



PROJECT IMPLEMENTATION MANUAL  
FOR  
INVESTING IN FORESTS AND  
PROTECTED AREAS FOR CLIMATE  
SMART DEVELOPMENT  
(IFPA-CD) PROJECT

Version: December 2024

## Table of Contents

<b>LIST OF ABBEVIATIONS AND ACRONYMS .....</b>	<b>7</b>
<b>1 CHAPTER 1: INTRODUCTION .....</b>	<b>11</b>
<b>2 CHAPTER 2: PROJECT DESCRIPTION .....</b>	<b>13</b>
2.1 THE PROJECT DEVELOPMENT OBJECTIVE / GOAL .....	13
2.2 PROJECT COVERAGE (GEOGRAPHICAL AREA).....	14
<b>3 CHAPTER 3: DETAILED PROJECT COMPONENTS .....</b>	<b>19</b>
3.1 COMPONENT 1. IMPROVED MANAGEMENT OF PROTECTED AREAS.....	19
3.1.1 <i>Subcomponent 1.1. Improvement of infrastructure and equipment for the management of forest protected areas.....</i>	<i>19</i>
3.1.2 <i>Subcomponent 1.2: Increasing the involvement of local communities in the management of forest and wildlife by increasing their access and benefits from these areas.....</i>	<i>20</i>
3.1.3 <i>Sub-component 1.3: Restoration of degraded natural forests and forest habitats in forest reserves</i>	<i>20</i>
3.1.4 <i>Subcomponent 1.4. Increased forest protection in CFRs and WRs in close proximity to refugee settlements .....</i>	<i>20</i>
3.2 COMPONENT 2: INVESTMENT TO INCREASE REVENUES AND JOBS FROM FORESTS AND WILDLIFE PROTECTED AREAS .....	21
3.2.1 <i>Subcomponent 2.1: Investments in Tourism.....</i>	<i>21</i>
3.2.2 <i>Subcomponent 2.2: Investments in Productive Forestry .....</i>	<i>22</i>
3.3 COMPONENT 3. IMPROVED LANDSCAPE MANAGEMENT IN REFUGEE-HOSTING AREAS.....	22
3.3.1 <i>Subcomponent 3.1: Increased tree cover on community and refugee-hosting areas .....</i>	<i>23</i>
3.3.2 <i>Sub-component 3.2: Supporting on-farm forestry for refugee fuel supply.....</i>	<i>24</i>
3.4 COMPONENT 4: PROJECT MANAGEMENT AND MONITORING .....	24
<b>4 CHAPTER 4: IMPLEMENTATION ARRANGEMENTS .....</b>	<b>26</b>
4.1 INSTITUTIONAL ROLES AND IMPLEMENTATION ARRANGEMENTS .....	26
4.2 SUPERVISION AND COORDINATION MECHANISMS.....	31
4.2.1 <i>Steering Committee and its responsibility .....</i>	<i>31</i>
4.2.2 <i>Performance –based tree growing Subsidy Grant Management Committee (GMC) and its responsibility.....</i>	<i>32</i>
4.3 FINANCING PLAN.....	33
<b>5 CHAPTER 5: FINANCIAL MANAGEMENT AND DISBURSEMENT.....</b>	<b>36</b>
5.1 INTRODUCTION .....	36
5.2 BUDGETING ARRANGEMENTS .....	36
5.2.1 <i>Annual budgets.....</i>	<i>36</i>
5.2.2 <i>Budget execution and monitoring .....</i>	<i>37</i>
5.3 FUNDS FLOW ARRANGEMENTS .....	37
5.4 DISBURSEMENT ARRANGEMENTS .....	38
5.5 FINANCIAL MANAGEMENT .....	39
5.6 FINANCIAL REPORTING ARRANGEMENTS.....	39
5.7 AUDIT ARRANGEMENTS.....	39
5.8 ACCOUNTING ARRANGEMENTS .....	40
5.9 FINANCIAL MANAGEMENT PROCEDURES .....	40
5.10 ACCOUNTS STAFFING .....	40
5.11 INFORMATION SYSTEMS.....	41
5.12 INTERNAL CONTROL ARRANGEMENTS.....	41

5.13	ALLOWANCES AND INELIGIBLE EXPENDITURES.....	41
5.13.1	<i>Allowances</i> .....	41
5.13.2	<i>Ineligible expenditures</i> .....	42
<b>6</b>	<b>CHAPTER 6: PROCUREMENT .....</b>	<b>45</b>
6.1	PUBLIC PROCUREMENT SYSTEM FOR UGANDA .....	45
6.2	PROCUREMENT AND DISPOSAL UNITS OF THE IMPLEMENTING AGENCIES .....	46
6.3	USE OF STEP (SYSTEMATIC TRACKING OF EXCHANGES IN PROCUREMENT) .....	46
6.4	PROJECT PROCUREMENT STRATEGY FOR DEVELOPMENT .....	47
6.5	CONTRACT MANAGEMENT .....	47
6.6	PROCUREMENT APPROACH FOR THE PROJECT .....	47
6.6.1	<i>General approach</i> .....	47
6.6.2	<i>Procurement Planning</i> .....	47
6.6.2.1	Description of goods and Consulting services to be procured .....	47
6.6.2.2	Estimation of Cost of the Items to be procured .....	48
6.6.2.3	Aggregation of Requirements .....	48
6.6.2.4	Identification of Eligible Procurement / Selection Method .....	48
6.6.2.5	The Procurement Plan .....	48
6.6.2.6	Submission of Plan for Approval .....	48
6.6.3	<i>Procurement Requisition</i> .....	49
6.6.3.1	Confirmation of Availability of Funds.....	49
6.6.3.2	Review of Requirements .....	49
6.6.3.3	Approval of Selection Method .....	49
6.6.4	<i>Pre-Qualification of Suppliers for low value items under Request for Quotation method</i> .....	50
6.6.5	<i>Procurement of works</i> .....	50
6.6.6	<i>Procurement of Goods</i> .....	51
6.6.6.1	Request for Quotation Process .....	52
6.6.6.2	The Bank's right to audit .....	52
6.6.6.3	Publication of Notice of best evaluated bidder.....	53
6.6.6.4	Contract Preparation .....	53
6.6.7	<i>Selection of Consultants process</i> .....	53
6.6.7.1	Short listing of Consultants .....	54
6.6.7.2	Request for Proposal.....	55
6.6.7.3	Receipt and Opening of Proposals .....	55
6.6.7.4	Evaluation of Technical Proposals.....	56
6.6.7.5	Approval of Technical Evaluation Report .....	56
6.6.7.6	Financial Evaluation .....	57
6.6.7.7	Confidentiality.....	57
6.6.7.8	Negotiation and Contract award.....	58
6.6.7.9	Standstill Period .....	58
6.6.7.10	Rejection of All Proposals, and Re-invitation .....	58
6.6.7.11	Solicitor General Clearance.....	58
6.6.7.12	Contract Signing .....	59
6.6.7.13	Publishing of Contract Award .....	59
6.6.8	<i>Selection of Individual Consultants</i> .....	59
6.6.9	<i>Single Source selection of Consultant Firms</i> .....	59
6.6.10	<i>Procurement Documentation</i> .....	59
6.6.10.1	Record Keeping Requirements.....	59
6.6.10.2	Form of Invitation to Bid and Procurement Documents .....	59
6.6.10.3	Contract administration .....	60
6.6.10.4	Contract Implementation, management and reporting .....	60
6.6.10.5	Contract Monitoring .....	61
6.6.10.6	Contract Performance Evaluation.....	61
6.6.10.7	Termination of contracts .....	61
6.6.11	<i>Bank's Prior Review</i> .....	62

6.6.12	Post-Implementation.....	63
6.6.13	Complaints Handling .....	63
<b>7</b>	<b>CHAPTER 7: ENVIRONMENTAL AND SOCIAL (E&amp;S) RISK MANAGEMENT .....</b>	<b>65</b>
7.1	THE ENVIRONMENT AND SOCIAL MANAGEMENT FRAMEWORK (ESMF) .....	65
7.2	OBJECTIVES OF THE ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK (ESMF).....	66
7.3	COMPLIANCE WITH ESCP COMMITMENTS.....	66
7.4	MAINSTREAMING ENVIRONMENTAL AND SOCIAL MANAGEMENT INTO IMPLEMENTATION ARRANGEMENTS.....	68
7.5	ENVIRONMENTAL ASSESSMENT AND SCREENING PROCESS.....	70
7.6	GRIEVANCES REDRESS MECHANISM .....	71
7.7	GRIEVANCE REGISTRATION FORM.....	73
7.8	MONITORING AND REPORTING ON E&S RISK MANAGEMENT .....	73
7.9	RESTRICTIONS OF ACCESS TO PROTECTED AREAS – IMPLEMENTATION OF PROCESS FRAMEWORK .....	74
7.10	RESTRICTIONS OF ACCESS TO PROTECTED AREAS – VULNERABLE AND MARGINALIZED GROUP .....	75
<b>8</b>	<b>CHAPTER 8: MONITORING AND EVALUATION .....</b>	<b>79</b>
<b>9</b>	<b>APPENDICES .....</b>	<b>82</b>
9.1	APPENDIX 1: LETTER OF APPOINTMENT FOR MEMBERS OF PROJECT STEERING COMMITTEE .....	82
9.2	APPENDIX 2: DETAILS OF PROJECT ACTIVITIES, TARGETS AND BUDGET PER COMPONENT UNDER EACH COMPONENT FOR EACH IMPLEMENTING AGENCY .....	84
9.2.1	Activity and target per Component under each component for each Implementing Agency ....	84
9.2.2	Activity and target per Component under each component for each Implementing Agency and budget amounts and budget sources.....	90
9.3	APPENDIX 3: TSP/SUPPORT TO ESTABLISHING 28 COLLABORATIVE FORESTRY MANAGEMENT (CFM) GROUPS.....	112
9.4	APPENDIX 4: TSP/SUPPORT TO COLLABORATIVE RESOURCES MANAGEMENT (CRM) .....	116
9.5	APPENDIX 5: GUIDELINES FOR CFM UNDER NFA.....	120
9.6	APPENDIX 6: PROCEDURES FOR CRM UNDER UWA .....	119
9.7	APPENDIX 7: CRITERIA FOR SELECTING LOCATION AND BENEFICIARIES OF THE COMMUNITY ECOTOURISM SUPPORT ..	121
9.8	APPENDIX 8: CRITERIA FOR PERFORMANCE BASED FOREST PLANTATION SUBSIDY.....	123
9.9	APPENDIX 9: TSP/OPERATING A PERFORMANCE-BASED FOREST PLANTATION SUBSIDY SCHEME .....	126
9.10	APPENDIX 10: PROCEDURE FOR PROJECT SUPPORT TO NYABEYA FOREST COLLEGE.....	131
9.11	APPENDIX 11: TSP/ DEVELOPMENT OF INTENSIVE, MIXED-USE AGROFORESTRY SYSTEMS ON HOUSEHOLD PLOTS, WITH A STRONG ORIENTATION TOWARD MULTIPURPOSE WOODY SPECIES FOR FRUIT, FODDER, FENCING, FUEL, SHADE, AND NITROGEN-FIXING, IN INTENSIVE, MULTI-LAYERED SYSTEMS SUITABLE FOR SMALL AREAS .....	134
9.12	APPENDIX 12: TSP/ SUPPORT FOR DEVELOPMENT OF WOODLOTS ON PRIVATE LAND TO ENHANCE THE SUPPLY OF TIMBER, POLES, FUEL, AND OTHER PLANTATION PRODUCTS. ....	138
9.13	APPENDIX 13: TSP/SUPPORT TO DEVELOPMENT OF COMMUNITY FORESTRY .....	142
9.14	APPENDIX 14: TSP/ ORGANIZE AND MANAGE THE FIREWOOD SUPPLY TO REFUGEE’S SETTLEMENTS .....	146
9.15	APPENDIX 15: TSP/ MONITORING AND VERIFYING QUANTITIES AND QUALITY, FAIR AND EQUITABLE ALLOCATION OF FIREWOOD PERSONS WITH SPECIFIC NEEDS IN REFUGEE SETTLEMENTS .....	150
9.16	APPENDIX 16: GENDER ACTION PLAN FOR IFPA-CD .....	155
9.17	APPENDIX 17: TERMS OF REFERENCE FOR MWE CONTRACTORS, PCU CONSULTANTS AND UWA & NFA CONTRACTED STAFF	161
9.17.1	Terms of Reference: Social Risk Management Specialist.....	161
9.17.2	Terms of Reference Environmental Risk Management Specialist.....	164
9.17.3	Terms of Reference Project Accountant .....	167
9.17.4	Terms of Reference for Procurement Specialist.....	170
9.17.5	Terms of Reference for Monitoring and Evaluation Specialist .....	174
9.17.6	Terms of Reference for Technical Project Coordinator (TPC).....	179
9.17.7	Terms of Reference, Projects Officer- NFA.....	184
9.17.8	Terms of Reference, Project Officer – UWA.....	188

9.17.9	<i>Terms of Reference for IFPA-CD Procurement Officer (GoU)</i> .....	192
9.17.10	<i>Terms of Reference IFPA-CD Project Accountant (GoU)</i> .....	194
9.17.11	<i>Terms of Reference IFPA-CD Project Administrator (GoU)</i> .....	196
9.18	<i>Terms of Reference IFPA-CD Project Communications Officer (GoU)</i> .....	198
9.18	APPENDIX 18: TERMS OF REFERENCE FOR INSTITUTIONAL FOCAL POINTS .....	200
9.18.1	<i>Terms of Reference for the National Project Coordinator</i> .....	200
9.18.2	<i>Terms of Reference: Project Focal Point – MTWA</i> .....	205
9.18.3	<i>Terms of Reference for Institutional Focal Point – NFA</i> .....	210
9.18.4	<i>Terms of Reference for Focal Point –UWA</i> .....	215
9.18.5	<i>Terms of Reference for MWE Focal Point (Components 3)</i> .....	220
9.19	APPENDIX 19: PROCUREMENT PLAN .....	224
9.20	APPENDIX 20: PLANNING, BUDGETING AND REPORTING FORMATS .....	254
9.21	APPENDIX 21: TERMS OF REFERENCE FOR EXTERNAL AUDIT .....	287
9.22	APPENDIX 22: GOU DUTY FACILITATION ALLOWANCES.....	294
9	APPENDIX 23: ESMF AND ESCP PROCESSES .....	303
9.23.1	<i>Appendix 23.1 ESMF Screening Process and Form</i> .....	303
9.23.2	<i>Appendix 23.2: ESCP implementation Plan and institutional roles and responsibilities</i> .....	309
9.24	APPENDIX 24: LABOUR MANAGEMENT PROCEDURES.....	316
9.25	APPENDIX 25: REPORTING FORMAT FOR ENVIRONMENTAL AND SOCIAL RISKS .....	322
9.26	APPENDIX 26: INCIDENT REPORTING SYSTEM .....	328

#### List of Figures

Figure 2-1: Project areas .....	17
Figure 4-1: Implementation and Coordination Structure .....	26
Figure 5-1: Financial Flows.....	38
Figure 6-1: Public Procurement system in Uganda.....	45
Figure 7-1: Structures for coordinating, implementing and reporting on ESCP .....	68
Figure 7-2:The GRM process.....	73

#### List of Tables

Table 2.1: Project Components.....	13
Table 2.2: Targeted refugee host districts in Albertine Rift, West Nile and part of Upper R. Nile .....	14
Table 4.1: Composition of Project Steering Committee .....	27
Table 4.2: Checklist of activities to be implemented through TSPs.....	29
Table 4.3: PCU Staff and Consultants.....	29
Table 4.4: List of Designated Focal Points.....	30
Table 4.5: Composition of Subsidy Grants Management Committee .....	32
Table 4.6: Financing Plan .....	33
Table 5.1: Designated Project Accountant.....	36
Table 5.2: Categories of allowances and ineligible expense.....	42
Table 6.1: Procurement Focal Points .....	46
Table 6.2: STEP Focal Points.....	46
Table 6.3: Indicative Lead times for procurement requisitions.....	49
Table 6.4: Description on Major Works .....	50

Table 6.5: Process for procurement of Goods .....	51
Table 6.6: Lead Responsibilities for selecting Consultants .....	53
Table 7.1: Safeguards Focal Points.....	70
Table 7.2: Grievances registration form .....	73
Table 9.1: Meetings, Training, Advocacy .....	322
Table 9.2 Training for PCU and Focal Points for ES in the Implementing partners .....	323
Table 9.3 Preparation & Review Forest Management for community forest .....	323
Table 9.4 Community Level events (e.g. CF tree planting) .....	323
Table 9.5 Numbers of Personnel (no. of people) .....	324
Table 9.6 Age of Personnel (years old) .....	324
Table 9.7 Monthly Average Income Records.....	324
Table 9.8 Health and Safety Incident Records Summary .....	325
Table 9.9 Template for Grievance Registers .....	325
Table 9.10 Summary of types of Complaints and Grievances.....	325
Table 9.11 Summary status of all grievances received to date (DATE).....	325
Table 9.12 Summary status of project related grievances to date (DATE).....	326
Table 9.13 Number of project related grievances received per year per project component (DATE) .....	327

## LIST OF ABBEVIATIONS AND ACRONYMS

BCC	Budget Call Circular
BINP	Bwindi Impenetrable National Park
BOQ	Bills of Quantities
CFM	Collaborative Forestry Management
CFR	Central Forest Reserve
CRM	Collaborative Resources Management
DEA	Directorate of Environment Affairs
DESS	Department of Environment Support Services
DRC	Democratic Republic of Congo
EIA	Environment Impact Assessment
EIO	Expression of Interest
EIS	Environmental Impact Statement
ESF	Environment and Social Framework
ESHS	Environment, Social, Health and Safety
ESIA	Environment and Social Impact Assessment
ESMF	Environment and Social Management Framework
ESMP	Environment and Social Management Plan
ESS	Environment and Social Standards
FIP	Forest Investment Plan
FMAS	Finance Management and Accounting System.
FRRM	Feedback, Referral and Resolution Mechanism
FSSD	Forestry Sector Support Department
GCF	Global Climate Fund
GDP	Gross Domestic Product
GGG	Green Growth Strategy
GMC	Grants Management Committee
GOU	Government of Uganda
GRM	Grievance Redress Mechanism
GRS	Grievance Redress Service
HWC	Human Wildlife Conflict
IBRD	International Bank for Reconstruction and Development
IDA	International Development Association
IFR	Interim Financial Report
I&ND	Inclusion and Non-Discrimination
KNP	Kibale National Park
MAAIF	Ministry of Agriculture, Animal Industry and Fisheries

MFNP	Murchison Falls National Park
MGNP	Mgahinga Gorilla National Park
MoFPED	Ministry of Finance, Planning and Economic Development
MTWA	Ministry of Tourism, Wildlife and Antiquities
MWE	Ministry of Water and Environment
NDC	Nationally Determined Contributions
NDP	National Development Plan
NEMA	National Environment Management Authority
NFA	National Forestry Authority
NFC	Nyabyeya Forest College
NGOs	Non-Government Organization
NP	National Park
OPM	Office of the Prime minister
PA	Protected Area
PCU	Project Coordination Unit
PDE	Procurement and Disposal Entity
PDU	Procurement and Disposal Unit
PF	Process Framework
PFMA	Public Finance Management Act
PIM	Project Implementation Manual
PPDA	Public Procurement and Disposal Act
PPSD	Procurement Plan Strategy Development
QENP	Queen Elizabeth National Park
REDD	Reducing Emissions from Deforestation and Forest Degradation
ReHOPE	Refugee and Host Population Empowerment
RF	Results Framework
RFP	Request for Proposal
RFQ	Request for Quotation
RMNP	Rwenzori Mountains National Park
RoEI	Request for Expression of Interest
SBD	Standard Bidding Document
SC	Steering Committee
SNP	Semliki National Park
SoR	Statement of Requirements
SoW	Statement of Works
SPCR	Strategic Programme for Climate Resilience
SPD	Standard Procurement Document
ToR	Terms of Reference
TSDP	Tourism Sector Development Programme

TSP	Technical Services Provider
UGX	Uganda Shillings
UNESCO	United Nations Education, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention for Climate Change
USD	United States Dollars
UTGA	Uganda Timber Growers Association
UWA	Uganda Wildlife Authority
VG	Vulnerable Group
VMG	Vulnerable Marginalized Group
VMGF	Vulnerable Marginalized Groups Framework
VMGMP	Vulnerable Marginalized Groups Management Plan
WMZ	Water Management Zone
WR	Wildlife Reserve

SECTION ONE  
**PROJECT OVERVIEW**

# 1 CHAPTER 1: INTRODUCTION

This Project Implementation Manual (PIM) has been prepared to guide implementation of the IFPA-CD for the management, coordination, steering, oversight, financial management and procurement of the project. The Manual describes the processes, methods, procedures and practices to be adopted and followed by the Ministry of Water and Environment (the focal point ministry) and all implementing institutions in all these undertakings.

The Manual has been approved by Government of Uganda (GoU) and cleared by the World Bank and will be reviewed and revised as needed during project implementation, with each revision requiring approval by the GoU and World Bank.

The procedures described in this manual are based on and conform to the operational policies and guidelines of the Government of Uganda and World Bank and adequately meet their requirements. These include the i) Government Public Procurement and Disposal Act and the Public and Disposal Regulations; ii) International Development Association General Conditions for IDA Financing, Investment Project Financing, *dated December 14, 2018*; iii) Disbursement Guidelines for Investment Project Financing, *dated February 2017* ; iv) Procurement Regulations for IPF Borrowers, *dated July 2016, revised in November 2017 and August 2018* v) Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants, *dated July 1, 2016* vi) Environmental and Social Framework (ESF); vi) IFPA-CD Financing Agreement and, vii) Disbursement and Financial Information Letter.

The application of this PIM takes effect from 1<sup>st</sup> July 2020 and lasts for entire duration of the IFPA-CD, unless it is otherwise suspended or extended. However, it may be revised to address emerging issues. Each revision of the PIM is subject to World Bank review and approval.

This version has been updated to reflect changes introduced through restructuring approved in December 2024, enhancements of the project Grievance Redress Mechanism, and an updated incident reporting protocol.

## SECTION TWO

# **PROJECT DESCRIPTION**

## 2 CHAPTER 2: PROJECT DESCRIPTION

### 2.1 The Project Development Objective / Goal

The Project Development Objective is to: **(i)** To improve sustainable management of forests and protected areas in target landscapes; and **(ii)** To increase benefits to communities from forests in target landscapes.

The project will support the government agenda of increasing forest cover through afforestation and reforestation and slowing down the loss and degradation of the nation's forests. The project has 4 components and 8 subcomponents (Table 2-1)

Table 2.1: Project Components

Component	Sub-component
<b>Component 1. Improved management of forest protected areas</b>	1.1. Improvement of infrastructure and equipment for the management of forest protected areas
	1.2. Increasing the involvement of local communities in the management of forest and wildlife areas by increasing their access and benefits from these areas
	1.3. Restoration of degraded natural forests and habitats in Wildlife and Forest Protected Areas
	1.4. Increased forest protection in CFRs and WRs in close proximity to refugee settlements
<b>Component 2. Increased Revenues and Jobs from Forests and Wildlife Protected Areas</b>	2.1. Investments in tourism
	2.2. Investments in productive forestry
<b>Component 3. Improved landscape management in refugee-hosting areas</b>	3.1. Increased tree cover on community and private land
	3.2. Supporting farm forestry for refugee fuel supply
<b>Component 4. Project management and monitoring</b>	

The project will support a landscape approach to improve management and economic productivity of forest ecosystems in the targeted landscapes. The project will combine investments in forest management in state- and community - managed lands and will focus on improving the management of forests and increasing revenues for sustaining forests and supporting resilient livelihoods.

The project is described in the Project Appraisal Document (PAD)): see documents section under <https://projects.worldbank.org/en/projects-operations/project-detail/P170466>. The over-all project implementation coordination and reporting will be responsibility of Ministry of Water and Environment (MWE). Implementation of the project activities will be led by the MWE (User departments), National Forestry Authority (NFA), and Uganda Wildlife Authority (UWA) with the involvement of the Ministry of Tourism, Wildlife and Antiquities (MTWA) in tourism-related activities. Implementing agencies will collaborate with and Office of the Prime Minister and United Nations High Commission for Refugees (UNHCR) in activities in the refugee-hosting areas. Implementation will be overseen by the Project Steering Committee, chaired by the MWE and MTWA (Appendix 1).

**Outcomes:** The expected project outcomes are:

- a. Increased provision of ecosystem goods and services through more sustainably-managed forests and protected areas and enhancement of forest stocks.
- b. Increased revenue generation and other benefits from forests and protected areas for communities, government agencies and private sector in the Albertine Rift and West Nile Region.

**Result indicators:** To measure the progress towards this objective, the project will use the following result indicators:

**A: For measuring improved management:**

1. Management Effectiveness Tracking Tool (METT) score of target protected areas (number)
2. Land area under sustainable landscape management practices (ha), with sub indicators:
  - a. Area under agroforestry systems – in refugee-hosting areas(ha).
  - b. Area under improved natural resource management (Community Forests registered and implemented activities in accordance with the approved management plans) – in refugee-hosting areas(ha).
  - c. Area under plantation or re-forestation (outside of gazetted areas) (ha).
  - d. Protected areas under effective management (with project support) (ha).

**B: For measuring increased benefits:**

3. Visitors at National Parks and Central Forest Reserves in target areas (number).
4. People employed in production and processing of forest products (number), including female (number).
5. People that participated in consultations on use of forest resources in targeted landscapes, including female (number) and including refugees (number).

**Outputs:** the IFPA-CD will deliver the following outputs

1. 1,157,073 ha of improved forest protection and management (in 7 National Parks, 4 Wildlife Reserves and 28 Central Forest Reserves).
2. 36,500 ha of production forests established.
3. 32,052 ha of formerly degraded forest land restored.
4. 19,507 ha of improved land management in refugee host districts.
5. 22,000 jobs created by investments in nature-based tourism and production forestry.
6. 15% increase in revenues from investments in forest- based enterprises and nature-based tourism.
7. 250,000 households with improved incomes and resilient livelihoods.

## 2.2 Project coverage (geographical area)

**Geographical Coverage:** The main project area includes the Albert Rift and West Nile, with focus on target protected areas and refugee host districts (Table 2-2; Figure 2-1).

Table 2.2: Targeted refugee host districts in Albertine Rift, West Nile and part of Upper R. Nile

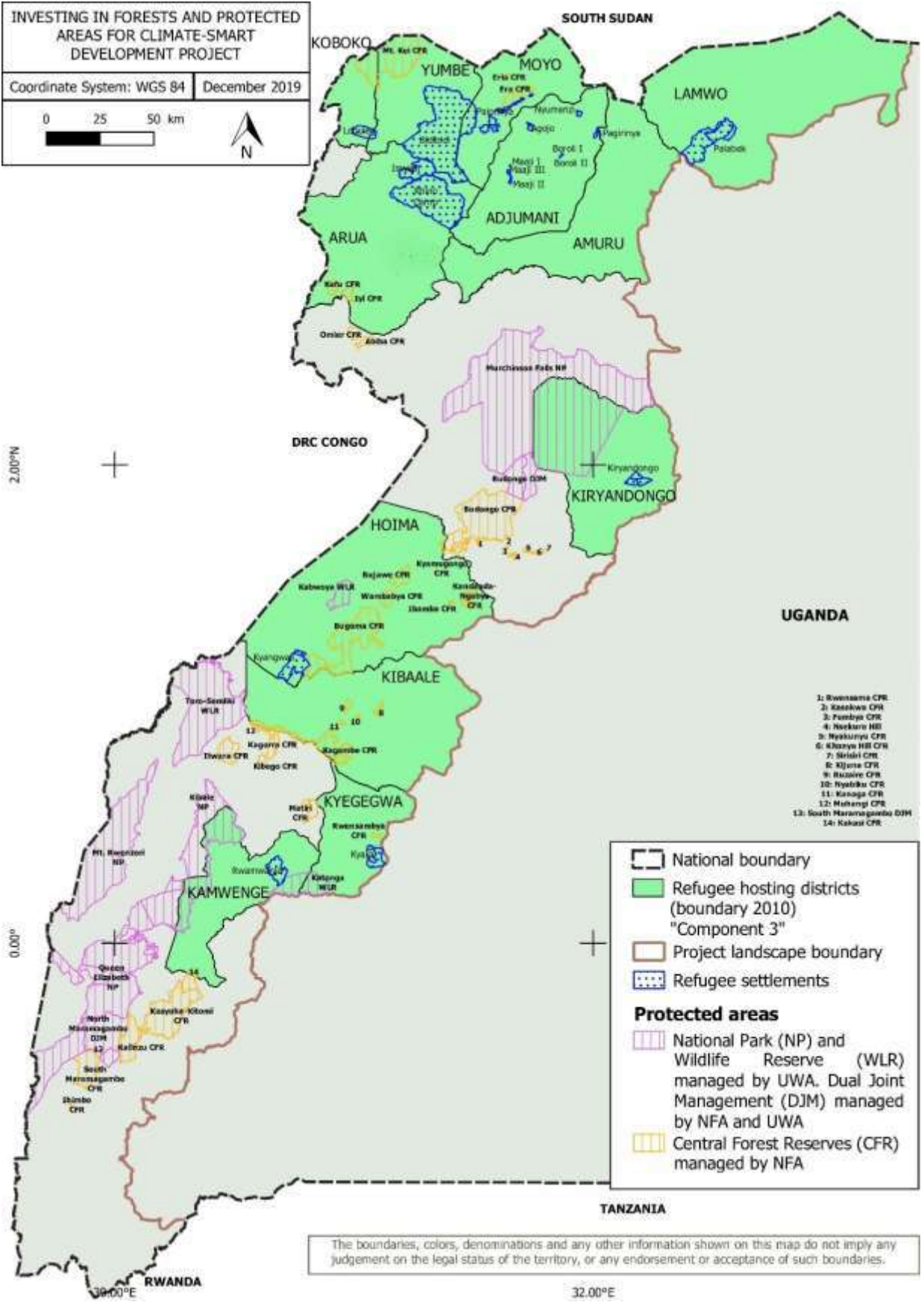
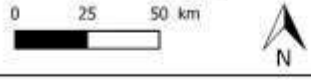
Districts as of July 1, 2010	Districts as of July 1, 2020
<b>Albert WMZ</b>	
<b>Hoima</b>	1. Hoima 2. Kikuube
<b>Kamwenge</b>	3. Kamwenge 4. Kitagwenda
<b>Kibaale</b>	5. Kakumiro 6. Kagadi 7. Kibaale
<b>Kiryandongo</b>	8. Kiryandongo
<b>Kyegegwa</b>	9. Kyegegwa
<b>West Nile/Upper Nile WMZ</b>	
<b>Adjumani</b>	10. Adjumani

<b>Amuru</b>	11.	Amuru
<b>Arua</b>	12.	Arua
	13.	Madi Okollo
	14.	Terego
<b>Koboko</b>	15.	Koboko
<b>Lamwo</b>	16.	Lamwo
<b>Moyo</b>	17.	Moyo
	18.	Obongi
<b>Yumbe</b>	19.	Yumbe

*Note: In case these districts are divided during the period of project implementation, the project will continue activities in the same geographic area, and district support packages will be provided to the newly formed districts as well.*

**INVESTING IN FORESTS AND PROTECTED AREAS FOR CLIMATE-SMART DEVELOPMENT PROJECT**

Coordinate System: WGS 84 | December 2019



- 1: Rwenzori CFR
- 2: Kibale CFR
- 3: Pambye CFR
- 4: Neokoro NP
- 5: Nyakuryi CFR
- 6: Kiboga Hill CFR
- 7: Sirisi CFR
- 8: Kijoro CFR
- 9: Buzaire CFR
- 10: Nyabiku CFR
- 11: Kanaga CFR
- 12: Muhangi CFR
- 13: South Murchisonia DJM
- 14: Kakasi CFR

**Legend**

- National boundary
- Refugee hosting districts (boundary 2010)
- "Component 3"
- Project landscape boundary
- Refugee settlements

**Protected areas**

- National Park (NP) and Wildlife Reserve (WLR) managed by UWA. Dual Joint Management (DJM) managed by NFA and UWA
- Central Forest Reserves (CFR) managed by NFA

The boundaries, colors, denominations and any other information shown on this map do not imply any judgement on the legal status of the territory, or any endorsement or acceptance of such boundaries.

National Parks		Wildlife Reserves		Central Forest Reserves	
1.	Bwindi Impenetrable National Park	1.	Katonga WR	1.	Ihimbo
2.	Mgahinga Gorilla National Park	2.	Toro Semuliki WR	2.	South Maramagambo
3.	Queen Elizabeth National Park	3.	Kabwoya WR	3.	Kalinzu
4.	Mt. Rwenzori National Park			4.	North Maramagambo
5.	Semuliki National Park			5.	Kasyoha-Kitomi
6.	Kibale National Park			6.	Kakasi
7.	Murchison Fall National Park			7.	Echuya
				8.	Bugoma
				9.	Wambabya
				10.	Kagombe
				11.	Nyakarongo
				12.	Budongo
				13.	Kasokwa
				14.	Era
				15.	Otzi East
				16.	Otzi West
				17.	Wati
				18.	Mt Kei
				19.	Itwara
				20.	Kibego
				21.	Muhangi
				22.	Buhungiro
				23.	Ibambaro
				24.	Kitechura
				25.	Matiri
				26.	Nkera
				27.	Rwensambya

Figure 2-1: Project areas

## SECTION THREE

# **DETAILED DESCRIPTION OF THE PROJECT COMPONENTS**

### 3 CHAPTER 3: DETAILED PROJECT COMPONENTS

This section presents summary information on the general description of the project investments under each project component. Details of the specific project financed activities by World Bank and GoU are presented in Appendix 2.

#### **3.1 Component 1. Improved management of protected areas** (US\$46.7 million, including IDA credit US\$34.7 million, IDA grant US\$6 million, and IDA RSW grant US\$6 million; GoU Counterpart US\$ 7.793 million).

This component will provide support to 7 NPs, 4 WRs, and up to 27 CFRs in the project area (Figure 2-1) to strengthen their on-the-ground management. Geographically, investments under this component will focus on NPs, WRs, and CFRs selected on the basis of agreed selection criteria.<sup>1</sup> Activities under this component will be implemented by UWA in NPs and WRs and the NFA in CFRs. It is expected that the enhancements in management of forests and improvements in forest stock as a results of activities under this component will increase the forests' climate change mitigation capacity.

##### **3.1.1 Subcomponent 1.1. Improvement of infrastructure and equipment for the management of forest protected areas** (US\$24 million, all IDA credit) GoU US\$ 3.740 million).

The project will support:

- a. Grading and maintenance of tracks and trails, including climate-proofing, within PAs to improve access for park management;
- b. Boundary planning (including community consultations) and demarcation where needed/appropriate;<sup>2</sup>
- c. Infrastructure (such as fencing and walls to reduce human-wildlife conflicts, staff accommodation, and ranger posts);
- d. Communication, field, and office equipment;
- e. Vehicles; and
- f. Support for the National Forest Monitoring System (NFMS) which was established with the support of the World Bank through the Forest Carbon Partnership Facility readiness mechanism (Uganda FCPF Readiness [P124296]).

To address wildfire management and control of invasive plants, the project will support:

- a. Consultancy services to support development of landscape-level strategies for fire management<sup>3</sup> and eradication of invasive species;
- b. Training and equipping NFA and UWA staff for fire management;
- c. Establishment and maintenance of fire breaks;
- d. Equipment and construction of fire towers for fire detection and suppression;
- e. Community sensitization, response, and monitoring; and

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<sup>1</sup> The criteria included: (a) Absence of social risks requiring involuntary resettlement/land compensation (encroachment); (b) high potential for carbon abatement, high provisions of ecosystem goods and services (especially, water), biodiversity protection; (c) high potential for revenue generation from nature-based tourism; (d) potential for plantation development/value chains investments; (e) reducing barriers to biodiversity conservation; (f) reducing impact of refugees on forests/woody biomass availability; (g) landscape connectivity; and (h) value addition and complementarity.

<sup>2</sup> Boundary demarcation will not be supported in the wildlife PAs (NPs and WRs) and in the following CFRs where complete boundary demarcation is currently ongoing with support from the United States Agency for International Development: Budongo, Bugoma, Buhunjiro, Echuya, Eria, Era, Itwara, Kalinzu, Kasyoha-Kitomi, Mpanga, Mt. Kei, Otzi East, and Otzi West.

<sup>3</sup> Uganda's National REDD+ Strategy identifies fire as the lead factor of GHG emissions from forests in Uganda.

- f. Introduction of more efficient fire management systems at the landscape level.

This will also include consideration of satellite-based monitoring systems. The invasive species strategy will recommend cost-effective eradication techniques for specific sites and propose partnership with institutions experienced with invasive species removal. The project will finance removal of invasive species through community collaboration.

### **3.1.2 Subcomponent 1.2: Increasing the involvement of local communities in the management of forest and wildlife by increasing their access and benefits from these areas** *(US\$6.7 million, all IDA credit; GoU US\$ 0.3 million)*

This subcomponent will support technical assistance packages and training aimed at developing the skills at the community level to actively participate in and benefit from the management of forest and wildlife resources, including to enhance their adaptive capacity of forest dependent communities for climate resilience by strengthening their coping strategies, diversifying forest management-related employment opportunities and livelihoods, and adaptive forest planning and management. The technical assistance packages will include targeted support for women to empower them to participate and take leadership roles in natural resources management. At the field level, support will be provided for community engagement in the management of forest resources within PAs. This will include establishment of up to at least 28 CFM groups (Appendix 3) and 75 new CRM groups (Appendix 4) and support of livelihood activities within existing groups. Appendix 5 and Appendix 6 present guidelines to establishment of CFM and CRM, respectively.

### **3.1.3 Sub-component 1.3: Restoration of degraded natural forests and forest habitats in forest reserves** *(US\$ 4 million, all IDA; GoU US\$ 2.7 million)*

This subcomponent will target degraded areas in key CFRs, including areas where invasive species management (including operations supported under Subcomponent 1.1) has led to the removal of vegetation. The project aims to restore up to 15,000 ha of forest. Restoration will be implemented through natural regeneration (based on enclosure of areas) and, where needed, enrichment planting, to enhance integrity of forests and their mitigation capacity, including through engaging and employing local communities.

### **3.1.4 Subcomponent 1.4. Increased forest protection in CFRs and WRs in close proximity to refugee settlements** *(US\$12 million external funding, including US\$6 million IDA grant and US\$6 IDA RSW grant, GoU US\$ 1.053 million)*

At a small number of locations in close proximity to refugee settlements, the project will deploy additional resources to improve PA management where there are site-specific threats to high-value forest assets, either as a direct result of refugee incursion or indirectly by the added commercial demand for forest products arising from their presence. These resources will enable UWA and the NFA to engage local communities in resource management efforts, including forest restoration, and strengthen enforcement efforts to better protect the remaining natural forests in these PAs.

Project-supported activities will include:

- a. Community livelihood activities (such as beekeeping and wild mushroom growing);
- b. Removal of invasive species.
- c. Forest restoration.

- d. Improvements for basic PA management (communication and other equipment, vehicles, ranger posts, and essential infrastructure).
- e. Improvements for wildfire management (fire observation towers and equipment).
- f. Boundary demarcation where required and appropriate.

### **3.2 Component 2: Investment to increase revenues and jobs from forests and wildlife protected areas** *(IDA Credit: US\$38.5 million; GoU US\$ 17.55 million).*

#### **3.2.1 Subcomponent 2.1: Investments in Tourism** *(IDA US\$16 million; GoU US\$ 2 million)*

This subcomponent, implemented by UWA and the NFA, will invest in tourism infrastructure and products in select NPs and CFRs in the project area. Although the individual General Management Plans<sup>4</sup> of NPs and Forest Management Plans of CFRs already identify some investment priorities, the project will rely on a more informed and comprehensive process (by the marketing, planning, and product development specialists) to define and plan investments that can achieve the aim of adding value to the tourist experience and helping Uganda reach and sustain new and more diverse markets. Direct investments will fall into two broad categories: (a) tourist reception, information, and interpretive facilities in identified PAs and (b) infrastructure for new (or improving existing) tourist products and activities.

Tourist reception, information, and interpretive facilities will be used to improve the visitor experience in the PAs and to encourage visitors to stay longer at each site. These investments will include visitor centres, visitor gates, tracks, trails, bridges, and boardwalks. The project will support the development of this infrastructure in the following PAs: Bwindi Impenetrable, Queen Elizabeth, Kibale, Rwenzori Mountains, Semuliki, and Murchison Falls NPs and Kasyoha-Kitomi and Echuya CFRs. Other sites may be added as new priorities emerge.

The project will provide investments in infrastructure that leverage private and community investment and support for the diversification of tourism products. These investments fall into three categories:

- a. Infrastructure investments to unlock confirmed private sector investment in PA-based tourism. These investments will complement already-confirmed private sector investment, for example, through the 'Space for Giants' program. Many of the new concessions under this initiative will be in areas of NPs that have poor access or game viewing tracks. Investors are negotiating these concessions with the condition that the GoU (through UWA) provide access, water, and electricity connections. In some areas near the boundaries of the NPs fencing may also be required.
- b. Infrastructure investments for new or for improving existing tourism products. This will include the development or enhancement of a range of products such as picnic sites, canopy walks, hiking trails, jetties, zip lines, bird hides, and multipurpose tourism centers to enhance diversification and overall quality of tourism products.
- c. Provision of small grants to community-based enterprises that could add value to the overall tourism offerings. Details about the Criteria for selecting location and beneficiaries for Community Ecotourism Support is are presented in (Appendix 7).

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<sup>4</sup> General Management Plans are prepared for all UWA-managed PAs such as NPs and WRs. Forest Management Plans are prepared for NFA-managed areas such as CFRs.

### **3.2.2 Subcomponent 2.2: Investments in Productive Forestry** (IDA Credit US\$22.5 million, GoU US\$ 15.55 million)

This subcomponent will invest in plantation forestry and wood value chains with the aim of enabling plantation forestry to become a strong and self-sustaining economic sector in Uganda. To accomplish this, two types of investments will be made: (a) investments to further increase plantation area to reach a critical mass that can meet the demands of the local and regional market (with most subcomponent investments dedicated to these activities) and (b) investments to support processing and utilization of forest products to produce higher-value wood products.

Investments to further increase plantation area will address about half of the current shortfall in supply from timber plantations through the provision of incentives that will continue to expand plantation area and improve quality standards of planting stock. Key to achieving this objective will be to increase private sector investment and participation. This subcomponent will fund a performance-based subsidy scheme that will focus on 'clusters' around well-established commercial tree growers. Supporting such participation with a public subsidy scheme that provides partial financing and extension support offers a cost-effective way of achieving this and has demonstrated impressive results to date (under the SPGS) by leveraging substantial private sector investment. This approach is designed to strengthen the integration of smallholder growers into wood value chains while also creating improved economies of scale for commercial tree growers. Specifically, the project support will:

- a. Provide conditional grants to private tree growers for the establishment of over 36,000 additional hectares of plantations and matching grants to investors in wood processing and co-financing for skilling and training in vocational skills for wood processing. Details about the Criteria for performance based forest plantation subsidy is presented in Appendix 8.
- b. Support the operation of a new implementation unit that will (a) manage the issuance of calls for performance-based contracts, (b) manage and monitor performance-based contracts including quality assurance, and (c) provide technical support for silviculture and value chain development. Details about the Terms of Reference for the New Operational Unit/TSP are presented in Appendix 9.
- c. Provide capacity-building and technical support to the NFA for improved oversight of plantation concessions in CFRs. The implementation unit will support the NFA to ensure that CFR concessions are better managed, performance targets are met, and permits are annulled for planters who do not meet their agreed targets.
- d. Support the improvement of processing training facilities at Nyabyeya Forestry College (NFC) and co-financing of skilling and training of operators of the new equipment. Procures for project support to NFC are presented in Appendix 10.
- e. Support training on safe tree felling and extraction and loading.
- f. Prepare a feasibility study for a forest fund that would provide financing on a revolving basis to incentivize productive forest management. Such a mechanism could be introduced under the ongoing Forest Policy Review process.

### **3.3 Component 3. Improved landscape management in refugee-hosting areas** (US\$58 IDA RSW grant, GoU US\$ 2 million).

This component will improve forest landscape management in refugee-hosting areas by supporting forestry development and sustainable woodland management on both private and customary land to enhance the resilience of local communities and landscapes to climatic changes and to refugee-related

environmental impacts. The activity package is informed by two analytical studies commissioned by the World Bank that show growing deficits of wood fuels around refugee settlements.<sup>5</sup> These studies identified priority interventions to improve environmental management, ensure access to wood fuel resources for the host and refugee communities, and contribute to building livelihood resilience.

Activities under this component will be led by the MWE, which will engage qualified technical service providers (TSPs) to implement activities in close coordination with and involvement of DLGs (through the District Forest Service). A basic support package (comprising motorbikes and office and field equipment as well as operational costs) will be provided to the district natural resources offices to facilitate their participation in these activities. The selected TSPs will work closely with district technical teams to draw upon their expertise and local knowledge and to build their capacity for providing support to the development of community-level forestry interventions in the longer term.

### **3.3.1 Subcomponent 3.1: Increased tree cover on community and refugee-hosting areas** (US\$44 IDA RSW grant; GoU US\$ 2 Million)

Project will support:

- a. Development of intensive, mixed-use agroforestry systems on household plots, with a strong orientation toward multipurpose woody species for fruit, fodder, fencing, fuel, shade, and nitrogen-fixing, in intensive, multilayered systems suitable for small areas. The chosen TSP will work with the DLG staff to (a) identify interested households, raise awareness, and provide training in agroforestry techniques; (b) identify context-appropriate species of multipurpose trees and shrubs for mixed-use agroforestry systems; and (c) extend the existing network of tree nurseries for agroforestry species and design a strategy for disseminating seedlings. In addition to responding to demand for favored fast-growing trees, these systems will incorporate woody perennials that are often overlooked, such as pigeon pea, *Calliandra*, *Leucaena*, and okra, which can provide food, fuel, and nitrogen-fixing services. The project will aim to reach approximately 9 percent of rural households in target districts with a target of 0.2 ha per household for agroforestry development (thus a total of approximately 17,500 ha). (Appendix 11).
- b. Development of woodlots on private land to enhance the supply of timber, poles, fuel, and other plantation products. Context-appropriate seedlings will be supplied from a quality-controlled private nursery network. The project will also provide training and extension support to maintain technical standards and maximize seedling survival. To ensure sustainability and engagement, a performance-based grant (equivalent to 50 percent of labor costs over the first four years) will be paid to qualifying woodlot owners upon physical verification at one year. Only woodlots with survival of at least 60 percent of seedlings will qualify for the grant. The project aims to establish woodlots of average size of 0.25 ha per household covering about 4 percent of rural households in the target area, for a total of about 9,700 ha. (Appendix 12.)
- c. Enhanced management and protection of natural forests outside PAs. The project will first develop and secure assent for community forest regulations under the framework of the NFTP (2003) and (ensure dissemination and awareness-raising. The project will then facilitate the implementation of community forest management by (a) raising wider awareness of the community forestry model; (b) identifying priority areas; (c) supporting resource assessment,

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<sup>5</sup> World Bank and FAO. 2018. *Rapid Assessment of Natural Resources Degradation in Areas Impacted by the South Sudan Refugee Influx in Northern Uganda*. Technical Report.

management planning, gazettement, and demarcation; (d) supporting institutional development (building on existing clan and elder structures where possible), providing training, and developing financial sustainability plans; and (e) providing inputs to assist in the restoration, protection, and sustainable management of these forests.

Community forestry support will be directed to specific districts: in Kiryandongo, Hoima, and Kikuube districts. Over-all, fifteen community forests averaging 250 ha in area will be supported (Appendix 13).

- d. Institutional support for target DLG natural resource technical teams through the provision of basic support packages of office equipment, motorbikes, and operational costs, as well as capacity-building support

### **3.3.2 Sub-component 3.2: Supporting on-farm forestry for refugee fuel supply (US\$14 million IDA RSW grant)**

The project will set up a program to purchase fuelwood from Ugandan landowners and supply it to persons with specific needs (PSN)<sup>6</sup> within the refugee settlements in the project areas, as agreed with the OPM and UNHCR, and consistent with the Water and Environment Sector Refugee Response Plan. This will simultaneously stimulate farm forestry, provide an energy lifeline to the most vulnerable refugees to help them cope with increasing wood fuel scarcity, and reduce pressure on natural woodlands. The program will be scaled to provide about 50 percent of the wood fuel needs of PSNs.<sup>7</sup> This scheme will be operated for the first three years of the project, to cover the acute emerging wood fuel shortages.

The project will engage one group of service providers, under competitive tender, to organize and manage the firewood supply, and another to verify quantities and quality, and ensure fair and equitable allocation at settlement level (Appendix 14). Firewood will be purchased in bulk, using cubic meter stacks as measurement units. Private sector cooperatives or tree growing associations may be engaged to aggregate supply from multiple producers. Wood will be sole-sourced from eucalyptus<sup>8</sup>, as this is readily identifiable, produces good-quality fuelwood, and stacks with minimal air space. A minimum harvesting distance from each settlement will be defined, ideally at least 10 km (twice the maximum distance that refugees currently travel on foot), to avoid overlapping harvesting zones. Refugees will benefit from the distributed fuel, though they will not be engaged as wood suppliers as they do not own land in the proposed source areas or have well-established tree plantations. Distribution within the settlements will be managed by a team of supervisory staff and distribution clerks based on guidance from the OPM and UNHCR. Details about this mechanism are presented in Appendix 15.

### **3.4 Component 4: Project Management and Monitoring (IDA Credit US\$ 5 million, GoU US\$. 2.657 Million)**

This component will support project management support activities to ensure cost-efficient, timely, and quality delivery of project activities and results, including monitoring and evaluation (M&E) and project reporting. This will include support for fiduciary management aspects, including procurement and

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<sup>6</sup> UNHCR and OPM have well-defined criteria for identifying PSNs. The following are groups generally considered to have specific needs: girls and boys at risk, including unaccompanied and separated children, persons with serious health conditions, persons with special legal or physical protection needs, single women, women-headed households, older persons (persons over 60 years), persons with disabilities, and persons with a diverse sexual orientation or gender identity.

<sup>7</sup> As of December 2019, there are 147,282 refugees classified as PSNs by UNHCR/OPM, in 80,897 households. Population data is updated regularly by UNHCR and will be reflected in adjustments to firewood supply volumes and targeting.

<sup>8</sup> Grown on the planting area of approximately 10,000 ha.

financial management (FM), safeguards, social inclusion and gender competency development including a monitoring implementation of the Gender Action Plan (Appendix 16), and M&E.

## SECTION FOUR

# **IMPLEMENTATION ARRANGEMENTS**

## 4 CHAPTER 4: IMPLEMENTATION ARRANGEMENTS

### 4.1 Institutional roles and implementation arrangements

The Ministry of Water and Environment (MWE) is the lead institution for the over-all implementation and coordination. Implementation of the project activities will be led by the MWE (User departments), NFA, and UWA with the involvement of the MTWA in tourism-related activities. Implementing agencies will collaborate with and Office of the Prime Minister and UNHCR in activities in the refugee-hosting areas. Implementation will be overseen by the Project Steering Committee, chaired by the MWE and MTWA (Figure 4-1).

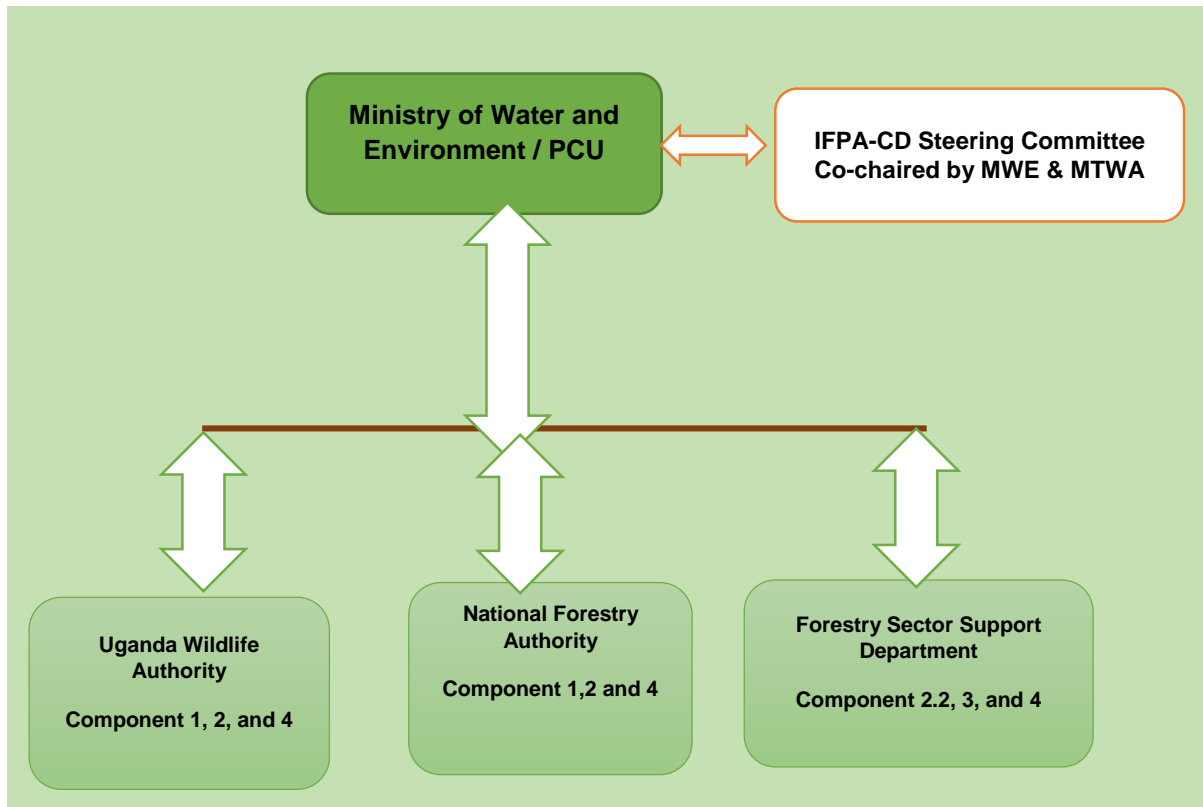


Figure 4-1: Implementation and Coordination Structure

At the national level, the MWE and MTWA will co-chair a Project Steering Committee that will provide strategic direction and monitor overall project performance. The Steering Committee is comprised of senior management representatives from Ministry of Finance, Planning and Economic Development; Office of the Prime Minister, Ministry of Water and Environment, Ministry of Tourism, Wildlife and Antiquities, Ministry of Local Government; Ministry of Gender, Labour and Social Development; Uganda Wildlife Authority, National Forestry Authority, Uganda Timber Growers' Association, Uganda Tourism Association, and Environmental Alert as the coordinating organization for the umbrella of CSOs working in the environment sector. Government ministries and agencies and private sector associations (Table 4-1).

Table 4.1: Composition of Project Steering Committee

S/N	Institution	Position
1.	Ministry of Water and Environment (MWE)	Mr. Alfred Okot Okidi; Permanent Secretary (Chair)
2.	Ministry of Tourism, Wildlife and Antiquities (MTWA)	Ms. Doreen Katusiime; Permanent Secretary (Co-Chair)
3.	Office of the Prime Minister (OPM)	Mr. Timothy Lubanga; for Permanent Secretary Mr. Charles Bafaki, for Commissioner Refugees
4.	MoFPED	Ms Maris Wanyera; for Permanent Secretary/SST
5.	Ministry of Local Government	Mr. Emmanuel Muhanguzi; for Permanent Secretary, MoLG
6.	Ministry of Gender, Labour and Social Development	TBC, Permanent Secretary, MoGLSD
7.	MWE (Environment)	Mr. Steven David Mugabi; Director, DEA
8.	MWE (Water Resources)	Dr. Callist Tindimugaya; Director, Water Resources Management
9.	MTWA (Wildlife and Tourism)	Mr. George Owoyesigire; Ag. Commissioner, Wildlife Conservation
10.	UWA	Mr. Samuel Mwandha; Executive Director
11.	NFA	Mr. Stuart Maniraguha; Acting Executive Director
12.	Environmental Alert (representing umbrella of environment sector CSOs)	Ms. Peninah Atwine, Executive Director
13.	Private Sector Associations	Mr. Herbert Byaruhanga; President, Uganda Tourism Association (Tourism)
14.		Dr. Solomon Oketcho; Chairperson, Uganda Timber Growers Association ( <i>Wood Value Chains</i> )

A Project Coordination Unit (see below) to be hosted by the MWE will help coordinate project activities with other interventions.

At the district level, the MWE is responsible for coordinating activities through the district forest officer. The project will be integrated in existing institutional structures and mandates. The districts will be responsible for the coordination of interventions within their jurisdiction.

At the component level, responsibilities for implementation are as follows:

- a. Component 1 activities will be implemented by UWA and the NFA as agencies directly responsible for the implementation of activities in and around wildlife PA and CFRs.
- b. Component 2 activities will be implemented by UWA and the NFA (for tourism-related investments in PAs) with oversight by the MTWA. An independent implementation unit (Subsidy Scheme Operator/TSP) will be hired to manage activities related to productive forestry and timber value chains under Subcomponent 2.1. It will report directly to the MWE/FSSD. Support to Nyabyeya Forestry College under Subcomponent 2.2. will be channeled through MWE.
- c. Component 3 activities will be implemented by the MWE/FSSD through TSPs, working closely with the DLGs and coordinating with OPM. The project teams will coordinate with UNHCR camp commandants in refugee-hosting areas.
- d. Component 4: Project implementation and coordination activities will be led by the MWE with some component activities directly implemented by UWA and NFA. The FSSD/PCU will implement day to day implementation and coordination activities on behalf of MWE. MWE will provide technical and capacity-building support to the NFA and UWA on project management aspects, including to staff assigned by the NFA and UWA who will have specific responsibilities for environmental and social risk management, procurement, Financial Management (FM), and Monitoring and Evaluation (M&E).

**Technical Services Providers:** Technical Service Providers (TSPs) will be hired to implement the following selected activities under component 2 and 3 (Table 4-2).

Table 4.2: Checklist of activities to be implemented through TSPs

Component/subcomponent	Activity	Reference for Terms of Reference/Task Description
<b>Component 1: Improved management of protected areas</b>		
<i>Subcomponent 1.2. Increasing the involvement of local communities in the management of forest and wildlife areas by increasing their access and benefits from these areas</i>	Establishment of at least 28 CFM groups (within Central Forest Reserves) and support of livelihood activities within existing groups	Appendix 3
	Establishment of up to 75 new CRM groups (within targeted NPs and Wildlife Reserves) and support of livelihood activities within existing groups	Appendix 4
<b>Component 2: Increased revenues and jobs from forests and wildlife protected areas</b>		
<i>Subcomponent 2.2. Investments in productive forestry</i>	Operating a Performance-based subsidy scheme for private plantation development	Appendix 9
<b>Component 3: Improved landscape management in refugee-hosting areas</b>		
<i>Subcomponent 3.1. Increased tree cover on community and refugee-hosting areas</i>	Development of intensive, mixed-use agroforestry systems on household plots, with a strong orientation toward multipurpose woody species for fruit, fodder, fencing, fuel, shade, and nitrogen-fixing, in intensive, multi-layered systems suitable for small areas	Appendix 11
	Support for development of woodlots on private land to enhance the supply of timber, poles, fuel, and other plantation products.	Appendix 12
	Enhanced management and protection of natural forests outside PAs.(Community Forestry)	Appendix 13
<i>Subcomponent 3.2. Supporting farm forestry for refugee fuel supply</i>	Organize and manage the firewood supply	Appendix 14
	Monitor to verify quantities and quality, and ensure fair and equitable allocation at settlement level	Appendix 15

**Note:** All implementing institutions and TSPs will coordinate with OPM and UNHCR for activities in refugee-hosting areas

The MWE has established and will host a Project Coordination Unit to strengthen the MWE's capacity to implement this project. The Project Coordination Unit will consist of appointed MWE staff, supported by the dedicated consultants covering the areas of (a) procurement, (b) FM, (c) environmental and social risks (including gender), and (d) M&E/project management (Table 4.3). In addition, the project will support two Project Officers for UWA and NFA respectively. Job descriptions and Terms of Reference for PCU personnel and UWA and NFA project Officers are presented in (Appendix 17).

Table 4.3: PCU Staff and Consultants

Responsibility	Designation	Level of Commitment (time allocation)	Funding
<b>Assigned GoU staff</b>			
<b>National Project Coordinator</b>	Mwebesa Margaret Athieno (Commissioner Climate Change)	60%	GoU
<b>Financial Management</b>	Mr. Anthony Ogwang (Accountant)	40%	GoU
<b>Procurement</b>	Ms. Grace Namalota (Senior Procurement Officer / Procurement and Disposal Unit/MWE)	40%	GoU
	Valence Arineitwe (Assistant Commissioner/FSSD)	40%	GoU

<b>Environmental and Social Risks management</b>	Mununuzi Nathan (Senior Environment Officer)	40%	GoU
<b>Social Risks Management</b>	Ms. Belinda Nyaketcho Veronica	40%	GoU
<b>Climate Change</b>	Ms. Florence Nayiga (Climate Change Officer)	40%	GoU
<b>Monitoring and Evaluation</b>	Mr. Bob Kazungu (Assistant Commissioner/FSSD)	40%	GoU
	Mr. Angwela Felix Othieno	40%	GoU
	<b>GoU hired Contractors</b>		
<b>Procurement Officer</b>	Ms. Brenda Nasira	100%	GoU
<b>Project Administrator</b>	Mr. Edrine Mukwaya	100%	GoU
<b>Accountant</b>	Ms. Ofwono Peace	100%	GoU
<b>Communications Officer</b>	Ms. Norah Osende	100%	GoU
<b>Consultants (paid for by Project budget)</b>			
<b>Technical Project Coordinator</b>		Full time	WB/IFPA-CD
<b>Project Accountant</b>		Full time	WB/IFPA-CD
<b>M&amp; E Specialist</b>		Full time	WB/IFPA-CD
<b>Environmental Risks Management Specialist</b>		Full time	WB/IFPA-CD
<b>Social Risks Management Specialist</b>		Full time	WB/IFPA-CD
<b>Procurement Specialist</b>		Full time	WB/IFPA-CD

Each implementing agency has appointed a dedicated project focal point who will be responsible for overall leadership on project activities within the institution's mandate (Table 4-4). Terms of Reference for designated Focal Points for UWA, NFA and MWE designated Staff are presented in Appendix 18.

Table 4.4: List of Designated Focal Points

<b>Ministry of Water and Environment</b>			
<b>Designation</b>	<b>Category</b>	<b>Name of Officer</b>	<b>Level of Commitment (time allocation)</b>
<b>National Project Coordinator</b>	GoU	Ms. Mwebesa Margaret Athieno	60%
<b>Other agencies</b>			
<b>Institutional Focal Point</b>	UWA	Mr. Richard Kapere	40%
<b>Institutional Focal Point</b>	NFA	Mr. Leo Twinomuhangyi	40%
<b>Institutional Focal Point</b>	MTWA	Mr. George Owoyesigire	20%
<b>MWE – National Project Coordination Unit</b>			
<b>Refugee (Fuelwood supply)</b>	GoU (FSSD)	Mr. Issa Katwesige	40%
<b>Private Tree Farming Subsidy Scheme</b>	GoU (FSSD)	Mr. Issa Katwesige	40%

The PCU will establish regular communication and reporting channels with the focal points in implementing agencies. Regular meetings of Institutional Focal Points will be organized by the PCU to support monitoring of implementation of project activities.

**Consultants:** There are project activities that will be implemented through Consultants hired by Implementing Agencies. Information on approved consultancies is provided in the Project Procurement Plan (Appendix 19) while hiring procedures are presented in chapter 6.

## 4.2 Supervision and Coordination Mechanisms

### 4.2.1 Steering Committee and its responsibility

**Establishment:** A Project Steering Committee (PSC) has been established by the MWE, reporting to the MWE, the Steering Committee will provide strategic direction and monitor overall project performance. The Steering Committee will be co-chaired by the Ministry of Water and Environment and Ministry of Tourism, Wildlife and Antiquities. The composition of Steering Committee members is presented in Table 4-1.

**Chair:** The PS MWE and PS MTWA shall co-chair the project Steering Committee meetings.

**Mandate:** The function of the Project Steering Committee (PSC) is to provide oversight support for the implementation of the project. This includes: (i) promote inter-agency coordination and collaboration; (ii) reviewing and approving work plans and progress reports; (iii) reviewing recommendations of the Performance based Subsidy Scheme Grants Committee; (iv) Approving Grants for Performance based Subsidy Scheme; (v) monitoring project implementation progress, risks, quality, and timeliness; (vi) helping to resolve any issues that may arise.

**Secretariat:** The Head/PCU will serve as Secretariat to the PSC.

**Role and responsibility:** The role of the PSC is to:

- a. Review and comment on annual work plans.
- b. Provide guidance to implementing agencies supporting coherent and consistent implementation of project components.
- c. Promote linkages and communication to ministries, lead agencies, implementing institutions, districts and non-government actors (NGOs, Private Sector, Cultural institutions, Indigenous people, etc.) regarding implementation of IFPA-CD.
- d. Identify major issues that could impede implementation and facilitate prompt resolution
- e. Review and scrutinize progress of the project, assess its achievements against the planned outputs as reported in consolidated IFPA-CD Annual reports and recommend for WB approval.
- f. Review midterm and end of project evaluation reports and recommend for WB approval.

**Role and Responsibility of Project Steering Committee members:** The role and responsibilities of the individual members of the PSC includes:

- a. Having a comprehensive understanding of the project design, including objectives, outcomes, outputs, and financial arrangements.
- b. Being active in raising major risks that could impede the project.
- c. Working collaboratively with other members to resolve disputes.

- d. Reporting on project progress to those responsible at a higher level, in-line with their Ministry procedures.
- e. To be an advocate for the project's outcomes.

**PSC Modus operandii:**

- a. **Agenda Items** The agenda and meeting papers must be forwarded to the PSC 10 working days prior to a scheduled meeting. Revisions to the agenda must be received 5 working days before the meeting, and the final agenda approved and sent to the PSC 2 working days before the meeting. The Chair has the right to refuse to list an item on the formal agenda, but members may raise an item under 'Other Business', if necessary and as time permits. Permanent agenda items for all meetings are:
  - i. Minutes of last meeting
  - ii. Other business
- b. **Minutes** Minutes are to be recorded by the PCU for all meetings, both scheduled and out-of-session. Draft minutes are to be sent out for comment to the PSC within 5 working days of a meeting. Comments from the PSC are to be received within 5 working days of receiving them. Minutes are to be finalized and approved by the Chair within 10 working days of a meeting. The minutes will be shared with the World Bank immediately upon approval. The PCU is to maintain a record of all minutes.
- c. **Frequency of Meetings:** The PSC shall meet bi-annually (twice a year) until project completion. A meeting schedule shall be agreed to at the first PSC meeting. All members must be present for a meeting to be held. Out-of-session meetings can be held at the request of the Chair.

**4.2.2 Performance –based tree growing Subsidy Grant Management Committee (GMC) and its responsibility**

A Subsidy Grant Management Committee shall be established to undertake review of each tranche of subsidy grants proposed by the TSP to the PSC and advise the PSC accordingly. The Subsidy Grant Scheme will be implemented through a Technical Services Provider (TSP). The Permanent Secretary MWE, on recommendation of IFPA-CD Steering Committee, shall appoint the GMC whose representation shall include the following institutions (Table 4-5).

*Table 4.5: Composition of Subsidy Grants Management Committee*

Institution	Representation
MWE	Director Environmental Affairs (Chair)
MWE	NPC- IFPA-CD Project
MWE - FSSD	Commissioner for Forestry
MWE – FSSD	Focal Point – Private Tree Farming Subsidy Grant Scheme*
MWE – PCU	Monitoring and Evaluation Specialist
MoFPED	TBD

\*= Secretary to the Committee

Reporting to the Permanent Secretary, MWE, the main responsibility of the GMC is to review of each tranche of subsidy grants proposed by the TSP to the PSC and advise the PSC accordingly. Specifically, the GMC shall:

- a. Review/Assess the recommended Subsidy Grant Scheme grant proposals and submit to Project Steering Committee for approval.
- b. Participate in/support project mid-term review and end of project evaluation.

The GMC executes these responsibilities through meeting deliberations on designated agenda, reviewing technical reports and related documentation and carrying out field inspection visits, where applicable. The GMC will make recommendations regarding approval of the grant support; final decision will be made by the Project Steering Committee.

**Note:** For avoidance of Conflict of interest while serving as GMC member, each individual shall commit himself/herself to ethical standards by signing, upon appointment, Conflict of Interest Guidelines/Statement that will be issued by Permanent Secretary, MWE.

### 4.3 Financing plan

The Project is estimated is SDR 108 million (credit amounting SDR 51 Million (or US\$ 78.2 million equivalent) and grant amounting SDR 57 million (US\$ 70 million equivalent) from World Bank/IDA and US\$ 30 million (from GoU). Table 4-6 below provides a summary of the cost estimates and proposed financing.

Table 4.6: Financing Plan

	IDA Credit	IDA Grant	RSW grant	GoU	Total
<b>Component 1. Improved management of forest protected areas</b>	<b>34,700,000</b>	<b>12,000,000</b>	<b>6,000,000</b>	<b>7,793,000</b>	<b>60,493,000</b>
1.1. Improvement of infrastructure and equipment for the management of forest protected areas	24,000,000			3,740,000	27,740,000
1.2. Increasing the involvement of local communities in the management of forest and wildlife areas by increasing their access and benefits from these areas	6,700,000			300,000	7,000,000
1.3. Restoration of degraded natural forests and habitats in Wildlife and Forest Protected Areas	4,000,000			2,700,000	6,700,000
1.4. Increased forest protection in CFRs and WRs in close proximity to refugee settlements		12,000,000	6,000,000	1,053,000	19,053,000
<b>Component 2. Increased Revenues and Jobs from Forests and Wildlife Protected Areas</b>	<b>38,500,000</b>	<b>0</b>	<b>0</b>	<b>17,550,000</b>	<b>56,050,000</b>
2.1. Investments in tourism	16,000,000			2,000,000	18,000,000
2.2. Investments in productive forestry	22,500,000			15,550,000	38,050,000
<b>Component 3. Improved landscape management in refugee-hosting areas</b>	<b>0</b>	<b>0</b>	<b>52,000,000</b>	<b>2,000,000</b>	<b>54,000,000</b>
3.1. Increased tree cover on community and private land			38,000,000	2,000,000	40,000,000

3.2. Supporting farm forestry for refugee fuel supply			14,000,000	0	14,000,000
<b>Component 4. Project management support</b>	<b>5,000,000</b>	<b>0</b>	<b>0</b>	<b>2,657,000</b>	<b>7,657,000</b>
<b>Totals</b>	<b>78,200,000</b>	<b>12,000,000</b>	<b>58,000,000</b>	<b>30,000,000</b>	<b>178,200,000</b>

**SECTION FIVE**  
**FIDUCIARY**  
**ARRANGEMENTS**

## 5 CHAPTER 5: FINANCIAL MANAGEMENT AND DISBURSEMENT

### 5.1 Introduction

The project will utilise existing financial management systems, human resources and guidelines to undertake the financial management function as provided by the Public Finance Management Act (PFMA 2015), that covers areas under budget preparation, approval and management, accounting and audit, cash and asset management and reporting. In addition, World Bank Financial Management guidelines with specific reference to budgeting, disbursement, accounting & internal controls, reporting and audit shall also be applied by the project.

The MWE, UWA, and NFA are the designated Account holders for the IFPA-CD. The Permanent Secretary of the MWE will be the Accounting Officer for over-all Project funds as well as funds supporting MWE – led activities (sub component 2.2 (Support to NFC), Components 3 and 4 (a)), while the Executive Directors of UWA and NFA will be the Accounting Officer for project funds supporting UWA and NFA led activities under Component 1 and 2, and subcomponent 4 (b) and 4 (c), respectively. On a day-to-day basis, the relevant User departments will be responsible for operational activities including coordination, Finance Management, monitoring, and supervision of their respective component activities.

The detailed Project component implementation arrangements are outlined in sections below. MWE, NFA and UWA have designated an Institutional Focal Point (IFP) as an officer in charge of overseeing the implementation of activities mapped to the respective user departments. The existing decentralized management structures under UWA (National Parks, Wildlife Reserves) and NFA (Central Forest Reserves) and District Local governments will support the IFPs in their efforts to deliver outputs under each Project component. The Head of PCU (National Project Coordinator) will be responsible for the PCU operations activities including project coordination, financial management and reporting, project, monitoring, and supervision of the project activities and TSPs.

Actions outlined in the Financial Management Action Plan will be undertaken by MWE, UWA, and NFA to strengthen the respective FM system. To ensure that the project is effectively implemented, MWE, UWA and NFA have designated personnel from their Finance departments to handle financial management and reporting matters of the respective project components (Table 5-1). MWE, NFA and UWA will ensure that appropriate staffing arrangements are maintained throughout the life of the project and The World Bank shall be notified of key staffing changes.

Table 5.1: Designated Project Accountant

Institution	Designated Project accountants	
MWE	Mr. Anthony Ogwang	Accountant
UWA	Mr. Robert Maani	Senior Warden (Finance)
NFA	Ms. Jean Bako	Management Accountant

### 5.2 Budgeting Arrangements

#### 5.2.1 Annual budgets

**Donor budget:** The budgeting arrangements of the project shall be in accordance with GoU budgeting procedures and fiscal year (July-June) and using formats presented in Appendix 20. Annual work plan and budget will be prepared by each Implementing Agency and User Department by March 31, to be approved by IDA by April 30 of each year. Activity plans and budget for district support will be generated by districts and consolidated into FSSD annual work plan and budget. Budgets of all the Implementing Agencies and User Departments will be approved by the respective accounting officers. The MWE/FSSD/PCU will consolidate all institutional budgets into one annual budget for the project. The

FSSD/PCU will present consolidated budgets to the Project Steering Committee for endorsement before end of March. The annual work plans and budgets will be submitted by MWE to WB for approval by April 30.

**GoU Counterpart funding:** budgeting will commence at the beginning of the budgeting cycle in September / October every year upon receipt of the Budget Call Circular (BCC) issued by MoFPED; which indicates the detailed Medium Term Expenditure Framework (MTEF) allocations. This will be a block allocation of funds to the two GoU budget programmes covering Water and Environment and Tourism and Wildlife, respectively. The MWE and MTWA will be required to include in their GoU budget any other costs that are not provided for under donor funding but may be required for effective implementation of the projects especially cost not eligible under donor funding.

### **5.2.2 Budget execution and monitoring**

Implementing Agencies, User Departments, Local Governments/Districts and TSPs will be required to ensure all expenditures are within the approved budget and in accordance to approved work plans.

The Project Coordination Unit will ensure quarterly budget variance analysis reports (based financial statement provided by Account holders) will be generated comparing budgeted figures against actuals and providing explanations for variances noted.

For each Designated Account, payments will be approved and signed by the Accounting Officer (Permanent Secretary, MWE) as the principal signatory and the person designated by the Accountant General who, in this case, is the Assistant Commissioner-Accounts. Other designated signatories will also be signatories to the bank accounts as and when proposed and approved by the Accountant General.

The signatories for the project accounts will be in accordance with the Treasury Accounting Instructions/ Public Finance and Accountability Act, 2003. Payments will be approved and signed by the Accounting Officer (Permanent Secretary or Executive Director) as the principal signatory and the person authorized by the Accountant General.

## **5.3 Funds Flow Arrangements**

**Designated Accounts:** Project accounts will be maintained by the MWE, UWA and NFA for purposes of implementing the project as follows:

- a. Designated (Special) Accounts. The MWE, UWA and NFA will each establish a U.S. dollar denominated Designated (Special) Account at Bank of Uganda. The Designated (Special) Account will receive dollar deposits/transfers from the IDA Credit /grant. These funds will be used to meet permissible U.S. dollar payments as well as to meet transfer of funds to the local currency to Project accounts for meeting the Uganda shilling payments.
- b. The MWE, UWA and NFA will each establish a Uganda Shillings Project Account in the Bank of Uganda through which payments in local currency will be made. The project account will form the primary source of financing for project activities in local currency.

The MWE, UWA and NFA will each be fully responsible for the management of the accounts, including signatories.

**Disbursements:** IDA will make an initial advance disbursement from the proceeds of the credit and/or grant by depositing into the Designated (Special) Account of each implementing Agency. Actual

expenditure will be reimbursed through submission of Withdrawal Applications together with Interim Financial Reports (IFRs) (Figure 5-1).

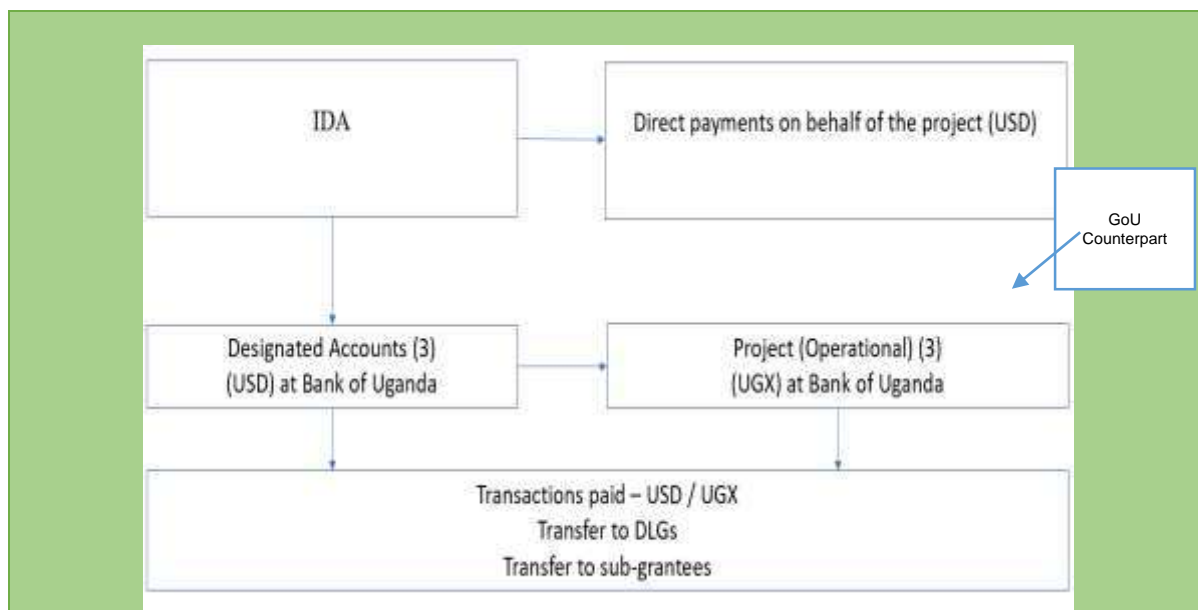


Figure 5-1: Financial Flows

## 5.4 Disbursement Arrangements

The Project will apply a report-based disbursement system. Requests for disbursement by the three entities to the World Bank for disbursements will be based on approved work plans and cash flow projections for eligible expenditures for six months as indicated in the IFPA-CD Financing agreement. This will include lower-level implementation cash requirements as well.

The World Bank will make an initial advance from the proceeds of the credit into the DAs in Bank of Uganda, denominated in U.S. dollars. This will be based on the initial cash forecast of six months. Thereafter, disbursement will be based on six months' forecasts less available balance in the DA and the accountability of previous advances. From the DA, funds will be transferred to operational accounts denominated in Uganda shillings for payment of obligations denominated in UGX. U.S. dollar payments can be made directly from the DA. The World Bank will make advance disbursements from the proceeds of the credit into the Project Designated (Special) Accounts to expedite Project expenditures as evidenced by quarterly Interim Financial Reports (IFRs).

The MWE, UWA and NFA will submit IFRs consistent with the agreed form and content within 45 days of the end of each reporting period - calendar quarter, and submit timely and satisfactory audited annual financial statements within six months after the end of the financial year.

**Note:** Disbursements to Local Governments will be handled by MWE in from of Advance against approved activities and budget.

If ineligible expenditures are found to have been made from the Project Designated Accounts, GoU will be obligated to refund the same. If the Project Designated Account remains inactive for more than six months, the GoU may be requested to refund to IDA amounts advanced to the designated account.

IDA will have the right, as reflected in the Financing Agreement, to suspend disbursement of the funds if reporting requirements are not complied with.

## 5.5 Financial Management

Project's transactions will be managed within the existing institutional setup of MWE, UWA and NFA as stipulated in the PFMA 2015. All activities and transactions will be approved and authorized by the designated Accounting Officer. All transactions will be processed in accordance with GoU established controls and procedures.

