time. Your responses are strictly confidential.

Notes on methodology:

- While some structure in the order and sequencing of questions is desirable, this should **NOT be rigid**
- Participants should be encouraged **to elaborate** or **add additional issues** along the way as well as to build on what other participants are saying.
- This process requires at least two researchers: **one facilitator asking the questions; one note-taker**.
- Focus group discussions should be **conducted in the local language**

***Getting started*:**

- Facilitators should ensure that participants are comfortably seated in an appropriate setting (in the shade, not too crowded, water available, no background noises or interruptions, etc.)
- Participants should be thanked for coming and facilitators should introduce themselves and explain – in simple terms - the purpose of the research, stressing the importance of getting individual views and feedback on the program and how much this is valued
- Facilitators should explain that they will be taking notes and recording the interview, as well as taking pictures, and should gain consent from the participants to do so (using informed consent checklist). Facilitator should explain that care will be taken to preserve anonymity (unless participants want names used)

Recording, note-taking and transcriptions:

- After obtaining consent, **all focus group discussions should be recorded**, with the date, place, and identification of facilitator and interviewee recorded first.
- **Complete** and legible notes should be taken (in English) of all responses. It is **VERY important** to report as much as possible on what was said **in the participants' own words**. Specific verbatim quotes, phrases, expressions, etc. should be noted down along the way, including particular expressions in the local language (which can later be translated into English).
- Notes should include **start and end time of the focus group discussion**, as well as a record of any difficulties encountered
- Any **pictures taken** should be carefully labelled and dated
- Key highlights of the discussions should be noted in the **daily reporting format**
- Recordings should be **transcribed** into English after field work

Other consideration:

- At the end of the focus group discussion, participants should be **thanked** for their time and the information they provided and allowed to ask questions and offer any further suggestions or ideas.
- **Refreshments** should be available and any transport costs compensated (these should be organized beforehand with the local coordinator)

Section A: Socio-Demographic information

Record all the socio –demographic information of the respondents – Sex, age, marital Status, if married - age when got married, type of marriage (Monogamous/ Polygamous); years spent in marriage, religious affiliation, ethnicity, number of children born)

- Education level of the respondent
- How many children are of school going age (boys/girls?)
- How many children are of school going age **not** in school (boys/girls?)
- How many have completed their primary and post-secondary education?
- How many completed college (Teachers Training College (TTC), National Teachers College (NTC), and University education)?
- How many other dependants live in your household?

For women:

- At what age did you have your first child?
- What is your place of birth, current residence and place of origin?
- What caused you to move to this place (place of current residence?)
- How long have you stayed in this community?
- What are the common forms of violence faced by women and men in this community? (Probe the most common forms of violence are experienced, reasons) and who is most affected?

Section B: Socio-Economic Profile

- What assets do you own in your household? How many of the assets mentioned above do you own

- How many of the domestic animals/birds do you own/control? (Sheep's, goats, pigs, Hens, turkeys, a duck and cows?) and What are your sources of income?
- What are the causes of income differentials?
- What are your 5 most important needs (list them in order of importance)?
- What material supports such clothing, food, financial, etc have you received for which you did not pay for? From who?
- How many meals do you eat in a day? And Who allocates food in the household? Who eats first?

Section D: Access and Control over productive resources (use the Harvard Access and Control profile tool)

- What productive resources in your household do you have access to and control over? (Probe for control over income from the sale of agricultural products (land, crop and livestock products) If no control, why not?

Section C: Activity Profile

- What activities do you undertake in your household on a daily basis? Number of hours of active engagement
- What form of social support such as household help have you received for which you did not pay for?
- From who?

