



FINAL STRATEGIC PLAN

2023/2024 – 2027/2028



"Fostering Trust and confidence in the insurance sector."

March, 2024



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Vision; to be a model Tribunal in insurance dispute resolution to foster public trust and inspire confidence in the insurance sector.

Mission; to provide the insurance sector with a specialized, efficient, accessible and transparent dispute resolution mechanism.

Values;

1. Independent
2. Professionalism
3. Integrity
4. Accountability
5. Teamwork

Theme: *"Fostering Trust and confidence in the insurance sector."*

March, 2024

Foreword

It is with great pleasure that I present this Five Year Strategic Plan of the Insurance Appeals Tribunal that will run for the period 2023/24-2027/28. This Strategic Plan unveils our commitment to Fostering Trust and Confidence within the insurance sector of Uganda.

This is the First Strategic Plan of the Insurance Appeals Tribunal that was established in the FY 2022/2023 and it charts our course for the coming Five Years. Our vision is to be a model Tribunal in insurance dispute resolution to foster public trust and inspire confidence in the insurance sector.

The Tribunal commits to offer individuals and organizations an avenue to voice their concerns and navigate the complexities of insurance appeals. With the Insurance Act of 2017 as our foundation, we uphold the principles of natural justice, ensuring that our decisions are reasoned, transparent, and unbiased.

This Five Year Strategic Plan outlines our commitment to enhancing accessibility, efficiency, and effectiveness. By strengthening collaboration, embracing technological advancements, and nurturing a culture of continuous improvement, we aim to expedite the appeals process while maintaining the highest standards of quality.

We acknowledge the diverse stakeholders who contribute to the insurance landscape - insurers, intermediaries, legal practitioners, policymakers, the Judiciary, the Ministry of Finance Planning and Economic Development and, most importantly, the Ugandan public. Your involvement and perspectives are integral to our journey, and this plan is a reflection of our dedication to serving your needs.

Through this plan, we lay the foundation for a stronger, fairer, and more just insurance appeals process. With our core values as our compass, we embrace the challenges ahead, confident in our ability to shape a future where justice prevails, accountability thrives, and trust is unwavering

For God and My Country

Mrs. Rita Namakiika Nangono
Chairperson

Acknowledgement

Successfully completion of this maiden Five Year Strategic Plan for the Insurance Appeals Tribunal covering the period 2023/24-2027/28 is a testament to the collective effort, dedication, and collaboration of numerous individuals and institutions to whom we express sincere gratitude as follows;

First, our appreciation goes to the Ministry of Finance, Planning, and Economic Development for their resolute support and guidance in our pursuit of justice, fairness, and accountability within the insurance sector. Your commitment to strengthening the regulatory framework and ensuring equitable outcomes has been instrumental in shaping the strategic objectives of this 5 year Plan.

Secondly, we extend our appreciation to the Insurance Regulatory Authority for its valuable insights, partnership, and commitment to a transparent and just insurance industry. Your collaboration has been essential in shaping our mandate and refining our processes to better serve the public and stakeholders.

To our dedicated team at the Insurance Appeals Tribunal, your tireless efforts and expertise have been the driving force behind the creation of this Strategic Plan. Your commitment to upholding the principles of fairness, transparency, and impartiality has been an inspiration to us all.

We express our gratitude to the legal practitioners, insurance companies, intermediaries, and all stakeholders who have actively engaged with us throughout the planning process. Your valuable input and feedback have enriched our understanding of the industry landscape and have been instrumental in shaping our strategic direction.

To our fellow citizens of Uganda, we are committed to serving your interests and providing a platform for seeking redress in the insurance sector. Your trust and engagement are essential as we work towards enhancing accessibility, efficiency, and effectiveness in the appeals process.

As we embark on this strategic journey, we look forward to working hand in hand with all stakeholders to realize our shared vision so as to shape a future where justice prevails and trust is the cornerstone of our endeavors.

For God and My Country

Isaac N. Mpanga
Registrar

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Abbreviation/Acronyms

AU	African Union.
CMA	Capital Markets Authority.
CMDMP	Capital Markets Development Master Plan.
EAC	East African Community.
IAT	Insurance Appeals Tribunal.
IRA	Insurance Regulatory Authority.
KPIs	Key Performance Indicators.
M&E	Monitoring and Evaluation.
NDPIII	National Development Plan III.
NGOs	Non-Governmental Organizations.
PESTLE	Political, Economic, Social, Technological, Legal and Environmental.
RMM	Risk Mitigation Matrix.
SCOT	Strengths, Challenges, Opportunities and Threats.
SDGs	Sustainable Development Goals.
SMEs	Small and Medium Enterprises.
SWOT	Strengths, Weaknesses, Opportunities, Threats.
UIA	Uganda Insurers Association.

Executive Summary

The Insurance Appeals Tribunal (IAT) presents its inaugural Strategic Plan for the period 2023/24–2027/28, underpinned by a commitment to providing an effective and accessible appeals mechanism. This commitment is articulated through four strategic objectives:

- i. Establish an Effective and Efficient Adjudication System: Promoting accessibility, independence, transparency, and accountability in dispute resolution.
- ii. Enhance Public Awareness and Stakeholder Engagement: Fostering understanding and collaboration on the Tribunal's mandate.
- iii. Create a Modern Appeals Process: Leveraging institutional development and organizational advancement for efficiency.
- iv. Mobilize Resources for Sustainability: Ensuring financial strength and operational efficiency.

Aligned with its mandate, the IAT seeks to offer an appeals mechanism that contributes to the overall integrity and credibility of Uganda's insurance sector. These strategic objectives correlate with the National Development Plan III, reflecting a commitment to justice, accountability, and technological innovation.

The purpose of the strategic plan is to guide the IAT in executing its mandate, ensuring justice, fairness, and accountability in the insurance sector. It forms the basis for annual work plans and budgets, effective implementation, and resource mobilization.

The participatory development process included environmental scanning, stakeholder consultation, SWOT analysis, goal setting, strategy development, costing, and formulation of performance indicators. This plan is a guide for the IAT's development and service delivery over the next five years.

Strategic Interventions for each objective include:

- i. *Effective Adjudication System*: Robust Case Management, Technology Adoption, ADR Mechanisms, Transparency Promotion, Capacity Building, and Regulatory Development.
- ii. *Public Awareness*: Comprehensive Campaigns and strengthening of Stakeholder Communication.
- iii. *Modern Appeals Process*: Institutional Framework Development, Human Resource Development, Technological Improvements, Infrastructure Development, and Asset Management.
- iv. *Resource Mobilization*: Strategy Development and Internal Capacity Building.

The estimated budget for plan implementation is UGX 9.5739 billion, largely expected from the Insurance Industry (IRA). A comprehensive monitoring and evaluation system will ensure efficient fund utilization.

This strategic plan positions the IAT as a model tribunal, instilling public trust and confidence in Uganda's insurance sector, epitomized by its Vision, Mission, and Core Values of Independence, Professionalism, Integrity, Accountability, and Teamwork. The theme, "Fostering Trust and confidence in the insurance sector," encapsulates the transformative impact envisioned by the IAT in the coming five years.

SECTION ONE

INTRODUCTION

1.0 Introduction

The Insurance Appeals Tribunal (IAT) Five Year Strategic Plan covering the Financial Year (FY) 2023/24-2027/28 is the first of its Kind since inauguration of the IAT in 2022. The Strategic Plan captures the vision, mission, and commitment to Fostering Trust and Confidence within the insurance sector of Uganda. Guided by the principles of transparency and impartiality, the plan outlines the Strategic Direction to enhance the appeals process, uphold the rule of law, and contribute to the overall integrity of the insurance industry in Uganda.

The Insurance Appeals Tribunal was established to play the role of an impartial authority for individuals and organizations seeking redress and challenging decisions made by the Insurance Regulatory Authority. The mandate of the Tribunal is rooted in the Insurance Act of 2017, which empowers it to review, evaluate, and determine the reasonableness and fairness of regulatory decisions.

This Strategic Plan has been designed to realise excellence, efficiency, and continuous improvement. It aims to enhance accessibility, streamline processes, and promote collaboration among stakeholders. By leveraging modern technology, fostering partnerships, and embracing adaptive strategies and ensure accessibility of its services, transparency and timely delivery.

1.1 Background

The Insurance Appeals Tribunal's Five-Year Strategic Plan covering the period 2023/24-2027/28 emerges against the backdrop of Uganda's evolving insurance landscape and the need to ensure justice, transparency, and accountability within the sector. Established under Section 136 of the Insurance Act, No. 6 of 2017, the Tribunal holds a pivotal role as a cornerstone of fairness, providing an avenue for individuals and organizations to seek redress and challenge decisions made by the Insurance Regulatory Authority (IRA). As the Apex Authority entrusted with this responsibility, the Tribunal's strategic direction becomes a compass guiding its actions to create an equitable insurance industry.

The strategic planning process is rooted in a commitment to enhance accessibility, streamline processes, and align operations with national development objectives. Fostering an environment of impartiality, efficiency, and continuous improvement, the Tribunal seeks to fortify its position as a catalyst for justice and accountability, impacting the lives of Ugandans and the insurance

sector at large. Over the years, Uganda's insurance sector has undergone transformation, responding to changing dynamics and emerging opportunities. As the sector continues to evolve, the need for a robust appeals mechanism gains significance.

The Insurance Appeals Tribunal's Strategic Plan not only addresses the aspirations of the Tribunal itself but aligns with Uganda's overarching development framework. It resonates with Uganda's Vision 2040, the National Development Plan III, and the UN 17 Sustainable Development Goals, which emphasize the importance of justice, accountability, and inclusive growth. Harmonizing its objectives with these national, regional and international priorities, the Tribunal reinforces its commitment to contribute meaningfully to Uganda's journey of socio-economic advancement.

This plan also acknowledges the significance of collaboration and stakeholder engagement. Legal practitioners, insurance companies, intermediaries, the Ministry of Finance, Planning, and Economic Development, the Insurance Regulatory Authority, and the Ugandan public all play integral roles in shaping the insurance sector.

As the Insurance Appeals Tribunal embarks on this strategic path, it embraces the challenges, opportunities, and responsibilities that come with its role. This plan is an example of its commitment to serve, its dedication to fairness, and its pursuit of excellence. With an unwavering resolve, the Tribunal invites stakeholders to join hands and collaboratively shape a future where justice prevails, accountability is upheld, and the insurance sector thrives in its journey toward sustainable development.

1.2 Policy Legal, Regulatory and Institutional Framework

The policy, legal, regulatory, and institutional framework of insurance in Uganda is designed to govern the operations of insurance companies, protect policyholders, and ensure the stability and growth of the insurance industry is as follows;

1.2.1 Policy Framework

The Policy Framework within which the IAT operates include;

- i. National Insurance Policy (2017)
- ii. Micro-insurance Policy (2019)
- iv. Policyholder Protection Policy
- v. Risk-Based Supervision Framework
- vi. Capital Markets Development Master Plan (CMDMP)

vii. Pension Sector Development Strategy (2011-2020)

1.2.2 Legal and Regulatory Framework

1.2.2.1 Legal Framework

Insurance Act, 2017: The legal mandate of the Uganda Insurance Appeals Tribunal is derived from the Insurance Act, No. 6 of 2017. The Insurance Act is the primary legislation governing the insurance sector in Uganda. It provides a comprehensive regulatory framework for insurance companies, intermediaries, and other entities involved in insurance activities. The Act covers various aspects, including licensing requirements, capital adequacy, solvency margins, disclosure standards, and market conduct. Sections 136 and 137 of the Act establish the Tribunal's jurisdiction, powers, and operational procedures.

1.2.2.2 Regulatory Framework

The regulatory framework involves several regulatory authorities and institutions responsible for overseeing the insurance industry:

- i. **Insurance Regulatory Authority of Uganda (IRA):** IRA is the principal regulator of the insurance sector. It is responsible for licensing insurance companies, regulating their activities, and ensuring compliance with the Insurance Act and other relevant laws.
- ii. **Capital Markets Authority (CMA):** While CMA primarily regulates capital markets, it also has some oversight over insurance companies' investment activities, ensuring that investments are in line with regulations and prudent investment practices.

1.3 Linkage to Global, Regional, NDP III and the Private Sector Development Planning Frameworks

The overarching global development planning framework is the 2030 Agenda for Sustainable Development which spells out the seventeen (17) Sustainable Development Goals presented in Figure 1.1 below.

Figure 1.1: The Sustainable Development Goals



The IAT strategic plan recognizes the integral role it plays in contributing to the achievement of the United Nations Sustainable Development Goals (SDGs). This linkage highlights the Insurance Appeals Tribunal's commitment to advancing the SDGs through its strategic initiatives, thereby aligning its objectives with the broader global sustainability agenda.