## 5.6 Financial Reporting Arrangements

The MWE, UWA and NFA will prepare interim financial reports (IFRs) on a quarterly basis using approved format (Appendix 20), included in the Disbursements and Financial Information Letter, and submit them to the World Bank no later than 45 days after the end of each calendar quarter as stipulated in the World Bank financial management guidelines. The IFRs will include Sources and Uses of Funds Statement, Uses of Funds by Project Activity/Component, and DA Activity Statement.

To support the continued use of report-based disbursement, the entities will be required to submit

- a. IFR,
- b. DA Activity Statement,
- c. DA and project bank account statements,
- d. Bank reconciliations for both the DA and project bank account,
- e. Summary Statement of DA Expenditures for contracts subject to prior review; and
- f. Summary Statement of DA Expenditures for contracts not subject to prior review.

## 5.7 Audit Arrangements

**External audits:** The Auditor General is primarily responsible for auditing all government projects. Usually, if the audit is subcontracted to a firm of private auditors; the final report is usually issued by the Auditor General and based on the tests carried out by the subcontracted firm. Private firms to be subcontracted should be among those that are acceptable to the World Bank. In case the audit is subcontracted to a firm of private auditors, IDA funding may be used to pay for the cost of the audit. The audits will be conducted in accordance with International Standards on Auditing (Appendix 21).

Annual financial statements will be prepared in accordance with International Public Sector Accounting Standards (which, among others, include the application of the cash basis of recognition of transactions). Audited financial statements will be submitted to the World Bank within six months of the end of the financial year. These financial statements will comprise

- a. A Statement of Sources and Uses of Funds/Cash Receipts and Payments which recognizes all cash receipts, cash payments, and cash balances controlled by the entity and separately identifies payments by third parties on behalf of the entity;
- b. A Statement of Affairs/Balance Sheet as at the end of the financial year showing all the assets and liabilities of the project;
- c. Budget Execution Report;
- d. The Accounting Policies Adopted and Explanatory Notes. The explanatory notes should be presented in a systematic manner with items on the Statement of Cash Receipts and Payments being cross-referenced to any related information in the notes. Examples of this information include a Summary of Fixed Assets by Category of Assets and a Summary of Statement of Expenditure Withdrawal Schedule, listing individual withdrawal applications; and
- e. A Management Assertion that World Bank funds have been expended in accordance with the intended purposes as specified in the relevant World Bank Legal Agreement.

**Internal Audit function:** The MWE, UWA and NFA have Internal Audits comprising of internal auditors seconded from the MoFPED's Department of Internal Audit. There is also an Audit Committee in place at the MoFPED to which the Internal Audit Unit reports. The Audit Committee meets quarterly to review internal audit findings and the actions that have been taken to address them. The Permanent Secretary (MWE) and Executive Director of UWA and NFA respectively, ensure that action is taken to implement internal audit recommendations and where action is not taken, the findings are also reported in the external audit report. The Audit Committee closely follows up on the actions taken by the MWE, UWA and NFA as part of its oversight role.

## **5.8 Accounting Arrangements**

The MWE, UWA and NFA will maintain books of accounts similar to those for other IDA funded projects. The books of accounts to be maintained specifically for the project will be set up and include: a cashbook, ledgers, journal vouchers, fixed asset register, and a contracts register.

The books of accounts will be maintained on a computerized system. A list of account codes (Chart of Accounts) for the project shall be drawn up. This will match with the classification of expenditures and sources and application of funds indicated in the Financing Agreement. The Chart of Accounts will be developed in a way that allows project costs to be directly related to specific work activities and outputs of the project.

## **5.9 Financial Management procedures**

All Project financing will follow the existing financial management arrangements as provided for in the Public Finance Management Act 2015 and World Bank Guidelines together with the provisions of this Manual.

The MWE, UWA and NFA will coordinate all activities of the project under their lead implementation responsibility and payment in US\$ which will be handed by World Bank on request by Implementing Agency.

Each Implementing Agency will be required to:

- a. Prepare budgets for their activities.
- b. Prepare cash flow forecasts for disbursements.
- c. Submit Withdrawal applications to the Bank.
- d. Write books of accounts within their entities.
- e. Prepare financial reports as per agreed formats.
- f. Handle contract management within their units.
- g. Arrange for external audits through the Auditor General.

## **5.10 Accounts staffing**

The project will engage a full-time project accountant at MWE, to support overall financial management for the project across three implementing agencies. Project accountant will report to the Assistant Commissioner – Accounts. Project accountants in UWA and NFA will report to Director of Finance in UWA and NFA, respectively. Each institution may designate/assign Accounts Assistants to help with routine book keeping processes.

The MWE Project Accountant will be in-charge of requisitions from IDA to designated Special Account and MWE Project Account. The UWA and NFA Project Accountant will be in charge of requisitions to

UWA and NFA Project accounts, respectively. The respective Project Accountants will be in-charge of expenditures.

### **5.11 Information systems**

The Project shall have adequate information systems to account for the project funds. Accounting software will be used and Project Accountants will be trained to use the software to produce the projects accounts.

### **5.12 Internal control Arrangements**

The internal controls (including processes for recording and safeguarding fixed assets) that will be used for the project shall be in accordance with the government's finance and accountability requirements. These requirements describe:

- a. The accounting system which includes the major transaction cycles of the project. Both GoU and World Bank intend to have all new projects on IFMS accounting system.
- b. Funds flow processes.
- c. The accounting records, supporting documents, computer files and specific accounts in the financial statements involved in the processing of transactions.
- d. The list of accounting codes used to group transactions (Chart of Accounts).
- e. The accounting processes from the initiation of a transaction to its inclusion in the financial statements.
- f. Authorization procedures for transactions.
- g. The financial reporting process used to prepare the financial statements and financial monitoring reports, including significant accounting estimates and disclosures.
- h. Financial and accounting policies for the project.
- i. Budgeting procedures.
- j. Financial forecasting procedures.
- k. Procurement and contract administration monitoring procedures.
- l. Procedures undertaken for the replenishment of the special account.
- m. Auditing arrangements.

### **5.13 Allowances and ineligible expenditures**

The following rules and practices apply to all projects financed by IDA. These rules and practices apply to all project funds required to finance the total project cost, including IDA credit and counterpart funds.

#### **5.13.1 Allowances**

The project will incur costs in form of allowances in accordance with the categories and eligibly provided in Table 5-2. Information on GoU duty facilitation allowances is presented in Appendix 22.

Table 5.2: Categories of allowances and ineligible expense

Type of Allowance	Basis	Comment
Salary top-up to Civil/Public Servants	Not allowed	Best scenario is for the government to devise an incentive program as part of a broader civil service reform program
Sitting allowance to Civil/Public Servants (for attending workshops, Project Steering Committee meetings, other committee meetings, etc.)	Not allowed	Civil/Public Servants are paid to work for the government. Given that donor-financed projects are owned by the Government; the civil servants are still working for the Government when they provide support in implementing projects.
Honorarium to Civil/Public Servants (payment for services performed in committees, meetings, workshops, etc.)	Not allowed	Ditto
Internal consulting of public and civil servants currently on the government payrolls	Not allowed	This could amount to double payments to government employees. The government should not be paying consulting fees to staff on its payroll. A government employee may take a leave of absence (without pay) to work in another sector and be paid consulting fees by the government/project. The General conditions for hiring Government officials and civil servants under consulting contracts in Bank financed projects** are set forth in para. 1.11(d) of the Consultant Guidelines. The Government officials and civil servants cannot be hired under any circumstances by the agency for which they previously worked, or if their employment would create a conflict of interest. When hired as individual consultants, they would have to be on leave without pay for the expected duration of their consultant contract before signing it. When members of a team of a consulting firm, they would have to be on leave without pay at the time the consulting firm submits its proposal.
Travel and Transport	Only as per governing rates	Receipts are required for local travel expenses; receipts required for actual cost reimbursement accommodation but not for lump sum hotel allowance; and receipts required for incidental expenses. Gasoline purchased for personal vehicles are not reimbursable.
Per Diem Only	as per governing rates/or less	Ceilings apply
Sitting allowances, honorarium, etc. to consultants financed under a project (for attending workshops, Project Steering Committee meetings, other committee meetings, etc.)	Not allowed	Consultants are contracted and paid reasonable fees to render services to the project

### 5.13.2 Ineligible expenditures

Ineligible expenditures include the below among others:

- a. Expenditure contrary to the Financing Agreement (FA) and the project implementation manual
- b. Expenditure contrary to GoU rules and regulations
- c. Expenditure on different categories that may not be remedied
- d. Funds not used for purposes intended
- e. Unsupported expenditure
- f. Expenditure where there is no value for money.
- g. Expenditure where there are fraud and corruption issues
- h. Expenditure not approved/authorized by the right persons.



# **SECTION SIX**

## **PROJECT PROCUREMENT**

## 6 CHAPTER 6: PROCUREMENT

### 6.1 Public Procurement System for Uganda

The Public Procurement in Uganda is governed by the Public Procurement and Disposal of Public Assets Act 2003 and attendant Regulations of 2014 (Figure 6-1). They provide for the different roles and responsibilities of different actors in the procurement cycle. However, where this Act conflicts with an obligation of the Republic of Uganda arising out of a Funding agreement with one or more states, or with an international organization, the provisions of the Funding agreement shall prevail over this Act.

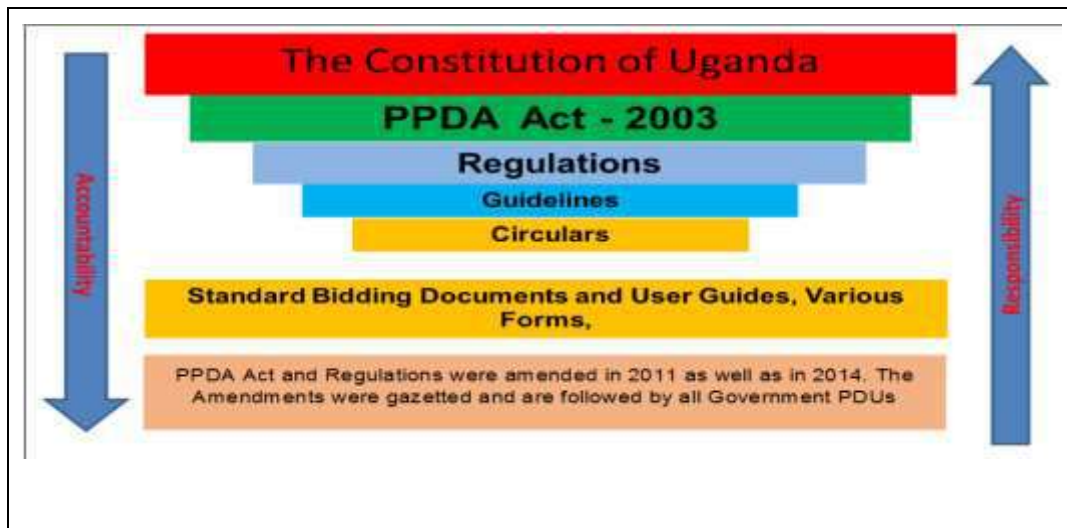


Figure 6-1: Public Procurement system in Uganda

Information in this section will guide the procurement process for this project. The methods and procedures described in this manual conform to:

- a. The Public Procurement and Disposal of Public Assets Act 2003 to the extent the Act is consistent with the World Bank Procurement Regulations.
- b. The Public Procurement and Disposal Regulations 2014, to the extent the regulations are consistent with the World Bank Procurement Regulations.
- c. The World Bank Procurement Regulations for Borrowers under Investment Project Financing (IPF) Borrowers dated July 1, 2016, revised November 2017, August 2018 and November 2020 ("Procurement Regulations")
- d. The IFPA-CD Financing Agreement; and
- e. The Project Procurement Strategy for Development (PPSD) 2020.

## 6.2 Procurement and Disposal Units of the Implementing Agencies

The Procurement for the IFPA-CD will be conducted by Implementing Agencies (MWE, UWA and NFA). Each implementing Agency will handle procurements planned under their budgets and have a designated Focal Point for Procurements (Table 6-1). Changes to the focal persons necessitates timely communication to the Bank for update of the system.

Table 6.1: Procurement Focal Points

Institution	Name	Title
MWE	Ms. Grace Namalota	Senior Procurement Officer
UWA	Mr. Mack Opowo	Procurement Manager
NFA	Ms. Agnes Kamagaju	Procurement Manager

Under the IFPA-CD, MWE will hire a Procurement Specialist proficient in IDA procurement Management to enhance the capacity of the MWE PDU as well as support the PDUs in UWA and NFA where necessary.

## 6.3 Use of STEP (Systematic Tracking of Exchanges in Procurement)

All Procurement Operations of IFPA-CD will be conducted through the World Bank's STEP system. STEP is an electronic end-to-end procurement processing and tracking platform that includes planning, implementation, activity tracking, contract management, reporting and analysis modules. Accordingly, each Implementing Agency has designated a STEP Focal Point and is reflected in the system (Table 6-2). Any changes require timely notification to the Bank for system updates.

Table 6.2: STEP Focal Points

Name	Designation	Role in the Project
<b>Margaret Athieno Mwebesa</b>	Assistant Commissioner for Forestry	National Project Coordinator
<b>Richard Kapere</b>	Planning Manager	Project Focal Officer
<b>Leo Twinomuhangyi</b>	Coordinator, Planning	Project Focal Person

The STEP Focal Point is the contact person for all STEP correspondences and will work with the IFPA-CD Procurement Specialist based in the PCU to:

- Enter the Procurement Plan information in STEP and submit for Bank approval;
- Capture planned and actual dates of procurement activities under implementation;
- Upload all documentation related to procurement stage activities from initiation to completion of contracts according to the roadmap indicated in STEP for each individual PP item; and
- File documents for both prior and post review activities within 5 days of completing a particular procurement stage in order to capture/generate reports to monitor progress of the project.

## **6.4 Project Procurement Strategy for Development**

In accordance with Section IV of the Procurement Regulations, MWE developed a Project Procurement Strategy for Development (PPSD) for the project. The PPSD addressed how procurement activities would support the development objectives of the project and deliver the best Value for Money (VfM) under a risk-based approach. It provided adequate justification for the selection methods in the Procurement Plan. The level of detail and analysis in the PPSD was proportional to the risk, value and complexity of the project procurement. The PPSD requires amendment if there are significant changes to the procurement approaches for major procurements.

## **6.5 Contract management**

Each Implementing Agency shall designate a Contract Manager for every contract from among its senior staff to manage the contract. The Contract Managers will complete the Contract Management Plan for respective procurements.

MWE shall organise and conduct tailor made refresher training course(s) for the contract management staff. Training shall also be conducted on Project Management, Procurement, M&E and any other training which may be found necessary during the implementation. In order to effectively manage the implementation of the contracts, both parties to the contract must understand the terms and conditions stipulated in the contract as well as their responsibilities and obligations under the contract. High risk and high value procurements will be identified for increased contract management support and indicated in the procurement plan. The World Bank task team will provide additional due diligence and independent review of the contract performance of such identified procurements.

## **6.6 Procurement Approach for the Project**

### **6.6.1 General approach**

Based on the project requirements, technical solutions and market base, the recommended Procurement Approach shall be as follows:

- a. Each of the Implementing Agencies/User Department will prepare its specifications / Terms of Reference and submit to the respective PDU.
- b. Procurements will be done in lots where necessary.
- c. Terms of Reference for the consultancy services shall be prepared before the effective date of the project so that when the project starts, procurements start immediately.
- d. The Bank's procurement system, that is, Systematic Tracking of Exchanges in Procurement (STEP) will be used for all procurement processing from planning to contract management.

### **6.6.2 Procurement Planning**

#### **6.6.2.1 Description of goods and Consulting services to be procured**

The respective Institutional Focal Point will work with the User Departments to develop a Statement of Requirements (SoR) (Technical Specifications for Goods, Terms of Reference for Consultancy services), for each procurement. This SoR will clearly describe the goods or services and timing when the goods, services are required.

Terms of Reference for **all** consultancy assignments shall be subject to the Bank's prior review and clearance.

### **6.6.2.2 Estimation of Cost of the Items to be procured**

For each requirement, the implementing agency Focal Point in liaison with User Departments will conduct a market survey and thereafter estimate the cost which should reflect the most recent realistic cost on the market, but in line with the resources in the project budget.

The Procurement Unit in the implementing agency, in liaison with the Focal Point and in consultation with User Departments will be responsible for initiating the procurement process in good time, manage lead times effectively and ensure timely delivery of goods and services. The Procurement Specialist assigned to the project will be responsible for consolidating the submissions into contract packages.

### **6.6.2.3 Aggregation of Requirements**

In order to promote economy and efficiency across the project, the needs of the various project parts will be aggregated at each planning cycle. The Head of the PDU in MWE will set and advise the focal points at the implementing agencies of a deadline for submission of their procurement requirements. Following the deadline, the Procurement Specialist at the PCU will review the submissions by the various components and group (aggregate) them into packages of similar requirements.

For each resultant contract, the method, the need for pre-qualification, estimated cost, prior review requirements, and timeframe shall be documented in the Procurement Plan. Each of these is described in more detail below.

### **6.6.2.4 Identification of Eligible Procurement / Selection Method**

For each resultant procurement action, the most appropriate method of procurement and market approach will be identified and included in the PP. The specific method will be principally based on the cost estimate, but also consider quality, cost and other factors as needed.

### **6.6.2.5 The Procurement Plan**

The Procurement Plan that includes a Description of activity; the Selection Method to be used; the Estimated Cost of Services to be procured; the Required Reviews / Approvals; and the Time frame for the milestones in procurement cycle among others has been prepared (Appendix 19).

The procurement plan will be updated by the PCU and approved by the Bank at least annually as part of the annual budgeting process or as required in response to actual project implementation needs, progress, and improvements in institutional capacity to incorporate any new procurement.

Following the aggregation of requirements, Procurement Specialist will work out the respective procurement milestones allowing for sufficient lead time for each activity taking into account time required to obtain the necessary internal approvals. The PP is a living document that should be amended in accordance with the work plan changes.

### **6.6.2.6 Submission of Plan for Approval**

The PCU will submit the procurement plan to the respective Contracts Committee for approval. It will thereafter be submitted to the Bank for review and issuance of the requisite No Objection through the Systematic Tracking of Exchanges in Procurement (STEP). Once the plan is approved, the project will carry out the procurement activities in accordance with the approved plan.

### 6.6.3 Procurement Requisition

The PCU will document each component requirements in the PPDA-issue Procurement Requisition Form (Form 5). The form provides for the detailed description of the requirement (i.e. SoW, BoQs, Specifications, ToRs, etc.). The form will be approved by the Accounting Officers for Project funds responsible for the different components and then submitted to the Accounting Officer for over-all Project funds for action.

The indicative Lead times (the time from the date the PP Form 5 is fully signed to the contract signing date) are as follows (Table 6-3).

Table 6.3: Indicative Lead times for procurement requisitions

Request for Quotations		Indicative timeline
Goods RFQ		4 weeks without SG clearance, and 6 weeks with SG clearance
National Open competitive Procurement		3 months
International Competitive Procurement		5 months
Direct Contracting/Selection		1.5 months
Consultancy services		
1	Firms QCBS	9 months
2	Firms SSS	2 months
3	Individual Consultants - competitive	3 months
4	Individual Consultants – SSS	6 weeks

#### 6.6.3.1 Confirmation of Availability of Funds

The Accounting Officer for over-all Project funds will sign on the Procurement Requisition Form to confirm the availability of funds for the procurement requirement. In so doing, the AO will commit that portion of the project budget to the procurement requirement.

#### 6.6.3.2 Review of Requirements

The National Project Coordinator/Head PCU and Institutional Focal Point for UWA and NFA will review the Procurement Requisition Form initiated from their respective Implementing Agency. The review will aim to ensure that the requirement has been properly and adequately described to foster competition and that it can be accommodated within the estimated resources.

#### 6.6.3.3 Approval of Selection Method

In seeking approval of the procurement plan, National Project Coordinator will also seek approval of the procurement methods. As such, the National Project Coordinator when submitting the procurement plan to the Contracts Committee will attach to the plan a request for approval of the procurement/selection method for each of the proposed contract packages.

#### 6.6.4 Pre-Qualification of Suppliers for low value items under Request for Quotation method

PDEs are required under the PPDA Act to establish, maintain and update a register of short listed providers of works, services and suppliers for every financial year. The implementing agencies' Prequalified list may be used for contracts subject to Request for Quotation method, as per the approved procurement plan.

#### 6.6.5 Procurement of works

Procurement of works will follow procedures described in Section **A: Goods, Works, and Non-Consulting Services** of the Procurement Plan (Appendix 19).

Works whose value does not exceed USD 200,000 will be procured using Request for Quotations method, may follow the PPDA RFQ method incorporating ES requirements and the process indicated in Table 6-4 below.

Table 6.4: Description on Major Works

Attribute category	Attribute	Selected approach	Justification
1. Requirements	1.1 Specifications/Qualifications	Conformance	Contractors would be selected based on their competence and qualifications. The works contract will have complete detail design and specifications that should be met during construction.
	1.2 Additional sustainability requirements	Yes	Based on the ES assessment, as appropriate
2. Contract strategy	2.1 Contract type		<ul style="list-style-type: none"> <li>The nature of the works will be defined (client will have detail design prepared by design review consultants);</li> <li>Client has recent experience on similar contract types where bid participation appears to be adequate;</li> <li>Estimate of quantities will be available from detail engineering design review, for fair bid competitions while actual quantities will be paid based on contractual unit prices.</li> </ul>
	2.2 Pricing and costing mechanism	<ul style="list-style-type: none"> <li>Bill of Quantities (BoQ) comprised of unit price and total price.</li> <li>Two envelop system approach</li> </ul>	<p>Scope of works is defined in the design, comparing unit price offers, identification of unbalanced pricing, abnormally low tenders, management of variations...etc. will be better managed.</p> <p>In case the implanting institution does not have full information of the best design, request for proposals and use rated criteria type of evaluation approaches will be employed to allow new ideas/approaches and be able to select Most advantageous bid</p>
	2.3 Selection of cost and price mechanism	Unit price and total price	In traditional contracts, timely and quality contract Delivery responsibility/risk is of the contractor while

			design change risks are of the employer and unit price based price is appropriate;
	2.5 Price adjustments	Percentage/Indices	The contracts periods are more than 18 months; Compensation for price changes during implementation period.
	2.6 Form of contract (terms and conditions)	Conditions of the contract in the bid document	The market and Employer are well accustomed to this form of contract. This form of contract, which is part of the SBD, has been well updated over the years to reflect cumulative experience.  Risk allocation is for a party who is in a better position to manage the risks.
<b>3. Selection methods</b>	3.1 Selection method	Request for Bids (RFB)	<ul style="list-style-type: none"> <li>• The borrower is able to specify detailed requirements;</li> <li>• The bidders can respond in offering competitive bids with adequate information;</li> <li>• Client has proven experience that this method attracts more competition and yield better participation.</li> </ul>
	3.3 Market approach	Single envelope, open international competition.	<ul style="list-style-type: none"> <li>• The level of scope definitions, Experience of the client and the market situation in Uganda is appropriate for this approach.</li> </ul>
	3.4 Qualification	Post-Qualification	Post qualification promotes keener competition and eliminates the possibility of collusion among bidders.
	Contract Management Approach  And Key Performance Indicator (KPI)	Implementing partners to nominate a contract manager or management team	A contract manager or management team appointed from the implementing unit will make tracking of contract implementation easier.

### 6.6.6 Procurement of Goods

Procurement of Goods using Request for Quotations, shall follow the PPDA RFQ method; and will follow the process indicated below (Table 6-5).

Table 6.5: Process for procurement of Goods

Stage	National Project Coordinator	Procurement Specialist	Accounting Officer	Contracts Committee	The Bank	Evaluation Committee
1. Planning and Procurement Planning	√	√	√			
2. Approval of the Procurement Plan	√		√		√	
3. Procurement Requisition attaching Technical Specifications	√	√				
4. Confirmation of Availability of Funds	√		√			
5. Review of Requirements	√	√				

6. Preparation of Procurement Documents	√	√				
7. Approval of Procurement Documents				√		
8. Receipt and Opening of Quotations		√		√		
9. Approval of Evaluation Committee		√		√		
10. Evaluation of Quotations		√				√
11. Approval of Evaluation Report				√		
12. Award of Contract						
13. Publication of Notice of Best Evaluated Bidder			√			
14. Publish Notice of Contract Award	√		√			
15. Signing of Contract			√			
16. Contract Execution						
a. Contract Execution	√					
b. Contract Monitoring		√				
c. Contract Modification	√	√	√	√		
d. Contract Performance Evaluation	√	√				

Procurement of Goods, works and services through Framework Agreements shall be undertaken in accordance with Para 6.57 to 6.59 and 7.33 Annex XV: Frameworks Agreements of Procurement Regulations, and with prior agreement in Procurement plan with the Bank.

#### 6.6.6.1 Request for Quotation Process

Implementing agencies shall compare at least three quotations and are advised to invite five or more bidders to ensure the comparison of three will be possible. A procurement process under the quotation method shall not require the opening of quotations to be held in public. Quotations shall be evaluated using the technical compliance evaluation method. The evaluation criteria as stated in the Request for Quotation Document, shall assess (a) the compliance of the quotations with the statement of requirements; (b) the ability of the bidder to perform the proposed contract; and (c) the ability of the bid to meet the objectives of the procurement. The Best Evaluated Bidder shall be the bidder with the lowest bid price, which is technically responsive.

The Head of the Procurement Unit at the implementing agency shall make a submission to the Contracts Committee in respect of procurement under quotations method using Part II of PP Form 5, as prescribed by the PPDA Procurement Regulations.

#### 6.6.6.2 The Bank's right to audit

When PPDA document is used, there shall be provision in the RFQ document as follows: "The Bank requires compliance with its policy in regard to corrupt and fraudulent practices. In further pursuance of this policy, Bidders shall permit and shall cause its agents (where declared or not), sub-contractors, sub-consultants, service providers or suppliers to permit the Bank to inspect all accounts, records and other documents relating to the submission of the application, bid submission (in case prequalified), and contract performance (in the case of award), and to have them audited by auditors appointed by the Bank."

### 6.6.6.3 Publication of Notice of best evaluated bidder

Implementing agencies shall, within five working days after the decision of the contracts committee to award a contract deliver a copy of the notice of best evaluated bidder to all bidders who participated in the bidding process; display a notice of best evaluated bidder on the notice board; and send a copy of the notice of best evaluated bidder to PPDA for publication on the website. The notice of best evaluated bidder shall not amount to a contract. The notice of best evaluated bidder shall state: (a) the name of the best evaluated bidder; (b) the proposed total contract price; (c) the date of the notice; (d) the expiry date of the period of the notice; and (f) the unsuccessful bidders and the stage at which their bids failed or were eliminated, and the reasons.

### 6.6.6.4 Contract Preparation

Implementing agencies shall prepare a contract document in accordance with the form of contract specified in the Request for Quotation document. The contract document shall: (a) clearly identify the obligations of the agency and the Provider; (b) indicate the payment schedule; (c) include adequate and clear delivery and acceptance arrangements; (d) provide adequate monitoring and cost control measures, where required; (e) provide effective supervision arrangements, where required; and (f) dispute resolution mechanism.

### 6.6.7 Selection of Consultants process

The selection of Consultants shall apply any of the following methods: Quality and Cost Based selection (QCBS), Quality Based Selection (QBS), Selection based on a Fixed Budget (FBS), Selection Based on Least Cost Basis (LCS), Selection based on Consultant's Qualifications (CQS), and Direct. Provisions guiding the application of any of these methods are provided in the section VII of the World Bank Procurement Regulations

The Selection of Consultants (firm selection) under QCBS will follow the process indicated below. The PPDA Act, 2003 and Regulations, 2014 shall not apply in the selection of Consultants except where the PPSD indicates that the National procurement procedures were established to be acceptable (Table 6-6).

Table 6.6: Lead Responsibilities for selecting Consultants

Stage	Responsibility					
	National Project Coordinator	Procurement Specialist	Accounting Officer	Contracts Committee	The Bank	Evaluation Committee
1 Planning and Procurement Planning	√	√	√			
2 Approval of the Procurement Plan	√		√	√	√	
3 Procurement Requisition attaching, Terms of Reference	√	√				
4 Confirmation of Availability of Funds	√		√			
5 Review of TOR	√	√		√		
6 No objection to TOR					√	
7 Request for Expression of Interest (Eols)		√		√		
8 Receipt of Eols and Preparation of short-listing report	√	√		√		√

9	Contracts Committee clearance of shortlist				√		
10	Bank clearance of shortlist		√			√	
11	Notification of the shortlist to all firms that expressed interest		√				
12	Preparation and approval of Request for Proposal (RFP) Documents	√	√				
13	Contracts Committee Clearance of RFP and approval of Evaluation Team				√		
14	Bank clearance of RFP		√			√	
15	Issuance of Request for Proposal (RFP) to shortlisted Consultants		√				
16	Minutes of Pre-proposal conference and evidence of delivery to the intending consultants		√				
17	Receipt and Opening of Proposals		√				√
18	Evaluation of proposals and preparation of technical evaluation report	√	√				√
19	Approval of Technical Evaluation Report by CC				√		
20	Bank Clearance of Technical Evaluation Report					√	
21	Public opening of Financial proposals	√	√				√
22	Preparation of Combined Evaluation report		√				√
23	Obtain Contracts Committee clearance of the Combined Evaluation Report		√		√		√
24	Share the Combined Evaluation Report with IDA		√				
25	Bank clearance of combined Report					√	
26	Negotiations	√	√				√
27	Notification of Intention to Award and Standstill Period			√			
28	Preparation of the draft negotiated contract		√				
29	Award and approval of negotiated contract				√		
30	Bank clearance of the negotiated contract					√	
31	Signing of Contract			√			
32	Publish Notice of Contract Award	√		√			
33	Contract Execution						
	a. Contract Execution	√					
	b. Contract Monitoring		√				
	c. Contract Modification	√	√	√	√	√	
	d. <b>Contract Performance Evaluation</b>	√	√				

### 6.6.7.1 Short listing of Consultants

- a. Request for Expression of Interest using the open market approach S, implementing agencies shall publish a Request for Expression of Interest for at least 10 Business days. REOI for consultancy procurements with cost estimate of US\$ 300,000 and above shall be published in the UNDB Online through STEP in addition to the national media of wide circulation.

- b. Preparation of a Shortlist: The Procuring Entity shall prepare a Shortlist of firms that have expressed interest and have the relevant experience and managerial and organizational capabilities for the assignment. The shortlisting criteria included in the REOI shall be used to prepare the shortlist. A shortlist of not fewer than five (5) and not more than eight (8) eligible firms shall be prepared by selecting the best qualified of the firms submitting Expressions of Interest based on the short-listing criteria disclosed in the REOI. A shortlist with a smaller number of firms shall be acceptable when not enough qualified firms have expressed interest in the assignment, not enough qualified firms could be identified, or the size of the contract or the nature of the assignment does not justify wider competition. For contracts subject to prior review, the shortlist shall be subject to IDA review and clearance. Any amendments to the shortlist after IDA has issued its No Objection shall be re-submitted for IDA review and clearance.
- c. The PDE shall issue a notification of the shortlist to all firms that expressed interest.
- d. The preparation of a Shortlist of firms to provide Consulting Services is not mandatory for CQS.

#### **6.6.7.2 Request for Proposal**

The RFP shall be issued to the shortlisted firms only. The RFP shall be prepared using the IDA Standard RFP, which shall be subject to IDA review and clearance for contracts subject to prior review. Adequate time shall be allowed for the consultants to prepare the proposals. The time allowed will depend on the complexity of the assignment. The RFP will be prepared by Procurement Specialist in close consultation with User Departments, HPDU and with the input of the National Project Coordinator / Institutional Focal Points at UWA / NFA. The PDU shall respond timely and comprehensively to any Consultants' requests for clarifications.

It is recommended that a pre-proposal meeting is held where deemed necessary, to allow the Consultants to understand the assignment and to enable MWE / NFA / UWA to address any questions the Consultants may have comprehensively. If based on the clarifications, there is a need for additional time, or to provide clarifications or additional information the PDU shall provide it through issuance of an addendum.

#### **6.6.7.3 Receipt and Opening of Proposals**

- a. **Receipt of proposals:** All proposals shall be submitted in hard copy by the deadline for submission indicated in the RFP. The Technical and Financial Proposals shall be submitted at the same time, no amendment to the technical or financial proposals shall be accepted after the deadline. To safeguard the integrity of the process, the technical and financial proposals shall be submitted in a manner specified in the request for proposals. Any proposal received after the closing time for submission of proposals shall be rejected and returned unopened.
- b. **Opening of the Proposals:** Proposal opening is divided into two stages namely: (i) Technical Proposal Opening, and (ii) Financial Proposal Opening. The technical proposal shall be opened in public immediately by procurement unit at the implementing agency officials and witnessed by a member from CC or user department at the deadline for submission of proposals or promptly thereafter. The proposals shall be numbered serially. The financial proposals shall remain sealed and shall be deposited in a safe lockable and opened by 2 people one being the head of the

procurement unit at the implementing agency and the other the Accounting Officer or other officer designated by the Accounting Officer.

The Secretary of the committee of officials shall prepare minutes of the opening ceremony giving all the details of the opening, alternatively the form provided for under the PPDA Act shall be duly filled to accurately reflect the proceedings at the opening. Form 12 part 1 and 2 dully filled shall form part of the Minutes. The minutes shall be signed by chairman and the secretary of the bid opening ceremony. The signed minutes of the opening ceremony may be provided on request to consultant who submitted proposals, and shall be attached to the Technical Evaluation Report.

#### **6.6.7.4 Evaluation of Technical Proposals**

The Evaluation of Proposals shall be carried out by an *ad hoc* Evaluation Committee (EC) nominated by the National Project Coordinator working closely with the heads of the procurement unit at the implementing agencies. The EC shall have been approved by the implementing agency's Contracts Committee and shall comprise specialists / experts on the subject, the Project Coordination Unit as well as experts in the technical, financial and other fields as needed to execute the evaluation competently. The members will sign a fresh PPDA issued Code on Ethics and Integrity for each Evaluation that they participate in.

The Evaluation team will each assess the proposals against the evaluation criteria stated in the RFP, and award scores. The Evaluation Committee will prepare a Technical Evaluation Report (TER) to document their findings using the WB Standard Forms of Evaluation Report for Consultants. The Evaluation report shall include the strengths and weaknesses of each proposal, Scores shall be allocated to each criteria and sub-criteria by each Evaluation members. EC members should initially award scores individually, after which the scores should be harmonized to ensure general consistency in the scores allocated by different EC members and consistency with the comments on strengths and weaknesses. However, whenever, discrepancies in scores cannot be resolved, the reasons for the discrepancy shall be included in the Technical Bid Evaluation report.

The Evaluation report shall be signed by all members and where the evaluation proceeds in the absence of a member, The Evaluation committee members shall provide a written explanation to the Contracts Committee. A quorum of 3 Evaluation committee members shall be adequate for the Evaluation process to proceed provided the 3 members have sufficient technical, procurement and other skills to proceed with the Evaluation. The Project procurement specialist shall be one of the Evaluation team members to ensure that the process and report conform to the Project's legal agreements. The EC shall submit a fully signed Technical evaluation report including details of individual and overall assessment to the procurement unit of the implementing agency for onward submission to the contracts committee.

#### **6.6.7.5 Approval of Technical Evaluation Report**

The Project Procurement Specialist in close coordination with the Head of the procurement unit at the implementing agency will submit the Technical Evaluation report to the Contracts Committee for its review and approval. Following approval by the Contracts Committee, for contracts that are subject to prior review by the Bank, the Procurement Specialist shall transmit the Technical Bid Evaluation Report to the Bank for its review through STEP. The Bank will either provide comments on the TER for incorporation or issue a Letter of No Objection to the Technical Evaluation report and clearance to open the Financial proposals of Firms that attained the minimum pass mark at Technical Evaluation stage. The implementing agency will incorporate any comments that the Bank may provide on the submission, and resubmit for Bank review and clearance where requested, and before proceeding to the next steps.

After approval and a No Objection (if applicable) of the technical evaluation report, the Head of the procurement unit at the implementing agency shall notify those Consultants whose Proposals were considered non-responsive to the RFP and TOR or did not meet the minimum qualifying technical score (and shall provide information relating to the Consultant's overall technical score, as well as scores obtained for each criterion and sub-criterion) that their Financial Proposals will be returned unopened after completing the selection process and Contract signing. The Head of the procurement unit at the implementing agency shall simultaneously notify in writing those Consultants that have achieved the minimum overall technical score and inform them of the date, time and location for the opening public opening of financial proposals. Financial Proposals shall not be opened earlier than seven (7) Business Days from the communication of technical evaluation results to the Consultants. Complaints received after the disclosure of the Technical Evaluation scores shall be handled in accordance to the procedures specified in Sections 3.26 – 3.31 of the Procurement Regulations.

#### **6.6.7.6 Financial Evaluation**

Financial Proposals for Consultants that will have achieved the minimum overall technical score shall be opened in the presence of the bidder's representatives who will have chosen to attend the financial bid opening exercise. The financial proposals shall subsequently be evaluated in accordance with the procedures stipulated in the Request for Proposals (RFP). The implementing agency shall assess and confirm that the activities indicated in the Technical Proposal have been adequately costed in the Financial Proposal, and note down their findings.

For time-based contracts, any arithmetical errors shall be corrected, and prices adjusted if they fail to reflect all inputs that are included in the technical Proposals. For a lump-sum contracts, the Consultant shall be deemed to have included all prices in its financial Proposal, so neither arithmetical corrections nor price adjustments shall be made; the total price, net of taxes, included in the financial Proposal shall be considered the offered price

Prices shall be converted to a single currency either local currency or freely convertible foreign currency as stated in the RFP document. The EC shall make the conversion by using selling exchange rate for those currencies quoted by Bank of Uganda and the date shall be indicated in RFP.

For QCBS, the proposal with the lowest offered total price will be given the financial score of 100 percent and other proposals ranked financial scores that are inversely proportional to their prices.

The total score shall be obtained by weighing quality and cost scores and adding them. The weight of the cost shall be determined taking into account the complexity of the assignment and the relative importance of the quality aspect. The weight of the cost shall normally be 20 percent and quality 80 percent. The weights shall be stated in the RFP document. The firm obtaining the highest total score shall be invited for negotiations.

The Procuring Entity shall submit the Combined Technical and Financial report for IDA's information and proceed to invite the best ranked Consultant for negotiations. IDA will promptly review the document and let the Procuring Entity know of any shortcomings.

#### **6.6.7.7 Confidentiality**

Information relating to evaluation of proposals and recommendations concerning awards shall not be disclosed to the consultants who submitted the proposals or to other persons not officially concerned with the process. This is critical issue in order to guarantee public confidence and avoid complaints in the Selection process.

#### **6.6.7.8 Negotiation and Contract award**

The best evaluated firm shall be invited for negotiations if it is determined that there are areas that need to be agreed upon before contract award. Such areas may relate to Terms of Reference (TOR), methodology, and inputs from the employer, tax liability, and confirmation of key experts in proposal, commencement date, and the special conditions of the contract. The negotiations shall not substantially alter the original scope of services, and TOR contained in the RFP. The outcome of the negotiation process shall be signed minutes of negotiation, and a draft contract initialled by both parties. The negotiation team from the Project will submit the report to National Project Coordinator, who in close liaison with the Head of the procurement unit at the implementing agency shall submit the draft contract to the Contracts Committee to award the Contract. After the Contract Committee clearance, the National Project Coordinator shall submit the draft initialled negotiated contract and the minutes of negotiations to the World Bank for “no objection”.

#### **6.6.7.9 Standstill Period**

A stand still period is that period following the Notification of Intention to Award a Contract. It is intended to give Bidders/Proposers/Consultants time to examine the Notification of Intention to Award and to assess whether it is appropriate to submit a complaint. Any resultant contract cannot be awarded either before or during the Standstill Period. However, in accordance with Section 5.8 of the Procurement Regulations, a Standstill period is not applicable in situations where: only one Bid/Proposal was submitted in an open competitive process; direct selection; call-off process among firms holding FAs; and Emergency Situations recognized by the Bank.

Subsequently, the Procuring Entity shall give Bidders and/or Consultants 10 Business days' time to examine the Notification of Intention to Award (or Best Evaluated Bidder Notice) and to assess whether it is appropriate to submit a complaint.

#### **6.6.7.10 Rejection of All Proposals, and Re-invitation**

The implementing agency will be justified in rejecting all proposals only if all proposals are non-responsive because they present major deficiencies in complying with the ToRs or if they involve costs substantially higher than the original estimate. In the latter case, the feasibility of increasing the budget, or scaling down the scope of services with the firm should be investigated in consultation with the Bank. Before all the proposals are rejected and new proposals are invited, the PCU and National Project Coordinator shall notify the Bank, indicating the reasons for rejection of all proposals, and shall obtain the Bank's “no objection” before proceeding with the rejection and the new process. The new process may include revising the RFP (including the short list) and the budget. These revisions shall be agreed upon with the Bank.

#### **6.6.7.11 Solicitor General Clearance**

After the receipt of the “No Objection” from World Bank, the implementing agency will submit the draft contract for values above UGX 200 million to Solicitor General for legal guidance whether it would be appropriate for the implementing agency to enter into contractual obligations with the consultant in accordance with the draft contract. Any changes proposed by the SG shall be subject to IDA prior review and clearance.

#### **6.6.7.12 Contract Signing**

Upon receipt of clearance of the draft contract by Solicitor General, the National Project Coordinator / UWA or NFA Focal Point will invite the consultant for signature of the contract by the parties thereto. For contracts subject to IDA prior review, a copy of the signed contract shall be promptly submitted to IDA for its records.

#### **6.6.7.13 Publishing of Contract Award**

After the award of the contract, and after signing of the contract with the successful consultant, the implementing agency will publish, as required in STEP and the same information shall be sent to all consultants who have submitted proposals.

### **6.6.8 Selection of Individual Consultants**

Some services will be provided by individual consultants. For these, the selection and award of contracts will be done using the Selection of Individual Consultants (SIC) method in accordance with the provisions of Paragraph 7.34 through 7.39 of the Procurement Regulations.

### **6.6.9 Single Source selection of Consultant Firms**

Under the circumstances described in Paragraph 7.13 of the Procurement Regulations, subject to the Bank's prior approval, consultants may be selected and awarded contracts on a sole-source or single source basis. The Single Source Selection shall be used only in exceptional circumstances and always subject to the Bank's prior approval.

### **6.6.10 Procurement Documentation**

#### **6.6.10.1 Record Keeping Requirements**

The responsible PDUs will maintain accurate records of all procurement activities and documents related to the Project. The procurement files will be maintained for review by the Bank's supervision missions and independent auditing, including consolidating procurement activities into Quarterly and Annual Progress Reports.

#### **6.6.10.2 Form of Invitation to Bid and Procurement Documents**

Use will be made of the World Bank Standard Forms of Invitation to Bid invite bids/EOIs

The Bank Standard Procurement Documents and Request for Proposals for Consultancy Services can be accessed at [www.worldbank.org/procurement](http://www.worldbank.org/procurement) , under the option "Projects with PCNs After July 01 2016". The latest available versions should be used

For Procurement of Goods, the Standard Request for Quotation Document is available on the PPDA Website ([www.ppda.go.ug](http://www.ppda.go.ug)).

Contract Management A specific individual should be appointed as the Contract Manager for each signed contract. He / she will be the principal contact point for the PCU in respect to the management of the Contract. For complex contracts a Contract Management Team shall be appointed. Contract Managers shall put in place Contract Management Plans to guide efficient and effective contract management.

### 6.6.10.3 Contract administration

The implementing agencies will put in place systems that ensure:

- a. **Document Management** – Separate files should be maintained for each contract and should have documentation that confirms compliance with the procurement process for all relevant stages.
- b. **Expediting Procurement** – Where possible, activities that can be carried out together, should be carried out in parallel.
- c. **Controlling Contract Variations** – Before granting contract variations, care should be taken to ensure that variation do not cover obligations already under consultant's contract.
- d. **Prompt Payments to Providers** – Delays in payment are breaches in contract and should be avoided.
- e. **Completeness** of Procurement Action Files
- f. **Contract File Shall at a minimum** have the following documents:
  - i. **Copy of Contracts** – A complete copy of the Contract including all attachments and addenda should be maintained on the contract file.
  - ii. **Contract Management Reports** – Key deliverables and timelines should be identified and developed into a check list. This will assist in the preparation of Contract Management Reports that inform stakeholders of the status of the project. This will be effective only if kept up-to-date.
  - iii. **Procurement-Related Correspondence** – A copy of all correspondence between the consultant related to the placement and performance of the contract should be filed on the contract file.
- g. **Contracts Register** - The Project Procurement Specialist will prepare and maintain a record of all signed contracts or Local Purchaser Orders (LPOs) in form of a Contracts Register.

### 6.6.10.4 Contract Implementation, management and reporting

After Signing the Contract, a copy of the signed contract shall be availed by the implementing agency to the National Project Coordinator for Contract implementation. The National Project Coordinator shall be responsible to appoint the Contract Manager. The Contract Manager shall be responsible for developing contract implementation plan, and therefore will develop Contract implementation schedule in accordance with the signed contract. The copy of the contract implementation schedule shall be copied to Head of procurement at the implementing agency and Procurement Specialist for Contract Monitoring.

Contract management shall be done by the National Project Coordinator / UWA or NFA Project Focal Point; who shall nominate a technically competent officer to lead the Contract Management function including sharing monthly progress with the Project Procurement Specialist and the procurement unit at the implementing agency

- a. **Goods:** Contract managements shall be done by the end user department. The end user shall be responsible for ensuring that the goods delivered meet the requirements specified in the contract. The end user will also certify invoices submitted by the supplier prior to any payment being made against the invoice. The supplier will be notified immediately if the delivered goods are not acceptable. A copy of all communication with the supplier shall be kept on the procurement file.
- b. **Consultants:** The Contracts Manager will be in charge of ensuring that the Consultant meets their obligations in terms of quality, cost and time requirements, and will alert the Project Procurement Specialist and procurement unit at the implementing agency of any noted non-performance by the Consultant for example late submission of deliverables, or delay in performing contractual obligations, or any need for contract extension.

The Consultant will be notified immediately if the deliverables are not acceptable. A copy of all communication with the consultant shall be kept on the procurement file. The Contract manager shall advise the Procurement Specialist of any need to extend the contract with at least two months left to the contract expiry date. The Procurement Specialist will promptly proceed with the necessary steps to ensure that the necessary Government and IDA approvals are received prior to contract expiry.

#### **6.6.10.5 Contract Monitoring**

The Contract Manager, with reference to Project Procurement Specialist, will monitor the progress of each contract from the initiation of the procurement action up to the delivery of the procurement outputs and deliverable. He / she shall enter the actual dates on which the various milestones indicated in the contract were achieved and bring to the attention of the responsible people / entities, any lapses in the attainment of milestones.

#### **6.6.10.6 Contract Performance Evaluation**

Following the completion of the performance of each contract, the National Project Coordinator / UWA or NFA Focal Point and the Project Procurement Specialist will carry out an evaluation of the performance of the contract by the Consultant. The review will be carried out with a view to identifying, what went well and what did not go well in the performance of the contract to provide lessons for future contracts, and recommend to Contracts Committee proposed suspension of the Consultant for poor performance. The Project Procurement Specialist will submit a report for each contract to the Head of the procurement unit at the implementing agency and the Chairman Contract Committee.

#### **6.6.10.7 Termination of contracts**

Termination shall be subject to IDA review and clearance for contracts subject to prior review. Termination is only by the accounting officer based on recommendations of the contracts committee and the reports of the contract manager. The Contracts Manager with National Project Coordinator / UWA or NFA Project Focal Point may recommend for termination of contract based on the provisions of the signed contract. The above request should be submitted to Accounting Officer and then the procurement unit at the implementing agency can forward the request Contracts Committee. In doing so the following should be clearly spelt out:

- a. Name of provider and Procurement Reference number

- b. Reasons for termination
- c. Contractual grounds for termination
- d. Cost resulting from termination

#### **6.6.11 Bank's Prior Review**

Some contracts shall be subject to Bank's prior review. The contracts that shall be prior reviewed by the Bank are indicated in the approved Procurement Plan.

The following stages and actions shall be subject to the Bank's prior review and clearance for Procurement of Consultancy Services;

- i. Expression of Interest (EoI)
- ii. Request for Proposal (RFP) including Terms of Reference (TOR)
- iii. Request for extension of proposal validity
- iv. Addendum to Request for Proposal
- v. Complaints received
- vi. Technical Evaluation Report
- vii. Combined Report for information only
- viii. Negotiated Contract between the borrower and the successful bidder together with minutes of negotiations.
- ix. In case of failure to reach final position with the best consultant reasons for before the second best evaluated firm can be invited for negotiations.
- x. During the modification of the signed contract before the addendum is signed by the parties to the contract.
- xi. Extension of the time frame
- xii. Changes in scope or substitution of experts.
- xiii. Termination of the contract.
- xiv. Contracts subject to Post review due to cost estimate below threshold for prior review but best ranked consultant is above the threshold.
- xv. Change in recommendation of best ranked consultant after addressing complaint
- xvi. Responses to Complaints received selection period and after evaluation before publishing the results.
- xvii. Any other circumstances that may arise as a result of amendments in the Regulations.

### **6.6.12 Post-Implementation**

- a. One post-implementation evaluation will involve evaluation of procurement processes in order to enable the Procuring and Disposing Entity (PDE) take corrective actions on the weaknesses and strengthen strong ends. Projects are able to assess whether contracts have added value through such procurement processes. Aspects that shall be considered include the under listed  
Is there a detailed list of staff resources needed and capturing the necessary information?
- b. Was the contract well defined and straight forward?
- c. Was the Scope of the works focused?
- d. Were the needs of the user researched and provided a need service?
- e. What are the identified areas to be addressed?

Was there a preliminary meeting to discussed project goal and alternatives?

### **6.6.13 Complaints Handling**

The Implementing Agencies being public bodies are required to follow complaints handling mechanisms provided for under the Public Procurement and Disposal of Public Assets Act (PPDA Act 2003). The PPDA Act provides three-tiers (levels) of handling the procurement complaints. These are; The Accounting Officer (AO), the Public Procurement and Disposal of Public Assets Authority referred as the 'Authority' and the Public Procurement and Disposal of Public Assets Appeals Tribunal referred as the 'Tribunal'. The AO is the first appeal level in handling the procurement complaints. If the complaints are not handled in specified time or aggrieved party is not satisfied with the decisions of the AO, the aggrieved bidder can lodge a complaint to the Authority as a second level. The Tribunal serves as the third level for further appeal of the decision of the Authority or failure to adjudicate in a specified time. The PPDA Act provides provision of judicial review in case of the three levels fail to make a decision within the prescribed time-limit.

In the whole process, the World Bank will be kept informed on the steps taken to resolve such complaints and disputes.

# **SECTION SEVEN**

## **ENVIRONMENTAL AND SOCIAL (E&S) RISK MANAGEMENT**

## 7 CHAPTER 7: ENVIRONMENTAL AND SOCIAL (E&S) RISK MANAGEMENT

This section highlights key E&S issues for the project.

### 7.1 The Environment and Social Management Framework (ESMF)

The ESMF has been developed in tandem with the Process Framework (PF), Labour Management Plan, Stakeholder Engagement Plan and the Vulnerable and Marginalized Groups Framework as one set of due diligence instruments required to address and manage environmental and social impacts associated with the Project activities. In addition, an Environmental and Social Commitment Plan that commits the project compliance has been concluded. The ESMF has been prepared to meet the Government of Uganda's and the World Bank's E&S risk management (ESS) requirements and has been disclosed as part of the Project Appraisal process. These frameworks can be accessed at: <https://www.mwe.go.ug/library/redd> or <https://www.mwe.go.ug/projects/ifpa-cd-project>

The ESMF has a number of elements:

- a. A systematic procedure for a participatory process of environmental and social screening of the specific Project areas and activities;
- b. A stepwise process to identify and prevent potential environmental and social impacts of the planned Project activities;
- c. An environmental and social management plan to deal with arising environmental and social aspects during the implementation of the Project;
- d. A monitoring and evaluation system for the implementation of mitigation measures and actions;
- e. Draft recommendations for training needs requirements for planning and monitoring of the Project; and
- f. A budget to ensure that the Project has the necessary resources to achieve the desired objectives, particularly those related to the preparation and implementation of project activities.

Over-all, the positive impacts of this project outweigh the potential negatives impacts. The positive impacts include ecosystem services benefits; improved law enforcement; direct project benefits to local communities; creation of employment; reduced costs/risks in restoration of the protected areas; and mitigated climate change impacts. The negative impacts include possible impacts due to establishment of tree nurseries, small plantations and localized impacts within protected areas where small infrastructure (such as park gates, buildings, patrol stations) are to be built. They also include those associated with the anticipated civil works (labour influx impacts on host and refugee communities, social exclusion, exacerbation of gender issues, etc.). The ESMF recommends specific engagement with Batwa indigenous forest dependent peoples in the management of Echuya CFR, Mgahinga, Bwindi and Semuliki national parks.

The ESMF proposes mitigation measures that apply ESF mitigation hierarchy for each anticipated impact in order to avoid, minimize or reduce the risks and mitigate effects of the anticipated impact.

The ESMF sets out the framework for monitoring and reporting environmental and social risks and impacts to ensure proper appraisal on the effects of project activities as well as compliance requirements and enforcement of terms and conditions for approval, including formulating compliance strategies and assessment and management of the environment and social risks and impacts.

## **7.2 Objectives of the Environmental and Social Management Framework (ESMF)**

The IFPA-CD ESMF is used to highlight possible risks and impacts of a project whose specific activities and location are yet to be identified. The ESMF sets out principles, guidelines, rules, and procedures to assess environmental and social risks and impacts for the project activities once identified/defined. The ESMF highlights socio-economic, legal, policy and institutional contexts of the project application and expected requirements of the World Bank under the Environment and Social Safeguards (ESS) and borrower legal framework. It also sets a framework of the borrower's capacity, roles and responsibilities in addressing the assessed social and environmental risks and impacts and presents sufficient guidance for the selection, preparation and implementation of project activities.

All project activities to be financed under the Project shall be subjected to the project specific environmental and social screening (Appendix 23.1), which shall be conducted by the Project Coordination Unit (PCU) and project implementing agencies. The screening aims at identifying potential impacts at the project activities so as to avoid, minimize or offset measures as the case may be as appropriate.

## **7.3 Compliance with ESCP commitments**

The Ministry of Water and Environment (MWE) will implement material measures and actions so that the Project is implemented in accordance with the World Bank Environmental and Social Standards (ESSs). These measures and actions and timing for each measure and institutional roles and responsibilities are specified in the ESCP summarized Appendix 23.2.

In addition, MWE commits to comply with the provisions of any other E&S documents required under the ESF and referred to in this ESCP, such as the Environmental and Social Management Framework, Process Framework, and the Stakeholder Engagement Framework developed for the Project, as well as Environmental and Social Management Plans (ESMPs), and Environmental, Health and Safety Plans, etc. that will be developed for the Project.

Over-all responsibility for compliance with all requirements of the ESCP lies with MWE while implementation of specific measures and actions is conducted by the UWA, NFA and participating districts. Through these agencies and Districts, Project Contractors and subcontractors will have obligated to comply with all requirements of the ESCP.

Implementation of the material measures and actions set out in this ESCP will be monitored and reported to the World Bank by MWE as required by the ESCP. Likewise, the World Bank shall monitor the compliance throughout implementation of the Project.

With regards to reporting, a report format to be used will be developed by MWE in line with the requirements set out in the ESCP and the provisions of the ESMF.

On the day to today, implementation of the ESCP requirements will be coordinated and monitored and reported on by MWE through the National Project Coordinator (NPC) assisted by the PCU based Environment Risks Management Specialist and Social Risks Management Specialist (Figure 7-1). The ESCP compliance requirements for each implementing agency (UWA, NFA, Districts and MWE User Departments) will be monitored and reported on by the Institutional Safeguards Focal Points. In addition, the NPC will ensure that Project Contractors and subcontractors comply with the ESCP requirements.



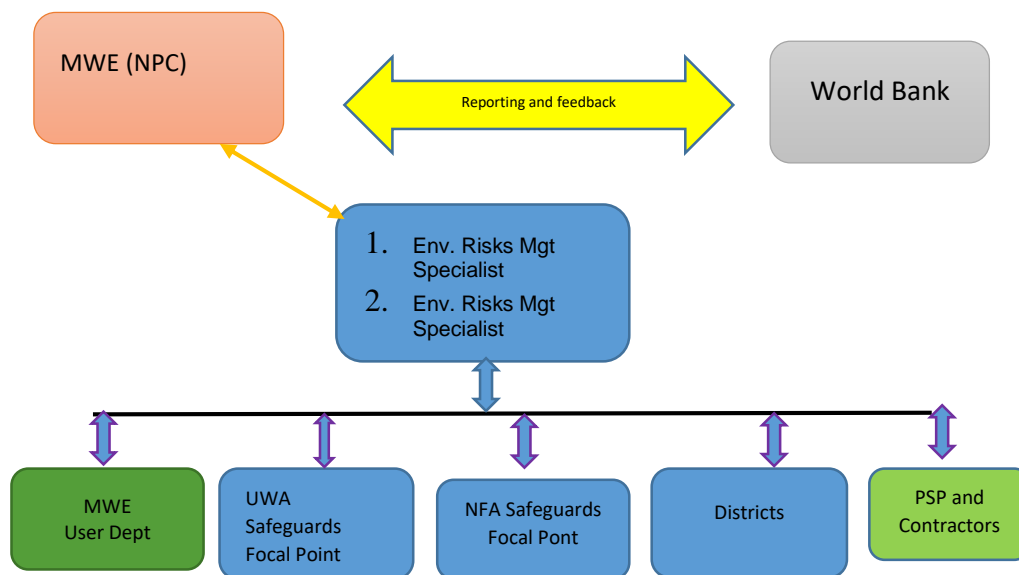


Figure 7-1: Structures for coordinating, implementing and reporting on ESCP

The ESCP may be revised from time to time during Project implementation, to reflect adaptive management of Project changes and unforeseen circumstances or in response to assessment of Project performance conducted under the ESCP itself. In such circumstances, MWE will agree to the changes with the World Bank and will update the ESCP to reflect such changes. Agreement on changes to the ESCP will be documented through the exchange of letters signed between the World Bank and the MWE. The MWE will promptly disclose the updated ESCP.

Where Project changes, unforeseen circumstances, or Project performance result in changes to the risks and impacts during Project implementation, the MWE allocate funds from GoU Counterpart budget to the project, if needed, to implement actions and measures to address such risks and impacts, which may include environmental, health, and safety impacts, labour influx, and gender-based violence risks.

#### 7.4 Mainstreaming Environmental and Social Management into Implementation Arrangements

Mainstreaming ESM into project implementation will follow the World Bank guidelines and procedures for mainstreaming in project implementation to achieve compliance. The Institutional Safeguards Focal Points are tasked to ensure mainstreaming ESM into work plans and activities implementation. In addition, ESM issues will be emphasised in bidding documents and will be evaluated during the d=bid evaluation exercises. Specific guidance is set out to integrate Environmental, Social, Health and Safety (ESHS) and all mitigation measures from E&S assessments into Enhanced Standard Procurement Documents (SPDs) and Standard Bidding Documents (SBDs); which shall be applicable to all new works contracts applicable to the project.

To ensure a complete mainstreaming of management of E&S risks and impacts, the Project shall follow this guidance:

- a. The bid documents for works will integrate E&S risk management requirements in their Bills of Quantities (BoQs). Once resources are allocated for E&S risk management, it will be easy to monitor their implementation in the Project;
- b. Implementing Agencies (MWE, UWA and NFA) are required to set out clearly the minimum expectations of ESHS performance from the outset, to ensure that all Bidders/Proposers are aware of the ESHS requirements;
- c. The Contractors shall submit as part of their Bid/Proposal an ESHS Code of Conduct that will apply to their employees and sub-contractors, and details of how it will be enforced. The suitability of the Code of Conduct can be assessed and discussed as part of the Bid/Proposal evaluation and negotiations;
- d. The successful Bidder/Proposer is required to implement the agreed Code of Conduct upon contract award. All contractor contracts shall be compliant with the Project Labour Management Procedures (Appendix 24);
- e. The Contractors shall submit, as part of their Bid/Proposal, ESHS Management Strategies and Implementation Plans required to manage the key ESHS risks of the Project, usually referred to as Contractor's ESMP
- f. The suitability of these strategies and plans can be assessed as part of the Bid/Proposal evaluation, and discussed during pre-contract discussions, as appropriate. These strategies and plans will become part of the Contractor's Environmental and Social Management Plan (C-ESMP);
- g. Particular Conditions of Contract will include provisions relating to the (C-ESMP), e.g.: a requirement that the Contractor shall not commence any Works unless the Engineer is satisfied that appropriate measures are in place to address ESHS risks and impacts;
- h. At a minimum, the Contractor shall apply the plans and ESHS Code of Conduct, submitted as part of the Bid/Proposal, from contract award onwards.
- i. Provide an ESHS Performance Security (the sum of the two "demand" bank guarantees, normally not to exceed 10% of the contract price). The ESHS performance security is in the form of a "demand" bank guarantee." The application of this provision is at the Borrower's discretion. It is recommended for contracts where there is significant ESHS risks as advised by Social/Environmental specialist/s;
- j. Demonstrate that they have suitably qualified ESHS specialists among their Key Personnel. Key Personnel must be named in the Bid/Proposal, and in the contract. The quality of the proposed Key Personnel (including ESHS specialists) will be assessed during the evaluation of Bids/Proposals.
- k. The Contractor shall require the Employer's consent to substitute or replace any Key Personnel;
- l. The Engineer may require the removal of Personnel if they undertake behavior which breaches the ESHS Code of Conduct, e.g. spreading communicable diseases, sexual harassment, gender-based violence, illicit activity, or crime;
- m. Contracts now contain specific ESHS reporting requirements. These relate to: ESHS incidents requiring immediate notification; and
- n. ESHS metrics in regular progress reports.

The following staff have been designated Focal Points for Safeguards (Table 7-1)

Table 7.1: Safeguards Focal Points

Institution	Name	Title
MWE	Mr. Nathan Mununuzi	Senior Environment Officer
UWA	Ms. Justine Namara	Manager EIAs and Oil Monitoring
	Ms Vanice Mirembe	Manager HWC
NFA	Ms. Christine Mugenyi	Partnerships Officer
	Ms. Shallon Challenge	Environment Management Officer

## 7.5 Environmental assessment and screening process

The key regulations for environmental and social assessment in Uganda include; <sup>9</sup>The National Environment Act, 2019, and the National Environment (Environmental Impact Assessment) Regulations, 1998. They both define the role of ESIA as a key tool in environmental management, especially in addressing potential environmental and social risks and impacts at the pre-Project stage. The Regulations define the ESIA preparation process, required contents of an ESIA, and the review and approval process including provisions for public review and comment. The regulations are interpreted for developers and practitioners through the Guidelines for Environmental Impact Assessment in Uganda (1997). The steps below shall be incorporated in any future project activities' preparation and approval process.

- a. **Step 1: Screening of Activities:** Project activities supported under the project that have potential to cause negative social and environmental impacts will be screened for environmental and social risks. The ESMF identifies the following as some of the likely negative impacts: Social conflicts, Occupational Health and Safety, Loss of natural vegetation, waste generation, environmental degradation, Use of Child Labour, HIV/AIDs, Sexual Exploitation and Abuse, Impact on Physical Cultural Resources, Fire outbreaks, Soil erosion, impact associated with nursery establishment, afforestation and Gender disproportionate among others. The Screening process will entail: i) UWA and NFA and other entities will be responsible for applying the screening checklist at site level to determine whether an ESMP and or ESIA will be required; ii) The Project Coordination Unit in MWE will provide support to implementing agencies and oversight of environmental and social risk screening across the project using the format in Appendix 23.
- b. **Step 2: Preparation of the ESMP and ESIA, as required:** If required by the screening process, the entity shall be responsible for the preparation an ESMP and or ESIA. ESMP/ESIA should contain detailed information on: (1) Measures to be taken during implementation of certain activities t in order to eliminate adverse environmental and social impact or reduce it to an acceptable level; (2) Actions necessary to implement the said measures. If it is determined that an ESIA is required, then this shall be prepared by the entity and submitted to NEMA for review and approval.
- c. **Step 3: Approval and Monitoring:** For project activities subject to an ESMP as a result of limited and site-specific impacts, those ESMPs shall be approved by the PCU and World Bank. Project activities shall be eligible for financing only after ESMP approval. ESMP approval shall follow public disclosure and completion of public consultations. The entity will be responsibility for monitoring adherence to the ESMP/ESIA. For activities which require an ESIA, once the ESIA study is concluded, the MWE will submit three (3) copies of the Environmental Impact Statement (EIS) which includes the social aspects of the assessment to NEMA for their review and approval.

Once submitted to NEMA, EIS becomes a public document. Within two (2) weeks from date of receipt of the EIS, NEMA is mandated, if it finds it necessary; to publicize receipt of the EIS, identify

<sup>9</sup> The National Environment Act, 2019, and the National Environment (Environmental Impact Assessment) Regulations, 1998.

the concerned region and stakeholders, the places for inspection of the EIS, and makes copies or summaries of the statement available for public inspection. NEMA also sends copies of the EIS within 14 days from the date on which the EIS was received to relevant agencies (including the World Bank) and experts for comments. Key agencies in this Project include; MWE, NFA, UWA. Public comments and/or objections are submitted to NEMA within 3 weeks of receipt of the EIS. It is, therefore, government policy to have the Statement disclosed by NEMA during the review process but the level of disclosure is at the discretion of NEMA.

## 7.6 Grievances Redress mechanism

The Grievance Redress Mechanism (GRM) (described in more detail in the project Stakeholder Engagement Plan) will provide an effective avenue for expressing concerns and achieving remedies for communities, promote a mutually constructive relationship and enhance the achievement of Project development objectives. It has been learned from many years of experience that open dialogue and collaborative grievance resolution simply represent good business practice both in managing social and environmental risk and in furthering Project and community development objectives. In voicing their concerns, they also expect to be heard and taken seriously. Therefore, MWE has to assure people that they can voice grievances and the Project will work to resolve them without bias.

The Project GRM will be augmented by the World Bank's Grievance Redress Service, which provides an easy way for Project-affected communities and individuals to bring their grievances directly to the attention of Bank Management. The GRS will ensure that complaints are directed promptly to relevant Bank Task Teams and/or Managers for review and action, as appropriate. The goal is to enhance the Bank's involvement, responsiveness and accountability.

For **preventive measures**, implementation of a good communication strategy is an absolute requirement to reduce misunderstanding and grievances. Project awareness-raising activities will be conducted throughout the life of the Project. Consultations and negotiations will be carried out with PAPs where there are indications of potential conflicts. Since monetary issues are often a source of grievance, an important preventive measure is to provide clear information on the Project's policy concerning allowances or entitlements for community members, local council leaders, committee members (CFM, saving groups and associations), local chiefs and government employees participating in Project activities. The guidelines and procedures for financial grants/schemes and associations to be provided and disseminated widely or made available for the communities.

As for **Consensus, Negotiation and Conflict Resolution**: Grievance redress mechanisms will be grounded on existing local models/mechanisms that involve the local community leaders and local council leaders in providing a first level of listening and informal resolution. These leaders will be involved in Project consultation. These forums are a natural channel for informal resolutions at the village/community level, as the people are already involved in awareness-raising. Some resource use-related conflicts may be resolved through traditional arrangements already available in place. However, where there is a need for a committee, a simple Grievance Redress Committee (GRC) for the Project can be established at respective project activities. It is suggested that a GRC be established at the different levels including the project site, Village, Sub-county and district level. At the district level, it enables in handling of grievances unsettled at the lower level. It may bring in a technical aspect of the Project and handling the grievance. For sensitive issues that may not be resolved at the district level, a Ministry / UWA / level GRM should be in place to handle such issues.

Consensus and negotiations are central to addressing grievances. In general, people are aware of their rights, their commitments to their communities, their associations and committees, and to the country as citizens. For this reason, many Government funded community Projects in the Project area have

been implemented without notable obstacles from the concerned persons such as water, roads, and agriculture. However, some Projects have been known to stall due to a number of reasons such as insensitiveness to fulfilment of commitment made, delays and trust. Prior negotiations between Government representatives and Project beneficiaries are therefore crucial to the success of the Project.

In the refugee settlements, the Feedback, Referral and Resolution Mechanism (FRRM) is a reliable, accessible and affordable means of communication to refugees and host communities that aims to manage feedback, queries and complaints. The inter-agency refugee We.Link helpline (0800 323 232), email address (helpline.uganda@unhcr.org ), complaint and suggestion boxes, protection desks, and community-based structures established in all refugee settlements are components of FRRM. The operations of the IFPA-CD Project in the refugee settlements shall make use of the FRRM system. Training of project staff and provision of access rights to the system shall be pursued by the project team.

There have also been concerns regarding Inclusion and Non-Discrimination (I&ND) following the enactment of the Anti-Homosexuality Act by the Government of Uganda where sections of the public have raised fear of likely marginalization, oppression, intimidation, reprisal and other severe punishments for persons whose actions may contravene the Act. Robust measures – ranging from awareness creation and training on I&ND shall be undertaken. For social exclusion and non-discrimination complaints, these can be forwarded to the Bank's Grievance Redress System (GRS) at [grievances@worldbank.org](mailto:grievances@worldbank.org) or to the designated country tollfree hotline number: 0800 333 125

The toll-free lines - UWA - 0800245245, NFA- 0800264036 and MWE-0800203655, WhatsApp Numbers – UWA- 0740560236, NFA – 0707608920, MWE – 0772841843 and Email Address [ifpacd@mwe.go.ug](mailto:ifpacd@mwe.go.ug) are all active and are meant for receiving grievances directly from complainants.

Suggestion boxes have been put in strategic locations LCI offices and offices of implementing entities for the stakeholders to drop in their complaints or grievances anonymously. The boxes will be opened and actions taken on the grievances reported.

Communications Assistants have been recruited and/or designated by each entity to receive and collate the grievances raised through these tollfree lines.

As a final step, grievances could be taken to the local courts as a last resort for settling the conflicts. It is expected, however (as stated above), that grievances should be resolved by working within existing community structures or local councils or mutually agreed arrangements, so as to ensure peaceful settlement of disputes or conflicts.

If conflicts or complaints are outside the capacity of the community or local authorities to resolve, depending on the issues, they could be presented to:

- a. Meetings of the next higher-level local council or District Technical Committee or finally the District Executive Committee of the District Council;
- b. NFA Staff in charge of the Forest Reserve (Forest Inspector or Sector Manager); and
- c. Chief Park Warden.

In all cases, communities will be encouraged to resolve conflicts harmoniously. This will follow the following general steps of a grievance redress process (Figure 7-1):

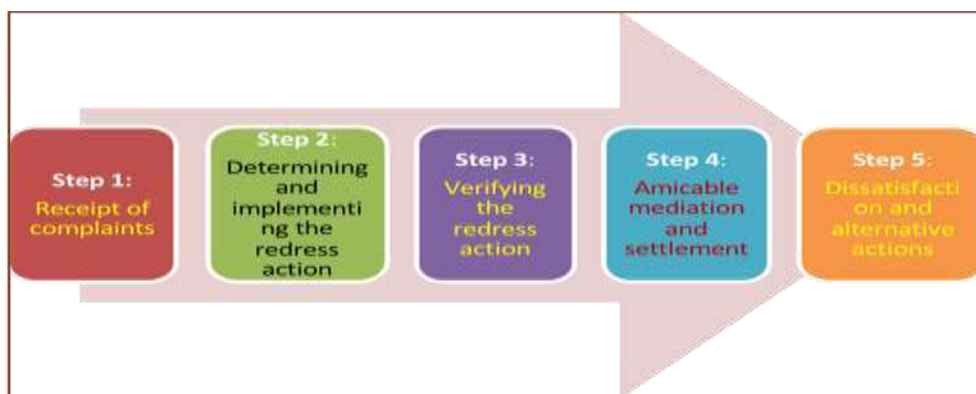


Figure 7-2: The GRM process

## 7.7 Grievance Registration Form

Grievances shall be documented using format in Table 7-3.

Table 7.2: Grievances registration form

Grievance Registration Form	
<b>Reference N° (assigned by Contractor):</b>	
<i>Please enter your contact information and grievance. This information will be dealt with confidential. Note: If you wish to remain anonymous please enter your comment/grievance in the box below without indicating any contact information – your comments will still be considered.</i>	
<b>Full Name of aggrieved person</b>	
<b>Anonymous submission</b>	I want to remain anonymous
<b>Please mark how you wish to be contacted (mail, telephone, e-mail).</b>	By Mail (Please provide mailing address): By Telephone (Please provide Telephone number): By E-mail (please provide E-Mail address):
<b>Preferred Language for communication</b>	Other, please specify:
<b>Description of Incident or Grievance:</b>	What happened? Where did it happen? Who did it happen to? What is the result of the problem?
<b>Date of Incident/Grievance:</b>	One-time incident/grievance (date _____) Happened more than once (how many times? _____) On-going (currently experiencing problem)
<b>What would you like to see happen to resolve the problem?</b>	

## 7.8 Monitoring and Reporting on E&S Risk Management

The E&S risk management activities will be monitored and or evaluated with the view to:

- a. Ensure that proper appraisals on the effects of project activities takes place and that proper measures are put in place to mitigate the effects;
- b. Set out the basis for compliance and enforcement of terms and conditions for approval;
- c. Design compliance strategies;

- d. Assess compliance with and management of the environment and social safeguards; and
- e. ensure adequate stakeholder engagement.

The ESS will be monitored by Implementing agencies (MWE, UWA, NFA). These entities will be supported by dedicated contract staff engaged by MWE and hosted as part of the PCU. Monitoring of environmental and social standards will also cover all project activities.

Monitoring reports will be compiled and sent to PCU using format presented in Appendix 25. Quarterly monitoring reporting on ESS risk management will be compiled by MWE/PCU and shared with the Bank.

Annual reporting on E&S risk management will capture the experience with implementation of the ESMF procedures. The purpose of these reports is to provide:

- a. An assessment of extent of compliance with ESMF procedures, lessons learned, and improve future ESMF performance;
- b. To assess the occurrence of, and potential for, cumulative impacts due to Project-funded and other development activities; and
- c. A record of progress, experiences, challenges encountered, lessons learnt and emerging issues from year-to-year implementation of ESMF that can be used to improve performance.

Over-all, the report shall include the following key information:

- a. An introduction, Reporting period and monitoring locations;
- b. Scope of works and status of implementation of activity being reported on;
- c. ESMF management actions undertaken during the reporting period;
- d. Progress to date in implementing the ESMF, including key aspects monitored: such as waste management, health and safety practices, procurement/storage/and use of pesticides including their disposal, dust management, water quality, other environmental incidents and accidents, environmental awareness and training undertaken, etc.; and
- e. Key recommended follow up issues, actions, time frame and responsibility center.

## **7.9 Restrictions of Access to Protected Areas – Implementation of Process Framework**

A process framework is prepared when Bank- supported projects may cause restrictions in access to natural resources in legally designated protected areas. The purpose of the Process Framework is to establish a process by which members of potentially affected communities participate in design of project components, determination of measures necessary to achieve the objectives of ESS5, and implementation and monitoring of relevant project activities.

A Project Framework was prepared for the project to serve as a practical tool to provide guidance for the project in handling any anticipated issues related to restriction of access and use of resources in legally designated central forest reserves, national parks, and wildlife reserves. Therefore, the Process Framework is to be used during the identification, planning, designing and implementation of the mitigation measures and their monitoring.

Specifically, the PF describes participatory processes by which the following activities will be accomplished: (a) Identification and agreeing of activities that address the restrictions issues in the Project components and how they will be prepared and implemented; (b) Criteria for eligibility of affected

communities/persons; (c) Measures to assist affected communities/persons in their efforts to improve their livelihoods or at least restore them to pre- project level.

A fundamental objective of this Process Framework is to ensure that persons and communities affected by restrictions to forests and wildlife resource define and undertake activities that, at least, restore their income to the levels they would have enjoyed, had there been no restrictions. This objective ensures that the extent of mitigation measures is commensurate with the extent of loss of access to resources due to restrictions. This also ensures that those who are affected more severely are assisted to a greater extent than those who incur smaller losses.

Specific measures to mitigate impacts on project/sub-project(s) beneficiary, local communities should include the following, among others, depending on locations/sites:

Prioritize local community members for employment opportunities in activities within the protected areas, such as restoration planting, removal of invasive species, and infrastructure construction;

- a. Provide capacity building and trainings to CFM and CRM committee, community committees, local council committees, women and youth groups, elders groups and community-based organisations, in sustainable use and monitoring of forests and wildlife resources, including protection, preservation, conservation, reforestation, tourism management, business enterprises, agriculture practices, fire management, wood harvesting and other community profitable ventures based on identified restrictions and needs;
- b. Use of deterrents for animals (particularly with hippos and elephants) such as fences, trenches, chilli plants and bee hive from destroying communities' crops;
- c. Ensure clearly visible demarcation of National Park, Wildlife Reserve, and Forest Reserve boundaries in sensitive areas;
- d. Promote establishment of sustainable household woodlots, to progressively reduce pressure on resources from forest reserve;
- e. Provide alternative livelihood support such as collection of non-forest products including mushrooms, medicinal plants, wild fruits and bee- keeping to local communities around forest and forest reserves;
- f. Engage communities in new business opportunities;
- g. Through new or old Collaborative Management Committees and CRM, defining modes of beneficiary engagement;
- h. Make use of new and old Collaborative Management Committees and CRM in identifying training gaps, modes of training, development of products as well as engagement with other stakeholders.
- i. Conduct project awareness-raising campaigns, to local communities, refugee communities, on the importance of sustainable forests and wildlife management.
- j. Ensuring participation of communities in the demarcation of boundaries and fencing construction.

## **7.10 Vulnerable and Marginalized Groups**

The World Bank ESS7 recognizes the importance of rights and interest of the Vulnerable and Marginalized Groups (VMG) and requires engagement with VMGs in the design, determination and

implementation of the project *proportionate to the scope and scale of potential project risks and impact as may affect them.*

This Vulnerable and Marginalized Groups Framework (VMGF) has been prepared to meet the requirements of Environmental and Social Standard (ESS) 7 on Indigenous Peoples / Sub-Saharan African Historically Underserved Traditional Local Communities which addresses the needs of **distinct, vulnerable, social and cultural groups** which possess the following characteristics: (i) *self-identification as members of a distinct cultural group; (ii) collective attachment to geographically distinct -habitats or ancestral territories; (iii) customary cultural, economic or social institutions that are separate from those of the rest of the society; and (iv) an indigenous language, often different from the official language of the country or region.*

The purpose of the VMGF is to guide the preparation and implementation of IFPA-CD interventions that may affect VGs in the targeted project areas.

The VMGF identifies measures required for avoiding or minimizing any adverse impacts on the Batwa and supports the development of alternative livelihoods where and as needed. This VMGF applies to all components and activities in target protected areas that will impact the Batwa and provides procedures to ensure that the impacts are mitigated and that the Batwa benefit from the project.

Target Protected Areas. The Batwa live around and have cultural attachment to four protected areas included as part of project support, namely: Echuya Central Forest Reserve (CFR), Bwindi Impenetrable National Park, NP, Mgahinga Gorilla NP, and Semuliki NP. Provisions of VMGF apply to activities in these protected areas.

Specific measures to mitigate negative impacts on project/sub-project(s) beneficiary, Batwa and local communities should include the following, among others, depending on locations/sites:

- a. Prioritize local community members for employment opportunities in activities within the protected areas, such as restoration planting, removal of invasive species, and infrastructure construction;
- b. For ecotourism activities, prioritize local community member's employment as tour guides considering their unique local and cultural knowledge;
- c. Provide capacity building and trainings to CFM and CRM committee, community committees, local council committees, women and youth groups, elders groups and community-based organizations, in sustainable use and monitoring of forests and wildlife resources, including protection, preservation, conservation, reforestation, tourism management, business enterprises, agriculture practices, fire management, wood harvesting and other community profitable ventures based on identified restrictions and needs;
- d. Use of deterrents for animals such as chilli plants and bee hives from destroying communities' crops;
- e. Ensure clearly visible demarcation of National Park and Forest Reserve boundaries in sensitive areas, through maintenance and clearing of the existing boundary lines;
- f. Promote establishment of sustainable household woodlots, to progressively reduce pressure on resources from forest reserve;
- g. Provide alternative livelihood support such as collection of non-forest products including mushrooms, medicinal plants, wild fruits and bee- keeping to local communities around forest and forest reserves. Honey is of particular cultural value to the Batwa as it is important in preparing the beer used in offerings and sacrifices to appease the spirits of their ancestors;

- h. Engage communities in new business opportunities through, forest based enterprises e.g. crafts;
- i. Through new or old Collaborative Management Committees and CRM, defining modes of beneficiary engagement;
- j. Make use of new and old Collaborative Management Committees and CRM in identifying training gaps, modes of training, development of products as well as engagement with other stakeholders; and
- k. Conduct project awareness-raising campaigns to local communities on the importance of sustainable forests and wildlife management.