Section D: Risks to Natural disasters/environmental degradation

- What are the natural or environmental hazards that have taken place in this community?
- What effect have they had on your household livelihoods, your roles in the family and community, access and control over resources, decision making?
- How have you addressed them
- What kind of support have you received to address the problems and from who? (nature of support and source of support)

Section E: Health

- Where do you seek for health care and what is the distance to the nearest health units?
- How long does it take you to reach the nearest health unit? And Who takes care of the sick in the household?
- Who pays for health care in this household? And Is the health centre well equipped with drugs and other supplies? And What services are offered at this health centre?
- What challenges do you face in meeting your health needs? And How do you resolve these challenges?

Section F: Non-State Social Protection Initiatives

- What are the social protection initiative in this community provided by non-state actors?
- Who is providing these services? Probe for Non State Actors/organisations, Community based group/initiatives and Kinship/family. Which ones are you a beneficiary? And What services do they offer?
- How do you participate in the activities organized by the SP provider?

Thank you

Appendix 9a: Pad Notes for Household Absolute Poverty

```
Probit regression                               Number of obs     =        200
                                                LR chi2(12)       =      27.31
                                                Prob > chi2       =     0.0070
Log likelihood = -123.76061                     Pseudo R2         =     0.0994
```

poor11	Coef.	Std. Err.	z	P>|z|	[95% Conf.	Interval]
male_hhh	.0220127	.1961415	0.11	0.911	-.3624176	.4064431
Q27C_hh_size	-.1435047	.0979044	-1.47	0.143	-.3353938	.0483844
hh_read_write	-.5243357	.26234	-2.00	0.046	-1.038513	-.0101588
Q1b15_pay_schlfees	.0186345	.1910243	0.10	0.922	-.3557664	.3930353
Sct_beneficiary	.298459	.2427199	1.23	0.219	-.1772632	.7741812
nSct_beneficiary	.8069815	.2647013	3.05	0.002	.2881766	1.325786
younger18	-.0988151	.0919814	-1.07	0.283	-.2790954	.0814652
Q59_acc_SP_services	-.4239452	.2132586	-1.99	0.047	-.8419243	-.0059661
girls_ophans_acc_resources	-.2167231	.2210112	-0.98	0.327	-.6498971	.2164509
get_sage_agrInputs	.5079215	.2117454	2.40	0.016	.0929082	.9229349
Q1b18_sch_dist_km	.0452938	.0413664	1.09	0.274	-.035783	.1263705
hh_most_edu_abv_sec	.2793921	.1976222	1.41	0.157	-.1079404	.6667246
_cons	.7410622	.6272332	1.18	0.237	-.4882924	1.970417

Appendix 9b: Vulnerability to poverty (the model is not fit prob.>chi2 is very high)

```
Probit regression                               Number of obs     =        200
                                                LR chi2(11)       =       7.24
                                                Prob > chi2       =     0.7789
Log likelihood = -96.458148                     Pseudo R2         =     0.0362
```

poor22	Coef.	Std. Err.	z	P>|z|	[95% Conf.	Interval]
male_hhh	.1689136	.2195563	0.77	0.442	-.2614089	.5992361
Q27C_hh_size	.0658804	.1110824	0.59	0.553	-.1518371	.2835979
hh_read_write	.4504649	.3192752	1.41	0.158	-.1753029	1.076233
Q47_univ	.0378698	.2375763	0.16	0.873	-.4277713	.5035109
Q1b15_pay_schlfees	.3807688	.2208978	1.72	0.085	-.0521829	.8137206
Sct_beneficiary	-.0044849	.2652621	-0.02	0.987	-.524389	.5154192
nSct_beneficiary	-.2432765	.3059297	-0.80	0.426	-.8428877	.3563348
younger18	-.0461295	.1059614	-0.44	0.663	-.2538101	.1615511
Q59_acc_SP_services	-.0425144	.2400864	-0.18	0.859	-.5130751	.4280462
girls_ophans_acc_resources	.2417247	.2467043	0.98	0.327	-.2418069	.7252562
get_sage_agrInputs	-.1386951	.2271272	-0.61	0.541	-.5838563	.3064661
_cons	-1.966505	.6906184	-2.85	0.004	-3.320092	-.6129177