Figure 1.2: Alignment and Linkage of the IAT’s Strategic Plan to the Global and Regional Frameworks



1.2.2.3 Planning Framework

The Insurance Appeals Tribunal Strategic Plan (2023/24-2027/28) is aligned to the National, Regional and International planning frameworks including the Uganda Vision 2040, the third National Development Plan (2020/21-2024/25), Private Sector Development Programme Strategic Plan (2020/21-2024/25); Administration of Justice Programme Strategic Plan (2020/21-2024/25); Development Plan Implementation Programme Strategic Plan (2020/21-2024/25); the East African Community (EAC) Vision 2050, the African Union (AU) Agenda 2063 and the 2030 Agenda for Sustainable Development.

1.3 Purpose of the Strategic Plan

The purpose of the Strategic Plan is to translate the mandate and functions of the Insurance Appeals Tribunal into strategies and priority actions in light of new developments in the economy and global environment of the Insurance Sector. It is, therefore, a guide to the Insurance Appeals Tribunal's development and service delivery framework over the five-year horizon (FY2023/24-2027/28).

The Plan will assist the Insurance Appeals Tribunal in the following ways:

- i) Guide the Insurance Appeals Tribunal on executing its institutional mandate and functions;
- ii) Provide strategies and interventions for ensuring justice, fairness, and accountability in the insurance sector through transparent and efficient appeals processes;
- iii) Provide a basis for preparing annual work plans and budgets over the plan period;
- iv) Provide a basis for effective implementation, monitoring and evaluation of the deliverables; and
- v) Provide a basis for resource mobilization for the Insurance Appeals Tribunal.

1.4 The Plan Development Process

The formulation of the Insurance Appeals Tribunal (IAT) Strategic Plan involved a participatory and collaborative process to ensure its relevance and effectiveness. The development process followed a structured approach, encompassing key stages and involving various stakeholders. Among the key stages include;

- i. Environmental Scan and Stakeholder Consultation:
- ii. SWOT Analysis:
- iii. Goal Setting and Objective Formulation:

- iv. Strategy Development:
- v. Costing the Strategic Plan
- vi. Development of Performance Indicators and Monitoring Framework:

1.5 Structure of the Plan

The Plan is organized in Nine Sections as explained below:

Section One: provides highlights of the key issues and purposes of the plan and alignment to National, Regional and Global Planning Frameworks;

Section Two: focuses on analysis of the past performance of the Insurance Appeals Tribunal including the challenges and lessons learnt;

Section Three: presents the strategic directions of the Insurance Appeals Tribunal for the next 5 years.

Section Four: details the financing framework and strategy;

Section Five: presents the institutional arrangements for implementing the Plan;

Section Six: covers communication and feedback strategy;

Section seven: presents the potential risks and mitigation measures;

Section Eight: provides for the monitoring and evaluation framework of the plan;

SECTION TWO

SITUATION ANALYSIS

2.0 Introduction

The Tribunal started operations on 2nd January 2022 and in March 2022, the members of the Tribunal were officially inaugurated into office. The sub sections below present the situation analysis of the IAT;

2.1 Coordination with Other Agencies and the Private Sector

The extent to which the Insurance Appeals Tribunal (IAT) has coordinated with other players in and outside the industry varies:

i. Within Industry:

- a Collaboration with Insurance Regulatory Authority: The IAT closely coordinates with the Insurance Regulatory Authority to ensure alignment with insurance regulations and policies.
- b Engagement with Insurance Companies: The Tribunal collaborates with insurance companies to address industry-wide issues and ensure compliance with appeal decisions.

ii. Outside Industry:

- a Legal Sector: Collaboration with legal entities and law enforcement agencies ensures legal compliance and enforcement of appeal decisions.
- b Government Agencies: Coordination with other government bodies such as the Ministry of Finance and Ministry of Justice facilitates policy alignment and support.
- c International Agencies: Limited collaboration with international agencies may include sharing best practices and accessing technical assistance.

iii. New Institutions for Collaboration in the Next Strategic Plan:

- a Legal Aid Institutions: Partnering with legal aid organizations can enhance access to justice for marginalized groups.
- b Consumer Protection Agencies: Collaboration with consumer protection agencies strengthens efforts to safeguard the rights of policyholders.
- c Data Protection Authorities: Partnering with data protection authorities ensures compliance with data privacy regulations in handling sensitive information.
- d International Organizations: Collaboration with international organizations like the World Bank or UNDP can provide access to resources and expertise in legal and regulatory frameworks.

2.2. Stakeholder Mapping and Analysis

i) Influence-Interest Matrix:

Stakeholder	Influence	Interest
Insurance Regulatory Authority	High	High
Insurance Companies	High	High
Legal Sector	High	High
Government Agencies	High	High
International Agencies	Medium	Medium
Legal Aid Institutions	Medium	High
Consumer Protection Agencies	Medium	High
Data Protection Authorities	Medium	High

ii) Key stakeholders include regulatory bodies, insurance companies, legal entities, government agencies, international organizations, legal aid institutions, consumer protection agencies, and data protection authorities.

2.3 Governance and Organizational Structure

The composition of the Insurance Appeals Tribunal encompasses both Members and the Secretariat. Presently, the Members of the IAT comprises five Members, led by the Chairperson. The Secretariat, under the leadership of the Registrar, currently consists of two staff: the Registrar and the Administrator. Aligning with the IAT's mandate and the strategic initiatives outlined in the five-year Strategic Plan, there is urgent need for enhancement of the staffing structure.

2.3.2 Office Space and facilities

The IAT is renting office space however, the adequacy of the office space for the Insurance Appeals Tribunal (IAT) in terms of design and facilities needs re-adjustments to ensure effectiveness and efficiency of its operations. The considerations include

- Tribunal Court room:
- Registry:
- Meeting Rooms:
- Waiting Area:
- Accessible Facilities:
- IT Infrastructure:
- Security Installations:

- h. Privacy Considerations:
- i. Adequate Space for Administrative Staff:
- j. Future Expansion: -

2.4 Caseload and Performance

The Tribunal heard and disposed 6 (six) appeals in the FY 2022/2023 with a total subject matter value of UGX 2,946,314, 504/=. The decisions are available on the IAT Website.

2.5 Technological Capabilities

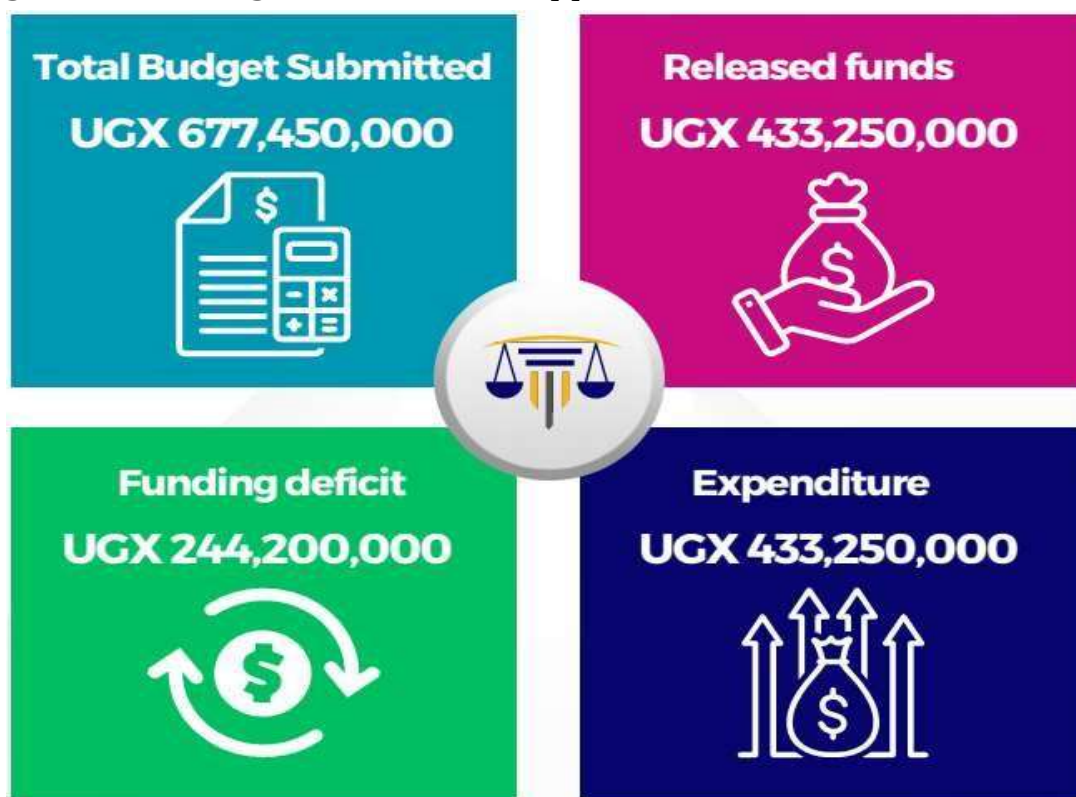
The Insurance Appeals Tribunal's weak Information Technology (IT) system is a critical issue that needs to be addressed to improve its efficiency and effectiveness. Improving the Insurance Appeals Tribunal's IT system is a significant step toward enhancing its overall efficiency. It can also contribute to better case management and data security, ultimately benefiting all stakeholders involved.

2.6 Financial Sustainability

2.6.1 IAT Budget for the FY 2022/2023

Financial sustainability and adequacy are essential for the IAT to maintain its independence, credibility, and efficiency in addressing insurance disputes. Without sufficient funding, the tribunal may struggle to fulfill its mandate and risk eroding trust in its services. Adequate financial resources are fundamental to its long-term success and the provision of fair and timely resolutions to insurance-related conflicts. Figure 2.1 below presents the Funding Status of the IAT for the FY 2022/2023

Figure 2.1: Funding of the Insurance Appeals Tribunal for the Financial Year 2022/2023



Source: IAT Annual Performance Report, 2022/23

In the Financial Year 2022/2023, the Insurance Appeals Tribunal in Uganda received a budget that was less than what they initially requested, resulting in a budget deficit. The budget deficit of 244,200,000 Uganda Shillings had implications of inability to carry out functions effectively.

- i. **Budget required:** 677,450,000 Uganda Shillings - This is the amount of money that the Insurance Appeals Tribunal initially determined they needed to operate effectively during the 2022/2023 fiscal year.
- ii. **Budget provided:** 433,250,000 Uganda Shillings - This is the actual amount of funding provided to the IAT for the same fiscal year. It's important to note that this is less than the initially requested budget.
- iii. **Budget utilized:** 433,250,000 Uganda Shillings - This represents the actual amount of money that the Insurance Appeals Tribunal spent or utilized during the fiscal year.
- iv. **Budget deficit:** 244,200,000 Uganda Shillings - This is the difference between the budget required and the budget provided. There is a budget deficit of 244,200,000 Uganda Shillings.

The budgetary implications of the Insurance Appeals Tribunal's budget situation for the Financial Year 2022/2023 include several potential challenges and consequences:

- i. **Resource Constraints:** The most immediate implication is that the Insurance Appeals Tribunal has limited financial resources to carry out its functions effectively. With a budget deficit of 244,200,000 Uganda Shillings. This could lead to resource constraints that hinder their ability to provide services efficiently.
- iii. **Limited Capacity for Expansion:** With a budget shortfall, the Insurance Appeals Tribunal may find it challenging to expand or enhance their services. They might be unable to invest in technology, hire additional staff, or improve their infrastructure to better serve their constituents.
- iv. **Risk of Cost Cutting:** To cope with the budget deficit, the Tribunal is forced to implement cost-cutting measures. These measures can have a negative impact on the organization's overall efficiency and effectiveness.
- v. **Dependency on Alternative Funding Sources:** The Tribunal might explore alternative sources of funding, such as seeking additional grants or donations, to bridge the budget gap. However, dependence on external sources could be uncertain and might not provide a long-term solution.
- vi. **Risk of Inefficiencies:** Operating with a reduced budget may force the Tribunal to find ways to do more with less. While this can encourage efficiency, it may also lead to overburdened staff, decreased morale, and the potential for errors or lapses in service quality.
- vii. **Reputation and Credibility:** If the budget deficit results in service disruptions or difficulties in resolving insurance appeals, it could harm the reputation and credibility of the Insurance Appeals Tribunal. This, in turn, may erode trust in the institution and its ability to impartially address disputes.
- viii. **Advocacy and Planning:** The budget deficit may prompt the Tribunal to advocate for increased funding in future budget cycles. They may need to engage with relevant authorities to make a case for the importance of their services and the need for adequate funding.