The IFPA-CD Vulnerable and Marginalized Groups Management Plan provides specific strategies and actions addressing the above. Additional measures for responding to issues affecting Vulnerable and Marginalized Groups in the project area are elaborated in the SEP, LMP and Gender Action Plan.

SECTION EIGHT  
**MONITORING AND EVALUATION**

## 8 CHAPTER 8: MONITORING AND EVALUATION

The Results Framework (RF) will guide day-to-day M&E and also evaluation analysis and reporting at midterm and completion.

**Institutional roles and participation:** The MWE has the overall responsibility for coordinating M&E and ensuring that data and information are produced on time and to the necessary quality. Monitoring data will be collected at field and agency level by implementing agencies and User Departments and forwarded to the PCU for consolidated reporting. The PCU will conduct periodic field monitoring visits, on case by case, purposely to verify information received from the monitoring reports.

The MWE is responsible for the over-all monitoring and reporting on Project performance and results. The MWE will be supported by the PCU. Implementing Agencies, User departments and TSPs will be responsible for collecting and analysing monitoring data using an agreed format and availing this information to the PCU for action. Implementing Agencies, TSPs and User Departments will host and participate in any field monitoring visits organized by PCU.

**Reporting and feedback:** Alongside the M&E Framework, project reporting formats and feedback mechanism will be developed for use by Implementing Agencies, User Departments and TSPs. In case of the latter, the Reporting formats will be appended to the Service Contracts. The approved formats will be appended to the Project Implementation Manual. The following reports will be required:

- a. **Quarterly reports:** Quarterly monitoring reports on project performance using standardized format shall be prepared by all implementing agencies, User Departments and TSPs as part of accountability for the project resources utilized in the exercises to GoU.
- b. **Semi-annual Reports:** Project performance and results will be reported on a semi-annual basis to the World Bank and GoU in compliance with the Project Funding Agreement. Implementing Agencies (UWA, NFA), User Department's and TSPs will provide semi-annual reports to PCU for consolidation and onward submission to Bank and GoU.
- c. **Quality assurance:** The PCU will be responsible for ensuring quality of consolidated semi-annual and annual project reports and compliance with the reporting requirements. This requires the Implementing Agencies, TSPs and User Departments to submit their reports in good time to support consolidation and quality control actions by PCU.
- d. **Mid - term Review:** A mid-term project review will be jointly conducted by GoU and WB. The Mid-term Review will apply standard project quality review criteria namely: *effectiveness, efficiency, relevance* and (prospects for) *success*. The objective of the mid-term review will be to report on the (i) progress made in the implementation of the IFPA-CD collectively, components financed by World Bank and GoU as well components implemented by each Implementing Agency, User Departments and TSPs, (ii) progress towards achieving project outputs and results (iii) a review of the Landscape approach as promoted by the IFPA-CD. Over-all, the mid-term review will focus on technical aspects, expenditures/ budget/component performance, coordination, opportunities and priorities for ensuring success, synergies between the components financed by World Bank, GCF and GoU, synergies between the IFPA-CD and other programmes /project of government and other players, among others. A detailed description of the mid-term review will be elaborated in the ToRs that will be approved by World Bank and GoU.
- e. The Government of Uganda shall be responsible for preparing a midterm report in advance of the Mid Term Review of the project. Preparation of this report will be a responsibility of the PCU with inputs from implementing agencies and departments.
- f. **End of Project Evaluation:** An end of project evaluation will be undertaken by GoU starting at least six months before project closure to evaluate whether the intermediate results and PDO

level indicators were achieved, relevance of the project to context, efficiency and effectiveness in service delivery, the sustainability of the results, and lessons learned. The End of Project - term Review will apply standard project quality evaluation criteria namely: *effectiveness, efficiency, relevance* and (prospects for) *success*. The general objectives of the End of project evaluation are to assess: i) the project performance in terms of relevance, effectiveness (outcomes and outputs) and efficiency; ii) the sustainability and up-scaling of project results; and, iii) the actual and potential impact stemming from the project. A detailed description of the End of Project Evaluation will be elaborated in the ToRs that will be approved by World Bank and GoU.

- g. **WB Supervisory Missions:** World Bank will conduct semi-annual monitoring and supervisory missions on fiduciary, safeguards, monitoring, and governance aspects.
- h. **Annual Review and Planning:** The MWE will convene annual review and planning meeting involving all Implementing agencies, User Department TSPs to review progress against annual target and set new targets for the coming year. This event will also be used to learn and share experiences and lesson and derive strategies for better performance.

SECTION NINE  
**APPENDICES**

## 9 APPENDICES

### 9.1 Appendix 1: Letter of appointment for members of Project Steering Committee

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In any correspondence on  
this subject please quote Ref. No.ADM 157/168/06

April 20<sup>th</sup>, 2020

Task Team Leader  
Investing in Forests and Protected Areas for Climate Smart Development Project  
**WORLD BANK**  
**WASHINGTON D.C**

#### **ESTABLISHMENT OF THE STEERING COMMITTEE FOR THE INVESTING IN FORESTS AND PROTECTED AREAS FOR CLIMATE SMART DEVELOPMENT PROJECT**

As you are aware, the Ministry of Water and Environment (MWE) is the lead institution for overall coordination and implementation of the "Uganda Investing in Forests and Protected Areas for Climate Smart Development Project" which is planned to begin during Financial Year 2020/21.

The MWE has established the Steering Committee for the Project, comprising representatives from Government Ministries, Agencies and Private Sector as presented in the Table below. The MWE and MTWA will co-chair the Project Steering Committee whose mandate is to provide policy guidance, coordination, harmonization and integration with broader national development policy, NDP III, other programmes and monitor overall project performance.

  
Alfred Okot Okidi  
**PERMANENT SECRETARY**

**Copy:** Hon. Minister of Water and Environment  
          Hon. Minister of Wildlife, Tourism and Antiquities  
          Hon. Minister of State for Environment  
          Hon. Minister of State for Water  
          Permanent Secretary, Ministry of Wildlife, Tourism and Antiquities  
          Executive Director, Uganda Wildlife Authority  
          Ag. Director, Environment Affairs  
          Commissioner for Forestry

**Table Showing: IFPA-CD Project Steering Committee**

S/N	NAME	DESIGNATION	INSTITUTION	REMARKS
1.	Mr. Alfred Okot Okidi	Permanent Secretary	MWE	
2.	Ms. Doreen Katusiime	Permanent Secretary	MTWA	
3.	Mr. James Ebitu	Permanent Secretary	MoGLSD	
4.	Dr. Florence Grace Adongo	Director, Water Resources Mgt.	MWE	
5.	Mr. James Lutalo	Director - Tourism, Wildlife & Antiquities	MTWA	
6.	Mr. Collins Oloya	Ag. Director, Environmental Affairs	MWE	
7.	Mr. Samuel Mwandha	Executive Director	UWA	
8.	Mr. Tom Obong Okello	Executive Director	NFA	
9.	Mr. Laban Mbulamuko	Commissioner, Infrastructure & Social Services Department	MoFPED	
10.	Mr. Timothy Lubanga	Commissioner, Monitoring & Evaluation (Ministries)	OPM	
11.	Mr. Emmanuel Muhanguzi	Principal Development Officer	MOLG	
12.	Mr. Aaron Werikhe	Planner, ENR	NPA	
13.	Ms. Pearl Hoareau Kakooza	President	UTA	
14.	Dr. Noreda Kiremire	Chairperson	UTGA	

Uganda  
Vision 2040



## 9.2 Appendix 2: Details of Project Activities, targets and budget per Component under each component for each Implementing Agency

### 9.2.1 Activity and target per Component under each component for each Implementing Agency

	Institution/ location	Institution/ location	Institution/ location	Institution/ location
<b>COMPONENT ONE</b>	<b>MWE</b>	<b>UWA/MTWA</b>	<b>NFA</b>	<b>Districts</b>
<b>SUB COMPONENT 1.1: Improvement of infrastructure and equipment for the management of forest protected areas</b>				
<b>Establishment and maintenance of marram roads</b>				
New road construction in Protected Areas		950km	421km	
Road maintenance		2,027km		
bridges		3		
Road construction and maintenance equipment		Tipper lorry +Grader	Bull dozer + tipper	
<b>Boundary demarcation</b>				
Marked Boundaries for National Parks/Wildlife Reserves		153km	600km	
<b>Human-wildlife conflict infrastructure (e.g. trenches, fences)</b>				
Supply/plant tea seedlings				800 acres
Electric fence		162km		
Trenches		84.3km		
Stone wall		13.2km		
<b>Staff housing</b>				
Ranger posts (senior)		20 units		
Ranger posts (junior)		38 units		
New: Office + housing @ sector level			9 Units	
Office: Renovation - NFA			6 Units	
New Staff housing @ CFR			17 Units	
Staff: Renovation			37 Units	
<b>Other infrastructure</b>				
Installation of Solar power units (panel, batteries etc.)		20 Units	77 Units	
Visitor washrooms			2 Units	
Rain water harvesting and storage facilities			87 Units	
Chain link fence			2km	
Gates		6	4	
<b>Wild fire detection and management</b>				
Fire observation towers in Wildlife PAs		10 Units		
Fire detection and fighting equipment and facilities		13 sets		
Personal fire protective equipment		315 sets		
Fire trucks		1		
<b>Develop and implement invasive and exotic plants management strategies</b>				
UWA -Eradication of invasive species		10,180 ha		
NFA -Invasive species removal-Other forests			26,500ha	
NFA -Invasive species removal (Bamboo forest)			2,400ha	

<b>Forest monitoring</b>				
Establish Permanent sample plots in Plantations			103	
Remeasure PSPs annually			103	
Field map kit (Hard ware)			1	
Electronic Haglof calliper for Field map			4	
Forest Watcher Application Kits			5	
Tablets			26	
GPS hand held			26	
Vertex set and Transponder			1	
Workstations with Wide monitors			6	
Heavy duty printer			1	
<b>Equipment (logistics)</b>				
vehicles - UWA - Land cruiser pickup			18	
vehicles - pickups NFA				6
vehicles - 4x4 station wagon				1
motorcycles - UWA			82	
motorcycles NFA				28
Tractor- UWA			1	
Truck			1	
<b>Equipment (communications)</b>				
HF handset			157	
HF radio baseset			8	
Radio repeaters			10	
<b>Equipment (field equipment)</b>				
Telescopes			3	
Binoculars				30
Video cameras				2
<b>Equipment (office)</b>				
Desktop computers - 1 for each sector + 1 for each range office				18
Laptop computers - at CFR (1 per CFR)				25
Printers				4
<b>SUB COMPONENT 1.2: Increasing the involvement of local communities in the management of forest and wildlife by increasing their access and benefits from these areas</b>				
<b>Support for the establishment of new collaborative forest management agreements</b>				
Collaborative Resource Management agreements under UWA including livelihoods activities			40	
CFM groups - Support to establishment				19
<b>Support to implement CFM activities</b>				
Install 7,000 beehives and associated equipment				7,000 hives
Support to communities to establish and manage commercial tree nursery				12 tree nurseries
Support 14 women groups to start business in craft making				14 groups
Purchase seedlings for CFM groups				500,000 seedlings
<b>SUB-COMPONENT 1.3: Restoration of degraded natural forests and forest habitats in forest reserves</b>				
<b>Production and handling of additional Seedlings</b>				
Seeds for production of seedlings of assorted indigenous species				2,591,904 seedlings

Bamboo plantlets			80,000 plantlets	
<b>Restoration through enrichment planting</b>				
Enrichment planting (152 seedlings per ha)			17,052 ha	
<b>SUBCOMPONENT 1.4: Increased forest protection in CFRs and WRs in close proximity to refugee settlements</b>				
<b>Boundary demarcation</b>				
<b>Staff housing</b>				
<b>Other infrastructure:</b>				
<b>Wild fire detection and management</b>				
<b>Develop and implement invasive and exotic plants management strategies.</b>				
<b>Equipment (logistics)</b>				
<b>Equipment (communications)</b>				
HF handset		50		
HF radio		2		
Radio repeaters		2		
<b>Equipment (field equipment)</b>				
Binoculars		15		
<b>Equipment (office)</b>				
Digital cameras		8		
Desktop computers			4	
Laptop computers			4	
Printers			1	
<b>Restoration of degraded areas in CFRs</b>				
Seeds for production of seedlings of assorted indigenous species			6000000 seedlings	
Enrichment planting (400 seedlings per ha)			15,000ha	
<b>COMPONENT TWO: Investment to increase revenues and jobs from forests and wildlife protected areas</b>				
<b>Sub component 2.1: Investments in Tourism</b>				
<b>Establishment and maintenance of marram roads, game viewing tracks and other access infrastructure</b>				
<b>Other infrastructure</b>				
<b>Development of new or improved tourism products</b>				
Construct and equip Visitor Centres (BINP, MFNP, KNP, SNP, RMNP)		5		
Construct and equip Visitor Centres (location) one @ Bugoma			1	
Develop picnic site at the waterfalls in Buhoma (BINP)		1		
Develop picnic site			1	
Develop canopy walk in Sebitoli		1		
Develop canopy walk (400 m)			1	
Develop a camping site, resting shelters along Muhabura- Sabinyo- Gahinga hiking trail (MGNP)		1		
Develop a camping site			2	
Develop a 3-peak volcano hiking trail		1 package		
Construct ladders in Sabinyo, Muhavura(metres)		1,000 m		
Install permanent ropes (to be installed by expert each year)		1 package		

Construct board walks in Sabinyo, Muhavura, Gahinga and Kirumia		1,700m		
Construct board walks			200km	
Construct zip line - operation by private sector		1		
Construct zip line (Bugoma) - operation by private sector			1	
Construct bird hides		6		
Construct bird hides			4	
Construct multipurpose tourism centre		2		
Trails construction			115 km	
Trails maintenance (Budongo)			309 km	
Signage (Budongo)			16	
Chimpanzee habituation @ Kalinzu and Budongo (4 persons allowances)			2	
Jetty/docking area			1	
Central reservation system (design/ installation/hardware)			1	
<b>Development of community tourism products</b>				
Grants for the development of community tourism products		3 million		
<b>COMPONENT 2.2: Investments in Productive Forestry</b>				
<b>Investments to further increase plantation area</b>				
Matching grants (50% of eligible costs) to private tree growers	36,500 ha			
ii. NFA management planning for private plantation on CFRs				
Land demarcation, delineation of conservation areas, mapping for compliance monitoring			22,192ha	
iii. Investments to support processing and utilization of forest products to produce higher value wood products				
Matching grants (50% of eligible costs) to investors in wood processing hub	6			
Installation of wood processing hub at Nyabyeya Forestry College for training including tractor	1			
50% co-finance for skilling and training of operators of new equipment (targeted on-demand courses at NFC)	2 courses			
<b>COMPONENT 3: Improved landscape management in refugee-hosting areas</b>				
<b>Subcomponent 3.1: Increased tree cover on community and refugee-hosting areas</b>				
<b>Support for agroforestry</b>				
Agroforestry activities				17,566 ha
<b>Support for establishment of woodlots</b>				
Wood lot establishment				9,754 ha
<b>Investments to enhance management and protection of natural forests on customary and private land</b>				
Management of CFRs				20ha
Boundary management			15ha	

Protection and overhead (fire protection, monitoring)			3,750 ha	
Site preparation, planting, protection and overhead			563 ha	
<b>Support to Government for the development and promulgation of Community Forests Regulations</b>				
<b>Support to Local district governments</b>				
District support packages (comprising motorbikes and basic office and field equipment for DFOs) to Local District Governments to strengthen governance of forests, woodlands and trees at district level and facilitate implementation of agroforestry and small-holder plantation investments				18 districts
<b>Sub component 3.2: Supporting on-farm forestry for refugee fuel supply</b>				
<b>Support to supply 10% ration to all camps</b>				
Purchase of fuelwood (incl delivery)				239,031 m3
<b>Component 4: Project Management Support</b>				
<b>Support for the project coordination unit at MWE</b>				
Vehicle for project supervision	1			
Laptop computers	5			
Printers	1			
Projectors	1			
Digital cameras	1			
Printers and scanners	1			
Heavy Duty Photocopier	1			
Cam coder	2			
Camera	2			
Projector	2			
<b>Support for project management at UWA</b>				
Laptop computers		2		
Vehicle for project supervision (1 UWA, 1 MTWA)		2		

Project supervision budget -lump sum (MTWA)		1		
<b>Support for project management at NFA</b>				
Laptop computers			2	
Projectors for HQ			1	
Digital cameras for HQ			3	
Vehicle for project supervision			1	

**9.2.2 Activity and target per Component under each component for each Implementing Agency and budget amounts and budget sources**

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
<b>COMPONENT ONE</b>			<b>35,135,741</b>	<b>12,000,000</b>	<b>7,343,000</b>	<b>54,478,741</b>
<b>SUB COMPONENT 1.1</b>			<b>24,240,810</b>	<b>0</b>	<b>3,590,000</b>	<b>27,830,810</b>
<b>Establishment and maintenance of marram roads</b>			<b>4,620,255</b>		<b>970,000</b>	<b>5,590,255</b>
New road construction	360km	NFA	2,688,000		300,000	2,988,000
ESIA studies for new roads	3	UWA & NFA	52,000			52,000
Bulldozer	1 Unit	NFA	355,000			355,000
Lorry tipper NFA	1 Unit	NFA	121,622			121,622
Lorry tipper UWA	1 Unit	UWA	121,622			121,622
Lorry tipper UWA - O&M per year (4.5%)			76,014		70,000	146,014
New Road equipment - operation and maintenance (20% per year)		NFA	297,889		500,000	797,889
fuel for road unit to maintain roads	509km	NFA	908,108		100,000	1,008,108
<b>Boundary demarcation</b>			<b>1,617,955</b>		<b>450,000</b>	<b>2,067,955</b>
Marked Boundaries for National Parks/Wildlife Reserves		UWA	6,210		100,000	106,210
Marked Boundaries for National Parks/Wildlife Reserves - UWA - O&M per year (9%)	23km	UWA	2,795			2,795
Pillars - UWA	2,304		270,500			270,500
Boundary survey – NFA	521km		156,300		200,000	356,300
Boundary marking (pillars) - NFA	2,627		1,182,150		150,000	1,332,150
<b>Human-wildlife conflict infrastructure (e.g. trenches, fences)</b>			<b>8,876,824</b>		<b>600,000</b>	<b>9,476,824</b>
Tea seedlings	800 acres	BINP (Rubanda and Kisoro)	616,208			616,208

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
Electric fence	162km	QENP (Kasese = 41km; Rubirizi 20km), MFNP (Nwoya 74km; Masindi 15km) Karuma WR 12km)	4,260,000		500,000	4,760,000
Electric fence O&M per year (20%)			3,456,000			3,456,000
Trenches	84.3km	KNP (Kamwenge 23km; Kabarole 28.6km; Kyenjojo 24km); QENP (Kasese 10.5km; Bunyangabo 2.2km)	128,375		100,000	228,375
Trenches O&M per year			16,875			16,875
Stone wall	18,000m <sup>3</sup>	MGNP (Kisoro 13.2km)	396,000			396,000
Stone wall O&M per year (0.17%)			3,366			3,366
<b>Staff housing</b>			<b>1,444,608</b>		<b>550,000</b>	<b>1,994,608</b>
Ranger posts (senior)	10	UWA (BINP, MGNP, QENP, KNP, RMNP, SNP, TSWR, KBWR)	0		200,000	200,000
Ranger posts (senior) - UWA - O&M per year (1.5%)			UWA (BINP, MGNP, QENP, KNP, RMNP, SNP, TSWR, KBWR)	0		
Ranger posts (junior)	26	UWA (BINP, MGNP, QENP, MFNP, RMNP, SNP, TSWR, KBWR)	567,567		100,000	667,567
Ranger posts (junior) - UWA - O&M per year (2%)				40,541		
New: Office + housing @ sector level	5	(Budongo, Kagombe, Itwara, Kalinzu, Kasyoha-Kitomi, Echuya)	175,000		100,000	275,000

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
Office: Renovation – NFA	6		81,000			81,000
New Staff housing @ CFR	3	Budongo, Kagombe, Itwara, Kalinzu, Kasyoha-Kitomi, Echuya	81,000		100,000	181,000
Staff: Renovation	37	Budongo, Kagombe, Itwara, Kalinzu, Kasyoha-Kitomi, Echuya	499,500		50,000	549,500
<b>Other infrastructure</b>			<b>486,000</b>		<b>0</b>	<b>486,000</b>
• Contract for installation of Solar power units (panel, batteries etc.) (Budongo)	68	Budongo, Kagombe, Itwara, Kalinzu, Kasyoha-Kitomi, Echuya	340,000			340,000
• Visitor washrooms	2	Karinzu	10,000			10,000
• Rain water harvesting and storage facilities	68	Budongo	136,000			136,000
<b>Wild fire detection and management</b>			<b>1,215,822</b>		<b>50,000</b>	<b>1,265,822</b>
Consultancy to develop and implement fire management system for UWA and NFA	1	UWA and NFA	300,000			300,000
Annual service fee for fire management system	1	UWA and NFA	150,000			150,000
Fire observation towers in Wildlife PAs		BINP, MGNP, RMNP, KNP, TSWR, SNP, QENP, MFNP	216,216		50,000	266,216
Fire observation towers in Wildlife Pas - O&M per year (10%)	8	BINP, MGNP, RMNP, KNP, TSWR, SNP, QENP, MFNP	108,108			108,108
Fire detection and fighting equipment and facilities	9	BINP, MGNP, MFNP, QENP, KNP, SNP, TSWR	60,813			60,813

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
Fire detection and fighting equipment and facilities in Wildlife Pas - O&M per year (5%)		BINP, MGNP, MFNP, QENP, KNP, SNP, TSWR	15,203			15,203
Personal fire protective equipment		BINP, MGNP, MFNP, QENP, KNP, SNP, TSWR	29,025			29,025
Personal fire protective equipment O&M per year (20%)	215	BINP, MGNP, MFNP, QENP, KNP, SNP, TSWR	29,025			29,025
Fire trucks		MFNP	189,189			189,189
Fire trucks O&M per year (12,5%)	1	MFNP	118,243			118,243
<b>Develop and implement invasive and exotic plants management strategies.</b>			<b>1,036,346</b>		<b>500,000</b>	<b>1,536,346</b>
Inventory of infestation by invasive species and development of management plans (one time, single contract)	1	UWA & NFA	159,792		50,000	209,792
UWA -Eradication of invasive species	4,090ha	MGNP, KNP, QENP, BINP, MFNP	270,000		300,000	570,000
NFA -Invasive species removal- Other forests	12,000ha	Budongo, Matiri, Kalinzu, North Maramagambo, South Maramagambo	302,500		100,000	402,500
NFA -Invasive species removal (Bamboo forest)	2,400ha	Echuya	240,000			240,000
UWA -Monitoring of removal of invasive and exotic plants in targeted protected areas.	1	UWA	54,054			54,054
NFA -Monitoring of invasive species program	1	NFA	10,000		50,000	60,000
<b>Forest monitoring</b>			<b>151,100</b>		<b>170,000</b>	<b>321,100</b>
Annual Cloud hosting fees / costs (Amazon,	6	NFA	30,000			30,000

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
Google earth Engine)						
Establish Permanent sample plots in Plantations	103	NFA	5,150		120,000	125,150
Remeasure PSPs annually	103	NFA	25,750		50,000	75,750
Field map kit (Hard ware)	1	NFA	6,000			6,000
Electronic Haglof calliper for Field map	4	NFA	8,000			8,000
Forest Watcher Application Kits	5	NFA	12,500			12,500
Tablets	26	NFA	22,100			22,100
GPS hand held	26	NFA	14,300			14,300
Vertex set and Transponder	1	NFA	2,300			2,300
Workstations with Wide monitors	6	NFA	15,000			15,000
Heavy duty printer	1	NFA	10,000			10,000
<b>Equipment (logistics)</b>			<b>3,848,234</b>		<b>300,000</b>	<b>4,148,234</b>
Vehicles - UWA - Land cruiser pickup		UWA	1,297,296		150,000	1,447,296
vehicles - UWA O&M per year (15%)	16	UWA	972,972			972,972
Vehicles - pickups NFA	4	NFA	324,324		150,000	474,324
Vehicles - 4x4 station wagon	1	NFA	80,000			80,000
Vehicles - O&M (15% per year)	5	NFA	304,054			304,054
Motorcycles - UWA		UWA	251,348			251,348
Motorcycles - UWA O&M per year (15%)	62	UWA	188,511			188,511
Motorcycles NFA		NFA	85,134			85,134
Motorcycle - operation and maintenance (15% per year)	21	NFA	63,851			63,851
Tractor- UWA		UWA	40,541			40,541
Tractor- UWA O&M per year (13.5%)	1	UWA	27,365			27,365
Truck		UWA	121,622			121,622
Truck O&M per year (15%)	1	UWA	91,217			91,217
<b>Equipment (communications)</b>			<b>830,908</b>		<b>0</b>	<b>830,908</b>
HF handset	157	UWA	169,717			169,717
HF handset O&M per year (1%)	157	UWA	8,486			8,486

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
HF radio baseset	8	UWA	540,544			540,544
HF radio O&M per year (1%)	8	UWA	27,027			27,027
Radio repeaters	10	UWA	81,080			81,080
Radio repeaters O&M per year (1%)	10	UWA	4,054			4,054
<b>Equipment (field equipment)</b>			<b>25,659</b>		<b>0</b>	<b>25,659</b>
Telescopes	3	UWA	8,109			8,109
Binoculars	30	NFA	12,150			12,150
Video cameras	2	NFA	5,400			5,400
<b>Equipment (office)</b>			<b>87,100</b>		<b>0</b>	<b>87,100</b>
Desktop computers - 1 for each sector + 1 for each range office	18	NFA	30,600			30,600
Laptop computers - at CFR (1 per CFR)	25	NFA	52,500			52,500
Printers	4	NFA	4,000			4,000
<b>SUB COMPONENT 1.2</b>			<b>7,000,000</b>		<b>100,000</b>	<b>7,100,000</b>
<b>Support for the establishment of new collaborative forest management agreements</b>			<b>2,056,757</b>		<b>100,000</b>	<b>2,156,757</b>
Collaborative Resource Management agreements under UWA including livelihoods activities	40	UWA (BINP, MGNP, QENP, KNP, RMNP, SNP, TSWR, KBWR)	1,800,000			1,800,000
CFM groups - Support to establishment	19	2 groups in Budongo, 1 in Muhangi, 1 in Kibego, 1 in Kalinzu, 4 in North Maragambo, 2 in south Maramagambo, 1 in Kitechura, 1 in Ibambaro, 4 in Mt. Kei, 2 in Kagombe	256,757		100,000	356,757
<b>Support to implement CFM activities</b>			<b>685,743</b>		<b>0</b>	<b>685,743</b>

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
TSP contract to provide 7000 beehives and associated equipment	1	2 groups in Budongo, 1 in Muhangi, 1 in Kibego, 1 in Kalinzu, 4 in North Maragambo, 2 in south Maramagambo, 1 in Kitechura, 1 in Ibambaro, 4 in Mt. Kei, 2 in Kagombe	467,095			467,095
TSP contract to provide training to CFM groups in Tour guiding skills	3		4,054			4,054
TSP contract to help communities establish and manage commercial tree nursery	12		103,784			103,784
TSP contract to help 14 women groups to start business in craft making	1		43,243			43,243
Purchase seedlings for CFM groups	500,000		67,568			67,568
<b>Contingence</b>			<b>4,257,500</b>		<b>0</b>	<b>4,257,500</b>
Contingence		2,794,348			2,794,348	
Contingence		1,463,152			1,463,152	
<b>SUB-COMPONENT 1.3</b>			<b>3,894,931</b>		<b>2,700,000</b>	<b>6,594,931</b>
<b>Production and handling of additional Seedlings</b>			<b>825,571</b>		<b>2,100,000</b>	<b>2,925,571</b>
Purchase seeds for production of seedlings of assorted indigenous species	2,591,904	NFA	129,595		2,000,000	2,129,595
Purchase polyester bags for production of seedlings		NFA	259,190			259,190
Contractor for raising seedlings (labour + soil)		NFA	259,190			259,190
Nursery operation (water and cover)		NFA	129,595			129,595
Bamboo plantlets		80,000	NFA	48,000		100,000
<b>Restoration through enrichment planting</b>			<b>3,069,360</b>		<b>600,000</b>	<b>3,669,360</b>

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
Enrichment planting (152 seedlings per ha)	17,052ha	NFA(Budongo, Kasokwa, Rwensama, Muhangi, Kibego, Kagombe, North Maramagambo, South Maramagambo, Kasyoha-Kitomi, Kakasi, Echuya)	3,069,360		600,000	3,669,360
<b>SUBCOMPONENT 1.4</b>			<b>0</b>	<b>12,000,000</b>	<b>953,000</b>	<b>12,953,000</b>
<b>Establishment and maintenance of maram roads</b>				<b>372,000</b>	<b>0</b>	<b>372,000</b>
New road construction	61km	NFA		366,000		366,000
ESIA studies for new roads	3	NFA		6,000		6,000
<b>Boundary demarcation</b>				<b>1,056,404</b>	<b>300,000</b>	<b>1,356,404</b>
Mark and maintain the boundaries of Kwonga clan forest in Kikuube District	50 km	UWA (PA in Refuge Host Districts)		54,050		54,050
Boundary survey - NFA	13 km	NFA (Bugoma, Rwensambya, Mt. Kei, Zoka, Era, Otzi East, Otzi West)		3,900		3,900
Boundary marking (pillars) - NFA	66			29,700		29,700
<b>Staff housing</b>				<b>1,999,516</b>	<b>3,000</b>	<b>2,002,516</b>
Ranger posts (senior)	8	UWA (Katonga WR)		540,544	3,000	543,544
Ranger posts (junior)	12	UWA (Katonga WR)		972,972		972,972
Office: New housing	4	NFA		108,000		108,000
Staff: New housing	14	NFA		378,000		378,000
<b>Other infrastructure:</b>				<b>220,000</b>	<b>0</b>	<b>220,000</b>
Contract for installation of Solar power units (panel, batteries etc.)	20	UWA (Katonga WR)		60,000		60,000

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)	
Chain link fencing	2 km	NFA (Bugoma, Rwensambya, Mt. Kei, Zoka, Era, Otzi East, Otzi West)		27,000		27,000	
Rain water harvesting and storage facilities	19			38,000		38,000	
Contract for installation of Solar power units (panel, batteries etc.)	19			95,000		95,000	
<b>Wild fire detection and management</b>				<b>141,866</b>	<b>0</b>	<b>141,866</b>	
Fire observation towers in Wildlife PAs	2	UWA (BINP, MGNP, QENP, KNP, RMNP, SNP, TSWR, KBWR)		54,054		54,054	
Fire observation towers in Wildlife Pas - O&M per year (10%)				27,027		27,027	
Fire detection and fighting equipment and facilities in Wildlife PAs.				27,028		27,028	
Fire detection and fighting equipment and facilities in Wildlife Pas - O&M per year (5%)	4			6,757		6,757	
Personal fire protective equipment	100				13,500		13,500
Personal fire protective equipment O&M per year (20%)					13,500		13,500
<b>Develop and implement invasive and exotic plants management strategies.</b>				<b>1,796,004</b>	<b>0</b>	<b>1,796,004</b>	
UWA -Eradication of invasive species (ha)	5,090 ha	QENP, MFNP, SNP, KNP, MGNP		1,374,300		1,374,300	
Inventory of infestation by invasive species (one time, single contract)	1	Budongo, Bugoma, Kasyoha-Kitomi, Echuya,		49,204		49,204	
NFA -Invasive species removal- Other forests	14,500 ha			362,500		362,500	
NFA -Monitoring of invasive species program	1			10,000		10,000	

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
<b>Equipment (logistics)</b>				<b>755,549</b>	<b>0</b>	<b>755,549</b>
Vehicles - UWA				162,162		162,162
Vehicles - UWA O&M per year (15%)	2			121,622		121,622
Motorcycles - UWA				81,080		81,080
Motorcycles - UWA O&M per year (15%)	20	UWA (Katonga WR)		60,810		60,810
Vehicles - pickups NFA				150,000		150,000
Vehicles - O&M (15% per year)	2			112,500		112,500
Motorcycles NFA				38,500		38,500
Vehicles and Motorcycle - operation and maintenance (15% per year)	7	NFA (Bugoma, Rwensambya, Mt. Kei,Zoka, Era, Otzi East, Otzi West)		28,875		28,875
<b>Equipment (communications)</b>				<b>215,672</b>	<b>0</b>	<b>215,672</b>
HF handset				54,050		54,050
HF handset O&M per year (1%)	50			2,703		2,703
HF radio				135,136		135,136
HF radio O&M per year (1%)	2	UWA (Katonga WR)		6,757		6,757
Radio repeaters				16,216		16,216
Radio repeaters O&M per year (1%)	2			811		811
<b>Equipment (field equipment)</b>				<b>26,896</b>	<b>0</b>	<b>26,896</b>
GPS hand held	11	UWA (Katonga WR)		8,921		8,921
GPS hand held	7			5,950		5,950
Tablets	7	NFA (Bugoma, Rwensambya, Mt. Kei,Zoka, Era, Otzi East, Otzi West)		5,950		5,950
Binoculars	15	UWA (Katonga WR)		6,075		6,075
<b>Equipment (office)</b>				<b>34,361</b>	<b>0</b>	<b>34,361</b>
Digital cameras	8			17,296		17,296
Digital cameras O&M per year (1%)	8	UWA (Katonga WR)		865		865

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
Desktop computers	4	NFA (Bugoma, Rwensambya, Mt.		6,800		6,800
Laptop computers	4	Kei,Zoka, Era, Otzi		8,400		8,400
Printers	1	East, Otzi West)		1,000		1,000
<b>Restoration of degraded areas in CFRs</b>				<b>4,500,000</b>	<b>650,000</b>	<b>5,150,000</b>
Purchase seeds for production of seedlings of assorted indigenous species		NFA (Budongo, Kasokwa, Muhangi, Kibego, Itwara, Kagombe, South Maramagambo, Kasyoha-Kitomi, Kakasi, Echuya)		300,000	150,000	450,000
Purchase polyester bags for production of seedlings				600,000		600,000
Contractor for raising seedlings (labour + soil)				600,000		600,000
nursery operation (water and cover)	6,000,000			300,000		300,000
• Enrichment planting (400 seedlings per ha)	15,000 ha			2,700,000	500,000	3,200,000
<b>Contingence</b>				<b>881,732</b>	<b>0</b>	<b>881,732</b>
Contingence UWA				440,866		440,866
Contingence NFA				440,866		440,866
<b>COMPONENT TWO</b>			<b>38,064,520</b>	<b>0</b>	<b>17,000,000</b>	<b>55,064,520</b>
<b>Sub component 2.1</b>			<b>16,227,260</b>		<b>2,000,000</b>	<b>18,227,260</b>
<b>Establishment and maintenance of marram roads, game viewing tracks and other access infrastructure</b>			<b>5,986,507</b>		<b>0</b>	<b>5,986,507</b>
Road unit ( Grader, Excavator, Tipper, Water bowser, Bulldozer)			2,702,702			2,702,702
O&M of road unit (12.5%)	2		1,689,189			1,689,189
Fuel for road unit to construct new roads	950km		378,400			378,400
Fuel for road unit to maintain roads	2,027km	UWA	810,811			810,811
Bridges	3	MFNP, BINP	405,405			405,405
<b>Other infrastructure</b>			<b>1,803,782</b>		<b>600,000</b>	<b>2,403,782</b>

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
Entrance gates and associated facilities for National Parks/Wildlife Reserves			1,621,620		500,000	2,121,620
Entrance gates and associated facilities for National Parks/Wildlife Reserves - UWA O&M per year (2%)	6	BINP, MGNP, KNP, SNP, QENP, MFNP	162,162		100,000	262,162
Forest Eco sites gates	4	Kalinzu, Budongo, Bugoma, Echuya	20,000			20,000
<b>ii. Development of new or improved tourism products</b>			<b>7,436,972</b>		<b>900,000</b>	<b>8,336,972</b>
Construct and equip Visitor Centres (BINP, MFNP, KNP, SNP, RMNP)			2,027,025		500,000	2,527,025
O&M of Visitor Centres (2% per year)	5	BINP, MFNP, KNP, SNP, RMNP	202,703			202,703
Construct and equip Visitor Centres (location) one @ Bugoma			120,000		50,000	170,000
O&M of Visitor Centres (2% per year)	1	Bugoma CFR	12,000			12,000
Develop picnic site at the waterfalls in Buhoma (BINP)		BINP	13,514		15,000	28,514
O&M of picnic site at the waterfalls in Buhoma (5% per year)	1		3,379			3,379
Develop picnic site			14,000		20,000	34,000
O&M of picnic site (5% per year)	1	Kasyoha Kitomi	3,500			3,500
Develop canopy walk in Sebitoli			810,811			810,811
O&M of canopy walk in Sebitoli (10% per year)	1	KNP	405,406			405,406
Develop canopy walk (400 m)			440,000		50,000	490,000
O&M of canopy walk in Budongo (10% per year)	1	Budongo	220,000			220,000

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
Develop a camping site, resting shelters along Muhabura-Sabinyo- Gahinga hiking trail (MGNP)			135,135		30,000	165,135
O&M of camping site and resting shelters (5% per year)	1	MGNP	33,784			33,784
Develop a camping site		Bugoma & Kasyoha Kitomi	28,000		20,000	48,000
O&M of camping site (5% per year)	2		3,500			3,500
Develop a 3-peak volcano hiking trail			270,270			270,270
O&M of 3-peak volcano hiking trail (5% per year)	1 package		67,568			67,568
Construct ladders in Sabinyo, Muhavura(metres )			405,000		50,000	455,000
O&M of ladders in Sabinyo, Muhavura (per meter per year)	1,000 m	Sabinyo, Muhabura, Gahinga) (MGNP	2,703			2,703
Install permanent ropes (to be installed by expert each year)	1 package	RMNP	216,216			216,216
Construct board walks in Sabinyo, Muhavura, Gahinga and Kirumia			229,500		10,000	239,500
O&M of board walks in Sabinyo, Muhavura, Gahinga and Kirumia (metres per year)	1,700m	MGNP, SNP	2,703			2,703
Construct board walks			22,000			22,000
O&M of board walks (metres per year)	200 m	QENP	2,703			2,703
Construct zip line - operation by private sector	1	QENP	300,000			300,000
Construct zip line (Bugoma) - operation by private sector	1	BUGOMA	300,000		10,000	310,000
Construct bird hides	6	BINP, QENP, KNP, SNP, MFNP	48,648			48,648

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
O&M of bird hides (5% per year)			12,162			12,162
Construct bird hides			16,400		20,000	36,400
O&M of bird hides (5% per year)	4	Budongo, Echuya	4,100			4,100
Construct multipurpose tourism centre			540,540			540,540
O&M of multipurpose tourism centre (2% per year)	2	KNP, NSP	54,054			54,054
Trails construction	115 km		57,500		100,000	157,500
Trails maintenance (Budongo)	309 km	Budongo	108,150			108,150
Signage (Budongo)	16	Budongo	8,000		5,000	13,000
Chimpanzee habituation @ Kalinzu and Budongo (4 persons allowances)	2		156,000		20,000	176,000
Jetty/docking area	1	Kalinzu, Budongo	5,000			5,000
Staff training in tourism activities	4	NFA	68,000			68,000
Central reservation system (design/ installation/hardware)	1	NFA	67,000			67,000
<b>Development of community tourism products</b>			<b>1,000,000</b>		<b>500,000</b>	<b>1,500,000</b>
Grants for the development of community tourism products	Lump sum	BINP, MGNP, KNP, SNP, QENP, MFNP	1,000,000		500,000	1,500,000
<b>COMPONENT 2.2</b>			<b>21,837,260</b>	<b>0</b>	<b>15,000,000</b>	<b>36,837,260</b>
<b>i. investments to further increase plantation area</b>			<b>20,478,500</b>		<b>12,000,000</b>	<b>32,478,500</b>
Matching grants (50% of eligible costs) to private tree growers			13,140,000		12,000,000	25,140,000
Operational cost of program management unit for (a) providing fiduciary management, (b) managing the issuance of calls for performance-	36,500 ha	Country Wide	7,044,500			7,044,500

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
based contracts, (c) managing and monitoring performance-based contracts including quality assurance, (d) providing technical support for silvicultural and value chain development						
TA package per CFR to support NFA staff with building capacity for providing extension support to growers, compliance monitoring and basic coordination of fire management	24	NFA	144,000			144,000
Feasibility study for forest fund that would provide financing on a revolving basis to incentivize productive forest management.	1	NFA	150,000			150,000
<b>NFA management planning for private plantation on CFRs</b>			<b>665,760</b>		<b>300,000</b>	<b>965,760</b>
Land demarcation, delineation of conservation areas, mapping for compliance monitoring	22,192 ha	NFA	665,760		300,000	965,760
<b>Investments to support processing and utilization of forest products to produce higher value wood products</b>			<b>693,000</b>		<b>2,700,000</b>	<b>3,393,000</b>
Matching grants (50% of eligible costs) to investors in wood processing hub	6	Nation Wide	390,000		250,000	640,000

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
Operational cost of program management unit for (a) providing fiduciary management, (b) managing the issuance of calls for contracts, (c) managing and monitoring contracts including quality assurance, (d) providing technical support for value chain development	6		78,000		50,000	128,000
Installation of wood processing hub at Nyabyeya Forestry College for training including tractor			170,000		1,500,000	1,670,000
Maintenance of wood processing hub at Nyabyeya Forestry College for training	1		50,000		700,000	750,000
50% co-finance for skilling and training of new operators of new equipment (targeted on-demand courses at NFC)	2 courses	NFC	5,000		200,000	205,000
<b>Contingence</b>			<b>0</b>		<b>0</b>	<b>0</b>
Contingence						0
<b>COMPONENT 3</b>			<b>0</b>	<b>58,000,000</b>	<b>2,000,000</b>	<b>60,000,000</b>
<b>Subcomponent 3.1</b>				<b>44,000,000</b>	<b>2,000,000</b>	<b>46,000,000</b>
<b>Support for agroforestry</b>				<b>11,903,241</b>	<b>0</b>	<b>11,903,241</b>
TSP to provide package including agricultural inputs (seeds, fertilizer) and training packages & communication + admin costs	17,566 ha	Refugee Host districts		9,919,368		9,919,368
Overhead for TSP (20%)				1,983,874		1,983,874
<b>Support for establishment of woodlots</b>				<b>19,928,045</b>	<b>0</b>	<b>19,928,045</b>
TSP to provide package including promotion and farmer identification,	9,754 ha	Refugee Hosts districts		11,305,076		11,305,076

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
seedlings, chemical inputs, technical support and M&E. Includes technical management and admin						
Matching grants (50% of eligible labour costs in the first 4 years) to woodlot owners				2,755,612		2,755,612
Overhead for TSP (20%)				2,814,493		2,814,493
Private nurseries				3,052,863	0	3,052,863
<b>Investments to enhance management and protection of natural forests on customary and private land</b>				<b>4,924,925</b>	<b>1,200,000</b>	<b>6,124,925</b>
TSP to support implementation by (i) raising wider awareness of the community forestry model, (ii) identifying priority areas for community forest management and supporting resource assessment, management planning, gazettelement and boundary mapping of these community forests, (iii) institutional development, training and design of financial sustainability plans, (iv) providing community forest support grants to assist in the restoration, protection and sustainable management of these forests	20 CFR	Non-refugee Districts		800,000	1,000,000	1,800,000
Boundary management	15 CFR	CFRs in Refugee Host Districts		2,250,000	200,000	2,450,000

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
Protection and overhead (fire protection, monitoring)	3,750 ha	CFRs in Refugee Host Districts		1,516,500		1,516,500
Site preparation, planting, protection and overhead	563 ha	CFRs in Refugee Host Districts		358,425		358,425
<b>Support to Government for the development and promulgation of Community Forests Regulations</b>				<b>200,000</b>	<b>100,000</b>	<b>300,000</b>
Support to Government review and consultation process, promulgation and printing		FSSD		200,000	100,000	300,000
<b>Support to Local district governments</b>				<b>2,700,000</b>	<b>700,000</b>	<b>3,400,000</b>
Capacity building and basic support packages (comprising motorbikes and basic office and field equipment for DFOs) to Local District Governments to strengthen governance of forests, woodlands and trees at district level and facilitate implementation of agroforestry and small-holder plantation investments	16	Districts		2,120,000	100,000	2,220,000
Operational support (incremental op costs)				480,000	100,000	580,000
Contingency for LG support (new districts)				100,000	500,000	600,000
Contingence				<b>4,343,789</b>	<b>0</b>	<b>4,343,789</b>
Contingence				4,343,789		4,343,789
<b>Sub component 3.2</b>				<b>14,000,000</b>	<b>0</b>	<b>14,000,000</b>
<b>Support to supply 10% ration to all camps</b>				<b>12,907,664</b>	<b>0</b>	<b>12,907,664</b>

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
Purchase of fuelwood (incl delivery)	239,031 m <sup>3</sup>	Districts adjacent/close of Refugee Settlements		10,756,387		10,756,387
Administration, tendering, distribution, verification and overheads (20%)				2,151,277		2,151,277
<b>Contingence</b>				<b>1,092,336</b>	<b>0</b>	<b>1,092,336</b>
Contingence				1,092,336		1,092,336
<b>Component 4</b>			<b>5,000,000</b>	<b>0</b>	<b>2,506,000</b>	<b>8,657,000</b>
<b>Total Component Costs</b>			<b>5,000,000</b>	<b>0</b>	<b>2,506,000</b>	<b>8,657,000</b>
<b>Support for the project coordination unit at MWE</b>			<b>2,731,550</b>		<b>705,000</b>	<b>3,436,550</b>
Full time consultant to provide support on project technical coordination	1	MWE	210,000			210,000
Full time consultant to provide support on M&E	1	MWE	210,000			210,000
Full time consultant to provide support on financial management	1	MWE	210,000			210,000
Full time consultant to provide support on procurement	1	MWE	70,000			70,000
Full time consultant to provide support on environmental and social safeguards	1	MWE	210,000			210,000
Cost of E&S risks related activities and monitoring	lump sum	MWE	60,000			60,000
Vehicle for project supervision	1	MWE	75,000		108,850	183,850
Laptop computers	5	MWE	10,500		4,200	14,700
Printers	1	MWE	1,000			1,000
Projectors	1	MWE	1,000			1,000
Digital cameras	1	MWE	1,350			1,350
Short term TA - lump sum	1	MWE	200,000			200,000
Printed communication materials -lump sum	1	MWE	50,000			50,000

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
Internal audit	lump sum	MWE	30,000			30,000
Annual project audit by auditor general	lump sum	MWE	30,000			30,000
Mid-term review and end-of-project evaluation	lump sum	MWE	100,000			100,000
Training on financial management and procurement	3	MWE	21,000			21,000
Contingence		MWE	1,241,700			1,241,700
Driver	1	MWE			77,840	77,840
Communications	1	MWE			126,490	126,490
Administration Assist/Logistics (MWE )		MWE			57,000	57,000
Printers and scanners	1	MWE			3,620	3,620
Heavy Duty Photocopier	1	MWE			12,000	12,000
Cam coder	2	MWE			4,000	4,000
Camera	2	MWE			4,000	4,000
Projector	2	MWE			7,000	7,000
Communication	lump sum	MWE			100,000	100,000
Assorted equipment's	lump sum	MWE			200,000	200,000
<b>Support for project management at UWA</b>			<b>1,115,200</b>		<b>400,000</b>	<b>1,515,200</b>
Full time consultant to provide support on project technical coordination	1	UWA	210,000			210,000
Laptop computers	2	UWA	4,200			4,200
Vehicle for project supervision (1 UWA, 1 MTWA)	2	UWA	150,000		200,000	350,000
Project supervision budget -lump sum (MTWA)	1	UWA	50,000		100,000	150,000
Training on financial management and procurement	3	UWA	21,000			21,000
Internal audit	lump sum	UWA	30,000			30,000
Consultant firm contract for design/supervision for civil works / BOQ	lump sum	UWA	500,000			500,000
Short term TA - lump sum	lump sum	UWA	150,000		100,000	250,000
<b>Support for project</b>			<b>1,153,250</b>		<b>250,000</b>	<b>3,705,250</b>

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
<b>management at NFA</b>						
Full time consultant to provide support on project technical coordination	1	NFA	210,000			210,000
Laptop computers	2	NFA	4,200			4,200
Projectors for HQ	1	NFA	1,000			1,000
Digital cameras for HQ	3	NFA	4,050			4,050
Procurement assistant	1	NFA	108,000			108,000
Training on financial management and procurement	3	NFA	21,000			21,000
Internal audit	lump sum	NFA	30,000			30,000
Vehicle for project supervision	1	NFA	75,000		150,000	225,000
Consultant firm contract for design/supervision for civil works / BOQ	lump sum	NFA	500,000			500,000
Short term TA - lump sum including for civil works design and supervision	lump sum	NFA	200,000		100,000	300,000
<b>FSSD/MWE</b>					<b>1,151,000</b>	<b>1,151,000</b>
Information on project performance and impacts		MWE				
Design and operate website and Internet based platforms	1	MWE			50,000	50,000
Communication and publicity materials	lump sum	MWE			50,000	50,000
Project bulletin (semi-annual)	10	MWE			20,000	20,000
Participation in Sector stakeholder platforms	lump sum	MWE			50,000	50,000
Participation in UWEW, Tourism Day, Wildlife, etc.	5	MWE			50,000	50,000
Annual IFPA-CD stakeholder open day	5	MWE			100,000	100,000
Radio/TV and other Media engagements	lump sum	MWE			50,000	50,000
Learning, training and sharing		MWE				

	TARGET	LOCATION	WB CREDIT (US\$)	WB GRANT (US\$)	GOU (US\$)	TOTAL (US\$)
Exchange visits and benchmarking		MWE			190,000	190,000
Annual IFPA-CD review and lesson learning and planning sessions	5	MWE			100,000	100,000
Training in priority needs relating to IFPA-CD implementation (e.g., M&E, Communications, selected topics relating to IFPA-CD, etc.)	lump sum	MWE			20,000	20,000
Participation in selected national and international forums including those associated with relevant Conventions	lump sum	MWE			150,000	150,000
Project implementation coordination, supervision and evaluation processes		MWE				
Developing M&E framework	1	MWE			15,000	15,000
IFPA-CD Steering Committee (Bi-Annual)	10	MWE			51,000	51,000
IFPA-CD Technical Coordination Committee (Semi-annual)	10	MWE			15,000	15,000
Field Supervision and monitoring	lump sum	MWE			100,000	100,000
Project tracking system	1	MWE			20,000	20,000
Progress Reporting (Semi-annual)	10	MWE			10,000	10,000
Progress Reporting (Annual)	5	MWE			15,000	15,000
Mid Term Review	1	MWE			20,000	20,000
End of Project Evaluation	1	MWE			20,000	20,000
Annual Audits	5	MWE			55,000	55,000
<b>TOTAL</b>			<b>78,200,261</b>	<b>70,000,000</b>	<b>30,000,000</b>	<b>178,200,261</b>

### **9.3 Appendix 3: TSP/Support to establishing 28 Collaborative Forestry Management (CFM) Groups**



## **TERMS OF REFERENCE FOR TECHNICAL SERVICES PROVIDER TO ESTABLISH COLLABORATIVE FOREST MANAGEMENT ARRANGEMENTS IN SELECTED CENTRAL FOREST RESERVES**

### **1. Background**

The Government of Uganda has received financing from the World Bank towards the cost of the “Investing in Forests and Protected Areas for Climate Smart Development (IFPA-CD Project”.

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the Lead Agency and Ministry of Tourism, Wildlife and Antiquities, National Forestry Authority (NFA) and Uganda Wildlife Authority (UWA). The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development will be implemented at national scale.

The project aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes.

At the end of the project life as a result of improved sustainable management of forests and protected areas, increased benefits from forests in target landscapes, additional household level economic activities supported by the project interventions, there will be an increased provision of ecosystem goods and services, increased household incomes and improved livelihoods of 250,000 households in the project area.

The interventions to achieve the above outcomes include; i) management of forest and wildlife protected areas in the Albertine Rift and West Nile region; ii) enhancing productivity of forests and wildlife protected areas; and, iii) increasing resilience of landscapes and livelihoods to climate change and impact of refugees.

The project will support NFA to establish 28 CFM groups and support of livelihood activities within the CFM groups. Support will be provided for community engagement in the management of forest resources within PAs. This will entail setting up CFM groups, training CFM members to develop skills at the community level to actively participate in and benefit from the management of forest resources, including, skills to enhance the adaptive capacity of forest dependent communities for climate resilience by strengthening their coping strategies, diversifying forest management-related employment opportunities and livelihoods, and supporting adaptive forest planning and management.

With respect to livelihoods, the project will provide targeted support for women members of CFM groups to empower them to participate and take leadership roles in natural resources management/CFR management.

National Forestry Authority (NFA) which is a semi-autonomous government organization established under the National Forestry and Tree Planting Act, 2003 has been implementing Collaborative Forest Management (CFM) for the past decade. CFM approach enables communities to participate in meaningful negotiations and decision-making regarding the routine management of the forest resources. The CFM groups are further supported in capacity building, skills development and income generation projects for the services rendered under the CFM management approach.

NFA with support from NGO/CSO and development partners has been implementing and provided support to CFM groups in various CFRs in the Project area. A review of CFM performance in 2020, confirmed that CFM groups lack the organizational capacity and skills for active participation in forestry resources management, developing and managing forest based enterprises and other livelihoods initiatives that address climate change impacts and incomes for members, among others.

National Forestry Authority (NFA) is seeking services of a Technical Services provider<sup>10</sup> (TSP) to work with NFA to set up CFM groups<sup>11</sup>, facilitate negotiation of CFM agreements, train CFM members to develop skills at the community level to actively participate in and benefit from the management of forest resources, including, skills to enhance the adaptive capacity of forest dependent communities for climate resilience by strengthening their coping strategies, diversifying forest management-related employment opportunities and livelihoods, and supporting adaptive forest planning and management. This support will build on experiences and lessons from ongoing CFM efforts and strengthen their performance as well as upscaling the CFM to other CFR.

## **2. Objectives**

The overall aim of this undertaking is to increase the involvement of local communities in the management of forest resources by increasing their access and benefits from CFRs in the project area. The NFA will hire a Technical Services Provider to undertake the following specific tasks to achieve this objective:

Specific objectives

## **3. Task of the Technical Services Provider**

- a. Together with NFA staff, facilitate negotiations between NFA and Community leading to the establishment of 28 CFM groups around the targeted CFRs. This task may include supporting NFA to review ongoing CFMs with the view to renew deserving ones.
- b. Facilitate implementation of concluded CFM agreements.
- c. Facilitate NFA to integrate Climate Change adaptation strategies in the current CFM Strategy and Guidelines.
- d. Undertake baseline surveys to assess climate change resilience and opportunities for adaptation to climate change effects, opportunities for participatory forest management, forest based livelihoods and other natural resources based opportunities.
- e. Assess capacity /skills enhancement needs for the 28 CFM groups, design and implement Training/ skills enhancement Programme to enhance community level capacity:
  - i. actively participate in management of forestry resources and benefit from the management of forest resources.
  - ii. Implement climate change adaptation activities

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<sup>10</sup> These may include national or international Non-Governmental Organizations (NGO) and Civil Society Organizations with demonstrated capacity to undertake institutional building for participatory resources management

<sup>11</sup> NFA has prioritized setting CFM in CFRs in the project area. Specific CFR will be specified in the Call for Proposals.

- iii. Optimally utilize forest and other natural resources for incomes and livelihoods
- f. Support NFA to undertake resources assessment and economic valuation of the resources demanded by communities so as to ensure resources sustainability and appreciation.
- g. Empower women to participate and take leadership roles in natural resources
- h. Support NFA field staff to effectively supervise support and monitor implementation of the CFM activity.

#### **4. NFA Obligations**

The NFA shall:

- a. Provide information on ongoing and past CFM processes, lessons and experiences learnt, CFR management plans, etc.
- b. Grant TSP access to CFR, including NFA personnel and facilities.
- c. Deploy field staff to support and engage in the CFM activities, including supervision and monitoring the CFM activity.
- d. Negotiate and enter CFM agreements with eligible CFM groups.
- e. Facilitate working relationship between TSP and CFM groups and other management commitments and arrangements in the CFR e.g., existing resource use permits/licenses/ etc.

#### **5. Deliverables**

The TSP shall be expected to deliver the following broad outputs:

- a. Revised CFM Strategy and Guidelines (incorporating Climate Change adaptation) approved by NFA.
- b. At least 28 CFM groups around targeted CFRs with signed CFM agreements by NFA.
- c. At least 28 CFM agreements under implementation
- d. Economic valuation reports for all resources being accessed from the PAs
- e. Increased capacity and community participation management of CFR resources, including increased leadership of women in CFM and CFR management processes.
- f. Increased access and benefit from resources from the CFRs, including gender balanced forest based income generating activities.
- g. Women groups with enhanced livelihoods and incomes + participation in CFM/Forest management.
- h. Capacities for NFA at field level to supervise support and monitor implementation of the CFM activity.

#### **6. Reporting Requirements**

The Technical Service Provider will report to the Executive Director, NFA through the NFA Institutional Focal Point for IFPA-CD and dedicated NFA Contract manager, and will be required to participate in relevant coordination, supervision and monitoring meetings organized by NFA for the duration of the assignment.

The following reporting is required:

- a. Quarterly reports of inputs provided, activities conducted, and outputs delivered, including troubleshooting notes and recommendations for improvements in implementation arrangements.
- b. Semi-Annual reports tracking progress towards achieving the component targets and project objectives.

## **7. Budget**

Information on budget estimates for implementing this activity and covering TSP costs will be provided in the bidding documents.

## **8. Qualification**

Bidders should demonstrate that they meet the following minimum standards:

- a. Ability to field a team of experts skilled in appropriate participatory forest management/ CFM, Community/rural development, forest based enterprises, climate change adaptation, women empowerment, valuation of natural resources, and institutional building.
- b. Evidence of facilitating participatory forest management and CFM in Uganda or East Africa Region.
- c. Sufficient organizational, managerial and staffing capacity to operate across multiple CFRs with a Programme of consistent quality.
- d. Demonstrated experience of at least three assignments in managing contracts of comparable value and scope.
- e. Demonstrated commitment to sound financial management, including systems for managing cash flow, conducting audits, overseeing procurement, avoiding corruption and facilitating whistleblowing, with accompanying manuals or guidelines.
- f. Demonstrated ability to work closely and effectively with national institutions, including Government ministries and Agencies, Local Governments, NGOs/CSOs, Private Sector.
- a. Demonstrated capacity to deliver well-written and well-designed written and visual materials that will require no further editorial work once completed.

## **9. Timing**

The deadline for receipt of Expressions of Interest is DD MM 2021. The assignment is scheduled to commence on ....., 2022 and to run until June 30, 2026.

## 9.4 Appendix 4: TSP/Support to Collaborative Resources Management (CRM)



### TERMS OF REFERENCE FOR TECHNICAL SERVICES PROVIDER TO ESTABLISH COLLABORATIVE RESOURCES MANAGEMENT ARRANGEMENTS IN SELECTED WILDLIFE PROTECTED AREAS

#### 1. Background

The Government of Uganda has received financing from the World Bank towards the cost of the “Investing in Forests and Protected Areas for Climate Smart Development (IFPA-CD Project)”.

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the Lead Agency and Ministry of Tourism, Wildlife and Antiquities, National Forestry Authority (NFA) and Uganda Wildlife Authority (UWA). The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development will be implemented at national scale.

The project aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes.

At the end of the project life as a result of improved sustainable management of forests and protected areas, increased benefits from forests in target landscapes, additional household level economic activities supported by the project interventions, there will be an increased provision of ecosystem goods and services, increased household incomes and improved livelihoods of 250,000 households in the project area.

The interventions to achieve the above outcomes include; i) management of forest and wildlife protected areas in the Albertine Rift and West Nile region; ii) enhancing productivity of forests and wildlife protected areas; and, iii) increasing resilience of landscapes and livelihoods to climate change and impact of refugees.

The project will support UWA to establish 75 CRM groups and support of livelihood activities within the CRM groups. Support will be provided for community engagement in the management of PA resources within Wildlife PAs. This will entail setting up CRM groups, training CRM members to develop skills at the community level to actively participate in and benefit from the management of resources in Wildlife PA, including, skills to enhance the adaptive capacity of PA dependent communities for climate resilience by strengthening their coping strategies, diversifying PA management-related employment opportunities and livelihoods, and supporting adaptive PA planning and management.

With respect to livelihoods, the project will provide targeted support for women members of CRM groups to empower them to participate and take leadership roles in natural resources/PA management.

Uganda Wildlife Authority (UWA) which is a semi-autonomous government organization established under the Wildlife Act (revised 2019) has been implementing Benefit Sharing through Community Conservation Initiatives and Revenue Sharing Scheme since mid-1990s. Through these initiatives, frontline communities have been able to participate in meaningful negotiations and decision-making regarding the routine management of the resources within the PAs and ecotourism. UWA has extended support to other non-resources access and sharing initiatives such as community infrastructure, problem animal management, capacity building, skills development for ecotourism among others.

Experiences from UWA- led Community conservation programmes and those championed by NGO/CSO, Private Sector and development partners (including Conservation Trust Funds) suggest that Community groups lack the organizational capacity and skills for active participation in PA resources management, developing and managing PA based enterprises and other livelihoods initiatives that address climate change impacts and incomes for members, among others.

Uganda Wildlife Authority (UWA) is seeking services of a Technical Services provider<sup>12</sup> (TSP) to work with UWA to assess the current collaborative resource access framework with the view of identifying gaps and proposing strategies for improvement. The TSP in conjunction with UWA, will set up 75 CRM groups<sup>13</sup>, facilitate negotiation of CRM agreements, train CRM members to develop skills at the community level to actively participate in and benefit from the management of PA resources, including, skills to enhance the adaptive capacity of PA dependent communities for climate resilience by strengthening their coping strategies, diversifying PA management-related employment opportunities and livelihoods, and supporting adaptive PA planning and management. This support will build on experiences and lessons from ongoing Community conservation initiatives and strengthen their performance as well as upscaling the CRM to other PAs within the IFPA-CD project area.

## 2. Objectives

The overall aim of this undertaking is to increase the engagement and involvement of local communities in the management of PA resources by increasing their access and benefits from targeted Wildlife PAs in the IFPA-CD project area. UWA will hire a Technical Services Provider to undertake the following specific tasks to achieve this objective:

- a. Together with UWA staff, facilitate negotiations between UWA and Community leading to the establishment of 75 CRM groups around the targeted PAs. This task may include supporting UWA to review ongoing CRMs with the view to renew deserving ones.
- b. Facilitate implementation of concluded CRM agreements.
- c. Facilitate UWA to integrate Climate Change adaptation strategies in the current CRM Framework.
- b. Facilitate a review of ongoing CRM programmes in the targeted PAs in the project area and assess capacity /skills enhancement needs for the CRM groups, design and implement Training/ skills enhancement Programme to enhance community level capacity:
  - i. actively participate in PA management and benefit from the management of PA resources;
  - ii. Implement climate change adaptation activities; and
  - iii. Optimally utilize negotiated PA resources and other natural resources for incomes and livelihoods.

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<sup>12</sup> These may include national or international Non-Governmental Organizations (NGO) and Civil Society Organizations with demonstrated capacity to undertake institutional building for participatory resources management

<sup>13</sup> Information on Specific PA will be provided in the Call for Proposals.

- c. Support UWA staff to undertake resources assessment and economic valuation of the resources demanded by communities so as to ensure resources sustainability and appreciation
- d. Empower women to participate and take leadership roles in natural resources management in the Wildlife PAs
- e. Support UWA field staff to effectively supervise, support and monitor implementation of the CRM activity.

### **3. UWA Obligations**

The UWA shall:

- a. Provide information on ongoing and past CRM processes, lessons and experiences learnt, PA management plans, etc.
- b. Grant TSP access to PA, including UWA personnel and facilities
- c. Deploy field staff to support and engage in the CRM activities, including supervision and monitoring the CRM activity
- d. Negotiate and enter CRM agreements with eligible CRM groups.
- e. Facilitate working relationship between TSP and CRM groups and other management commitments and arrangements in the PA e.g., existing resource use permits/licenses/ etc.

### **4. Deliverables**

The TSP shall be expected to deliver the following broad outputs:

- a. Revised UWA's CRM Strategy document approved by UWA
- b. At least 75 CFM agreements reviewed and signed around targeted Wildlife PAs in the project area
- c. At least 75 CFMs agreements under implementation.
- d. Economic valuation reports for all resources being accessed from the Wildlife PAs
- e. Increased capacity and community participation management of Wildlife PA resources, including increased leadership of women in PA CRM and management processes.
- f. Increased access and benefit from resources from the Wildlife PAs, including gender balanced income generating activities
- g. Women groups with enhanced livelihoods and incomes + participation in CRM
- h. Capacities for UWA at field level to supervise support and monitor implementation of the CRM activities.

### **5. Reporting Requirements**

The Technical Service Provider will report to the Executive Director, UWA through the UWA Institutional Focal Point for IFPA-CD, and will be required to participate in relevant coordination, supervision and monitoring meetings organized by UWA for the duration of the assignment.

### **6. Budget**

Information on budget estimates for implementing this activity and covering TSP costs will be provided in the bidding documents.

## 7. Qualification

Bidders should demonstrate that they meet the following minimum standards:

- a. Ability to field a team of experts skilled in appropriate participatory PA management/ CRM, Community/rural development, climate change adaptation, resources based enterprises, women empowerment, valuation of natural resources, and institutional building.
- b. Evidence of facilitating participatory PA management and CRM in Uganda or East Africa Region.
- c. Evidence of conducting valuation of natural resources
- d. Sufficient organizational, managerial and staffing capacity to operate across multiple PAs with a programme of consistent quality.
- e. Demonstrated experience of at least three assignments in managing contracts of comparable value and scope.
- f. Demonstrated commitment to sound financial management, including systems for managing cash flow, conducting audits, overseeing procurement, avoiding corruption and facilitating whistleblowing, with accompanying manuals or guidelines.
- g. Demonstrated ability to work closely and effectively with national institutions, including Government ministries and Agencies, Local Governments, NGOs/CSOs, Private Sector.
- h. Demonstrated capacity to deliver well-written and well-designed written and visual materials that will require no further editorial work once completed.

## 8. Timing

The deadline for receipt of Expressions of Interest is DD MM 2021. The assignment is scheduled to commence on ..... 2022 and to run until June 30, 2026.

## 9.5 Appendix 5: Guidelines for CFM under NFA



# NATIONAL GUIDELINES FOR IMPLEMENTING COLLABORATIVE FOREST MANAGEMENT IN UGANDA 2003

## PART ONE: BACKGROUND

### 1. Introduction

#### 1.1 Policy and Legal Context

There was clearly need for a Collaborative Forest Management Guideline in Uganda. A number of CFM pilots have been piloted in various forest reserves in the country without elaborate guidelines. As a result, it has been rather difficult for those involved to drive a CFM process to the end without getting stuck. Besides, harmony has been lacking in the way the CFM process has been put in place in many sites although the situation differs with respect to the differences in ecological and social-cultural factors.

The CFM Guidelines are based on the following policy and legal context:

- a. The **1995 Constitution of the Republic of Uganda** that gives the ownership of natural resources to the people of Uganda while government holds the resources in trust for all citizens.
- b. The **Convention on Biological Diversity (CBD)** (1992) highlights the importance of sustainable use and equitable sharing of benefits that arise from biodiversity resources.
- c. The **Local Government Act** (1997) emphasizes decentralization of much of the responsibility for governance of natural resources such as forests to local government and sub-county councils
- d. The **Poverty Eradication Action Programme (PEAP)**, (1997) highlights forestry as one of the elements to fight poverty.
- e. **Plan for Modernization of Agriculture (PMA)**, (2000) includes forestry as one of the sectors that will lead to improvement of rural livelihoods.

- f. The National Agricultural Advisory Services (NAADS), Uganda Vision 2025, Biodiversity Strategy and Action Plan highlight the importance of natural resources in sustainable economic development.
- g. The **National Forestry Plan** puts forestry to the fore in national economic development.
- h. The Forestry Policy (2001) emphasizes Government commitment to “*promote innovative approaches to community participation in forest management on both government and private forest land*”.
- i. The **National Forestry and Tree Planting Act (2003)** lays out a legal framework for development of CM agreements for various categories of forest reserves.
- j. The **CFM Regulations (2003)** and **CFM Guidelines (2003)** are a fulfilment of the provision of the National Forestry and Tree Act (2003).
- k. **The National Forestry and Tree Planting Act, Section 28(1)** provides for the preparation of a Management Plan for a forest reserve before a CFM process can be implemented.

## The Definition and Rationale for Collaborative Forest Management

### What is CFM? -

“**Collaborative Forest Management**” means “a mutually beneficial arrangement in which a local community or forest user group and a responsible body share roles, responsibilities and benefits in a forest reserve or part of it”.

Collaborative Forest Management consists of a **process** that leads to an **agreement** between the partners involved in management.

### Reasons for using a collaborative management:

- a. CFM is aimed at achieving improved and more efficient management of the permanent forest estate (central and local forest reserves). Other reasons include:
- b. A recognition that a Forest Reserve can only be adequately managed if co-operation of the forest adjacent communities is obtained;
- c. A desire to overcome conflicts with neighbouring communities;
- d. A desire to create opportunities for local people to contribute towards protection and rehabilitation of Forest resources and thus reduce the costs of management;
- e. A philosophical commitment to human rights and thus to fair and equitable treatment of communities living around the Central Forest Reserves (CFRs) who have traditionally used forest resources;
- f. A mechanism for supporting sustainable forest-based livelihoods in poor rural communities;
- g. An awareness that forest reserves are decreasing while the human population is increasing;
- h. A move towards participatory approaches and decentralized governance in natural resource management.

### A Vision for CFM

The Vision of CFM is "Improved forest conservation and livelihoods of forest adjacent communities"

CFM is a key tool in achieving some of the purposes of the new National Forestry and Tree Planting Act, 2003. CFM helps to:

- a. Ensure that the forests are conserved and managed in a manner that **meets the needs of the present generation without compromising the rights of future generations** by safeguarding the forest biodiversity and environmental benefits accruing from forests;
- b. Promote the **improvement of livelihoods** in all strategies and actions for the development of the forest sector;
- c. Encourage and **facilitate public participation** in the management and conservation of forests and trees;
- d. Facilitate **greater public awareness** of the cultural, economic and social benefits of conserving and increasing forest cover;
- e. Ensure the sustainable supply of forest produce and services by maintaining sufficient forest area **under efficient, effective and economical management**, and
- f. Promote equitable sharing of forest benefits, with special focus on disadvantaged groups, **particularly women and the poorer sections of the community**.
- g. Achieving improved and more efficient management of the permanent forest estate.

In addition, CFM is expected to:

- a. **Reduce conflicts** between Central/Local Government and forest-adjacent communities by establishing the terms of a fair deal – in terms of distribution of benefits, responsibilities, and decision-making authority in management of forests
- b. **Reduce costs and ensure fairer distribution** of the costs of forest management
- c. Enable sharing knowledge and skills between both the **Responsible Body** and its **Partners**
- d. **Create a sense of “ownership”** and promote security of tenure of local people over forest resources.

#### 1.4 Roles and Responsibilities of Main Stakeholders in CFM

Collaborative Forest Management is about sharing roles, responsibilities, rights, authority and benefits between the different partners throughout the process. These are as shown in the table below.

Partner	Roles and responsibilities
Government (Responsible Bodies)	Initiate the CFM process Guide and support the process
Local council	Initiate the CFM process for a local forest reserve Request to co-manage a CFR with Central Government
Local community	Apply for CFM to the responsible body Participation and support for the CFM process
NGOs (or Civil Society Organisation)	Facilitate the community or interest use group to request for CFM Build the capacity of communities in negotiating skills Scale up the demand for CFM through community awareness
Forest Rangers	Lead field teams to develop collaborative management agreements Guide the field teams through CFM Process
Forest Officers	Supervise and guide collaborative management teams Assisting the teams e.g. in interpreting the relevant laws/policies Coordinates law enforcement and collaborative management as agreement is being developed Reports to Area Manager on the progress of the CFM process
Forest Area Managers	Oversees the CFM processes in his area Liaison with Responsible Body Headquarters (RBHQ) and District Government on collaborative management arrangements Review draft agreements / management plans against standards Sign collaborative management agreements
Executive Director	Setting of standards and monitoring compliance
Forest Inspectorate Division	Periodic spot checking on the legality of the CFM agreements

## 1.5 Guiding Principles for CFM in a Forest Reserve

There is no rigid blue print for implementing CFM. The principles below are just a guide to CFM partners involved in implementing the CFM process.

### Basic Guiding Principles for CFM in a Forest Reserve

- *A process approach based on learning by doing. The outputs (i.e. Agreements) are equally important as the process of CFM.*
- *Meaningful participation and shared analysis. Take sufficient time “rapid is rarely” participatory.*
- *Based on negotiation and consensus building. Those with responsibility for forest management (e.g. NFA) should fully participate.*
- *Appropriate representation and responsibilities.*
- *A supportive legal and policy framework.*
- *Building capacity for change.*
- *Long term Perspective.*
- *Transparent Communication to attract marginalised stakeholders.*

## PART TWO: THE PROCESS

### Overview of the nine basic steps for CFM in Uganda:

- ♣ Step 1: Initiating the process.
- ♣ Step 2: Preparation of an application for CFM.
- ♣ Step 3: Official meeting between Applicant and Responsible Body.
- ♣ Step 4: Participatory Situation analysis.
- ♣ Step 5: Negotiating and Drafting a Collaborative Forest Management Plan.
- ♣ Step 6: Establishment and Registration of a community Institution.
- ♣ Step 7: Negotiating and Drafting the CFM Agreement and Plan.
- ♣ Step 8: Final consultative meeting between Applicant and Responsible Body to review, finalize, sign and launch the Collaborative Forest Management Plan and CFM Agreement.
- ♣ Step 9: Implementation of the CFM Agreement and Plan.

## 2. The Collaborative Forest Management Process

### 2.1 Step 1. Initiating the process

***The Responsible Body, or Local Community or other interested parties (e.g. NGO or CBO) can initiate the need for CFM.***

The applicant for CFM does not have to be a legal Personality but could be any of the following:

- ♣ A forest adjacent community or group of forest adjacent communities
- ♣ A forest user group
- ♣ Communal Land Associations;

- ♣ Co-operative Society;
- ♣ Farmers' Groups;
- ♣ A Non-Government Organization that draws its membership from the local community; and
- ♣ Any other suitable institution officially defined by the Minister.

### **Objectives of Step 1**

- a. To create awareness in the forest adjacent communities, local administration and politicians about the need for CFM in line with the Forestry Policy 2001, National Forestry and Planting Act 2003 and CFM Regulations.
- b. To build local community skills required for initiating CFM.
- c. To initiate a good working relationship between the Responsible Body and local community.
- d. To assess the possibility for CFM in a Forest Reserve.

### **Expected Outputs**

- a. Target forest adjacent community know about opportunities for CFM.
- b. The District Environment Committee and Council understand and support the process.
- c. Sub-county and lower Local Councils (Laces) understand and support the process.
- d. Local community discusses and agrees with other stakeholders to apply for CFM.

## **2.2 Step 2: Preparing an application for CFM**

### **Objective of step 2**

- a. To submit a CFM application to the RB

### **Expected Outputs**

- a. A public meeting held to discuss and agree on the CFM application
- b. A CFM Application submitted to the RB
- c. A response from the RB to the CFM Applicant

## **2.3 Stage 3: Official meeting between applicant and RB**

The applicant and the RB agree and organize a meeting at an appropriate place in the field for the stakeholders.

### **Objectives of step 3**

- a. To conduct the first meeting between the applicant for CFM and the RB.
- b. To review and agree on the application for CFM.

### **Expected outputs**

- a. Application and objectives for CFM agreed between the RB and applicant.
- b. Shared Vision between applicant and RB.
- c. Roles and teams for the CFM process agreed between the applicant and RB.
- d. Publicize and Launch CFM process.
- e. Minutes of the meeting.

#### **Step 4: Participatory Situation Analysis**

The applicant and RB form a Planning Team (PT) that will help to facilitate the process. The Planning Team will carry out Situation Analysis and drafting the CFM Plan within the available time.

##### ***Situation Analysis***

The scale and scope of this analysis will depend on the forest area and resources for which the CFM agreement and CFM plan is being developed. At this stage local community needs to be involved as much as possible. The information collected during this stage will be used to inform the planning process.

##### **Objectives of Step 4**

- a. To understand in the resource use patterns and values local communities attach to the resources.
- b. To identify the threats to the forest resources.
- c. To identify the forest users and other stakeholders who influence or will be influenced by the management of the forest.
- d. Identify conflicts at the beginning of the CFM process so as to manage and reduce the conflicts.
- e. To identify the social, economic, physical and institutional set-up of the local community.
- f. To ensure that interventions can be tailored to meet needs of target (disadvantaged) groups.

##### **Expected outputs**

- a. Stakeholders and facilitators/conveners of process are aware of context for CFM.
- b. Information for the CFM plan is collected and analyzed.
- c. Key issues and challenges for forest management identified and prioritized;
- d. Stakeholders have been identified, contacted and are aware of their roles in the CFM process.

#### **2.5 Step 5: Negotiating and drafting a Collaborative Forest Management Plan**

##### **Objectives of step 5**

- a. To define management objectives and strategies arising out of the problems.
- b. To prepare a draft Collaborative Forest Management Plan.

##### **Output**

- a. A draft Collaborative Forest Management Plan

This step has 3 main activities each with its objectives and expected outputs as shown in the table below

<b>Activity</b>	<b>Objective</b>	<b>Expected output</b>
-----------------	------------------	------------------------

<b>Formation of a Negotiating Team</b>	To form a Local Community team that will negotiate with RB. To encourage faster completion of the CFM process.	A representative Negotiating Team from the local community.
<b>Negotiating and Drafting the CFM Plan</b>	To produce a document/plan that will guide the stakeholders in the management of the forest	Draft CFM Plan
<b>Testing Agreements or proposed management initiatives.</b>	To test proposals within the CFM plan. To have an opportunity to learn from experience and feedback to the improvement of the plan. To learn about the practicalities of forest management and to help the CFM Applicant gain confidence.	Revised CFM Plan Strengthened / confident Institution

## 2.6 Step 6: Institutional formation and development

To sign a CFM Agreement, the community concerned must be a legal entity. This may be existing institutions (formal or informal) or form a new one altogether.

### Objectives of step 6

- a. To support the formation or formalization of an institution at the local community level (Village) to manage the forest area.
- b. To agree on membership criteria and election procedures, which ensure that all groups (gender, wealth, residency status, and forest user groups) are properly represented.
- c. To build the capacity of this institution to operate effectively.

### Expected Output

- a. A functioning CFM institution

The main activities involved in this stage are shown in the table below

<b>Activity</b>	<b>Objective</b>	<b>Expected output</b>
Election of a Community Forest Management Committee	To form the Community Management Committee from the Local Community. To establish a Committee that will link the RB to the wider local community.	A Community Management Committee elected A committee that will represent the local community on the CFM Committee.
Build capacity of the Community Forest Management Committee	To train Committee in legal basis for CFM, leadership, negotiation, communication and group facilitation skills, negotiation skills, planning, forest management, record keeping, accountability and simple conflict resolution methods.	Committee with capacity to manage the forest and their own affairs.

## 2.7 Step 7: Negotiating and drafting a CFM Agreement and Plan

To be done between the RB and the elected negotiating team and not the forest management committee. The draft CFM Plan will further be negotiated at this stage.

This step has two major activities as given in the table below

<b>Activity</b>	<b>Objective</b>	<b>Expected output</b>
Negotiating Roles, Responsibilities, Rights and benefits	To agree on roles, responsibilities, rights and benefits between key stakeholders in CFM.	Draft CFM Agreement and Plan
Drafting the CFM Agreement	To produce the draft CFM Agreement	Contents of the CFM Agreement accepted by the applicant and RB.

## **2.8 Step 8: Review of the Plan and Agreement by stakeholders**

### **Objectives of step 8**

- a. To present the draft CFM Agreement and plan to all the stakeholders for final review and approval
- b. To produce the final version of the Forest Management plan and CFM Agreement.
- c. To enable the parties to formally sign to signify their commitment to the Agreement

To render legal effect to the Agreement and Management Plan.

### **Expected Outputs**

- a. Agreement from the applicant and RB that the CFM plan and CFM Agreement meet their aspirations and objectives of management, activities, rules and responsibilities within the existing government policies and laws.
- b. Minutes of the meeting as a record of any agreed changes and amendments
- c. At least 75% of the registered resource users attend the meeting and sign the Agreement.