Appendix 9c: Dummy for poverty

```
Probit regression                               Number of obs     =        200
                                                LR chi2(10)       =      17.65
                                                Prob > chi2       =     0.0611
Log likelihood = -128.58982                     Pseudo R2         =     0.0642
```

dummy_poor	Coef.	Std. Err.	z	P>|z|	[95% Conf.	Interval]
male_hhh	.0296015	.1919796	0.15	0.877	-.3466716	.4058746
Q27C_hh_size	-.0666804	.0925972	-0.72	0.471	-.2481676	.1148069
hh_read_write	-.6127072	.254848	-2.40	0.016	-1.1122	-.1132143
Q1b15_pay_schlfees	.0553626	.187436	0.30	0.768	-.3120052	.4227304
Q59_acc_SP_services	-.4547192	.2069977	-2.20	0.028	-.8604273	-.049011
younger18	-.1172789	.0884898	-1.33	0.185	-.2907158	.056158
girls_ophans_acc_resources	-.2053304	.2157112	-0.95	0.341	-.6281167	.2174559
get_sage_agrInputs	.316978	.1938238	1.64	0.102	-.0629097	.6968657
Q1b18_sch_dist_km	.0488022	.044907	1.09	0.277	-.0392138	.1368182
hh_most_edu_abv_sec	.2942126	.1935488	1.52	0.128	-.0851361	.6735612
_cons	.9787543	.6146728	1.59	0.111	-.2259822	2.183491

Appendix 10a: Shows the map route of rebel entry into Teso

FGD In the words of one survivor, "The attack surprised many of us. Even when rumours of the strike reached us, many people were not disturbed. When the LRA attacked, people ran in different directions.

Appendix 10b: Shows the purported letter written by the LRA rebels warning the Itesots

REF: NOTICE TO THE ALL PUBLIC :-

. WE THE LRA/M HAVE BROUGHT NOTICE TO THE GENERAL PUBLIC THAT WE ARE READY TO WELCOME/RECIEVE ANY COLIGUE WHO DOESN'T SUPPORT THE DICTATORSHIP OF MUSEVENI. BECAUSE OF THE FOLLOWING ACTS :- CALAMITY, BLOOD SHEDING, INNOCENT KILLING WHICH IS OCCURING IN NORTHERN UGANDA. WHICH IS ACCORDING TO MUSEVENI'S PLAN EXAMPLE :- THE DIVISION OF ARMS IN KARAMOJONG TO REMOVE THE WEALTH OF THE FOLLOWING TRIBES :- ACHOLI, LANGI, TESO, OKUMAM AND THE ACT OF INNOCENT KILLING OF KARAMOJONG THAT COUSE US TO STILL CONTINUE RESISTING.

. SO WE INFORM ALL THE GENERAL PUBLIC TO POSSITIVELY COME TO COPPERATE HAND WITH HAND JOINTLY WITH US WITHOUT ANY FEAR SO THAT WE GAIN THE SAME PEACE AS HAPPENING IN OTHER REGIONS.

. INFACT, THE CHAIRMAN LRA/M HAVE POSSITIVELY PAST OUT WITH PEACE TALK AGENDA, BUT MUSEVENI IS RESPONDING TO IT NEGATIVELY THAT IS WHY KILLING INNOCENT PEOPLE AND BLOOD SHEDING IS STILL CONTINUEING IN UGANDA.

NOW, IT IS TO BE ON YOUR NOTICE THAT WE [redacted] OPERATION ON OUR ENERMIES, SO WE INFORM THE GENERAL PUBLIC NOT TO ACCOMODISES NEAR UPDF AND OTHER ARMS MEN. IF YOU DOESN'T RESPOND TO IT, YOU WILL ALSO BE THE VICTIMS.

COL. CHARLES TABULEY
ONGAKOMAKETVET

WE WITH POSSITIVE RESPONSE, TO BRING PEACE.