2.6.2 Budget for the FY 2023/2024

In the pursuit of its mission to provide impartial and effective resolution of insurance disputes and uphold the principles of justice and fairness within the insurance industry, the Insurance Appeals Tribunal (IAT) presented its budget proposal for the Fiscal Year 2023/2024. This budget is designed to ensure the financial sustainability, adequacy, and continued excellence of the IAT's services

in delivering justice and resolution for insurers, policyholders, and the broader community. Figure 2.2 below presents the Budget Status for the IAT for the FY 2023/2024;

Figure 2.2: Budget Status for the IAT for the FY 2023/2024;



Source: IAT Annual Performance Report, 2022/23

- i. **Increasing Budget Requirements:** The budget requirements for the IAT have increased from 677,450,000 Uganda Shillings in 2022/23 to 781,359,120 Uganda Shillings in 2023/24. This indicates that the tribunal anticipates the need for a higher budget to support its operations and responsibilities in the upcoming fiscal year.
- ii. **Budget Deficit Reduction:** The good news is that the budget deficit has decreased from 244,200,000 Uganda Shillings in 2022/23 to 221,359,120 Uganda Shillings in 2023/24. While there is still a budget deficit, the reduction suggests that the IAT has managed to secure a slightly larger portion of its requested budget.
- iii. **Dependency on External Sources:** The presence of a budget deficit in both years highlights the IAT's reliance on external sources of funding or potential gaps in the allocation of resources. Budget deficits can impact the tribunal's operational efficiency and the quality of services it provides.
- iv. **Budget Provided:** In both years, the actual budget provided falls short of the budget required, indicating that the IAT had to operate with limited resources relative to its needs. This shortfall can lead to challenges in delivering timely and high-quality services and maintaining the independence and credibility of the institution.
- v. **Advocacy for Funding:** The reduced budget deficit in 2023/24 could be a result of advocacy efforts by the IAT to secure a higher budget allocation. This may indicate that the tribunal is actively engaging with relevant authorities to address its funding gaps.
- vi. **Strategic Planning:** The IAT will need to continue its strategic planning to address these budget shortfalls effectively. It might involve identifying cost

saving measures, exploring alternative funding sources, and making a compelling case for the importance of its services.

2.7 SWOT and PESTLE Analysis of the IAT

2.7.1 SWOT Analysis of the IAT

An assessment of the internal and external factors that facilitate, influence, constrain or threaten the performance of the Insurance Appeals Tribunal in Uganda was done using SWOT analysis. Below is an analysis using McKinsey's 7S model to assess the strengths and weaknesses of the Insurance Appeals Tribunal (IAT) based on strategy, structure, systems, shared values, skills, style of leadership, and staff:

Table 2.5: SWOT Analysis of the Insurance Appeals Tribunal

Dimension	Strengths	Weaknesses
Strategy	✓ Clear mandate and purpose: Defined mission and objectives indicate clear strategic direction.	✓ Legal changes impacting jurisdiction: Adjustments may be needed due to changes in legal regulations.
	✓ Commitment to transparency: Transparency in appeals and decisions reflects a strategic commitment to fairness.	✓ Need for increased caseload: Strategic planning required to manage increased caseloads effectively.
Structure	✓ Initial team expertise: Legal and regulatory expertise suggests a well-structured organization.	✓ Resource limitations: Constraints may affect the Tribunal's ability to maintain an optimal structure.
		✓ Collaboration within the justice sector: Limited collaboration may hinder effectiveness in achieving objectives.
Systems	✓ Strong regulatory legal framework: Supports operations and decision-making processes.	✓ Limited public awareness and enforcement: Inadequate systems may undermine effectiveness in reaching target audience.
	✓ Efficiency and timeliness: Timely resolution of cases indicates efficient processes.	
Shared Values	✓ Commitment to transparency and impartiality: Crucial for building trust and credibility.	✓ Negative public perception: May require efforts to address and improve reputation.

Dimension	Strengths	Weaknesses
Skills	✓ Experienced team: Availability of necessary skills and expertise.	✓ Limited public awareness and enforcement: Skills related to outreach and enforcement may need enhancement.
	✓ Independence and impartiality: Critical for upholding integrity.	
Style of Leadership	✓ Commitment to transparency and efficiency: Focused leadership supports objectives.	✓ Financial dependence: Over-reliance on external funding may limit autonomy and flexibility.
Staff	✓ Commitment to transparency and impartiality: Contributes to credibility.	✓ Financial dependence: Staffing limitations due to financial constraints may hinder ability to attract and retain talent.

2.7.2 PESTLE Analysis for the IAT

Factor	Description
Political Factors	- Insurance Laws and Regulations: Changes in insurance laws and regulations can significantly impact the Tribunal's operations, altering the scope of appeals or modifying jurisdiction.
	- Government Policies: Government policies related to the insurance sector and broader legal framework can influence the Tribunal's mandate, alignment with which can strengthen relevance and support.
Economic Factors	- Economic Fluctuations: Economic downturns may lead to increased insurance disputes, while upturns may reduce appeals, impacting resource planning.
	- Funding and Technology: Economic conditions affect funding availability for modernization efforts, crucial for maintaining effective operations and investing in technology.
Sociocultural Factors	- Impartiality and Transparency: Societal expectations for fairness and transparency necessitate the Tribunal's commitment to impartiality.
	- Cultural Diversity: Recognizing and respecting cultural diversity among appellants and stakeholders ensures inclusivity and respect in the appeals process.
Technological Factors	- Digital Transformation: Adoption of digital tools can streamline processes and enhance accessibility for appellants, leading to faster case resolution.
	- Data Security: With digital solutions, data security becomes critical; measures must safeguard sensitive information and protect privacy.

Factor	Description
Legal Factors	- Compliance and Credibility: Compliance with legal regulations is vital for maintaining credibility; adherence to established legal procedures is crucial.
	- Legal Changes: Changes in insurance laws or dispute resolution regulations may impact jurisdiction and mandate, requiring strategic planning.
Environmental Factors	- Environmental Responsibility: Aligning operations with environmental sustainability practices, such as reducing paper usage and adopting energy-efficient technologies, enhances governance image.

2.8 Key Achievements

2.8.1 Capacity Building on Matters of the Insurance Appeals Tribunal

Since establishment on 2nd January 2022, the 4 Members and the Registrar of the Insurance Appeals Tribunal were subjected to one orientation training that was focused on facilitating the members to understand their roles and the Mandate of the IAT. Given the fact that IAT is a new body, there is need for more capacity building opportunities to be extended to the Insurance Appeals Tribunal Members and Staff.

2.8.2 Public Awareness of the IAT

The IAT since establishment has organised one media launch that targeted the general public on the 11th of October 2022. As part of the Launch, the IAT was introduced to the stakeholders, created awareness among the general public on the existence and activities of the IAT. The following activities were taken to drive awareness;

- i. A media launch on 11th October 2022
- ii. Website was developed and is accessible to the public
- iii. Radio talk shows were conducted
- iv. Activation on social media platforms such as Instagram, Twitter, LinkedIn, and others to interact with target audience and increase brand awareness
- v. Stakeholder engagement to help foster connections, trust, confidence, and buy in for the Tribunal were undertaken with various players
- vi. The Tribunal developed a Finance Management Manual and a Communication and Branding Policy

2.8.3 Other Achievements;

- i. Establishment of premises
- ii. Recruitment of the Registrar
- iii. Initiation of the process of development of the strategic plan
- iv. Timely resolution of the cases presented
- v. Stake holders' engagement
- vi. Increasing access to justice
- vii. Implementing / recommending policy changes.
- viii. Setting legal precedents with some cases so far handled.
- ix. Creation of its awareness to the public through medias

2.8.4 Challenges and proposed solutions to the performance of the IAT

S/N	Challenge	Proposed Solution
1	Budget shortfall curtails the activities of the Tribunal and this will affect the achievements of the Tribunal's Strategic Objectives	<ol style="list-style-type: none">i. There is a need to increase the Budget of the IAT to enable full implementation of the Mandateii. Finding alternative funding from both government and development partners
2	There are noted gaps in the regulations that limit the amount of information tabled before the Tribunal by litigants. There is also need to streamline the pretrial processes to ensure that appeals are heard within the timelines in the Act.	Conducting a comprehensive review and provide comprehensive recommendations for amendment
3	Constrains in fulfilling IAT mandate few appeals being Appealed-only 7 appeals Todate	Engagement of the public through advocacy and sensitization workshops/seminars Collaboration with partners and stakeholders through meetings, workshops and seminars to create more awareness Radio talk shows and engagement of the media on Tribunal Activities
4	Erosion of independence due to funding from IRA and the procurement issues.	There is need to ensure independence in the operations of the IAT by way of granting the IAT a subvention status.

2.9 Summary of Emerging Issues and Implications

- i. **Technological Advancements:** The integration of technology in legal processes presents opportunities and challenges for the Tribunal. While it could enhance efficiency and accessibility, it necessitates addressing digital literacy gaps, data security concerns, and disparities in access to technology.
- ii. **Digital Evidence and Cybersecurity:** With the increasing reliance on digital evidence, the Tribunal must address issues regarding its admissibility and authenticity while ensuring robust cybersecurity measures to safeguard sensitive information.
- iii. **Consumer Protection:** As the insurance sector caters to individuals and businesses, ensuring fair treatment and consumer protection is paramount. The Tribunal needs to align its decisions with policies that safeguard the rights of policyholders and insured parties, bridging existing policy gaps.
- iv. **Data Privacy and Protection:** Handling personal and sensitive information mandates compliance with data protection regulations. Addressing gaps in data privacy policies and procedures is imperative to uphold legal and ethical standards.
- v. **Harmonizing with National Development:** Aligning Tribunal activities with national development objectives enhances relevance. Bridging coordination gaps and actively contributing to broader national development goals is essential.
- vi. **Public Awareness and Trust:** Raising awareness about the Tribunal's role and functions fosters trust. Addressing implementation gaps in transparency and accessibility enhances public confidence in the Tribunal's decisions.
- vii. **Resource Allocation:** Efficiently managing financial and human resources addresses financial gaps. Prioritizing resource allocation to optimize operations and meet increasing demands mitigates resource-related risks.
- viii. **Changing Legal Landscape:** Staying updated with evolving legal frameworks is crucial to navigate jurisdictional shifts and procedural changes. Addressing gaps in legal awareness and expertise ensures effective decision-making.
- ix. **Alternative Dispute Resolution:** Exploring alternative dispute resolution methods addresses implementation gaps in dispute resolution. Incorporating mediation and arbitration where appropriate enhances efficiency and cost-effectiveness.
- x. **Capacity Building:** Providing ongoing training addresses human resource gaps. Enhancing expertise in insurance law and appeals procedures among Tribunal members and staff mitigates skill-related risks.
- xi. **Low Number of Appeal Cases:** Addressing gaps in policy documentation and claims processes reduces ambiguities, potentially decreasing the number of disputes and appeals.

- xii. **Policy Gaps:** Addressing ambiguities in insurance policy documents and claims processes reduces disputes and enhances efficiency.
- xiii. **Implementation Gaps:** Adhering to appeal submission timelines is crucial, mitigating risks associated with non-compliance and time-bound jurisdiction.
- xiv. **Risk Gaps:** Training and capacity building for assessors improve the quality of assessment reports, mitigating risks associated with inaccurate or inadequate assessments.

The Insurance Appeals Tribunal in Uganda must address these emerging issues by bridging gaps in policies, finances, human resources, monitoring and evaluation, implementation, coordination, and risk management. Proactive measures, stakeholder engagement, and adaptability are essential to effectively navigate these challenges and leverage opportunities for improvement.

SECTION THREE

STRATEGIC DIRECTION

3.0 Introduction

The Insurance Appeals Tribunal (IAT) Strategic Plan serves as a foundational guide, articulating the vision, mission, and overarching goals that will steer the Tribunal over the upcoming planning period. This strategic document encapsulates the collective aspirations of the Tribunal, aligning its efforts with the dynamic landscape of insurance appeals and the broader legal and regulatory environment.

In recognizing the evolving nature of the insurance sector and the importance of fair and efficient dispute resolution, the IAT has embarked on a strategic journey to fortify its role as a cornerstone of justice within the insurance domain. This plan represents a deliberate and forward-looking initiative, driven by the imperative to enhance accessibility, transparency, and effectiveness in addressing appeals brought before the Tribunal.

3.1 Vision, Mission, Mandate and Core Values

3.1.1 Vision

To be a model Tribunal in insurance dispute resolution to foster public trust and inspire confidence in the insurance sector.

3.1.2 Mission

To provide the insurance sector with a specialized, efficient, accessible and transparent dispute resolution mechanism

3.1.3 Mandate

The mandate of the Insurance Appeals Tribunal in Uganda is to provide a platform for individuals and entities to seek redress and challenge specific decisions made by the Insurance Regulatory Authority (IRA). The Tribunal was established under Section 136 of the Insurance Act, No. 6 of 2017, and its operationalization was outlined in Section 137(7) of the same Act.

The primary statutory purpose and mandate of the Insurance Appeals Tribunal include:

- i. **Reviewing Decisions:** The Tribunal has the authority to review decisions made by the IRA that are specified under the Insurance Act. These decisions could pertain to various matters within the insurance industry, such as licensing and

authorization of insurers, intermediaries, and other participants; regulatory sanctions and penalties; approval or denial of insurance products, rates, and terms; and other decisions as outlined in the Act.