## **2.9 Step 9: Implementation**

### **Objectives of step 9**

- a. To support the implementation of the Management Plan and CFM Agreement.
- b. To prepare a Monitoring and Evaluation Framework, and the annual plan of operations for the forest management plan.
- c. To generate feedback on ongoing activities in order to assess whether or not progress is adequate, and to take corrective action if it is not.
- d. To establish a regular review and adaptation process between planning cycles.

### **Expected Outputs**

- a. The community, especially the CFMC, is trained in several issues including:
- b. Development and implementation of annual work plan.
- c. Development and implementation of Monitoring and Evaluation Plan.
- d. Development of alternative livelihoods

- e. The stakeholders are aware of the CFM plan and Agreement and participate in implementation.

**Points to note about the CFM process:**

- ♣ The CFM process is not linear. Some steps may have to be repeated where necessary to build consensus between the stakeholders. Related steps e.g. 5, 6 and 7 can be done simultaneously.
- ♣ Building relationships and awareness in the Local Community about CFM is very vital before any meaningful Collaborative Forest Agreement can be realized.
- ♣ The CFM application should be consistent with the CFM Regulations, in line the overall forestry-planning framework and not for commercial exploitation.
- ♣ A Responsible body may form a joint committee with the local community called a CFM Committee or umbrella committee with representatives from a number of committees around the forest.
- ♣ In the final review meeting give public notice at least 30 days before the meeting. Record all modifications during the meeting. Endorsement of the plan and Agreement through voting should be by a two-thirds majority. Forest Management Committee on behalf of the local community and RB representative will sign the agreement thereafter.

## Annex 1: Suggested Contents of a Collaborative Forest Management Agreement

Refer to the CFM Regulations for the format of the CFM Agreement. Make sure the following issues are spelt out clearly in the CFM Agreement:

### **Title:**

*Collaborative Forest Management Agreement in .....of .....Central or Local Forest Reserve.*

### **Preamble:**

That it is supported by law the National Forestry and Tree Planting Act

Who are the main parties;

Land/ resource ownership

Scope (period and area covered)

### **Area covered**

- Description of the detailed geographical area and resources covered by the agreement (Attach Map)

### **Definitions**

Meanings of key words used

### **Parties to the agreement**

Full description of organisations who are signatories (membership, representation) \*

Other groups/ institutions who have a role

### **Management objectives for the area**

Summary of the key agreed management objectives for the area or resources

### **Rights and Benefits**

For each of the signatories

For other groups and stakeholders

### **Roles and Responsibilities**

For each of the signatories

For other groups and stakeholders

### **Duration of agreement**

Main duration/ expiry date

Scope for renewal

### **Review and Revision**

Period/ mechanisms/ who

Based on what (Monitoring)

### **Mechanisms for dispute management**

Process in case of dispute

Process for suspension/ termination

Penalties/ enforcement

### **Signatories**

Signed by key parties

Date signed

Witnesses

Seal of approval

### **Appendices**

Maps

Management Plan

By-laws

Institutional arrangements

Constitution of new organisation

Monitoring and evaluation plan

Endorsement from other

parties/groups/stakeholders

Annex 2: Suggested contents of a Collaborative Forest Management Plan (CFM Plan)  
This is a time bound document, which is subject to the Agreement. The outline below is intended to act as a guideline and not a blue print for the contents of a CFM plan.

### **Part One: Background**

- ♣ Background to the Management Plan
- ♣ Physical geography
- ♣ Name of forest
- ♣ Policy and legal issues
- ♣ Boundaries
- ♣ Forest resources and use
- ♣ Biodiversity
- ♣ Socio-economics
- ♣ Institutions

### **Part Two: Plan of Action**

- ♣ Vision
- ♣ Objectives of management
- ♣ Time-frame of the Management Plan
- ♣ Strategies and activities for implementation
- ♣ Roles, Rules, Responsibilities, Rights and Benefits
- ♣ Zonation
- ♣ Work Plans
- ♣ Administration
- ♣ Financing
- ♣ Monitoring Plan
- ♣ Procedure for modifying Management Plan

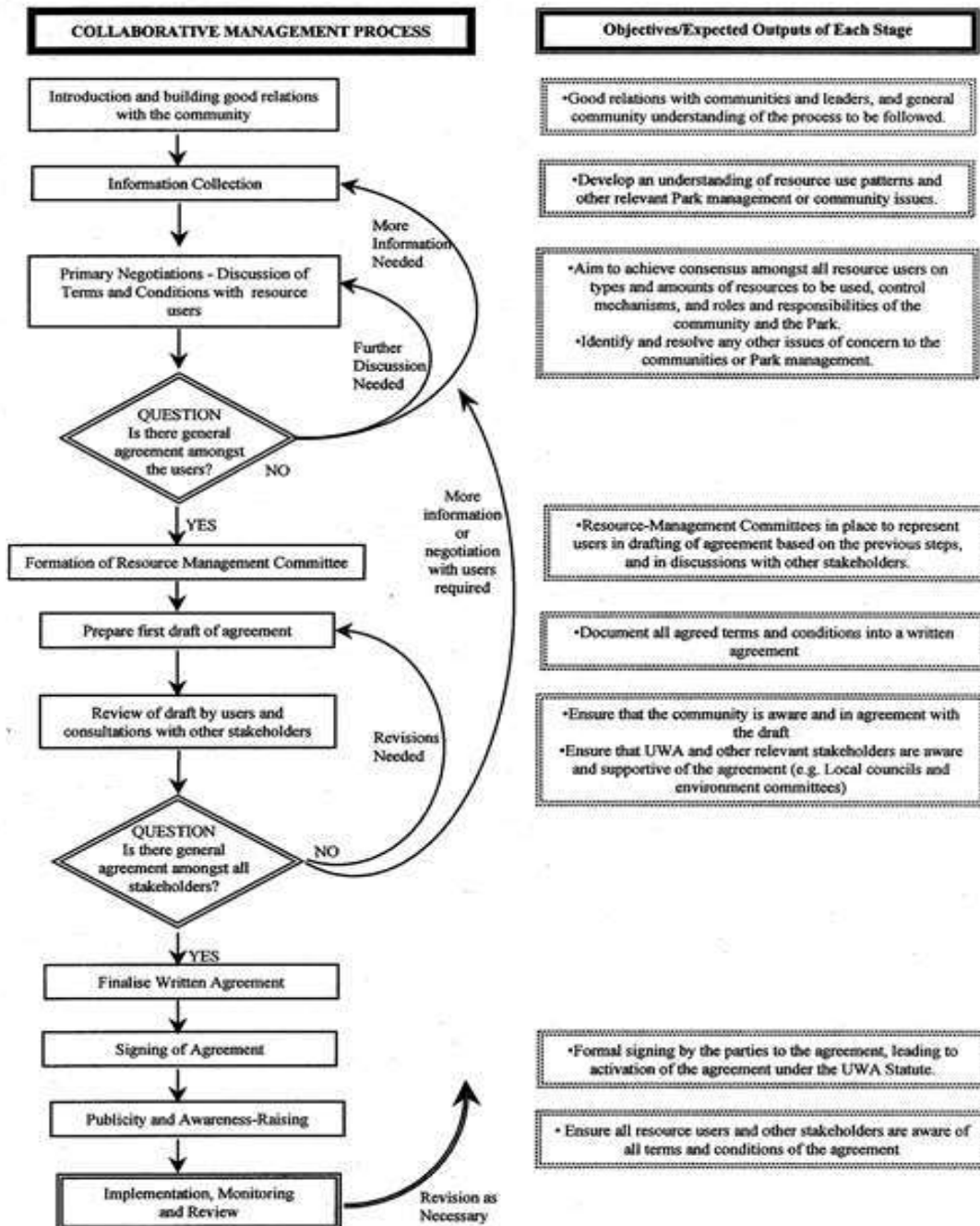
### **Part Three: Annexes**

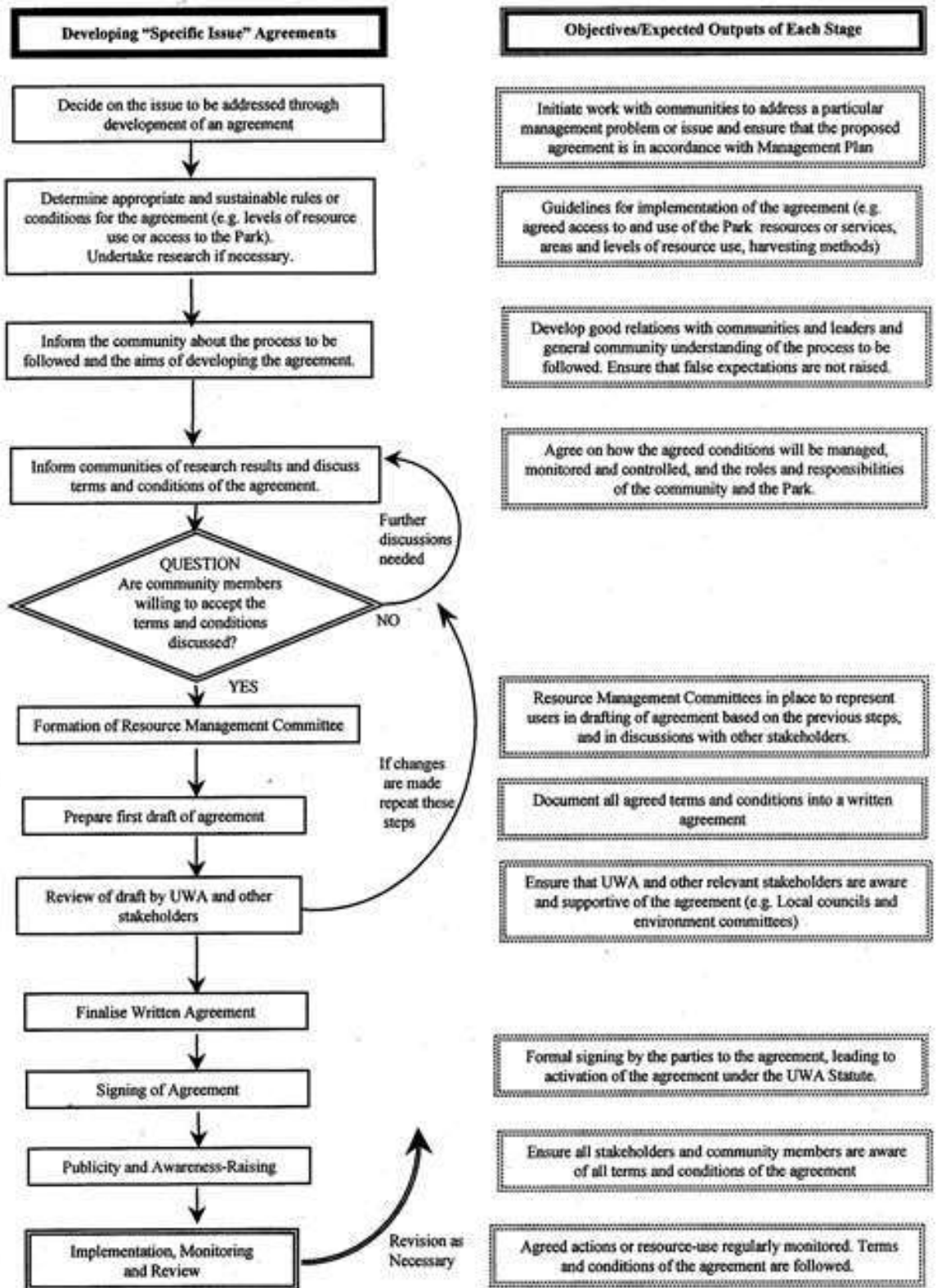
For example:

- ♣ Maps

## 9.6 Appendix 6: Procedures for CRM under UWA

### STEPS OF DEVELOPING CRM-UWA





## **9.7 Appendix 7: Criteria for Selecting location and beneficiaries of the Community Ecotourism Support**

### **Criteria for selecting locations and beneficiaries of the Community Ecotourism Support (CES)**

**The Principle:** The Community Ecotourism Support (CES) will apply a Public-Private Partnership (PPP) model based on the principle of co-investment by both the beneficiary community and the Project.

The CES is available as a non-refundable in-kind grant. There are, however, certain standards that have to be met before the money is disbursed and this will be verified by site inspections jointly by Warden Tourism or Forestry Inspector of hosting PA and District Tourism Officer/Commercial Officer of the hosting District.

**Locations:** Around the targeted Wildlife PA

**Eligibility:** Community Groups/Not-for-profit organizations registered as NGOs/CBOs/Associations by District Local Government in which they operate.

#### **Eligibility conditions (general):**

- a. Proof of registration with District Local Authorities
- b. Organizational Constitution or other governance instrument
- c. Membership/ownership register, approved governance structures and processes.
- d. Management/ Business plan indicating clear objectives and modalities.
- e. Ecotourism business proposal.
- f. Pre-investment of at least 50% of business establishment cost.

#### **Modality (General):**

- a. Prospective Community Groups will apply using prescribed form issued by the District Tourism/Commercial Office, with all supporting documents described under 'eligibility' attached.
- b. An appraisal visit jointly by Warden Tourism or Forestry Inspector of hosting PA and District Tourism Officer/Commercial Officer of the hosting District will be conducted to the applicants to appraise proposed business and other information provided the application form, among others.
- c. Application(s) will be approved by the Project Steering Committee and successful applicants notified in writing.
- d. Approved Groups will enter a binding commitment (Agreement) with UWA stipulating the obligations of the Group and CES, terms of conditions for support and dispute resolution mechanism.
- e. The CES is supported by opportunities for practical training, performance based industry exposure study tours, and other technical inputs.

#### **Eligibility conditions (Batwa):**

Support to Batwa is an affirmative action. The support to Batwa Tourism activities will be prioritized in the Vulnerable and Marginalized Groups Management Plans (VMGMP) and processed and channelled through the Protected Area Management or Batwa representative NGO as appropriate. In both cases, the proposed support will be managed as a standalone activity with sufficient involvement and

ownership by the Batwa Group. The proposal for the support to Batwa groups will furnish the following information:

- a. The name and location of the group
- b. Membership and group structures (*if any*)
- c. Evidence of ownership of the proposed activity by Batwa
- d. Description of the modalities direct Batwa engagement in the implementation/management and benefit from the business activity.

**Modality (Batwa):**

- a. The application for support to Batwa group will apply prescribed form issued by the PCU, with all supporting documents described under 'eligibility' attached.
- b. An appraisal visit jointly by Warden Tourism or Forestry Inspector of hosting PA and District Tourism Officer/Commercial Officer of the hosting District will be conducted to the applicants to appraise proposed business and other information provided the application form, among others.
- c. Application(s) will be approved by the Project Steering Committee and successful applicants notified in writing.
- d. Approved agent will enter a binding commitment (Agreement) stipulating the obligations of the Agent and Batwa Group and CES, terms of conditions for support and dispute resolution mechanism.
- e. The CES is supported by opportunities for practical training, performance based industry exposure study tours, and other technical inputs.

## 9.8 Appendix 8: Criteria for performance based forest plantation subsidy

### Criteria for Performance – based forest plantations subsidy

#### 1. Introduction

The MWE is promoting private sector-led establishment of plantation forests in Uganda. This is part of the efforts to further increase plantation area and address the current shortfall in supply from timber plantations through the provision of incentives that will continue to expand plantation area and improve quality standards of planting stock. Increasing private sector investment and participation will be key to achieving this objective.

As part of this effort, the IFPA-CD intends to support the establishment of 36,000 ha<sup>14</sup> by 2026 as well as the associated development of wood value chains using IDA financing with the aim of enabling plantation forestry to become a strong and self-sustaining economic sector in Uganda. An additional 23,000 ha will be established across the country using Government of Uganda counterpart financing. To accomplish this, two types of investments will be made: (a) investments to further increase plantation area to reach a critical mass that can meet the demands of the local and regional markets; and, (b) investments to support processing and utilization of forest products to produce higher-value wood products.

Each type of investment will consist of a performance-based subsidy scheme that will focus on ‘clusters’ around well-established commercial tree growers (Map 1).

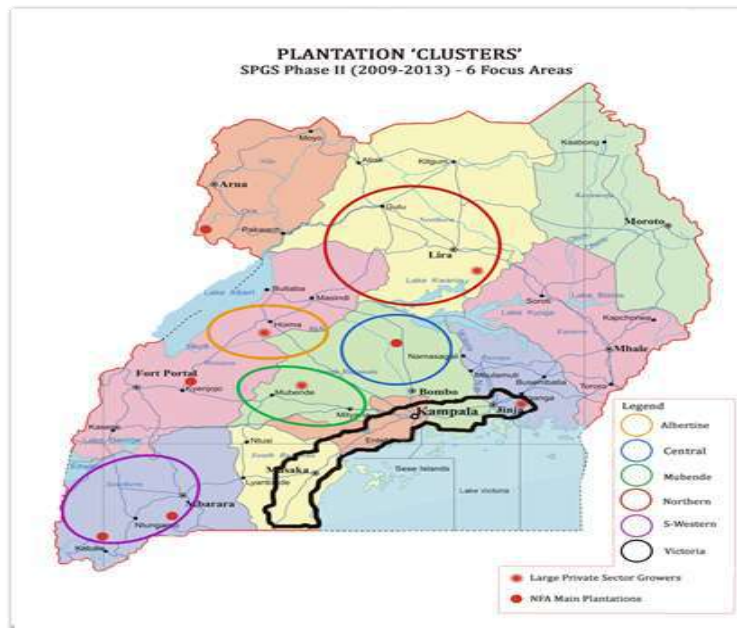
#### 2. The Subsidy Grant Making Scheme for establishment of over 36,000 hectares of plantation forests

**2.1 Scope:** The Forest Plantation Establishment Grant Scheme will target eligible tree growers for commercial tree-growing through plantation establishment. Non-refundable grants up estimated to cover approximately 50% of establishment costs for the first 4 years will be provided by the project to beneficiaries. The grants will be based on the principle of co-investment, and will be conditional upon quality of established plantations and retrospective i.e. plant/prune/thin-inspect-pay basis.

**2.2 Location:** The scheme will be implemented in six clusters: Albertine, Central, Mubende, Northern, South-western and Victoria clusters (Map 1). The cluster approach is designed to enable the development of appropriate value chains and to assist smaller growers to access markets for plantation-grown timber.

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<sup>14</sup> The criteria document only covers the 36,000Ha which will be contracted out to the TSP under the IDA funding component. The Government of Uganda counterpart financing for this sub component will be administered in accordance with GoU procedures for supporting commercial tree planting other directives that may be issued by MoFPED regarding utilization of the Tree planting budget releases.



**2.3 Delivery mechanism:** The MWE will hire and supervise a Technical Service Provider (TSP) who will; i) manage the issuance of calls for performance-based contracts; ii) undertake initial screening of all received applications and make recommendation to the Grant Management Committee and Project Steering Committee; iii) manage and monitor performance-based contracts including quality assurance and compliance with environmental and social standards, including labour management procedures; and, iii) provide technical support for silvicultural and value chain development.

**2.4 Targeted Commercial Tree species:** The final list of species to be promoted will be concluded by the TSP and the Project Steering Committee but based on their viability for the different sites, could include species with high production potential such as: *Pinus caribaea*, *Pinus patula*, *Pinus Oorcarpa*, *Terminalia spp*, *Tectona grandis (Teak)*, *Eucalyptus spp* and *Eucalyptus clones*, *Araucaria cunninghamii*, *Cupressus lusitanica*, *Melia volkensii*, *Gmelina arborea.*, *Mahogany*.

### 3. Principles

**The principles for the grant mechanism:** The TSP shall design a fully-fledged grant subsidy scheme including procedures. The criteria of the proposed scheme will be approved by the IFPA-CD Project Steering Committee. The Grant scheme and its criteria will reflect the following principles.

#### 3.1 Overall eligibility principles

- a. Private land owners (with proof of ownership) or individuals or business entities with or under long-term lease (with the remaining lease period covering at least one full rotation of the selected species) from the National Forestry Authority within a Central Forest Reserve.
- b. Minimum size equivalent to 10 ha in one continuous land parcel. Preference will be given to larger areas to promote commercial forestry objectives as efficiently as possible.
- c. The land parcels will be located in the geographical areas that fall under the six 'clusters' for which investments to support processing and utilization of forest products will be made. The cluster approach is designed to enable the development of appropriate value chains and to assist smaller growers to access markets for plantation-grown timber. However, as will be determined by the TSP at evaluation stage, areas outside the clusters could be considered depending on acreage, species, strategic location, and economic viability.
- d. As the subsidy will cover part of the establishment and maintenance costs only and is provided after the fact and based on performance, the plantation owner needs to demonstrate sufficient

capital for the initial investment.

- e. Management plan approved by the TSP indicating clear objectives, species selection and land suitability, and timelines of management activities, etc.
- f. Strong preference will be given to individuals and entities that already have a proven track record of successful plantation establishment.

### **3.2 Principles to assess performance**

The scheme will provide three types of performance-based grants<sup>15</sup>: (i) establishment grant, (ii) pruning grant, and (iii) thinning grant. Principles for these performance-based grants include:

#### **3.2.1 For the establishment grant**

- a. Use of seed/seedlings sources approved by TSP.
- b. Establishment has been undertaken in accordance with social and environmental standards laid out in the IFPA-CD Project Environmental and Social Management Framework (ESMF), and related plans and guidelines, including the labour management procedures and environmental screening guidelines developed by the TSP.
- c. Minimum 80% stocking after three months and after successful beating up at the next planting season.
- d. Weeding and other maintenance performed to an acceptable standard as developed or accepted under the grant mechanism and protecting the crop from grazing animals and fires.
- e. Maintaining a clean monocrop plantation without any agricultural crops intercropping. However, more than one tree species could be allowed on the same parcel as long as there is clear partition between any two species.
- f. Termination of contract based on non-compliance to the laws of Uganda including labour laws as well as the basic requirements for eligibility for the grant.

#### **3.2.2 For the pruning and thinning grant**

- a. Pruning and thinning performed to an acceptable standard as developed under the Subsidy mechanism.
- b. Continued protecting the crop from fires.
- c. Termination of contract based on non-compliance to the laws of Uganda including labour laws and labour management procedures of the project as well as the basic requirements for eligibility for the grant.

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<sup>15</sup> The application of the pruning and thinning grants will be applied on case by case based on the species whose pruning and thinning cycle falls within the project period.

## 9.9 Appendix 9: TSP/Operating a Performance-based Forest Plantation Subsidy Scheme



REPUBLIC OF UGANDA

### Terms of Reference for Technical Services Provider Performance based Forest Plantation Subsidy Scheme

#### 4. Introduction

The Government of Uganda, through the Ministry of Water and Environment (MWE) (Lead Agency), Ministry of Tourism Wildlife and Antiquities (MTWA), Uganda Wildlife Authority (UWA) and National Forest Authority (NFA), is implementing "The Uganda Investing in Forests and protected areas for Climate Smart Development (IFPA-CD) Project with funding from the World Bank and Government of Uganda Counterpart funding.

The objective of the project is to promote sustainable management of forests and protected areas with an aim of increasing forestry benefits to communities in the project areas. The project geographic area coverage includes the Albertine Rift and West Nile, with focus on selected protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development will be implemented at national scale.

The project aims to improve forest landscape management in refugee-hosting areas by supporting forestry development and sustainable woodland management on both private and customary land to enhance the resilience of local communities and landscapes to climatic changes and to refugee-related environmental impacts. The project support to these activities will be led by Ministry of Water and Environment.

The MWE is promoting private sector-led establishment of plantation forests in Uganda. This is part of the efforts to further increase plantation area and address the current shortfall in supply from timber plantations through the provision of incentives that will continue to expand plantation area and improve quality standards of planting stock. Increasing private sector investment and participation will be key to achieving this objective.

As part of this effort, the IFPA-CD intends to support the establishment of 36,000 ha<sup>16</sup> by 2026 as well as the associated development of wood value chains using IDA financing with the aim of enabling plantation forestry to become a strong and self-sustaining economic sector in Uganda. An additional 23,000 ha will be established across the country using Government of Uganda counterpart financing. To accomplish this, two types of investments will be made: (a) investments to further increase plantation

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<sup>16</sup> The criteria document only covers the 36,000Ha which will be contracted out to the TSP under the IDA funding component. The Government of Uganda counterpart financing for this sub component will be administered in accordance with GoU procedures for supporting tree planting, subject to possible adjustment to emphasize commercial tree plantations and other directives that may be issued by MoFPED regarding utilization of the Tree planting budget releases.

area to reach a critical mass that can meet the demands of the local and regional markets; and, (b) investments to support processing and utilization of forest products to produce higher-value wood products.

The scheme will be implemented in six clusters: Albertine, Central, Mubende, Northern, South-western and Victoria clusters (Map 1). The cluster approach is designed to enable the development of appropriate value chains and to assist smaller growers to access markets for plantation-grown timber.

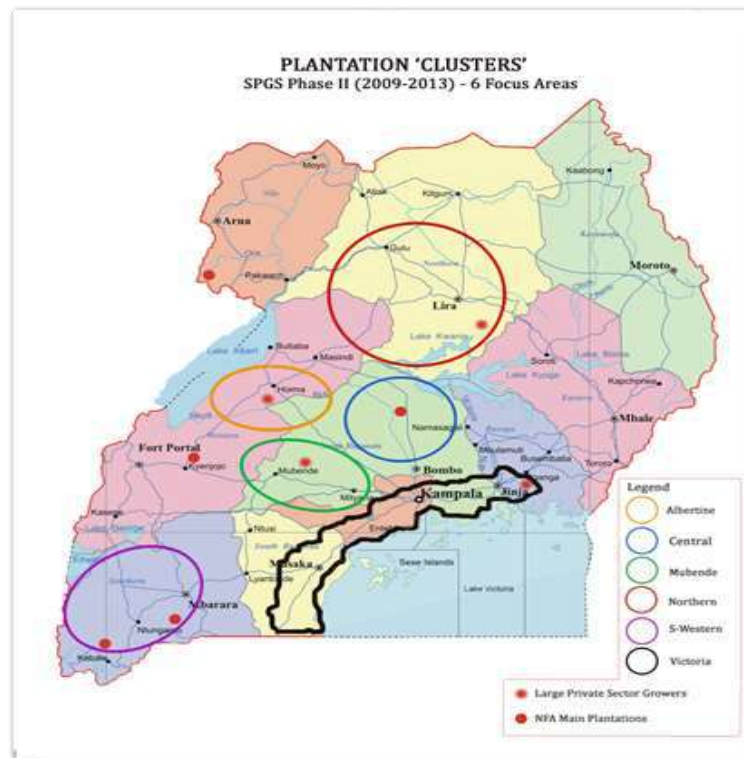


Figure 1: Map showing the targeted Clusters

This support will build on experiences and lessons from ongoing SPGS that has been operating in Uganda for the past 14 years.

## 5. Scope

The Performance based Forest Plantation Establishment Grant Scheme will target eligible tree growers for commercial tree-growing through plantation establishment within the six clusters (Albertine, Central, Mubende, Northern, South-western and Victoria). Non-refundable grants estimated to cover approximately 50% of establishment costs for the first 4 years will be provided by the project to beneficiaries. The grants will be based on the principle of co-investment, and will be conditional upon quality of established plantations and retrospective i.e. plant/prune/thin-inspect-pay basis.

The TSP will be expected to:

- a. Promote commercial trees species with high production potential such as: *Pinus caribaea*, *Pinus patula*, *Pinus Oorcarpa* *Terminalia spp*, *Tectona grandis* (Teak), *Eucalyptus spp* and *Eucalyptus clones*, *Araucaria cunninghamii*, *Cupressus lusitanica*, *Melia volkensii*, *Gmelina arborea.*, *Mahogany*.
- b. Building on the existing procedures, design and manage a fully-fledged grant scheme, that includes operating procedures, eligibility principles, and, performance assessment criteria The

Project Steering Committee will approve the Scheme design and operating procedures and principles. The following principles are recommended:

### **Overall eligibility principles**

- i. Private land owners (with proof of ownership) or individuals or business entities with or under long-term lease (with the remaining lease period covering at least one full rotation of the selected species) from the National Forestry Authority within a Central Forest Reserve.
- ii. Minimum size equivalent to 10 ha in one continuous land parcel. Preference will be given to larger areas to promote commercial forestry objectives as efficiently as possible.
- iii. The land parcels will be located in the geographical areas that fall under the six 'clusters' for which investments to support processing and utilization of forest products will be made. The cluster approach is designed to enable the development of appropriate value chains and to assist smaller growers to access markets for plantation-grown timber. However, as will be determined by the TSP at evaluation stage, areas outside the clusters could be considered depending on acreage, species, strategic location, and economic viability.
- iv. As the subsidy will cover part of the establishment and maintenance costs only and is provided after the fact and based on performance, the plantation owner needs to demonstrate sufficient capital for the initial investment.
- v. Management plan approved by the TSP indicating clear objectives, species selection and land suitability, and timelines of management activities, etc.
- vi. Strong preference will be given to individuals and entities that already have a proven track record of successful plantation establishment.

### **Principles to assess performance**

The scheme will provide three types of performance-based grants<sup>17</sup>: (i) establishment grant, (ii) pruning grant, and (iii) thinning grant. Principles for these performance-based grants shall include:

#### *For the establishment grant*

- i. Use of seed/seedlings sources approved by TSP.
- ii. Establishment has been undertaken in accordance with social and environmental standards laid out in the IFPA-CD Project Environmental and Social Management Framework (ESMF), and related plans and guidelines, including the labour management procedures and environmental screening guidelines developed by the TSP.
- iii. Minimum 80% stocking after three months and after successful beating up at the next planting season;
- iv. Weeding and other maintenance performed to an acceptable standard as developed or accepted under the grant mechanism and protecting the crop from grazing animals and fires.
- v. Maintaining a clean monocrop plantation without any agricultural crops intercropping. However, more than one tree species could be allowed on the same parcel as long as there is clear partition between any two species.
- vi. Termination of contract based on non-compliance to the laws of Uganda including labour laws as well as the basic requirements for eligibility for the grant.

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<sup>17</sup> The application of the pruning and thinning grants will be applied on case by case based on the species whose pruning and thinning cycle falls within the project period.

For the pruning and thinning grant

- i. Pruning and thinning performed to an acceptable standard as developed under the Subsidy mechanism
- ii. Continued protection of the established crop from fires.
- iii. Termination of contract based on non-compliance to the laws of Uganda including labour laws and labour management procedures of the project as well as the basic requirements for eligibility for the grant.

## **6. Tasks of the Technical Services Provider**

The Technical Services Provider will undertake the following tasks

- a. Establish a fully-fledged grant scheme and its operational structures and processes
- b. Develop Grant Scheme operating procedures, eligibility principles, and, performance assessment criteria and principles for approval by the Project Steering Committee
- c. Manage the issuance of calls for performance-based contracts and undertake initial screening of all received applications and make recommendation to the Grant Management Committee and Project Steering Committee for approval
- d. Manage and monitor performance-based contracts including quality assurance and compliance with environmental and social standards, including labour management procedures
- e. Provide technical support for silvicultural and value chain development.

## **7. Reporting Requirements**

The TSP will be expected to accomplish this assignment in a period of 5years, effective .....202..... In order to accomplish the assignment, it is the responsibility of the TSP to establish a detailed work program within the above time frame, taking into consideration the estimated man-month requirements. This should be guided by professional judgment of the assignment's requirements and knowledge of the local conditions and needs.

Reporting to the National IFPA-CD Project Coordinator, the TSP shall undertake the tasks described above and submit reports written in English both hard (5 copies) and electronic copies after accomplishing each of the tasks for review and / or approval in accordance with the schedule of reporting indicated. The TSP will be required to participate in relevant coordination, supervision and monitoring meetings organized by MWE for the duration of the assignment.

The following reporting is required:

- c. Report on the establishment of the Grant Scheme operating structures and operating procedures, eligibility principles, and, performance assessment criteria and principles
- d. Quarterly reports of inputs provided, activities conducted, and outputs delivered, including troubleshooting notes and recommendations for improvements in implementation arrangements.
- e. Semi-Annual reports tracking progress towards achieving the component targets and project objectives.
- f. Other Technical reports that may be required

## **8. Budget**

Information on budget estimates for implementing this activity and covering TSP costs will be provided in the bidding documents.

## **9. Qualification**

The targeted qualifying TSP will be required to demonstrate past experience in designing and or operating grant schemes for promoting commercial plantation forestry establishment, wood value chains in Sub-Saharan Africa with capability to provide a team of experts with experience in: Grant making and grant management, Plantation forestry, Wood value chains, Stakeholder engagement. The TSP is expected to provide other staff as necessary to execute the assignment successfully.

## **10. Timing**

The deadline for receipt of Expressions of Interest is DD MM 2021. The assignment is scheduled to commence on ,..., 2022 and to run until June 30, 2026.

## 9.10 Appendix 10: Procedure for Project Support to Nyabyeya Forest College



### PROCEDURE FOR MANAGING PROJECT SUPPORT TO NYABYEYA FORESTRY COLLEGE UNDER IFPA-CD Project

NOVEMBER 2020

#### 1. Background

The history of Nyabyeya Forestry College is traced to the time when technical forestry training in Uganda was introduced in 1932 at Kityerera in Mayuge District in Eastern Uganda as a departmental

training under the then Forestry Department. The training school at Mayuge was closed in 1936 due to an outbreak of sleeping sickness in the region.

During Second World War, Polish refugees were brought to Uganda and settled in Bunyoro on the outskirts of Budongo Forest at Nyabyeya. When the refugees were evacuated at the end of the world war, a technical forestry training was reopened in Uganda at Nyabyeya in Bunyoro in 1948.

The training institution occupied facilities that had been left by the Polish refugees at the current location and the institution was named Nyabyeya Forestry College. Presently, the College occupies Nyabyeya CFR (Plantation 531 ha) and Rwensama CFR (Tropical Forest 127 ha). Part of these reserves provide a resources for practical training on forestry management.

## **2. Vision, Mission, Mandate and Core values of Nyabyeya Forestry College**

The vision of the college is “To be a center of excellence for technical education and training in forestry and related natural resources”.

The mission of the college is “To produce technical human resource for forestry and related natural resources management”.

The mandate of the college is “To produce technical human resource in forestry and related natural resources through training”.

Nyabyeya Forestry College is the only tertiary institution in Uganda offering practically oriented technical forestry training and other related trainings at diploma and certificate levels besides a host of many demand driven vocational short courses for the different stakeholders and interest groups and agencies. It is a co-educational institution with enrolment of both male and female students and the number of female students has increased over the years standing at 40% of total enrolment.

The College is a government owned training institution supervised by the MWE. The Ministry holds budget for the College and supervises all its academic programmes and administration of the college.

## **3. The IFPA-CD Project support to Nyabyeya Forestry College by IFPA-CD Project**

The Investing in Forests and Protected Areas for Climate Smart Development Project (IFPA-CD) budget includes an allocation of USD 225,000 for establishing a wood processing hub at Nyabyeya Forestry College. The project will support the improvement of wood processing training facilities at Nyabyeya Forestry College, and co-financing of skilling and training of operators of the new equipment through:

- a. Installation of wood processing hub at Nyabyeya Forestry College for training including tractor.
- b. Maintenance of wood processing hub at Nyabyeya Forestry College for training.
- c. Providing 50% co-finance for skilling and training of operators of new equipment (targeted on-demand courses at NFC in wood utilization technologies and value addition).

## **4. Management of IFPA-CD project support**

Coordinating Project supported activities: The Principal NFC shall designate from among the senior Staff of the NFC to serve as the Institutional Focal Point (IFP) for the project support. The designated IFP will work closely with National Project Coordinator/ PCU.

He/she will be responsible for the implementation of the IFPA-CD supported activities by NFC and ensure that all project-supported activities are carried out in an effective and efficient manner and in accordance with the funding agreement between GoU and World Bank, Project Implementation Manual and all related project documents.

He/she shall be responsible for 2 inter-related functions under the IFPA-CD Project namely: i) management of project activities in NFC including monitoring and reporting the progress of the project and communication, and ii) coordination NFC participation in national level coordination and steering mechanisms, as appropriate.

#### **4.1 Role of the Institutional Focal Point (IFP)**

Reporting to the Principal NFC, the IFP will undertake the following tasks:

- a. Coordinate and Manage IFPA-CD Project supported activities, including; planning of activities, preparing/elaborating technical specifications for the equipment to be procured, task descriptions for the training activity to be supported, coordination of procurements and contracts execution, overseeing the project budget, monitoring progress of activities, as required.
- b. Ensure smooth day to day management of project operations through close coordination with the NFC management, IFPA-CD PCU personnel (Procurement Specialist, Project Accountant, M&E Specialist, Environment Risk Management Specialist, Social Risks Management Specialist).
- c. Coordinate the preparation of NFC annual work plans and the corresponding budgets in accordance with Funding agreement for clearance by the World Bank.
- d. Bring to the attention of MWE, in a timely manner, issues that need urgent support and action to ensure smooth progress of activities.
- e. Report the project progress updates against the results framework for the project supported activities of NFC. Working in close consultation with the PCU based M&E Specialist and MWE M&E Focal point, ensure a Project M&E framework is used by NFC to monitor and report on project achievements and ensure that project milestones are being met.
- f. Participate in and ensure NFC adequate preparation for participation in GoU and World Bank technical supervision missions.
- g. Prepare annual and semi-annual progress reports on the IFPA-CD Project supported activities, and other technical reports including planning and facilitating project review and evaluation at mid-term and project completion stages, and provide support for completion of NFC audits by the IFPA-CD Project and external audit.
- h. Ensure that the agreed principles, sustainability strategies, safeguards and other agreed procedures of the IFPA-CD Project implementation are respected and realized within NFC.

**3.2 Work planning/budgeting:** Annual work plans and budgets will be prepared in accordance with the procedures in the PIM. Activity plans will be initiated by the Principal NFC and submitted to the Project Coordination Unit consolidation into the over-all IFPA-CD Project Annual work plan and budget. The NFC annual work plan and budget will be approved by the PSC.

**3.3 Reporting:** The NFC shall submit quarterly and annual progress and financial reports to /FSSDPCU in accordance with the reporting procedures in PIM (Appendix 20).

**3.4 Financial Management including reporting and accountability:** The Principal NFC will serve as the accounting officer for the project funds. The project funds will be managed through existing financial management systems. The MWE will process advance payments to the College Bank account on a quarterly basis based on approved work plans and budgets. The Principal NFC will initiate and submit requisition for funds to the PCU. The Principal NFC shall be required to prepare and submit financial reports and other accountabilities in accordance with the procedures in the PIM. Financial reports will have submitted to MWE through the National Project Coordinator/PCU.

**4.5 Procurements:** The Principle NFC will prepare and submit technical specifications of the approved procurements/equipment to MWE (FSSD/PCU) for action.

## **9.11 Appendix 11: TSP/ Development of intensive, mixed-use agroforestry systems on household plots, with a strong orientation toward multipurpose woody species for fruit, fodder, fencing, fuel, shade, and nitrogen-fixing, in intensive, multi-layered systems suitable for small areas**

### **1. Introduction**

**Uganda is the largest refugee-hosting country in Africa and the third largest worldwide.** Due mainly to conflicts and instability in the Democratic Republic of the Congo and South Sudan, Uganda is hosting over 1.3 million refugees and asylum-seekers. The refugee presence has added to existing pressure on the environment, leading to an increase in the rate of forest resource degradation and tree loss. Recent assessments<sup>18</sup> have shown that the inflow of refugees in north western, western and south-western Uganda has exacerbated ongoing environmental impacts and associated challenges, including land degradation and woodland loss, leading to constrained access to energy for cooking and competition with local people for wood fuel and other natural resources. In some cases, refugees have been settled close to high-value protected areas such as Central Forest Reserves and Wildlife Reserves, where the combined impacts of refugees and host communities on forest resources are locally significant.

**A coordinated response to the humanitarian crisis includes a commitment to address environmental concerns.** Uganda's refugee response is coordinated by the Office of the Prime Minister (OPM) and guided by the Comprehensive Refugee Response Framework, launched by the OPM and the United Nations High Commissioner for Refugees (UNHCR) in 2017. To bridge between humanitarian and development approaches, the Refugee and Host Population Empowerment (ReHoPE) policy framework was launched in 2017 by the Government of Uganda (GoU), in collaboration with United Nations agencies and the World Bank. It provides guidance for a comprehensive response to address refugee and host community needs, and to build the capacity of hosting districts in planning and providing services to both groups. ReHoPE encourages the GoU to address environmental degradation in refugee-hosting areas through improved natural resource management and energy access. The Ministry of Water and Environment (MWE) has developed a Water and Environment Sector Response Plan for Refugees and Host Communities that responds to many of the same challenges.

**The World Bank and GoU are supporting improved management of forest resources in refugee-hosting areas.** Informed by the aforementioned assessments, and in the context of the ReHoPE framework and MWE's Sector Response Plan, the World Bank and the GoU have developed a response programme under the *Investing in Forests and Protected Areas for Climate-Smart Development* (IFPA-CD) project.<sup>19</sup> The IFPA-CD Project Development Objective is to improve sustainable management of forests and protected areas and increase benefits to communities from forests in target landscapes. Component 3 of the project focuses on refugee-affected areas and is being funded under the Refugee Sub-Window of the International Development Association's 18<sup>th</sup>

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<sup>18</sup> (a) World Bank & FAO. 2019. Rapid Assessment of Natural Resource Degradation in Refugee Impacted Areas in Northern Uganda. Washington, DC. (b) World Bank & FAO. 2020. Assessment of Forest Resource Degradation and Intervention Options in Refugee-Hosting Areas of Western and South-western Uganda. Washington, DC.

<sup>19</sup> See [documents.worldbank.org/curated/en/304401587952865863/Uganda-Investing-in-Forests-and-Protected-Areas-for-Climate-Smart-Development-Project?cid=WBW\\_AL\\_whatnews\\_EN\\_EXT](https://documents.worldbank.org/curated/en/304401587952865863/Uganda-Investing-in-Forests-and-Protected-Areas-for-Climate-Smart-Development-Project?cid=WBW_AL_whatnews_EN_EXT)

funding round. This Component is designed to encourage establishment of greater tree cover in refugee-hosting landscapes outside protected areas, supporting sustainable forest management and landscape resilience on private and customary land. Component 3 will work in 18 districts in western and north western Uganda that either host refugee settlements or are within 5 km of a settlement boundary.

## **2. Objective of the Assignment**

Under Component 3, one of the activities of the IFPA-CD project is to assist residents of host communities in refugee-hosting areas to develop mixed use agroforestry systems on their household plots. The specific objective is to enhance environmental services from intensive, multi-layered production systems suitable for small areas, improve the supply of wood and non-wood tree products for household use, and improve the resilience of host community members to the impacts of the refugee inflow and other environmental shocks.

## **3. Detailed scope and tasks**

MWE is seeking a technical service provider to design and implement a package of agroforestry support for 18 districts over the six-year IFPA-CD project period. The service provider should ensure close coordination throughout with the technical teams of the respective District Local Government (DLGs) to ensure their full engagement and support, to draw upon their expertise and knowledge, and to continue building their capacity. DLG technical teams will have independent budgets to facilitate their engagement.

The service provider will be responsible for the following tasks:

- a. Develop a strategy for geographic targeting and beneficiary selection that takes into account: the latest data on rural population distribution (as far as available), the need to give higher weighting to areas closer to refugee settlements, the locations and nature of local markets for agroforestry outputs, the need to find synergy and avoid duplication with existing forestry or agroforestry initiatives, and fulfilment of defined household (HH) suitability requirements - such as means and capacity, availability of land surplus to that required for meeting subsistence needs, demonstrated interest and commitment, and agreement to comply with the environmental and social requirements of the project.
- b. Together with DLG technical staff, identify HHs interested and capable of developing intensive, mixed-use agroforestry systems on their residential plots, with an orientation toward multipurpose woody species for fruit, fodder, fencing, fuel, shade, and nitrogen-fixing, in intensive, multilayered systems suitable for small areas.
- c. Establish baseline data on household agroforestry and a georeferenced system for systematic mapping, monitoring, evaluation and learning.
- d. Based on HH demand and agro-ecological conditions, identify context-appropriate species of multipurpose trees and shrubs for mixed-use agroforestry systems that respond to demand for locally favored species, and incorporate woody perennials for food, fuel, and nitrogen-fixing.
- e. Design and implement a strategy to source and disseminate seedlings to farmers on a demand-driven basis. To the extent possible, existing supply chains for quality-verified seedlings should be strengthened, rather than establishing new tree nurseries.
- f. Provide training, extension services in support of agroforestry development, and support materials for the duration of the project. The procurement and distribution of the inputs and materials will be handled directly by the TSP.

The service provider should ensure that the implications for women and men of any planned action are properly assessed, to ensure that the concerns and experiences of both women and men are an integral dimension of design, implementation, monitoring and evaluation, so that women and men benefit equally and inequality is not perpetuated.

#### 4. Reporting requirements

The service provider will report to the IFPA-CD National Project Coordinator in the Forest Sector Support Department of MWE, through the dedicated contract manager, and will be required to participate in relevant coordination, supervision and monitoring meetings organized by MWE for the duration of the assignment.

The following reporting is required:

- a. Quarterly reports of inputs provided, activities conducted, and outputs delivered, including troubleshooting notes and recommendations for improvements in implementation arrangements.
- b. Semi-Annual reports tracking progress towards achieving the component targets and project objectives.

#### 5. Location and scale

Agroforestry will be supported in 18 refugee-affected districts with the aim of reaching 9 percent of rural HHs with a target of 0.2 ha per HH. This is an estimated 87,782 HHs and a total area of 17,500 ha, as summarized below. Bidders are expected to cover all target districts. District names and populations may change in case of district sub-division.

District	Rural population (2020)	Average HH size	No. of rural HHs	Target HHs for agroforestry development (9%)
Hoima	367,300	4.5	81,622	7,346
Kamwenge	401,400	4.6	87,261	7,853
Kagadi	363,300	4.6	78,978	7,108
Kakumiro	437,000	4.6	95,000	8,550
Kibaale	188,900	4.6	41,065	3,696
Kikuube	192,300	4.5	42,733	3,846
Kiryandongo	231,500	5.1	45,392	4,085
Kyegegwa	384,300	4.7	81,766	7,359
Adjumani	198,800	5.4	36,815	3,313
Amuru	206,000	5.0	41,200	3,708
Arua	751,000	5.3	141,698	12,753
Koboko	258,000	6.8	37,941	3,415
Lamwo	125,000	4.9	25,510	2,296
Madi Okollo	157,300	5.3	29,679	2,671
Moyo	97,400	5.3	18,377	1,654
Obongi	49,100	5.3	9,264	834
Yumbe	416,697	7.6	81,053	7,295
Terego	193,303	no data	no data	no data
	<b>5,024,600</b>		<b>975,356</b>	<b>87,782</b>

Note: Since July 2020, Yumbe district was split into two districts: Yumbe and Terego. Terego population is 199,303. However, other /segregated data required in this table is unavailable.

Source: Population projections from Uganda Bureau of Statistics for rural sub-counties only:

[http://www.ubos.org/wp-content/uploads/statistics/Population\\_Projections\\_2018.xlsx](http://www.ubos.org/wp-content/uploads/statistics/Population_Projections_2018.xlsx)

[https://www.ubos.org/wp-](https://www.ubos.org/wp-content/uploads/publications/09_2019Final_2020_21_LLG_IPFs_Sept_2019.pdf)

[content/uploads/publications/09\\_2019Final\\_2020\\_21\\_LLG\\_IPFs\\_Sept\\_2019.pdf](https://www.ubos.org/wp-content/uploads/publications/09_2019Final_2020_21_LLG_IPFs_Sept_2019.pdf)

Average household size by district from 2014 national census:

<https://unstats.un.org/unsd/demographic/sources/census/wphc/Uganda/UGA-2016-05-23.pdf>

## 6. Qualifications

Bidders should demonstrate that they meet the following minimum standards:

- Ability to field a team of experts skilled in appropriate agroforestry practices for East Africa, with field experience of delivering agroforestry extension;
- Evidence of wider international exposure and experience with market-driven approaches that promote sustainability in household forestry investments;
- Sufficient organizational, managerial and staffing capacity to operate across multiple districts with a programme of consistent quality;
- Demonstrated experience of at least three assignments in managing contracts of comparable value and scope;
- Demonstrated commitment to sound financial management, including systems for managing cash flow, conducting audits, overseeing procurement, avoiding corruption and facilitating whistleblowing, with accompanying manuals or guidelines;
- Demonstrated ability to work closely and effectively with national institutions, including Government ministries and research institutions and decentralized government authorities.
- Demonstrated capacity to deliver well-written and well-designed written and visual materials that will require no further editorial work once completed.

## 7. Timing

The deadline for receipt of Expressions of Interest is **DD MM 2021**. The assignment is scheduled to commence on ..... 2022 and to run until June 30, 2026.

## 9.12 Appendix 12: TSP/ Support for development of woodlots on private land to enhance the supply of timber, poles, fuel, and other plantation products.

### 1. Introduction

**Uganda is the largest refugee-hosting country in Africa and the third largest worldwide.** Due mainly to conflicts and instability in the Democratic Republic of the Congo and South Sudan, Uganda is hosting over 1.3 million refugees and asylum-seekers. The refugee presence has added to existing pressure on the environment, leading to an increase in the rate of forest resource degradation and tree loss. Recent assessments<sup>20</sup> have shown that the inflow of refugees in north western, western and south-western Uganda has exacerbated ongoing environmental impacts and associated challenges, including land degradation and woodland loss, leading to constrained access to energy for cooking and competition with local people for wood fuel and other natural resources. In some cases, refugees have been settled close to high-value protected areas such as Central Forest Reserves and Wildlife Reserves, where the combined impacts of refugees and host communities on forest resources are locally significant.

**A coordinated response to the humanitarian crisis includes a commitment to address environmental concerns.** Uganda's refugee response is coordinated by the Office of the Prime Minister (OPM) and guided by the Comprehensive Refugee Response Framework, launched by the OPM and the United Nations High Commissioner for Refugees (UNHCR) in 2017. To bridge between humanitarian and development approaches, the Refugee and Host Population Empowerment (ReHoPE) policy framework was launched in 2017 by the Government of Uganda (GoU), in collaboration with United Nations agencies and the World Bank. It provides guidance for a comprehensive response to address refugee and host community needs, and to build the capacity of hosting districts in planning and providing services to both groups. ReHoPE encourages the GoU to address environmental degradation in refugee-hosting areas through improved natural resource management and energy access. The Ministry of Water and Environment (MWE) has developed a Water and Environment Sector Response Plan for Refugees and Host Communities that responds to many of the same challenges.

**The World Bank and GoU are supporting improved management of forest resources in refugee-hosting areas.** Informed by the aforementioned assessments, and in the context of the ReHoPE framework and MWE's Sector Response Plan, the World Bank and the GoU have developed a response programme under the *Investing in Forests and Protected Areas for Climate-Smart Development* (IFPA-CD) project.<sup>21</sup> The IFPA-CD Project Development Objective is to improve sustainable management of forests and protected areas and increase benefits to communities from forests in target landscapes. Component 3 of the project focuses on refugee-affected areas and is being funded under the Refugee Sub-Window of the International Development Association's 18<sup>th</sup> funding round. This Component is designed to encourage establishment of greater tree cover in refugee-hosting landscapes outside protected areas, supporting sustainable forest management and landscape resilience on private and customary land. Component 3 will work in 18 districts in western

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<sup>20</sup> (a) World Bank & FAO. 2019. Rapid Assessment of Natural Resource Degradation in Refugee Impacted Areas in Northern Uganda. Washington, DC. (b) World Bank & FAO. 2020. Assessment of Forest Resource Degradation and Intervention Options in Refugee-Hosting Areas of Western and South-western Uganda. Washington, DC.

<sup>21</sup> See [documents.worldbank.org/curated/en/304401587952865863/Uganda-Investing-in-Forests-and-Protected-Areas-for-Climate-Smart-Development-Project?cid=WBW\\_AL\\_whatnews\\_EN\\_EXT](https://documents.worldbank.org/curated/en/304401587952865863/Uganda-Investing-in-Forests-and-Protected-Areas-for-Climate-Smart-Development-Project?cid=WBW_AL_whatnews_EN_EXT)

and north western Uganda that either host refugee settlements or are within 5 km of a settlement boundary.

## **2. Objectives of the Assignment**

Under Component 3 of the IFPA-CD project, one of the activities to be supported is the development of small-scale commercial woodlots on private and customary land of host communities. The objective is to enhance the supply of timber, poles, fuel, and other plantation products in refugee-hosting areas of northwestern and western Uganda, based on small-scale commercial forestry.

## **3. Detailed scope and tasks**

MWE is seeking a qualified technical service provider to design and implement a package of support for the development of small-scale commercial woodlots in 18 districts over the six-year IFPA-CD project period. This is expected to draw closely on the experiences of the Saw log Production Grant Scheme (SPGS) to maximize tree survival rates and commercial returns to landowners, but in this case working with smaller land holdings.

The technical service provider will be expected to coordinate closely with the service provider chosen to implement the Performance based Forest Plantation Subsidy Scheme an under IFPA-CD Component 2, which will be targeting larger land holdings. The technical service provider should also ensure coordination with the technical teams of the respective District Local Government (DLGs) to ensure their full engagement and support, to draw upon their expertise and knowledge, and to continue building their capacity. DLG technical teams will have independent budgets to facilitate their engagement in the project.

The service provider will be responsible for the following tasks:

- a. Establish baseline data on small private woodlot coverage at the scale of 0.5 ha and below, and a system for monitoring, evaluation and learning with respect to new woodlot development.
- b. Develop a strategy for geographic targeting and beneficiary selection that takes into account: market potential for products from small-scale woodlots, the latest data on rural population distribution (as far as available), the need to give higher weighting to areas closer to refugee settlements, the need to find synergy and avoid duplication with existing forestry initiatives, and validating and refining household (HH) qualifying criteria - such as minimum available landholding, availability of land surplus to that required for meeting subsistence needs, evidence of tenure or occupancy rights, commitment to up-front contribution of labor inputs, agreement to use approved seed, acceptance of terms of performance-based payments, and agreement to comply with the environmental and social requirements of the project.
- c. Together with DLG technical staff, develop and implement a demand-driven system for managing expressions of interest from households interested and capable of developing small-scale commercial woodlots on their land, according to the defined criteria.
- d. Identify context-appropriate tree species with demonstrated market value and suitability for local agro-ecological conditions and management capacity.
- e. Design and implement a strategy to source and disseminate quality-certified planting material to farmers on a demand-driven basis. To the extent possible, existing seed and seedling supply chains should be strengthened, rather than establishing new tree nurseries.
- f. Provide training and regular extension support to landowners from staff trained and mentored in best practices of commercial forestry. This should include the development of technical

publications as well as training and advisory support to ensure best practice and maximize quality and survival rates.

- g. Establish and maintain a georeferenced database for recording and monitoring woodlot locations, tree planting and survival rates, that is publicly accessible, compatible with the National Forest Monitoring System, and regularly updated.
- h. Administer applications for performance-based grants, including designing the application process and support systems, handling applications and assessing them against the relevant information in the database.
- i. Make recommendations to an Appraisal Committee for payment of performance-based grants to qualifying landowners of an agreed amount per unit of area, based on tree survival rates of at least 60 percent after 12 months.
- j. Produce publicity materials for the planting support program and produce and publish best practice guidelines based on project experience.

The service provider should ensure that the implications for women and men of any planned action are properly assessed, to ensure that the concerns and experiences of both women and men are an integral dimension of design, implementation, monitoring and evaluation, so that women and men benefit equally and inequality is not perpetuated.

#### 4. Reporting requirements

The service provider will report to the IFPA-CD National Project Coordinator in the Forest Sector Support Department of MWE, through the dedicated contract manager. The following reporting is required:

- A real-time database (accessible to MWE) of participating landowners, with location data, tree planting records, survival rates, and any performance-based grants received.
- Quarterly reports of activities and outputs, including troubleshooting notes and recommendations for improvements in implementation arrangements.
- Semi-Annual reports tracking progress towards achieving the component targets and project objectives.

#### 5. Location and scale

The project aims to support the establishment of woodlots of average size of 0.25 ha per HH covering 4 percent of rural households in the target area, for a total of around 9,760 ha, as summarized below. Bidders are expected to cover all target districts. District names and numbers may change in case of district sub-division.

District	Rural population (2020)	Average HH size	No. of rural HHs	Rural HHs targeted for woodlots (4%)	Woodlot area (ha, assuming 0.25 ha/HH)
Hoima	367,300	4.5	81,622	3,265	816
Kamwenge	401,400	4.6	87,261	3,490	873
Kagadi	363,300	4.6	78,978	3,159	790
Kakumiro	437,000	4.6	95,000	3,800	950
Kibaale	188,900	4.6	41,065	1,643	411
Kikuube	192,300	4.5	42,733	1,709	427
Kiryandongo	231,500	5.1	45,392	1,816	454
Kyegegwa	384,300	4.7	81,766	3,271	818

Adjumani	198,800	5.4	36,815	1,473	368
Amuru	206,000	5.0	41,200	1,648	412
Arua	751,000	5.3	141,698	5,668	1,417
Koboko	258,000	6.8	37,941	1,518	379
Lamwo	125,000	4.9	25,510	1,020	255
Madi Okollo	157,300	5.3	29,679	1,187	297
Moyo	97,400	5.3	18,377	735	184
Obongi	49,100	5.3	9,264	371	93
Yumbe	416,697	7.6	81,053	3,242	811
Terego	199,303	no data	no data	no data	to be determined
	<b>5,024,600</b>		<b>975,356</b>	<b>39,014</b>	<b>9,754</b>

Note: Since July 2020, Yumbe district was split into two district: Yumbe and Terego. Terego population is 199, 303. However, other /segregated data required in this table is unavailable.

Source: Population projections from Uganda Bureau of Statistics for rural sub-counties only:

[http://www.ubos.org/wp-content/uploads/statistics/Population\\_Projections\\_2018.xlsx](http://www.ubos.org/wp-content/uploads/statistics/Population_Projections_2018.xlsx)

[https://www.ubos.org/wp-content/uploads/publications/09\\_2019Final\\_2020\\_21\\_LLG\\_IPFs\\_Sept\\_2019.pdf](https://www.ubos.org/wp-content/uploads/publications/09_2019Final_2020_21_LLG_IPFs_Sept_2019.pdf)

Average household size by district from 2014 national census:  
<https://unstats.un.org/unsd/demographic/sources/census/wphc/Uganda/UGA-2016-05-23.pdf> .

## 6. Qualifications

Bidders should demonstrate that they meet the following minimum standards:

- Sound knowledge of the commercial forestry sector in the East Africa region;
- Ability to field a team of experts skilled in commercially oriented plantation development, with experience in results-oriented forestry programs;
- Sufficient organizational, managerial and staffing capacity to operate across multiple districts with a programme of consistent quality;
- Experience in managing contracts of comparable value and scope;
- Demonstrated commitment to sound financial management, including systems for managing cash flow, conducting audits, overseeing procurement, avoiding corruption and facilitating whistleblowing, with accompanying manuals or guidelines;
- Demonstrated ability to work closely and effectively with national institutions, including Government ministries and research institutions and decentralized government authorities.
- Demonstrated capacity to deliver well-written and well-designed written and visual materials that will require no further editorial work once completed.

## 7. Timing

The deadline for receipt of Expressions of Interest is **DD MM 2021**. The assignment is scheduled to commence on **....., 2022** and to run until June 30, 2026.

## 9.13 Appendix 13: TSP/Support to Development of Community Forestry

### 1. Introduction

**Uganda is the largest refugee-hosting country in Africa and the third largest worldwide.** Due mainly to conflicts and instability in the Democratic Republic of the Congo and South Sudan, Uganda is hosting over 1.3 million refugees and asylum-seekers. The refugee presence has added to existing pressure on the environment, leading to an increase in the rate of forest resource degradation and tree loss. Recent assessments<sup>22</sup> have shown that the inflow of refugees in north western, western and south-western Uganda has exacerbated ongoing environmental impacts and associated challenges, including land degradation and woodland loss, leading to constrained access to energy for cooking and competition with local people for wood fuel and other natural resources. In some cases, refugees have been settled close to high-value protected areas such as Central Forest Reserves and Wildlife Reserves, where the combined impacts of refugees and host communities on forest resources are locally significant.

**A coordinated response to the humanitarian crisis includes a commitment to address environmental concerns.** Uganda's refugee response is coordinated by the Office of the Prime Minister (OPM) and guided by the Comprehensive Refugee Response Framework, launched by the OPM and the United Nations High Commissioner for Refugees (UNHCR) in 2017. To bridge between humanitarian and development approaches, the Refugee and Host Population Empowerment (ReHoPE) policy framework was launched in 2017 by the Government of Uganda (GoU), in collaboration with United Nations agencies and the World Bank. It provides guidance for a comprehensive response to address refugee and host community needs, and to build the capacity of hosting districts in planning and providing services to both groups. ReHoPE encourages the GoU to address environmental degradation in refugee-hosting areas through improved natural resource management and energy access. The Ministry of Water and Environment (MWE) has developed a Water and Environment Sector Response Plan for Refugees and Host Communities that responds to many of the same challenges.

**The World Bank and GoU are supporting improved management of forest resources in refugee-hosting areas.** Informed by the aforementioned assessments, and in the context of the ReHoPE framework and MWE's Sector Response Plan, the World Bank and the GoU have developed a response programme under the *Investing in Forests and Protected Areas for Climate-Smart Development* (IFPA-CD) project.<sup>23</sup> The IFPA-CD Project Development Objective is to improve sustainable management of forests and protected areas and increase benefits to communities from forests in target landscapes. Component 3 of the project focuses on refugee-affected areas and is being funded under the Refugee Sub-Window of the International Development Association's 18<sup>th</sup> funding round. This Component is designed to encourage establishment of greater tree cover in refugee-hosting landscapes outside protected areas, supporting sustainable forest management and landscape resilience on private and customary land. Component 3 will work in 18 districts in western and north western Uganda that either host refugee settlements or are within 5 km of a settlement boundary.

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<sup>22</sup> (a) World Bank & FAO. 2019. Rapid Assessment of Natural Resource Degradation in Refugee Impacted Areas in Northern Uganda. Washington, DC. (b) World Bank & FAO. 2020. Assessment of Forest Resource Degradation and Intervention Options in Refugee-Hosting Areas of Western and South-western Uganda. Washington, DC.

<sup>23</sup> See [documents.worldbank.org/curated/en/304401587952865863/Uganda-Investing-in-Forests-and-Protected-Areas-for-Climate-Smart-Development-Project?cid=WBW\\_AL\\_whatnews\\_EN\\_EXT](https://documents.worldbank.org/curated/en/304401587952865863/Uganda-Investing-in-Forests-and-Protected-Areas-for-Climate-Smart-Development-Project?cid=WBW_AL_whatnews_EN_EXT)

## **2. Objectives of the Assignment**

Natural forests on customary, leasehold and freehold land are crucial for protecting ecosystem services but are under ongoing threat of degradation and deforestation from the related processes of agricultural expansion and removals for timber and woodfuel. Under Component 3, one of the activities of the IFPA-CD project is to develop community forestry in those refugee-hosting areas where contiguous blocks of natural tree cover remain, in order to enhance the management and protection of natural forests outside protected areas. The specific objective is to facilitate the implementation of community forest management in Hoima, Kikuube and Kiryandongo Districts of western Uganda. These districts were chosen because they have significant forest blocks outside protected areas, and because they are close enough to Kampala to have viable markets for tree products from which revenues can sustain community forestry.

## **3. Detailed scope and tasks**

MWE is seeking a qualified technical service provider to design and implement a package of community forestry support for Hoima, Kikuube and Kiryandongo Districts over the six-year IFPA-CD project period. Throughout the assignment, the service provider will ensure close coordination with the technical teams of the respective District Local Governments, the National Forestry Authority and other branches of government to ensure their full engagement and support, and to draw upon their expertise and knowledge. The service provider will also be expected to work closely with the legal expert and forest sector specialist who are being separately recruited to facilitate the development and assent of Community Forestry Regulations which will provide the necessary legal framework for community forestry.

The service provider will be responsible for the following tasks:

- a. Using existing land use and land cover data, together with supplementary remote sensing information and ground truthing, identify the 30 largest blocks of woodland or forest in the target districts that lie outside protected areas (Forest Reserves, Wildlife Reserves and National Parks).
- b. Participate in a consultative process (coordinated by the Project Steering Committee with the District Forest Services, local residents and central government agencies) to shortlist at least 15 of these forest areas for community forestry development, based on forest status, commercial potential, threats and opportunities, land ownership, community cohesion and interest, and other relevant factors.
- c. In the locations deemed viable, enter into a dialogue with forest-adjacent communities to determine the commercial model for financing community forestry - including both existing forest product revenue streams and new potential streams (such as payment for environment services, including carbon finance – and carry out basic financial modelling to ascertain the economic viability of the community forestry model before proceeding.
- d. Identify capacity-building needs, support and train local communities in the processes necessary to establish or strengthen community forestry (building on formal and traditional leadership structures) and support the development and registration of the necessary community forestry institutions.
- e. Support forest communities to carry out forest resource assessment and inventory, conduct forest management planning based on principles of commercial sustainability, and proceed with supporting the community through legal gazettement.

- f. Upon gazettement, support the communities in demarcating their community forests.
- g. Provide hands-on training in improved charcoal and timber production techniques to commercial operators, based on adaptations and improvements to existing practices.
- h. Provide training and support to community forestry institutions, including governance principles, financial management and forest management activities (including patrols and law enforcement);
- i. Support the communities in the restoration, enrichment, protection and sustainable use of their forests, in accordance with approved forest management plans, including supply of planting material where required;
- j. Support communities in identifying and accessing sources of funding to sustain community forestry, including both commercial value chains for forest products and other funding sources such as development agencies and carbon finance.
- k. Working with the project Communications Officer within MWE, develop and implement a dissemination strategy to ensure widespread awareness-raising on the new Community Forestry Regulations being developed under a separate strand of the project. The strategy should ensure that the Regulations are promoted both in the project target areas and nationally, within the forestry and rural development sector.

The service provider should ensure that the implications for women and men of any planned action are properly assessed, to ensure that the concerns and experiences of both women and men are an integral dimension of design, implementation, monitoring and evaluation, so that women and men benefit equally and inequality is not perpetuated.

#### **4. Reporting Requirements**

The service provider will report to the IFPA-CD National Project Coordinator in the Forest Sector Support Department of MWE, through the dedicated contract manager. The following reporting is required:

- a. A community forestry geographic information system, integrated with existing national forestry and geographic datasets, with shape files and GIS data layers on community forests, their extent, status and management zoning.
- b. Registration documents confirming the formation of community forestry institutions and registration of community forests.
- c. Quarterly reports of inputs provided, activities conducted, and outputs delivered, including troubleshooting notes and recommendations for improvements in implementation arrangements.
- d. Semi-Annual reports tracking progress towards achieving the component targets and project objectives.

#### **5. Location and scale**

Community forestry support will be directed to Kiryandongo, Hoima and Kikuube Districts, which are relatively well endowed with natural forest and well connected to the wood product markets of central Uganda. This should ensure sufficient commercial demand to generate the necessary revenue flows to support community-based forestry institutions and their forest management operations.

From an initial long list of 30 forest blocks across the three districts, it is anticipated that 15 community forests averaging 250 ha in area will eventually be supported under this subcomponent, subject to review during implementation.

## **6. Qualifications**

Bidders should demonstrate that they meet the following minimum standards:

- a. Ability to field a team of experts skilled in community forestry and institutional development at community level, ideally with practical experience from similar activities in Uganda;
- b. Experience in working in the development of value chain for forest products, and incorporating these in local forestry models;
- c. Sufficient organizational, managerial and staffing capacity to operate across multiple districts with a programme of consistent quality;
- d. Experience in managing contracts of comparable value and scope;
- e. Demonstrated commitment to sound financial management, including systems for managing cash flow, conducting audits, overseeing procurement, avoiding corruption and facilitating whistleblowing, with accompanying manuals or guidelines;
- f. Demonstrated ability to work closely and effectively with national institutions, including Government ministries and research institutions and decentralized government authorities.
- g. Demonstrated capacity to deliver well-written and well-designed written and visual materials that will require no further editorial work once completed.

## **7. Timing**

The deadline for receipt of Expressions of Interest is DD MM 2021. The assignment is scheduled to commence on .....2022 and end on June 30, 2026.

## 9.14 Appendix 14: TSP/ Organize and manage the firewood supply to refugee's settlements

### 1. Introduction

**Uganda is the largest refugee-hosting country in Africa and the third largest worldwide.** Due mainly to conflicts and instability in the Democratic Republic of the Congo and South Sudan, Uganda is hosting over 1.3 million refugees and asylum-seekers. The refugee presence has added to existing pressure on the environment, leading to an increase in the rate of forest resource degradation and tree loss. Recent assessments<sup>24</sup> have shown that the inflow of refugees in north western, western and south-western Uganda has exacerbated ongoing environmental impacts and associated challenges, including land degradation and woodland loss, leading to constrained access to energy for cooking and competition with local people for wood fuel and other natural resources. In some cases, refugees have been settled close to high-value protected areas such as Central Forest Reserves and Wildlife Reserves, where the combined impacts of refugees and host communities on forest resources are locally significant.

**A coordinated response to the humanitarian crisis includes a commitment to address environmental concerns.** Uganda's refugee response is coordinated by the Office of the Prime Minister (OPM) and guided by the Comprehensive Refugee Response Framework, launched by the OPM and the United Nations High Commissioner for Refugees (UNHCR) in 2017. To bridge between humanitarian and development approaches, the Refugee and Host Population Empowerment (ReHoPE) policy framework was launched in 2017 by the Government of Uganda (GoU), in collaboration with United Nations agencies and the World Bank. It provides guidance for a comprehensive response to address refugee and host community needs, and to build the capacity of hosting districts in planning and providing services to both groups. ReHoPE encourages the GoU to address environmental degradation in refugee-hosting areas through improved natural resource management and energy access. The Ministry of Water and Environment (MWE) has developed a Water and Environment Sector Response Plan for Refugees and Host Communities that responds to many of the same challenges.

**The World Bank and GoU are supporting improved management of forest resources in refugee-hosting areas.** Informed by the aforementioned assessments, and in the context of the ReHoPE framework and MWE's Sector Response Plan, the World Bank and the GoU have developed a response programme under the *Investing in Forests and Protected Areas for Climate-Smart Development* (IFPA-CD) project.<sup>25</sup> The IFPA-CD Project Development Objective is to improve sustainable management of forests and protected areas and increase benefits to communities from forests in target landscapes. Component 3 of the project focuses on refugee-affected areas and is being funded under the Refugee Sub-Window of the International Development Association's 18<sup>th</sup> funding round. This Component is designed to encourage establishment of greater tree cover in refugee-hosting landscapes outside protected areas, supporting sustainable forest management and landscape resilience on private and customary land. Component 3 will work in 18 districts in western and north western Uganda that either host refugee settlements or are within 5 km of a settlement boundary.

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<sup>24</sup> (a) World Bank & FAO. 2019. Rapid Assessment of Natural Resource Degradation in Refugee Impacted Areas in Northern Uganda. Washington, DC. (b) World Bank & FAO. 2020. Assessment of Forest Resource Degradation and Intervention Options in Refugee-Hosting Areas of Western and South-western Uganda. Washington, DC.

<sup>25</sup> See [documents.worldbank.org/curated/en/304401587952865863/Uganda-Investing-in-Forests-and-Protected-Areas-for-Climate-Smart-Development-Project?cid=WBW\\_AL\\_whatnews\\_EN\\_EXT](https://documents.worldbank.org/curated/en/304401587952865863/Uganda-Investing-in-Forests-and-Protected-Areas-for-Climate-Smart-Development-Project?cid=WBW_AL_whatnews_EN_EXT)

## 2. Objective of the Assignment

Under Component 3, the IFPA-CD project will support the purchase of firewood from Ugandan landowners for supply to Persons with Specific Needs (PSNs)<sup>26</sup> within the refugee settlements. This is intended to stimulate farm forestry, provide an energy lifeline to the most vulnerable refugees to help them cope with energy scarcity, and reduce pressure on natural woodlands.

MWE seeks to engage two sets of service providers for this activity. The first - covered under these Terms of Reference - will procure the firewood in bulk and organize its delivery to agreed locations within the refugee settlements, according to defined specifications and in compliance with prevailing regulations. The second service provider (under a separate contract) will receive and store the firewood at the settlements, verify quantities and quality, and ensure fair and equitable allocation to PSNs.

The objective of the assignment is therefore to procure and deliver sustainably sourced and legally compliant firewood in a timely manner to defined sites within selected refugee settlements in western and north western Uganda, for onward distribution to PSNs within the refugee community.

## 3. Detailed scope and tasks

The firewood supply program aims to meet approximately 50 percent of the average firewood needs of PSNs within the refugee population. Based on the World Bank supported studies referenced above, this requires 0.8 kg per person per day (pppd), or 24.3 kg per person per month. As of December 2019, there were 147,282 refugees classified as PSNs by UNHCR/OPM. Based on the specified allowance, this target group will be supplied with 42,997 metric tons (t) of firewood per year. This equates to 143,323 cubic meter stacks, assuming air-dry weight of 300 kg per stack.

The assignment entails the following tasks:

- a. Consult UNHCR and the service provider(s) responsible for firewood distribution within the settlements to ascertain the locations of all firewood distribution points, the optimal routings to reach these points and the quantities of firewood to be supplied per month (by settlement and by distribution point).
- b. Locate suppliers of eucalyptus firewood at least 10 km (straight-line distance) from each refugee settlement boundary. Wood should be sourced volumetrically in cubic meter stacks. Assumed stack weight is 300 kg air-dry, subject to verification during trial (see below). Suppliers should have legal harvesting rights for the wood they provide.
- c. Organize firewood sourcing from the agreed suppliers, ensuring compliance with applicable regulations and fees (payment of which is the bidder's responsibility). Minimum allowance log diameter is 15 cm and maximum log length is 1 m. Suppliers should be paid promptly.
- d. Deliver firewood to the assigned storage and distribution facilities in each refugee settlement, in the quantities specified by the agency managing the distribution process. Maximum moisture content upon delivery should be 20%. Delivery locations and schedules should be coordinated with the distribution agency, to ensure that distribution can take place from each site on a monthly basis.
- e. Ensure that all firewood is delivered in the presence of receiving clerks from the distribution agency, using a transparent system for recording deliveries to confirm quantities and verify compliance with species and quality specifications. Bidders should specify how they will confirm

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<sup>26</sup> UNHCR and OPM have well-defined criteria for identifying PSNs, who include girls and boys at risk, including unaccompanied and separated children, persons with serious health conditions, persons with special legal or physical protection needs, single women, women-headed households, older persons (over 60 years), persons with disabilities, and persons with a diverse sexual orientation or gender identity.

wood origin, sustainability and quantity, including compliance with the species requirement (eucalyptus only), minimum distance specification (at least 10 km from a refugee settlement) and wood weight requirement (based on proven volume-to-weight conversion).

Throughout the assignment, the service provider should coordinate closely with the Camp Commandants and their teams, UNHCR field staff and the agency (or agencies) responsible for firewood distribution. They should also work closely with the technical teams of the respective District Local Governments to ensure their full engagement and support, to draw upon their expertise and knowledge, and to build their capacity.

The service provider should ensure that the implications for women and men of any planned action are properly assessed, to ensure that the concerns and experiences of both women and men are an integral dimension of design, implementation, monitoring and evaluation, so that women and men benefit equally and inequality is not perpetuated.

Refugee population data is updated regularly and will necessitate adjustments to firewood supply quantities and targeting, to which the service provider will be expected to respond with dynamic supply arrangements.

#### 4. Reporting requirements

The service provider will report to the IFPA-CD National Project Coordinator in the Forest Sector Support Department of MWE, through the dedicated contract manager. The following reporting is required:

- A real-time database for recording firewood deliveries by location, with dates and quantities. Data should be supported upon request with original documents for verification such as purchase receipts, permits or fee receipts for harvesting and transport, delivery notes, etc. The data should be accessible in real-time via mobile app or online portal.
- Quarterly and annual narrative summaries, including troubleshooting notes and recommendations for improvements in procurement and delivery arrangements.

#### 5. Location

This activity is being tendered in three geographic lots:

Lot no.	Refugee settlements	PSN population (jan 2021)	Population sub-totals by lot
1	Bidibidi	233,959	494,520
	Imvepi	68,029	
	Kiryandongo	70,810	
	Rhino Camp	121,722	
2	Adjumani settlements (Agojo, Ayilo I-II, Boroli I-II, Maaji I-III, Nyumanzi, Pagrinya)	215,736	398,114
	Lobule	5,562	
	Palabek	54,530	
	Palorinya	122,286	
3	Kyangwali	125,039	324,279
	Kyaka II	123,928	
	Rwamwanja	75,312	

Source: UNHCR (2021)

A qualified bidder may be awarded the contract for more than one lot.

A 3-month trial will be launched in each lot. The bidders for each lot should recommend which settlement within their lot is best suited for this trial and should structure and cost their bid in two stages, accordingly. A decision on the trial locations will be determined by MWE during review of bids, based

on the proposals of the service provider and the firewood distribution agency(ies), and in consultation with OPM and UNHCR. The full program will be rolled out once the trial is complete and may be adjusted according to the results of the trial.

## **6. Qualifications**

Bidders should demonstrate that they meet the following minimum standards:

- Demonstrated ability to manage complex procurement programs in the East Africa region;
- Proven knowledge and understanding of the forest product sector;
- Evidence of organizational, staffing and transport capacity to procure and supply sufficient wood for all sites (or evidence of how such capacity will be recruited);
- Experience in managing contracts of comparable value and scope;
- Demonstrated commitment to sound financial management, including systems for managing cash flow, conducting audits, overseeing procurement, avoiding corruption and facilitating whistleblowing, with accompanying manuals or guidelines;
- Demonstrated ability to work closely and effectively with national institutions, including Government ministries and research institutions and decentralized government authorities; and
- Demonstrated capacity to deliver well-written and well-designed written and visual materials that will require no further editorial work once completed.

The following criteria are also desirable:

- Experience of working in the humanitarian sector;
- Experience of procuring firewood or building poles; and
- Past or ongoing partnership agreement(s) with UNHCR.

## **7. Timing**

The deadline for receipt of Expressions of Interest is DD MM 2021. The assignment is scheduled to commence on ....., 2022 and to run until December 31, 2024.

## 9.15 Appendix 15: TSP/ Monitoring and verifying quantities and quality, fair and equitable allocation of firewood Persons with Specific Needs in refugee settlements

### 1. Introduction

**Uganda is the largest refugee-hosting country in Africa and the third largest worldwide.** Due mainly to conflicts and instability in the Democratic Republic of the Congo and South Sudan, Uganda is hosting over 1.3 million refugees and asylum-seekers. The refugee presence has added to existing pressure on the environment, leading to an increase in the rate of forest resource degradation and tree loss. Recent assessments<sup>27</sup> have shown that the inflow of refugees in north western, western and south-western Uganda has exacerbated ongoing environmental impacts and associated challenges, including land degradation and woodland loss, leading to constrained access to energy for cooking and competition with local people for wood fuel and other natural resources. In some cases, refugees have been settled close to high-value protected areas such as Central Forest Reserves and Wildlife Reserves, where the combined impacts of refugees and host communities on forest resources are locally significant.

**A coordinated response to the humanitarian crisis includes a commitment to address environmental concerns.** Uganda's refugee response is coordinated by the Office of the Prime Minister (OPM) and guided by the Comprehensive Refugee Response Framework, launched by the OPM and the United Nations High Commissioner for Refugees (UNHCR) in 2017. To bridge between humanitarian and development approaches, the Refugee and Host Population Empowerment (ReHoPE) policy framework was launched in 2017 by the Government of Uganda (GoU), in collaboration with United Nations agencies and the World Bank. It provides guidance for a comprehensive response to address refugee and host community needs, and to build the capacity of hosting districts in planning and providing services to both groups. ReHoPE encourages the GoU to address environmental degradation in refugee-hosting areas through improved natural resource management and energy access. The Ministry of Water and Environment (MWE) has developed a Water and Environment Sector Response Plan for Refugees and Host Communities that responds to many of the same challenges.

**The World Bank and GoU are supporting improved management of forest resources in refugee-hosting areas.** Informed by the aforementioned assessments, and in the context of the ReHoPE framework and MWE's Sector Response Plan, the World Bank and the GoU have developed a response programme under the *Investing in Forests and Protected Areas for Climate-Smart Development* (IFPA-CD) project.<sup>28</sup> The IFPA-CD Project Development Objective is to improve sustainable management of forests and protected areas and increase benefits to communities from forests in target landscapes. Component 3 of the project focuses on refugee-affected areas and is being funded under the Refugee Sub-Window of the International Development Association's 18<sup>th</sup> 19<sup>th</sup> funding round. This Component is designed to encourage establishment of greater tree cover in refugee-hosting landscapes outside protected areas, supporting sustainable forest management and landscape resilience on private and customary land. Component 3 will work in 18 districts in western

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<sup>27</sup> (a) World Bank & FAO. 2019. Rapid Assessment of Natural Resource Degradation in Refugee Impacted Areas in Northern Uganda. Washington, DC. (b) World Bank & FAO. 2020. Assessment of Forest Resource Degradation and Intervention Options in Refugee-Hosting Areas of Western and South-western Uganda. Washington, DC.