- ii. **Hearing and Determining Questions or Issues:** In addition to reviewing decisions, the Tribunal is empowered to hear and determine questions or issues that arise from reviews conducted by the Tribunal itself. This involves evaluating the evidence, arguments, and submissions presented by parties involved in the appeals process.
- iii. **Ensuring Reasonable and Fair Decisions:** The primary objective of the Tribunal is to ensure that the regulatory decisions made by the IRA are reasonable and fair. It serves as a mechanism to address grievances and challenges arising from decisions that parties believe are unjust or not in line with the principles of fairness.
- iv. **Upholding Principles of Natural Justice:** The Tribunal is required to conduct its proceedings in a manner consistent with principles of natural justice, fairness, and impartiality. This ensures that parties appealing decisions are given a fair opportunity to present their cases and that the decisions are made based on a thorough and unbiased assessment of the facts.
- v. **Issuing Orders and Decisions:** As part of its mandate, the Tribunal can issue orders and decisions related to the reviews it conducts. These orders may include modifications, reversals, or affirmations of the original decisions made by the IRA. The Tribunal's decisions are considered final and binding on all parties involved.
- vi. **Transparency and Accountability:** The Tribunal operates in a transparent manner, conducting its sittings in public unless there are compelling reasons to hold part of a sitting in private for the interest of justice. It is accountable to the Minister of Finance and is required to provide regular reports on its activities, decisions, and recommendations.

Therefore, the mandate of the Insurance Appeals Tribunal in Uganda is to serve as an impartial authority that reviews and evaluates decisions made by the Insurance Regulatory Authority on appeal, ensuring that these decisions are reasonable, fair, and aligned with the principles of justice. The Tribunal's role contributes to maintaining transparency, accountability, and integrity within the insurance industry by offering a platform for appeals and redress.

3.1.3 Core Values

- i. Independent
- ii. Professionalism
- iii. Integrity
- iv. Accountability
- v. Teamwork

3.2 Goal, Objectives and Strategies

3.2.1 Goal of the Plan

The Goal of this Five Year Strategic Plan is to offer an effective and accessible appeals mechanism thus contributing to the overall integrity and credibility of the insurance sector in Uganda.

3.2.2 Strategic Objectives

- i. To establish an effective and efficient system for adjudicating disputes that promotes accessibility, independence, transparency and accountability.
- ii. To enhance public awareness and stakeholder engagement on the Tribunal's mandate.
- iii. To create a modern appeals process through an integrated framework that leverages institutional development and organizational advancement.
- iv. To mobilize resources to ensure sustainable financial strength and operational efficiency of the Tribunal.

Pursuing these strategic objectives, will enable the First Strategic Plan of the Insurance Appeals Tribunal of Uganda to establish a reputation as a credible, transparent, and efficient body that safeguards justice and accountability within the Ugandan insurance sector.

3.2.3 Alignment of Strategic Objectives to the NDP III Objectives

The four strategic objectives of the Insurance Appeals Tribunal (IAT) are intricately aligned with the overarching objectives outlined in the National Development Plan III (NDP III) for Uganda. The IAT's pursuit of enhanced accessibility, fairness,

efficiency, transparency, collaboration, continuous improvement, and technological integration resonates with the NDP III's emphasis on promoting justice, accountability, and technological innovation. Addressing the specific needs of the insurance sector, the IAT contributes to the broader goals of the NDP III related to economic development, good governance, and access to justice.

3.2.4 Strategy Map

The strategy map serves as a visual representation of the cause-and-effect relationships between the IAT's strategic objectives and the desired outcomes. It illustrates the pathways through which the Tribunal's actions and interventions lead to the achievement of its overarching goals. Each strategic objective is mapped to corresponding key performance indicators, providing a comprehensive view of how the Tribunal's efforts contribute to the realization of its mission and vision.

3.2.5 Key Results Framework

i. Strategic Objective One; to establish an effective and efficient system for adjudicating disputes that promotes accessibility, independence, transparency, and accountability.

S/N	Key Outcome Results	Outcome Performance Indicators
1	Maintain the precedence of no case back lodge	Proportion of the appealed cases resolved on record time
2	Timely Resolutions: Increase in the percentage of cases resolved within stipulated timeframes, demonstrating the Tribunal's commitment to prompt adjudication.	Timeliness of Adjudication: Percentage of cases resolved within specified timeframes.
3	Improvement in stakeholder satisfaction surveys, reflecting the perceived fairness, transparency, and accessibility of the appeals process.	Stakeholder Satisfaction Index: Measurement of stakeholder satisfaction through surveys and feedback mechanisms.
4	Independence Assurance: Regular assessments and audits affirming the Tribunal's independence from external influences in decision-making.	Independence Audit Results: Outcomes of periodic audits and assessments verifying the Tribunal's independence in decision-making.
5	Increased Public Confidence	Percentage increase in public confidence and trust in the Tribunal's ability to deliver fair and impartial decisions

ii. Strategic Objective Two; to enhance public awareness and stakeholder engagement on the Tribunal's mandate.

S/N	Key Outcome Results	Outcome Performance Indicators
1	Increased Public Awareness: Growth in public awareness and understanding of the Tribunal's role and functions through targeted outreach programs.	Percentage increase in public awareness
2	Improved Understanding Mandate of Insurance Appeals Tribunal	Percentage increase in the understanding of the Tribunal's mandate, functions, and processes among the public and stakeholders.
3	Stakeholder Participation: Rise in the engagement levels of stakeholders, including appellants, legal representatives, and insurance companies, in Tribunal activities and processes.	Percentage increase in stakeholder participation in Tribunal events, consultations, and feedback mechanisms.
4	Communication Effectiveness: Improved effectiveness of communication channels, as evidenced by the reach and impact of informational campaigns and materials.	Evaluation of the effectiveness of communication channels through metrics such as reach, engagement, and feedback.

- iii. **Strategic Objective Three;** To create a modern appeals process through an integrated framework that leverages institutional development and organizational advancement

S/N	Key Outcome Results	Outcome Performance Indicators
1	Technology Integration: Successful implementation of technology solutions to enhance the efficiency and effectiveness of the appeals process.	Technology Adoption Rate: Percentage of technology solutions successfully integrated into the appeals process.
2	Training and Development: Improvement in the skills and capabilities of Tribunal staff through targeted training and development programs.	Staff Development Index: Assessment of staff skills and capabilities compared measured through training and development programs.
3	Continuous Improvement: Establishment of a culture of continuous improvement through regular reviews and updates to processes, policies, and procedures.	Quantitative measures of the impact of continuous improvement initiatives on the efficiency and effectiveness of the appeals process.

- iv. **Strategic Objective Four;** To mobilize resources to ensure sustainable financial strength and operational efficiency of the Tribunal

S/N	Key Outcome Results	Outcome Performance Indicators
1	Financial Stability: Achievement of financial sustainability through	Financial Sustainability Index: Measurement of financial stability and

S/N	Key Outcome Results	Outcome Performance Indicators
	diversified funding sources, efficient resource allocation, and prudent financial management.	sustainability, considering diverse funding sources and responsible financial management.
2	Operational Efficiency: Improvement in operational efficiency, measured by resource utilization, case processing times, and cost-effectiveness.	Quantitative measures of operational efficiency, including resource utilization, case processing times, and cost-effectiveness.
3	Resource Mobilization Success: Successful acquisition of additional resources through grants, partnerships, and other resource mobilization efforts.	Resource Mobilization Success Rate: Percentage increase in resources acquired through grants, partnerships, and other mobilization efforts compared to the baseline at the beginning of the strategic plan period.

3.2.6 Strategic Interventions and Activities/Actions

3.2.6.1 Strategic Objective One

To establish an effective and efficient system for adjudicating disputes that promotes accessibility, independence, transparency, and accountability.

Strategic Intervention	Activities/Action	Output
Develop and implement a Robust Case Management System	In collaboration with NITA-U, develop and launch a new online case management system	Successful completion and launch of the new case management system.
	Procurement and Installation of user-friendly interfaces for Tribunal members, staff, and appellants.	Availability of a user-friendly interface for Tribunal members, staff, and appellants.
	Documenting of system features, functionalities, and technical specifications.	Comprehensive documentation of system features, functionalities, and technical specifications.
	Procuring and installing System security measures	System security measures implemented and tested.
Adopt use of appropriate technology	Integrate technology for online filing of appeals.	<ul style="list-style-type: none"> Implementation of an online filing system. Appellants successfully using the online platform for appeal submissions.

<p>gy for the Tribunal process.</p>		<ul style="list-style-type: none"> ▪ Increased accessibility and ease of use for appellants.
	Utilize technology to automate procedural steps	<ul style="list-style-type: none"> ▪ Identification and automation of specific procedural steps within the case management system. ▪ Streamlined and expedited processes for routine procedural tasks. ▪ Reduction in manual workload and potential errors.
<p>Use of Alternative Dispute Resolution Mechanism (ADR) to resolve appeals.</p>	Training and Capacity Building: <ul style="list-style-type: none"> • Conduct training programs for Tribunal members and staff on various ADR methods, such as mediation and arbitration. • Collaborate with external experts and ADR practitioners to provide specialized training sessions. 	ADR-Trained Tribunal Members and Staff: <ul style="list-style-type: none"> • Number of Tribunal members and staff who have undergone ADR training.
	ADR Framework Development: <ul style="list-style-type: none"> • Establish a comprehensive framework outlining the integration of ADR into the appeals process. • Define clear guidelines, procedures, and standards for implementing ADR mechanisms in different types of insurance appeals. 	Comprehensive ADR Framework: <ul style="list-style-type: none"> • Published document outlining the ADR framework, including guidelines, procedures, and standards.
	Public Awareness Campaign: <ul style="list-style-type: none"> • Launch a public awareness campaign to inform appellants, legal representatives, and insurance companies about the availability and benefits of ADR. • Create informational materials, including brochures, website content, and social media posts, to educate stakeholders about ADR options. 	Increased Public Awareness: <ul style="list-style-type: none"> • Metrics indicating the reach and impact of the public awareness campaign on ADR.

Promoting transparency and accountability	Document decisions and make them easily accessible.	<ul style="list-style-type: none"> ▪ Implementation of a systematic decision documentation process. ▪ Accessibility of decisions to all relevant parties. <p>Documentation structured for transparency and accountability.</p>
	Publish annual reports summarizing key statistics. Implement standardized reporting mechanisms.	<ul style="list-style-type: none"> ▪ Compilation and publication of comprehensive annual reports. ▪ Inclusion of key statistics, outcomes, and insights. ▪ Accessibility of reports to the public and stakeholders.
	Conduct regular internal and external audits.	<ul style="list-style-type: none"> ▪ Conduct of regular internal and external audits. ▪ Identification and rectification of any discrepancies or issues. ▪ Assurance of compliance with established standards.
Capacity building for members and staff on technical and ethical considerations	Technical Training Programs: <ul style="list-style-type: none"> ◦ Organize specialized technical training sessions for Tribunal members on relevant aspects of insurance law, regulations, and industry practices. ◦ Collaborate with legal experts, industry professionals, and academic institutions to provide in-depth technical knowledge. 	Certified Training Attendance Records: <ul style="list-style-type: none"> ◦ Documentation of Tribunal members and staff who have completed certified technical training programs.
	Ethics and Professional Conduct Workshops: <ul style="list-style-type: none"> ◦ Conduct workshops and seminars focused on ethical considerations and professional conduct for Tribunal members and staff. ◦ Facilitate discussions on ethical dilemmas, case studies, and best practices in the context of insurance appeals. 	Ethics and Conduct Workshop Reports: <ul style="list-style-type: none"> ◦ Reports summarizing the outcomes of ethics and professional conduct workshops, including key takeaways and action items.
	Continuous Legal Education Programs:	Continuous Legal Education Attendance Logs:

	<ul style="list-style-type: none"> Establish a continuous legal education program to keep Tribunal members updated on changes in legislation, precedents, and emerging legal trends. Encourage attendance at relevant conferences, seminars, and legal forums to foster ongoing learning. 	<ul style="list-style-type: none"> Records of attendance at continuous legal education programs and external legal events.
	<p>Mentorship Programs:</p> <ul style="list-style-type: none"> Introduce mentorship programs pairing experienced Tribunal members with newer members to provide guidance on technical and ethical matters. Foster a culture of knowledge-sharing and collaboration within the Tribunal. 	<p>Mentorship Program Progress Reports:</p> <ul style="list-style-type: none"> Reports detailing the progress and impact of the mentorship programs, including feedback from participants.
Development of regulations and guidelines.	<p>Regulatory Framework Assessment:</p> <ul style="list-style-type: none"> Conduct a thorough assessment of existing regulations and guidelines governing the Tribunal's operations. Identify gaps, inconsistencies, and areas requiring clarification or enhancement. 	A documented and improved set of regulations and guidelines reflecting the outcomes of the assessment and stakeholder consultations.
	<p>Stakeholder Consultations:</p> <ul style="list-style-type: none"> Engage in consultations with key stakeholders, including appellants, legal representatives, insurance companies, and regulatory bodies, to gather input on regulatory needs. Facilitate roundtable discussions, surveys, and feedback sessions to capture diverse perspectives. 	Comprehensive report summarizing the feedback received from stakeholder consultations.
	<p>Legal Expertise Engagement:</p>	Documentation of recommendations and

	<ul style="list-style-type: none"> o Collaborate with legal experts, scholars, and practitioners to draft and refine regulations and guidelines. o Ensure alignment with evolving legal standards, best practices, and industry developments. 	insights provided by legal experts during the drafting process.
	Internal Working Groups: <ul style="list-style-type: none"> o Form internal working groups comprising Tribunal members, legal advisors, and relevant staff to contribute expertise and insights. o Facilitate regular meetings to discuss and draft regulatory provisions. 	Reports from internal working groups outlining discussions, considerations, and contributions to the regulatory development.
	Public Consultation Forums: <ul style="list-style-type: none"> o Organize public forums to present draft regulations and guidelines to the broader community for feedback. o Encourage transparency and inclusivity in the regulatory development process. 	A report summarizing feedback received from the public during consultation forums.
	Regulatory Impact Assessment: <ul style="list-style-type: none"> o Conduct a comprehensive impact assessment to evaluate the potential effects of proposed regulations on stakeholders and the appeals process. o Consider economic, social, and procedural impacts. 	A detailed report outlining the results of the regulatory impact assessment, including potential benefits and challenges.

3.2.6.1 Strategic Objective Two

To enhance public awareness and stakeholder engagement on the Tribunal's mandate.

Strategic Intervention	Activities/Action	Output
Develop and Implement a Comprehensive Public Awareness Campaign	Develop awareness creation IEC materials in print and digital format	<ul style="list-style-type: none"> ▪ Printed brochures, pamphlets, and flyers containing information about the IAT. ▪ Digital materials such as infographics, videos, and slideshows for online distribution. ▪ Well-designed posters for display in public spaces.
	Develop a comprehensive campaign strategy	<ul style="list-style-type: none"> • Documented campaign strategy outlining goals, target audiences, messaging, and channels. • Timelines and schedules for the planned campaign activities. • Identified key performance indicators (KPIs) for monitoring and evaluation
	Open and operate social media platforms for targeted outreach	<ul style="list-style-type: none"> ▪ Established social media profiles (e.g., Facebook, Twitter, LinkedIn) for the IAT. ▪ Branded content, cover images, and profile pictures for social media platforms. ▪ Regularly updated content including posts, articles, and engagement with followers.
	Engage educational institutions for inclusion	<ul style="list-style-type: none"> ▪ Collaboration agreements or memoranda of understanding with educational institutions. ▪ Educational materials tailored for inclusion in curricula. ▪ Organized workshops, seminars, or webinars in partnership with educational institutions.
	Distribute IEC Materials on the IAT	<ul style="list-style-type: none"> ▪ Wide distribution of printed materials in public spaces, government offices, and events. ▪ Online dissemination of digital materials through the IAT website and social media.

		<ul style="list-style-type: none"> Documentation of distribution locations and methods.
	Engage with media outlets for interviews and features.	<ul style="list-style-type: none"> Recorded or transcribed interviews with media outlets. Published or aired features, articles, or segments about the IAT. Increased media coverage and awareness of the IAT's activities.
	Conduct outreach campaigns on the Mandate of the IAT	<ul style="list-style-type: none"> Organized outreach events in various locations. IEC materials distributed during outreach campaigns. Documentation of participant feedback and engagement.
Strengthening stakeholder collaboration and communication	Establish regular forums for stakeholder engagement.	<ul style="list-style-type: none"> Formation of structured forums for stakeholder engagement. Active participation and collaboration with key stakeholders. Improved communication and understanding among stakeholders.
	Collaborate with legal practitioners, insurance companies, and regulators.	<ul style="list-style-type: none"> Formation of collaborative partnerships with legal practitioners, insurance companies, and regulators. Participation in joint initiatives and activities. Improved coordination within the industry.
	Facilitate information exchange to enhance industry insights.	<ul style="list-style-type: none"> Implementation of processes for information exchange. Regular sharing of insights and updates within the industry. Enhanced knowledge and awareness among stakeholders.
	Utilize online platforms for communication.	<ul style="list-style-type: none"> Active utilization of online platforms for communication. Increased engagement and interaction through digital channels. Improved accessibility to information for stakeholders.

3.2.6.3 Strategic Objective 3

To create a modern appeals process through an integrated framework that leverages institutional development and organizational advancement.

Strategic Intervention	Activities/Action	Output
Development of institutional frameworks, manuals, and Standard Operating Procedures	Develop workplace manuals and policies.	<ul style="list-style-type: none"> Creation and documentation of workplace manuals and policies. Dissemination and acknowledgment of manuals and policies. Adherence to established guidelines.
	Review and update legal, policy, and institutional frameworks.	<ul style="list-style-type: none"> Periodic review and update of legal, policy, and institutional frameworks. Alignment with evolving legal standards. Compliance with regulatory requirements.
Human Resource Development	Recruit qualified staff and build capacity.	<ul style="list-style-type: none"> Successful recruitment of qualified personnel. Completion of capacity-building programs. Enhanced skills and expertise within the Tribunal.
	Conduct continuous training programs.	<ul style="list-style-type: none"> Regular scheduling and completion of training programs. Participation and engagement of Tribunal members and staff. Enhanced skills and knowledge retention.
	Implement a performance management system.	<ul style="list-style-type: none"> Establishment and documentation of a performance management system. Regular performance evaluations and feedback. Continuous improvement in individual and team performance.
	Provide ongoing skills development in insurance matters.	<ul style="list-style-type: none"> Implementation of continuous skills development initiatives. Training programs focused on insurance-related matters.

		<ul style="list-style-type: none"> Improved expertise and competence in the insurance domain.
Technological improvements	Invest in state-of-the-art technology.	<ul style="list-style-type: none"> Successful acquisition and integration of advanced technology. Enhanced efficiency and effectiveness in operations. Adoption of cutting-edge tools and solutions.
	Adopt online platforms for various processes.	<ul style="list-style-type: none"> Integration of online platforms for different Tribunal processes. Streamlined procedures and improved accessibility. Enhanced user experience for stakeholders.
	Implement a virtual tribunal setup.	<ul style="list-style-type: none"> Establishment and successful implementation of a virtual tribunal setup. Seamless conduct of virtual proceedings. Increased accessibility for appellants and stakeholders.
	Regularly update technology for efficiency.	<ul style="list-style-type: none"> Periodic updates and upgrades to existing technology. Adoption of emerging technologies for Tribunal operations. Continuous improvement in technological infrastructure.
Physical Infrastructure Development	Enhance IT infrastructure and facilities.	<ul style="list-style-type: none"> Successful upgrade of IT infrastructure. Improved facilities to support Tribunal operations. Increased efficiency in technology usage.
	Portioning office space to suit the mandate of IAT	<ul style="list-style-type: none"> Redesigned office space aligned with the Tribunal's mandate. Optimal utilization of office space. Improved workflow and functionality.
Asset acquisition and management	Retooling the IAT	<ul style="list-style-type: none"> Office equipment procured Computers Procured Vehicles Procured

3.2.6.3 Strategic Objective 4

To mobilize resources to ensure sustainable financial strength and operational efficiency of the Tribunal.

Strategic Intervention	Activities/Action	Output
Develop and implement a resource mobilization strategy	Develop and implement a funding strategy.	<ul style="list-style-type: none"> Formulation and documentation of a funding strategy. Successful implementation of funding initiatives. Diversification of funding sources.
	Seek strategic partnerships for additional funding.	<ul style="list-style-type: none"> Establishment of strategic partnerships. Securing additional funding through partnerships. Increased financial support for Tribunal activities.
	Explore opportunities for grant applications.	<ul style="list-style-type: none"> Identification and exploration of grant opportunities. Successful submission of grant applications. Receipt of grants to support specific initiatives.
	Regularly assess financial sustainability.	<ul style="list-style-type: none"> Periodic assessments of financial sustainability. Identification of potential risks and challenges. Development and implementation of mitigation strategies.
Internal capacity building on resource mobilization.	Resource Mobilization Training Programs: <ul style="list-style-type: none"> Develop and implement training programs to enhance the skills of Tribunal members and staff in resource mobilization strategies. Cover topics such as grant writing, partnership development, fundraising, and 	Resource Mobilization Training Modules: <ul style="list-style-type: none"> Developed training modules covering various aspects of resource mobilization for internal use.

	effective communication with potential donors.	
	External Expert Workshops: <ul style="list-style-type: none"> Organize workshops and seminars featuring external experts in resource mobilization. Invite professionals with a proven track record in successful resource mobilization to share insights, best practices, and case studies. 	Workshop Reports and Documentation: <ul style="list-style-type: none"> Reports and documentation from external expert workshops, summarizing key insights and recommendations.
	Strategic Partnership Development: <ul style="list-style-type: none"> Identify potential strategic partners, including government agencies, non-profit organizations, and industry stakeholders. Establish collaborative initiatives that align with the Tribunal's mission and objectives. 	Strategic Partnership Agreements: <ul style="list-style-type: none"> Documentation of signed agreements with strategic partners outlining collaborative initiatives and contributions.
	Grant Application and Management Processes: <ul style="list-style-type: none"> Develop standardized processes for researching, applying for, and managing grants. 	Grant Application Processes Manual: <ul style="list-style-type: none"> Comprehensive manual detailing standardized processes for grant research, application, and management.

	<ul style="list-style-type: none"> Train staff on the intricacies of grant applications, reporting requirements, and compliance. 	
	<p>Communication and Advocacy Training:</p> <ul style="list-style-type: none"> Provide training on effective communication and advocacy techniques to promote the Tribunal's mission and attract support. Emphasize the importance of conveying the Tribunal's impact and value proposition to potential donors and partners. 	<p>Communication and Advocacy Toolkit:</p> <ul style="list-style-type: none"> A toolkit containing materials and guidelines for effective communication and advocacy to attract support.
	<p>Database Development:</p> <ul style="list-style-type: none"> Establish and maintain a comprehensive database of potential donors, sponsors, and partners. Regularly update the database with relevant contact information, preferences, and engagement history. 	<p>Updated Database:</p> <ul style="list-style-type: none"> A regularly updated database of potential donors, sponsors, and partners with detailed information for targeted engagement.

SECTION FOUR

FINANCING FRAMEWORK AND STRATEGY

4.0 Overview

This Section presents the required financial resources to implement the Strategic Plan 2023/2024-2027/2028. The section outlines the costing framework and assumptions including highlights on strategic measures or other innovative financing mechanisms to help in meeting the required budget.

4.1 Costing Framework and assumptions

Costing of this plan was made based on the targets to be achieved as per the results Framework. A bottom-up approach was adopted in the costing starting from indicators to derive 3 levels of costing; the output level costing; intervention level costing and objective level costing. The costing was based on the interventions and actions to be implemented by the insurance appeals tribunal.

The following assumptions were made;

- i. Resources will be solicited to implement all the intended interventions with the period 2023/2024-2027/2028
- ii. The Actions captured in this strategic plan are both capital and recurrent in nature
- iii. The Recourses will be availed as planned despite the lack of Financial Independence by the IAT
- iv. The necessary staff will be recruited in a phased manner

4.2 Financing Mechanisms

The achievement of this Plan will rely on a comprehensive resource mobilisation strategy. Selected innovation measures for increasing funding to the IAT include;

- i. Lobbying to consider increasing funding to the Insurance Appeals Tribunal
- ii. Implementing of Public Private Partnership
- iii. Engaging Development Partners and funding proposal writing

4.3 Financing Estimates on Budget

The table below shows development and recurrent medium term expenditure framework;

Table 4.1: Estimated Budget to implement the IAT 5 Year Strategic Plan

Budget Estimates	Ugx Billions					Total
Financial Year	2023/24	2024/25	2025/26	2026/27	2027/28	
Wage	0.400	0.450	0.500	0.550	0.648	2.548
Non-Wage Recurrent	0.8775	0.890	0.9695	0.9352	0.8862	4.5584
Domestic Development	0.4552	0.6563	0.4662	0.4497	0.4401	2.4675
Total	1.7327	1.9963	1.9357	1.9349	1.9743	9.5739

4.4 Costing by Objective and Intervention in Billions

4.4.1 Objective One

To establish an effective and efficient system for adjudicating disputes that promotes accessibility, independence, transparency, and accountability.

Table 4.2: Estimated Budget to implement Objective One by Strategic Intervention

S/N	Strategic Intervention	Estimated Cost	2023/24	2024/25	2025/26	2026/27	2027/28
1	Develop and implement a Robust Case Management System	0.535	0.078	0.141	0.120	0.111	0.066
2	Adopt use of appropriate technology for the Tribunal process.	0.268	0.026	0.071	0.060	0.056	0.066
3	Use of Alternative Dispute Resolution Mechanism (ADR) to resolve appeals.	0.437	0.052	0.071	0.120	0.111	0.119
4	Promoting transparency and accountability	0.223	0.026	0.035	0.060	0.056	0.066
5	Capacity building for members and staff on technical and ethical considerations	0.535	0.078	0.141	0.120	0.111	0.066

S/N	Strategic Intervention	Estimated Cost	2023/24	2024/25	2025/26	2026/27	2027/28
6	Development of regulations and guidelines.	0.491	0.078	0.141	0.120	0.056	0.066
	Total	2.490	0.340	0.600	0.600	0.500	0.450

4.4.2 Objective Two

To enhance public awareness and stakeholder engagement on the Tribunal's mandate.