<sup>28</sup> See [documents.worldbank.org/curated/en/304401587952865863/Uganda-Investing-in-Forests-and-Protected-Areas-for-Climate-Smart-Development-Project?cid=WBW\\_AL\\_whatnews\\_EN\\_EXT](https://documents.worldbank.org/curated/en/304401587952865863/Uganda-Investing-in-Forests-and-Protected-Areas-for-Climate-Smart-Development-Project?cid=WBW_AL_whatnews_EN_EXT)

and north western Uganda that either host refugee settlements or are within 5 km of a settlement boundary.

## **2. Objective of the Assignment**

Under Component 3, the IFPA-CD project will support the purchase of firewood from Ugandan landowners for supply to Persons with Specific Needs (PSNs)<sup>29</sup> within the refugee settlements. This is intended to stimulate farm forestry, provide an energy lifeline to the most vulnerable refugees to help them cope with increasing scarcity, and reduce pressure on natural woodlands.

MWE will engage two sets of service providers for this activity. The first will procure the firewood and organize its delivery to the refugee settlements. This is separately tendered. The second - covered under these Terms of Reference - will receive and store the firewood at the settlements, verify quantities and quality, ensure fair and equitable allocation to PSNs, and monitor and report on the operation.

The objective of the assignment is therefore to ensure timely and accurate receipt, verification, storage, distribution and monitoring of firewood supply to PSNs in selected refugee settlements in western and north western Uganda.

## **3. Detailed scope and tasks**

The firewood supply program aims to meet approximately 50 percent of the average firewood needs of PSNs. Based on the World Bank supported studies referenced above, this requires 0.8 kg per person per day (pppd). As of December 2019, there were 147,282 refugees classified as PSNs by UNHCR/OPM. Based on the specified allowance, this target group will be supplied with 42,997 metric tons (t) of firewood per year. Refugee population data is updated regularly by UNHCR and should be reflected in adjustments to firewood quantities and targeting. Firewood procurement and delivery will be volumetric, based on cubic meter stacks of eucalyptus logs. Conversion to weight assumes air-dry weight of 300 kg per stacked cubic meter.

The assignment entails the following tasks:

- Obtain the latest data on refugee settlements, PSN populations and site plans, and keep this information updated on a monthly basis for the duration of the project.
- In conjunction with UNHCR, WFP and other humanitarian agencies, propose and agree upon the locations of firewood storage and distribution facilities within each settlement, such that no PSN need walk more than 20 minutes to procure firewood.
- Construct firewood storage and distribution facilities at these locations, with suitable infrastructure for receiving, storing and distributing firewood in bulk, in a safe and protected environment.
- Calculate required quantities of firewood for each distribution site that reflect the PSN population to be supplied, to meet the target of 0.8 kg pppd of air-dry firewood (24.3 kg per month). Volume to weight conversion may require adjustment to ensure that this supply requirement is met.

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<sup>29</sup> UNHCR and OPM have well-defined criteria for identifying PSNs, who include girls and boys at risk, including unaccompanied and separated children, persons with serious health conditions, persons with special legal or physical protection needs, single women, women-headed households, older persons (persons over 60 years), persons with disabilities, and persons with a diverse sexual orientation or gender identity.

- Communicate supply requirements accurately and efficiently to the selected procurement agency(s).
- Coordinate firewood deliveries from the procurement agent(s) to each distribution facility, ensuring that all firewood is delivered in the presence of receiving clerks. A transparent system should be established to record and check all deliveries.
- Verify conformity of firewood species (eucalyptus only), dimensions (min. log diameter 15 cm), quality (less than 20% moisture content) and quantity (assumed 300 kg per cubic meter stack), and propose a system for handling non-compliant firewood.
- Implement measures to safely store and protect the firewood, avoiding risks of theft and dangers such as collapsing wood stacks or fire.
- Conduct public information campaigns to inform refugees of the firewood supply program, including the process of beneficiary identification and the intended distribution approach.
- Organize distribution to PSNs on a regular (suggested monthly) basis. Distribution should take place by group, with 12 PSNs (provisionally) sharing each cubic meter stack, to achieve the 0.8 kg pppd target. Adjustments may be needed if stack weights differ from assumptions. Sub-division of group rations by the refugee recipients should be fair and equitable. Information on firewood distributions and entitlements should be clearly posted at the distribution centres. During distribution, effective crowd control mechanisms should be in place, with a workable system to preposition firewood, allow beneficiaries to enter a waiting area, verify identity documents, conduct distribution, address concerns arising, and take stock of remaining firewood for later distributions.
- Establish a system for the monitoring of wood deliveries, quality, moisture content, stacking density, weight and volume conversions, distribution arrangements, feedback received and other parameters, to provide holistic data on the program and to inform operational adjustments to maximize cost-effectiveness and refugee benefit. The adoption of a real-time digital recording system to which MWE has access is strongly encouraged, for recording inbound deliveries, maintaining stocking data by location and recording distributions.

Throughout the assignment, the service provider should ensure close coordination with the technical teams of the respective District Local Governments to draw upon their expertise and knowledge, and to build their capacity.

The service provider should ensure that the implications for women and men of any planned action are properly assessed, to ensure that the concerns and experiences of both women and men are an integral dimension of design, implementation, monitoring and evaluation, so that women and men benefit equally and inequality is not perpetuated.

Refugee population data is updated regularly, and it will be the responsibility of MWE to provide the latest working figures on a quarterly basis. This should be reflected in adjustments to firewood supply quantities and targeting, which should be communicated immediately to the agency responsible for firewood procurement.

#### **4. Reporting requirements**

The service provider will report to the IFPA-CD National Project Coordinator in the Forest Sector Support Department of MWE, through the dedicated contract manager. The following reporting is required:

- A real-time database (via app or online) recording firewood deliveries and distributions, by site and by beneficiary. These should be supported upon request with original documents for verification such as delivery notes, signed distribution cards, etc.
- Quarterly and annual narrative summaries, including troubleshooting notes and recommendations for improvements in procurement, delivery, storage and distribution arrangements.

## 5. Location

This activity is being tendered in three geographic lots:

Lot no.	Refugee settlements	PSN population (January 2021)	Population sub-totals by lot
1	Bidibidi	233,959	494,520
	Imvepi	68,029	
	Kiryandongo	70,810	
	Rhino Camp	121,722	
2	Adjumani settlements (Agojo, Ayilo I-II, Boroli I-II, Maaji I-III, Nyumanzi, Pagrinya)	215,736	398,114
	Lobule	5,562	
	Palabek	54,530	
	Palorinya	122,286	
3	Kyangwali	125,039	324,279
	Kyaka II	123,928	
	Rwamwanja	75,312	

Source: UNHCR (2021)

A qualified bidder may be awarded the contract for more than one lot.

A 3-month trial will be launched in each lot. The bidders for each lot should recommend which settlement within their lot is best suited for this trial and should structure and cost their bid in two stages, accordingly. A decision on the trial locations will be determined by MWE during review of bids, based on the proposals of the service provider and the firewood procurement agency(ies), and in consultation with OPM and UNHCR. The full program will only be rolled out once the trial is complete and may be adjusted according to the results of the trial.

## 6. Qualifications

Bidders should demonstrate that they meet the following minimum standards:

- Proven capability to field a team of experts skilled in humanitarian commodity distribution within East Africa.
- Experience of distributing food or non-food items in a refugee operation.
- Demonstrated organizational, managerial and staffing capacity to cover all activities at all sites (or evidence of how such capacity will be recruited).
- Experience in managing contracts of comparable value and scope.
- Demonstrated commitment to sound financial management, including systems for managing cash flow, conducting audits, overseeing procurement, avoiding corruption and facilitating whistleblowing, with accompanying manuals or guidelines;
- Demonstrated ability to work closely and effectively with national institutions, including Government ministries and research institutions and decentralized government authorities;
- Demonstrated capacity to deliver well-written and well-designed written and visual materials that will require no further editorial work once completed.

The following criteria are also desirable:

- Experience of working in the Uganda refugee operation.
- Experience of supporting PSNs in the refugee environment.
- Experience of distributing firewood in a refugee operation.
- Past or ongoing partnership agreement(s) with UNHCR.

## **7. Pre-bid information gathering**

Applicants should provide the following information at the time of bidding:

- Updated population figures and block-wise locations of PSNs within each settlement, using current UNHCR geo-data;
- Proposed locations (with maps and coordinates) of firewood storage and distribution centres, to meet the needs of all PSNs in an efficient and cost-effective manner, with justification for these proposals;
- A basic design specification for each distribution centre; and
- Evidence of OPM and UNHCR provisional approval for the proposed designs and locations.

## **8. Timing**

The deadline for receipt of Expressions of Interest is **DD MM 2021**. The assignment is scheduled to commence on **....., 2022** and to run until December 31, 2024.

The firewood purchase and distribution scheme will be launched on a 3-month pilot basis in one settlement in each of the lots. Each bidder should propose (and justify) one trial settlement within the lot for which they are bidding, and structure their approach accordingly, in a scaled manner. Final selection of the piloting location will be made by MWE, based on the proposals of the service provider and the firewood procurement agency(ies), and in consultation with OPM and UNHCR.

Subject to satisfactory performance and lessons learned from the pilot experience, the activity will be extended to the remaining settlements in each lot, for an additional 9 months.

At the conclusion of the first 12 months, each contract will then be extendable on a 12-monthly basis, subject to funding and satisfactory performance, for up to three years.

## 9.16 Appendix 16: Gender Action Plan for IFPA-CD

### Project Beneficiaries

1. The main beneficiaries of the proposed project are multiple Ugandan communities that depend on forest resources.
  - a. Smallholders prepared to invest in productive forestry through plantations, woodlots, and agroforestry and ecotourism will benefit.
  - b. Refugee host communities in the Albertine and West Nile will benefit through higher levels of wood fuels-based energy security and agroforestry practices.
  - c. Tourism sector and wood value chain players will also be important beneficiaries. Support to the creation of new small-scale natural resource-based enterprises will create gainful employment.
  - d. Project interventions will also enhance ecosystem services from the landscape, for example, watershed protection, indirectly benefitting downstream water users through improved water flow, better water quality, and reduced soil erosion.
  - e. The GoU agencies in the natural resources sector and their staff (mainly UWA and the NFA as well as district forest services in the target districts) will benefit from improved capacity for service delivery. Both technical staff and communities will benefit from improved capacity for gender-responsive approaches to sustainable forest management.
  - f. The project will support higher inclusion and participation of women, boys, and girls as well as the historically marginalized communities of Batwa through specific activities across the three substantive components.

### Gender Gap/Issues

2. The gender disparities affecting forest-related activities are multidimensional and multifaceted, reinforcing each other. Gender disparities are equally felt among the historically marginalized groups of Batwa as well as refugees (and particularly women, girls, and the disabled within these groups). The gender barriers associated with the project are framed in the following themes: institutional, legal, economic, social, and environmental/climate change contexts. Gender constraints in the refugee communities are similar to those in the host communities; thus, similar actions in the action plan will target these constraints. These barriers cut across the project objectives. Below is a summary of the gaps identified.

- (a) The institutional barriers included
  - (i) Low career path for women especially in leadership positions and inadequate institutional capacity to institutionalize gender integration in forest management;
  - (ii) Majority of women having low literacy levels and so lacking relevant forest conservation and business skills, knowledge, and access to information;
  - (iii) Lack of credit and capital hindering women from participating in programs that benefit them;
  - (iv) Limited coverage of CFM approach to broaden the scope of gender integration; and
  - (v) Lack of statistical information and weak analytical capacity contributing to lack of gender-disaggregated data in the forest sector.
- (b) Legal and policy barriers included
  - (i) Negative social, cultural, and economic environments;

- (ii) Weak policy and legal enforcement, which affects women's participation and voice;
  - (iii) Control and access of forest resources and productive assets (land, credit, and capital); and
  - (iv) Gender inclusiveness in forest-related projects.
- (c) Economic barriers included
- (i) Limited access, control, and ownership of land;
  - (ii) Inadequate women's ownership on income that comes from forests, trees, and agricultural products; and
  - (iii) Differentiated length in work engagement and prioritization of use of time by men and women in forests and associated resources.
- (d) Social barriers included
- (i) Patriarchal traditional and cultural beliefs and norms negatively affecting women's access and ownership to land;
  - (ii) Gender discrimination in leadership, decision making, and participation, affecting women's gender inclusiveness in forest programs;
  - (iii) A disproportionate share of roles and responsibility for child and family care, reducing their time available for forest-related income-generating activities;
  - (iv) Long distances and isolation exposing the women and girls to sexual violence due to delays in forests searching for fuelwood; increased domestic violence (wife beating) and sexual abuse (rape), and school attendance inconsistencies for school going children; and
  - (v) Insecurity, lack of safety, and voice being a greater concern for refugee women and girls who may experience sexual abuse (GBV) in isolated forests and landscapes in their search for fuelwood and water.
- (e) Environmental barriers included unsustainable use of fuelwood through traditional technology contributing to biomass degradation and resulting in extended time travelled by women to collect fuelwood and water.

### ***Proposed Actions***

3. The project includes a gender analysis and an action plan to guide the mainstreaming. The actions identify activities that will (a) promote and increase women's participation and consultation, (b) contribute to increasing women's income, (c) improve sharing of benefits, (d) promote empowerment of women, and (e) improve creation of decent jobs from forest resources. Despite the broad concerns, actual actions to be undertaken are limited to selected project subcomponents with indicators aligned with project RF for effective project tracking.

4. The following actions were drawn:

- (a) Promotion of equitable participation and consultation to strengthen decision making/leadership and empowerment of women alongside the men
- (b) Increase in equitable benefit sharing in the targeted communities
- (c) Equitable and participative management of community forest areas managed according to gender-informed practices

- (d) Strengthening of capacity including women and institutions established with women leadership—CFM and CRM groups
- (e) Capacity building for the implementing teams
- (f) Promotion of decent jobs in the forest-related activities and value chain activities including tree farming, smallholder farmers, and production and processing of forest products

**Table 1. Gender Action Plan**

	Component or Subcomponent Intent	Key Gender Gaps	Actions	Indicators and Targets	Responsible Unit
<b>1</b>	<b>Component 1. Improved management of protected areas</b>				
1.1	Subcomponent 1.1. Improvement of infrastructure and equipment for the management of forest PAs	<p>Inadequate participation of men and women in the management of forests and wildlife due to</p> <ul style="list-style-type: none"> <li>• Discrimination associated with cultural norms, beliefs, and traditions;</li> <li>• Time constraints due to multiple household chores and family care;</li> <li>• Unequal access to land and other assets, forest landscape-related information, and extension services;</li> <li>• Underrepresentation in community groups and association at all levels; and</li> <li>• Inadequate skills to engage and negotiate in CFM.</li> </ul>	<p>Promote gender-inclusive participation, involving men, women, girls, and boys and particularly refugee and forest-dependent men, women, boys, and girls in</p> <p>(a) Boundary planning (including community consultations) and demarcation, fencing and walling to reduce human-wildlife conflicts, staff accommodation and ranger posts, and support for the NFMS and</p> <p>(b) Management of wildfires in</p> <p>(i) Training in fire management;</p> <p>(ii) Establishment and maintenance of fire breaks;</p> <p>(iii) Gender-inclusive community sensitization, response, and monitoring; and</p> <p>(iv) Introduction of appropriate modern approaches to help in efficient fire management practices at the landscape level</p>	<p>Number of people consulted on forest resources use and management (disaggregated by gender)</p> <p>CFM and CRM groups established with project support that have women in the executive committees (Percentage)</p> <p>Forest area brought under collaborative management (ha) (managed according to gender-informed practices)<sup>30</sup></p>	
1.2	Subcomponent 1.2. Increasing the involvement of local communities in the management of forest and wildlife areas by		Promote awareness on participation of men and women including the marginalized and forest-dependent groups in planning and decision making in community forest management		NFA and UWA

<sup>30</sup> Gender informed practices include consideration, participation, and consultation of men, women, boys, and girls including the marginalized and vulnerable groups in the area of operation in the design, planning, and implementation of forest-related activities supported by the project.

	Component or Subcomponent Intent	Key Gender Gaps	Actions	Indicators and Targets	Responsible Unit
	increasing their access and benefits from these areas		<p>groups, committees, and associations.</p> <p>Support gender inclusiveness in the management plans for the share of forest area managed.</p> <p>Engage community leaders and particularly men as agents for change in promoting gender inclusion and equity in forest management and use.</p> <p>Identify and promote best practices in inclusive benefit sharing in the management and use of forests and wildlife resources.</p>		
1.3	Subcomponent 1.3. Restoration of degraded natural forests and habitats in Wildlife and Forest PAs	<p>Women, as compared to men, have inadequate financial (capital/credit) and leadership ability to participate in private sector and commercial tree planting in forest PA.</p>	<p>Identify areas in the forest and wildlife habitats restoration value chain where women and vulnerable/marginalized groups (such as refugees) will benefit and actively participate in the activities.</p>	<p>People employed in production and processing of forest products (including female) (number)</p>	NFA and UWA
1.4	Subcomponent 1.4. Increased forest protection in CFRs and WRs in close proximity to refugee settlements	<p>There is difference of use, skills, and knowledge in forest resources.</p> <p>Women are usually discriminated from employment and are overburdened with family care and home chores.</p>	<p>Support inclusive forest restoration activities in afforestation, nursery tree planting, forest guards, community mobilization, and so on involving men, women, boys, and girls including from refugee communities.</p> <p>Promote dialogue on social norms and influence through change agents, preferably male champions inclusive from forest-dependent and refugee communities (men/women).</p> <p>Promote participation of refugees and forest-dependent communities in designing, planning, implementation, and monitoring of forest restoration activities.</p> <p>Promote training of forest guards in the prevention of potential sexual abuse</p>		NFA and CSOs

	Component or Subcomponent Intent	Key Gender Gaps	Actions	Indicators and Targets	Responsible Unit
			risks and in management skills.		
<b>2</b>	<b>Component 2. Increased revenues and jobs from forests and wildlife protected areas</b>				
2.1	Subcomponent 2.1. Investments in tourism	<p>Women have limited access to tourism and forest-related information and skills enhancement opportunities as much as men do, to facilitate their involvement.</p> <p>Women are less employed in forests and wildlife investments</p> <p>Productive forestry investments require land and capital for investments.</p> <p>Women lack capacity, knowledge, and skills for investing in business.</p>	<p>Identify areas in the forest and wildlife habitats restoration value chain where women will benefit and actively participate in the activities—such as ecotourism, crafts, community accommodation and tour guiding, and so on.</p> <p>Support gender-inclusive capacity building for private timber plantation owners.</p> <p>Promote targeted communication/media products, and organize tourism-related trainings targeted for men and women entrepreneurs, strongly encouraging women participation.</p>	<p>People employed in the production and processing of forest products (including female) (number)</p>	<p>MTWA in collaboration with local governments, CSOs, and the private sector</p>
2.2	Subcomponent 2.2. Investments in productive forestry		<p>Identify support-program mechanisms for women entrepreneurs that can have an impact on the entire value chains where women entrepreneurs are concentrated.</p>		NFA
<b>3</b>	<b>Component 3. Improved landscape management in refugee-hosting areas</b>				
3.1	Subcomponent 3.1. Increased tree cover on community and refugee-hosting areas	<p>Men and women will benefit differently from agroforestry programs; more so, agroforestry will reduce the distance travelled by women and girls in collecting firewood and reduce potential attacks and abuse.</p> <p>Men and women receive information differently; women may miss to receive information on time to inform their participation.</p>	<p>Consult and engage people in designing and implementing agroforestry activities as a business.</p> <p>Provide targeted technical and leadership training to women involved in forestry/agroforestry/private plantation/tree growing.</p> <p>Promote equitable beneficiary targeting and information sharing for the different genders and groups.</p> <p>Promote, among farmers, growing trees and</p>	<p>Tree farmers reached with assets or services (including female) (Number)</p> <p>Smallholder plantations established, with seedling survival rate of at least 60% after 1 year, with project support (managed according to gender-informed practices)<sup>31</sup></p>	

<sup>31</sup> Gender informed practices include consideration, participation, and consultation of men, women, boys, and girls including the marginalized and vulnerable groups in the area of operation in the design, planning, and implementation of forest-related activities supported by the project.

	Component or Subcomponent Intent	Key Gender Gaps	Actions	Indicators and Targets	Responsible Unit
		<p>Women lack capital and land for the establishment of woodlots and for planting trees. Trees are a reserve of men.</p> <p>Potential family conflicts result in GBV related to men-women power relations on land ownership and economic empowerment.</p>	supplying wood fuel as business.		
3.2	Subcomponent 3.2. Supporting farm forestry for refugee fuel supply		<p>Establish community dialogue on gender-inclusive and participatory community forest planning, women land tenure rights, and negative cultural beliefs and norms.</p> <p>Promote gender-inclusive tree planting as a business from farm forests.</p> <p>Support projects that develop women and men's capacities to promote sociocultural changes and training (identified by the community/women).</p> <p>Support capacity building for DLGs to train women on land rights and enforce women's land tenure rights during land transactions.</p> <p>Develop gender-inclusive regulations for community forestry in a participatory way.</p> <p>Ensure that allocation of wood fuel to refugees is equitable.</p>	<p>Tree farmers supplying the wood fuel scheme for refugee settlements (including female)</p> <p>Refugees-beneficiaries of the wood fuel supply scheme</p>	NFA, local governments/district land boards, and CSOs
<b>4</b>	<b>Component 4. Project management and monitoring</b>				

## **9.17 Appendix 17: Terms of Reference for MWE contractors, PCU Consultants and UWA & NFA Contracted Staff**

### **9.17.1 Terms of Reference: Social Risk Management Specialist**

**CLEARED BY WB**



**REPUBLIC OF UGANDA**

## **Investing in Forests and Protected Areas for Climate Smart Development Project (IFPA-CD)**

### **Terms of Reference for: Social Risk Management Specialist**

*(Twenty-four months - renewable)*

#### **1. Introduction**

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the Lead Agency and Ministry of Tourism, Wildlife, and Antiquities (MTWA). The project implementation period is 6 years and it seeks to improve sustainable management of forests and protected areas and increase benefits to communities from forests in target landscapes.

The project geographical area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development under Component 2 will be national in scale.

The project is structured in four main components namely; i) Improved management of forest protected areas; ii) Increased revenues and jobs from forests and wildlife protected areas; iii) Improved landscape management in refugee hosting areas; and, iv) Project Management and Monitoring. Details of project activities and implementation arrangements are provided in the Project Appraisal Document (PAD) and Project Implementation Manual (PIM).

The project objective will be achieved by undertaking integrated interventions by MWE, MTWA, Uganda Wildlife Authority (UWA), National Forestry Authority (NFA) and targeted District Local Governments (DLGs).

## **2. Objectives of the Assignment**

The primary objective for engaging services of a Social Risk Management Specialist in implementation of IFPA-CD is to support social risks management of all project activities.

## **3. Key duties and responsibilities**

Reporting to the National Project Coordinator but working under the overall technical direction of the Commissioner, DESSS, the Specialist will undertake the following tasks:

- a. Oversee Social issues pertaining to the IFPA-CD, ensuring project compliance with commitments expressed in the Environmental and Social Commitment Plan.
- b. Oversee the design, implementation and monitoring of Social mitigation measures stipulated in the project's ESMF (including Labor Management Procedures), Process Framework, and Vulnerable and Marginalized Groups Framework.
- c. liaise with the Environment and Social Safeguards focal points in MWE (DESSS) and IFPA-CD Implementing agencies to ensure consistency in compliance with ESMF across project and targeted project sites.
- d. Support the implementing agencies in carrying out social screening and subsequent preparation of the required social instruments for the proposed civil works consistent with ESMF Guidance. If it is determined that an ESIA is required, then this shall be prepared by the entity and submitted to NEMA for review and approval.
- e. Provide timely advice to the MWE/DESSS and project Implementing Agencies in regards to any Social issues arising out of implementation of the project or changes in social risk rating that would require due attention.
- f. In collaboration with the Environmental Specialist, support all project implementing agencies in ensuring adequate stakeholder engagement consistent with the project Stakeholder Engagement Framework.
- g. Assist and ensure consistent and proper documentation on consultative processes, summarize this information for key documents and store this information in a well-organized manner that facilitates ease of access and response to public comments or queries at later stages in the IFPA-CD implementation.
- h. Design and operate a tracking system to ensure that Social risks are monitored systematically across the project and reported as part of regular project reporting requirements. The Specialist will produce quarterly and annual reports (as per ESMF).
- i. In collaboration the Environmental Specialist, support and monitor performance of the project Grievance Redress Mechanism and maintain the centralized log of all grievances and feedback received.
- j. In collaboration with the Environmental Specialist, support the Capacity Building efforts of PCU, User departments in MWE, UWA and NFA on social risk management as per ESMF guidance.
- k. The Specialist will work as an integral team member of the Project Coordination Unit in collaboration with Environmental Specialist and with all implementing agencies for the project. As part of the project team, s/he will participate in World Bank implementation support missions and meetings, project mid-term review and project completion reporting.

## **4. Required skills, competencies and experience**

The specialist should be a sociologist with experience with community consultations and the vulnerable and marginalized groups and should have the following skills, competencies and experience:

- a. At least a Bachelor's Degree in Social Sciences, Social Work and Social administration, Development Studies or related fields.

- b. Ten years of relevant professional experience on Social and social risk management / safeguards.
- c. Familiarity with key institutions and local context in environment, forestry, wildlife and rural development in Uganda.
- d. Demonstrated expertise in and experience applying the World Bank's safeguards policies or Uganda's National Safeguards policies relating to environment, health and safety, community rights, rights of minorities, citizen engagement in natural resources management, gender, equal opportunities and inclusiveness, etc.
- e. Broad understanding of social and economic issues related to community development, the forest and wildlife and natural resources sectors in Uganda, including awareness of risks and benefits to forest-dependent (Batwa) and local communities and investments in forest and wildlife protected areas.
- f. Experience in conducting (not just organizing) public consultations with Vulnerable and marginalized Groups is desirable.
- g. Ability and willingness to travel to project locations.
- h. Demonstrated capacity for strategic thinking as well as practical problem solving.
- i. Excellent written and verbal communication skills in English.
- j. Knowledge of local languages spoken in Western Uganda and West Nile is desirable.

## **5. Reporting**

The Social Specialist will report to the National Project Coordinator.

## **6. Duration**

The duration of the position is 6 years. The Social Risk Management Specialist will be recruited for an initial period of twenty-four (24) months, with an initial trial period of 6 months. The contract period may be extended as required to ensure the implementation of the IFPA-CD and depending on satisfactory performance of the Specialist and availability of funding.

## **7. Remuneration**

Salary will be commensurate with qualifications and experience

## **8. Facilities and information to be provided by the client**

The Specialist will work within the Project Coordination Unit based in MWE. Adequate office furniture and equipment will be assigned to the specialist.

## 9.17.2 Terms of Reference Environmental Risk Management Specialist

**CLEARED BY WB**



REPUBLIC OF UGANDA

### **Investing in Forests and Protected Areas for Climate Smart Development Project (IFPA-CD)**

#### **Terms of Reference for: Environmental Risk Management Specialist**

*(Twenty-four months - renewable)*

#### **1. Introduction**

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the Lead Agency and Ministry of Tourism, Wildlife, and Antiquities (MTWA). The project implementation period is 6 years and it seeks to improve sustainable management of forests and protected areas and increase benefits to communities from forests in target landscapes.

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 11 refugee host districts (using the July 2010 boundaries) and 13 other districts. The performance-based subsidy scheme for private plantation development under Component 2 will be national in scale.

The project is structured in four main components namely; i) Improved management of forest protected areas; ii) Increased revenues and jobs from forests and wildlife protected areas; iii) Improved landscape management in refugee hosting areas; and, iv) Project Management and Monitoring. Details of project activities and implementation arrangements are provided in the Project Appraisal Document (PAD) and Project Implementation Manual (PIM).

The project objective will be achieved by undertaking integrated interventions by MWE, MTWA, Uganda Wildlife Authority (UWA), National Forestry Authority (NFA) and targeted District Local Governments (DLGs).

#### **2. Objectives of the Assignment**

The primary objective for engaging services of an Environmental Risk Management Specialist in implementation of IFPA-CD is to ensure project's compliance with the provisions of the E&S documents required under the ESF and referred to in the ESCP, such as the Environmental and Social Management Framework, as well as Environmental and Social Management Plans (ESMPs), and Environmental, Health and Safety Plans, that will be developed for the Project.

#### **3. Key duties and responsibilities**

The prospective Environmental Risk Management Specialist will be reporting to the National Project Coordinator but working under the overall technical direction of the Commissioner, DESSS. The Specialist will undertake the following tasks:

- a. Oversee environmental issues pertaining to the IFPA-CD, ensuring project compliance with commitments expressed in the Environmental and Social Commitment Plan (ESCP);
- b. Oversee the design, implementation and monitoring of environmental mitigation measures stipulated in the project's ESMF (including Labor Management Procedures), and Environmental and Social Management Plans (ESMPs), and Environmental, Health and Safety Plans other instruments that will be deemed relevant from the environmental risk management perspective;
- c. Liaise with the Environment and Social Safeguards focal points in MWE (DESSS) and IFPA-CD Implementing agencies to ensure consistency in compliance with ESCP and other relevant E&S instruments across project and targeted project sites;
- d. Support the implementing agencies in carrying out environmental screening and subsequent preparation of the required environmental instruments for the proposed civil works consistent with ESMF Guidance. If it is determined that an ESIA is required, then this shall be prepared by the entity and submitted to NEMA for review and approval;
- e. Provide timely advice to the MWE/DESSS and project Implementing Agencies in regards to any environmental issues arising out of implementation of the project or changes in environmental risk rating that would require due attention;
- f. In collaboration with the Social Specialist, support all project implementing agencies in ensuring adequate stakeholder engagement consistent with the project Stakeholder Engagement Framework;
- g. Design and operate a tracking system to ensure that environmental risks are monitored systematically across the project and the ESCP is timely reported upon as part of regular project reporting requirements. The Specialist will produce quarterly and annual reports (as per ESCP)
- h. In collaboration with the Social Specialist, design and support the Capacity Building Program of PCU, User departments in MWE, UWA and NFA on E&S risk management as per ESMF guidance;
- i. The Specialist will participate in World Bank implementation support missions and meetings, project mid-term review and project completion reporting

#### **4. Required skills, competencies and experience**

The main required skills, competencies and experience are summarized below:

- a. At least a Degree in Environmental Sciences or related fields.
- b. Six years of relevant professional experience on environmental risk management / safeguards, especially in natural resources management aspects.
- c. Familiarity with key institutions and local context in environment, forestry, wildlife and rural development in Uganda.
- d. Preference will be given to candidates with proven expertise and experience in applying the World Bank's safeguards policies or the Environmental and Social Framework (ESF) as well as Uganda's National Safeguards policies relating to environment, health and safety, community rights, rights of minorities, citizen engagement in natural resources management, gender, equal opportunities and inclusiveness, etc. Knowledge of the World Bank ESF as demonstrated through presentation of a certificate of completion of the free online training course offered by the World Bank is a must.
- e. Experience in Managing Occupational Health and Safety Risks.
- f. Ability and willingness to travel to project locations.

- g. Demonstrated capacity for strategic thinking as well as practical problem solving.
- h. Excellent written and verbal communication skills in English.
- i. Knowledge of local languages spoken in Western Uganda and West Nile desirable.

#### **5. Reporting**

The Environmental Specialist will report to the National Project Coordinator.

#### **6. Duration**

The Environmental Risk Management Specialist will be recruited for a period of twenty-four (24) months. The contract period may be extended based on the overall performance and if the need arises.

#### **7. Remuneration**

Salary will be commensurate with qualifications and experience

#### **8. Facilities and information to be provided by the client**

The Specialist will work within the Project Coordination Unit based in MWE. Adequate office furniture and equipment will be assigned to the specialist.

### 9.17.3 Terms of Reference Project Accountant

**CLEARED BY WB**



REPUBLIC OF UGANDA

#### **Investing in Forests and Protected Areas for Climate Smart Development Project (IFPA-CD)**

##### **Terms of Reference for: Project Accountant**

*(Twenty-four months - renewable)*

#### **1. Introduction**

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the Lead Agency and Ministry of Tourism, Wildlife, and Antiquities (MTWA). The project implementation period is 6 years and it seeks to improve sustainable management of forests and protected areas and increase benefits to communities from forests in target landscapes.

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development under Component 2 will be national in scale.

The project is structured in four main components namely; i) Improved management of forest protected areas; ii) Increased revenues and jobs from forests and wildlife protected areas; iii) Improved landscape management in refugee hosting areas; and, iv) Project Management and Monitoring. Details of project activities and implementation arrangements are provided in the Project Appraisal Document (PAD) and Project Implementation Manual (PIM).

The project objective will be achieved by undertaking integrated interventions by MWE, MTWA, Uganda Wildlife Authority (UWA), National Forestry Authority (NFA) and targeted District Local Governments (DLGs).

#### **2. Objectives of the Assignment**

The main objective of this assignment is to provide finance and accounting services to the MWE and project implementing entities to ensure effective financial management throughout the implementation of IFPA-CD. The Project Accountant is expected to operate a financial management system for the IFPA-CD project that adheres to the project financial management information needs, GoU financial management procedures and Financial management standards and implementation requirements of the World Bank.

### 3. Key duties and responsibilities

The Project Accountant will be responsible for the implementation of a financial management system for the IFPA-CD project and provision of accounting services to the project implementation. He/she will work in close collaboration with the MWE, UWA and NFA to ensure that all project-related financial transactions and reporting are carried out in an effective and efficient manner and in accordance with the stipulated Financial Management and Accounting guidelines and Funding Agreement between GoU and World Bank, Project Implementation Manual and all related project documents. On a day-to-day basis, the Project Accountant will work closely with other members of the Project Coordination Unit for IFPA-CD.

Under the overall supervision of the National Project Coordinator (NPC) and technical supervision of the Assistant Commissioner - Accounts (MWE), according to the existing MWE/GoU structure and in close cooperation and coordination with the accountants at UWA, NFA and PCU staff, the Project Accountant will be expected to provide technical advice on financial management matters, oversee the finances of the IFPA-CD, develop strategies for cash management, and ensure that the project expenditures and disbursements are in accordance with the stipulated guidelines and Project Funding agreement. The Project Accountant will work closely with the NPC, PCU Staff and other key personnel responsible for project implementation within MWE, UWA and NFA.

Reporting to the Assistant Commissioner – Accounts, MWE, the Project Accountant will:

- a. Ensure that financial management arrangements of the project are adequate, satisfactory, acceptable and reliable at all times. These arrangements include planning and budgeting, accounting and record keeping, internal control system, funds flow, financial report, internal and external audit.
- b. Ensure that the project financial management systems are functioning appropriately, including preparation of management and statutory financial reports.
- c. In collaboration with project team, support preparation, monitoring and revision of the project's annual work plan and budget.
- d. Ensure that project activities listed in the approved work plan are implemented and expenditures made in line with the approved project budget and procurement plan.
- e. Follow up on issues raised by the audits, review audited financial statements and other periodic financial reports received, monitor compliance with financial covenants including audit compliance, ensure adequate communication with the MWE, UWA and NFA with respect to audits and other financial reports and advise as appropriate; and report to the National Project Coordinator issues that require attention.
- f. Ensure full documentation of project expenditures in the World Bank Systems.
- g. Liaise with the Assistant Commissioner – Accounts at MWE to ensure that the available balance in the project designated account held by the MWE at BoU is at all times sufficient to fund planned expenditures; this will entail ensuring that the PCU and implementing agencies submit funds withdrawal application to the World Bank on a regular and timely basis.
- h. Liaise with the Project Accountants in UWA and NFA to ensure that the available balances in their Designated Accounts are at all times sufficient to fund planned expenditures and that they report on expenditures in a timely manner.
- i. Provide report, information and support on Project Financial Management matters.
- j. Prepare all financial reports in accordance with the approved financial (accounting) plan.
- k. Prepare and submit quarterly accounting monitoring reports to MWE and World Bank in accordance with approved guidelines and format.
- l. Prepare and submit the financial statements and cash flows forecasts within the specified time frame and annual financial statements at the end of the financial year.
- m. Maintain and ensure safe custody of all financial documentation.
- n. Maintain ledgers and implement strong internal control systems in order to facilitate the production of timely, reliable and accurate financial reports.

- o. Carry out monthly reconciliations of MWE Project account.
- p. Perform any other finance and accounts duties as may be assigned by the National Project Coordinator.

#### **4. Qualifications, skills, competencies and experience**

The following are key qualifications, experiences and competencies required:

- a. A Bachelor's degree in Accounting, Finance, Business Management/Administration, or Commerce with a Professional Certification such as CPA, CA, and ACCA.
- b. A Master's degree in the relevant field is a plus.
- c. Minimum of Ten (10) years' continuous professional experience including five years of executing Financial Management activities of World Bank funded projects or any other development partner/ multilateral organization/ international institution.
- d. Strong written and verbal communications skills in English.
- e. Experience in providing hands on capacity building, training and support supervision.
- f. Knowledge of International Financial Reporting Standards and International Standards on Auditing.
- g. Knowledge of the World Bank regulations related to financial management and disbursements.
- h. Experience in interpreting financial and project management reports and determining appropriate remedial actions.
- i. Proficiency in the use of computers for word processing, spreadsheets and any other applications used in the Financial Management functions
- j. Strong planning organization and time management skills to function in a team and contribute towards a common goal. Ability to manage multiple tasks and projects and work under pressure and tight deadlines with accuracy and professionalism.
- k. Excellent interpersonal skills and a strong team player and must be a person of proven honesty and integrity.
- l. A robust track record of actions and decisions that illustrate a strong ethical foundation

#### **5. Duration**

The implementation period for the project is 6 years. The Project Accountant will be recruited for an initial period of twenty-four (24) months (renewable), with an initial probation period of 6 months. The Contract may be extended as required to ensure the implementation of the IFPA-CD and depending satisfactory performance and availability of funding.

#### **6. Remuneration**

Salary will be commensurate with qualifications and experience.

#### **7. Facilities and information to be provided by the client**

The Project Accountant will be based and work within the Project Coordination Unit based in MWE. Adequate office furniture and equipment will be provided to the Accountant.

## 9.17.4 Terms of Reference for Procurement Specialist

**CLEARED BY WB**



**Ministry of Water and Environment**

**Draft Terms of Reference**

**For**

**Project Procurement Specialist (24 months)**

**Project: Investing in Forests and Protected Areas for Climate Smart Development (IFPA-CD)**

### 1. Background

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as Ministry of Tourism, Wildlife and Antiquities. Implementation of project activities will be undertaken by the MWE, National Forestry Authority (NFA), and Uganda Wildlife Authority (UWA), as project implementing agencies. Assistant Commissioner, Forestry, at MWE is an appointed National Project Coordinator. **The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.**

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development under Component 2 will be national in scale.

The project aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes. This will be achieved by undertaking integrated interventions by MWE, UWA, NFA, and targeted Districts Local Governments.

The project is structured in four main components namely; i) Improved management of forest protected areas; ii) Increased revenues and jobs from forests and wildlife protected areas; iii) Improved landscape management in refugee hosting areas; and, iv) Project Management and Monitoring.

The project requires the services of a Procurement Specialist.

### 1. Objectives of the Assignment

The main objective of this assignment is timely implementation of the procurement plan through efficient and effective procurement processes to guarantee timely acquisition of goods, works and services. The Project Procurement Specialist is expected to support a procurement management system for the IFPA-CD project that adheres to the World Bank Procurement Regulations and other requirements stipulated in the Project Documents. The Project Procurement Specialist will play a key coordination role between

all stakeholders in the procurement cycle, lead on procurement activities undertaken by MWE and provide overall support to procurement activities of UWA and NFA as required. The Specialist will work closely with assigned Procurement and Disposal Unit (PDU) staff at the MWE, UWA, and NFA.

## **2. Reporting Requirements**

The Project Procurement Specialist will report to the Head PDU -at MWE but will be accountable to the National Project Coordinator.

## **3. Key duties and responsibilities**

The Project Procurement Specialist shall be responsible for all project procurements and participate in all aspects of procurement tasks. The Procurement Specialist shall lead the on-the-job training of PCU, UWA and NFA staff in procurement procedures and conduct the tasks identified below by applying sound technical practices and methods. The Procurement Specialist shall also provide support to the procurement activities of UWA and NFA where required.

The Project Procurement Specialist will:

- a. Coordinate Procurement Function between the leads on specific activities and the Procurement and Disposal Unit on behalf of the Head Procurement and Disposal Unit.
- b. In Consultations with the focal points of procurement, the Procurement Specialist will prepare, review, adjust (where applicable) and monitor the implementation of the Project procurement plan.
- c. Ensure timely preparation/updating, and submissions of the project Procurement plans for review and approval of the World Bank.
- d. In consultation with MWE, NFA, and UWA and Head Procurement and Disposal Unit, prepare bidding documents for acquisition of goods, works and non-consulting services, and the REOI and RFP for consulting services.
- e. Ensure that procurement procedures follow those prescribed in the Project Implementation Manual.
- f. Lead the bidding and selection processing, including organizing pre-bid or pre-proposal meetings, providing clarifications, coordinating the Receipt of bids/proposals, leading and participating in the opening of bids/proposals/expressions of interest.
- g. In close consultation with MWE, NFA, and UWA and Head Procurement Unit, participate in Evaluation of Expression of Interest, Quotations, bids and Proposals.
- h. In close consultation with the Head Procurement Unit, prepare and make submissions to the Contracts Committee.
- i. Coordinate/make arrangements and participate in Contract negotiations for consultancy services and technical discussions for goods and Works where applicable to provide technical guidance.
- j. Prepare draft contract for Contracts Committee and IDA review, and clearance of the Solicitor General and ensuring timely signing of contracts.
- k. Verify that Procurement requests are in accordance to the approved Procurement Plan.
- l. Maintain and ensure timely upload of all project procurement records in the Bank's STEP system.
- m. Prepare and publish general and specific procurement notices/invitation for bids and REOIs.
- n. Work closely with MWE, NFA, and UWA to ensure that Terms of Reference or technical specifications are obtained timely from relevant Technical Departments and Beneficiaries.
- o. In consultation with the Technical Departments preparation of bidding documents, request for proposals, consultant's shortlists and other documents based on relevant procedures for the procurement of goods, Works and on consultant services and for the selection of consulting services.
- p. Mentor colleagues by sharing knowledge in procurement services.

- q. Support capacity building in procurement management of staff that deal with procurement issues with emphasis on World Bank and PPDA Guidelines.
- r. Ensure that clearance/No-objection(s) from World Bank is obtained if required.
- s. Preparation of Procurement progress reports at a minimum on monthly basis, highlighting among others the progress on processing various contracts, constraints met and any other issues that require Management attention.
- t. Participate in Contract monitoring and administration by ensuring that in close liaison with the Technical Departments that all procurement contracts are efficiently managed, monitored and timely completed in order to get the value for money (good quality at a lower cost). In collaboration with technical departments.
- u. To enhance the efficiency and effectiveness of the Procurement Data Management system and in particular set up a filing and record keeping system that ensures that procurement records are easily retrievable and available for procurement audits; Maintain complete procurement files and records including all correspondence related to procurement activities; seek legal advice where appropriate.
- v. Prepare procurement inputs to quarterly FMR progress reports.
- w. Monitor and track contracts being processed, identify constraints/challenges/issues especially deviations from agreed procurement schedules and seek to resolve issues in a timely manner in appropriate consultation with Management.
- x. Facilitate the Post Procurement Reviews (PPR) exercise, and follow up implementation of PPR recommendations.
- y. Prepare and update the Procurement/Contract Register (List of all procurement contracts awarded).
- z. Provide advice and participate in identified disposal processes.
- aa. Report immediately to the Permanent Secretary any noted fraud and corruption or governance issues with Procurement staff, Bidders and Consultants.
- bb. Any other duties that may be assigned by his/her Superiors from time to time in furtherance of the above responsibilities.

#### **4. Required skills, competencies and experience**

The follow are key qualifications, experiences and competencies required:

- a. A University degree in Procurement, Business Administration, Economics, Civil/Water Resources Engineering or other related courses with a Master's Degree in either Procurement, Economics, Business Administration, Project Planning and Management or other related courses with extensive and demonstrated experience in procurement management in all aspects of procurement of goods, non-consulting services, works and consulting services.
- b. A professional qualification in procurement from a recognized institution (e.g. Chartered Institute of Purchasing and Supply (CIPS), Institute of Supply Management (ISM), etc. will be an added advantage.
- c. Must have good knowledge of procurement policies and procedures of multilateral financial institutions (e.g. the World Bank) and development co-operation agencies; as well as good knowledge of the institutional, technical, and commercial aspects of procurement.
- d. Excellent skills in project management and communications, both written and oral, demonstrated in previous jobs.
- e. A strong experience of at least 7 years' general experience in procurement services with 3 years in public sector and at least 2 years working under the World Bank financed projects with a demonstrated strong track record.
- f. Experience with use of Bank's STEP system is an added advantage.
- g. Experience of similar assignments in the Region is highly preferred.
- h. Proven track record in working effectively within multidisciplinary teams.
- i. Computer knowledge and skills in MS word, MS excel and internet/email is a mandatory requirement.

- j. Demonstrated evidence of transfer of knowledge to relevant staff in project implementing agencies.

## **5. Duration**

The duration of the position is 2 years (full time), with an initial probation period of 6 months.

## **6. Performance Indicators:**

- a. Annual Procurement Plans and quarterly updates in place
- b. Weekly and Monthly Procurement and Contract Management status reports/updates submitted to HPDU and World Bank
- c. Monthly update of procurement monitoring form to be provided to all user departments to be filled and submitted timely
- d. Provide input into Monthly Contracts Implementation Status reports for all contracts showing the total amount of the contract, amount already paid and balance to be paid on each contract
- e. Timely preparation and submission of documents for the supply of goods, works and services timely to Contracts Committee or World Bank as the need arises;
- f. Regular procurement performance reports for staff participating in procurement cycle e.g. at evaluation, Contracting Management stages as well bottlenecks identified
- g. Contracts Register in place
- h. Demonstrate behaviour of professional and personal ethics, integrity and transparency in dealing with internal clients and service providers.
- i. Acceptable Record Keeping system in place
- j. Schedule of pre-bid/pre-proposal meetings, Proposal opening, bid opening, Financial opening, negotiations shared with relevant User Departments, Contracts Committee and other stakeholders if any at least 2 weeks before planned date.

## **7. Remuneration**

Salary will be commensurate with qualifications and experience.

## **8. Facilities and information to be provided by the client**

The specialist will be based and work within the Project Coordination Unit based in MWE, Kampala. Adequate office furniture and equipment will be assigned to the specialist.

## 9.17.5 Terms of Reference for Monitoring and Evaluation Specialist

CLEARED BY WB



### Project: Investing in Forests and Protected Areas for Climate Smart Development (IFPA-CD)

#### Terms of Reference for Monitoring and Evaluation Specialist

*(Twenty-four months (renewable))*

## 1. Background

### 1.1 Forestry Resources

Uganda's natural forest vegetation is categorized into three broad types: Tropical High Forest Well-stocked (THF), Tropical High Forest Low-stocked (THFL), and Woodlands, with woodlands being the predominant type in terms of area. In addition to the three natural forest types, plantations are differentiated into broadleaved and coniferous plantations.

Originally, THF occurred in mountainous areas and in most of the central region between Lake Victoria and Lake Albert, and is now mainly found in Central Forest Reserves (CFRs) in the western part of the country (e.g., Bugoma, Budongo, Kalinzu-Maramagambo, Katsyoha-Kitomi, Echuya, Itwara) and in national parks (Bwindi Impenetrable, Mgahinga, Rwenzori Mountains, Kibale and Semuliki). THFL is found around the shores and on the islands of Lake Victoria. Savannah woodland and bushland covered the drier parts of the country, namely the northern, central and western regions, whereas the eastern part of the country is largely forest-poor except the Mount Elgon area (NBS, 2009; FIP 2016).

Uganda experiences high rates of forest cover loss. In 2000, natural forests outside protected areas reduced from 3.32 million hectares (ha) to 0.98 million ha, a fall of 70%, and from 1.53 to 1.1 million ha within protected areas, a smaller yet still worrying loss of 30%. Inventory data from 2015 indicated that approximately 46% of the remaining 2.1 million ha of natural forests were on private land and 54% under government ownership in Forest Reserves, National Parks and Wildlife Reserves. Uganda's forest plantation, agroforestry and farm forestry area meanwhile, increased during the same period from 268,363 to 415,958 ha, with 25% of new planting in forest reserves and 75% on private land.

### 1.2 Wildlife

The Albert Nile WMZ contains the Albertine Rift, which supports the most carbon-dense forests remaining in Uganda and is also a global biodiversity hotspot. Many intact areas of forest remain in this landscape, but most are under high pressure and forest areas are becoming increasingly fragmented. Fragmentation is also leading to biodiversity (i.e. tree species, wild animals and plants) loss and, increasingly, Human Wildlife Conflicts as wildlife, such as African elephant and chimpanzees which require large ranges, move between remaining blocks of habitat.

### **1.3 Tourism**

The project is priority for the Tourism and Wildlife Sector and contributes towards the implementation of Tourism Sector Development Plan (TDSP (2015/16 – 2019/20) by supporting: i) Tourism marketing and promotion; ii) Tourism Human Resources Development; iii) Tourism Product Development, iv) Tourism management through increasing access to tourist attractions and, improved hospitality facilities and services, and, v) Conservation of natural tourist attractions in the targeted wildlife protected areas.

Tourism is a key driver of economic growth, and the forests and wildlife of the Albertine Rift are particularly important for this sector. This includes many globally-threatened species and populations, including those of Mountain Gorilla (*Gorilla beringei*) (critically endangered) and Eastern Chimpanzee (*P. troglodytes schweinfurthii*) (endangered). The targeted National Parks and some of the Forest Reserves attract leisure tourists for wildlife safaris, gorilla and chimpanzee tracking, and adventure tourism. Murchison Falls National Park and Queen Elizabeth NP are the most visited parks in Uganda. Nature-based tourism generates significant revenues, some of which benefits local communities through benefit-sharing mechanisms used by the Uganda Wildlife Authority (UWA) and through job creation. These revenues are also vital for funding the operational costs of National Parks, Wildlife and Forest Reserves themselves.

### **1.4 Refugee context**

There is increasing human pressure on natural ecosystems and land resulting from high human population due to influx of refugees mainly from DRC, South Sudan, Rwanda and Burundi. As of September 2019, Uganda hosted approximately 1.25 million (85% of refugees and asylum-seekers) in Uganda in refugee settlements in 11 districts in the Albertine Rift, districts to west and east of R. Nile further north (Adjumani, Arua, Moyo, Yumbe, Madi-Okollo, Koboko, Kibule, Kamwenge, Kiryadongo, Kyegegwa and Lamwo). Investments to mitigate impact of refugees on hosting landscapes through improving land productivity, enhancing ecosystems and landscape capacity to mitigate climate change are needed. In addition, investments to reduce pressure on natural resources and build resilience to effects of climate change among the rural poor and ecosystems should focus on creating jobs and increasing income from forest resources in a sustainable manner.

The project contributes to Uganda's Comprehensive Refugee Response Framework and the related Water and Environment Sector Response Plan for Refugees and Host Communities in Uganda (2019). Specifically, SFLP contributes to the ReHOPE Objective #4 "Addressing environmental degradation in refugee hosting areas" through supporting establishment of greater tree cover in refugee-hosting landscapes outside protected areas, supporting sustainable forest management and landscape resilience on private and customary land as well as wood-fuels based energy security for both host communities and refugee settlements.

### **1.5 Vulnerability**

Environmental degradation in the Albertine Rift and West Nile Region is increasing social and ecological vulnerability to climate change. Strengthening management of protected areas and other natural ecosystems will improve mitigation and adaptation to climate change. Securing gender sensitive livelihoods through investments in forestry, wildlife, tourism, renewable energy, sustainable land management, land and resources governance will reduce pressure on ecosystems and sustain provision of ecosystem goods and services. Environmental degradation and habitat loss are already associated with reduced levels of ecosystem services and have been linked to increasing levels and frequency of floods and landslides and worsening water shortages.

The Albertine Rift faces a deteriorating situation with regard to climate change impacts. Topography, with mountainous areas rising to 5,430m a.s.l are prone to floods, landslides, and damage to infrastructure including roads and bridges, low rainfall areas subject to increasing uncertainty over quantity and timing of rainfall, and dependence of densely settled rural population on subsistence agriculture and natural resource use, all contribute to a high need for support amongst proposed SFLP recipients. Albertine Rift communities are in need of support to avoid a worsening of poverty levels – 75% to 80% of most households in the project area are below the poverty line of US\$ 2 per day that will further reduce the capacity of communities to adapt to climate change. The situation is made more difficult by the high proportion of land under government controlled protected areas, the growing control of land by corporations and individuals, the low levels of government investment in improving land use, low access to credit, and limited alternative to subsistence farming.

The consequences of climate change on livelihoods resulting from successive droughts and floods are expected to be significant. Though the analysis is complex, the productivity and reliability of key subsistence and cash crops grown in the Albertine Rift are likely to reduce and some may become uneconomic - production of cassava, sweet potatoes and potatoes may fall by 40% by 2050, while production of coffee could fall by 75% and tea by 50%. Threats to maize, coffee and bean production have been identified as strategic priority concerns. Basic household subsistence as well as incomes would be affected, with likely knock-on impacts on ecosystems and natural resources as households seek to recover losses by bringing more land under cultivation or increasing natural resource harvests.

The current and predicted vulnerabilities to the impacts of climate change on the peoples of the Albertine Rift create a compelling case for investments in adaptation and risk reduction as proposed in the Forest Investment Plan (FIP), the National Climate Change Policy and the Uganda REDD+ Strategy.

Improving land productivity (through Sustainable Land Management practices) remains the primary mechanism for reducing vulnerability to climate change. Ensuring provision of ecosystems services and technical and financial means to farmers is critical to achieve this. Needs identified include raising levels of social and ecological resilience, improving the levels of food security of vulnerable households, reducing the rates and levels of ecosystem loss and degradation, restoration of degraded ecosystems, and strengthening institutional capacity to respond to these needs.

## 2 The Project

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the, Lead Agency and Ministry of Tourism, Wildlife and Antiquities. **The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.**

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development under Component 2 will be national in scale.

The project aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes. This will be achieved by undertaking integrated interventions by Ministry of Water and Environment as well as Ministry of Tourism Wildlife and Antiquities, Uganda Wildlife Authority, National Forestry Authority and targeted Districts Local Governments. Technical Services Providers and Consultants will be hired by the implementing agencies to undertake specific tasks.

At the end of the project life as a result of improved sustainable management of forests and protected areas, increased benefits from forests in target landscapes, additional household level economic activities supported by the project interventions, there will be an increased provision of ecosystem goods and services, increased household incomes and improved livelihoods of 250,000 households in the project area.

The interventions to achieve the above outcomes include; i) management of forest and wildlife protected areas in the Albertine Rift and West Nile region; ii) enhancing productivity of forests and wildlife protected areas; and, iii) increasing resilience of landscapes and livelihoods to climate change and impact of refugees.

The project is structured in four main components namely; i) Improving management of forest protected areas; ii) Increasing revenues and jobs from forests and wildlife protected areas; iii) Increasing resilience of landscapes and livelihoods to effects of climate change and impact of refugees; and, iv) Project Management Support.

The project will deliver seven (7) broad outputs which have logically been designed to achieve the two outcomes of the project that ultimately will enable the project make its contribution to the development objective. Detailed activities to deliver the outputs have been linked to their respective outputs so as to deliver those results.

### **3. Objectives of the Assignment**

The main objective of this assignment is to engage the services of a qualified and experienced individual consultant as the Project M&E Specialist (MES) in the implementation of the IFPA-CD.

### **4. Key duties and responsibilities**

The MES will be responsible for:

- a. Developing or strengthening M&E processes, data collection and reporting formats for use by UWA, NFA, District Local Governments, User Departments of MWE and TSPs.
- b. Providing clear guidance (and training, as may be required) to UWA, NFA, District Local Governments, User Departments of MWE and TSPs for periodic tracking and reporting of data that can then be collated, and consolidated to report progress on various results.
- c. Implementing an efficient and effective results-based monitoring & evaluation (M&E) system that can track and report results against the results framework targets and indicators over-all supporting the coordination of implementation of the daily activities, work programs, and reporting on the IFPA-CD progress.
- d. Providing data and information that will support evidence-based decision-making by PCU, Project Steering Committee and Technical Coordination Committee.
- e. Providing data and information that will support and or prepare briefs and other technical reports by PCU.
- f. Coordinating the compilation of project progress data to assess project achievements and outputs in relation to the baseline and targets as set out in the project Results Framework. This will involve data collection, collating, analysis, and reporting as part of the quarterly and semi-annual and Annual reporting to the GoU, World Bank and other relevant stakeholders. The Consultant will work closely with UWA, NFA, District Local Governments, User Departments of MWE and TSPs to collect, analyze, and consolidate data and information on all activities included in the approved Work Plan, including through regular meetings (at least monthly or more frequent as needed) as well as verifying the internal consistency and validity of data submitted by UWA, NFA, District Local Governments, User Departments of MWE and TSPs.
- g. Preparing consolidated quarterly activity/progress reports on the status of all activities included in the approved Work Plans with a clear indication of activities that are on track and those with delays.

- h. Represent the PCU in the Grant Management Committee (GMC) of the performance –based tree growing subsidy scheme
- i. Developing and maintaining a Management Information System (MIS) to track progress in all project components of IFPA-CD, ensuring that implementation targets are met and information is shared with stakeholders.
- j. Supporting arrangements for results monitoring and reporting, including Supervisory Missions, mid- term review and an end-of-project evaluation.

## **5. Required skills, competencies and experience**

The main required skills, competencies and experience are summarized below:

- a. At least a Master's degree in natural sciences, forestry, wildlife environment, Development Studies, Social sciences, Economics, Business Administration, Statistics or relevant discipline.
- b. Strong quantitative and qualitative skills.
- c. Minimum of 10 years of progressively responsible professional experience in a performance monitoring and/or evaluation role.
- d. Experience of M&E work in an international development organization or a project funded by an international development organization.
- e. Experience with Government M&E systems will be an added advantage.
- f. Demonstrated ability in data analysis, monitoring and evaluation of development activities.
- g. Experience developing results frameworks, logical frameworks.
- h. Excellent research and data collection methodology and reporting skills.
- i. Excellent computer skills, including word processing, spreadsheet programs and data base management.
- j. Familiar and should have experience in using Microsoft office.

## **6. Supervision and coordination**

Reporting to the National Project Coordinator, the MES will be based and work within the MWE based Project Coordination Unit. The MES will work closely with the Technical Project Coordinator, Institutional Focal Points for UWA and NFA, designated Focal points in User departments in MWE and TSPs

## **7. Duration**

The duration of the position is 5 years. The MES will be appointed for a period of twenty-four (24) months (renewable). This period may be extended as required to ensure the implementation of the IFPA-CD and depending satisfactory performance and availability of funding.

## **8. Remuneration:**

Salary will be commensurate with qualifications and experience

## **9. Facilities and information to be provided by the client**

The M&E Specialist will be based and work within the Project Coordination Unit based in MWE, Kampala. Adequate office furniture and equipment will be assigned to the M&E Specialist.

## 9.17.6 Terms of Reference for Technical Project Coordinator (TPC)

Cleared by WB Jan 2021

### INVESTING IN FORESTS AND PROTECTED AREAS FOR CLIMATE SMART DEVELOPMENT PROJECT

#### Terms of Reference for Technical Project Coordinator

*(Twenty-four months (renewable))*

##### 1. Background

The Government of Uganda received funds from the International Development Association of the World Bank and Government of Uganda for implementation of the 'Investing in Forests and Protected Areas for Climate Smart Development (IFPA-CD) Project. The IFPA-CD Project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the Lead Agency and Ministry of Tourism, Wildlife and Antiquities, National Forestry Authority (NFA) and Uganda Wildlife Authority (UWA). **The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.** The project therefore, aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes.

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development will be national in scale.

The project is structured in four main components namely; i) Improving management of forest protected areas; ii) Increasing revenues and jobs from forests and wildlife protected areas; iii) Increasing resilience of landscapes and livelihoods to effects of climate change and impact of refugees; and, iv) Project Management Support.

##### 2. Objectives of the Assignment

The main objective of this assignment is to engage the services of a qualified and experienced individual consultant to provide services of the Technical Project Coordinator (TPC), through provision of technical and coordination support to the National Project Coordinator (NPC) to ensure overall smooth and technically sound implementation of the Project. Technical Project Coordinator will work closely with designated Project Focal Points in Implementing Agencies (UWA and NFA) and User departments of MWE, Technical Service Providers (TSPs), National Project Coordination Unit (NPCU) Consultants and other who consultants who will be hired, to ensure quality and timely technical deliverables and outputs.

##### 3. Key Duties and Responsibilities

The principal role of the TPC will be to ensure effective project implementation, coordination mechanisms and high quality of project outputs. The TPC, working closely with relevant agencies, shall be responsible for coordinating implementation of the daily activities, work programs and expenditures of the project and ensure the project objectives are met with required efficiency and effectiveness.

Reporting to the National Project Coordinator, the TPC will carry out the following responsibilities:

**3.1. Project Management:** provide advice and support to the NPC to achieve a cost-effective management of the project by providing:

- a. **Overall day to day management of project operations** through close coordination with the NPC, Institutional Focal Points, PCU staff and Technical Service Providers. The TPC will regularly interact with MWE, UWA and NFA Focal Points, TSPs, Consultants and districts aiming at ensuring that implementation of project activities is synchronized to avoid duplication and inefficient use of resources.
- b. **Monitoring of project implementation and advice on compliance with PIM and Financing agreement, Environment and Social (E&S) risk management, and other agreed procedures of the IFPA-CD Project implementation.**
- c. **Supervising PCU Staff/personnel, Project Consultant and TSPs:** The TPC will support the NPC by providing technical supervision to the PCU staff, ensuring review of their work and outputs, providing technical advise where required, and monitoring their performance.
- d. **Representing the NPC:** The TPC will be assigned to represent the NPC in meetings, field activity supervision, and monitoring where necessary.
- e. **Undertaking capacity building and institutional building activities.** The TPC will support capacity and institutional building efforts through coaching and providing technical guidance to Institutional Focal Points, assigned staff at headquarters and in the field on aspects where the TPC has competence to handle and where this may be needed.

The consultant will bring to the attention of the NPC, and, through the NPC, to MWE / NFA / UWA management and the World Bank (through the Task Team Leader) as relevant, in a timely manner issues that need urgent support and action to ensure smooth progress of activities.

**3.2 Coordination:** provide advice and support into:

- a. **Convening Project implementation coordination meetings of PCU and with Institutional Focal Points of UWA, NFA and MWE User departments.** The TPC will facilitate planning and convening of coordination meetings, including monitoring implementation of agreed actions and processing responses to issues requiring MWE/PCU action.
- b. **Support coordination, reviews, inputs, feedbacks, approvals within government and World Bank Task Team Leader (TTL):** The TPC will keep track of all issues and actions related to project implementation, in consultation with Institutional Focal Points identify bottlenecks in implementation and, through the NPC, support and facilitate consultations with MWE and World Bank to seek and provide solutions or feedback to the implementing agencies. This information will be in a form that will enable all the implementing agencies to keep on top of overall implementation progress and issues of concern. This information would be separate from the consolidated reports that are required for more formal reporting. At the start of the project, the TPC will develop and communicate appropriate tools for tracking such issues and remedial or follow up actions taken.
- c. **Manage and coordinate regular communication and information flows between the implementing agencies, the GoU, and the World Bank.** The TPC will work with PCU

Staff/personnel, Institutional Focal Points, TSPs to prepare technical briefs, reports and other information for the NPC's use in ensuring adequate information flows to the targeted audiences.

- d. **Manage and coordinate regular communication and information flows between the implementing agencies and stakeholders.** The TPC will work with PCU Staff/personnel, Institutional Focal Points, TSPs to prepare technical briefs, reports and other information for the NPC's use in ensuring adequate information flows to the targeted audiences.
- e. **Planning and coordinating project supervision Missions, Steering and Technical Coordination processes:** The TPC will support NPC in the planning, preparation of briefs, discussion papers and other documentation, participate in these process as well as support the NPC in implementation of follow up actions. The TPC will monitor implementation of the follow up actions and decisions from these processes and advise the NPC and Implementing agencies on progress and outstanding issues for actions.
- f. **Planning and coordinating Project mid-term reviews and end of project evaluation.** The TPC will support the planning, preparation of briefs/ reports and other documentations, participate in these processes as well as support the NPC in implementation of follow up actions.
- g. **Planning and facilitating Stakeholder engagement processes with relevant stakeholders, including government agencies, CSOs, Private sector, Vulnerable and Marginalized Groups, among others, as appropriate.** The TPC will monitor and advice the NPC and Institutional Focal Points on compliance issues with the Stakeholder Engagement Plan. In addition, the TPC will facilitate dialogues with stakeholders or represent the NPC in such dialogues and meetings, where appropriate.

**3.3 Technical responsibilities:** take technical lead and ensure good quality and timely delivery of the following:

- a. **Consolidated Project work plans and budgets, with inputs from UWA, NFA and MWE User departments.** The TPC will initiate, receive, review and facilitate the consolidation of annual work plans and budgets into a single IFPA-CD work plan and budget and process them for review/endorsement by the Project Steering Committee (PSC) and approval by the World Bank.
- b. **Terms of reference or description of assignments and activities to be implemented by MWE:** The TPC will initiate preparation of Terms of Reference and task description of activities to be implemented by Consultants to be hired by MWE and ensure their technical completeness and compliance with agreed requirements stipulated in contracts /MoUs and the IFPA-CD financing agreement and project implementation manual.
- c. **Terms of reference or description of tasks and activities to be implemented by UWA and NFA.** The TPC will receive and review ToRs and or descriptions of tasks aiming at ensuring their technical completeness and compliance with agreed requirements stipulated in the IFPA-CD financing agreement and project implementation manual.

- d. **Project technical reports** – The TPC will review all deliverables and reports for the project prior to their finalization and liaise with responsible staff members, PCU members and consultants to ensure that the quality of the deliverables and reports is according to relevant TORs and meets the expected standard of quality.
- e. **Project progress reports, project briefs and other technical information provided to project stakeholders and the World Bank.** The TPC will initiate and lead preparation of consolidated progress reports from UWA, NFA, MWE User departments with a view of ensuring completeness and compliance with agreed reporting requirements as stipulated in the financing agreement and project implementation manual.

#### 4. Deliverables

- a. Good and timely quality project work plans and budgets, progress reports, technical reports and briefs/articles.
- b. Quality information briefs, reports and other communications to various audiences
- c. Well-coordinated project implementation processes and outputs.
- d. Effective technical support to the Project Steering Committee, review and evaluation process (Project Steering Committee, WB Supervisory Missions, mid-term review and end of Project evaluation).
- e. Ongoing advice to NPC, MWE and Implementation Agencies with regard to relationship management, risk management, conflict resolution, project and quality assurance, project monitoring, change control and any other aspects to ensure successful delivery of the project.

#### 5. Qualifications/skills and competencies

The main required skills, competencies and experience are summarised below:

- a. A Master's Degree in forestry or related natural sciences.
- b. A minimum of 15 years of professional or equivalent experience in development and management / coordination of natural resources/environmental and or related programmes /projects at national/regional or international levels.
- c. A minimum of 10 years of experience managing projects and teams.
- d. Strong management skills, including ability to provide strategic guidance, technical oversight, mentor staff, build strong teams, develop work plans and budgets.
- e. Demonstrated experience and competence in engaging with Government, Development partners and multi-stakeholder processes at policy and senior management levels.
- f. Demonstrated leadership in the compilation, analysis and disseminating of projects information.
- g. Good negotiation, multi-cultural and interpersonal skills, with experience and demonstrated skills in networking with ministry-level partners, donors and private sector
- h. Sound technical knowledge of issues in Forestry, Wildlife, Climate Change, Tourism, Environment sub sector and over-all rural development in Uganda.
- i. Knowledge of donor funded and government of Uganda project implementation procedures and core values, including government planning, management, implementation and reporting processes.
- j. Proven ability to plan, organize and effectively implement activities.
- k. Ability to coordinate and work in teams, as well as in complex environments.
- l. Good communications skills, including fluency in English.
- m. Understanding of government functioning in Uganda.
- n. Experience in dialogue processes between Government and civil society, and on consensus building.

## **6. Reporting and Location**

The TPC will report to the National Project Coordinator. TPC will be based and work within the Project Coordination Unit based in MWE, Kampala.

## **7. Duration**

The duration of the position is 6 years with a probation period of 6 months. However, the TPC will be recruited for an initial period of twenty-four (24) months (renewable). The contract may be renewed as required to ensure the implementation of the IFPA-CD Project and depending on satisfactory performance and availability of funding.

## **8. Remuneration**

Salary will be commensurate with qualifications and experience.

## **9. Facilities and information to be provided by the client**

Adequate facilities, office furniture and equipment will be provided for use by the TPC.

## 9.17.7 Terms of Reference, Projects Officer- NFA

**CLEARED BY WB**



### **TERMS OF REFERENCE FOR PROJECT OFFICER National Forestry Authority**

**PROJECT: INVESTING IN FORESTS AND PROTECTED AREAS FOR CLIMATE SMART DEVELOPMENT**

#### **1. Introduction**

The Government of Uganda has received financing from the World Bank toward the cost of the Investing in Forests and Protected Areas for Climate Smart Development (IFPA-CD Project).

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the Lead Agency and Ministry of Tourism, Wildlife and Antiquities, National Forestry Authority (NFA), and Uganda Wildlife Authority (UWA). The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development will be implemented at national scale.

The project aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes.

At the end of the project life as a result of improved sustainable management of forests and protected areas, increased benefits from forests in target landscapes, additional household level economic activities supported by the project interventions, there will be an increased provision of ecosystem goods and services, increased household incomes and improved livelihoods of 250,000 households in the project area.

The interventions to achieve the above outcomes include; i) management of forest and wildlife protected areas in the Albertine Rift and West Nile region; ii) enhancing productivity of forests and wildlife protected areas; and, iii) increasing resilience of landscapes and livelihoods to climate change and impact of refugees.

The project is structured in four main components namely; i) Improving management of forest protected areas; ii) Increasing revenues and jobs from forests and wildlife protected areas; iii) Increasing

resilience of landscapes and livelihoods to effects of climate change and impact of refugees; and, iv) Project Management Support.

The project will deliver seven (7) broad outputs which have logically been designed to achieve the two outcomes of the project that ultimately will enable the project make its contribution to the development objective.

The Ministry of Water and Environment, as the Lead Agency, hosts the Project Coordination Unit (PCU) which is responsible for overall project coordination and reporting. The PCU includes National Project Coordinator and other staff responsible for project monitoring, environmental and social risk management, financial management, and procurement.

NFA and UWA are responsible for implementation of activities under the project. Institutional coordination and leadership at NFA and UWA is assured by the Institutional Focal Points. NFA intends to hire a Project Officer / consultant to provide support to the Institutional Focal Point in smooth coordination and implementation of project activities under NFA.

## **2. Objectives of the Assignment**

The main objective of this assignment is to engage the services of a qualified and experienced individual consultant as the Project Officer (PO) to support implementation of the IFPA-CD Project. The Project Officer will work closely with and directly supporting the designated Institutional Focal Point for NFA, and user departments, and field staff of NFA and coordinate with the PCU at the Ministry of Water and Environment and other project implementing entities

## **3. Key duties and responsibilities**

The PO will be responsible for:

### **a) Planning, monitoring and reporting:**

- i. At the technical level, lead the process of preparation of NFA's annual and quarterly work plans and budgets under the project, ensuring timely follow ups with relevant departments regarding provision of their inputs, as required.
- ii. Working with the Director Plantations Development, Director Natural Forests Management, and responsible NFA Range/ Plantation Managers, monitor and track status of implementation of all approved activities, identifying delays and bottlenecks and bringing these to the attention of the Institutional Focal Point and NFA management.
- iii. Guide NFA to comply with the planning, budgeting and reporting requirements of World Bank.
- iv. Ensure that all necessary reports are prepared in a timely manner, with inputs from all relevant NFA departments, and are submitted to the Institutional Focal Point.
- v. Develop NFA monthly project activity plans/schedules, budgets and cash flow requirements and process their approvals.
- vi. In support of the Institutional Focal Point for NFA, prepare relevant project reports that would feed into overall project reports to the Government of Uganda and the World Bank (compiled by the PCU at MWE).
- vii. Working with the NFA designated focal points for environmental and social (E&S) risk management, ensure adequate monitoring and reporting on E&S risk management to the PCU.

**b) Technical inputs to project implementation**

- i. initiate drafting of required technical documents related to implementation of project activities, such as terms of references, etc. while coordinating inputs from user departments and relevant NFA staff and stakeholders
- ii. undertake initial review of all technical reports and provide inputs and suggestions as needed for their finalization and next steps, to the Institutional Focal Point.

**c) Budget and Finance Management:**

- i. Undertake initial review of all activities / budget requests from the field activities and ensure they are consistent with the approved activity plans, schedules and budgets.
- ii. Ensure adequate filing of all non-accounting documents that may be required to support the NFA Project Accountant in financial reporting to the GoU and World Bank.
- iii. Monitor budget performance and compliance issues and advise the Institutional Project Focal Point on any bottlenecks or delays.

**d) Support to IFPA-CD Project Steering and Coordination processes:**

- i. Support the participation of NFA management in the Project Steering Committee, including preparation of required background documents and briefs.
- ii. Participate in the Steering, Coordination and Stakeholder engagement meetings and workshops, as required, together with or representing the Institutional Focal Points. In meetings where the Project Officer represents the Institutional Focal Point, inform the Institutional Focal Point of the meeting outcomes, and any implications as related to project implementation.

**e): Communications and outreach**

- i. Working directly with the NFA PR department and the project communications officer located at the PCU, assist the Institutional Focal Point (IFP) in the development and implementation of communication and awareness activities of IFPA-CD Project supported activities within NFA.
- ii. Assist the IFP, initiate and carry out an elaborate but targeted internal communication program to raise stakeholder awareness and knowledge of IFPA-CD Project among staff of the NFA.
- iii. Support the IFP during Lesson learning sessions, document and disseminate lessons and project experiences by NFA.

The consultant may be required to perform any other duties as may be requested by the Institutional Focal Point.

**4. Required skills, competencies and experience**

- a. The Project Officer shall at least have a Bachelor's Degree in Forestry, Ecology, Natural Sciences, Environmental sciences, or Project Management.

- b. Minimum of 10 years of progressively responsible professional experience with conservation organizations in or outside Uganda or a project funded by an international development organization or World Bank funded projects at national level.
- c. The Project Officer should have very strong writing and communication skills as well as organizational and interpersonal skills.
- d. Proven experience in working with different institutions at all levels; knowledge of information management technologies, partnerships development and communication technologies is an added advantage.
- e. Ability to work independently and determine correct prioritization of tasks under tight deadlines.
- f. Familiarity with institutional and policy issues related to environment, forestry, wildlife, tourism and climate change.

## **5. Supervision and Coordination**

The PO will report to the Executive Director or to his delegated staff. The PO will be based at NFA headquarters, Kampala.

## **6. Duration**

The duration of the position is six years. The PO will be recruited for an initial period of twenty-four (24) months, with a six-month probation period, after which a mandatory performance evaluation will be conducted by NFA. This period may be extended as required to ensure the implementation of the IFPA-CD depending on satisfactory performance and availability of funding.

## **7. Remuneration**

Salary will be commensurate with qualifications and experience

## **8. Facilities and information to be provided by the client**

The Consultant will be based in NFA, Kampala. Adequate office furniture and equipment will be assigned to the Consultant.

## 9.17.8 Terms of Reference, Project Officer – UWA

**CLEARED BY WB**



### **TERMS OF REFERENCE FOR PROJECT OFFICER, UWA**

**PROJECT: INVESTING IN FORESTS AND PROTECTED AREAS FOR CLIMATE SMART DEVELOPMENT**

#### **1. Introduction**

The Government of Uganda has received financing from the World Bank toward the cost of the Investing in Forests and Protected Areas for Climate Smart Development (IFPA-CD Project).

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the Lead Agency and Ministry of Tourism, Wildlife and Antiquities, National Forestry Authority (NFA), and Uganda Wildlife Authority (UWA). The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development under Component 2 will be national in scale.

The project aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes.

At the end of the project life as a result of improved sustainable management of forests and protected areas, increased benefits from forests in target landscapes, additional household level economic activities supported by the project interventions, there will be an increased provision of ecosystem goods and services, increased household incomes and improved livelihoods of 250,000 households in the project area.

The interventions to achieve the above outcomes include; i) management of forest and wildlife protected areas in the Albertine Rift and West Nile region; ii) enhancing productivity of forests and wildlife protected areas; and, iii) increasing resilience of landscapes and livelihoods to climate change and impact of refugees.

The project is structured in four main components namely; i) Improving management of forest protected areas; ii) Increasing revenues and jobs from forests and wildlife protected areas; iii) Increasing

resilience of landscapes and livelihoods to effects of climate change and impact of refugees; and, iv) Project Management Support.

The project will deliver seven (7) broad outputs which have logically been designed to achieve the two outcomes of the project that ultimately will enable the project make its contribution to the development objective.

The Ministry of Water and Environment, as the Lead Agency, hosts the Project Coordination Unit (PCU) which is responsible for overall project coordination and reporting. The PCU includes National Project Coordinator and other staff responsible for project monitoring, environmental and social risk management, financial management, and procurement.

NFA and UWA are responsible for implementation of activities under the project. Institutional coordination and leadership at NFA and UWA is assured by the Institutional Focal Points. UWA intends to hire a Project Officer / consultant to provide support to the Institutional Focal Point in smooth coordination and implementation of project activities under UWA.

## **2. Objectives of the Assignment**

The main objective of this assignment is to engage the services of a qualified and experienced individual consultant as the Project Officer (PO) to support implementation of the IFPA-CD Project. The Project Officer will work closely with and directly supporting the designated Institutional Focal Point for UWA, and user departments, and field staff of UWA and coordinate with the PCU at the Ministry of Water and Environment and other project implementing entities

## **3. Key duties and responsibilities**

The PO will be responsible for:

### **a) Planning, monitoring and reporting:**

- i. At the technical level, lead the process of preparation of UWA's annual and quarterly work plans and budgets under the project, ensuring timely follow ups with relevant departments regarding provision of their inputs, as required.
- ii. Working with the Deputy Director Field Operations and relevant Chief Wardens, monitor and track status of implementation of all approved activities, identifying delays and bottlenecks and bringing these to the attention of the Institutional Focal Point and UWA management.
- iii. Guide UWA to comply with the planning, budgeting and reporting requirements of World Bank.
- iv. Ensure that all necessary reports are prepared in a timely manner, with inputs from all relevant UWA departments, and are submitted to the Institutional Focal Point.
- v. Develop UWA monthly project activity plans/schedules, budgets and cash flow requirements and process their approvals.
- vi. In support of the Institutional Focal Point for UWA, prepare relevant project reports that would feed into overall project reports to the Government of Uganda and the World Bank (compiled by the PCU at MWE).
- vii. Working with the UWA designated focal points for environmental and social (E&S) risk management, ensure adequate monitoring and reporting on E&S risk management to the PCU.

### **b) Technical inputs to project implementation**

- i. initiate drafting of required technical documents related to implementation of project activities, such as terms of references, etc. while coordinating inputs from user departments and relevant UWA staff and stakeholders
- ii. undertake initial review of all technical reports and provide inputs and suggestions as needed for their finalization and next steps, to the Institutional Focal Point.

**c) Budget and Finance Management:**

- i. Undertake initial review of all activities / budget requests from the field activities and ensure they are consistent with the approved activity plans, schedules and budgets.
- ii. Ensure adequate filing of all non-accounting documents that may be required to support the UWA Project Accountant in financial reporting to the GoU and World Bank.
- iii. Monitor budget performance and compliance issues and advise the Institutional Project Focal Point on any bottlenecks or delays.

**d) Support to IFPA-CD Project Steering and Coordination processes:**

- i. Support the participation of UWA management in the Project Steering Committee, including preparation of required background documents and briefs.
- ii. Participate in the Steering, Coordination and Stakeholder engagement meetings and workshops, as required, together with or representing the Institutional Focal Points. In meetings where the Project Officer represents the Institutional Focal Point, inform the Institutional Focal Point of the meeting outcomes, and any implications as related to project implementation.

**e): Communications and outreach**

- i. Working directly with the UWA PR department and the project communications officer located at the PCU, assist the Institutional Focal Point (IFP) in the development and implementation of communication and awareness activities of IFPA-CD Project supported activities within UWA.
- ii. Assist the IFP, initiate and carry out an elaborate but targeted internal communication program to raise stakeholder awareness and knowledge of IFPA-CD Project among staff of the UWA.
- iii. Support the IFP during Lesson learning sessions, document and disseminate lessons and project experiences by UWA.