Table 4.3: Estimated Budget to implement Objective Two by Strategic Intervention

S/N	Strategic Intervention	Total Estimated Cost	2023/24	2024/25	2025/26	2026/27	2027/28
1	Develop and Implement a Comprehensive Public Awareness Campaign	0.755	0.120	0.206	0.160	0.150	0.100
2	Strengthening stakeholder collaboration and communication	0.210	0.030	0.034	0.040	0.075	0.050
	Total	0.965	0.150	0.240	0.200	0.225	0.150

4.4.3 Objective Three

To create a modern appeals process through an integrated framework that leverages institutional development and organizational advancement.

Table 4.4: Estimated Budget to implement Objective Three by Strategic Intervention

S/N	Strategic Intervention	Total Estimated Cost	2023/24	2024/25	2025/26	2026/27	2027/28
1	Development of institutional frameworks, manuals, and	0.485	0.162	0.141	0.074	0.075	0.042

S/N	Strategic Intervention	Total Estimated Cost	2023/24	2024/25	2025/26	2026/27	2027/28
	Standard Operating Procedures						
2	Human Resource Development	2.906	0.518	0.478	0.534	0.619	0.749
3	Technological improvements	0.485	0.162	0.141	0.074	0.075	0.042
4	Physical Infrastructure Development	1.161	0.203	0.195	0.237	0.227	0.293
5	Asset acquisition and management	0.625	0.109	0.105	0.128	0.122	0.158
	Total	5.662	1.153	1.060	1.046	1.119	1.285

4.4.4 Objective Four

To mobilize resources to ensure sustainable financial strength and operational efficiency of the Tribunal.

Table 4.5: Estimated Budget to implement Objective Four by Strategic Intervention

S/N	Strategic Intervention	Total Estimated Cost	2023/24	2024/25	2025/26	2026/27	2027/28
1	Develop and implement a resource mobilization strategy	0.250	0.050	0.050	0.050	0.050	0.050
2	Internal capacity building on resource mobilization.	0.200	0.040	0.040	0.040	0.040	0.040
	Total	0.450	0.090	0.090	0.090	0.090	0.090

4.4.5 Overall Estimated Budgetary Requirement

Table 4.6: Estimated Budget to implement the 5 Year Plan by Strategic Objective

S/N	Strategic Objective	Estimated Cost	2023/24	2024/25	2025/26	2026/27	2027/28
1	To establish an effective and efficient system for adjudicating disputes that promotes accessibility, independence, transparency and accountability.	2.49	0.34	0.6	0.6	0.5	0.45
2	To enhance public awareness and stakeholder engagement on the Tribunal's mandate.	0.965	0.15	0.24	0.2	0.225	0.15
3	To create a modern appeals process through an integrated framework that leverages institutional development and organizational advancement.	5.6623	1.1527	1.06	1.0457	1.1189	1.285
4	To mobilize resources to ensure sustainable financial strength and operational efficiency of the Tribunal.	0.45	0.09	0.09	0.09	0.09	0.09
Total		9.5673	1.7327	1.99	1.9357	1.9339	1.975

SECTION FIVE

INSTITUTIONAL ARRANGEMENT FOR IMPLEMENTATION OF THE PLAN

5.0 Introduction

The successful execution of the Insurance Appeals Tribunal (IAT) Five-Year Strategic Plan is contingent upon a robust institutional framework that ensures alignment, collaboration, and accountability. This section delineates the key institutional arrangements designed to facilitate the effective implementation of the strategic initiatives outlined in this plan. The framework is structured to engage key partners, assign clear roles and responsibilities, and establish sustainability measures that will ensure the enduring impact of the Tribunal's strategic endeavors.

5.1 Strategy implementation model

The implementation of the Strategic Plan will be grounded in the Insurance Appeals Tribunal's (IAT) strategically aligned organizational structure. This structure, while broadening operational reporting responsibilities across departments, aims to establish cross-departmental Goal Teams that link core mandate functions and support business functions cohesively to achieve strategic objectives under objective-specific leadership. This approach eliminates the compartmentalization of implementation within departmental silos. To realize the strategic interventions aligned with each objective, the following implementation model will guide the coordination and execution of the Strategic Plan:

- i. **Strategy Implementation Action Plan:** This plan will break down the strategic interventions by identifying underlying initiatives, projects, and programs for funding within the Strategic Plan budget. It will outline detailed action plans with assigned responsibilities and associated timeframes. The resource requirements for each action plan will provide guidance for budgeting Annual Work Plans.
- ii. **Annual Work Plans:** These plans will constitute the IAT's short-term (monthly, quarterly, and annual) and medium-term planning structure, accompanied by corresponding periodic reports.
- iii. **Monthly Goal Team Meetings:** These meetings will ensure the continuous tracking of strategy implementation, focusing on addressing emerging execution issues in a timely manner.
- iv. **Quarterly and Annual Strategy Review Meetings:** These meetings will assess management reports on the strategic course, changing dynamics, and new ideas. They aim to ensure continual learning and corrective actions for improvement, maintaining the strategy's relevancy.
- v. **Operational and Departmental Meetings:** Weekly operational meetings will be preserved, complemented by departmental monthly strategy review meetings. These

reviews will utilize performance data to guide decision-making and maintain focus on each department's work plans.

- vi. **Monitoring and Evaluation (M&E) Framework:** A comprehensive M&E framework has been developed to facilitate constant tracking of implementation progress, preventing unexpected challenges and allowing for timely adjustments.

This strategy implementation model seeks to foster collaboration, enhance accountability, and ensure the alignment of day-to-day operations with the overarching goals outlined in the Strategic Plan.

5.2 Coordination of the Implementation process

5.2.1 Roles and Responsibilities of IAT Internal Stakeholders

The table below highlights the roles and responsibilities of internal stakeholders during the Strategic Plan implementation.

S/N	Stakeholder	Role and Responsibility
1	Members of the Tribunal	<ul style="list-style-type: none"> i. Participate in the development, review, and approval of the five-year strategic plan, ensuring alignment with the organization's mission and goals. ii. Monitor the progress of the strategic plan's implementation, ensuring goals and objectives are met. iii. Hold the executive team accountable for achieving strategic milestones and address any deviations. iv. Review and approve the budget associated with the strategic plan, ensuring adequate resources for implementation. v. Assist in identifying potential funding sources and partnerships to support strategic initiatives. vi. Work with management to identify potential risks to successful plan implementation. vii. Evaluate and approve risk mitigation strategies to address challenges during implementation. viii. Engage with key stakeholders, including the public, government agencies, industry partners, and the insurance community, to garner support for the strategic plan. ix. Advocate for the Tribunal's strategic initiatives within the broader context of the insurance sector. x. Define and monitor key performance indicators to assess the success of the strategic plan.
2	Registrar	<ul style="list-style-type: none"> i. Gain a comprehensive understanding of the five-year strategic plan, encompassing goals, objectives, and key performance indicators (KPIs).

S/N	Stakeholder	Role and Responsibility
		<ul style="list-style-type: none"> ii. Ensure that all administrative activities and decisions align with and actively support the objectives outlined in the strategic plan. iii. Serve as the central coordinator for the implementation of the strategic plan, fostering collaboration between different departments and teams. iv. Regularly monitor the progress of strategic initiatives, ensuring adherence to timelines and milestones. v. Work closely with the finance team to allocate resources in alignment with the strategic plan's priorities. vi. Collaborate with relevant stakeholders to secure additional resources when necessary, enhancing support for strategic initiatives. vii. Prepare and submit regular reports to the board and stakeholders, ensuring transparent communication about the status of the strategic plan's implementation. viii. Maintain detailed records and documentation related to the implementation process for accountability and future reference. ix. Act as a key liaison between the IAT and external stakeholders, ensuring effective communication and engagement regarding the strategic plan's progress. x. Collect feedback from stakeholders and incorporate relevant insights into the strategic implementation process for continuous improvement
3	Management	<ul style="list-style-type: none"> i. Collaborate with the board and stakeholders in developing the five-year strategic plan. ii. Align operational plans with strategic goals and objectives. iii. Develop detailed action plans for each strategic initiative, specifying tasks, timelines, and responsible parties. iv. Allocate resources effectively in line with the budget for strategic initiative execution. v. Foster a collaborative, high-performance culture, ensuring staff alignment with strategic objectives. vi. Communicate the strategic plan's goals, progress, and milestones to all staff for a shared vision. vii. Regularly monitor strategic initiatives against key performance indicators (KPIs). viii. Evaluate and adjust implemented strategies for effectiveness. ix. Engage with external stakeholders to garner support for the strategic plan. x. Ensure effective communication with clients and stakeholders throughout the implementation process

5.3 The Key Implementing Partners of the Plan

The implementation of the strategic plan will be a collective effort involving several key partners, each contributing unique expertise and resources. The primary implementing partners include:

- i. **Insurance Appeals Tribunal (IAT):** As the central entity responsible for the plan's execution, the IAT will oversee the overall implementation process. This involves coordinating activities, monitoring progress, and ensuring that strategic objectives are achieved within the stipulated timeframe.
- ii. **Insurance Regulatory Authority (IRA):** Given the interconnected nature of the insurance industry, the IRA plays a pivotal role in the success of the plan. Collaborative efforts with the IRA will involve information exchange, joint initiatives, and coordination to enhance the regulatory framework and improve industry practices.
- iii. **Legal Department:** The Legal Department within the Tribunal will provide legal expertise critical for ensuring that all actions align with legal standards. They will play a crucial role in drafting legal documents, conducting legal research, and advising on compliance matters.
- iv. **Stakeholders in the Insurance Industry:** Insurance companies, legal practitioners, and other stakeholders constitute valuable partners. Regular engagement, feedback mechanisms, and collaboration will be fostered to create a dynamic relationship that contributes to the plan's success.
- v. **Educational Institutions:** Partnerships with educational institutions will aid in the development of training programs and the integration of information about the IAT into relevant curricula. This collaboration ensures a continuous pool of skilled professionals entering the industry.
- vi. **Technology Partners:** Given the emphasis on technology integration, partnerships with technology providers will be sought to facilitate the adoption and optimization of state-of-the-art systems for case management, virtual hearings, and information dissemination.

5.4 Roles and Responsibilities of Stakeholders

To ensure a streamlined implementation process, clear roles and responsibilities will be assigned to each stakeholder:

- I. **Insurance Regulatory Authority (IRA):**
 - o Collaborate with the IAT on regulatory enhancements to improve the appeals process.
 - o Share relevant industry insights and data to inform decision-making.
 - o Participate actively in joint awareness campaigns to educate the public and industry stakeholders.

II. Legal Department:

- Ensure all actions and decisions align with legal standards and regulatory requirements.
- Provide legal counsel on emerging legal issues and changes in the legal landscape.
- Facilitate legal training for Tribunal members and staff.

III. Stakeholders in the Insurance Industry:

- Actively participate in forums and dialogues initiated by the IAT.
- Share industry-specific insights and contribute to the development of best practices.
- Promote awareness and understanding of the appeals process within their organizations.

V. Educational Institutions:

- Collaborate with the IAT to integrate information about the appeals process into relevant curricula.
- Offer expertise in developing and delivering training programs for Tribunal members and staff.

VI. Technology Partners:

- Provide technical support for the adoption and optimization of technology solutions.
- Collaborate on the development and maintenance of the case management system and other digital tools.
- Ensure the security and efficiency of technology platforms adopted by the IAT.

5.5 Sustainability Arrangements

Sustainability is integral to the success of the strategic plan. The following arrangements are established to ensure the longevity and impact of the plan's outcomes:

i. Capacity Building and Knowledge Transfer:

- Implement continuous capacity-building programs to empower Tribunal members and staff with evolving skills.
- Facilitate knowledge transfer mechanisms to ensure institutional memory and competence.

ii. Regular Monitoring and Evaluation:

- Institute a robust monitoring and evaluation framework to regularly assess the progress and impact of the plan.
- Utilize feedback mechanisms to identify areas for improvement and adapt strategies accordingly.

iii. Strategic Partnerships and Collaboration:

- Foster enduring partnerships with key stakeholders, including the IRA, legal practitioners, and technology partners.
 - Establish collaborative platforms to address emerging challenges and opportunities in the insurance appeals landscape.
- iv. **Institutionalization of Best Practices:**
- Identify and institutionalize best practices in case management, technology adoption, and stakeholder engagement.
 - Develop standard operating procedures to embed successful approaches into routine operations.
- v. **Financial Planning and Resource Allocation:**
- Develop a sustainable funding strategy that considers diversified sources of funding.
 - Implement prudent financial management practices to ensure optimal resource allocation.