The consultant may be required to perform any other duties as may be requested by the Institutional Focal Point.

**4. Required skills, competencies and experience**

- g. The Project Officer shall at least have a Bachelor's Degree in Wildlife management, Ecology, Natural Sciences, Environmental sciences, Tourism management studies or Project Management.
- h. Minimum of 10 years of progressively responsible professional experience with conservation organizations in or outside Uganda or a project funded by an international development organization or World Bank funded projects at national level.
- i. The Project Officer should have very strong writing and communication skills as well as organizational and interpersonal skills.

- j. Proven experience in working with different institutions at all levels; knowledge of information management technologies, partnerships development and communication technologies is an added advantage.
- k. Ability to work independently and determine correct prioritization of tasks under tight deadlines.
- l. Familiarity with institutional and policy issues related to environment, wildlife, tourism and climate change.

#### **9. Supervision and coordination**

The PO will report to the Executive Director or to his delegated staff. The PO will be based at UWA headquarters, Kampala.

#### **10. Duration**

The duration of the position is six years. The PO will be recruited for an initial period of twenty-four (24) months, with a six-month probation period, after which a mandatory performance evaluation will be conducted by UWA. This period may be extended as required to ensure the implementation of the IFPA-CD depending on satisfactory performance and availability of funding.

#### **11. Remuneration**

Salary will be commensurate with qualifications and experience

#### **12. Facilities and information to be provided by the client**

The Consultant will be based in UWA, Kampala. Adequate office furniture and equipment will be assigned to the Consultant.

### **9.17.9 Terms of Reference for IFPA-CD Procurement Officer (GoU)**

The Government of Uganda through the Ministry of Water and Environment (Lead Agency), Ministry of Tourism Wildlife and Antiquities, Uganda Wildlife Authority and National Forest Authority is implementing The Uganda Investing in Forests and protected areas for Climate Smart Development (IFPA-CD) Project with support from the World Bank and Government of Uganda.

The Objective of the project is to promote sustainable management of forests and protected areas for increased benefits to communities from forests in the Albertine Rift for eradication of increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.

The project will be implemented in selected sites in the Albertine rift and West Nile region including 7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves, 16 Refugee host districts and additional 14 non refugee host Districts. In addition, the project activity on Private Tree farming will be implemented country-wide.

The project has 4 components where their implementation will raise business investment. These components include: -

- Component 1: Improved Management of Protected Areas
- Component 2: Increased Revenues and Jobs from Forests and Wildlife Protected Areas
- Component 3: Improved Landscape Management in Refugee Hosting Areas
- Component 4: Project Management and Monitoring

The total project cost is USD 178.2 million, including USD 78.2 million of IDA loan, a grant of USD 70.0 million and Government of Uganda counterpart financing totaling to USD 30.0 million

**Job Title:** Procurement Officer

**Reports to:** Procurement Specialist

**Duty Station:** Ministry of Water and Environment head office- Luzira

#### **Terms of Employment**

The assignment shall be for a period of two years' subject to a probation period of six months, and renewable subject to satisfactory performance

#### **Job purpose**

Effective delivery of procurement services to the Project.

#### **Key functions:**

- Assistance with the preparation of Request for Quotation, Initiations to Bid, Requests for Proposal and co-ordination of their timely dispatch
- Assist the Procurement Officer in maintaining current up to date Procurement documents and Manuals
- Assist in developing and implementation of the Joint Programme Procurement Plan and identifying procurement related priorities.
- Assist with the coordination with the selected bidder to ensure completion of administrative processes including Bid Security, contract award notice and that contract documents are distributed accordingly.
- Assist with managing the administrative process throughout the duration of the preparation of the all documentation until the award of the contract

- Maintain appropriated records to ensure that procurement process, decision, and contractual agreement is accurately documented for accountability and audit purpose.
- Ensure regular update of a database of contract documentation, terms of references, list of suppliers of goods and services;
- Perform other duties related field as assigned by supervisor.

**Qualifications**

Bachelor's Degree in Procurement and Logistics Management or a related field.

**Experience**

At least three (3) years of work experience in the field of project administration with emphasis on procurement and contracting management. Relevant work experience with World Bank and/or other international development organizations is an added advantage.

**Competencies**

(i) Technical

- Knowledgeable of Government of Uganda and Donor PPDA procurement procedures, rules and regulations;
- Excellent working knowledge of Microsoft Office Suite (Word, Excel, Outlook and Access).
- Planning, Organizing and coordinating skills
- Analytical skills
- Excellent Report writing skills.
- Accountability

(ii) Behavioural

- Ethics and Integrity;
- Demonstrate high levels of Professionalism;
- Team player
- Effective Communication and knowledge management
- Innovation and self-initiative
- Multi-tasking and time-management skills, with the ability to prioritize tasks.
- Well-developed interpersonal and public relations

### **9.17.10 Terms of Reference IFPA-CD Project Accountant (GoU)**

The Government of Uganda through the Ministry of Water and Environment (Lead Agency), Ministry of Tourism Wildlife and Antiquities, Uganda Wildlife Authority and National Forest Authority is implementing The Uganda Investing in Forests and protected areas for Climate Smart Development (IFPA-CD) Project with support from the World Bank and Government of Uganda.

The Objective of the project is to promote sustainable management of forests and protected areas for increased benefits to communities from forests in the Albertine Rift for eradication of increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.

The project will be implemented in selected sites in the Albertine rift and West Nile region including 7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves, 16 Refugee host districts and additional 14 non refugee host Districts. In addition, the project activity on Private Tree farming will be implemented country-wide.

The project has 4 components where their implementation will raise business investment. These components include: -

- Component 1: Improved Management of Protected Areas
- Component 2: Increased Revenues and Jobs from Forests and Wildlife Protected Areas
- Component 3: Improved Landscape Management in Refugee Hosting Areas
- Component 4: Project Management and Monitoring

The total project cost is USD 178.2 million, including USD 78.2 million of IDA loan, a grant of USD 70.0 million and Government of Uganda counterpart financing totaling to USD 30.0 million

**Job Title:** Accountant

**Reports to:** Financial Management Specialist

**Duty Station:** Ministry of Water and Environment head office- Luzira

#### **Terms of Employment**

The assignment shall be for a period of two years' subject to a probation period of six months, and renewable subject to satisfactory performance.

#### **Job purpose**

To support the planning and execution of financial accounting and budgeting functions of the Uganda Investing in Forests and Protected Areas for Climate Smart Development Project.

#### **Key functions:**

- In close collaboration with the Project Accountant, to support the establishment and proper maintenance of the finance and accounts in accordance with the financial rules and procedures of the Government of Uganda and the World Bank.
- Assist in the preparation of periodic financial reports in the standard format(s) required by the donor(s) and submit to the National Project Coordinator.
- Prepare annual and periodic project budget plans and submit to the Project Accountant for approval and coordination.
- Prepare, implement and review the funding of the budgeted and actual annual cash flows and ensure adequate follow up on any matters needing clarification.
- Prepare periodic statement of expenditure (SOE) reports

- Represent the Unit, alongside the Project Accountant, in all discussions related to subprojects planning and implementation
- Liaise with other units to ensure that the financial and administrative aspects are always taken into account when making technical and strategic decisions
- Support the Project Accountant in the facilitation of external financial audits and during all discussions / supervision visits of donors
- Contribute to the design or improvement of accounting and financial tools to be used by the communities managing subprojects
- Other reasonably related duties as may be assigned by the NPC.

### **Qualifications**

Bachelor in Accounting, Finance or Business Administration or a related qualification. A CPA qualification will be an added advantage

### **Experience**

- A working experience of at least four (4) years in accounting and financial management in Government or a reputable organization.
- Experience in donor funded projects is an added advantage.
- Candidate should be able to work independently – with minimum supervision and guidance from supervisors.
- Multi-tasking and time-management skills, with the ability to prioritize tasks.

### **Competencies**

#### **(i) Technical**

- Knowledgeable of Government of Uganda Accounting procedures, rules and regulations;
- Planning, Organizing and coordinating skills
- Analytical skills
- Excellent Report writing skills.
- Accountability

#### **(ii) Behavioural**

- Ethics and Integrity;
- Demonstrate high levels of Professionalism;
- Team player
- Effective Communication and knowledge management
- Innovation and self-initiative
- Time Management
- Well-developed interpersonal and public relations

### **9.17.11 Terms of Reference IFPA-CD Project Administrator (GoU)**

The Government of Uganda through the Ministry of Water and Environment (Lead Agency), Ministry of Tourism Wildlife and Antiquities, Uganda Wildlife Authority and National Forest Authority is implementing The Uganda Investing in Forests and protected areas for Climate Smart Development (IFPA-CD) Project with support from the World Bank and Government of Uganda.

The Objective of the project is to promote sustainable management of forests and protected areas for increased benefits to communities from forests in the Albertine Rift for eradication of increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.

The project will be implemented in selected sites in the Albertine rift and West Nile region including 7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves, 16 Refugee host districts and additional 14 non refugee host Districts. In addition, the project activity on Private Tree farming will be implemented country-wide.

The project has 4 components where their implementation will raise business investment. These components include: -

Component 1: Improved Management of Protected Areas

Component 2: Increased Revenues and Jobs from Forests and Wildlife Protected Areas

Component 3: Improved Landscape Management in Refugee Hosting Areas

Component 4: Project Management and Monitoring

The total project cost is USD 178.2 million, including USD 78.2 million of IDA loan, a grant of USD 70.0 million and Government of Uganda counterpart financing totaling to USD 30.0 million

**Job Title:** Project Administrator

**Reports to:** National Project Coordinator

**Duty Station:** Ministry of Water and Environment head office- Luzira

#### **Terms of Employment**

The assignment shall be for a period of two years' subject to a probation period of six months, and renewable subject to satisfactory performance

#### **Job purpose**

To provide support to the Project Coordination Unit (PCU) by ensuring that all office administrative functions are well coordinated to achieve high level productivity.

#### **Key functions:**

- Providing comprehensive project administration support services to the implementation team and the National Project Coordinator.
- Enabling proper and effective office management.
- Providing project administrative, management and technical expertise in the implementation and monitoring of the project and all project activities.

- Coordinating logistics, such as scheduling, travel arrangements and hotel booking, for the staff and visitors related to trainings and meetings (e.g., printing and photocopying of training materials, workshop venue booking, etc.).
- Preparing and proofreading correspondence including reports, templates, training material, staff manuals, memoranda and documents.
- Organizing and managing the hard copies of signed documentation, other paper and electronic filing systems.
- Providing communication support to the relevant staff on time to ensure timely delivery of project activities.
- Any other duties as assigned

### **Qualifications**

Bachelor's Degree in Business / Administrative management or related field.

Post graduate qualification in management studies or related field is an added advantage. Certificate in Public Administration is a must. Experience in virtual and digital management is an added advantage.

### **Experience**

A working experience of at least four (4) years in office administration and management or related field in Government or a reputable organisation.

### **Key functions:**

- Knowledge of public sector administrative practices.
- Excellent working knowledge of Microsoft Office Suite (Word, Excel, Outlook and Access).
- Well-developed interpersonal and communication skills and an ability to liaise with people from diverse socio/cultural backgrounds.
- Excellent knowledge of and understanding in general office management and operations principles and practices, especially within the Public Sector
- Comfortable handling confidential information.
- Multi-tasking and time-management skills, with the ability to prioritize tasks.
- Candidate should be able to work independently – with minimum supervision and guidance from supervisors.
- Sound knowledge and understanding of government machinery and operations

### **Competencies**

#### **(i) Technical Competencies**

- Leadership, managerial and planning skills
- Counselling and guidance skills
- Presentation and Report Writing

#### **(ii) Behavioural Competencies**

- Ethics and integrity
- Good oral and communication skills.
- Customer Care and public relations skills.
- Team leader and player
- Time Management

## 9.18 Terms of Reference IFPA-CD Project Communications Officer (GoU)

The Government of Uganda through the Ministry of Water and Environment (Lead Agency), Ministry of Tourism Wildlife and Antiquities, Uganda Wildlife Authority and National Forest Authority is implementing The Uganda Investing in Forests and protected areas for Climate Smart Development (IFPA-CD) Project with support from the World Bank and Government of Uganda.

The Objective of the project is to promote sustainable management of forests and protected areas for increased benefits to communities from forests in the Albertine Rift for eradication of increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.

The project will be implemented in selected sites in the Albertine rift and West Nile region including 7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves, 16 Refugee host districts and additional 14 non refugee host Districts. In addition, the project activity on Private Tree farming will be implemented country-wide.

The project has 4 components where their implementation will raise business investment. These components include: -

- Component 1: Improved Management of Protected Areas
- Component 2: Increased Revenues and Jobs from Forests and Wildlife Protected Areas
- Component 3: Improved Landscape Management in Refugee Hosting Areas
- Component 4: Project Management and Monitoring

The total project cost is USD 178.2 million, including USD 78.2 million of IDA loan, a grant of USD 70.0 million and Government of Uganda counterpart financing totaling to USD 30.0 million

The Centre wishes to recruit the following people;

**Job Title:**                      **Communications Officer**  
**Reports to:**                    **Technical Project Coordinator**  
**Duty Station:**                Ministry of Water and Environment head office- Luzira

### Terms of Employment

The assignment shall be for a period of two years' subject to a probation period of six months, and renewable subject to satisfactory performance.

### Job purpose

To provide support to the Project Coordination Unit (PCU) by ensuring effective communications and outreach activities of the IFPA-CD project.

### Key functions:

The CO, will work closely with PCU Staff and designated Project Coordinators in Implementing Agencies (MWE, UWA and NFA) and perform the following functions:

- Preparing public awareness materials and facilitating their dissemination.
- Providing inputs into preparation of project progress report and other technical publications, including designs and layouts.
- Updating IFPA-CD website, tracking and reporting usage of IFPA-CD website

- Initiating and carrying out an elaborate but targeted internal communication program to raise stakeholder awareness and knowledge on IFPA-CD among staff of the implementing agencies and TSPs.
- Initiating and producing appropriate public information for supporting campaign to promote effective participation (of) and disseminate knowledge (to), and build support for IFPA-CD among different stakeholders.
- Monitoring the performance of the IFPA-CD Communications and Awareness Strategy.

### **Qualifications**

- a. At least a Master's degree in Mass Communication or Journalism or related field
- b. Experience of work in an international development organization or a project funded by an international development organization is an added advantage.
- c. Experience in virtual and digital management is an added advantage.

### **Experience**

- a. Minimum of 10 years of progressively professional experience in a Communications for programmes/projects, Corporations and Government institutions
- b. Demonstrated ability in writing, packaging messages, publishing and outreach activities
- c. Excellent computer skills, including word processing, publishing packages.

### **Competencies**

- (i) **Technical**
  - Knowledgeable of Uganda's natural resources, climate change and environment management policies and practices
  - Communications and knowledge management
  - Planning, Organizing and coordinating skills
  - Stakeholder engagement and mobilization
  - Excellent Report writing skills, packaging messages, publishing
- (ii) **Behavioural**
  - Ethics and Integrity;
  - Demonstrate high levels of Professionalism;
  - Team player
  - Innovation and self-initiative
  - Time Management
  - Well-developed interpersonal and public relations



landscape, but most are under high pressure and forest areas are becoming increasingly fragmented. Fragmentation is also leading to biodiversity (i.e. tree species, wild animals and plants) loss and, increasingly, Human Wildlife Conflicts as wildlife, such as African elephant and chimpanzees which require large ranges, move between remaining blocks of habitat.

### **1.3 Tourism**

The project is priority for the Tourism and Wildlife Sector and contributes towards the implementation of Tourism Sector Development Plan (TDSP (2015/16 – 2019/20) by supporting: i) Tourism marketing and promotion; ii) Tourism Human Resources Development; iii) Tourism Product Development, iv) Tourism management through increasing access to tourist attractions and, improved hospitality facilities and services, and, v) Conservation of natural tourist attractions in the targeted wildlife protected areas.

Tourism is a key driver of economic growth, and the forests and wildlife of the Albertine Rift are particularly important for this sector. This includes many globally-threatened species and populations, including those of Mountain Gorilla (*Gorilla beringei*) (critically endangered) and Eastern Chimpanzee (*P. troglodytes schweinfurthii*) (endangered). The targeted National Parks and some of the Forest Reserves attract leisure tourists for wildlife safaris, gorilla and chimpanzee tracking, and adventure tourism. Murchison Falls National Park and Queen Elizabeth NP are the most visited parks in Uganda. Nature-based tourism generates significant revenues, some of which benefits local communities through benefit-sharing mechanisms used by the Uganda Wildlife Authority (UWA) and through job creation. These revenues are also vital for funding the operational costs of National Parks, Wildlife and Forest Reserves themselves.

### **1.4 Refugee context**

There is increasing human pressure on natural ecosystems and land resulting from high human population due to influx of refugees mainly from DRC, South Sudan, Rwanda and Burundi. As of September 2019, Uganda hosted approximately 1.25 million (85% of refugees and asylum-seekers) in Uganda in refugee settlements in 18 districts in the Albertine Rift, districts to west and east of R. Nile and further north (Adjumani, Arua, Moyo, Yumbe, Madi-Okollo, Koboko, Kibule, Kamwenge, Kiryadongo, Kyegegwa and Lamwo). Investments to mitigate impact of refugees on hosting landscapes through improving land productivity, enhancing ecosystems and landscape capacity to mitigate climate change are needed. In addition, investments to reduce pressure on natural resources and build resilience to effects of climate change among the rural poor and ecosystems should focus on creating jobs and increasing income from forest resources in a sustainable manner.

The project contributes to Uganda's Comprehensive Refugee Response Framework and the related Water and Environment Sector Response Plan for Refugees and Host Communities in Uganda (2019). Specifically, SFLP contributes to the ReHOPE Objective #4 "Addressing environmental degradation in refugee hosting areas" through supporting establishment of greater tree cover in refugee-hosting landscapes outside protected areas, supporting sustainable forest management and landscape resilience on private and customary land as well as wood-fuels based energy security for both host communities and refugee settlements.

### **1.4 Vulnerability**

Environmental degradation in the Albertine Rift and West Nile Region is increasing social and ecological vulnerability to climate change. Strengthening management of protected areas and other natural ecosystems will improve mitigation and adaptation to climate change. Securing gender sensitive livelihoods through investments in forestry, wildlife, tourism, renewable energy, sustainable land management, land and resources governance will reduce pressure on ecosystems and sustain

provision of ecosystem goods and services. Environmental degradation and habitat loss are already associated with reduced levels of ecosystem services and have been linked to increasing levels and frequency of floods and landslides and worsening water shortages.

The Albertine Rift faces a deteriorating situation with regard to climate change impacts. Topography, with mountainous areas rising to 5,430m a.s.l are prone to floods, landslides, and damage to infrastructure including roads and bridges, low rainfall areas subject to increasing uncertainty over quantity and timing of rainfall, and dependence of densely settled rural population on subsistence agriculture and natural resource use, all contribute to a high need for support amongst proposed SFLP recipients. Albertine Rift communities are in need of support to avoid a worsening of poverty levels – 75% to 80% of most households in the project area are below the poverty line of US\$ 2 per day that will further reduce the capacity of communities to adapt to climate change. The situation is made more difficult by the high proportion of land under government controlled protected areas, the growing control of land by corporations and individuals, the low levels of government investment in improving land use, low access to credit, and limited alternative to subsistence farming.

The consequences of climate change on livelihoods resulting from successive droughts and floods are expected to be significant. Though the analysis is complex, the productivity and reliability of key subsistence and cash crops grown in the Albertine Rift are likely to reduce and some may become uneconomic - production of cassava, sweet potatoes and potatoes may fall by 40% by 2050, while production of coffee could fall by 75% and tea by 50%. Threats to maize, coffee and bean production have been identified as strategic priority concerns. Basic household subsistence as well as incomes would be affected, with likely knock-on impacts on ecosystems and natural resources as households seek to recover losses by bringing more land under cultivation or increasing natural resource harvests.

The current and predicted vulnerabilities to the impacts of climate change on the peoples of the Albertine Rift create a compelling case for investments in adaptation and risk reduction as proposed in the Forest Investment Plan (FIP), the National Climate Change Policy and the Uganda REDD+ Strategy.

Improving land productivity (through Sustainable Land Management practices) remains the primary mechanism for reducing vulnerability to climate change. Ensuring provision of ecosystems services and technical and financial means to farmers is critical to achieve this. Needs identified include raising levels of social and ecological resilience, improving the levels of food security of vulnerable households, reducing the rates and levels of ecosystem loss and degradation, restoration of degraded ecosystems, and strengthening institutional capacity to respond to these needs.

## **2 The Project**

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the, Lead Agency and Ministry of Tourism, Wildlife and Antiquities. **The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.**

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development under Component 2 will be national in scale.

The project aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes. This will be achieved by undertaking integrated interventions by Ministry of Water and Environment as well as Ministry of Tourism Wildlife and Antiquities, Uganda Wildlife Authority, National Forestry Authority and targeted Districts Local Governments.

At the end of the project life as a result of improved sustainable management of forests and protected areas, increased benefits from forests in target landscapes, additional household level economic activities supported by the project interventions, there will be an increased provision of ecosystem goods and services, increased household incomes and improved livelihoods of 250,000 households in the project area.

The interventions to achieve the above outcomes include; i) management of forest and wildlife protected areas in the Albertine Rift and West Nile region; ii) enhancing productivity of forests and wildlife protected areas; and, iii) increasing resilience of landscapes and livelihoods to climate change and impact of refugees.

The project is structured in four main components namely; i) Improving management of forest protected areas; ii) Increasing revenues and jobs from forests and wildlife protected areas; iii) Increasing resilience of landscapes and livelihoods to effects of climate change and impact of refugees; and, iv) Project Management Support.

The project will deliver seven (7) broad outputs which have logically been designed to achieve the two outcomes of the project that ultimately will enable the project make its contribution to the development objective. Detailed activities to deliver the outputs have been linked to their respective outputs so as to deliver those results.

### **3. Role of the National Project Coordinator/IFPA-CD Focal Point**

The main objective of this position is to lead the IFPA-CD Coordination Unit (PCU) of the Ministry of Water and Environment in the implementation of the IFPA-CD and ensure well-coordinated and cost-effective delivery of the Project.

### **4. Key duties and responsibilities**

The National Project Coordinator (NPC), is a senior official from Forestry Sector Support Department, Ministry of Water and Environment and will work closely with designated Institutional Focal Points from Implementing Agencies (MTWA, UWA and NFA). The NPC shall be responsible for over-all coordination and reporting on the IFPA-CD Project progress and ensure the projects objectives are met.

He/she will be responsible for the over-all implementation of the IFPA-CD. He/she will oversee the work of the PCU Consultants, UWA and NFA to ensure that all project-related activities of each institution are carried out in an effective and efficient manner and in accordance with the funding agreement between GoU and World Bank, Project Implementation Manual and all related documents.

He/she shall be responsible for 3 inter-related functions under the IFPA-CD Project namely: Coordinating institutional participation and collaboration, Monitoring and reporting on project progress and outputs/results, and, enforcing compliance with funding agreement, PIM and other approved policies or procedures.

Reporting to the Permanent Secretary MWE, the National Project Coordinator (NPC) will undertake the following tasks:

- a. Serve as the head of the IFPA-CD National Coordination Unit and Main Focal Point on the project for World Bank.
- b. Act as Secretariat to Project Steering .
- c. Over-see project implementation coordination and ensure well-coordinated project delivery processes and results.
- d. Enforce compliance with Project Funding Agreement, PIM and other GoU and World Bank policies and procedures.
- e. Supervise the TPC and PCU Consultants and personnel and over-see PCU operations.

- f. Oversee Project planning, budgeting, stakeholder engagement, safeguards, reporting, and, accountability processes.
- g. Oversee planning and conduct of project review and evaluation at mid-term and project completion stages, and provide support for completion of audits by the IFPA-CD and external audit.
- h. Oversee preparation and submission of progress, financial and other technical reports and ensure good flow of quality information to GoU, WB, Implementing Agencies and other Stakeholders.
- i. Coordinate GoU and World Bank technical supervision missions.
- j. Manage Institutional partnerships and promote collaboration among Implementing agencies and with stakeholders.
- k. Manage relations between GoU and IFPA-CD donors (WB, GCF) and collaborating donors and agencies.
- l. Promote integration of IFPA-CD project activities into national development policy and sector programmes.
- m. Represent IFPA-CD project in appropriate forums.

#### **5. Supervision and coordination**

The NPC will play a coordinating function between the MWE and Implementing Agencies, TSPs and beneficiaries and World Bank. The position has thus a multifaceted institutional setting. The NPC is a MWE employee reporting to the Permanent Secretary, MWE.

#### **6. Duration**

The duration of the position is 6 years lasting entire duration of the project unless otherwise replaced by the Permanent Secretary, MWE.

#### **7. Remuneration**

This position does not draw salary or other benefits from the IFPA-CD budget.

#### **8. Facilities and information to be provided by the client**

The NPC will be based in MWE and will be provided project facilities and equipment within the PCU.

## 9.18.2 Terms of Reference: Project Focal Point – MTWA

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REPUBLIC OF UGANDA

### Investing in Forests and Protected Areas for Climate Smart Development Project (IFPA-CD)

## 1. Background

### 1.1 Forestry Resources

Uganda's natural forest vegetation is categorized into three broad types: Tropical High Forest Well-stocked (THF), Tropical High Forest Low-stocked (THFL), and Woodlands, with woodlands being the predominant type in terms of area. In addition to the three natural forest types, plantations are differentiated into broadleaved and coniferous plantations.

Originally, THF occurred in mountainous areas and in most of the central region between Lake Victoria and Lake Albert, and is now mainly found in Central Forest Reserves (CFRs) in the western part of the country (e.g., Bugoma, Budongo, Kalinzu-Maramagambo, Katsyoha-Kitomi, Echuya, Itwara) and in national parks (Bwindi Impenetrable, Mgahinga, Rwenzori Mountains, Kibale and Semuliki). THFL is found around the shores and on the islands of Lake Victoria. Savannah woodland and bushland covered the drier parts of the country, namely the northern, central and western regions, whereas the eastern part of the country is largely forest-poor except the Mount Elgon area (NBS, 2009; FIP 2016).

Uganda experiences high rates of forest cover loss. In 2000, natural forests outside protected areas reduced from 3.32 million hectares (ha) to 0.98 million ha, a fall of 70%, and from 1.53 to 1.1 million ha within protected areas, a smaller yet still worrying loss of 30%. (Figure 3-1) Inventory data from 2015 indicated that approximately 46% of the remaining 2.1 million ha of natural forests were on private land and 54% under government ownership in Forest Reserves, National Parks and Wildlife Reserves. Uganda's forest plantation, agroforestry and farm forestry area meanwhile, increased during the same period from 268,363 to 415,958 ha, with 25% of new planting in forest reserves and 75% on private land.

### 1.2 Wildlife

The Albert Nile WMZ contains the Albertine Rift, which supports the most carbon-dense forests remaining in Uganda and is also a global biodiversity hotspot. Many intact areas of forest remain in this landscape, but most are under high pressure and forest areas are becoming increasingly fragmented. Fragmentation is also leading to biodiversity (i.e. tree species, wild animals and plants) loss and, increasingly, Human Wildlife Conflicts as wildlife, such as African elephant and chimpanzees which require large ranges, move between remaining blocks of habitat.

### 1.3 Tourism

The project is priority for the Tourism and Wildlife Sector and contributes towards the implementation of Tourism Sector Development Plan (TDSP (2015/16 – 2019/20) by supporting: i) Tourism marketing and promotion; ii) Tourism Human Resources Development; iii) Tourism Product Development, iv) Tourism management through increasing access to tourist attractions and, improved hospitality facilities and services, and, v) Conservation of natural tourist attractions in the targeted wildlife protected areas.

Tourism is a key driver of economic growth, and the forests and wildlife of the Albertine Rift are particularly important for this sector. This includes many globally-threatened species and populations, including those of Mountain Gorilla (*Gorilla beringei*) (critically endangered) and Eastern Chimpanzee (*P. troglodytes schweinfurthii*) (endangered). The targeted National Parks and some of the Forest Reserves attract leisure tourists for wildlife safaris, gorilla and chimpanzee tracking, and adventure tourism. Murchison Falls National Park and Queen Elizabeth NP are the most visited parks in Uganda. Nature-based tourism generates significant revenues, some of which benefits local communities through benefit-sharing mechanisms used by the Uganda Wildlife Authority (UWA) and through job creation. These revenues are also vital for funding the operational costs of National Parks, Wildlife and Forest Reserves themselves.

### 1.4 Refugee context

There is increasing human pressure on natural ecosystems and land resulting from high human population due to influx of refugees mainly from DRC, South Sudan, Rwanda and Burundi. As of September 2019, Uganda hosted approximately 1.25 million (85% of refugees and asylum-seekers) in Uganda in refugee settlements in 18 districts in the Albertine Rift, districts to west and east of R. Nile and further north (Adjumani, Arua, Moyo, Yumbe, Madi-Okollo, Koboko, Kibule, Kamwenge, Kiryadongo, Kyegegwa and Lamwo). Investments to mitigate impact of refugees on hosting landscapes through improving land productivity, enhancing ecosystems and landscape capacity to mitigate climate change are needed. In addition, investments to reduce pressure on natural resources and build resilience to effects of climate change among the rural poor and ecosystems should focus on creating jobs and increasing income from forest resources in a sustainable manner.

The project contributes to Uganda's Comprehensive Refugee Response Framework and the related Water and Environment Sector Response Plan for Refugees and Host Communities in Uganda (2019). Specifically, SFLP contributes to the ReHOPE Objective #4 "Addressing environmental degradation in refugee hosting areas" through supporting establishment of greater tree cover in refugee-hosting landscapes outside protected areas, supporting sustainable forest management and landscape resilience on private and customary land as well as wood-fuels based energy security for both host communities and refugee settlements.

### 1.5 Vulnerability

Environmental degradation in the Albertine Rift and West Nile Region is increasing social and ecological vulnerability to climate change. Strengthening management of protected areas and other natural ecosystems will improve mitigation and adaption to climate change. Securing gender sensitive livelihoods through investments in forestry, wildlife, tourism, renewable energy, sustainable land management, land and resources governance will reduce pressure on ecosystems and sustain provision of ecosystem goods and services. Environmental degradation and habitat loss are already associated with reduced levels of ecosystem services and have been linked to increasing levels and frequency of floods and landslides and worsening water shortages.

The Albertine Rift faces a deteriorating situation with regard to climate change impacts. Topography, with mountainous areas rising to 5,430m a.s.l are prone to floods, landslides, and damage to infrastructure including roads and bridges, low rainfall areas subject to increasing uncertainty over quantity and timing of rainfall, and dependence of densely settled rural population on subsistence

agriculture and natural resource use, all contribute to a high need for support amongst proposed SFLP recipients. Albertine Rift communities are in need of support to avoid a worsening of poverty levels – 75% to 80% of most households in the project area are below the poverty line of US\$ 2 per day that will further reduce the capacity of communities to adapt to climate change. The situation is made more difficult by the high proportion of land under government controlled protected areas, the growing control of land by corporations and individuals, the low levels of government investment in improving land use, low access to credit, and limited alternative to subsistence farming.

The consequences of climate change on livelihoods resulting from successive droughts and floods are expected to be significant. Though the analysis is complex, the productivity and reliability of key subsistence and cash crops grown in the Albertine Rift are likely to reduce and some may become uneconomic - production of cassava, sweet potatoes and potatoes may fall by 40% by 2050, while production of coffee could fall by 75% and tea by 50%. Threats to maize, coffee and bean production have been identified as strategic priority concerns. Basic household subsistence as well as incomes would be affected, with likely knock-on impacts on ecosystems and natural resources as households seek to recover losses by bringing more land under cultivation or increasing natural resource harvests.

The current and predicted vulnerabilities to the impacts of climate change on the peoples of the Albertine Rift create a compelling case for investments in adaptation and risk reduction as proposed in the Forest Investment Plan (FIP), the National Climate Change Policy and the Uganda REDD+ Strategy.

Improving land productivity (through Sustainable Land Management practices) remains the primary mechanism for reducing vulnerability to climate change. Ensuring provision of ecosystems services and technical and financial means to farmers is critical to achieve this. Needs identified include raising levels of social and ecological resilience, improving the levels of food security of vulnerable households, reducing the rates and levels of ecosystem loss and degradation, restoration of degraded ecosystems, and strengthening institutional capacity to respond to these needs.

## **2. The Project**

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the Lead Agency and Ministry of Tourism, Wildlife and Antiquities. The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development under Component 2 will be national in scale.

The project aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes. This will be achieved by undertaking integrated interventions by Ministry of Water and Environment as well as Ministry of Tourism Wildlife and Antiquities, Uganda Wildlife Authority, National Forestry Authority and targeted Districts Local Governments.

At the end of the project life as a result of improved sustainable management of forests and protected areas, increased benefits from forests in target landscapes, additional household level economic activities supported by the project interventions, there will be an increased provision of ecosystem goods and services, increased household incomes and improved livelihoods of 250,000 households in the project area.

The interventions to achieve the above outcomes include; i) management of forest and wildlife protected areas in the Albertine Rift and West Nile region; ii) enhancing productivity of forests and wildlife

protected areas; and, iii) increasing resilience of landscapes and livelihoods to climate change and impact of refugees.

The project is structured in four main components namely; i) Improving management of forest protected areas; ii) Increasing revenues and jobs from forests and wildlife protected areas; iii) Increasing resilience of landscapes and livelihoods to effects of climate change and impact of refugees; and, iv) Project Management Support.

The project will deliver seven (7) broad outputs which have logically been designed to achieve the two outcomes of the project that ultimately will enable the project make its contribution to the development objective.

### **3. Role of the Project Focal Point (PFC)**

The main objective of this position is to serve as the MTWA Focal Point for the implementation of MTWA led activities supported under the IFPA-CD. The Project Focal Point, working closely with National Project Coordinator in MWE, IFPA-CD Coordination Unit at MWE, TSPs and Consultants shall be responsible for coordination of project implementation and reporting on the IFPA-CD Project progress by MTWA and ensuring that the project activities committed to MTWA are met.

### **4. Key duties and responsibilities**

The Project Focal Point (PFC), will be a senior official from MTWA and will work closely with PCU and National Project Coordinator within MWE.

He/she will be responsible for the implementation of the IFPA-CD supported activities by MTWA and ensure that all project-supported activities are carried out in an effective and efficient manner and in accordance with the funding agreement between GoU and World Bank, Project Implementation Manual and all related project documents.

He/she shall be responsible for 2 inter-related functions under the IFPA-CD Project namely: i) **management** of project activities in MTWA including monitoring and reporting the progress of the project and communication, and ii) **coordination** support including representing MTWA in national level coordination and steering mechanisms, as appropriate.

Reporting to the Permanent Secretary MTWA, the PFC will undertake the following tasks:

- a. Coordinate and Manage IFPA-CD Project supported activities in MTWA
- b. Ensure close coordination with the MTWA management, User Departments and personnel involved in project activity delivery.
- c. The PFC will be responsible for coordinating the preparation of annual work plans and the corresponding budgets for MTWA in accordance with Funding agreement for clearance by the World Bank.
- d. Bring to the attention of MWE, MTWA, UWA and NFA Management as relevant, in a timely manner, issues that need urgent support and action to ensure smooth progress of activities.
- e. Report the project progress updates against the results framework for the project supported activities within MTWA.
- f. Participate in and ensure MTWA participation in GoU and World Bank technical supervision missions.
- g. Prepare annual and semi-annual progress reports on the IFPA-CD Project supported activities, and other technical reports including planning and facilitating project review and evaluation at mid-term and project completion stages.



### 9.18.3 Terms of Reference for Institutional Focal Point – NFA

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REPUBLIC OF UGANDA

#### Investing in Forests and Protected Areas for Climate Smart Development Project (IFPA-CD)

## 1. Background

### 1.1 Forestry Resources

Uganda's natural forest vegetation is categorized into three broad types: Tropical High Forest Well-stocked (THF), Tropical High Forest Low-stocked (THFL), and Woodlands, with woodlands being the predominant type in terms of area. In addition to the three natural forest types, plantations are differentiated into broadleaved and coniferous plantations.

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Uganda experiences high rates of forest cover loss. In 2000, natural forests outside protected areas reduced from 3.32 million hectares (ha) to 0.98 million ha, a fall of 70%, and from 1.53 to 1.1 million ha within protected areas, a smaller yet still worrying loss of 30%. (Figure 3-1) Inventory data from 2015 indicated that approximately 46% of the remaining 2.1 million ha of natural forests were on private land and 54% under government ownership in Forest Reserves, National Parks and Wildlife Reserves. Uganda's forest plantation, agroforestry and farm forestry area meanwhile, increased during the same period from 268,363 to 415,958 ha, with 25% of new planting in forest reserves and 75% on private land.

### 1.2 Wildlife

The Albert Nile WMZ contains the Albertine Rift, which supports the most carbon-dense forests remaining in Uganda and is also a global biodiversity hotspot. Many intact areas of forest remain in this landscape, but most are under high pressure and forest areas are becoming increasingly fragmented. Fragmentation is also leading to biodiversity (i.e. tree species, wild animals and plants) loss and, increasingly, Human Wildlife Conflicts as wildlife, such as African elephant and chimpanzees which require large ranges, move between remaining blocks of habitat.

### 1.3 Tourism

The project is priority for the Tourism and Wildlife Sector and contributes towards the implementation of Tourism Sector Development Plan (TDSP (2015/16 – 2019/20) by supporting: i) Tourism marketing and promotion; ii) Tourism Human Resources Development; iii) Tourism Product Development, iv) Tourism management through increasing access to tourist attractions and, improved hospitality facilities and services, and, v) Conservation of natural tourist attractions in the targeted wildlife protected areas.

Tourism is a key driver of economic growth, and the forests and wildlife of the Albertine Rift are particularly important for this sector. This includes many globally-threatened species and populations, including those of Mountain Gorilla (*Gorilla beringei*) (critically endangered) and Eastern Chimpanzee (*P. troglodytes schweinfurthii*) (endangered). The targeted National Parks and some of the Forest Reserves attract leisure tourists for wildlife safaris, gorilla and chimpanzee tracking, and adventure tourism. Murchison Falls National Park and Queen Elizabeth NP are the most visited parks in Uganda. Nature-based tourism generates significant revenues, some of which benefits local communities through benefit-sharing mechanisms used by the Uganda Wildlife Authority (UWA) and through job creation. These revenues are also vital for funding the operational costs of National Parks, Wildlife and Forest Reserves themselves.

#### **1.4 Refugee context**

There is increasing human pressure on natural ecosystems and land resulting from high human population due to influx of refugees mainly from DRC, South Sudan, Rwanda and Burundi. As of September 2019, Uganda hosted approximately 1.25 million (85% of refugees and asylum-seekers) in Uganda in refugee settlements in 18 districts in the Albertine Rift, districts to west and east of R. Nile and further north (Adjumani, Arua, Moyo, Yumbe, Madi-Okollo, Koboko, Kibule, Kamwenge, Kiryadongo, Kyegegwa and Lamwo). Investments to mitigate impact of refugees on hosting landscapes through improving land productivity, enhancing ecosystems and landscape capacity to mitigate climate change are needed. In addition, investments to reduce pressure on natural resources and build resilience to effects of climate change among the rural poor and ecosystems should focus on creating jobs and increasing income from forest resources in a sustainable manner.

The project contributes to Uganda's Comprehensive Refugee Response Framework and the related Water and Environment Sector Response Plan for Refugees and Host Communities in Uganda (2019). Specifically, SFLP contributes to the ReHOPE Objective #4 "Addressing environmental degradation in refugee hosting areas" through supporting establishment of greater tree cover in refugee-hosting landscapes outside protected areas, supporting sustainable forest management and landscape resilience on private and customary land as well as wood-fuels based energy security for both host communities and refugee settlements.

#### **1.5 Vulnerability**

Environmental degradation in the Albertine Rift and West Nile Region is increasing social and ecological vulnerability to climate change. Strengthening management of protected areas and other natural ecosystems will improve mitigation and adaptation to climate change. Securing gender sensitive livelihoods through investments in forestry, wildlife, tourism, renewable energy, sustainable land management, land and resources governance will reduce pressure on ecosystems and sustain provision of ecosystem goods and services. Environmental degradation and habitat loss are already associated with reduced levels of ecosystem services and have been linked to increasing levels and frequency of floods and landslides and worsening water shortages.

The Albertine Rift faces a deteriorating situation with regard to climate change impacts. Topography, with mountainous areas rising to 5,430m a.s.l are prone to floods, landslides, and damage to infrastructure including roads and bridges, low rainfall areas subject to increasing uncertainty over quantity and timing of rainfall, and dependence of densely settled rural population on subsistence agriculture and natural resource use, all contribute to a high need for support amongst proposed SFLP

recipients. Albertine Rift communities are in need of support to avoid a worsening of poverty levels – 75% to 80% of most households in the project area are below the poverty line of US\$ 2 per day that will further reduce the capacity of communities to adapt to climate change. The situation is made more difficult by the high proportion of land under government controlled protected areas, the growing control of land by corporations and individuals, the low levels of government investment in improving land use, low access to credit, and limited alternative to subsistence farming.

The consequences of climate change on livelihoods resulting from successive droughts and floods are expected to be significant. Though the analysis is complex, the productivity and reliability of key subsistence and cash crops grown in the Albertine Rift are likely to reduce and some may become uneconomic - production of cassava, sweet potatoes and potatoes may fall by 40% by 2050, while production of coffee could fall by 75% and tea by 50%. Threats to maize, coffee and bean production have been identified as strategic priority concerns. Basic household subsistence as well as incomes would be affected, with likely knock-on impacts on ecosystems and natural resources as households seek to recover losses by bringing more land under cultivation or increasing natural resource harvests.

The current and predicted vulnerabilities to the impacts of climate change on the peoples of the Albertine Rift create a compelling case for investments in adaptation and risk reduction as proposed in the Forest Investment Plan (FIP), the National Climate Change Policy and the Uganda REDD+ Strategy.

Improving land productivity (through Sustainable Land Management practices) remains the primary mechanism for reducing vulnerability to climate change. Ensuring provision of ecosystems services and technical and financial means to farmers is critical to achieve this. Needs identified include raising levels of social and ecological resilience, improving the levels of food security of vulnerable households, reducing the rates and levels of ecosystem loss and degradation, restoration of degraded ecosystems, and strengthening institutional capacity to respond to these needs.

## **2. The Project**

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the Lead Agency and Ministry of Tourism, Wildlife and Antiquities. The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development under Component 2 will be national in scale.

The project aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes. This will be achieved by undertaking integrated interventions by Ministry of Water and Environment as well as Ministry of Tourism Wildlife and Antiquities, Uganda Wildlife Authority, National Forestry Authority and targeted Districts Local Governments.

At the end of the project life as a result of improved sustainable management of forests and protected areas, increased benefits from forests in target landscapes, additional household level economic activities supported by the project interventions, there will be an increased provision of ecosystem goods and services, increased household incomes and improved livelihoods of 250,000 households in the project area.

The interventions to achieve the above outcomes include; i) management of forest and wildlife protected areas in the Albertine Rift and West Nile region; ii) enhancing productivity of forests and wildlife protected areas; and, iii) increasing resilience of landscapes and livelihoods to climate change and impact of refugees.

The project is structured in four main components namely; i) Improving management of forest protected areas; ii) Increasing revenues and jobs from forests and wildlife protected areas; iii) Increasing resilience of landscapes and livelihoods to effects of climate change and impact of refugees; and, iv) Project Management Support.

The project will deliver seven (7) broad outputs which have logically been designed to achieve the two outcomes of the project that ultimately will enable the project make its contribution to the development objective.

#### **4. Role of the Project Focal Point (PFC)**

The main objective of this position is to serve as the NFA Focal Point for the implementation of NFA led activities supported under the IFPA-CD. The Project Focal Point, working closely with National Project Coordinator in MWE, IFPA-CD Coordination Unit at MWE, TSPs and Consultants shall be responsible for coordination of project implementation and reporting on the IFPA-CD Project progress by NFA and ensuring that the project outputs and results committed to NFA are met.

#### **5. Key duties and responsibilities**

The Project Focal Point (PFC), will be a senior official from NFA and will work closely with PCU and designated Project Focal within MWE.

He/she will be responsible for the implementation of the IFPA-CD supported activities by NFA and ensure that all project-supported activities are carried out in an effective and efficient manner and in accordance with the funding agreement between GoU and World Bank, Project Implementation Manual and all related project documents.

He/she shall be responsible for 2 inter-related functions under the IFPA-CD Project namely: i) **management** of project activities in NFA including monitoring and reporting the progress of the project and communication, and ii) **coordination** support including representing NFA in national level coordination and steering mechanisms, as appropriate.

Reporting to the Executive Director NFA, the PFC will undertake the following tasks:

- a. Coordinate and Manage IFPA-CD Project supported activities, including; planning of activities, preparing/elaborating Terms of Reference for other elements of work to be supported, coordination of procurements and contracts execution, overseeing the project budget, monitoring progress of activities, as required.
- b. Ensure smooth day to day management of project operations through close coordination with the UWA management, User Departments and personnel involved in project activity delivery, IFPA-CD PCU personnel (Procurement Specialist, Project Accountant, Project Officer, M&E Officer, Environment and Social Safeguards Officer) and other IFPA-CD hired consultants and TSPs.
- c. The PFC will be responsible for coordinating the preparation of annual work plans and the corresponding budgets for UWA in accordance with Funding agreement for clearance by the World Bank.
- d. Bring to the attention of MWE, MTWA, UWA and NFA Management as relevant, in a timely manner, issues that need urgent support and action to ensure smooth progress of activities.
- e. Report the project progress updates against the results framework for the project supported activities within UWA. Working in close consultation with the Project Officer and M&E Officer, ensure a Project M&E framework is used by NFA to monitor and report on project achievements and ensure that project milestones are being met.
- f. Participate in and ensure UWA participation in GoU and World Bank technical supervision missions.
- g. Prepare annual and semi-annual progress reports on the IFPA-CD Project supported activities, and other technical reports including planning and facilitating project review and evaluation at mid-term

and project completion stages, and provide support for completion of NFA audits by the IFPA-CD Project and external audit.

- h. Ensure that the agreed principles, sustainability strategies, safeguards and other agreed procedures of the IFPA-CD Project implementation are respected and realized within UWA. He/she will support and liaise with IFPA-CD Focal Points in MWE and relevant MWE and MTWA Technical Officers, the IFPA-CD Steering Committee and will be responsible for ensuring that the activities to be implemented by NFA user departments and consultants are in synergy, and will take a proactive role to ensure that benchmarks are achievable.

## 9.18.4 Terms of Reference for Focal Point –UWA

CLEARED BY WB



REPUBLIC OF UGANDA

### Investing in Forests and Protected Areas for Climate Smart Development Project (IFPA-CD)

#### 1. Background

##### 1.1 Forestry Resources

Uganda's natural forest vegetation is categorized into three broad types: Tropical High Forest Well-stocked (THF), Tropical High Forest Low-stocked (THFL), and Woodlands, with woodlands being the predominant type in terms of area. In addition to the three natural forest types, plantations are differentiated into broadleaved and coniferous plantations.

Originally, THF occurred in mountainous areas and in most of the central region between Lake Victoria and Lake Albert, and is now mainly found in Central Forest Reserves (CFRs) in the western part of the country (e.g., Bugoma, Budongo, Kalinzu-Maramagambo, Katsyoha-Kitomi, Echuya, Itwara) and in national parks (Bwindi Impenetrable, Mgahinga, Rwenzori Mountains, Kibale and Semuliki). THFL is found around the shores and on the islands of Lake Victoria. Savannah woodland and bushland covered the drier parts of the country, namely the northern, central and western regions, whereas the eastern part of the country is largely forest-poor except the Mount Elgon area (NBS, 2009; FIP 2016).

Uganda experiences high rates of forest cover loss. In 2000, natural forests outside protected areas reduced from 3.32 million hectares (ha) to 0.98 million ha, a fall of 70%, and from 1.53 to 1.1 million ha within protected areas, a smaller yet still worrying loss of 30%. (Figure 3-1) Inventory data from 2015 indicated that approximately 46% of the remaining 2.1 million ha of natural forests were on private land and 54% under government ownership in Forest Reserves, National Parks and Wildlife Reserves. Uganda's forest plantation, agroforestry and farm forestry area meanwhile, increased during the same period from 268,363 to 415,958 ha, with 25% of new planting in forest reserves and 75% on private land.

##### 1.2 Wildlife

The Albert Nile WMZ contains the Albertine Rift, which supports the most carbon-dense forests remaining in Uganda and is also a global biodiversity hotspot. Many intact areas of forest remain in this landscape, but most are under high pressure and forest areas are becoming increasingly fragmented. Fragmentation is also leading to biodiversity (i.e. tree species, wild animals and plants) loss and, increasingly, Human Wildlife Conflicts as wildlife, such as African elephant and chimpanzees which require large ranges, move between remaining blocks of habitat.

##### 1.3 Tourism

The project is priority for the Tourism and Wildlife Sector and contributes towards the implementation of Tourism Sector Development Plan (TDSP (2015/16 – 2019/20) by supporting: i) Tourism marketing and promotion; ii) Tourism Human Resources Development; iii) Tourism Product Development, iv) Tourism management through increasing access to tourist attractions and, improved hospitality facilities and services, and, v) Conservation of natural tourist attractions in the targeted wildlife protected areas.

Tourism is a key driver of economic growth, and the forests and wildlife of the Albertine Rift are particularly important for this sector. This includes many globally-threatened species and populations, including those of Mountain Gorilla (*Gorilla beringei*) (critically endangered) and Eastern Chimpanzee (*P. troglodytes schweinfurthii*) (endangered). The targeted National Parks and some of the Forest Reserves attract leisure tourists for wildlife safaris, gorilla and chimpanzee tracking, and adventure tourism. Murchison Falls National Park and Queen Elizabeth NP are the most visited parks in Uganda. Nature-based tourism generates significant revenues, some of which benefits local communities through benefit-sharing mechanisms used by the Uganda Wildlife Authority (UWA) and through job creation. These revenues are also vital for funding the operational costs of National Parks, Wildlife and Forest Reserves themselves.

#### **1.4 Refugee context**

There is increasing human pressure on natural ecosystems and land resulting from high human population due to influx of refugees mainly from DRC, South Sudan, Rwanda and Burundi. As of September 2019, Uganda hosted approximately 1.25 million (85% of refugees and asylum-seekers) in Uganda in refugee settlements in 18 districts in the Albertine Rift, districts to west and east of R. Nile and further north (Adjumani, Arua, Moyo, Yumbe, Madi-Okollo, Koboko, Kibule, Kamwenge, Kiryadongo, Kyegegwa and Lamwo). Investments to mitigate impact of refugees on hosting landscapes through improving land productivity, enhancing ecosystems and landscape capacity to mitigate climate change are needed. In addition, investments to reduce pressure on natural resources and build resilience to effects of climate change among the rural poor and ecosystems should focus on creating jobs and increasing income from forest resources in a sustainable manner.

The project contributes to Uganda's Comprehensive Refugee Response Framework and the related Water and Environment Sector Response Plan for Refugees and Host Communities in Uganda (2019). Specifically, SFLP contributes to the ReHOPE Objective #4 "Addressing environmental degradation in refugee hosting areas" through supporting establishment of greater tree cover in refugee-hosting landscapes outside protected areas, supporting sustainable forest management and landscape resilience on private and customary land as well as wood-fuels based energy security for both host communities and refugee settlements.

#### **1.5 Vulnerability**

Environmental degradation in the Albertine Rift and West Nile Region is increasing social and ecological vulnerability to climate change. Strengthening management of protected areas and other natural ecosystems will improve mitigation and adaptation to climate change. Securing gender sensitive livelihoods through investments in forestry, wildlife, tourism, renewable energy, sustainable land management, land and resources governance will reduce pressure on ecosystems and sustain provision of ecosystem goods and services. Environmental degradation and habitat loss are already associated with reduced levels of ecosystem services and have been linked to increasing levels and frequency of floods and landslides and worsening water shortages.

The Albertine Rift faces a deteriorating situation with regard to climate change impacts. Topography, with mountainous areas rising to 5,430m a.s.l are prone to floods, landslides, and damage to infrastructure including roads and bridges, low rainfall areas subject to increasing uncertainty over quantity and timing of rainfall, and dependence of densely settled rural population on subsistence agriculture and natural resource use, all contribute to a high need for support amongst proposed SFLP

recipients. Albertine Rift communities are in need of support to avoid a worsening of poverty levels – 75% to 80% of most households in the project area are below the poverty line of US\$ 2 per day that will further reduce the capacity of communities to adapt to climate change. The situation is made more difficult by the high proportion of land under government controlled protected areas, the growing control of land by corporations and individuals, the low levels of government investment in improving land use, low access to credit, and limited alternative to subsistence farming.

The consequences of climate change on livelihoods resulting from successive droughts and floods are expected to be significant. Though the analysis is complex, the productivity and reliability of key subsistence and cash crops grown in the Albertine Rift are likely to reduce and some may become uneconomic - production of cassava, sweet potatoes and potatoes may fall by 40% by 2050, while production of coffee could fall by 75% and tea by 50%. Threats to maize, coffee and bean production have been identified as strategic priority concerns. Basic household subsistence as well as incomes would be affected, with likely knock-on impacts on ecosystems and natural resources as households seek to recover losses by bringing more land under cultivation or increasing natural resource harvests.

The current and predicted vulnerabilities to the impacts of climate change on the peoples of the Albertine Rift create a compelling case for investments in adaptation and risk reduction as proposed in the Forest Investment Plan (FIP), the National Climate Change Policy and the Uganda REDD+ Strategy.

Improving land productivity (through Sustainable Land Management practices) remains the primary mechanism for reducing vulnerability to climate change. Ensuring provision of ecosystems services and technical and financial means to farmers is critical to achieve this. Needs identified include raising levels of social and ecological resilience, improving the levels of food security of vulnerable households, reducing the rates and levels of ecosystem loss and degradation, restoration of degraded ecosystems, and strengthening institutional capacity to respond to these needs.

## **2. The Project**

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the Lead Agency and Ministry of Tourism, Wildlife and Antiquities. The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development under Component 2 will be national in scale.

The project aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes. This will be achieved by undertaking integrated interventions by Ministry of Water and Environment as well as Ministry of Tourism Wildlife and Antiquities, Uganda Wildlife Authority, National Forestry Authority and targeted Districts Local Governments.

At the end of the project life as a result of improved sustainable management of forests and protected areas, increased benefits from forests in target landscapes, additional household level economic activities supported by the project interventions, there will be an increased provision of ecosystem goods and services, increased household incomes and improved livelihoods of 250,000 households in the project area.

The interventions to achieve the above outcomes include; i) management of forest and wildlife protected areas in the Albertine Rift and West Nile region; ii) enhancing productivity of forests and wildlife protected areas; and, iii) increasing resilience of landscapes and livelihoods to climate change and impact of refugees.

The project is structured in four main components namely; i) Improving management of forest protected areas; ii) Increasing revenues and jobs from forests and wildlife protected areas; iii) Increasing resilience of landscapes and livelihoods to effects of climate change and impact of refugees; and, iv) Project Management Support.

The project will deliver seven (7) broad outputs which have logically been designed to achieve the two outcomes of the project that ultimately will enable the project make its contribution to the development objective.

### **3. Role of the Project Focal Point (PFC)**

The main objective of this position is to serve as the UWA Focal Point for the implementation of UWA led activities supported under the IFPA-CD. The Project Focal Point, working closely with National Project Coordinator in MWE, IFPA-CD Coordination Unit at MWE, TSPs and Consultants shall be responsible for coordination of project implementation and reporting on the IFPA-CD Project progress by UWA and ensuring that the project outputs and results committed to UWA are met.

### **4. Key duties and responsibilities**

The Project Focal Point (PFC), will be a senior official from UWA and will work closely with PCU and designated Project Focal within MWE.

He/she will be responsible for the implementation of the IFPA-CD supported activities by UWA and ensure that all project-supported activities are carried out in an effective and efficient manner and in accordance with the funding agreement between GoU and World Bank, Project Implementation Manual and all related project documents.

He/she shall be responsible for 2 inter-related functions under the IFPA-CD Project namely: i) **management** of project activities in UWA including monitoring and reporting the progress of the project and communication, and ii) **coordination** support including representing UWA in national level coordination and steering mechanisms, as appropriate.

Reporting to the Executive Director UWA, the IPC will undertake the following tasks:

- a. Coordinate and Manage IFPA-CD Project supported activities, including; planning of activities, preparing/elaborating Terms of Reference for other elements of work to be supported, coordination of procurements and contracts execution, overseeing the project budget, monitoring progress of activities, as required.
- b. Ensure smooth day to day management of project operations through close coordination with the UWA management, User Departments and personnel involved in project activity delivery, IFPA-CD PCU personnel (Procurement Specialist, Project Accountant, Project Officer, M&E Officer, Environment and Social Safeguards Officer) and other IFPA-CD hired consultants and TSPs.
- c. The PFC will be responsible for coordinating the preparation of annual work plans and the corresponding budgets for UWA in accordance with Funding agreement for clearance by the World Bank.
- d. Bring to the attention of MWE, MTWA, UWA and NFA Management as relevant, in a timely manner, issues that need urgent support and action to ensure smooth progress of activities.
- e. Report the project progress updates against the results framework for the project supported activities within UWA. Working in close consultation with the Project Officer and M&E Officer, ensure a Project M&E framework is used by UWA to monitor and report on project achievements and ensure that project milestones are being met.
- f. Participate in and ensure UWA participation in GoU and World Bank technical supervision missions.

- g. Prepare annual and semi-annual progress reports on the IFPA-CD Project supported activities, and other technical reports including planning and facilitating project review and evaluation at mid-term and project completion stages, and provide support for completion of UWA audits by the IFPA-CD Project and external audit.
- h. Ensure that the agreed principles, sustainability strategies, safeguards and other agreed procedures of the IFPA-CD Project implementation are respected and realized within UWA. He/she will support and liaise with IFPA-CD Focal Points in MWE and relevant MWE and MTWA Technical Officers, the IFPA-CD Steering Committee and will be responsible for ensuring that the activities to be implemented by UWA user departments and consultants are in synergy, and will take a proactive role to ensure that benchmarks are achievable.

### 9.18.5 Terms of Reference for MWE Focal Point (Components 3)



REPUBLIC OF UGANDA

#### Investing in Forests and Protected Areas for Climate Smart Development Project (IFPA-CD)

### A: Supply Fuelwood to Refugees

#### 1. The Project

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the, Lead Agency and Ministry of Tourism, Wildlife and Antiquities. **The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.**

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development under Component 2 will be national in scale.

The project aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes. This will be achieved by undertaking integrated interventions by Ministry of Water and Environment as well as Ministry of Tourism Wildlife and Antiquities, Uganda Wildlife Authority, National Forestry Authority and targeted Districts Local Governments.

At the end of the project life as a result of improved sustainable management of forests and protected areas, increased benefits from forests in target landscapes, additional household level economic activities supported by the project interventions, there will be an increased provision of ecosystem goods and services, increased household incomes and improved livelihoods of 250,000 households in the project area.

The interventions to achieve the above outcomes include; i) management of forest and wildlife protected areas in the Albertine Rift and West Nile region; ii) enhancing productivity of forests and wildlife protected areas; and, iii) increasing resilience of landscapes and livelihoods to climate change and impact of refugees.

The project is structured in four main components namely; i) Improving management of forest protected areas; ii) Increasing revenues and jobs from forests and wildlife protected areas; iii) Increasing resilience of landscapes and livelihoods to effects of climate change and impact of refugees; and, iv) Project Management Support.

The project will deliver the following seven (7) broad outputs which have logically been designed to achieve the two outcomes of the project that ultimately will enable the project make its contribution to the development objective.

- a. 483,000ha of improved forest protection and management (7 National Parks, 4 Wildlife Reserves and 28 Central forest Reserves).
- b. 1,157,073 ha of improved forest protection and management (7 National Parks, 4 Wildlife Reserves and 28 Central Forest Reserves).
- c. 36,500 ha of production forests.
- d. 32,052 ha of formerly degraded forest land restored.
- e. 19,507 ha of improved land management in refugee host districts.
- f. 22,000 Jobs created by investments in nature tourism and productive forestry.
- g. 15% increase in revenues from investments in forest based enterprises and nature based tourism.
- h. 250,000 households with improved incomes and resilient livelihoods.
- i. 65 Agreement for provision of access to resources and participation in PA management.

## **2. Supply of Fuelwood to Refugees**

The following project activities will be implemented in the over-all MWE framework for Refugee Response through a TSP to i) supply 216,000m<sup>3</sup> of wood fuel for 3 years to the refugees' settlements, and (ii) a TSP to establish 10,000ha of small holder wood plantation in refugee impacted landscapes.

## **3. Objective**

The primary objective for designating a Refugee Wood fuel supply Focal in MWE are to:

- a. Participate in the design, implementation and monitoring of project support to provision of wood fuel to Refugees.
- b. Liaise with TSP, OPM and UNHCR and ensure consistency in compliance with agreed activity descriptions, work plan and outputs.
- c. Ensure that the activity is consistent with MWE Refugee Response Framework strategies and priorities.
- d. Provide timely response on behalf of MWE and support to the Wood fuel supply to Refugees in regards to any issues arising out of implementation of the project activity, that requires urgent MWE attention.

## **4. The tasks**

The Focal point will undertake the following tasks:

- a. Participate in the project annual working planning and ensure that Wood Fuel Supply Support activity is integrated and budgeted for in the work plans.
- b. Review project reports from TSP, OPM and UNHCR and appraise performance against targets and outputs.
- c. Undertake field visits to Refugee settlements to appraise activity implementation issues and provide onsite advice.
- d. Provide timely response to any implementation issues arising out of implementation of the project activity that requires urgent attention.
- e. Integrate project information from this activity into over-all MWE reporting processes and requirements.
- f. Liaise with the MWE Refugee Response Framework Focal Point and ensure integration /recognition of this activity in the over-all MWE Refugee Response framework implementation.

## **B: PERFORMANCE BASED TREE PLANTATION SUBSIDY SCHEME**

### **1. The Project**

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the, Lead Agency and Ministry of Tourism, Wildlife and Antiquities. **The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.**

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development under Component 2 will be national in scale.

The project aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes. This will be achieved by undertaking integrated interventions by Ministry of Water and Environment as well as Ministry of Tourism Wildlife and Antiquities, Uganda Wildlife Authority, National Forestry Authority and targeted Districts Local Governments.

At the end of the project life as a result of improved sustainable management of forests and protected areas, increased benefits from forests in target landscapes, additional household level economic activities supported by the project interventions, there will be an increased provision of ecosystem goods and services, increased household incomes and improved livelihoods of 250,000 households in the project area.

The interventions to achieve the above outcomes include; i) management of forest and wildlife protected areas in the Albertine Rift and West Nile region; ii) enhancing productivity of forests and wildlife protected areas; and, iii) increasing resilience of landscapes and livelihoods to climate change and impact of refugees.

The project is structured in four main components namely; i) Improving management of forest protected areas; ii) Increasing revenues and jobs from forests and wildlife protected areas; iii) Increasing resilience of landscapes and livelihoods to effects of climate change and impact of refugees; and, iv) Project Management Support.

The project will deliver the following seven (7) broad outputs which have logically been designed to achieve the two outcomes of the project that ultimately will enable the project make its contribution to the development objective.

- a. 483,000ha of improved forest protection and management (7 National Parks, 4 Wildlife Reserves and 28 Central forest Reserves).
- b. 1,157,073 ha of improved forest protection and management (7 National Parks, 4 Wildlife Reserves and 28 Central Forest Reserves).
- c. 36,500 ha of production forests.
- d. 32,052 ha of formerly degraded forest land restored.
- e. 19,507 ha of improved land management in refugee host districts.
- f. 22,000 Jobs created by investments in nature tourism and productive forestry.
- g. 15% increase in revenues from investments in forest based enterprises and nature based tourism.
- h. 250,000 households with improved incomes and resilient livelihoods.
- j. 65 Agreement for provision of access to resources and participation in PA management.

### **2. Grants for forest plantation establishment**

The project activity for establishing plantation forests will be implemented through a subsidy grant mechanism that incentivizes small holder tree farmers to establish 36,000ha of forest plantations.

### **3. Objective**

The primary objective for designating a Performance based forest plantation Subsidy Focal in MWE are to:

- a. Participate in the design, implementation and monitoring of performance of the private tree farming subsidy Grant scheme.
- b. Liaise with Subsidy Grant Management Committee and ensure consistency in compliance with agreed Subsidy Grant procedure and guidelines.
- c. Provide timely response on behalf of MWE and support to the Performance based tree farming subsidy Grants in regards to any issues arising out of implementation of the project activity, that requires urgent MWE attention.

### **4. The tasks**

The Focal point will undertake the following tasks:

- a. Participate in the project annual working planning and ensure that Subsidy Grant scheme is well designed and budgeted for in the work plans.
- b. Review project reports from the Subsidy Grant Scheme TSP and appraise performance against targets and outputs.
- c. Undertake field visit to appraise activity implementation and implementation issues and provide onsite advice.
- d. Provide timely response to any implementation issues arising out of implementation of the Subsidy Grant procedures/Guidelines that requires urgent attention.
- e. Integrate project information from Subsidy tree farming benefitting from the Grants scheme into over-all MWE reporting processes and requirements.
- f. Serve as Secretary to the Subsidy Grant Management Committee.

To be updated after approval of PP for Implementing Agencies  
for 18 month



# Investing in Forests and Protected Areas for Climate Smart Development (IFPA-CD)

## Project Procurement Plan

Ministry of Water and Environment

December 2020

## General

### 1. Project Information

Country: Uganda

Recipient : Republic of Uganda

Project Name: INVESTING IN FORESTS AND PROTECTED AREAS FOR CLIMATE SMART DEVELOPMENT PROJECT (IFPA-CD) P170466

Loan Credit No.: P170466

2. Bank's Approval Date of the Procurement Plan {xxxx}

3. Date of General Procurement Notice : {xxxx}

4. Period Covered by this procurement plan : 18 months (w.e.f July 2021)

## A: Goods, Works, and Non-Consulting Services

### I. Thresholds for the Selection Methods:

Approved Selection Methods**	Thresholds for Method (US\$ equivalent)
Open International (Goods, IT Systems and Non-Consulting Services)	Equal to or more than 1 million
Open National (Goods, IT Systems and Non-Consulting Services) – Open Tender as per PPDA	< \$1 million and > 100,000
RFQ (Goods, IT Systems and Non-Consulting Services)	Less than 100,000
Open International (Works)	Equal to or more than 10 million
Open National (Works) - Open Tender as per PPDA	Less than 10 million
RFQ (Works)	Less than or equal to 200,000
Framework Agreements (Goods, Works & Consulting Services)	In accordance with Para 6.57 to 6.59 and 7.33 Annex XV: Frameworks Agreements of Procurement Regulations, and with prior agreement in Procurement plan with the Bank.
Direct Contracting	No threshold; meet requirements of Bank's Procurement Regulations and approved in the PP

\*\* \*In addition to above there are other selection arrangements available in the Bank procurement regulations July 2016 and revised in November 2017, August 2018 and November 2020 which upon Bank prior clearance can be incorporated and shall be based on the project need for use of the same

Prior Review: The details of the Procurement review / oversight are defined in the Annex II of the Regulations for borrowers. The following would be subject to Prior review of the Bank regardless of the Method of selection (Mitigated Procurement Risk Rating is "Substantial" in line with Fiduciary Risk):

Category	Estimated to cost	Remarks
(a) Works:	Equal to or more than USD 5.0 million	First procurement under the project irrespective of value
(b) Goods, IT System and Non-Consulting Services	Equal to or more than USD 1.5 million	First procurement under the project irrespective of value

(c) Consulting Services: Firms	Equal to or more than USD 0.5	First procurement under the project irrespective of value
(d) Consulting Firms- Individuals	Equal to or more than USD 0.2	

***The prior review thresholds will be reviewed during the implementation of the project and modified based on the risk assessment.***

**II. For contracts subject to prior review, the Borrower shall seek the Bank's no objection before agreeing to:**

- a. An extension of the stipulated time for execution of a contract that has an impact on the planned completion of the project;
- b. Any material modification of the scope of the Works, Goods, Non-consulting services or Consulting Services, or other significant changes to the terms and conditions of the contract;
- c. Any variation order or contract amendment (except in cases of extreme urgency), including due to extension of time, that singly or combined with all previous variation orders or amendments, increases the original contract amount by more than 15% (fifteen percent); or
- d. The proposed termination of the contract.
- e. The Borrower / IA shall provide a copy of all amendments to the contract to the Bank for its records.

**III. Prequalification**

Not Applicable

**Domestic Preference.** The provision of domestic preference shall not be applied in the evaluation of bids in accordance with Annex VI of the Regulations.

**IV. Reference to Standard Procurement Documents**

Bank's Standard RFB Goods and RFP Consulting Services dated July 2016 including revision before the FA, will be used as a base and incorporating suitable modifications and the same would be agreed with the Bank subject international competition.

**V. Any Other Special Procurement Arrangements**

A. When approaching the national market, as agreed in the Procurement Plan, the Open Tender procedure of Public Procurement and Asset Disposal and Regulations (Applicable Version) may be used. The specific Requirements for national open competitive procurement include the following:

- a. open advertising of the procurement opportunity at the national level;
- b. the procurement is open to eligible firms from any country;
- c. the request for bids/request for proposals document shall require that Bidders/Proposers submitting Bids/Proposals present a signed acceptance at the time of bidding, to be incorporated in any resulting contracts, confirming application of, and compliance with, the Bank's Anti-Corruption Guidelines, including without limitation the Bank's right to sanction and the Bank's inspection and audit rights;
- d. contracts with an appropriate allocation of responsibilities, risks, and liabilities;
- e. publication of contract award information;

- f. rights for the Bank to review procurement documentation and activities;
- g. an effective complaints mechanism; and
- h. Maintenance of records of the Procurement Process.

Other national procurement arrangements (other than national open competitive procurement), that may be applied by the Borrower (such as limited/restricted competitive bidding and Bank's SBDs will be used in view of recent changes to procurement legal framework, request for quotations/shopping, direct contracting), shall be consistent with the Bank's Core Procurement Principles and ensure that the Bank's Anti-Corruption Guidelines and Sanctions Framework and contractual remedies set out in its Legal Agreement apply.

In all cases, the national procurement procedures to be used shall give due attention to quality aspects.

- VI. The bid evaluation will be carried out according to the agreed timeline in the Procurement Activity Schedule.
- VII. Summary of the procurement packages planned during the first 18 months after project effectiveness (including those that are subject to retroactive financing and advance procurement):

## B: Selection of Consultants

### 1. Methods and Prior Review Threshold

**Selection methods of procurement of Consultants' Services (Firms):** The Approved Selection Methods as reflected in the Section VII of the procurement regulations

Method of Procurement	Thresholds for Methods
Quality and Cost Based Selection (QCBS)	As per requirements of para 7.3 of the Regulations
Quality Based Selection (QBS)	As per requirements of para 7.8 to 7.10 of the Regulations
Selection based on a Fixed Budget (FBS)	As per requirements of para 7.4 and 7.5 of the Regulations
Selection Based on Least Cost Basis (LCS)	As per requirements of para 7.6 and 7.7 of the Regulations
Selection based on Consultant's Qualification (CQ)	As per requirements of para 7.11 and 7.12 of the Regulations Contracts estimated to cost equivalent of USD 500,000 or less per contract
Direct	Must meet the requirements of Para 7.13 to 7.15 of the Regulations, and with prior agreement in PP with the Bank.

**The short list may consist of only National consultants in case the estimated cost is less than USD 200,000 for Consulting Services and USD 300,000 for Engineering and Construction Supervision Consultancy**

**Procurement methods for Selection of Individual Consultants (IC):** The Approved Selection Methods as reflected in the Section VII of the procurement regulations

Method of Procurement	Thresholds for Methods
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Open Competitive Selection	As per requirements of para 7.36 and 7.37 of the Regulations
Limited Competitive Selection	As per requirements of para 7.38 of the Regulations
Direct Selection	Must meet the requirements of Para 7.39 of the Regulations, and with prior agreement in PP with the Bank

**\*Shall meet the requirements as stated in Regulations**

**Prior Review Thresholds:** The details of the Procurement review / oversight are defined in the Annex II of the Regulations for borrowers. The following would be subject to Prior review of the Bank regardless of the Method of selection:

(a). **Consulting Firm:** First procurement under the project irrespective of value and all procurements estimated to cost more than **USD 0.5 million**.

(b). **Individual Consultant:** all procurements estimated to cost more than **USD 0.2 million**

**Terms of Reference (ToR) for all consultant contracts shall be furnished to the Bank for its prior review and No Objection.**

## THRESHOLD FOR PRIOR REVIEW, PROCUREMENT APPROACHES AND METHODS – GOOD, WORKS AND NON-CONSULTING SERVICES

Category	Prior Review (US\$ millions)	Procurement Approaches and Methods (US\$ millions)		
		Open International	Open National	Request for Quotation (NO)
Works	≥ 5	≥ 10	< 10	≤ 0.2
Goods, IT, and non-consulting services	≥ 1.5	≥ 1	< 1	≤ 0.1

**Post Review: All contracts not subject to prior review shall be subject to post review.**

### Summary of the procurement packages for Good, Works and Non-Consulting Services

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
<b>Civil Works</b>											
1	<b>Boundary marking</b>										
Lot 1	Construction of 85km electric fence (Comp 1.1)-UWA	1,275,000	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 2	Boundary marking (pillars) - NFA - types of; location; frontload	1,182,150	Post	Open national	RFQ	Most advantageous bid	Single stage, single envelop	No	No	2021	
Lot 3	Boundary marking (pillars) - NFA	3,900	Post	Limited	DS	Most advantageous bid	Single stage	No	No		2022

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 3	Boundary marking (pillars) - NFA	29,700	Post	Limited	DS	Most advantageous bid	Single stage	No	No		2022
Lot 4	Chain link fencing	27,000	Post	Limited	DS	Most advantageous bid	Single stage	No	No		2021
Lot 6	Construction of 25km trenches (Comp 1.1)- UWA	128,375	Post	Limited	DS	Most advantageous bid	Single stage	No	No	2021	
Lot 7	Construction of 18,000m <sup>2</sup> of stone wall. (Comp 1.1)- UWA	396,000	Post	Limited	DS	Most advantageous bid	Single stage	No	No	2021	
<b>2</b>	<b>Accommodation and office facilities</b>										
Lot 1	Construction of 10No senior ranger houses (Comp 1.1)-UWA	675,680	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	No	2021	
Lot 2	Construction 08No senior ranger houses (Comp 1.4)-UWA	540,544	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	No	2021	
Lot 3	Construction 26No. Junior staff ranger post (Comp 1.1)-UWA	2,108,106	Post	Open National	RFQ	Most advantageous bid	Single stage	No	No	2021	
Lot 4	Construction 12No. Junior staff ranger post (Comp 1.4)-UWA	972,972	Post	Open National	RFQ	Most advantageous bid	Single stage	No	No	2021	
Lot 5	Construction of Visitor washrooms (NFA) 1.1.	10,000	Post	Limited	NO	Most advantageous	Single stage, single envelope	No	Yes	2022	

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 6	Rain water harvesting and storage facilities- NFA	136,000	Post	Limited	NO	Most advantageous bid	Single envelop	No	Yes	2022	
Lot 7	New: Other housing Incl. P. latrine NFA 1.1.	27,000	Post	Limited	NO	Most advantageous bid	Single stage, single envelop	No	Yes	2022	
Lot 8	Water supply: Piping & Storage tanks	10,000	Post	Limited	No	Related criteria	Single stage, single envelop	No	Yes	2022	
Lot 9	Office: New housing - NFA	108,000	Post	Limited	No	Related criteria	Single stage, single envelop	No			
Lot 10	Staff: New housing - NFA	378,000	Post	Limited	No	Related criteria	Single stage, single envelop	No			
<b>3</b>	<b>Towers</b>										
Lot 1	Construction 08No. fire observation towers in PAs Comp 1.1)-UWA	216,216	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 2	Construction 02No. fire observation towers in PAs Comp 1.4)-UWA	54,054	Post	Limited	RFQ	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 3	NFA Fire detection and management system – 1.1	30,000	Post	Limited	RFQ	Related criteria		No	Yes	2021	
<b>4</b>	<b>Tourism Infrastructure</b>										
Lot 1	Construction of 06No. gates in NP & WR (Comp 2.1)-UWA	1,621,620	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 2	Construct & equip 05No. visitor centers (Comp 2.1)-UWA	2,027,025	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 3	Develop 01No. picnic site at the waterfall in Buhooma (Comp 2.1)-UWA	13,514	Post	Limited	RFQ	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 4	Develop 01No. of canopy walk in Sebitoli (Comp 2.1)-UWA	810,811	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 5	Develop 01No. of camping site, resting shelters along Muhabura-Sabinyo-Mgahinga hiking trail (Comp 2.1)-UWA	135,135	Post	Open National	RFQ	Most advantageous bid	Single stage single envelope	NO	NO	2021	
Lot 6	Develop 01No. of 3-peak volcano hiking trail (Sabinyo, Muhabura & Gahinga) (Comp 2.1)-UWA	270,270	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 7	Construct 1,000m of ladders in Sabinyo, Muhabura (Comp 2.1)-UWA	405,000	Post	Open National	RQQ	Most advantageous bid	Single stage single envelope	No	NO	2021	
Lot 8	Construct 1,700m of board walk in Sabinyo, Muhabura, Gahinga & Kirumia (Comp 2.1)-UWA	229,500	Post	Open National	RFQ	Most advantageous bid	Single stage single envelope	No	NO	2021	
Lot 9	Construct 06No. of bird hides (Comp 2.1)-UWA	48,648	Post	Limited	RFQ	Most advantageous bid	Single stage, single envelope	NO	NO	2021	

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 10	Construction of 02No. multipurpose tourism center (Comp 2.1)-UWA	540,540	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 11	Construct 01No. zip line (Comp 2.1)-UWA	300,000	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
<b>5</b>	<b>Construction of road infrastructure</b>										
Lot 1	Construction of 03No. bridges (Comp 2.1) (UWA)	405,405	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 2	Construction of new roads (NFA) 1.1	2,688,000	Post	Open national	RFQ	Most advantageous bid	Single stage, single envelope	No	No	2021	
Lot 3	New road construction NFA 2.1	366,000	Post	Open national	RFQ	Most advantageous bid	Single stage-single envelope	No	No	2021	
<b>SUPPLIES (GOODS)</b>											
<b>1</b>	<b>Vehicles</b>										
Lot 1	Supply 01No. Tipper lorry	121,622	Post	Open National	Most advantageous bid	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 2	Supply of 01No. fire truck for MFNP	189,189	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 3	Supply of 16No. vehicles (Comp 1:1)-UWA	1,297,296	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 4	Supply of 6No. vehicles (Comp 1:4)-UWA	486,486	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 5	Supply of 01No of Isuzu truck (Comp 1:1)-UWA	121,622	Post	Open National	RFQ	Most advantageous bid	Single stage	NO	NO	2021	
Lot 6	Supply of 01No. project vehicle-MTWA (Comp 4)	75,000	Post	Limited	RFQ	Most advantageous bid	Single stage single envelope	No	NO	2021	
Lot 6	Supply of 01No. project vehicle-MWE (Comp 4)	75,000	Post	Limited	RFQ	Most advantageous bid	Single stage single envelope	No	No	2021	
Lot 7	4 vehicles - pickups NFA	300,000	Post	Limited	RFQ	Most advantageous bid	Single stage single envelope	No	No		
Lot 8	1 vehicle - 4x4 station wagon- NFA	80,000	Post	Open national	RFQ	Most advantageous bid	Single stage	No	No		
<b>2</b>	<b>Field Equipment</b>										
Lot 1	Supply 11No. of GPS units (Comp 1:4)-UWA	8,921	Post	Limited	RFQ	Most advantageous bid	Single stage	NO	NO	2021	
Lot 2	Supply 15No. binoculars (Comp 1:4)-UWA	6,075	Post	Limited	RFQ	Most advantageous bid	Single stage	NO	NO	2021	

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 3	Supply of 03No telescopes (Comp 1.1) UWA	8,109	Post	limited	RFQ	Most advantageous bid	Single stage	NO	NO	2021	
Lot 4	Supply of 11pc of drones (Comp 1.1 & 1.4) UWA	89,188	Post	Limited	RFQ	Most advantageous bid	Single stage	NO	NO	2021	
Lot 5	Field map kit (Hardware)-NFA	6,000	Post	Limited	RFQ	Most advantageous bid	Single stage	NO	NO		
Lot 6	Electronic Haglof caliper for Fieldmap-NFA	8,000	Post	Limited	RFQ	Most advantageous bid	Single stage	NO	NO		
Lot 7	Forest Watcher Application Kits	12,500	Post	Limited	RFQ	Most advantageous bid	Single stage	NO	NO		
Lot 8	Tablets	22,100	Post	Limited	RFQ	Most advantageous bid	Single stage	NO	NO		
Lot 9	GPS hand held	22,100	Post	Limited	RFQ	Most advantageous bid	Single stage	NO	NO		
Lot 10	Vertex set and Transponder	2,300	Post	Limited	RFQ	Most advantageous bid	Single stage	No	No		
Lot 11	Work Stations with Wide monitors	15,000	Post	Limited	RFQ	Most advantageous bid	Single stage	No	No		

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 12	4 UAV / drones	4,000	Post	Limited	RFQ	Most advantageous bid	Single stage	No	No		
Lot 13	Binoculars	16,500	Post	Limited	RFQ	Most advantageous bid	Single stage	No	No		
Lot 14	Video cameras	54,000	Post	Limited	RFQ	Most advantageous bid	Single stage	No	No		
<b>3</b>	<b>Communication equipment</b>										
Lot 1	Supply of 39No VHF base station (Comp 1:1)-UWA	42,159	Post	Limited	RFQ	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 2	Supply of 04No VHF base station (Comp 1:4)-UWA	4,324	Post	Limited	RFQ	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 3	Supply of 157No. VHF handsets (Comp 1:1)-UWA	169,717	Post	Open National	RFQ	Most advantageous bid	Single stage,	No	NO	2021	
Lot 4	Supply of 50No. VHF handsets (Comp 1:4)-UWA	54,050	Post	Limited	RFQ	Most advantageous bid	Single stage,	No	NO	2021	
Lot 5	Supply of 08No. radio base sets (Comp 1:1)-UWA	540,544	Post	Open National	RFQ	Most advantageous bid	Single stage	No	NO	2021	

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 6	Supply of 04No. radio base sets (Comp 1:4)-UWA	270,272	Post	Open National	RFQ	Most advantageous bid	Single stage	No	NO	2021	
Lot 7	Supply of 10No radio repeaters (Comp 1.1)-UWA	81,080	Post	Limited	RFQ	Most advantageous bid	Single stage	NO	NO	2021	
Lot 8	Supply of 2No radio repeaters (Comp 1.4)-UWA	16,216	Post	Limited	RFQ	Most advantageous bid	Single stage	NO	NO	2021	
<b>4</b>	<b>Fire equipment</b>										
Lot 1	Supply of fire detection and management system for equipment for PAs (Comp 1.1)-UWA	94,865	Post	Limited	RFQ	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 2	Supply of 09pcs of fire detection and fighting equipment (Comp 1.1)-UWA	60,813	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 3	Supply of 04pcs of fire detection and fighting equipment (Comp 1.4)-UWA	27,028	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 4	Supply of 215pcs of personal fire protective equipment (Comp 1.1)-UWA	29,025	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 5	Supply of 100pcs of personal fire protective equipment (Comp 1.4)-UWA	13,500	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
<b>5</b>	<b>Road Equipment</b>										

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 1	Supply of 01No. grader (Comp 1.4)-UWA	350,000	Post	Open National	RFQ	Most advantageous bid	Single stage	No	NO	2021	
Lot 2	Supply of 02No assortments of road units (grader, excavator, tipper, water bowser, bull dozer) Comp 2.1 UWA	2,702,702	Prior	Open National	RFQ	Most advantageous bid	Single stage	No	NO	2021	
Lot 3	Supply of 01No. tractor (Comp 1:1)-UWA	40,541	Post	Limited	NO	Most advantageous Bid	Single stage, single envelope	NO	NO	2021	
Lot 3	Supply of a bulldozer NFA	355,000	Post	Open National	NO	Most advantageous Bid	Single Stage-Single Envelop	No	No	2021	
Lot 4	Supply of a lorry (tipper) NFA	121,000	Post	Open National	NO	Most advantageous Bid	Single Stage-Single Envelop	No	No	2021	
<b>6</b>	<b>Fuel &amp; Lubricants</b>										
Lot 1	Supply 80km fuel for operation of grader (Comp 1.4)-UWA	75,680	Post	Limited	NO		Single stage, stage single envelope	No	NO	2021	
Lot 2	Supply 400km fuel for road unit to construct new roads (Comp 2.1)- UWA	378,400	Post	Open National	RFQ	Most Advantageous bid	Single stage, stage single envelope	No	NO	2021	
Lot 3	Supply 400km fuel for road unit to maintain roads (Comp 2.1)-UWA	810,811	Post	Open National	RFQ	Most Advantageous bid	Single stage, stage single envelope	No	NO	2021	
Lot 4	fuel for road unit to maintain roads- NFA	908,108	Post	Open national	RFQ	Most Advantageous bid	Single stage	No	Yes	2021	

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
7	<b>Seedlings</b>										
	Supply of 800 acres tea seedlings (Comp 1.1)-UWA	1,621,600	Post	Open National	RFQ	Most Advantageous bid	Single stage, single envelope	No	NO	2021	
8	<b>Solar Items</b>										
Lot 1	Supply and installation of 20units of Solar (Comp 1.4)-UWA	54,060	Post	Limited	RFQ	Most Advantageous bid	Single stage	NO	NO	2021	
Lot 2	Supply and installation of Solar power - where / procurement method NFA	340,000	Post	Limited	RFQ	Most advantageous	Single stage single envelop	No	No		
9	<b>Motorcycles</b>										
Lot 1	Supply of 62No. motorcycles (Comp 1:1)-UWA	251,348	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 2	Supply of 20No. motorcycles (Comp 1:4)-UWA	81,080	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 3	motorcycles NFA Standardize cost 1.1	85,134	Post	Limited	RFQ	Most advantageous bid	Single stage	No	No		

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
10	<b>Office equipment</b>										
Lot 1	Supply of 08No of digital camera (Comp 1:4)-UWA	17,296	Post	Limited	NO	Most advantageous bid	Single stage	NO	NO	2021	
Lot 2	Supply of 02No. Laptop computers (Comp 4)-UWA	4,200	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 3	Supply of 9 laptops MWE	21,000	Post	Limited	NO		Single stage, single envelop	NO	NO	2021	
Lot 4	Supply of a projector MWE	1,000	Post	Limited	NO		Single stage, single envelop	NO	NO	2021	
Lot 5	Supply of a digital camera -MWE	1,350	Post	Limited	NO	Most advantageous Bid	Single stage-single envelop	No	No		
Lot 6	Supply of a printer-MWE	1,000	Post	Limited	NO	Most advantageous Bid	Single stage single envelop	No	No		
Lot 7	Heavy duty printer	10,000	Post	Limited	DS	Related criteria	Single-stage	No	No		
Lot 8	18 Desktop computers - 1 for each sector + 1 for each range office	30,600	Post	Limited	DS	Related criteria	Single stage-single envelop	No	No		
Lot 9	25 Laptop computers - at CFR (1 per CFR)	52,500	Post	Limited	DS	Related criteria	Single stage-single- envelop	No	No		
Lot 10	4 Printers	4,000	Post	Limited	DS	Related criteria	Single stage-single- envelop	No	No		

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 11	Projectors --- move to comp 4)	1,000	Post	Limited	DS	Related criteria	Single stage-single- envelop	No	No		
Lot 12	3 Digital cameras	4,050	Post	Limited	DS	Related criteria	Single stage-single- envelop	No	No		
<b>11</b>	<b>Boundary marking</b>										
Lot 1	Supply of 2,034No. concrete pillars along park boundary (Comp 1.1)-UWA	1,100,394	Post	Open National	RFQ		Single stage, single envelope	No	NO	2021	
12	Supply of fuelwood	6,323,311	Prior	Open national	RFP	Most Advantageous bid	Single stage	No	No	2021	2021
<b>NON-CONSULTANCY SERVICES</b>											
<b>1</b>	<b>Repair &amp; Service Vehicles</b>										
Lot 1	Operate & maintain 01No. of Tipper lorry (Comp 1.1)-UWA	27,365	Post	Limited	RFP	Most advantageous bid	Single stage single envelope	NO	NO	2021	
Lot 2	Operate & maintain of 01No. fire truck at MFNP (Comp 1.1)-UWA	426	Post	Limited	RFP	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 3	Operate & maintain 16No. of vehicles (Comp 1.1)-UWA	454,054	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 4	Operate & maintain 04No. of vehicles (Comp 1.4)-UWA	56,757	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 5	Operate & maintain 01No of Isuzu truck (Comp 1.1)-UWA	27,365	Post	Limited	NO	Most advantageous bid	single stage, single envelope	NO	NO	2021	

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
2	<b>Maintain park boundaries</b>										
Lot 1	Survey & Mark 23km boundary for National park & wildlife reserve (Comp 1.1)-UWA	6,210	Post	Limited	RFP	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 2	Operate & maintain of 23km marked National Park boundaries (Comp 1.1)-UWA	2,795	Post	Limited	RFP	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 3	Operate & maintain 85km of electric fence (Comp 1.1)-UWA	1,275,000	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 4	Mark & maintain 50km of Kwoga clan forest boundaries in Kikuube district (Comp 1.4)-UWA	54,050	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 5	Operate & maintain 25km trenches boundary (Comp 1.1) UWA	321	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 6	Operate & maintain 18,000m <sup>2</sup> stone wall boundary. (Comp 1.1)-UWA	3,366	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
3	<b>Operate &amp; maintain accommodation facilities</b>										
Lot 1	Operate & maintain of 10No senior ranger outposts. (Comp 1.1)-UWA	50,676	Post	Limited	RFP	Most advantageous bid	Single stage single envelope	NO	NO	2021	

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 2	Operate and maintain 26No. Junior outposts (Comp 1.1)-UWA	210,811	Post	Open National	-	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
4	<b>Operate &amp; service wildfire equipment</b>										
Lot 1	Operate & maintain wildfire detection and fighting system (Comp 1.1)-UWA	17,787	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 2	Operate & maintain 08No fire observation towers in Pas (Comp 1.1)-UWA	540,540	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 3	Operate & maintain 02No fire observation towers in Pas (Comp 1.4)-UWA	135,135	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 4	Operate & maintain 09pc of fire detection & fighting equipment and facilities in PAs (Comp 1.1)-UWA	18,244	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 5	Operate & maintain 04pc of fire detection & fighting equipment and facilities in Pas (Comp 1.4)-UWA	5,406	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 6	Operate & maintain 215pcs of personal firefighting equipment (Comp 1.1)-UWA	28,299	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 7	Operate & maintain 100pcs of personal firefighting equipment (Comp 1.4)-UWA	8,100	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
<b>5</b>	<b>Repair and service communication equipment</b>										
Lot 1	Operate and maintain 39No. VHF base station (Comp 1.1)-UWA	43,243	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 2	Operate and maintain 04No. VHF base station (Comp 1.4)-UWA	10,810	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 3	Operate and maintain 157No. VHF handsets (Comp 1.1)-UWA	8,486	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 4	Operate and maintain 50No. VHF handsets (Comp 1.4)- UWA	2,027	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 5	Operate & maintain 08No. VHF radio base set (Comp 1.1) UWA	21,622	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 6	Operate & maintain 04No. VHF radio base set (Comp 1.4), UWA	5,405	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 7	Operate & maintain 10No. radio repeaters (Comp 1.1), UWA	6,081	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 8	Operate & maintain 02No. radio repeaters (Comp 1.4) UWA	2,027	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
6	<b>Operate &amp; maintain field equipment</b>										
	Operate and maintain 11No. drones (Comp 1.4) UWA	28,378	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
7	<b>Operate &amp; maintain office equipment</b>										
	Operate & maintain 08No. digital cameras (Comp 1.4) UWA	1,384	Post	Limited	RFP	Most advantageous bid	Single stage single envelope	NO	NO	2021	
8	<b>Operate &amp; maintain solar items</b>										
	Operate & maintain 20 solar units (Comp 1.4)-UWA	1,352	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
9	<b>Lot 9. Operate &amp; maintain motorcycles</b>										
Lot 1	Operate & maintain 62No. motorcycles (Comp 1.1)-UWA	414,724	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 2	Operate & maintain 20No. motorcycles (Comp 1.4)-UWA	13,378	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	No	NO	2021	
10	<b>Operate &amp; maintain tourism infrastructure</b>										

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
Lot 1	Operate & maintain 05No. of visitor centres (Comp 2.1)-UWA	329,392	Post	Open National		Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 2	Operate & maintain 01No of picnic site at waterfalls in Buhoma (Comp 2.1)-UWA	6,757	Post	Limited	NO	Most advantageous bid	single stage, single envelope	NO	NO	2021	
Lot 3	Operate & maintain 01 canopy walk in Sebitoli (Comp 2.1)-UWA	32,432	Post	Limited	NO	Most advantageous bid	single stage, single envelope	NO	NO	2021	
Lot 4	Operate & maintain 01No of camping site and resting shelter (Comp 2.1)-UWA	13,514	Post	Limited	NO	Most advantageous bid	single stage, single envelope	NO	NO	2021	
Lot 5	Operate & maintain 01No. of 3-peak volcano hiking trail (Comp 2.1)-UWA	13,514	Post	Limited	NO	Most advantageous bid	single stage, single envelope	NO	NO	2021	
Lot 6	Operate & maintain 1000 meter of ladders in Sabinyo, Muhavura (Comp 2.1)-UWA	2,703	Post	Limited	NO	Most advantageous bid	single stage, single envelope	NO	NO	2021	
Lot 7	Operate & maintain 1,700 of board walks in Saabinyo, Muhavura, Gahinga and Kirumia (Comp 2.1)-UWA	2,703	Post	Limited	NO	Most advantageous bid	single stage, single envelope	NO	NO	2021	
Lot 8	Operate & maintain 06No. of bird hides (Comp 2.1)-UWA	16,419	Post	Limited	NO	Most Advantageous Bid	single stage, single envelope	NO	NO	2021	
Lot 9	Operate & maintain 02No. of multi-purpose tourism	5,405	Post	Limited	NO	Most advantageous bid	single stage, single envelope	NO	NO	2021	

Sr. No	Contract Description	Estimated Cost (US\$)	Review by Bank (Prior/Post)	Market Approach (Open-National/Limited etc.)	Selection Method (RFP, RFB, NO, DS etc.)	Evaluation Options (Most Advantageous Bid, BAFO, Rated Criteria etc.)	Procurement Process (Single stage-single envelope etc.)	Prequalification (Yes/No)	Domestic Preference (Yes/No)	Expected date of bid/proposal opening	Expected date of Contract Signature
	centres (Comp 2.1)-UWA										
11	<b>Operate and service road equipment</b>										
Lot 1	Operate & maintain 02No. of road units (Comp 2.1)-UWA	135,135	Post	Open National	RFQ	Most advantageous bid	Single stage, single envelope	No	NO	2021	
Lot 2	Operate & maintain 01No tractor (Comp 1.1)-UWA	27,365	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 3	Operate and maintain 01No. of grader (Comp 1.4)-UWA	35,000	Post	Limited	NO	Most advantageous bid	Single stage, single envelope	NO	NO	2021	
Lot 4	New Road equipment - operation and maintenance (20% per year) - NFA	476,622	Post	Limited	RFQ	Most advantageous bid	Single stage, single envelope	No	Yes	2021	

## THRESHOLDS FOR PRIOR REVIEW, SELECTION APPROACHES AND METHODS – CONSULTING SERVICES

Category	Prior Review (US\$ millions)	Short List of National Consultants	
		Consulting Services	Engineering and Construction Supervision
Consultants (Firms)	≥ 1	≤ 0.3	≤ 0.3
Individual Consultants	≥ 0.3	n.a.	n.a.

**Note:** Consultancy services estimated to cost equivalent to US \$ 300,000 and above per contract shall be advertised in the United Nations Development Business (UNDB) online in addition to advertising in national newspaper(s) of wide circulation and/or regional newspaper.

No	Contract Title, Description	Estimated Cost (USD)	Bank Review Requirement (prior/ post)	Market Approach (Open International/ National/ etc.)	Selection Method (QCBS, FBBS, LCBS, QBS, CQS, DS etc.)	Shortlisting (Yes/no)	Expected date of bid/ proposal opening	Expected date of Contract Signature
1	Develop strategies for wild fire detection & management for Protected Areas-UWA	54,054	Post	Open National	CQS	Yes	2021	
2	Monitor of removal of invasive & exotic plants in targeted Protected Areas (Comp 1.1)-UWA	54,054	Post	Open National	CQS	Yes	2021	
3	Eradication of 5,090ha of invasive species (Comp 1.4)-UWA	1,374,300	Prior	Open National	QCBS	Yes	2021	
4	Eradication of 4,090ha of invasive species (Comp 1.1)-UWA	1,104,300	Prior	Open National	QCBS	Yes	2021	
5	Full time consultant to provide support of project technical coordination (Comp 4) - UWA	210,000	Post	National Competitive Bidding	CQS	No	2021	
6	Full time consultant to provide support of project accounting (Comp 4)-UWA	210,000	Post	National Competitive Bidding	CQS	No	2021	

No	Contract Title, Description	Estimated Cost (USD)	Bank Review Requirement (prior/ post)	Market Approach (Open International/ National/ etc.)	Selection Method (QCBS, FBBS, LCBS, QBS, CQS, DS etc.)	Shortlisting (Yes/no)	Expected date of bid/ proposal opening	Expected date of Contract Signature
7	Inventory of infestation by invasive species (one-time, single contract) and develop invasive species MP NFA	158,792	Post	National Competitive bidding	CQS	Yes	2021	
8	Feasibility study for forest fund to provide financing on a revolving basis to incentivize productive forest management.	150,000	Post	National Competitive Bidding	CQS	Yes	2021	
9	Technical Service Providers (TSP) to provide package including community tree/garden center (one per 30 ha of agroforestry), agricultural inputs (seeds, fertilizer) and training packages & communication + admin costs	11,579,562	Prior	International Competitive Bidding	QCBS	Yes	2021	
10	TSP to provide TA package including site preparation, planting, post-planting, harvesting etc	21,607,092	Prior	International Competitive Bidding	QCBS	Yes	2021	2021
11	Nursery support / nursing materials supply chain	3,344,718	Prior	International Competitive Bidding	QCBS	Yes	2021	
12	TSP to support implementation by: i. raising community awareness ii) identifying priority areas for community forest management and supporting resource assessment, management planning, gazettement and boundary mapping of these community forests, (iii) institutional development, training and design of financial sustainability plans, (iv) providing community forest support grants to assist in the restoration, protection and sustainable management of these forests	1,000,000	Prior	International Competitive Bidding	QCBS	Yes	2021	

No	Contract Title, Description	Estimated Cost (USD)	Bank Review Requirement (prior/ post)	Market Approach (Open International/ National/ etc.)	Selection Method (QCBS, FBBS, LCBS, QBS, CQS, DS etc.)	Shortlisting (Yes/no)	Expected date of bid/ proposal opening	Expected date of Contract Signature
13	Demarcation of physical boundaries for 10 Community Forests	800,000	Prior	Open National	QCBS	Yes	2021	
14	Protection of CF area (fire protection, monitoring and overhead)	4,990,005	Prior	Open international	CQBS	Yes	2021	
16	1 Full time consultant to provide support on project technical coordination under MWE	210,000	Prior	National Competitive Bidding	CQS	No	2021	
17	1 Full time consultant to provide support on M&E	210,000	Post	National Competitive Bidding	CQS	No	2021	
18	1 Full time consultant to provide support on financial management	210,000	Prior	National Competitive Bidding	CQS	No	2021	
19	1 Consultant to provide support on procurement	70,000	Post	National	SSS	No	2021	
21	1 Short term TA	200,000	Post	National Competitive Bidding	CQS	Yes	2021	
22	Boundary survey - NFA	156,300	Post	National Competitive bidding	CQS	Yes	2021	
23	Support for the establishment of new collaborative forest management agreements							
Lot 1	Collaborative Resource Management agreements under UWA	1,120,000	prior	Open National	QCBS	Yes	2021	
Lot 2	CFM groups - Support to establishment	285,000	Post	Open national	CQS	Yes	2021	

No	Contract Title, Description	Estimated Cost (USD)	Bank Review Requirement (prior/ post)	Market Approach (Open International/ National/ etc.)	Selection Method (QCBS, FBBS, LCBS, QBS, CQS, DS etc.)	Shortlisting (Yes/no)	Expected date of bid/ proposal opening	Expected date of Contract Signature
Lot 3	Review and renew expired CFM Agreements NFA	80,000	Post	Open national	CQS	Yes	2021	
Lot 4	Contract with TSP to provide livelihood support to women in CFM to increase engagement-NFA 1.2	670,000	Prior	Open national	QCBS	yes	2021	

Appendix 1

Letter of Acceptance of the World Bank's Anti-Corruption Guidelines and Sanctions Framework

Date: \_\_

Invitation of Bids/Proposals No. \_\_\_\_\_

To: \_\_\_\_\_

We, along with our sub-contractors, sub-consultants, service providers, suppliers, agents (whether declared or not) consultants and personnel, acknowledge and agree to abide by the World Bank's policy regarding Fraud and Corruption (corrupt, fraudulent, collusive, coercive, and obstructive practices), as set out and defined in the World Bank's Anti-Corruption Guidelines<sup>32</sup> in connection with the procurement and execution of the contract (in case of award), including any amendments thereto.

We declare and warrant that we, along our sub-contractors, sub-consultants, service providers, suppliers, agents (whether declared or not), consultants and personnel, are not subject to, and are not controlled by any entity or individual that is subject to, a temporary suspension, early temporary suspension, or debarment imposed by a member of the World Bank Group, including, inter alia, a cross-debarment imposed by the World Bank Group as agreed with other international financial institutions (including multilateral development banks), or through the application of a World Bank Group finding of non-responsibility on the basis of Fraud and Corruption in connection with World Bank Group corporate procurement. Further, we are not ineligible under the laws or official regulations of *[Insert name of Employer as per bidding document]* or pursuant to a decision of the United Nations Security Council.

We confirm our understanding of the consequences of not complying with the World Bank's Anti-Corruption Guidelines, which may include the following:

rejection of our Proposal/Bid for award of contract;

in the case of award, termination of the contract, without prejudice to any other remedy for breach of contract; and

sanctions, pursuant to the Bank's Anti-Corruption Guidelines and in accordance with its prevailing sanctions policies and procedures as set forth in the Bank's Sanctions Framework. This may include a public declaration of ineligibility, either indefinitely or for a stated period of time, (i) to be awarded or otherwise benefit from a Bank-financed contract, financially or in any other manner;<sup>33</sup> (ii) to be a nominated<sup>34</sup> sub-contractor, consultant, manufacturer or supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract; and (iii) to receive the proceeds of any loan

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<sup>32</sup>*Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by International Bank for Reconstruction and Development Loans and the International Development Agency Credits and Grants*, dated October 15, 2006, and revised in January 2011 and July 2016, as they may be revised from time to time.

<sup>33</sup> For the avoidance of doubt, a sanctioned party's ineligibility to be awarded a contract shall include, without limitation, (i) applying for pre-qualification, expressing interest in a consultancy, and bidding, either directly or as a nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider, in respect of such contract, and (ii) entering into an addendum or amendment introducing a material modification to any existing contract.

<sup>34</sup> A nominated sub-contractor, nominated consultant, nominated manufacturer or supplier, or nominated service provider (different names are used depending on the particular bidding document) is one which has been: (i) included by the bidder in its pre-qualification application or bid because it brings specific and critical experience and know-how that allow the bidder to meet the qualification requirements for the particular bid; or (ii) appointed by the Borrower.

made by the Bank or otherwise to participate further in the preparation or implementation of any Bank-financed project.

We understand that we may be declared ineligible as set out above upon:

completion of World Bank Group sanctions proceedings according to its prevailing sanctions procedures;

cross-debarment as agreed with other international financial institutions (including multilateral development banks);

the application of a World Bank Group finding of non-responsibility on the basis of Fraud and Corruption in connection with World Bank Group corporate procurement; or

temporary suspension or early temporary suspension in connection with an ongoing World Bank Group sanctions proceeding.

For avoidance of doubt, the foregoing effects of ineligibility do not extend to a sanctioned firm's or individual's execution of its ongoing Bank-financed contracts (or its ongoing sub-agreements under such contracts) that are not the subject of a material modification, as determined by the Bank.

We shall permit, and shall cause our sub-contractors, sub-consultants, agents (whether declared or not), personnel, consultants, service providers or suppliers, to permit the Bank to inspect<sup>35</sup> all accounts, records, and other documents relating to the procurement process and/or contract execution (in the case of award), and to have them audited by auditors appointed by the Bank.

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<sup>35</sup> Inspections in this context are usually investigative (i.e., forensic) in nature: they involve fact-finding activities undertaken by the Bank or persons appointed by the Bank to address specific matters related to investigations/audits, such as evaluating the veracity of an allegation of possible Fraud and Corruption, through the appropriate mechanisms. Such activity includes but is not limited to accessing and examining a firm's or individual's financial records and information, and making copies thereof as relevant; accessing and examining any other documents, data, and information (whether in hard copy or electronic format) deemed relevant for the investigation/audit, and making copies thereof as relevant; interviewing staff and other relevant individuals; performing physical inspections and site visits; and obtaining third-party verification of information.

## 9.20 Appendix 20: Planning, Budgeting and Reporting formats

### Investing in Forest and Protected Areas for Climate Smart Development Project (IFPA-CD)

#### Reporting Formats

#### QUARTERLY REPORTS

#### 1A: QUARTERLY PROGRESS REPORTS

##### 1. Introduction

###### 1.1 The Report

###### 1.2 Summary Quarter targets and outputs (narrative/matrix)

##### 2 Implementation progress

###### 2.1 Implementation progress on actions/recommendations from previous quarter

Narrative.....

Summary table

Action/Recommendation	Action taken	Comments/observations

## 2.2 Achievements against quarter targets and outputs

Narrative..... Approach/Process, Highlight Major Activities/Events,

Summary table

Component/ Subcomponent	Project Output	Quarter planned	Quarter Achievement	Cumulative Achievement	Notes/Explanation	Quarter budget	Quarter Expenditure	level of performance	Notes/Explanation e.g.,	Cumulative Expenditure

### 2.3 Participation in project supervision and coordination mechanisms

Provide narrative of participation by the Institution e.g., Steering committee was attended by....on behalf of the Institution. The Institution made a presentation.....; the organization hosted the Steering Committee meeting at.... ??/etc.

- Steering Committee
- Annual Reviews
- Mid Term Review
- Supervisory Missions
- Other

### 2.4 Un intended achievements

Narrative.....What, relevance to the project, implication to project

### 2.5 Emerging implementation issues

Narrative..... challenges, implications or relevance to the project and recommendations/way forward

Summary Table

Issue	Relevance/implications to Project	Recommendation

## 3 Progress on cross-cutting issues

### 3.1 Environmental and Social risks and safeguards

Provide information on

- Environmental and Social risks associated with activities in the reporting period, including locations
- Progress/action taken to enforce the ESS Standards
- Progress/action taken to monitor ESS Standards
- Assessment of compliance, key recommended follow up issues, actions, time frame and responsibility centre.

### 3.2 Vulnerable and Marginalized people-issues

Provide information on

- Compliance with VMGMF /Implementation of VMGMP

- Assessment of compliance with ESMF, key recommended follow up issues, actions, time frame and responsibility centre.

### 3.3 Labour issues

Provide information on

- Compliance with LMP /Implementation of LMP
- Assessment of compliance with LMP, key recommended follow up issues, actions, time frame and responsibility centre.

### 3.4 Grievances Redress

Provide information on

- Compliance with GRM /Implementation of GRM
- Assessment of compliance with GRM, key recommended follow up issues, actions, time frame and responsibility centre.

### 3.5 Gender issues

Provide information on

- Compliance with GAP /Implementation of GAP
- Assessment of compliance with GAP, key recommended follow up issues, actions, time frame and responsibility centre.

### 3.6 Stakeholder Engagement

Provide information on

- Compliance with SEP /Implementation of SEP
- Assessment of compliance with SEP, key recommended follow up issues, actions, time frame and responsibility centre.

## 4 Key lessons

## 5 Key Challenges and remedial actions

*Narrative*.....

Summary

Challenge	Remedial Action taken	Recommended Remedial Action
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## 6 Priorities for next reporting period

Summary priorities for next reporting period

## 1B: INTERIM QUARTERLY FINANCIAL REPORT (IFR)

The IFRs should provide the following information: Sources and Uses of Funds Statement, Uses of Funds by Project Activity/Component, and DA Activity Statement. Refer to Table 7.4 and 7.5. Please attach to the IFR:

### 7.1 Post Review Summary

UG-IFPA-CD  
GRANT  
NO.....

MINISTRY/ENTITY - .....

**SUMMARY SHEET FOR EXPENDITURES NOT SUBJECT TO PRIOR REVIEW FOR PERIOD ENDING**  
..... 202...

Category Name & No.  (col 1)	Name & Address of Contractor  Contract Reference Signing date (col 2)	Contract Currency and Value  (col 3)	Invoiced Amounts by  Currency (col 4)	% Finance d by  IDA (col 5)	Eligible for Bank's Financing  during the quarter (col 6) US\$	Total
						Amount
						Paid from DA during the quarter (col 7)
						US\$
Consultant Services, Non Consultant Services, Goods, Works, Training & Workshops, Operating Costs:						
	Foreign & Local	N/A	N/A	100%		-
			<b>GRAND TOTAL</b>		-	-

## 7.2 Prior Review Summary

UG-IFPA-  
CD  
GRANT  
NO.....

..  
MINISTRY/ENTITY -  
.....

**SUMMARY SHEET FOR EXPENDITURES SUBJECT TO PRIOR  
REVIEW FOR PERIOD ENDING ... 202...**

Disbursement Cat/Subcat.  <u>(col 1)</u>	Name & Address of Contractor  Contract Reference Signing date <u>(col 2)</u>	Contract Currency and Value  <u>(col 3)</u>	Invoiced Amounts during the quarter  Currency <u>(col 4)</u>	% Financ ed by  IDA <u>(col 5)</u>	Eligible for Bank's Financing during the quarter  (US\$) <u>(col 6)</u> USD	Total  Amount Paid from DA during the quarter (US\$) <u>(col 7)</u> USD	Balance carried forward after the quarter <u>(col 8)</u>
Works Consultant Services, Non Consultant Services, Goods, Works, Training & Workshops, Operating Costs:							
							-
			<b>GRAND TOTAL</b>		-	-	

### 7.3 DA Activity Statement

INTERIM FINANCIAL REPORT (IFR). - FOR PERIOD ENDING .....202...

UG-IFPA-CD

GRANT NO.....

MINISTRY/ENTITY - .....

DESIGNATED ACCOUNT ACTIVITY STATEMENT FOR PERIOD ENDING 30TH ..... 202...	
Deposit Bank: BANK OF UGANDA	
Currency of DA:USD	
<b>PART I</b>	
	US\$
1. Cumulative advances to end of current reporting period	
2. Cumulative expenditures to end of last reporting period	
3. Outstanding Advance to be accounted (line 1 minus line2)	-
<b>PART II</b>	
4. Opening DA balance at beginning of reporting period (as of ....202...)	
5. Add/subtract: Cumulative adjustments (if any)	
6. Advances from World Bank during reporting period	
7. Add lines 5 and 6	
8. Outstanding advances to be accounted for (add line 4 and line 7)	
9. Closing DA balance at end of current reporting period (as of .....202...)	
10. Add/subtract: Cumulative adjustments (if any)	
11. Expenditures for current reporting period	
12. Add line 10 and 11	
13. Add line 9 and 12	
14. Difference (if any) (line 8 minus line 13)	-
<b>PART III</b>	
<b>15. Total forecasted amount to be paid by World Bank</b>	
16. Less: Closing DA balance after adjustments	
17. Direct payments/SC payments	
18. Add lines 16 and 17	-
<b>19. Cash requirement from World Bank for next two reporting period (lines 15 minus line 18)</b>	-

Note 1: Opening/Cumulative adjustments- .....202....

Description	US\$
Project Account Balances	
Add: Exchange differences	
Add: Bank charges	
Adjusted balance	-

**Note 2: Closing/Cumulative adjustments - .....202...**

Description	US\$
Project Account Balances	
Add: Exchange differences	
Adjusted balance	-

**7.4 Sources and Uses per category**

INTERIM FINANCIAL REPORT (IFR). - FOR PERIOD ENDING  
..... 202...

UG-IFPA-CD

GRANT NO.TF0A5722

MINISTRY/ENTITY - .....

**EXPENDITURE BY ACTIVITY REPORT**

	Quarter ....- ..... 202....	Cumulative to previous period (US\$)	Project to Date - .....202 ... (US\$)
<b>Project Financing</b>			
IDA Funds through Designated Account			-
IDA Funds through Direct Payments	-		-
<b>Total Financing</b>	-	-	-
<b>Less: Users of Funds</b>			
Consultant Services, Non Consultant Services, Goods, Works, Training & Workshops, Operating Costs:			
<b>Total Expenditure by category</b>			
Sources less uses			
Foreign Exchange Difference			
<b>Net cash flow</b>			
<b>Opening Cash Balances</b>			
Designated Dollar Account			
Project Bank Account			
<b>Total opening cash balances</b>			
Net Cash available at end of period			
Closing Cash Balances			
Designated Dollar Account			
Project Bank Account			
<b>Total closing cash balances</b>			

**NOTE 1: Opening Balances****Opening Balance Designated Account(IFPA-CD)**

Description		US\$	US\$
Bank Statement Balance as at .....202....			
			-
<b>Less: un presented cheques</b>			
			-
<b>Cash Book Balance as at .....202...</b>			-

**REDD Plus Operating Account**

Description	UGX	RATE	US\$
Bank Statement Balance as at .....202...			#DIV/0!
Less: un presented cheques			
<b>Sub-Total</b>	-		#DIV/0!
Cash Book Balance as at .....202....	-		#DIV/0!

**Closing Balance Designated Account(IFPA-CD)**

Description		US\$	US\$
Bank Statement Balance as at ....202....			
			-
<b>Less: un presented cheques</b>			
			-
<b>Cash Book Balance as at .....202...</b>			-

**REDD- Plus Operating Account**

Description	UGX	RATE	US\$
Bank Statement Balance as at ....202....			#DIV/0!
Less: un presented cheques			
<b>Sub-Total</b>	-		#DIV/0!

Cash Book Balance as at .....202...	-		<b>#DIV/0!</b>
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## 7.5 Sources and Uses per Component

INTERIM FINANCIAL REPORT (IFR). - FOR PERIOD ENDING .....202...				
UG-IFPA-CD				
GRANT NO.....				
MINISTRY/ENTITY -.....				
EXPENDITURE BY ACTIVITY REPORT				
	Quarter .....202 .... (US\$)	Cumulative to previous Quarter (US\$)	Cumulative To date :.....202.....( US\$)	Forecast: Next 6 Months (US\$)
Cash Receipts				
IDA Funds through Designated Account				
IDA Funds through Direct Payments				
<b>Total Financing</b>				
Less: Expenditures by Component				
Component 1				
Component 2				
Component 3				
Component 4				
<b>Total Expenditure</b>				
Receipts less expenditures				
Add: Foreign Exp Difference				
<b>NET CHANGE IN CASH</b>				
<b>Opening cash balances</b>				
Designated Dollar Account				
Project bank account				
<b>Total opening cash</b>				
<b>Net cash available</b>				
<b>Closing cash balances</b>				
Designated Dollar Account				
Project bank account				
<b>Total closing cash balances</b>				

### NOTE 1: Opening Balances

#### Opening Balance Designated Account(IFPA-CD)

Description		US\$	US\$
Bank Statement Balance as at ....202.....			
			-
<b>Less: un presented cheques</b>			
			-
<b>Cash Book Balance as at .....202</b>			-

**REDD- Plus Operating Account**

Description	UGX	RATE	US\$
Bank Statement Balance as at .....202....			#DIV/0!
Less: un presented cheques			
<b>Sub-Total</b>	-		<b>#DIV/0!</b>
Cash Book Balance as at .....202.....	-		<b>#DIV/0!</b>

**Closing Balance Designated Account (IFPA-CD Project)**

Description		US\$	US\$
Bank Statement Balance as at ...202.....			
			-
<b>Less: un presented cheques</b>			
			-
<b>Cash Book Balance as at .....202....</b>			<b>-</b>

**REDD- Plus Operating Account**

Description	UGX	RATE	US\$
Bank Statement Balance as at ...202...			#DIV/0!
Less: un presented cheques			
<b>Sub-Total</b>	-		<b>#DIV/0!</b>
Cash Book Balance as at dd ...month ...202....	-		<b>#DIV/0!</b>

## 7.6 Expenditure per activity

INTERIM FINANCIAL REPORT (IFR). - FOR PERIOD ENDING ...202...						
UG-IFPA-CD						
GRANT NO.....						
MINISTRY/ENTITY - .....						
<b>EXPENDITURE BY ACTIVITY REPORT</b>						
Project Component	Quarter Ending .....202...			Cumulative up to .....202.....		
-	-	-	-	-	Financial Year End	-
	Planned (US\$)	Actual (US\$)	Varianc e (US\$)	Planned (US\$)	Actual (US\$)	Varianc e (US\$)
<b>COMPONENT ONE</b>						
<b>SUB COMPONENT 1.1</b>						
<b>Establishment and maintenance of marram roads</b>						
New road construction						
Conducting ESIA studies for new roads						
Purchase Bulldozer						
Purchase Lorry tipper NFA						
Purchase Lorry tipper UWA						
Lorry tipper UWA - O&M per year (4.5%)						
New Road equipment -operation and maintenance (20% per year)						
Fuel for road unit to maintain roads						
<b>Boundary demarcation</b>						
-	-	-	-	-	-	-
Marked Boundaries for National Parks/Wildlife Reserves						
-	-	-	-			-
Marked Boundaries for National Parks/Wildlife Reserves - UWA - O&M per year (9%)						
Installing Pillars - UWA						
Boundary survey - NFA						
Installing boundary marking (pillars) - NFA						
<b>Human-wildlife conflict infrastructure (e.g. trenches, fences)</b>						
Planting tea seedlings						
Construction of electric fence						
Electric fence O&M per year (20%)						
Constructing trenches						
Trenches O&M per year						
Building/erecting stone wall						
Stone wall O&M per year (0.17%)						
<b>Staff housing</b>						
Construction of Ranger posts (senior)						
Construction of Ranger posts (senior) - UWA - O&M per year (1.5%)						
Construction of Ranger posts (junior)						
Construction of Ranger posts (junior) - UWA - O&M per year (2%)						
Construction of New Office + housing @ sector level						
Renovation of Office buildings - NFA						

Construction of New Staff housing @ CFR						
Renovation of staff houses						
<b>Other infrastructure</b>						
Installation of Solar power units (panel, batteries etc.)						
Construction of Visitor washrooms						
Installing rain water harvesting and storage facilities						
<b>Wild fire detection and management</b>						
Develop and implement fire management system for UWA and NFA (Consultancy)						
Annual service fee for fire management system						
Construction of Fire observation towers in Wildlife PAs						
Fire observation towers in Wildlife PAs - O&M per year (10%)						
Procure Fire detection and fighting equipment and facilities						
Fire detection and fighting equipment and facilities in Wildlife PAs - O&M per year (5%)						
Procure Personal fire protective equipment						
Personal fire protective equipment O&M per year (20%)						
Procure Fire trucks						
Fire trucks O&M per year (12,5%)						
<b>Develop and implement invasive and exotic plants management strategies.</b>						
Inventory of infestation by invasive species and development of management plans (one time, single contract)						
UWA -Eradication of invasive species						
NFA -Invasive species removal-Other forests						
NFA -Invasive species removal (Bamboo forest)						
UWA -Monitoring of removal of invasive and exotic plants in targeted protected areas.						
NFA -Monitoring of invasive species program						
<b>Forest monitoring</b>						
Annual Cloud hosting fees / costs (Amazon, Google earth Engine)						
Establish Permanent sample plots in Plantations						
Remeasure PSPs annually						
Procure Field map kit (Hard ware)						
Procure Electronic Haglof calliper for Field map						
Procure Forest Watcher Application Kits						
Procure Tablets						
Procure GPS hand held						
Procure Vertex set and Transponder						
Procure Workstations with Wide monitors						
Procure Heavy duty printer						
<b>Equipment (logistics)</b>						
Procure vehicles - UWA - Land cruiser pickup						

vehicles - UWA O&M per year (15%)						
Procure vehicles - pickups NFA						
Procure vehicles - 4x4 station wagon						
Vehicles - O&M (15% per year)						
Procure motorcycles - UWA						
motorcycles - UWA O&M per year (15%)						
Procure motorcycles NFA						
Motorcycle -operation and maintenance (15% per year)						
Procure Tractor- UWA						
Tractor- UWA O&M per year (13.5%)						
Procure Truck						
Truck O&M per year (15%)						
<b>Equipment (communications)</b>						
Procure HF handset						
HF handset O&M per year (1%)						
Procure HF radio base set						
HF radio O&M per year (1%)						
Procure and install Radio repeaters						
Radio repeaters O&M per year (1%)						
<b>Equipment (field equipment)</b>						
Procure Telescopes						
Procure Binoculars						
Procure Video cameras						
<b>Equipment (office)</b>						
Procure Desktop computers - 1 for each sector + 1 for each range office						
Procure Laptop computers - at CFR (1 per CFR)						
Procure Printers						
<b>SUB COMPONENT 1.2</b>						
<b>Support for the establishment of new collaborative forest management agreements</b>						
Collaborative Resource Management agreements under UWA including livelihoods activities						
CFM groups - Support to establishment						
<b>Support to implement CFM activities</b>						
Supply of beehives and associated equipment						
Training to CFM groups in Tour guiding skills						
Support communities to establish and manage commercial tree nursery						
Support to 14 women groups to start business in craft making						
Purchase and supply seedlings for CFM groups						
<b>SUB-COMPONENT 1.3</b>						
<b>Production and handling of additional Seedlings</b>						
Purchase seeds for production of seedlings of assorted indigenous species						
Purchase polyester bags for production of seedlings						
Raising seedlings (labour + soil)						

Nursery operations (water and cover)						
Raise and supply Bamboo plantlets						
<b>Restoration through enrichment planting</b>						
Enrichment planting (152 seedlings per ha)						
<b>SUBCOMPONENT 1.4</b>						
<b>Establishment and maintenance of marram roads</b>						
New road construction						
ESIA studies for new roads						
<b>Boundary demarcation</b>						
Mark and maintain the boundaries of Kwonga clan forest in Kikuube District						
Grader for construction of boundary road						
Maintenance of grader (12.5% per year)						
Fuel for operating grader to construct boundary road						
Fuel for road unit to maintain boundary road						
Boundary survey - NFA						
Boundary marking (pillars) - NFA						
<b>Staff housing</b>						
Construct Ranger posts (senior)						
Construct Ranger posts (junior)						
Construct Office: New housing						
Construct Staff: New housing						
<b>Other infrastructure</b>						
Installation of Solar power units (panel, batteries etc.)						
Construct Chain link fencing						
Install Rain water harvesting and storage facilities						
Install Solar power units (panel, batteries etc.)						
<b>Wild fire detection and management</b>						
Construct Fire observation towers in Wildlife PAs						
Fire observation towers in Wildlife PAs - O&M per year (10%)						
Procure Fire detection and fighting equipment and facilities in Wildlife PAs.						
Fire detection and fighting equipment and facilities in Wildlife Pas - O&M per year (5%)						
Procure Personal fire protective equipment						
Personal fire protective equipment O&M per year (20%)						
<b>Develop and implement invasive and exotic plants management strategies.</b>						
UWA -Eradication of invasive species (ha)						
Inventory of infestation by invasive species (one time, single contract)						
NFA -Invasive species removal-Other forests						
NFA -Monitoring of invasive species program						
<b>Equipment (logistics)</b>						
Procure vehicles - UWA						

Vehicles - UWA O&M per year (15%)						
Procure motorcycles - UWA						
Motorcycles - UWA O&M per year (15%)						
Procure vehicles - pickups NFA						
Vehicles - O&M (15% per year)						
motorcycles NFA						
Vehicles and Motorcycle -operation and maintenance (15% per year)						
<b>Equipment (communications)</b>						
Procure HF handset						
HF handset O&M per year (1%)						
Procure HF radio						
HF radio O&M per year (1%)						
Procure Radio repeaters						
Radio repeaters O&M per year (1%)						
<b>Equipment (field equipment)</b>						
Procure GPS hand held						
Procure GPS hand held						
Procure Tablets						
Procure Binoculars						
<b>Equipment (office)</b>						
Procure Digital cameras						
Digital cameras O&M per year (1%)						
Procure Desktop computers						
Procure Laptop computers						
Procure Printers						
<b>Restoration of degraded areas in CFRs</b>						
Purchase seeds for production of seedlings of assorted indigenous species						
Purchase polyester bags for production of seedlings						
Raising seedlings (labour + soil)						
Nursery operation (water and cover)						
Enrichment planting (400 seedlings per ha)						
<b>COMPONENT TWO</b>						
<b>sub component 2.1</b>						
<b>Establishment and maintenance of marram roads, game viewing tracks and other access infrastructure</b>						
Procure Road unit ( Grader, Excavator, Tipper, Water bowser, Bulldozer)						
O&M of road unit (12.5%)						
Fuel for road unit to construct new roads						
Fuel for road unit to maintain roads						
Construct bridges						
<b>Other infrastructure</b>						
Construct entrance gates and associated facilities for National Parks/Wildlife Reserves						
Entrance gates and associated facilities for National Parks/Wildlife Reserves - UWA O&M per year (2%)						
Construct Forest eco-sites gates						

<b>Development of new or improved tourism products</b>						
Construct and equip Visitor Centres (BINP, MFNP, KNP, SNP, RMNP)						
O&M of Visitor Centres (2% per year)						
Construct and equip Visitor Centres (location) one @ Bugoma						
O&M of Visitor Centres (2% per year)						
Develop picnic site at the waterfalls in Buhoma (BINP)						
O&M of picnic site at the waterfalls in Buhoma (5% per year)						
Develop picnic site						
O&M of picnic site (5% per year)						
Develop canopy walk in Sebitoli						
O&M of canopy walk in Sebitoli (10% per year)						
Develop canopy walk (400 m)						
O&M of canopy walk in Budongo (10% per year)						
Develop a camping site, resting shelters along Muhabura- Sabinyo-Gahinga hiking trail (MGNP)						
O&M of camping site and resting shelters (5% per year)						
Develop a camping site						
O&M of camping site (5% per year)						
Develop a 3-peak volcano hiking trail						
O&M of 3-peak volcano hiking trail (5% per year)						
Construct ladders in Sabinyo, Muhavura(metres)						
O&M of ladders in Sabinyo, Muhavura (per meter per year)						
Install permanent ropes (to be installed by expert each year)						
Construct board walks in Sabinyo, Muhavura, Gahinga and Kirumia						
O&M of board walks in Sabinyo, Muhavura, Gahinga and Kirumia(metres per year)						
Construct board walks						
O&M of board walks (metres per year)						
Construct zip line - operation by private sector						
Construct zip line (Bugoma) - operation by private sector						
Construct bird hides						
O&M of bird hides (5% per year)						
Construct bird hides						
O&M of bird hides (5% per year)						
Construct multipurpose tourism centre						
O&M of multipurpose tourism centre (2% per year)						
Trails construction						
Trails maintenance (Budongo)						
Install Signage (Budongo)						
Chimpanzee habituation @ Kalinzu and Budongo (4 persons allowances)						
Construct Jetty/docking area						
Staff training in tourism activities						
Central reservation system (design/ installation/hardware)						

<b>Development of community tourism products</b>						
Grants for the development of community tourism products						
<b>COMPONENT 2.2</b>						
<b>Investments to further increase plantation area</b>						
Matching grants (50% of eligible costs) to private tree growers						
TSP/Operational cost of Program Management Unit for (a) providing fiduciary management, (b) managing the issuance of calls for performance-based contracts, (c) managing and monitoring performance-based contracts including quality assurance, (d) providing technical support for silvicultural and value chain development						
Building capacity for providing extension support to growers, compliance monitoring and basic coordination of fire management (TSP)						
Feasibility study for forest fund that would provide financing on a revolving basis to incentivize productive forest management.						
<b>NFA management planning for private plantation on CFRs</b>						
Land demarcation, delineation of conservation areas, mapping for compliance monitoring						
<b>Investments to support processing and utilization of forest products to produce higher value wood products</b>						
Matching grants (50% of eligible costs) to investors in wood processing hub						
TSP/Operational cost of program management unit for (a) providing fiduciary management, (b) managing the issuance of calls for contracts, (c) managing and monitoring contracts including quality assurance, (d) providing technical support for value chain development						
Installation of wood processing hub at Nyabyeya Forestry College for training including tractor						
Maintenance of wood processing hub at Nyabyeya Forestry College for training						
50% co-finance for skilling and training of operators of new equipment (targeted on-demand courses at NFC)						
<b>COMPONENT 3</b>						
<b>Subcomponent 3.1</b>						
<b>Support for agroforestry</b>						
Provide Technical support for Agroforestry (agricultural inputs (seeds, fertilizer) and training packages & communication + admin costs) -TSP						
Overhead for TSP (20%)						
<b>Support for establishment of woodlots</b>						
TSP to provide package including promotion and farmer identification, seedlings, chemical inputs, technical support and M&E. Includes technical management and admin						
Matching grants (50% of eligible labour costs in the first 4 years) to woodlot owners						

Overhead for TSP (20%)						
Establish Private nurseries						
<b>Investments to enhance management and protection of natural forests on customary and private land</b>						
Management and protection of natural forests on customary and private land <i>(through i) raising wider awareness of the community forestry model, (ii) identifying priority areas for community forest management and supporting resource assessment, management planning, gazettement and boundary mapping of these community forests, (iii) institutional development, training and design of financial sustainability plans, (iv) providing community forest support grants to assist in the restoration, protection and sustainable management of these forests)</i> - TSP						
Boundary management						
Protection and overhead (fire protection, monitoring)						
Site preparation, planting, protection and overhead						
<b>Support to Government for the development and promulgation of Community Forests Regulations</b>						
Develop and promulgate Community Forests Regulations <i>(through reviewing and consultation process, promulgation and printing)</i>						
<b>Support to Local district governments</b>						
Capacity building and basic support packages <i>(comprising motorbikes and basic office and field equipment for DFOs)</i> to Local District Governments to strengthen governance of forests, woodlands and trees at district level and facilitate implementation of agroforestry and small-holder plantation investments						
Operational support (incremental OP costs)						
<b>Subcomponent 3.2</b>						
<b>Support to supply 10% ration to all camps</b>						
Purchase of fuelwood (incl delivery)						
Administration, tendering, distribution, verification and overheads (20%)						
<b>Component 4</b>						
<b>Support for the project coordination unit at MWE</b>						
Full time consultant to provide support on Project Technical Coordination						
Full time consultant to provide support on M&E						
Full time consultant to provide support on financial management						
Full time consultant to provide support on procurement						
Full time consultant to provide support on environmental risks and safeguards management						
Full time consultant to provide support on social risks and safeguards						
E&S risks related activities and monitoring						

Procure Vehicle for project supervision						
Procure Laptop computers						
Procure Printers						
Procure Projectors						
Procure Digital cameras						
Short term Technical Assistance						
Print and disseminate communication materials						
Internal audit						
Annual project audit by Auditor General						
Project Reviews and Evaluations ( <i>mid-term review and end-of-project evaluation</i> )						
Project Steering Committee						
Training on financial management and procurement						
Project Driver						
Communications Officer						
Administration Assist/Logistics (MWE )						
Procure Printers and scanners						
Procure Heavy Duty Photocopier						
Procure Cam coder						
Communication ( <i>Website and other platforms</i> )						
Assorted equipment's						
<b>Support for project management at UWA</b>						
Full time consultant to provide support on project technical coordination						
Procure Laptop computers						
Procure Vehicle for project supervision (1 UWA, 1 MTWA)						
Project supervision budget -lump sum (MTWA)						
Internal audit						
Design/supervise for civil works / BOQ						
Short term TA						
<b>Support for project management at NFA</b>						
Full time consultant to provide support on project technical coordination						
Procure Laptop computers						
Procure Projectors ( <i>for HQ</i> )						
Procure Digital cameras ( <i>for HQ</i> )						
Procurement Assistant						
Internal audit						
Procure Vehicle for project supervision						
Design/supervise civil works / BOQ						
Short term TA						
<b>TOTAL EXPENDITURE</b>						

## 7.7 Forecast

### FORECAST SUMMARY FOR ... - ... 202...

PROJECT COMPONENT/ACTIVITY	.... - .... 202..
<b>COMPONENT ONE</b>	
<b>SUB COMPONENT 1.1</b>	
<b>Establishment and maintenance of marram roads</b>	
New road construction	
Conducting ESIA studies for new roads	
Purchase Bulldozer	
Purchase Lorry tipper NFA	
Purchase Lorry tipper UWA	
Lorry tipper UWA - O&M per year (4.5%)	
New Road equipment -operation and maintenance (20% per year)	
Fuel for road unit to maintain roads	
<b>Boundary demarcation</b>	
Marked Boundaries for National Parks/Wildlife Reserves	
Marked Boundaries for National Parks/Wildlife Reserves - UWA - O&M per year (9%)	
Installing Pillars – UWA	
Boundary survey – NFA	
Installing boundary marking (pillars) - NFA	
<b>Human-wildlife conflict infrastructure (e.g. trenches, fences)</b>	
Planting tea seedlings	
Construction of electric fence	
Electric fence O&M per year (20%)	
Constructing trenches	
Trenches O&M per year	
Building/erecting stone wall	
Stone wall O&M per year (0.17%)	
<b>Staff housing</b>	
Construction of Ranger posts (senior)	
Construction of Ranger posts (senior) - UWA - O&M per year (1.5%)	
Construction of Ranger posts (junior)	
Construction of Ranger posts (junior) - UWA - O&M per year (2%)	
Construction of New Office + housing @ sector level	
Renovation of Office buildings - NFA	
Construction of New Staff housing @ CFR	
Renovation of staff houses	
<b>Other infrastructure</b>	
Installation of Solar power units (panel, batteries etc.)	
Construction of Visitor washrooms	
Installing rain water harvesting and storage facilities	
<b>Wild fire detection and management</b>	
Develop and implement fire management system for UWA and NFA (Consultancy)	
Annual service fee for fire management system	
Construction of Fire observation towers in Wildlife PAs	

Fire observation towers in Wildlife PAs - O&M per year (10%)	
Procure Fire detection and fighting equipment and facilities	
Fire detection and fighting equipment and facilities in Wildlife PAs - O&M per year (5%)	
Procure Personal fire protective equipment	
Personal fire protective equipment O&M per year (20%)	
Procure Fire trucks	
Fire trucks O&M per year (12,5%)	
<b>Develop and implement invasive and exotic plants management strategies.</b>	
Inventory of infestation by invasive species and development of management plans (one time, single contract)	
UWA -Eradication of invasive species	
NFA -Invasive species removal-Other forests	
NFA -Invasive species removal (Bamboo forest)	
UWA -Monitoring of removal of invasive and exotic plants in targeted protected areas.	
NFA -Monitoring of invasive species program	
<b>Forest monitoring</b>	
Annual Cloud hosting fees / costs (Amazon, Google earth Engine)	
Establish Permanent sample plots in Plantations	
Remeasure PSPs annually	
Procure Field map kit (Hard ware)	
Procure Electronic Haglof calliper for Field map	
Procure Forest Watcher Application Kits	
Procure Tablets	
Procure GPS hand held	
Procure Vertex set and Transponder	
Procure Workstations with Wide monitors	
Procure Heavy duty printer	
<b>Equipment (logistics)</b>	
Procure vehicles - UWA - Land cruiser pickup	
vehicles - UWA O&M per year (15%)	
Procure vehicles - pickups NFA	
Procure vehicles - 4x4 station wagon	
Vehicles - O&M (15% per year)	
Procure motorcycles - UWA	
motorcycles - UWA O&M per year (15%)	
Procure motorcycles NFA	
Motorcycle -operation and maintenance (15% per year)	
Procure Tractor- UWA	
Tractor- UWA O&M per year (13.5%)	
Procure Truck	
Truck O&M per year (15%)	
<b>Equipment (communications)</b>	
Procure HF handset	
HF handset O&M per year (1%)	
Procure HF radio baseset	
HF radio O&M per year (1%)	
Procure and install Radio repeaters	
Radio repeaters O&M per year (1%)	
<b>Equipment (field equipment)</b>	
Procure Telescopes	
Procure Binoculars	

Procure Video cameras	
<b>Equipment (office)</b>	
Procure Desktop computers - 1 for each sector + 1 for each range office	
Procure Laptop computers - at CFR (1 per CFR)	
Procure Printers	
<b>SUB COMPONENT 1.2</b>	
<b>Support for the establishment of new collaborative forest management agreements</b>	
Collaborative Resource Management agreements under UWA including livelihoods activities	
CFM groups - Support to establishment	
<b>Support to implement CFM activities</b>	
Supply of beehives and associated equipment	
Training to CFM groups in Tour guiding skills	
Support communities to establish and manage commercial tree nursery	
Support to 14 women groups to start business in craft making	
Purchase and supply seedlings for CFM groups	
<b>SUB-COMPONENT 1.3</b>	
<b>Production and handling of additional Seedlings</b>	
Purchase seeds for production of seedlings of assorted indigenous species	
Purchase polyester bags for production of seedlings	
Raising seedlings (labour + soil)	
Nursery operations (water and cover)	
Raise and supply Bamboo plantlets	
<b>Restoration through enrichment planting</b>	
Enrichment planting (152 seedlings per ha)	
<b>SUBCOMPONENT 1.4</b>	
<b>Establishment and maintenance of marram roads</b>	
New road construction	
ESIA studies for new roads	
<b>Boundary demarcation</b>	
Mark and maintain the boundaries of Kwonga clan forest in Kikuube District	
Grader for construction of boundary road	
Maintenance of grader (12.5% per year)	
Fuel for operating grader to construct boundary road	
Fuel for road unit to maintain boundary road	
Boundary survey - NFA	
Boundary marking (pillars) - NFA	
<b>Staff housing</b>	
Construct Ranger posts (senior)	
Construct Ranger posts (junior)	
Construct Office: New housing	
Construct Staff: New housing	
<b>Other infrastructure</b>	
Installation of Solar power units (panel, batteries etc.)	
Construct Chain link fencing	
Install Rain water harvesting and storage facilities	
Install Solar power units (panel, batteries etc.)	
<b>Wild fire detection and management</b>	
Construct Fire observation towers in Wildlife PAs	
Fire observation towers in Wildlife PAs - O&M per year (10%)	
Procure Fire detection and fighting equipment and facilities in Wildlife PAs.	

Fire detection and fighting equipment and facilities in Wildlife Pas - O&M per year (5%)	
Procure Personal fire protective equipment	
Personal fire protective equipment O&M per year (20%)	
<b>Develop and implement invasive and exotic plants management strategies.</b>	
UWA -Eradication of invasive species (ha)	
Inventory of infestation by invasive species (one time, single contract)	
NFA -Invasive species removal-Other forests	
NFA -Monitoring of invasive species program	
<b>Equipment (logistics)</b>	
Procure vehicles - UWA	
Vehicles - UWA O&M per year (15%)	
Procure motorcycles - UWA	
Motorcycles - UWA O&M per year (15%)	
Procure vehicles - pickups NFA	
Vehicles - O&M (15% per year)	
motorcycles NFA	
Vehicles and Motorcycle -operation and maintenance (15% per year)	
<b>Equipment (communications)</b>	
Procure HF handset	
HF handset O&M per year (1%)	
Procure HF radio	
HF radio O&M per year (1%)	
Procure Radio repeaters	
Radio repeaters O&M per year (1%)	
<b>Equipment (field equipment)</b>	
Procure GPS hand held	
Procure GPS hand held	
Procure Tablets	
Procure Binoculars	
<b>Equipment (office)</b>	
Procure Digital cameras	
Digital cameras O&M per year (1%)	
Procure Desktop computers	
Procure Laptop computers	
Procure Printers	
<b>Restoration of degraded areas in CFRs</b>	
Purchase seeds for production of seedlings of assorted indigenous species	
Purchase polyester bags for production of seedlings	
Raising seedlings (labour + soil)	
Nursery operation (water and cover)	
Enrichment planting (400 seedlings per ha)	
<b>COMPONENT TWO</b>	
<b>sub component 2.1</b>	
<b>Establishment and maintenance of marram roads, game viewing tracks and other access infrastructure</b>	
Procure Road unit ( Grader, Excavator, Tipper, Water bowser, Bulldozer)	
O&M of road unit (12.5%)	
Fuel for road unit to construct new roads	
Fuel for road unit to maintain roads	
Construct bridges	
<b>Other infrastructure</b>	

Construct entrance gates and associated facilities for National Parks/Wildlife Reserves	
Entrance gates and associated facilities for National Parks/Wildlife Reserves - UWA O&M per year (2%)	
Construct Forest eco-sites gates	
<b>Development of new or improved tourism products</b>	
Construct and equip Visitor Centres (BINP, MFNP, KNP, SNP, RMNP)	
O&M of Visitor Centres (2% per year)	
Construct and equip Visitor Centres (location) one @ Bugoma	
O&M of Visitor Centres (2% per year)	
Develop picnic site at the waterfalls in Buhoma (BINP)	
O&M of picnic site at the waterfalls in Buhoma (5% per year)	
Develop picnic site	
O&M of picnic site (5% per year)	
Develop canopy walk in Sebitoli	
O&M of canopy walk in Sebitoli (10% per year)	
Develop canopy walk (400 m)	
O&M of canopy walk in Budongo (10% per year)	
Develop a camping site, resting shelters along Muhabura- Sabinyo- Gahinga hiking trail (MGNP)	
O&M of camping site and resting shelters (5% per year)	
Develop a camping site	
O&M of camping site (5% per year)	
Develop a 3-peak volcano hiking trail	
O&M of 3-peak volcano hiking trail (5% per year)	
Construct ladders in Sabinyo, Muhavura(metres)	
O&M of ladders in Sabinyo, Muhavura (per meter per year)	
Install permanent ropes (to be installed by expert each year)	
Construct board walks in Sabinyo, Muhavura, Gahinga and Kirumia	
O&M of board walks in Sabinyo, Muhavura, Gahinga and Kirumia(metres per year)	
Construct board walks	
O&M of board walks (metres per year)	
Construct zip line - operation by private sector	
Construct zip line (Bugoma) - operation by private sector	
Construct bird hides	
O&M of bird hides (5% per year)	
Construct bird hides	
O&M of bird hides (5% per year)	
Construct multipurpose tourism centre	
O&M of multipurpose tourism centre (2% per year)	
Trails construction	
Trails maintenance (Budongo)	
Install Signage (Budongo)	
Chimpanzee habituation @ Kalinzu and Budongo (4 persons allowances)	
Construct Jetty/docking area	
Staff training in tourism activities	
Central reservation system (design/ installation/hardware)	
<b>Development of community tourism products</b>	
Grants for the development of community tourism products	
<b>COMPONENT 2.2</b>	
<b>Investments to further increase plantation area</b>	
Matching grants (50% of eligible costs) to private tree growers	

TSP/Operational cost of Program Management Unit for (a) providing fiduciary management, (b) managing the issuance of calls for performance-based contracts, (c) managing and monitoring performance-based contracts including quality assurance, (d) providing technical support for silvicultural and value chain development	
Building capacity for providing extension support to growers, compliance monitoring and basic coordination of fire management (TSP)	
Feasibility study for forest fund that would provide financing on a revolving basis to incentivize productive forest management.	
<b>NFA management planning for private plantation on CFRs</b>	
Land demarcation, delineation of conservation areas, mapping for compliance monitoring	
<b>Investments to support processing and utilization of forest products to produce higher value wood products</b>	
Matching grants (50% of eligible costs) to investors in wood processing hub	
TSP/Operational cost of program management unit for (a) providing fiduciary management, (b) managing the issuance of calls for contracts, (c) managing and monitoring contracts including quality assurance, (d) providing technical support for value chain development	
Installation of wood processing hub at Nyabyeya Forestry College for training including tractor	
Maintenance of wood processing hub at Nyabyeya Forestry College for training	
50% co-finance for skilling and training of operators of new equipment (targeted on-demand courses at NFC)	
<b>COMPONENT 3</b>	
<b>Subcomponent 3.1</b>	
<b>Support for agroforestry</b>	
Provide Technical support for Agroforestry (agricultural inputs (seeds, fertilizer) and training packages & communication + admin costs) -TSP	
Overhead for TSP (20%)	
<b>Support for establishment of woodlots</b>	
TSP to provide package including promotion and farmer identification, seedlings, chemical inputs, technical support and M&E. Includes technical management and admin	
Matching grants (50% of eligible labour costs in the first 4 years) to woodlot owners	
Overhead for TSP (20%)	
Establish Private nurseries	
<b>Investments to enhance management and protection of natural forests on customary and private land</b>	
Management and protection of natural forests on customary and private land (through i) raising wider awareness of the community forestry model, (ii) identifying priority areas for community forest management and supporting resource assessment, management planning, gazettement and boundary mapping of these community forests, (iii) institutional development, training and design of financial sustainability plans, (iv) providing community forest support grants to assist in the restoration, protection and sustainable management of these forests) - TSP	
Boundary management	
Protection and overhead (fire protection, monitoring)	
Site preparation, planting, protection and overhead	
<b>Support to Government for the development and promulgation of Community Forests Regulations</b>	
Develop and promulgate Community Forests Regulations (through reviewing and consultation process, promulgation and printing)	
<b>Support to Local district governments</b>	
Capacity building and basic support packages (comprising motorbikes and basic office and field equipment for DFOs) to Local District Governments to strengthen governance of forests, woodlands and trees at district level and facilitate implementation of agroforestry and small-holder plantation investments	
Operational support (incremental OP costs)	
<b>Subcomponent 3.2</b>	
<b>Support to supply 10% ration to all camps</b>	
Purchase of fuelwood (incl delivery)	
Administration, tendering, distribution, verification and overheads (20%)	
<b>Component 4</b>	

<b>Support for the project coordination unit at MWE</b>	
Full time consultant to provide support on Project Technical Coordination	
Full time consultant to provide support on M&E	
Full time consultant to provide support on financial management	
Full time consultant to provide support on procurement	
Full time consultant to provide support on environmental risks and safeguards management	
Full time consultant to provide support on social risks and safeguards	
E&S risks related activities and monitoring	
Procure Vehicle for project supervision	
Procure Laptop computers	
Procure Printers	
Procure Projectors	
Procure Digital cameras	
Short term Technical Assistance	
Print and disseminate communication materials	
Internal audit	
Annual project audit by Auditor General	
Project Reviews and Evaluations ( <i>mid-term review and end-of-project evaluation</i> )	
Project Steering Committee	
Training on financial management and procurement	
Project Driver	
Communications Officer	
Administration Assist/Logistics (MWE )	
Procure Printers and scanners	
Procure Heavy Duty Photocopier	
Procure Cam coder	
Communication ( <i>Website and other platforms</i> )	
Assorted equipment's	
<b>Support for project management at UWA</b>	
Full time consultant to provide support on project technical coordination	
Procure Laptop computers	
Procure Vehicle for project supervision (1 UWA, 1 MTWA)	
Project supervision budget -lump sum (MTWA)	
Internal audit	
Design/supervise for civil works / BOQ	
Short term TA	
<b>Support for project management at NFA</b>	
Full time consultant to provide support on project technical coordination	
Procure Laptop computers	
Procure Projectors ( <i>for HQ</i> )	
Procure Digital cameras ( <i>for HQ</i> )	
Procurement Assistant	
Internal audit	
Procure Vehicle for project supervision	
Design/supervise civil works / BOQ	
Short term TA	
<b>TOTAL FORECAST</b>	

**7.8 Bank reconciliations for both the DA and project bank account**

**Insert the required documents**

**ANNUAL REPORTS**

**2A: ANNUAL PROGRESS REPORT**

**1. Introduction**

**1.1 The Report**

**1.2 Summary Annual targets and outputs (narrative/matrix)**

**2 Implementation progress**

**2.1 Implementation progress on actions/recommendations from previous year**

Narrative.....

Summary table

Action/Recommendation	Action taken	Comments/observations

## 2.2 Achievements against Annual targets and outputs

Narrative..... Approach/Process, Highlight Major Activities/Events,

Summary table

Component/ Subcomponent	Project Output	Annual planned	Annual Achievement	Cumulative Achievement	Notes/Explanation	Annual budget	Annual Expenditure	level of performance	Notes/Explanation e.g.,	Cumulative Expenditure

**2.3 Participation in project supervision and coordination mechanisms**

*Provide narrative of participation by the Institution e.g., Steering committee was attended by.... on behalf of the Institution. The Institution made a presentation.....; the organization hosted the Steering Committee meeting at.... ??/etc.*

- *Steering Committee*
- *Annual Reviews*
- *Mid Term Review*
- *Supervisory Missions*
- *Other*

**2.4 Un intended achievements**

*Narrative.....What, relevance to the project, implication to project*

**2.5 Emerging implementation issues**

*Narrative..... challenges, implications or relevance to the project and recommendations/way forward*

Summary Table

Issue	Relevance/implications to Project	Recommendation

**3 Progress on cross-cutting issues**

**3.1 Environmental and Social risks**

Provide information on

- Environmental and Social risks associated with activities in the reporting period, including locations
- Progress/action taken to enforce the ESS Standards
- Progress/action taken to monitor ESS Standards
- Assessment of compliance, key recommended follow up issues, actions, time frame and responsibility centre.

### **3.2 Vulnerable and Marginalized people's issues**

Provide information on

- Compliance with VMGMF /Implementation of VMGMP
- Assessment of compliance with ESMF, key recommended follow up issues, actions, time frame and responsibility centre.

### **3.3 Labour issues**

Provide information on

- Compliance with LMP /Implementation of LMP
- Assessment of compliance with LMP, key recommended follow up issues, actions, time frame and responsibility centre.

### **3.4 Grievances Redress**

Provide information on

- Compliance with GRM /Implementation of GRM
- Assessment of compliance with GRM, key recommended follow up issues, actions, time frame and responsibility centre.

### **3.5 Gender issues**

Provide information on

- Compliance with GAP /Implementation of GAP
- Assessment of compliance with GAP, key recommended follow up issues, actions, time frame and responsibility centre.

### **3.6 Stakeholder Engagement**

Provide information on

- Compliance with SEP /Implementation of SEP
- Assessment of compliance with SEP, key recommended follow up issues, actions, time frame and responsibility centre.

## **4 Key Lessons**

**5 Key Challenges and remedial actions**

*Narrative.....*

Summary

Challenge	Remedial Action taken	Recommended Remedial Action

**6 Priorities for next reporting period**

*Summary priorities for next reporting period*

**2 B: INTERIM ANNUAL FINANCIAL REPORT (IFR)**

**As above under Quarterly Report format .... modify reporting period from quarter to Annual**

## 9.21 Appendix 21: Terms of Reference for External Audit

**CLEARED BY WB**



**REPUBLIC OF UGANDA**

### **Investing in Forests and Protected Areas for Climate Smart Development Project (IFPA-CD)**

#### **Terms of Reference**

**For**

**External Auditor**

#### **Project: Investing in Forests and Protected Areas for Climate Smart Development (IFPA-CD)**

### **1. Introduction**

The IFPA-CD project is jointly developed and implemented by Ministry of Water and Environment (MWE) as the, Lead Agency and Ministry of Tourism, Wildlife and Antiquities. The problem being addressed by this project is increased vulnerability of economic productivity, biodiversity and livelihoods to climate change effects due to declining forestry ecosystems goods and services.

The project geographic area includes the Albert Rift and West Nile, with focus on target protected areas (7 National Parks, 4 Wildlife Reserves, 28 Central Forest Reserves) and 18 refugee host districts. The performance-based subsidy scheme for private plantation development under Component 2 will be national in scale.

The project aims to improve sustainable management of forests and protected areas and increase benefits from forests in target landscapes. This will be achieved by undertaking integrated interventions by Ministry of Water and Environment as well as Ministry of Tourism Wildlife and Antiquities, Uganda Wildlife Authority, National Forestry Authority and targeted Districts Local Governments.

At the end of the project life as a result of improved sustainable management of forests and protected areas, increased benefits from forests in target landscapes, additional household level economic activities supported by the project interventions, there will be an increased provision of ecosystem goods and services, increased household incomes and improved livelihoods of 250,000 households in the project area.

The interventions to achieve the above outcomes include; i) management of forest and wildlife protected areas in the Albertine Rift and West Nile region; ii) enhancing productivity of forests and wildlife protected areas; and, iii) increasing resilience of landscapes and livelihoods to climate change and impact of refugees.

The project is structured in four main components namely; i) Improving management of forest protected areas; ii) Increasing revenues and jobs from forests and wildlife protected areas; iii) Increasing resilience of landscapes and livelihoods to effects of climate change and impact of refugees; and, iv) Project Management Support.

The project will deliver seven (7) broad outputs which have logically been designed to achieve the two outcomes of the project that ultimately will enable the project make its contribution to the development objective.

## **2. Objective**

The objective of the audit of the project financial statements is to enable the auditor to express a professional opinion on the financial position of the IFPA-CD at the end of the accounting period and of the funds received and expenditures incurred for the accounting period as reported by the Project Financial Statements (PFS). In addition, the audit will provide a professional opinion on the Statement of Expenditures and Designated Special Account and Project Accounts activity, respectively, with each audit covering the period of one fiscal year during which withdrawals were made. The various professional opinions may be captured in a single Audit Opinion by the Auditor.

The project books of accounts provide the basis for preparation of the PFSs by MWE, NFA and UWA and are established to reflect the financial transactions in respect of the project. The implementing agency maintains adequate internal controls and supporting documentation for transactions.

## **3. Preparations of Annual Financial Statements**

The responsibility for the preparation of financial statements including adequate disclosure is that of the MWE, UWA and NFA. The MWE, UWA and NFA are also responsible for the selection and application of accounting policies. The MWE, UWA and NFA would prepare the PFSs in accordance with the International Public Sector Accounting Standards (IPSAS) cash basis.

The Auditor is responsible for forming and expressing opinions on the financial statements. The Auditor would carry out the audit of the project in accordance with the GoU Audit Standards as well as international Standards on Auditing (ISA), as promulgated by the International Federation of Accountants (IFAC). As part of the audit process, the Auditor may request from the MWE, UWA and NFA written confirmation concerning representations made in connection with the audit.

## **4. Scope of the Audit:**

The audit will be carried out in accordance with GoU Audit Standards, International Standards of Auditing (ISA) promulgated by the International Federation of Accountants (IFAC), and will include such tests and auditing procedures as the auditor will consider necessary under the circumstances. Special attention should be paid by the auditor as to whether;

- a. All Project funds have been used in accordance with the conditions of the Funding agreement with due attention to economy and efficiency, and only for the purposes for which the financing was provided IFPA-CD Funding Agreement.
- b. Works, Goods and Services financed have been procured in accordance with the IFPA-CD Financing Agreement including the approved IFPA-CD Project Manual.
- c. Government contributions, if provided by the Government, that the funds have been provided and used in accordance with the IFPA-CD Funding agreement, with due attention to economy and efficiency, and only for the purposes for which they were provided.
- d. All necessary supporting documents, records, and accounts have been kept in respect of all project activities (including expenditures reported via SOEs or SAs). The auditor is expected to verify that the respective reports issued during the period were in agreement with the underlying books of accounts; the Designated Special Accounts (DA) and Project Accounts have been

maintained in accordance with the provisions of the Funding Agreement and funds disbursed out of these Accounts were used only for the purpose intended in the Funding Agreement.

- e. National laws and regulations have been complied with, and that the financial and accounting procedures approved for the project (e.g. PIM, PM, etc.) were followed and used.
- f. Assets procured from IFPA-CD funds exist and there is verifiable ownership by the implementing agency or beneficiaries in line with the financing agreement.
- g. Ineligible expenditures included in withdrawal applications are identified and reimbursed to the Designated Accounts and Project Accounts, respectively. These should be separately noted in the audit report.

In complying with International Standards on Auditing, the auditor is expected to pay particular attention to the following matters:

- a) **Fraud and Corruption:** Consider the risks of material misstatements in the financial statements due to fraud as required by ISA 240: The Auditor's Responsibility to Consider Fraud in an Audit of Financial Statements. The auditor is required to identify and assess these risks (of material misstatement of the financial statements) due to fraud, obtain sufficient appropriate audit evidence about the assessed risks; and respond appropriately to identified or suspected fraud.
- b) **Laws and Regulations:** In designing and performing audit procedures, evaluating and reporting the results, consider that noncompliance by the implementing agency with laws and regulations may materially affect the financial statements as required by ISA 250: Consideration of Laws and Regulations in an Audit of Financial Statements;
- c) **Governance:** Communicate audit matters of governance interest arising from the audit of financial statements with those charged with governance of an entity as required by International Standards on Auditing 260: Communication of Audit Matters with those Charged with Governance.
- d) **Risks:** In order to reduce audit risk to an acceptable low level, determine the overall responses to assessed risks at the financial statement level, and design and perform further audit procedures to respond to assessed risks at the assertion level as required by Internal Standard on Auditing 330: The Auditor's Procedures in Response to Assessed Risks.

In evidencing compliance with agreed project financing arrangements, the auditor is expected to carry out tests to confirm that:

- (a) All external funds have been used in accordance with the conditions of the IFPA-CD Funding agreements, with due attention to economy and efficiency, and only for the purposes for which the financing was provided.
- (b) Goods, works, and services financed have been procured in accordance with PM, including specific provisions of the World Bank Procurement Guidelines.

## 5. Project Financial Statements

The auditor should verify that the project PFSs have been prepared in accordance with the IPSAs cash basis of accounting and give a true and fair view of the financial position of the project at the relevant date and of resources and expenditures for the financial year ended on that date.

The Project Financial Statements should include:

- a. A statement of funds received from the World Bank, and of expenditure incurred.
- b. A summary of the activity in the Designated Account.

- c. A Balance Sheet showing Accumulated Funds of the project IDA balances, fixed assets, inventories, other assets of the project, and liabilities, if any.
- d. A list of material assets acquired or procured to date with the project funds.
- e. Notes to the financial statements presenting background information on the program, the accounting principles, detail analysis and relevant explanation of the main accounts/major balances, etc.

As an Annex to the PFSs, the auditor should prepare a reconciliation of the amounts as “received by the Project from the IDA”, with those shown as being disbursed by IDA.

## **6. Interim Unaudited Financial Reports (IFRs)**

In addition to the audit of the project financial statements, the auditor is required to audit all IFRs as the basis for the submission of withdrawal applications to IDA. The auditor should apply such tests and controls and auditing procedures as the auditor considers necessary under the circumstances.

The total withdrawals under the IFR procedures should be part of the overall reconciliation of Bank disbursements described under the paragraph on PFS above.

## **7. Designated Accounts**

In conjunction with the audit of the Project Financial Statement, the auditor is required to review the activities of the Designated Special Accounts and Project Accounts of the Project. The Designated Special Account and Project accounts comprises:

- a. Advance deposits received from IDA.
- b. Replenishments substantiated by withdrawal applications.
- c. Interest that may be earned on the accounts, and which belong to the recipient.
- d. Withdrawals related to project expenditures.

The auditor should pay particular attention as to the compliance with IDA procedures and the balances of the Designated Special Account and Project Accounts at the end of the reporting period. The auditor should examine the eligibility of financial transactions during the period under review and fund balances at the end of such a period, the operation and use of the DA in accordance with the General Conditions, Grant Agreement, and the Disbursement Letter and the adequacy of internal controls for this type of disbursement mechanism.

The auditor should also examine eligibility and correctness of:

- a. Financial transactions during the period under review.
- b. Account balances at the end of such a period.
- c. The operation and use of the Designated Account in accordance with the Grant Agreement.
- d. The adequacy of internal controls for the type of disbursement mechanism.

## **8. Audit Report**

The auditor will issue an audit opinion on the project financial statements (PFS). The annual audit report of the project accounts should include a separate paragraph highlighting key internal control weaknesses and non-compliance with the Grant agreement terms

**OPTIONAL OPINIONS (To be included as appropriate, i.e. based on project FM risk, complexities, governance issues, etc. as identified during the Financial Management Assessment)**

<i>Special Opinion</i>	<i>Possible Rationale</i>
<i>Provision and usage of Counterpart Funds (CF).</i>	<i>Past poor compliance with financing agreement terms relating respect to the provision and usage of CF or abuse of CF in the country or sector <u>or</u>  Inadequate provision or inappropriate usage of Counterpart funds) could affect the successful implementation of the project.</i>
<i>Entities that received funds met eligibility criteria</i>	<i>A component or components of the project involves transferring/releasing of funds to only entities that meet certain eligibility criteria <u>or</u>  Where Aide Memoire, FM supervision, technical audit reports or previous experience in sector points to non-compliance with Financing agreement terms relating to eligibility criteria <u>or</u>  If entities receiving funds do not meet eligibility criteria, project implementation will be impacted adversely</i>
<i>Used of Funds by Communities and Decentralized Entities</i>	<i>Where funds are transferred to communities and decentralized entities under the project, and the assessed risk for this activity is high or substantial.</i>
<i>Use of Funds by NGOs</i>	<i>Where significant amounts of fund are transferred to NGOs and the assessed risk for this activity is high or substantial.</i>
<i>Use of Funds by line Ministries</i>	<i>Where significant amounts of fund are transferred to several line ministries and the assessed risk for this activity is high or substantial.</i>
<i>Delivery of specified/agreed outputs/services</i>	<i>Where a project is designed around a series of verifiable output/service levels to be achieved and disbursements are, at least in part, related to these outputs/services (e.g. a power company that is expected to increase power generation to certain specific levels in each quarter, year or specified date)</i>

## **9. Audit opinion**

The auditor will issue an audit opinion on the financial statements. The auditor's opinion shall be based on an evaluation of the conclusions drawn from the audit evidence obtained and shall be expressed clearly through a written report that also describes the basis for that opinion. The audit report shall be prepared in accordance with International Standard on Auditing 700: Forming an Opinion and Reporting on Financial Statements.