5.6 Human Resource Management

In implementing the Strategic Plan, the IAT wishes to have the staffing gaps addressed, the staff trained to acquire the relevant skills and competencies, and the lines of responsibility, authority and accountability aligned appropriately. In addition, adequate and appropriate tools will be provided for effective service delivery. The IAT will aim to develop and invest in her most valuable asset: the staff through:

- a) Recruiting, developing, and motivating them;
- b) Creating a safe environment for them;
- c) Setting clear expectations on how their jobs fit into the Strategic Plan;
- d) Continuously evaluating and improving business processes and operational efficiencies; and
- e) Fostering an institution of open and direct communication among others.

The current structure of the IAT has an establishment of 6 staff positions. This comprises the four Members (4), the Registrar (1) and the Administrator (1).

5.6.1 Current/ Existing Staff establishment

As at 30th November, 2023, the IAT was operating with a manpower strength of only 2 technical staff and 4 Board Members. The IAT does not have an approved staff structure at the moment.

5.6.2 Proposed IAT Organisational Structure

In order to achieve the strategic objectives, a human resource capacity that is relevant and consistent in terms of departments, positions and posts has been proposed. It is proposed that initially, a staffing structure aligned to three departments be approved and the departments are;

- i. Legal Department
- ii. Finance and Administration Department
- iii. Policy and Research Department

The above Departments will be under the Supervision of the Registrar

5.6.2.1 Legal Department

The Legal Department within the Insurance Appeals Tribunal plays a critical role in ensuring that all legal aspects of the tribunal's operations are handled effectively. Here are possible positions within the Legal Department:

Table 5.1: Proposed Structure of the Legal Department

Staffing Positions	No. of Officers
Head Legal Department	1
Legal Officers/Attorneys	4

5.6.2.2 Finance and Administration Department:

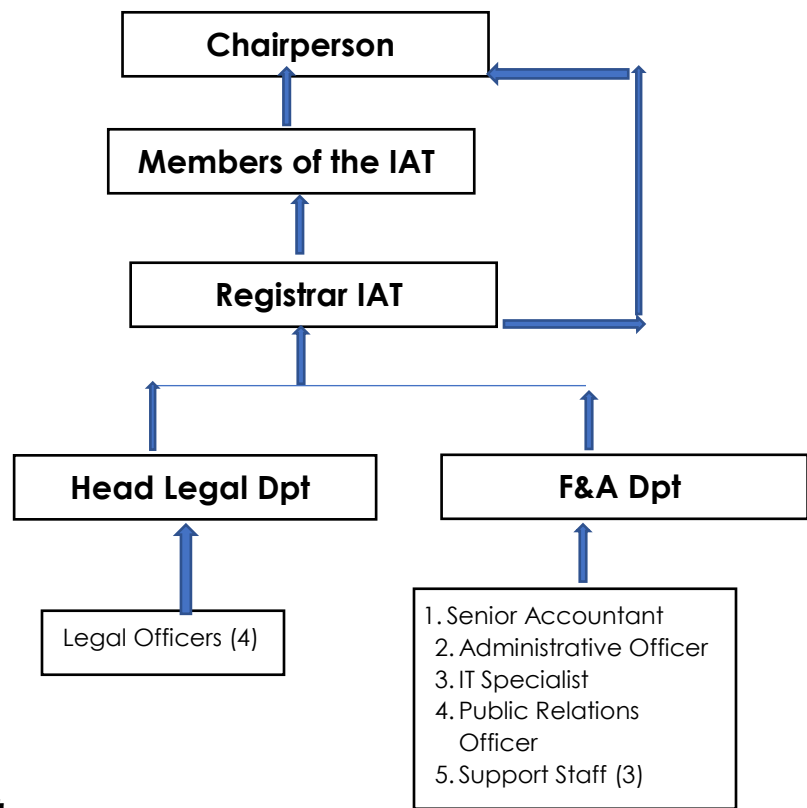
The Finance and Administration Department of the Insurance Appeals Tribunal plays a pivotal role in ensuring the smooth operation of the tribunal.

Table 5.2: Proposed Structure of the Finance and Administration Department

Staffing Positions	No. of Officers
Head Finance and Administration	
Senior Accountant	1
Administrative Officer	1
IT Specialist	1
Public Relations Officer	1

5.6.3 Organizational Structure

Figure 5.1: Proposed Organizational Structure of the Insurance Appeals Tribunal



5.3.5 Staff Development

The Insurance Appeals Tribunal (IAT) is committed to maintaining a competitive and skilled workforce. The recruitment of talented and experienced personnel will be carried out judiciously upon the approval of the staffing structure and the availability of the budget for wages. Recognizing the intricate and highly syndicated nature of corruption, the IAT places a strong emphasis on staying ahead in its efforts to curb corrupt practices.

In line with this commitment, the IAT is dedicated to continuous capacity building for its members and staff. The following prioritized actions have been identified to ensure that both members and staff possess the necessary capacities and competencies to effectively contribute to the successful implementation of the strategic plan:

- i. **Specialized Training:** The IAT will organize specialized training programs for members and staff in legal, technological, and forensic fields. Additionally, training in critical skills such as case adjudication and administration will be a focal point.
- ii. **Participation in Forums:** Members and staff will actively participate in anti-corruption and accountability forums, fostering a culture of integrity and ethical conduct.

- iii. **Professional Memberships:** The IAT will subscribe to relevant international, regional, and national professional bodies, ensuring access to up-to-date industry knowledge and best practices.
- iv. **Competence Profiling:** The institution will conduct competence profiling and benchmarking to identify areas for improvement and development among its members and staff.
- v. **Continuous Professional Learning:** A commitment to continuous professional learning and leadership development will be upheld, promoting a culture of lifelong learning within the organization.
- vi. **Staff Wellness Programs:** Implementation of staff wellness programs, including work-life balance initiatives, will be prioritized to ensure the well-being and satisfaction of the IAT's workforce.
- vii. **Competitive Remuneration:** To attract and retain top talent, the IAT will institute competitive remuneration packages, recognizing the value and contribution of its dedicated staff.

This comprehensive approach to staff development underscores the IAT's dedication to fostering a skilled, ethical, and motivated workforce, equipped to navigate the challenges of the insurance appeals landscape and contribute to the realization of the strategic plan.

SECTION SIX

COMMUNICATION AND FEEDBACK STRATEGY/ ARRANGEMENTS

6.0 Overview

The success of the Insurance Appeals Tribunal (IAT) in fulfilling its mandate relies on effective communication and feedback mechanisms that foster transparency, engagement, and responsiveness. This section outlines the Communication and Feedback Strategy/Arrangements that the IAT will adopt over the next five years to ensure seamless interaction with stakeholders, promote awareness, and gather valuable feedback for continuous improvement.

6.1 Objectives of this Communication and Feedback Strategy

The Communication and Feedback Strategy is crafted with the following objectives in mind:

i. **Enhance Stakeholder Engagement:**

- Facilitate open, two-way communication channels between the IAT and its stakeholders, including appellants, legal practitioners, insurance companies, regulatory bodies, and the general public.

ii. **Build Awareness and Understanding:**

- Increase awareness and understanding of the IAT's mandate, processes, and role in the insurance sector through targeted communication initiatives.

iii. **Gather Feedback for Continuous Improvement:**

- Establish mechanisms for collecting constructive feedback from appellants, stakeholders, and the public to identify areas for improvement in the appeals process and overall Tribunal operations.

iv. **Promote Transparency and Accountability:**

- Ensure transparency in the communication of the Tribunal's decisions, activities, and operational processes.
- Uphold accountability by providing stakeholders with accurate and timely information.

v. **Create a Positive Public Image:**

- Cultivate a positive public image for the IAT by communicating its commitment to justice, fairness, and accountability.

6.2 Communication and Feedback Methods

To achieve the stated objectives, the IAT will employ a diverse range of communication and feedback methods tailored to the needs of different stakeholders. These methods include:

i. Public Awareness Campaigns:

- Develop and implement comprehensive public awareness campaigns to inform policyholders, legal practitioners, and the general public about the IAT's existence, role, and the right to appeal.
- Utilize various communication channels, including traditional media, social media, educational programs, information brochures, and partnerships with insurance companies.

ii. Online Platforms and Website:

- Develop and launch a user-friendly and informative website as a central hub for information about the IAT.
- Utilize social media channels for real-time updates, announcements, and engagement with the public.
- Establish an easily accessible online platform with information, FAQs, and resources for appellants and stakeholders.

iii. Educational Institutions Collaboration:

- Collaborate with educational institutions to integrate information about the IAT into relevant curricula and training programs.
- Engage with educational institutions for online integration, including webinars, workshops, and educational materials on insurance appeals.

iv. Distribution of IEC Materials:

- Develop awareness creation Information, Education, and Communication (IEC) materials in print and digital formats.
- Distribute IEC materials through various channels, including insurance companies, legal practitioners, public offices, and educational institutions.

v. Partnerships with Stakeholders:

- Foster partnerships with insurance companies to amplify the reach of communication efforts.
- Engage with legal practitioners, regulatory bodies, and other stakeholders through regular forums, meetings, and collaboration on awareness campaigns.

vi. Media Engagement:

- Engage with media outlets for interviews, features, and coverage to enhance visibility and understanding of the IAT's mandate.
- Conduct outreach campaigns on the mandate of the IAT through various media channels, including radio, television, and print.

vii. Stakeholder Engagement Forums:

- Establish regular forums for dialogue and collaboration with key stakeholders, including the Insurance Regulatory Authority, legal practitioners, insurance companies, and industry representatives.

- Utilize these forums to encourage the exchange of information, insights, and updates.

viii. Feedback Mechanisms:

- Implement online feedback mechanisms, such as surveys and suggestion forms, to gather input from appellants and stakeholders.
- Regularly review and analyze feedback received to identify areas for improvement and address concerns.

ix. Internal Newsletters and Reports:

- Develop and publish regular reports on Tribunal activities for public scrutiny.
- Create internal newsletters highlighting views, updates, and achievements to keep staff informed and engaged.

x. Continuous Monitoring and Evaluation:

- Implement a continuous monitoring and evaluation system to assess the effectiveness of communication strategies.
- Make data-driven adjustments to communication methods based on feedback and evolving stakeholder needs.

In adopting this comprehensive Communication and Feedback Strategy, the IAT aims to establish itself as an accessible, transparent, and responsive institution, dedicated to ensuring justice, fairness, and accountability in the Ugandan insurance sector.

SECTION SEVEN

RISK MANAGEMENT

7.0 Introduction

Effective risk management is integral to the success and sustainability of the Insurance Appeals Tribunal (IAT) in fulfilling its mission and achieving its strategic objectives. This section outlines the Risk Management framework that the IAT will employ over the next five years to identify, assess, mitigate, and monitor risks that may impact the Tribunal's operations.

7.1 Risk Profile

Understanding the potential risks that the IAT may encounter is crucial for developing proactive strategies to address challenges. The following are key elements of the IAT's risk profile:

i. **Legal and Regulatory Risks:**

- o Changes in legislation impacting the jurisdiction and mandate of the IAT.
- o Regulatory developments affecting the insurance industry and appeals process.
- o Compliance with evolving legal standards and procedures.

ii. **Operational Risks:**

- o Inadequate infrastructure and facilities hindering the efficient functioning of the Tribunal.
- o Resource constraints, including staffing levels, technological capabilities, and funding limitations.
- o Interruptions in case management processes and procedural challenges.

iii. **Technological Risks:**

- o Cybersecurity threats and data breaches compromising sensitive case information.
- o Technological failures impacting online platforms, hearings, and document management systems.
- o Obsolescence of technology affecting the efficiency of case management systems.

iv. **Reputational Risks:**

- o Negative public perception due to miscommunication, lack of transparency, or perceived bias.
- o Stakeholder dissatisfaction with the appeals process or Tribunal decisions.
- o Media scrutiny impacting the image and credibility of the IAT.

v. **Financial Risks:**

- o Budgetary constraints affecting the Tribunal's ability to invest in essential resources and infrastructure.
- o Dependency on external funding sources, with potential uncertainties in financial sustainability.
- o Inadequate financial planning impacting the Tribunal's ability to meet operational requirements.

vi. **Human Resource Risks:**

- Recruitment and retention challenges for qualified and skilled staff members.
- Insufficient capacity building programs leading to a lack of expertise within the Tribunal.
- Performance management issues affecting the overall effectiveness of the workforce.

vii. **Strategic Risks:**

- Deviation from the strategic plan and objectives, leading to misalignment with the Tribunal's mission.
- Inadequate monitoring and evaluation processes impacting the implementation of strategic initiatives.
- Failure to adapt to changes in the insurance industry and legal landscape.

viii. **External Risks:**

- Political and economic instability impacting the overall functioning of the Tribunal.
- External pressures from industry stakeholders, affecting the impartiality of Tribunal decisions.
- Global events, such as public health crises, influencing the Tribunal's operations and caseload.

7.2 Risk Mitigation Strategies

To address the identified risks, the IAT will implement the following risk mitigation strategies:

1. **Legal and Regulatory Risks:**

- Establish a legal team for ongoing monitoring of changes in legislation and regulations.
- Regularly review and update internal procedures to ensure compliance with legal standards.
- Maintain a proactive relationship with regulatory bodies to anticipate and adapt to changes.

2. **Operational Risks:**

- Invest in infrastructure development to ensure the Tribunal's facilities support efficient operations.
- Conduct regular resource assessments to identify and address staffing and technological needs.
- Implement a contingency plan for procedural challenges and interruptions in case management.

3. **Technological Risks:**

- Prioritize cybersecurity measures, including regular assessments and updates.
- Develop a technology upgrade plan to address potential obsolescence issues.
- Establish redundancy and backup systems to mitigate the impact of technological failures.

4. **Reputational Risks:**

- Implement a robust communication and feedback strategy to address stakeholder concerns.
- Enhance transparency in decision-making processes and case outcomes.
- Proactively manage media relations and engage in public awareness campaigns to shape a positive image.

5. Financial Risks:

- Develop and implement a comprehensive funding strategy to diversify revenue sources.
- Regularly assess financial needs and align budgeting with strategic priorities.
- Explore grant opportunities and strategic partnerships to enhance financial sustainability.

6. Human Resource Risks:

- Implement a structured recruitment and retention plan to attract and retain qualified staff.
- Prioritize continuous training and development programs to enhance workforce expertise.
- Establish a performance management system to monitor and improve staff performance.

7. Strategic Risks:

- Institute a periodic review committee to assess and update the strategic plan.
- Integrate strategic risk assessments into regular planning and decision-making processes.
- Foster a culture of adaptability and innovation to respond to evolving industry and legal landscapes.

8. External Risks:

- Monitor and assess external factors that may impact the Tribunal's operations.
- Establish contingency plans for external pressures and global events.
- Engage with relevant stakeholders to build collaborative relationships and navigate external challenges.

7.3 Risk Monitoring and Evaluation

The IAT will establish a dedicated Risk Management Committee responsible for ongoing monitoring and evaluation of the risk management framework. This committee will regularly assess the effectiveness of mitigation strategies, identify emerging risks, and propose adjustments to ensure the resilience of the Tribunal against potential challenges.

7.4 Insurance Appeal; Tribunal Risk Analysis; and Mitigation Strategy

In adopting a proactive and comprehensive approach to risk management, the IAT aims to strengthen its resilience, ensure the integrity of the appeals process, and safeguard its role as a cornerstone of justice within the Ugandan insurance domain. Table 7.1 below presents the risk analysis and mitigation measures;

Table 7.1: Analysis and Mitigation Measures of the Insurance Appeals Tribunal (IAT) Risks

Risk	Risk Factor	Risk Level	Mitigation Strategy
Inadequate Funding	Uncertain budget allocations from government or external sources	High	Diversify funding sources, engage in advocacy for sustained funding, and establish a contingency fund for unforeseen expenses.
Talent Shortage	Difficulty in recruiting and retaining skilled personnel	Moderate	Implement competitive remuneration packages, invest in staff training and development, and explore partnerships with academic institutions for talent pipelines.
Technological Challenges	Obsolescence or failure of critical technology infrastructure	High	Regularly update and maintain technological systems, invest in cybersecurity measures, and have contingency plans for technology failures.
Legal and Regulatory Changes	Changes in insurance laws and regulations affecting tribunal operations	Moderate	Establish a legal monitoring unit, engage with regulatory bodies, and maintain a legal advisory board to stay informed and adapt promptly.
Lack of Stakeholder Support	Insufficient support from the insurance industry, government, or the public	Moderate	Implement a stakeholder engagement strategy, participate in industry forums, and conduct outreach programs to educate the public about the tribunal's role.
Political Interference	External influences affecting tribunal decisions	Low	Establish and enforce clear independence protocols, maintain transparency in operations, and engage with relevant authorities to safeguard independence.
Data Security Breach	Unauthorized access or leakage of sensitive information	High	Implement robust cybersecurity measures, conduct regular audits, and provide staff training on data security protocols.
Economic Downturn	Economic factors impacting the insurance industry and funding sources	Moderate	Diversify funding sources, establish financial reserves, and conduct regular economic impact assessments.
Inadequate Infrastructure	Insufficient facilities and resources for effective tribunal operations	Moderate	Develop and implement a comprehensive infrastructure improvement plan, prioritize resource

Risk	Risk Factor	Risk Level	Mitigation Strategy
			allocation, and explore partnerships for facility upgrades.
Reputation Damage	Negative public perception affecting the credibility of the tribunal	Low	Implement a proactive public relations strategy, address concerns transparently, and highlight successful case resolutions to enhance public trust.

To effectively address and mitigate the identified risks and ensure the realization of the intended goals and objectives outlined in this Strategic Plan, the following ongoing measures will be consistently implemented:

- a) **Oversight and Leadership:** The Registrar, serving as the risk champion, along with the dedicated committee responsible for risk management at the Management level, will provide diligent oversight.
- b) **Establishment of Independent Risk Management Function:** Create an independent risk management function within the Insurance Appeals Tribunal (IAT) to conduct comprehensive risk assessments and facilitate effective risk mitigation.
- c) **Adoption of Risk Management Framework:** Implement a comprehensive Risk Management Framework to guide the identification, assessment, and management of risks throughout the organization.
- d) **Quarterly Evaluation:** Conduct quarterly evaluations of the Risk Management Framework at the management level to ensure its continual relevance and efficacy.
- e) **Staff Training:** Provide ongoing training in Risk Management for the staff within the Insurance Appeals Tribunal (IAT) to enhance their understanding and proficiency in handling risks.

In consideration of the above strategies, it is evident that high-risk factors are predominantly external, while low-risk factors are primarily internal to the organization. Throughout the implementation of this Plan, the IAT will diligently monitor the impacts of potential risk factors. Efforts will be made to minimize these risks, and proactive risk mitigation strategies will be employed through the established risk management framework.

SECTION EIGHT

MONITORING AND EVALUATION

8.0 Introduction

Effective monitoring and evaluation (M&E) are essential components of the Insurance Appeals Tribunal's (IAT) strategic planning process. This section outlines the framework that will guide the monitoring and evaluation activities over the next five years. By implementing robust M&E mechanisms, the IAT aims to track progress, assess the impact of strategic initiatives, and adapt strategies to ensure the successful realization of its objectives.

8.1 Monitoring and Evaluation Arrangements

The IAT will establish a dedicated Monitoring and Evaluation Unit responsible for overseeing the implementation of the strategic plan. This unit will work collaboratively with relevant departments, stakeholders, and external evaluators to ensure a comprehensive and impartial assessment of the Tribunal's performance. The key components of the M&E arrangements include:

i. **M&E Unit Structure:**

- Appointing experienced professionals to the M&E Unit with expertise in data analysis, performance assessment, and program evaluation.
- Collaborating with external experts for specialized evaluations and to bring diverse perspectives to the monitoring process.

ii. **Data Collection Mechanisms:**

- Developing standardized data collection tools aligned with the strategic objectives.
- Implementing regular data collection processes, including surveys, interviews, and case studies.
- Utilizing technology for efficient and real-time data gathering.

iii. **Performance Indicators:**

- Identifying key performance indicators (KPIs) for each strategic objective and corresponding activities.
- Establishing baselines for KPIs to measure progress over time.
- Ensuring that indicators are SMART (Specific, Measurable, Achievable, Relevant, Time-Bound) for accurate assessment.

iv. **Reporting Protocols:**

- Instituting clear reporting protocols for all departments to provide consistent and standardized information.
- Establishing a regular reporting schedule to facilitate timely updates on progress.
- Ensuring transparency and accessibility of performance data to stakeholders.

8.2 Progress Reporting

Regular progress reports will be generated by the M&E Unit, providing a comprehensive overview of the Tribunal's achievements, challenges, and areas requiring improvement. These reports will include:

- i. **Quantitative Data:**
 - Caseload statistics, including the number and nature of appeals received, processed, and resolved.
 - Performance metrics related to efficiency, transparency, and accessibility.
 - Financial data illustrating budget allocation, expenditure, and resource utilization.
- ii. **Qualitative Data:**
 - Stakeholder feedback on the appeals process, transparency, and overall satisfaction.
 - Anecdotal evidence highlighting successful case resolutions and impact on the insurance sector.
 - Analysis of external factors influencing the Tribunal's operations.

8.3 Annual Performance Review

The IAT will conduct annual performance reviews to comprehensively assess the progress made towards strategic objectives. These reviews will involve:

- i. **In-Depth Analysis:**
 - Evaluation of the Tribunal's performance against each strategic objective and associated activities.
 - Identification of factors contributing to or hindering progress.
 - Examination of the alignment between actual outcomes and projected milestones.
- ii. **Stakeholder Consultations:**
 - Engagement with key stakeholders, including appellants, legal practitioners, insurance companies, and regulatory bodies.
 - Soliciting feedback on the Tribunal's performance, responsiveness, and adherence to principles of justice.

8.4 Mid-Term Evaluation

A mid-term evaluation will be conducted to provide an in-depth analysis of progress at the midway point of the strategic plan. This evaluation will involve:

- i. **Strategic Alignment:**
 - Assessing the alignment of activities with the overarching goals of the strategic plan.
 - Identifying any necessary adjustments to ensure continued relevance and effectiveness.
- ii. **Risk Assessment:**
 - Evaluating potential risks and challenges that may have emerged during the initial implementation.
 - Adjusting risk mitigation strategies based on the evolving risk landscape.

8.5 Monitoring and Evaluation Result; Framework

S/N	Narrative Summary	Indicators	Baseline 2023/24	Targets 2027/28	Data Sources	Data Collection Tools	Frequency	Responsibility
1	Impact; Effective and accessible appeals mechanism provided for overall integrity and credibility of the insurance sector in Uganda.	Indicator: Percentage increase in public trust in the insurance sector over the strategic plan period.	70%	IAT	Survey	Annual	IAT
		Reduction in regulatory disputes and legal challenges within the insurance industry.	20%	IAT	Survey	Annual	IAT
		Percentage increase in stakeholder confidence in the fairness and effectiveness of the Tribunal's dispute resolution process.	80%	IAT	Survey	Annual	IAT
		Positive change in the industry's reputation and credibility as perceived by key stakeholders.	60%	IAT	Survey	Annual	IAT
2	Strategic Objective One; to establish an effective and efficient system for adjudicating disputes that promotes accessibility,	Percentage decrease in the number of pending cases	0%	0%	IAT	IAT Case Management System	Annual	IAT
		Timeliness of Adjudication: Percentage of cases resolved within specified timeframes.	50%	80%	IAT	IAT Case Management System	Annual	IAT
		Stakeholder Satisfaction Index: Measurement of stakeholder satisfaction	N/A	80%	IAT	Survey	Annual	IAT

S/N	Narrative Summary	Indicators	Baseline 2023/24	Targets 2027/28	Data Sources	Data Collection Tools	Frequency	Responsibility
	independence, transparency, and accountability	through surveys and feedback mechanisms.						
		Independence Audit Results: Outcomes of periodic audits and assessments verifying the Tribunal's independence in decision-making.	N/A	...	IAT	Audit	Annual	IAT
		Percentage increase in public confidence and trust in the Tribunal's ability to deliver fair and impartial decisions	N/A	90%	IAT	Survey	Annual	IAT
3	Strategic Objective Two; to enhance public awareness and stakeholder engagement on the Tribunal's mandate.	Percentage increase in public awareness	0%	60%	IAT	Survey	Annual	IAT
		Percentage increase in the understanding of the Tribunal's mandate, functions, and processes among the public and stakeholders.	0%	40%	IAT	Survey	Annual	IAT
		Percentage increase in stakeholder participation in Tribunal events, consultations, and feedback mechanisms.	0%	30%	IAT	Survey	Annual	IAT
		Technology Adoption Rate: Percentage of technology solutions successfully integrated into the appeals process.	0%	30%	IAT	Survey	Annual	IAT
4	Strategic Objective Three; To create a modern appeals process through							

S/N	Narrative Summary	Indicators	Baseline 2023/24	Targets 2027/28	Data Sources	Data Collection Tools	Frequency	Responsibility
	an integrated framework that leverages institutional development and organizational advancement	Staff Development Index: Assessment of staff skills and capabilities compared measured through training and development programs.	0%	60%	IAT	Survey	Annual	IAT
5	Strategic Objective Four; To mobilize resources to ensure sustainable financial strength and operational efficiency of the Tribunal	Financial Sustainability Index: Measurement of financial stability and sustainability, considering diverse funding sources and responsible financial management.	40%	65%	IAT	Annual Performance Report	Annual	IAT
		Resource Mobilization Success Rate: Percentage increase in resources acquired through grants, partnerships, and other mobilization efforts compared to the baseline at the beginning of the strategic plan period.	0%	60%	IAT	Annual Performance Report	Annual	IAT