A modified audit opinion shall be rendered in the financial statements when the auditor concludes, on the basis of the audit evidence obtained, that the financial statements as a whole are not free from material misstatement; or the auditor is unable to obtain sufficient appropriate audit evidence to conclude that the financial statements as a whole are free from material misstatement. Modified audit opinions shall be in accordance with International Standard on Auditing 705: Modifications to the Opinion in the Independent Auditor's Report.

The auditor will include emphasis of matter paragraphs or other matter paragraphs in the audit opinion where the auditor, having formed an opinion on the financial statements, seeks to draw users' attention, when in the auditor's judgment it is necessary to do so, by way of clear additional communication in the auditor's report. The paragraphs will refer to either a matter that, although appropriately presented or disclosed in the financial statements, is of such importance that it is fundamental to users'

understanding of the financial statements; or as appropriate, any other matter that is relevant to users' understanding of the audit, the auditor's responsibilities, or the auditor's report. This form of opinion will be presented in accordance with International Standard on Auditing 706: Emphasis of Matter Paragraphs or Other Matter Paragraphs in the Independent Auditor's Report.

#### **10. Other audit reports**

In addition to the audit opinion, the auditor will also, either in the audit report or in the report to management:

- a. provide comments and observations on the accounting records, systems, and controls that were examined during the course of the audit;
- b. identify specific deficiencies and areas of weakness in systems and controls and make recommendation for their improvement;
- c. report on instances of noncompliance with the terms of the financial agreement(s);
- d. quantify and report expenditures that are considered to be ineligible and either paid out of the designated account(s) or claimed from the World Bank;
- e. communicate matters that have come to attention during the audit that might have a significant impact on the implementation of the project;
- f. draw to the borrower's attention any other matters that the auditor considers pertinent; and
- g. responses from management, including implemented and proposed remedial actions.

#### **11. Management Letter**

In addition to the audit report, the auditor will prepare a management letter, in which the auditor will:

- a. give comments and observations on the accounting records, systems and controls that were examined during the course of the audit;
- b. identify the issues that were identified during the last audit and how management resolved them.
- c. identify specific deficiencies and areas of weakness in systems and controls and make recommendation for their improvement;
- d. report on the degree of compliance of each of the financial covenants on the financing agreement and give comments, if any, on internal and external matters affecting such compliance.
- e. communicate any matter that came to the auditor's attention during the audit which might have a significant impact on the implementation of the project;
- f. give comments on the extent to which outstanding issues/qualifications issues have been addressed; and
- g. bring to the recipient's attention any other matters that auditors consider pertinent, including ineligible expenditures.

Ideally, the management letter should also include responses from the implementing agency to the issues highlighted by the auditor.

#### **12. Available Information**

The auditor must have unrestricted access to all legal documents, correspondences, and any other information associated with the project and deemed necessary by the auditor. The auditor will also obtain confirmation of amounts disbursed and outstanding at the World Bank. Available information should include copies of the relevant: project appraisal document; financing agreement; financial management assessment reports; and supervision mission reports.

### **13. General**

The financial statements including management letter should be received by the Accounting Officer for each institution for the audit for the period ending June 30 (covering the period of July 1, through June 30), no later than 30 September.

The financial statements, including the audit report, management letter and management response should be received by the World Bank no later than 6 months after the end of the reporting period to which the audit relates.

The auditor should submit the report to the Accounting Officers of MWE, UWA and NFA rather than to any staff member of the MWE, UWA and NFA. The Accounting Officer should then promptly forward two copies of the audit report and accompanying statements to the World Bank together with the management letter and management response.

### **14. Access to documents**

The auditor shall have access to all project documents, including the Funding Agreement, Disbursement Letter, Project Paper for Additional Financing, PIM, PM, supervision reports, correspondence, and any other information associated with the Project, as deemed necessary by the auditor.

9.22 Appendix 22: GoU Duty Facilitation Allowances

GRAMS: "ESTABS.KLA"  
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IN ANY CORRESPONDENCE ON THIS SUBJECT PLEASE QUOTE: **PMD 80/80/01**



**MINISTRY OF PUBLIC SERVICE**

P.O. Box 7003

KAMPALA, UGANDA

*Bo.*  
*Dennis*  
*spa*  
*24/2/2009*

19<sup>th</sup> December 2008

**CIRCULAR STANDING INSTRUCTION NO.4 OF 2008**

**REVISED RATES OF DUTY FACILITATING ALLOWANCES**

The Service is hereby informed that the rates of duty facilitating allowances have been revised to take into account the cost of living.

The revised rates will take effect from 1<sup>st</sup> January, 2009 and will be accommodated within the available budgetary resources for 2008/2009 Financial Year.

Accounting Officers should take into account the revised rates as they prepare the budgets for FY 2009/2010.

Attached are the revised rates of allowances, which can also be accessed on the Ministry Website at [www.publicservice.go.ug](http://www.publicservice.go.ug).

*hwamafa*  
Jimmy R. Lwamafa  
PERMANENT SECRETARY

Distribution "B"

*ii*  
*Been circulated to all*  
*Dennis*  
*spa*  
*10/2/09*

*Noted and circulated to the relevant offices*  
*26/2/09*

*2009. 20/01*

REVISED RATES OF DUTY FACILITATING ALLOWANCES FOR PUBLIC OFFICERS AND POLITICAL LEADERS

1 NIGHT ALLOWANCE

Night allowance is paid when an Officer stays away for a night or more from his/her duty station on official duty, to cater for meals, accommodation and other incidentals.

1.1 NIGHT ALLOWANCE, WITHIN UGANDA, FOR POLITICAL LEADERS

Category	Existing rate, per night	Revised rate, per night
Vice President	140,000	210,000
Prime Minister	130,000	200,000
Deputy Prime Minister	125,000	195,000
Minister	120,000	190,000
Minister of State	115,000	185,000
Senior Presidential Advisor	110,000	180,000
Asst. Senior Presidential Advisor	100,000	170,000
Presidential Advisor	100,000	170,000
Special Presidential Envoy	100,000	170,000
Special Presidential Assistant	100,000	170,000
Special Presidential Advisor	100,000	170,000
Deputy Special Presidential Assistant	100,000	170,000
Resident District Commissioner	95,000	165,000
Deputy Resident District Commissioner	80,000	150,000

1.2 NIGHT ALLOWANCE WITHIN UGANDA, FOR SPECIFIED OFFICERS

Category	Existing rate, per night	Revised rate, per night
Chief Justice	135,000	195,000
Deputy Chief Justice	130,000	190,000
Principal Judge	125,000	185,000
Justice of Supreme Court	120,000	180,000
Justice of Court of Appeal	115,000	175,000
Judge of High Court	110,000	170,000
Director of Public Prosecutions	110,000	170,000
Auditor General	110,000	170,000
Inspector General of Government	110,000	170,000
Chairperson of Commission	110,000	170,000
Inspector General of Police	110,000	170,000
Deputy Inspector General of Government	100,000	160,000
Deputy Chairperson of Commission	100,000	160,000
Member of Commission	100,000	160,000
Deputy Inspector General of Police	100,000	160,000
Commissioner of Prisons	100,000	160,000
Deputy Commissioner of Prisons	100,000	160,000

1.3 NIGHT ALLOWANCE WITHIN UGANDA, FOR LOCAL GOVERNMENT ELECTED LEADERS

Category	Existing rate, per night	Revised rate, per night
District Chairpersons	100,000	160,000
District Vice Chairpersons	95,000	155,000
District Speakers	95,000	155,000
Members of the District Executive Committee	80,000	140,000
District Deputy Speakers	80,000	140,000
Mayors of Municipalities & Chairpersons of City Divisions	80,000	140,000
Deputy Mayors of Municipalities	80,000	140,000
District and City Councillors	70,000	130,000
Subcounty, Municipal, Town Council & Municipal Division Chairpersons	65,000	125,000
Subcounty, Municipal, Town Council & Municipal Division Councillors	55,000	115,000

1.4 NIGHT ALLOWANCE WITHIN UGANDA, FOR DISTRICT SERVICE COMMISSION MEMBERS

Category	Existing rate, per night	Revised rate, per night
Chairperson	-	180,000
Member	-	150,000

1.5 NIGHT ALLOWANCE WITHIN UGANDA, FOR PUBLIC OFFICERS

Category	Existing rate, per night	Revised rate, per night
Head of Public Service/Secretary to Cabinet	110,000	170,000
Deputy Head of Public Service/Secretary Administrative Reform	105,000	165,000
Permanent Secretary	100,000	160,000
Director General of Health Services	100,000	160,000
Senior Medical Consultant	95,000	150,000
Deputy Secretary to the Treasury	95,000	150,000
Secretary Uganda Land Commission	95,000	150,000
Accountant General	95,000	150,000
Director	95,000	150,000
Chief Administrative Officer	95,000	150,000
Assistant Inspector General of Police	95,000	150,000
Medical Consultant	90,000	140,000
Ambassador / FSO Gr.I	90,000	140,000
Deputy Director	90,000	140,000
Head of Department US1E	90,000	140,000
Other Officers in Scale U1E	80,000	130,000
Officer in Scale U2	75,000	120,000
Officers in Scale U3 & 4	70,000	110,000
Officer in Scale U5	65,000	100,000
Officer in Scale U6	55,000	90,000
Officer in Scale U7	45,000	70,000
Officer in Scale U8	35,000	55,000

1.6 NIGHT ALLOWANCE OUTSIDE UGANDA, FOR POLITICAL LEADERS

Category	Existing rate, per night	Revised rate, per night
Vice President	\$480	\$710
Prime Minister	\$430	\$670
Deputy Prime Minister	\$400	\$650
Minister	\$370	\$620
Ministers of State	\$330	\$580
Senior Presidential Advisor	\$330	\$580
Assistant Senior Presidential Advisor	\$270	\$520
Presidential Advisor	\$270	\$520
Special Presidential Envoy	\$210	\$460
Special Presidential Assistant	\$210	\$460
Deputy Special Presidential Assistant	\$210	\$460
Resident District Commissioner	\$210	\$460
Deputy Resident District Commissioner	\$180	\$430

1.7 NIGHT ALLOWANCE OUTSIDE UGANDA, FOR SPECIFIED OFFICERS

Category	Existing rate, per night	Revised rate, per night
Chief Justice	\$430	\$670
Deputy Chief Justice	\$330	\$570
Principal Judge	\$330	\$570
Justice of Supreme Court	\$330	\$570
Justice of Court of Appeal	\$330	\$570
Judge of High Court	\$270	\$510
Director of Public Prosecutions	\$270	\$510
Auditor General	\$330	\$570
Inspector General of Government	\$330	\$570
Deputy Inspector General of Government	\$270	\$510
Chairperson of Commission	\$330	\$570
Deputy Chairperson of Commission	\$330	\$570
Member of Commission	\$330	\$570
Inspector General of Police	\$270	\$510
Deputy Inspector General of Police	\$270	\$510
Commissioner of Prisons	\$270	\$510
Deputy Commissioner of Prisons	\$270	\$510

1.8 NIGHT ALLOWANCE OUTSIDE UGANDA, FOR LOCAL GOVERNMENT ELECTED LEADERS

Category	Existing rate, per night	Revised rate, per night
District Chairperson	\$260	\$400
District Vice Chairperson	\$210	\$350
District Speaker	\$180	\$320
Member of the District Executive Committee	\$180	\$320
District Deputy Speaker	\$180	\$320
Mayors of Municipalities & Chairpersons of City Divisions	\$180	\$320
Deputy Mayors of Municipalities	\$180	\$320
District and City Councillors	\$180	\$320
Subcounty, Municipal, Town Council & Municipal Division Chairpersons	\$180	\$320
Subcounty, Municipal, Town Council & Municipal Division Councillors	\$180	\$320

1.9 NIGHT ALLOWANCE OUTSIDE UGANDA, FOR DISTRICT SERVICE COMMISSION MEMBERS

Chairperson		\$570
Member		\$510

1.10 NIGHT ALLOWANCE OUTSIDE UGANDA, FOR PUBLIC OFFICERS

Category	Existing rate, per night	Revised rate, per night
Head of Public Service and Secretary to Cabinet	\$330	\$570
Deputy Head of Public Service/Secretary Administrative Reform	\$270	\$510
Permanent Secretary	\$260	\$500
Director General of Health Services	\$260	\$500
Senior Medical Consultant	\$240	\$450
Deputy Secretary to the Treasury	\$240	\$450
Secretary Uganda Land Commission	\$240	\$450
Accountant General	\$240	\$450
Director	\$240	\$450
Chief Administrative Officer	\$240	\$450
Assistant Inspector General of Police	\$240	\$450
Medical Consultant	\$210	\$390
Ambassador / FSO Gr.I	\$210	\$390
Deputy Director	\$210	\$390
Head of Department	\$210	\$390
Other Officers In Scale U1-U11	\$180	\$360

2.3 SAFARI DAY ALLOWANCE WITHIN UGANDA, FOR LOCAL GOVERNMENT ELECTED LEADERS

Category	Existing rate, per day	Revised rate, per day
District Chairperson	12,000	17,000
District Vice Chairperson	8,000	14,000
District Speaker	9,000	14,000
Member of the District Executive Committee	8,000	13,000
District Deputy Speaker	7,000	12,000
Mayors of Municipalities & Chairpersons of City Divisions	10,000	15,000
Deputy Mayors of Municipalities	7,000	12,000
District and City Councillors	6,000	11,000
Subcounty, Municipal, Town Council & Municipal Division Chairpersons	6,000	11,000
Subcounty, Municipal, Town Council & Municipal Division Councillors	6,000	11,000

2.4 SAFARI DAY ALLOWANCE WITHIN UGANDA, FOR MEMBERS OF THE DISTRICT SERVICE COMMISSION

Category	Existing rate, per day	Revised rate, per day
Chairperson	-	17,000
Member	-	16,000

2.5 SAFARI DAY ALLOWANCE WITHIN UGANDA, FOR PUBLIC OFFICERS

Category	Existing rate, per day	Revised rate, per day
Head of Public Service	11,000	17,000
Deputy Head of Public Service / Secretary Administrative Reform	10,000	16,000
Permanent Secretary	9,000	15,000
Director General of Health Services	9,000	15,000
Senior Medical Consultant	8,500	14,500
Deputy Secretary to the Treasury	8,500	14,500
Secretary Uganda Land Commission	8,500	14,500
Accountant General	8,500	14,500
Director	8,500	14,500
Chief Administrative Officer	8,500	14,500
Asst. Inspector General of Police	8,000	14,000
Medical Consultant	8,000	14,000
Ambassador / FSO Gr. I	8,000	14,000
Deputy Director	8,000	14,000
Head of Department	8,000	14,000
Other Officers in Scale U1	7,000	13,000
Officer in Scale U2	6,000	12,000
Officers in Scale U3 & 4	6,000	12,000
Officer in Scale U5	6,000	12,000
Officers in Scale U6 -U8	5,000	11,000

2.6 SAFARI DAY ALLOWANCE OUTSIDE UGANDA

Safari day allowance outside Uganda is paid when an officer travels on duty, for a period of six hours or more in any one day, and returns to the country on the same day. The rate payable is \$ 45 per day.

2.7 SAFARI DAY ALLOWANCE FOR FOREIGN SERVICE OFFICERS

Safari day allowance for Foreign Service Officers is paid to a Foreign Service Officer when he/she travels on duty from the town in which his/her mission is accredited, but without having to spend a night. The rate payable is \$ 45 per day.

3 **TRANSIT ALLOWANCE**

Transit allowance is paid per round trip to cover costs due to waiting for flight connections exceeding six(6) hours. Transit Allowance is payable as follows:-

Region	Existing rate	Revised rate
West Africa	\$140	\$210
North America and West Asia	\$140	\$210
Far East and South America	\$160	\$230
European Union Countries	\$140	\$210

4 **OUT OF POCKET ALLOWANCE**

Out of pocket allowance is paid to cater for incidentals where expenses of meals and accommodation are fully covered by Government or sponsor. The allowance will be paid at the rate of 20% of one's Night allowance per day, within or outside the Country. Out of pocket allowance shall not be paid concurrently with night allowance. Transport expenses in this case shall be catered for administratively in case the the Sponsor or Government is not taking care of them.

5 **LUNCH ALLOWANCE**

Lunch Allowance is paid to an officer who works during lunch time. The allowance shall not be paid concurrently with safari day allowance. The existing rates have been maintained as below:

Category	Existing rate	Current Rate
Officers in Scale U7 and above	3,000	3,000
Officers in Scale U8	2,000	2,000

6 **DINNER ALLOWANCE**

Dinner Allowance is paid to an officer who works during dinner time. The existing rates have been maintained as below:

Category	Existing rate	Current Rate
Officers in Scale U7 and above	3,000	3,000
Officers in Scale U8	2,000	2,000

7 **MOBILE TELEPHONE ALLOWANCE**

Mobile telephone allowance shall be paid to the following categories of Political leaders and all Permanent Secretaries for purposes of effective communication. The cost of the hand set shall be met by the Ministers and Permanent Secretaries.

Category	Existing rate	Revised rate
Rt. Hon. Prime Minister	200,000	250,000
Deputy Prime Minister	170,000	220,000
Ministers	150,000	200,000
Ministers of State	130,000	180,000
Head of Public Service/ Secretary to Cabinet	120,000	170,000
Deputy Head of Public Service/ Secretary for Administrative Reform	120,000	170,000
Permanent Secretaries	100,000	150,000

8 **SITTING ALLOWANCE**

Sitting Allowance is paid under the following circumstances:-

(a) Where a Public Officer is nominated to serve as a member of an interviewing panel of an appointing body, and

Category	Existing rate (per sitting)	Revised rate per sitting
Officers in Scale U1	40,000	50,000
Officers in Scale U2 and below	30,000	50,000

(b) Where a Public or non Public Officer is appointed on a commission of inquiry/review, committee or any adhoc committee set up by Government. The following rates shall apply:

8.1 SITTING ALLOWANCE FOR NON PUBLIC OFFICERS

Category	Existing rate (per sitting)	Revised rate (per sitting)
Chairperson	120,000	160,000
Member/Secretary	100,000	140,000

8.2 SITTING ALLOWANCE FOR PUBLIC OFFICERS

	Existing rate (per sitting)	Revised rate (per sitting)
Chairperson	60,000	100,000
Member/Secretary	50,000	90,000

9 HONORARIA

Honoraria is paid when a Political leader or Public Officer is assigned work, of exceptional importance to the Government; is outside the normal scope of the Officer's duties ; involves disproportionate amount of his or her official and private time; involves temporally additional responsibilities ; requires the direct use of the officer's special talent or professional skill or his or her active participation in the actual work. Honoraria will be paid to a Public Officer on satisfactory completion of the assignment, within the specific time frame as below:

Existing Formula	Revised Formula
Number of days worked x 40% of monthly basic salary	Number of days worked x 60% of monthly basic salary
30	30

10 WARM CLOTHING ALLOWANCE

Warm Clothing Allowance is paid when an officer proceeds for training/duty overseas to temperate and cold climates, it is payable once every period of three consecutive years as below:-

	Existing rate	Revised rate
	\$300	\$465

11 CLIMATIC CLOTHING ALLOWANCE

A climatic clothing allowance is paid to a Foreign Service Officer or Home Service Officer every 3 years. The rate payable has been revised from \$500 to \$700. An additional climatic clothing allowance is paid to Foreign Service Officers and Home Service Officers posted to the missions of Ottawa, Moscow and Copenhagen (Countries with harsh climatic conditions) The rate payable is 30% of the Climatic clothing allowance.

12 CHILDREN ALLOWANCE FOR FOREIGN SERVICE OFFICERS

Children allowance is paid once in every tour of duty of an officer serving outside Uganda, for each child up to a maximum of four children, as indicated below:

Category	Existing rate	Revised rate
1st Child	\$580	\$890
2nd Child	\$532	\$820
3 <sup>rd</sup> child	\$436	\$670
4th Child	\$420	\$650

13 TRAINING ALLOWANCES

i) Presentation of Papers

This allowance is paid for presentation of a well researched paper for seminars, workshops and conferences.

Category	Existing rate per paper	Revised rate per paper
Officers in scale U1E & above	80,000	90,000
Other Officers	50,000	60,000

ii) Part-time Lecturer's Allowance

Category	Existing rate per lecture	Revised rate, per lecture
a) Ordinary Diploma	20,000	30,000
b) Certificate	15,000	20,000

iii) Part Time Examiner's Allowance for setter of examination papers

Category	Existing rate per paper	Revised rate per paper
One hour paper	10,000	15,000
Two hour paper	20,000	30,000
Three hour paper	30,000	45,000

iv) Oral Examination Interview and Oral Trade Test

Category	Existing rate per hour	Existing rate per hour
Diploma	10,000	15,000
Ordinary Certificate	5,000	8,000

v) Invigilation Allowance

Category	Existing rate per paper	Revised rate, per paper
One hour	6,000	9,000
Two hour	12,000	18,000
Three hour	18,000	28,000

vi) External Examiner's allowance

Category	Existing rate	Revised rate
a) Per moderated question paper	20,000	30,000
b) Per panel moderated question paper	15,000	20,000
c) Moderate marked script (Moderating the marking only)	15,000	20,000
d) Panel moderate marked script	5,000	8,000

vii) Part-time markers' allowance

Category	Existing rate per script	Revised rate per script
Formal examination script	5,000	8,000

viii) Book allowance

Public Officers sponsored by Government, will be paid book allowance for books and reading materials which have been specified as mandatory by the training institution. The allowance will take care of scholastic materials and essential books. It is incumbent upon Responsible Officers to take into account affordability when processing payment for book allowance.

ix) Research Allowance

Public Officers sponsored by Government, who must undertake research in partial fulfillment of the requirement of the training, will be paid a research allowance in line with the recommendations of the training institution.

x) Teaching allowance

Medical Officers who teach in Public University Medical Schools will be paid a teaching allowance. This allowance shall be paid from the non wage bill at the following rates:

Category	Revised Rate per month	Revised Rate per month
Senior Consultant	200,158	320,000
Consultant	183,467	280,000
Medical Officer (Special Grade)	140,247	270,000
Medical Officer	140,100	270,000

14 TRANSPORT

14.1 Transport allowance

Transport allowance shall be paid to Public Officers to cover home to office running, using public means. This allowance excludes staff who receive kilometrage allowance and shall not be paid to Public Officers staying in institutional houses located within a radius of 1 kilometer from the institution. The rate payable has been revised from Shs. 35,000 to Shs.45,000 per month.

14.2 Kilometrage

A Public Officer who uses his/her personal vehicle for official duty beyond a radius of 40 km from the duty station, shall claim kilometrage. However, prior authority must be obtained from the Responsible Officer. The following rates shall apply: -

14.1.1 PETROL POWERED VEHICLES ON TARMAC ROADS

Class of vehicle	Existing rate per km (shs)	Revised rate per (shs)
Super Class 2000cc and above	700	1000
Class I (1900-1999cc)	550	850
class II (1600-1899cc)	370	570
class III (1200-1599cc)	320	500
class IV (below 1200cc)	290	450
class V (M/cycles 125cc and above)	270	420
class VI (M/cycles 35cc-125cc)	210	320

14.2.2 PETROL POWERED VEHICLES ON MURRAM ROADS

class of vehicle	Existing rate per km (shs)	Revised rate per (shs)
Super Class (2000cc and above)	840	1,300
Class I (1890 - 1999cc)	660	1,000
Class II (1600 - 1899cc)	440	680
Class III (1200 - 1599cc)	370	570
Class IV (below 1200cc)	350	540
Class V (M/cycles 125cc and above)	320	500
Class VI (M/cycles 35cc - 125cc)	250	390

14.2.3 DIESEL VEHICLES ON TARMAC ROADS

CLASS OF Vehicle	Existing rate per km (shs)	Revised rate per (shs)
Super Class (2000cc and above)	680	1,000
Class I (1990 - 1999cc)	530	820
Class II (1600 - 1899cc)	350	540
Class III (1200 - 1599cc)	290	450
Class IV (Below 1200cc)	260	400

14.2.4 DIESEL POWERED VEHICLES ON MURRAM ROADS

Class of Vehicle	Existing rate per km (shs)	Revised rate per (shs)
Super Class (2000cc and above)	820	1,200
Class I (1900 - 1999cc)	640	990
Class II (1600 - 1899cc)	420	650
Class III (1200 - 1599cc)	350	540
Class IV (Below 1200cc)	320	500

## 9 Appendix 23: ESMF and ESCP processes

### 9.23.1 Appendix 23.1 ESMF Screening Process and Form

#### ADAPTED FROM THE APPROVED ESMF

#### Environmental assessment and screening process

##### Overview

According to the World Bank Environmental and Social Framework<sup>36</sup> for projects involving multiple project activities that are to be identified, prepared, and implemented during the course of the project whose categorization is Substantial Risk, Moderate Risk or Low Risk, the use of National Regulations will be permitted after review by the Bank. Therefore, during project activities implementation, it is expected that the Guidelines for Environment Impact Assessment in Uganda (1997) will be used.

The key regulations for environmental and social assessment in Uganda include; <sup>37</sup>*The National Environment Act, 2019, and the National Environment (Environmental Impact Assessment) Regulations, 1998*. They both define the role of ESIA as a key tool in environmental management, especially in addressing potential environmental and social risks and impacts at the pre-Project stage. The Regulations define the ESIA preparation process, required contents of an ESIA, and the review and approval process including provisions for public review and comment. The regulations are interpreted for developers and practitioners through the *Guidelines for Environmental Impact Assessment in Uganda (1997)*. The steps below shall be incorporated in any future project activities' preparation and approval process.

##### Screening of Projects

These in summary takes the following steps:

##### Step 1: Screening Of Projects

A screening checklist can be found in Annex 1 of the ESMF document. Dedicated staff hosted in the Project Coordination Unit in MWE will provide support to implementing agencies and oversight of environmental and social risk screening across the project.

##### Step 2: Assigning The Appropriate Environmental Assessment Category

The categorization shall be done to all identified project activities and this shall be done upon conclusion of the screening as described in the screening checklist in Annex 1 of ESMF document. Categorization will enable implementing entities (NFA, UWA, Districts) to approve project activities under category 2 and above. ESMP shall be developed for proper implementation of mitigation measures identified.

##### Step 3: Preparation of the ESMP

The entity shall be responsible for the preparation an ESMP. ESMP should contain detailed information on:

Measures to be taken during implementation of certain sub-project in order to eliminate or compensate adverse environmental and social impact or reduce it to an acceptable level;

Actions necessary to implement the said measures.

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<sup>36</sup> The World Bank Environmental and Social Framework. Paragraph 36 page 8.

<sup>37</sup> The National Environment Act, 2019, and the National Environment (Environmental Impact Assessment) Regulations, 1998.

The entity shall be responsible for site-specific ESMPs implementation of which shall be supervised and monitored.

**Step 4: Project approval and Monitoring**

The implementing agency shall be responsible of review and guide on the approval that may be required for the different project activities. For project activities subject to ESMP as a result of limited and site-specific impacts, ESMP shall be approved by PCU. Project activities shall be eligible for financing only after ESMP approval. ESMP approval shall follow public disclosure and completion of public consultations, as described in details in the Chapter 9 of the ESMF document.

The Implementing Unit will include in each project activity financing agreement, the entity's obligation to comply with the requirements specified in the ESMP. The entity will be required to invest all efforts to ensure project activities are implemented in an environmentally and socially acceptable manner.

**Step 5: Review and Approval**

Once the ESIA study is concluded, the MWE will submit three (3) copies of the Environmental Impact Statement (EIS) to NEMA for their review and approval. Once submitted to NEMA, EIS becomes a public document and may be inspected at any reasonable time by any person. Within two (2) weeks from date of receipt of the EIS, NEMA is mandated, if it finds it necessary; to publicize receipt of the EIS, identify the concerned region and stakeholders, the places for inspection of the EIS, and makes copies or summaries of the statement available for public inspection. NEMA also sends copies of the EIS within 14 days from the date on which the EIS was received to relevant agencies and experts for comments. Some of the key agencies in this Project include; MWE, NFA, UWA, MTWA, and MoLGSD amongst others. Public comments and/or objections are submitted to NEMA within 3 weeks of receipt of the EIS. It is therefore, government policy to have the Statement disclosed by NEMA during the review process but the level of disclosure is at the discretion of NEMA.

**NEMA’s Channels For Its Public Disclosure Process**

NEMA sends the EISs to Project lead agencies and for the general public, copies of the EIS are placed in public places such as public libraries, district libraries (where such exist), university libraries mainly Makerere University College of Agriculture and Environment. At district levels, copies of the EIS are placed in the offices of the District Environment Officers where the public can access such documents for review and comment. Furthermore, NEMA places Notice about the ESIA study in main print media papers, in particular in New Vision and the Daily Monitor. The Notice includes amongst others, details of the Project and where its ESIA report can be accessed by the public. In addition, NEMA airs announcements about some of its the Projects through television and radio in both English and local languages (Lutoro, Lunyoro, Lugbra, Madi, and Acholi) in the areas of the Project. All review comments on the ESIA are relayed to the Executive Director NEMA through email or written comments delivered to his office.

**Screening Form**

**1. Project’s Brief Description**

Activity name:	
Activity Location (include map/sketch):	(e.g. WMZ, District, etc.).
Type of activity:	(e.g. new construction, rehabilitation, periodic maintenance)
Estimated Cost: (x)	
Proposed Date of Commencement of Work:	
Feasibility Study, Technical Drawing/Specifications Reviewed:	(circle answer):      Yes              No

This report is to be kept short and concise.

**2. Refer to Project application for this information.**

<b>Physical data:</b>	Yes/No answers and bullet lists preferred except where descriptive detail is essential.
Site area in ha	
Extension of or changes to existing alignment	
Any existing property to transfer to activity	
Any plans for new construction	

**3. Sensitivity of the Project**

Issues	Site Sensitivity			
	Very Low	Low	Medium	High
Natural habitats	No natural habitats present of any kind	No critical natural habitats or other natural habitats	Receptor has a limited capacity to accommodate physical or chemical changes or influences	Critical natural habitats present
Water quality and water resource availability and use	Project activities does not need use of available water resource	Water flows exceed any existing demand; low intensity of water use; potential water use conflicts expected to be low; no potential water quality issues	Medium intensity of water use; multiple water users; water quality issues are important	Intensive water use; multiple water users; potential for conflicts is high; water quality issues are important
Natural hazards vulnerability, floods, soil, stability/ erosion	No known volcanic/seismic/ flood risks	Flat terrain; no potential stability/erosion problems;	Medium slopes; some erosion potential; medium risks from volcanic/seismic/ flood/ hurricanes	Mountainous terrain; steep slopes; unstable soils; high erosion potential; volcanic, seismic or flood risks
Cultural Heritage	No known or suspected cultural heritage (Tangible and intangible).	Suspected cultural heritage sites; known heritage sites in broader area of influence	Known heritage sites in Project area that shall have interaction with the project activities	Known heritage sites in Project area which can be affected by project activities.
Historically underserved/Ethnic minorities and inclusiveness	No indigenous population	presence of indigenous population near the project area	Dispersed and mixed indigenous populations; highly acculturated indigenous populations	Indigenous territories, reserves and/or lands; vulnerable indigenous populations
Stakeholder engagement	The stakeholders are in support of the project and have been well engaged.	Stakeholders are in support of the project but do not have not been well engaged	Some of stakeholders are in agreement with the project while another group is not.	Stakeholders are not well engaged or not in agreement with the proposed project activities

**4. Checklist of environmental and social impacts in various project activities**

Roads and Trails	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Soil erosion or flooding concerns (e.g., due to highly erodible soils or steep gradients)					
Number of stream crossings or disturbances					
Wet season excavation					
Creation of quarry sites or borrow pits					
Significant vegetation removal					
Wildlife habitats or populations disturbed					
Environmentally sensitive areas disturbed					
Cultural or religious heritage ((Tangible and intangible).					
New settlement pressures created / Access protection					
Other (specify):					

Catchment, Forestry, Grasslands Projects	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
New access (road) construction					
Wet season soil disturbance					
Potential for debris flows or landslides					
Sensitive downstream ecosystems					
Removal of native plant/tree species					
Introduced plant/tree species					
Invasion of native species					
Wildlife habitats or populations disturbed					
Environmentally sensitive areas disturbed					
Insufficient capacity to manage catchment ponds					
Insufficient capacity to prohibit or control open grazing					
Insufficient capacity to manage new plantations/pastures					
Use of pesticides					
Other (specify):					

Infrastructure Projects	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
New access (road) construction					
Alteration of existing drainage conditions					
Vegetation removal					
Wet season soil disturbance					
Construction materials impact on adjacent forests/lands					
Quarries and borrow pits created					
Cultural or religious sites disturbed					
Water supply development effects in available supply					

Infrastructure Projects	Potential for Adverse Impacts				
	None	Low	Med	High	Unknown
Effect of sanitation development on existing disposal sites					
In-migration/settlement induced by facilities development					
Local incapacity/inexperience to manage facilities					
Labor influx					
Other (specify):					

<b>Preliminary Environmental Information:</b>	<b>Yes/No answers and bullet lists preferred except where descriptive detail is essential.</b>
State the source of information available at this stage (proponents report, ESIA or other environmental study).	
Has there been litigation or complaints of any environmental nature directed against the proponent or activity	
Refer to application and/or relevant environmental authority for this information.	
<b>Identify type of activities and likely environmental impacts:</b>	<b>Yes/No answers and bullet lists preferred except where descriptive detail is essential.</b>
What are the likely environmental impacts, opportunities, risks and liabilities associated with the sub-project?	
<b>Refer to ESMF– Impact Mitigation, Disclosure and Monitoring Guidelines</b>	
<b>Determine environmental screening category:</b>	<b>Yes/No answers and bullet lists preferred except where descriptive detail is essential.</b>
After compiling the above, determine which category the sub-project falls under based on the environmental categories 1, 2 3 and 4.	
<b>Refer to ESMF– Screening and Review Process</b>	
<b>Mitigation of Potential Pollution:</b>	<b>Yes/No answers and bullet lists preferred except where descriptive detail is essential.</b>
Does the sub-project have the potential to pollute the environment, or contravene any environmental laws and regulations?	
Will the sub-project require pesticide use?	
Does the design adequately detail mitigating measures?	
<b>Refer to ESMF– Impact, Mitigation and Monitoring Guidelines</b>	
If screening identifies environmental issues that require an ESIA or a study, does the proposal include the ESIA or study?	
Indicate the scope and time frame of any outstanding environmental study.	
<b>Required Environmental Monitoring Plan:</b>	
If the screening identifies environmental issues that require long term or intermittent monitoring (effluent, gaseous discharges, water quality, soil quality, air quality, noise etc), does the proposal detail adequate monitoring requirements?	

<b>Refer to ESMF– Impact, Mitigation and Monitoring Guidelines</b>	
<b>Public participation/information requirements:</b>	<b>Yes/No answers and bullet lists preferred except where descriptive detail is essential.</b>
Does the proposal require, under national or local laws and the project Stakeholder Engagement Plan, the public to be informed, consulted or involved?	
Has consultation been completed?	
Indicate the time frame of any outstanding consultation process.	
Refer to relevant legislative acts in Uganda.	
<b>Land and resettlement:</b> Will the project affect access to forest areas and wildlife resources? We need to consider these.	<b>Yes/No answers and bullet lists preferred except where descriptive detail is essential.</b>
Will the sub-project require the acquisition of land? If so, what is the likelihood of land purchase for the sub-project?	If land acquisition required, the activity will not be allowed to proceed.
<b>Refer to the Process Framework</b>	
What is the plot currently being used for? (e.g. agriculture, gardening, etc) List the key resources.	
Labour influx	
List outstanding actions to be cleared before sub-project appraisal.	
<b>Approval/rejection</b>	<b>Yes/No answers and bullet lists preferred except where descriptive detail is essential.</b>
If proposal is rejected for E&S reasons, should the activity be reconsidered, and what additional data would be required for reconsideration?	

<b>Recommendations</b>

Environmental category:

1	2	3	4
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Requires an EIA to be submitted on date:
Requires addressing livelihoods restoration activities in the CFM agreement / CRM MOU
Requires an ESMP to be submitted on date:
Does not require further environmental or social studies and activity can proceed
Reviewer:            Name:    Signature:
Date:

## 9.23.2 Appendix 23.2: ESCP implementation Plan and institutional roles and responsibilities

**ADAPTED FROM THE APPROVED ESCP**

Uganda Investing in Forests and Protected Areas for Climate-Smart Development ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN 30 January, 2020				
<i>Summary of the Material Measures and Actions to Mitigate the Project's Potential Environmental and Social Risks and Impacts</i>		<i>Timeframe</i>	<i>Responsibility / Authority and Resources/Funding Committed</i>	<i>Date of Completion</i>
<b>ESCP Monitoring and Reporting</b>				
	<p><b>REGULAR REPORTING:</b> Prepare and submit regular monitoring reports on the implementation of the ESCP, including but not limited to the implementation of the ESCP, status of preparation and implementation of E&amp;S documents required under the ESCP, stakeholder engagement activities, functioning of the grievance mechanism(s).</p>	Quarterly reporting throughout Project implementation	Ministry of Water and Environment Funding: project	Throughout project implementation
	<p><b>INCIDENTS AND ACCIDENTS NOTIFICATION:</b> In case of occurrence of an incident or accident related or having an impact on the Project which has, or are likely to have, a significant adverse effect on the environment, the affected communities, the public or workers, the MWEMLAE shall:</p> <p>(a) as soon as reasonably practicable, but no later than five (05) calendar days after having been informed of the occurrence of such incident or accident, inform the Association by any electronic means of its nature, or circumstance and any effect or impact resulting or likely to result there from;</p> <p>(b) as soon as reasonably practicable, but no later than twenty (20) days after such incident or accident, provide the Association with a summary report that includes a description of the incident or accident, and the measures, if any, that the Republic of Uganda is taking or plans to take to address it and to prevent any future similar event; and</p>	Promptly after taking notice of the incident or accident and at the latest 5 days after such events. For incidents classified as "serious" and "severe", notify the Association within 24 hours of such incidents occurring.	Ministry of Water and Environment Funding: project	Throughout project implementation

Uganda Investing in Forests and Protected Areas for Climate-Smart Development ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN 30 January, 2020				
Summary of the Material Measures and Actions to Mitigate the Project's Potential Environmental and Social Risks and Impacts		Timeframe	Responsibility / Authority and Resources/Funding Committed	Date of Completion
	(c) keep the Association informed of the on-going implementation of the said measures and plans.			
	<b>CONTRACTORS MONTHLY REPORTS</b> Receive, review and submit to the Association the contractors' monthly monitoring reports	Monthly, within 5 days of receipt of reports from contractors	UWA and NFA through Ministry of Water and Environment (MWE) Funding: project	Throughout project implementation
SUMMARY ASSESSMENT				
ESS 1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS				
1.1	<b>ORGANIZATIONAL STRUCTURE:</b> Establish and maintain an organizational structure with qualified staff and resources to support management of E&S risks throughout Project implementation.  (appointment of at least one E&S focal point at MWE and one E&S focal point in the National Forestry Authority (NFA) and Uganda Wildlife Authority (UWA). These focal points will be responsible for the day to day implementation of ESMF and PF.	Not later than by effectiveness of the financing agreement for the Project	MWE Budget: Project	Throughout project implementation
1.2	<b>ENVIRONMENTAL AND SOCIAL ASSESSMENT:</b> Implement the Environmental and Social Framework (ESMF), the Process Framework and the Vulnerable and Marginalized Groups Framework (ESMF)	Throughout project implementation	MWE Budget: Project	Throughout project implementation
1.3	<b>MANAGEMENT TOOLS AND INSTRUMENTS:</b> Screen any proposed project activity in accordance with the Environmental and Social Management Framework (ESMF) prepared for the Project, and, thereafter, draft, adopt, and implement the Environmental and Social Management Plan (ESMP), as required, in a manner acceptable to the Association.	Before commencement of specific activities	MWE, NFA, and UWA Budget: Project	Throughout project implementation

**Uganda Investing in Forests and Protected Areas for Climate-Smart Development ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN  
30 January, 2020**

<i>Summary of the Material Measures and Actions to Mitigate the Project's Potential Environmental and Social Risks and Impacts</i>		<i>Timeframe</i>	<i>Responsibility / Authority and Resources/Funding Committed</i>	<i>Date of Completion</i>
1.4	<p><b>MANAGEMENT OF CONTRACTORS:</b></p> <p>Develop and implement procedures for managing contractors and subcontractors. Include systematically Environmental and Social provisions in all bidding documents, with an obligation for each contractor to report.</p> <p>Incorporate systematically the contractual obligation to prepare an Environmental Health and Safety (EHS) plan proportionate to the work scoping.</p>	<p>Prior to the preparation of procurement documents. Supervise contractors throughout Project implementation</p>	<p>MWE, NFA, and UWA Budget: Project</p>	<p>Throughout project implementation</p>
<b>ESS 2: LABOUR AND WORKING CONDITIONS</b>				
2.1	<p><b>LABOR MANAGEMENT PROCEDURES:</b></p> <p>Develop labor management procedures.</p> <p>Activities to be implemented by Government agencies/Districts will apply Public Service Standing Orders</p> <p>Workers employed/contracted by NGOs and Private Companies will apply own policies. These policies will be assessed for their consistence and adequacy with the Project Labor Management Procedures and national Labour laws prior to entering implementation contract or agreements.</p> <p>Project Consultants/contracted staff will be managed in accordance with Contract terms and conditions. Contract terms and conditions will be assessed for their compliance with the project labor management procedures.</p> <p>Overall project labor management procedures will be integrated in the Project Implementation Manual</p>	<p>Labor management procedures developed and adopted prior to engaging Project workers and maintained throughout Project implementation</p>	<p>MWE, NFA, UWA Financing: project</p>	<p>Throughout project implementation</p>

**Uganda Investing in Forests and Protected Areas for Climate-Smart Development ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN**  
**30 January, 2020**

	<i>Summary of the Material Measures and Actions to Mitigate the Project's Potential Environmental and Social Risks and Impacts</i>	<i>Timeframe</i>	<i>Responsibility / Authority and Resources/Funding Committed</i>	<i>Date of Completion</i>
2.2	<p><b>GRIEVANCE MECHANISM FOR PROJECT WORKERS:</b></p> <p>Establish, maintain and operate a grievance mechanism for Project workers.</p>	Grievance mechanism operational prior to engaging Project workers and maintained throughout Project implementation	MWE, NFA, UWA Financing: project	Throughout project implementation
2.3	<p><b>OCCUPATIONAL HEALTH AND SAFETY (OHS) MEASURES:</b></p> <p>Prepare, adopt, and implement occupational, health and safety (OHS) measures specified in the ESMP.</p>	OHS Measures operational prior to engaging Project workers and maintained throughout Project implementation	MWE, NFA, UWA Financing: project	Throughout project implementation
<b>ESS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT</b>				
3.1	<p><b>RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT:</b></p> <p>Include in all contractor contracts requirements for proper disposal of all liquid and solid waste (including plastic trash) and construction waste, sanitation management, including management of any associated dust emission, and management of potential pollution of water sources, noise impacts during construction and operation.</p> <p>Include, in each contractor contract, a requirement to restore any newly-created borrow pits as either permanent or seasonal ponds or with contours similar to pre-project conditions.</p>	Prior to signing contractor contracts	NFA, UWA Financing: project	Throughout project implementation
<b>ESS 4: COMMUNITY HEALTH AND SAFETY</b>				
4.1	<p><b>COMMUNITY HEALTH AND SAFETY:</b></p> <p>Implement measures and action to assess and manage specific risks and impacts to the community arising from Project activities, including in relation to labor influx, specific construction risks as defined in the ESMF</p>	<p>General guidelines will be outlined in the ESMF</p> <p>Throughout project implementation</p>	MWE, UWA, NFA Funding: Project	Throughout project implementation

Uganda Investing in Forests and Protected Areas for Climate-Smart Development ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN 30 January, 2020				
Summary of the Material Measures and Actions to Mitigate the Project's Potential Environmental and Social Risks and Impacts		Timeframe	Responsibility / Authority and Resources/Funding Committed	Date of Completion
4.2	<b>GBV AND SEA RISKS:</b> Prepare and Adopt a Gender-Based Violence Action Plan	By effectiveness of the financing agreement for the Project	MWE, NFA and UWA Funding: project	By effectiveness of the financing agreement for the Project
4.3	<b>GBV AND SEA RISKS:</b> Implement measures and actions to assess and manage the risks of gender-based violence (GBV) and sexual exploitation and abuse (SEA) as outlined in the environmental and social management framework including establishing a response mechanism to eventual case i.e. referral to medical, psychosocial support, etc.	Throughout project implementation	MWE, NFA and UWA Funding: project	Throughout project implementation
4.4	<b>SECURITY PERSONNEL:</b> Follow principles of the Good Practice Note on Use of Security Personnel with respect to any enforcement activities being supported under the project.	Throughout project implementation	MWE, NFA and UWA Funding: project	Throughout project implementation
4.5	<b>TRAINING FOR THE COMMUNITY:</b> Conduct activities for the community designed to heighten awareness of risks and to mitigate impacts specified in this section.	Throughout project implementation	MWE, NFA and UWA Funding: project	Throughout project implementation
<b>ESS 5: LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT</b>				
5.1	<b>RESTRICTION OF ACCESS:</b> Implement livelihoods activities in communities that experience restriction of access to protected areas as a result of the project, consistent with the Process Framework  Livelihood Restoration Activities in response to access restriction will be included in Collaborative Forest	Throughout project implementation	MWE, NFA and UWA Funding: project	Throughout project implementation

**Uganda Investing in Forests and Protected Areas for Climate-Smart Development ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN**  
**30 January, 2020**

<i>Summary of the Material Measures and Actions to Mitigate the Project's Potential Environmental and Social Risks and Impacts</i>		<i>Timeframe</i>	<i>Responsibility / Authority and Resources/Funding Committed</i>	<i>Date of Completion</i>
	Management agreements and Collaborative Resource Use Memoranda of Understanding entered into by NFA and UWA respectively with communities adjacent to protected areas. Funding for implementation of these activities already included in project budget.			
5.2	<b>MONITORING AND REPORTING:</b> Ensure that monitoring and reporting on implementation of process framework is conducted as part of regular reporting.	Throughout project implementation	MWE, NFA and UWA Funding: project	Throughout project implementation
<b>ESS 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES</b>				
6.1	<b>BIODIVERSITY RISKS AND IMPACTS:</b> Screen project activities (including civil works) to avoid any significant loss or degradation of natural habitats and to avoid damaging any protected areas or critical habitats, in accordance with the project ESMF.	Throughout project implementation	MWE, NFA and UWA Funding: project	Throughout project implementation
<b>ESS 7: INDIGENOUS PEOPLES/SUB-SAHARAN AFRICAN HISTORICALLY UNDERSERVED TRADITIONAL LOCAL COMMUNITIES</b>				
7.1.	<b>INDIGENOUS PEOPLES PRESENT OR COLLECTIVELY ATTACHED TO PROJECT AREA:</b> Ensure that activities in / around Bwindi Impenetrable National Park, Mgahinga National Park, Semuliki National Park and Echuya Central Forest Reserve which are areas where the Batwa are present and have collective attachment to are undertaken after consultations with the Batwa groups in a culturally appropriate way and recorded in site-specific Vulnerable and Marginalized Groups Plans.	Before initiating activities in four named protected areas	NFA and UWA Funding: project	Throughout project implementation
<b>ESS 8: CULTURAL HERITAGE</b>				

**Uganda Investing in Forests and Protected Areas for Climate-Smart Development ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN  
30 January, 2020**

<i>Summary of the Material Measures and Actions to Mitigate the Project's Potential Environmental and Social Risks and Impacts</i>		<i>Timeframe</i>	<i>Responsibility / Authority and Resources/Funding Committed</i>	<i>Date of Completion</i>
8.1	<b>CHANCE FINDS:</b> Include a chance finds procedure in all contractor contracts	Prior to signing contractor contracts	UWA and NFA Funding: project	Throughout project implementation
8.2	<b>CULTURAL HERITAGE:</b> Ensure that consideration of ESS8 requirements is included in ESMPs if and as required	Prior to approval of ESMPs	UWA and NFA Funding: project	Throughout project implementation

**ESS 9: FINANCIAL INTERMEDIARIES**

Not applicable to the project

**ESS 10: STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE**

10.1	<b>SEP PREPARATION:</b> Prepare, disclose and implement a Stakeholder Engagement Plan ( <i>SEP</i> ) in accordance with the Stakeholder Engagement Framework	Prior to start of implementation of activities	MWE Funding: Project	Prior to start of implementation of activities
10.2	<b>PROJECT GRIEVANCE MECHANISM:</b> Prepare, adopt, maintain and operate a grievance mechanism.	Prior to start of implementation of activities	MWE Funding: Project	Prior to start of implementation of activities

**Capacity Support**

<i>Specify Training to be provided</i>	<i>Specify Targeted Groups and Timeframe for Delivery</i>	<i>Specify Training Completed</i>
Training on World Bank E&S Standards	Staff leading implementation of project supported activities in targets areas – Park Wardens (UWA), senior rangers (UWA), Sector Managers and rangers (NFA), District Forest Officers	
Information on World Bank's Safeguards Incidents Reporting Tool (SIRT) provided	All implementing agencies' staff involved in project activities	

## 9.24 Appendix 24: Labour Management Procedures

### UGANDA INVESTING IN FORESTS AND PROTECTED AREAS FOR CLIMATE SMART DEVELOPMENT PROJECT

#### LABOR MANAGEMENT PROCEDURES

##### A: OVERVIEW OF LABOR USE ON THE PROJECT

- a. **Number of Project Workers:** The total number of workers to be employed on the project is not known, with the exception of the Project Coordination Unit (PCU) staff. There will be different types of workers: (i) direct workers include the PCU staff which are hired under contract to the project for the duration of the project implementation. There will be 5 PCU staff financed under the project; (ii) contracted workers including firms, non-governmental organizations (NGOs) or community based organizations (CBOs) that will be contracted as Technical Service Providers (TSP) (total of 4 or more TSP contracts) and who will use existing staff already on the payroll; (iii) short-term consultants; and (iv) community workers will also be employed under the project.

b. **Characteristics of Project Workers:**

- a. **Direct Project Workers:** The Project will employ consultants and support staff who are working on a contractual basis as part of the Uganda Investing in Forests and Protected Areas for Climate Smart Development PCU, housed in the Ministry of Water and Environment. Terms and conditions of these consultants are guided by the Project Implementation Manual (PIM) in adherence with various national labor legislation.

*Timing of labor requirements:* Direct Project workers are eligible to work on full-time fixed renewable contracts for the duration of the entire project implementation. The duration of contracts will vary by assignment but generally, not less than one year.

- ii. **Contracted Workers:** There are several project activities which will be executed through TSP contracts. These contracts will be advertised and will seek firms, NGOs, CBOs with specific technical expertise. The terms and conditions of these contracts will adhere to the national labor legislations and regulations and be guided by the PIM. The TSP contract model will be used for the following activities: establishment and operation of a performance-based subsidy scheme for commercial timber plantations; establishment of commercial tree nurseries; establishment of beekeeping enterprises; assist women's groups to start business in craft making; agroforestry promotion; woodlot establishment and maintenance; support to establishment of community forests; etc. Terms and conditions of these TSPs are guided by the PIM in adherence with various national labor legislation.

*Timing of labor requirements:* Contracted workers timing and labor requirements will vary by assignment. They will generally be for a minimum of one year and potentially for several years during project implementation, depending on the TSP contract duration.

- iii. **Short Term Consultants:** The Short-Term consultants will be engaged by the Project to undertake several kinds of short period assignments including to provide additional capacity as required for procurement, financial management, supervision etc. In addition, short term consultants will be engaged to provide specific technical expertise or to undertake specialized assessments such as environmental and social impact assessments and evaluations, and to develop strategies and plans for fire management and invasive specific eradication, tourism product development, etc. These are consultants guided by specific contractual agreements between them and the PCU, MWE, Uganda Wildlife

Authority (UWA), or National Forestry Authority (NFA) following the national labor legislation and regulations and guided by the PIM.

*Timing of labor requirements:* Short Term consultants are engaged for a short-term period of not more than six months and the labor requirement including the time schedule and deliverables are stipulated in their respective contracts.

- iv. **Community Workers:** Local communities will be engaged in a number of project activities including the following: raising seedlings, fire management, invasive species eradication, tree planting, enrichment planting, nursery establishment, trench digging and stone wall building. Terms and conditions of community workers are guided by the PIM in adherence with various national labor legislation. Equal employment opportunities will be extended to Community Workers from Vulnerable and Marginalized Groups (Batwa) and refugees.

*Timing of labor requirements:* Community workers will be hired by Implementing Agencies or TSP on a short-term basis throughout project implementation.

- v. **Government civil servants** working in connection with the project, whether full time or part time, will remain subject to the terms and conditions of their existing public sector employment agreement.

## **B: ASSESSMENT OF KEY POTENTIAL LABOR RISKS**

**Project activities:** The project has 3 main components which are implemented primarily in the forest protected areas of the Albertine Rift and on some private and community land. The different activities the project workers will carry-out include the following: Grading and maintenance of tracks and trails, including climate-proofing; boundary planning (including community consultations) and demarcation; construction of fencing and walls to reduce human wildlife conflicts; construction of staff accommodation and ranger posts; development of landscape-level strategies for fire management and eradication of invasive species; training in fire management; establishment and maintenance of fire breaks and procurement of equipment and construction of fire towers for fire detection and suppression; eradication of invasive species; natural regeneration and enrichment planting; community livelihood activities (such as beekeeping and wild mushroom growing); removal of invasive species; forest restoration; construction of visitor centers, visitor gates, tracks, trails, bridges, and board walks; investment in plantation forestry and wood value chains; investments to support processing and utilization of forest products to produce higher value wood products; capacity building to District Local Governments; development of mixed-use agroforestry systems on household plots; support for woodlots on private land; enhanced management and protection of natural forests on customary, leasehold and freehold land; development and promulgation of community forest regulations; purchase fuelwood for refugees; project management activities.

**Key Labor Risks:** The key potential labour risks which may be associated with the project include: accident and injuries, safety and health hazards, child labour, forced labour, labour influx into communities (including refugees and associated impacts), gender-based violence, spread of sexually transmitted diseases, sexual harassment, among others. The project will address these risks by providing safety gears and provision of sanitary and waste disposal facilities at each activity site, regular sensitization of workers and communities on such risks and mitigation measures, development and signing of workers' codes of conducted, etc. Adequate occupational health and safety (OHS) provisions will be included in all civil works contracts.

To avoid the risk of accidents at work places, the site will be planned to have description of all important areas including Emergency Assembly Point; additionally, the site will have Sign Boards located in appropriate places, providing information on precautions and appropriate actions to be taken to avoid accidents, including a mandatory requirement to wear protective gears.

## C: BRIEF OVERVIEW OF LABOR LEGISLATION: TERMS AND CONDITIONS

Various laws, policies, systems, standards and international codes of practice are applicable to the implementation of this project. The Uganda legislation requirements conform to guidance provided in WB Environmental and Social Framework (ESF) and Environmental and Social Standard 2 (ESS 2). Project workers will be provided with information that is clear and understandable regarding their terms and conditions of employment.

Article 31(b) of **Constitution** (1995) guarantees (inter alia) gender equality and labor rights, and equal opportunity in political, economic, and social activities, including through affirmative action. The Constitution guarantees, in its Objective XIV(a), the right of all Ugandans to (inter alia) freedom of association, the right to collective bargaining, and paid vacation (Chapter Four).

### C1: Policies

- a. **National Employment Policy (2011)** provides a framework to promote productive and decent employment and enterprise development, compliance with labor standards by employers, investors and workers, social protection and social dialogue. Social dialogue, affirmative action, promotion of gender equality for all in employment, addressing HIV/AIDS in the workplace, and community participation are crucial guiding principles of the Employment Policy.
- b. **National Child Labor Policy (2006)** provides a framework for addressing child labor and actions that need to be taken to deal with child labor. The policy guides and promotes sustainable action aimed at the progressive elimination of child labor, starting with the worst forms.
- c. **National Gender Policy (2007)** mainstreams gender concerns in the national development process in order to improve the social, legal/civic, political, economic and cultural conditions of the people of Uganda, particularly women.
- d. **National Industrial Policy (2008)** provides strategies for OHS. Labour policies that specifically address Gender and Vulnerability include the 2012 Employment (of Children) Regulations, 2012 Employment (Sexual Harassment) Regulations, National Gender Policy, National Action Plan on Elimination of the Worst Forms of Child Labor in Uganda (2012/13-2016/17), and National Policy on HIV/AIDS and the World of Work (2007).

### C2: Laws

**The Employment Act (2006)** is the main legislation that guides labor practices in Uganda. Terms and conditions provided by this Act include prohibition of child labor, prohibition of forced labor, freedom of association, prohibition of discriminations, employment standards i.e. maximum hours of work, night work standards, right to break during working day, leave and fair terminations including maternity leave, protection of wages, rest and holidays, employment of women, employment of children and care of employees. The above terms and conditions apply to all employees employed by an employer under a contract of service.

- a. The **2012 Regulations of the 2006 Employment Act** prohibit sexual harassment in the workplace.
- b. **Worker's Compensation Act 2000** provides for the compensation of works for injuries suffered and diseases incurred in the course of their employment providing clear guidance on the employers' liability in case of injury during work execution.
- c. **The Labor disputes (arbitration and settlement act) (2006)** also provides for arbitration in labor related grievances and is emphasized during project planning and implementation. The Act seeks to promote social dialogue, facilitate collective bargaining, and modernize

procedures to address unresolved or mismanaged labor disputes that may have adverse effects.

- d. **The 2011 Employment Regulations** deter employers from the casualization of labor by granting contractual/permanent rights to any worker exceeding four (4) months of service.

#### **D: BRIEF OVERVIEW OF LABOR LEGISLATION: OCCUPATIONAL HEALTH AND SAFETY**

**The Occupational Safety and Health Act, 2006** provides for a written statement of policy with respect to the safety and health of employees while at work and duties of both the employer and the employee. Aspects of cautions like display of safety precautions to any person who may be affected in a manner in which the employer conducts his or her undertaking, reasonable control measures etc., are also of interest.

Measures relating to OSH are for protecting workers from injuries, illness or impacts associated with exposure to hazards encountered in the work place or while working. Such OSH measures include awareness raising and guidance on how to prevent accidents at the work place. This aligns with the requirements of ESS2 and National Laws on OSH and work place conditions. Community Workers under the project will be provided with facilities (protective gears) appropriate to the circumstances of their work as advised by Sector Expert.

#### **E: RESPONSIBLE STAFF**

The Ministry of Water and Environment is the Ministry responsible for project accountability, oversight and implementation. There will be a PCU established in the MWE which will take responsibility for general project monitoring. The Project Implementing Agencies are the MWE, UWA and NFA who will directly hire contractors in the form of TSP, short term contractors and community workers. The MWE will hire direct Project workers of the PCU. MWE, UWA, NFA and TSP will be responsible for ensuring that all contracts adhere to the national Labour legislation as well as engaging District Labour Offices in monitoring compliance with Labour Laws. Contractor site/field supervisors will be responsible for daily monitoring of activities to ensure compliance to set legislation and the project Labour Management Procedures; they will be responsible for ensuring that workers are appropriately trained and will serve as a primary contact point for worker's grievances.

#### **F: POLICIES AND PROCEDURES**

**Applicable national legislation that protects workers employed under the project has been identified in section 3 above. In this regards,**

- a. Recruitment procedures will be transparent, public and non-discriminatory, and open with respect to ethnicity, religion, sexuality, disability or gender.
- b. Applications for employment will only be considered if submitted via the official application procedures established by the contractors.
- c. Clear job descriptions will be provided in advance of recruitment and will state the qualifications and skills required for each post.
- d. All workers will have written contracts describing terms and conditions of work and will have the contents explained to them. Workers will sign the employment contract.
- e. Unskilled labor will be preferentially recruited from the surrounding communities.
- f. Workers will be informed at least two months before their expected release date of the coming termination.
- g. The contracted workers will not be required to pay any hiring fees. If any hiring fees are to be incurred, these will be paid by the Employer.
- h. In addition to written documentation, an oral explanation of conditions and terms of employment will be provided to workers who may have difficulty understanding the documentation.
- i. It is noted that language-related problems are not expected, but if they are, interpretation will be provided for workers as necessary.

- j. Normal working time should not exceed 40 hours per week. With a five-day working week, the duration of daily work is determined by the internal work regulations approved by the employer after prior consultation with the representatives of the workers, in compliance with the established working week duration.

## **G: AGE OF EMPLOYMENT**

The project will employ workers 18 years and older. Age of participants will be verified during the employment process using tools like Voters Registration Card (VRC), and National ID. In the circumstances where these documents are not available the Affidavit of Birth will be used.

Awareness raising sessions will be regularly conducted to the communities to sensitize on prohibition and negative impacts of Child and forced Labor as well as procedures for preventing abuse of child Labour. For the Batwa and refugees, separate awareness raising sessions will be organized in a culturally appropriate manner.

If a minor under the minimum labour eligible age is discovered working on the project, measures will be taken to immediately terminate the employment or engagement of the minor in a responsible manner, taking into account the best interest of the minor.

## **H: TERMS AND CONDITIONS**

There are four types of workers in the project: (i) Direct workers and Civil Servants from the PCU and staff at the MWE, UWA and NFA (government authorities) who have contracts that are governed by the various national labor legislations and; (ii) Contract workers; (iii) Short Term Consultants and (iv) Community workers. All workers in the project shall be engaged through negotiated contracts with generally accepted standards and terms and conditions of services applicable to the nature of project activities. The general employment terms and conditions under this project will be further elaborated in the PIM. For community workers hired by UWA and NFA, wages will be paid according to prevailing rates in use by these agencies.

## **I: GRIEVANCE MECHANISM**

Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's Grievance Redress Service (GRS).

The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit <http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service>. For information on how to submit complaints to the World Bank Inspection Panel, please visit [www.inspectionpanel.org](http://www.inspectionpanel.org).

A project-specific gender sensitive **grievance redress mechanism** will be established to respond to any potential complaints and conflicts that may arise during project implementation.

Complaints of direct and contracted workers will be handled in accordance with article 64 of the Employment Act 2006, and the Project Grievances Mechanism. Sensitization sessions will be regularly conducted to the direct, contracted and community workers to sensitize on provisions of article 64 of the Employment Act and Project Grievance Mechanism.

The existing Grievance Redress Mechanism of MWE will be used to receive and handle grievances as provided for in the "The Clients Charter"<sup>38</sup> The Charter states that:

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<sup>38</sup> [https://www.mwe.go.ug/sites/default/files/library/CLIENTS%20CHARTER%202018-2022\\_0.pdf](https://www.mwe.go.ug/sites/default/files/library/CLIENTS%20CHARTER%202018-2022_0.pdf)

*The MWE is committed to providing the best service to its clients in a friendly and courteous manner. The MWE is aware that feedback on their performance and suggestions for improvement can help do better, and these will be taken seriously and dealt with as quickly as possible by an officer of appropriate seniority.*

Feedback back be provided to MWE through the following ways:

Written communication to either:

The Permanent Secretary  
Ministry of Water and Environment  
P. O. Box 20026, Kampala  
Telephone: +256 414 50 59 42  
Email: ps@mwe.go.ug

Or

The Ministry Clients Charter Coordinator / Head of Human Resources in the Ministry on telephone number +256 414 221 179

Or

Hand delivery of feedback to our offices at Plot 22/28, Old Port Bell Road, Luzira, Kampala. Our offices shall be open from 8.00 a.m. to 5.00 p.m, Monday to Friday, except during public holidays

## J: MANAGING COMPLAINTS AND APPEALS

Complaints received by the MWE shall be treated seriously and the following management procedures are guaranteed:

Raising the complaint with the person rendering the service. Through this, MWE clients shall receive responses to the issues raised.

Where the client will not be satisfied with the response provided, the client shall raise the issue with the relevant supervisor

On failure to have a response from the supervisor, an appeal will then be raised to the respective head of departments who shall be able to resolve the complaint within five days

In case the client is not satisfied with the response from the head of department, he or she shall refer the matter to the Permanent Secretary who shall act on it within seven working days from the date of receipt of a written communication on the matter.

## K: CONTRACTOR MANAGEMENT

To ensure sound and time-bound project implementation, the project will employ direct workers, contracted workers, short term consultants through contracts. All employees will be recruited in accordance with the procurement procedures provided in the Project Procurement Manual. However, employment through contracts calls for sound contractor management which shall be realized through proper agreement signing, agreement on key performance indicators and ensuring that worker related aspects of the project are embedded in contracts. Effort shall be made to ensure that all contractors in the project are as per guidance in ESS2.

Implementing Agencies and TSPs will manage and monitor the performance of contractors in relation to contracted workers, focusing on compliance by contractors with their contractual agreements (obligations, representations, and warranties) and labour management procedures. This may include periodic audits, inspections, and/or spot checks of project locations and work sites as well as of labour management records and reports compiled by contractors. Contractors' labour management records and reports that may be reviewed would include: representative samples of employment contracts or arrangements between third parties and contracted workers, records relating to grievances received and their resolution, reports relating to safety inspections, including fatalities and incidents and implementation of corrective actions, records relating to incidents of non-compliance with national law, and records of training provided for contracted workers to explain occupational health and safety risks and preventive measures.

## 9.25 Appendix 25: Reporting Format for Environmental and Social Risks

The following is a recommended outline for the Environmental and Social Monitoring Report to be submitted on a regular basis to the World Bank. It includes a basic table of contents with an explanation recommending what information each chapter should contain. Some tables for some of the environmental and social risk issues are presented as examples, although this is not an exhaustive set of data requirements and table formats. For details of measurements and preparation of monitoring requirements, please refer to each associated annex of the ESMF, the stand-alone SEP document, and other environmental and social risk documentation. The Monitoring Plan to be prepared by Implementing Agencies at the onset of project implementation will also assist in determining what data to collect, its source and frequency for reporting.

### 1. List of Abbreviations and Glossary

This section shall provide a list of:

- abbreviations along with their full terms; and
- Terms with definitions – some of the terms used in Uganda are only known in Uganda and some technical and environmental and social risk terminology can cause confusion if not well defined.

### 2. Table of Contents

### 3. Introduction

This section shall provide a brief statement as to what the document is about and the document linkages to previous monitoring report (i.e. “This is the XX Quarterly Monitoring Report covering [month] to [month] [year]”)

### 4. Environment and Social Management Structure, responsibilities and obligations

As planned for a Project involving Implementing Agencies and Project Steering Committee. This section is designed to provide information on:

- Institutional roles/responsibilities and Obligations
- Personnel structure (organogram) of the Project and any changes to this structure
- Updates to the staffing, including consultants, and any replacements or substitutions
- New Contractors recruited on the Project

### 5. Project Progress

This is most important, providing updates on the status of the Project Components, sub-components and activities. Furthermore, the progress on the implementation of ESCP and the performance / compliance status of the ES requirements set in the ESMF, SEP and all ES instruments should be more focused and included in this ES monitoring report

The following are **sample** data table formats could be adapted to the project use for the Monitoring Report.

Table 9.1: Meetings, Training, Advocacy

Date	Advocacy /Target / Awareness topic	Participant (Female)	Participant (Male)	Participant (TOTAL)
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Table 9.2 Training for PCU and Focal Points for ES in the Implementing partners

Date	Topic of the training	Participant (Female)	Participant (Male)	Participant (TOTAL)

Table 9.3 Preparation & Review Forest Management for community forest

Date	Area	Participant (Female)	Participant (Male)	Participant (TOTAL)

Table 9.4 Community Level events (e.g. CF tree planting)

Date	Area	Participant (Female)	Participant (Male)	Participant (TOTAL)

### Environmental risk management

This section documents the positive environmental management issues and environmentally negative issues as well as monitoring on the ES instruments including this ESMF, site specific plans, SEP and milestones set in the ESCP.

Positive issues (for example, but not limited to) - By design, the project supports sustainable forest development and use. It is expected that forest natural resources will be improved in project target areas. Forest development, particularly improved Protected Areas management, is expected to encourage forest-based flora and fauna propagation.

Negative issues (for example but not limited to) – the ESMF and ESIA have both identified several potential risks, or negative issues, some of which are significant risks, and many are low risks. The types of risks to be mentioned here, for example, are if dust and noise levels (currently very low risk) become an issue in a construction aspect of the Project; or problems of significant logging, despite attempts to curb illegal logging activities in CFs and PAs. This section identifies the negative risks that are either constantly high or are becoming increasingly

a problem, along with suggestions as to how these high significant risks are being (or will be) mitigated.

### Social Risk Management

This section documents the socially positive management issues and negative issues.

For example, (but not limited to), the Labour Management Plan, OHS Strategy, GRM provide instructions on several social issues associated with the Project.

The following templates / format examples include:

Incident Report in case of incidents (refer 3 below)

Personnel numbers and location (local, coming from within Uganda, International) (Table 5)

Age range of personnel of different positions and skilled/unskilled labour (Table 6)

Income data for those employed to ensure that labour is paid salary within with the market rate for salaries in Uganda, within the laws of Uganda and in accordance with skill levels etc; to ensure that females and males are paid equal salary or equal work; and is one indicator of no use of forced labour (Table 7)

Table 9.5 Numbers of Personnel (no. of people)

Contractor	Month of Record	Number of Male (no.)		Number of Female (no.)		International		List Origins of International Personnel
		Local	Other parts of Uganda	Local	Other parts of Uganda	Male	Female	

Table 9.6 Age of Personnel (years old)

Month of Record	Male Age Range (years old)				Female Age Range (years old)			
	Management	Staff	Skilled	Unskilled	Management	Staff	Skilled	Unskilled

Table 9.7 Monthly Average Income Records

Position Type	Salary Range for position Male	Salary Range for position Female	Average hours worked - Male (M) per week	Average hours worked - Female (F) per week	Overtime recorded and paid M/F	Overtime rate M/F	Shifts - from/to

## Health and Safety

This section will report on health and safety compliance in accordance with the Labor Management Plan and OHS Strategy for the IFPA-CD Project as well as Incident reporting (refer to Section 3 above). An example of data summary records of health and safety incidents is presented in table 8.

Table 9.8 Health and Safety Incident Records Summary

SN	Type of Incident	Near miss Yes/No	Number of injuries	Number of Fatalities

## Project Grievance Redress

There are several separate Grievance Redress Mechanisms (GRMs) associated with this Project:

- General Project Complaints and Grievances
- Resettlement /displacement of Economic and Physical nature (Resettlement Policy Framework)
- Labour Grievance Mechanism (Labour Management Procedure)
- Vulnerable and Marginalized Groups (Batwa)

This section will summarize the Grievances on the Project, from the various GRMs and their Grievance registers, as presented in tables below (refer to the Stakeholder Engagement Plan which details the grievance register format), and information on their resolution and those that remain unresolved (refer to tables table 9 to 13).

Table 9.9 Template for Grievance Registers

Grievance Registration #	Date	Name	address	Contact No.	Description of Grievance	Name of person taking the Grievance	Type of Grievance	Directed to whom	Status of resolution	Details of resolution

Table 9.10 Summary of types of Complaints and Grievances

Category of Complaint/Grievance	Number (%)
Repair of utilities	
Environmental damage complaints	
Other	

Table 9.11 Summary status of all grievances received to date (DATE)

Project component / District / PA	Total number of Grievances <b>received</b>	Total number of Grievances <b>related to the project</b>	Total number of Grievances <b>not related to the project</b>	Total number of Grievances <b>remaining undecided if project related or not</b>
<b>Total</b>				

Table 9.12 Summary status of project related grievances to date (DATE)

Project component / District/PA	Total number of Grievances <b>received</b>	Total number of Grievances <b>investigated</b>	Total number of Grievances with <b>required follow up action agreed<sup>1</sup></b>	Total number of Grievances <b>follow up action implemented</b>	Total number of Grievances <b>closed<sup>2</sup></b>	Total number of Grievances <b>still outstanding</b>
<b>Total</b>						

<sup>1</sup> Agreement needs to be reached by involving the concerned parties, including the grievant, grievance committee, grievance investigation team and as required, the PCU.

<sup>2</sup> A grievance is closed once (i) the required actions to solve the grievance are implemented, and (ii) verified, and (iii) the status is reported to the grievant, and (iv) documented, and (v) all steps are recorded and documented in the grievance database. If **any** of these 5 steps are remaining, the grievance is not yet considered closed.

Table 9.13 Number of project related grievances received per year per project component (DATE)

Calendar year	Total number of project related grievances received	PA	District
2021			
2022			
2023			
2024			
2025			
2026			
<b>Total</b>			

**Annex:**

- 1 – Maps of current Project sites
- 2 – Minutes of Consultations (including photographs and other evidence)
- 3 – Permissions (permits) obtained or ongoing during reporting period

**Attachments:**

Attachments 1 – Summary of Key Issues from Contractor' Environmental and Social Monitoring Reports (if any)

Attachments 2 – Specialized Monitoring Reports (e.g. Resettlement Monitoring reports).

## 9.26 Appendix 26: Incident Reporting System

### 1. Criteria for a “Reportable Incident”

The client will promptly report to the Bank (within 24 hours of occurrence or awareness of occurrence of the event) all incidents that meet the following criteria:

- A. The incident was one of the types of reportable incidents listed in Annex A-1, **and**
- B. The incident took place during the **Project execution period, and**
- C. The incident relates to one or more of the Project activities involving the following:
  - i) **It involved contractors and/or their work sites, contractors / community members involved in tree planting, implementation of human wildlife conflict prevention measures, wildlife scouts, community informers, and community patrols or consultant staff** (e.g., incidents in or pertaining to construction sites, whether affecting a contractor staff or a community member; incidents involving or affecting contractors' or consultant's personnel or equipment/machinery, etc.);
  - ii) **It involved government officials and/or authorized officers including range managers, rangers, wardens, forest supervisors, forest patrol men, sector managers, while on duty, implementing the objectives of the project** (from any implementing agencies including PIU members, and staff of MWE, UWA, NFA, or other Project Implementing Partners) (e.g., delivery of goods purchased under the project, incidents while operating equipment, or caused by or impacting seriously on wildlife, or during any altercation while enforcing Park or Forest regulations – cattle seizure, settlement clearance, property removal, apprehension of poachers, etc.);
  - iii) **It involved Project beneficiaries while implementing Project-supported activities** (e.g., accidents while executing livelihood sub-projects, attending Project trainings, implementing any construction or project-financed maintenance, activities driving or transporting materials to and from project sites etc.);

### 2. Notification format

Reports will follow the template provided with as much (or as little) information as is available. Two formats are provided below; one for general incidents and another for GBV incidents. Only one form needs to be filled out, depending on the type of incident. For each incident, an *initial notification form* should be submitted within 24 hours of occurrence or awareness of occurrence of the event, followed by *Information to be provided following investigations* as more information becomes available through further queries / analysis / investigations.

#### Format for general incidents

Initial Notification	
<b>A. Type of incident</b>	Fatality <input type="checkbox"/> Lost Time Injury <input type="checkbox"/> Violence <input type="checkbox"/>
<b>B. Description of incident</b>	<ol style="list-style-type: none"> <li>1. Time and date of incident:</li> <li>2. Please provide coordinates and satellite images for the location of the incident</li> <li>3. Please provide sketch, drawing or photographs of the incident site (as applicable), showing any property, tools, or equipment or machinery involved.</li> <li>4. Age and affiliation of victim(s) (MWE, UWA, NFA, contractor workers, farmers, community members ... etc.):</li> <li>5. What was the involvement of MWE, UWA, NFA?</li> <li>6. Job titles of the personnel involved (MWE, UWA, NFA or contractor) and of the personnel in the vicinity of the incident:</li> </ol>

	<p>7. Number of community members involved in the vicinity of the incident:</p> <p>8. Weapons or other implements used (if any):</p> <p>9. Details of the tools/machinery/equipment involved (if any):</p> <p>10. Any damage to property resulting from the incident? If yes, please describe.</p> <p>11. Environmental conditions (weather, visibility, site, and ground conditions ... etc.):</p> <p>12. Was the incident because of a confrontation? if yes, what was the cause of the confrontation and how long did it last and how did it end?</p> <p>13. Have there been other related incidents prior or after?</p> <p>14. What were the rescue/first aid/medical evacuation and treatment arrangements implemented?</p> <p>15. What activities were being undertaken at the time of the incident by the various stakeholders? - project contractor's workers, community members, MWE, UWA, NFA etc.:</p> <p>16. Were there method statements/SOPs and risk assessments for this type of activity being undertaken prior to the incident?</p> <p>17. What different types of training did MWE, UWA, NFA or contractor workers involved in the incident receive?</p> <p>18. Description of the incident details in chronological sequence</p>
C. Additional information needed for fatalities	<p>19. Immediate cause of death:</p> <p>20. After how long were fatalities discovered?</p> <p>21. Where were the bodies found/discovered?</p> <p>22. When and where were the bodies buried?</p>
Additional information needed for lost time injuries	<p>23. Immediate cause of injury</p> <p>24. After how long were injuries reported?</p> <p>25. Please describe the injuries</p> <p>26. How long did the medical treatment take?</p> <p>27. What is the monetary value of medical treatment? How (by whom) was this cost covered?</p>
Additional information needed for acts of violence	<p>28. Please describe type of violence:</p> <p>29. Was there any damage or loss associated with the violence and what is the value?</p>
Associated violation of the Uganda Wildlife Act 2019/National Forestry and Tree Planting Act 2003	<p>Unauthorised entry into gazetted areas <input type="checkbox"/></p> <p>Illegal extraction of wood <input type="checkbox"/> Poaching of animals <input type="checkbox"/></p> <p>Illegal extraction of other resources <input type="checkbox"/></p> <p>Other (please specify) <input type="checkbox"/> No associated violation of the Act <input type="checkbox"/></p>
Violation location if separate from the incident location	<p>30. Please provide coordinates and satellite image</p> <p>31. Please provide sketch, drawing or photographs of the violation site, showing any property, tools, or equipment or machinery involved.</p>
Additional Information needed for livestock seizure	<p>32. Type and number of livestock taken.</p> <p>33. How many herders were involved?</p> <p>34. Where were the herders coming from? Do they live in/near the park?</p> <p>35. What are the approximate ages of the herder?</p> <p>36. What time of day was the seizure carried out?</p> <p>37. Where and how were the seized livestock being held?</p> <p>38. How many rangers were involved in the seizure?</p>
Additional information needed for equipment/asset seizure	<p>39. What type of equipment/asset was involved?</p> <p>40. What is/are the activity(ies) the seized equipment /asset(s) involved in at the time of the seizure (crop, area ... etc.)?</p> <p>41. Where do the equipment/asset users come from? Do the equipment/asset users live in/near the park?</p> <p>42. What are the ages of the equipment/asset users?</p>

	<p>43. What time of day was the seizure carried out?</p> <p>44. Where and how were the seized equipment/assets being held?</p> <p>45. How many rangers were involved in the seizure?</p>
Additional information needed for poaching	<p>46. What type of vehicles and poaching tools were involved?</p> <p>47. How many poachers were involved?</p> <p>48. Where did the poachers come from? Do the poachers live in/near the park?</p> <p>49. What are the approximate ages of the poachers?</p> <p>50. What time of day did the poaching occur?</p> <p>51. How and where were the vehicles/equipment held?</p> <p>52. How many rangers noticed the violation?</p> <p>53. What was the action taken by the rangers?</p>
<b>Information to be provided following investigations</b>	
<b>D. Measures taken after the incident</b>	<p>54. Was an investigation carried out? If yes by whom and when?</p> <p>55. What were the conclusions of the investigation i.e., the root causes of the incident?</p> <p>56. What were the recommended corrective measures to prevent incident/accident recurrence.</p> <p>57. Were the recommended corrective measures implemented? By whom and when?</p> <p>58. Was there operational review (e.g., operating procedures, personnel training or equipment used) included in the corrective measures?</p> <p>59. Were there similar incidents/near misses reported after implementation of corrective measures?</p>
<b>E. Judicial proceedings</b>	<p>60. Did the incident result in judicial proceedings? If yes in which forum and what is the status?</p> <p>61. If yes, what is the ruling/judgement with respect to personnel (UWA, NFA or contractor workers) or community members involved (whether indicted, acquitted, convicted/sanctioned)?</p>
<b>F. Disciplinary procedures deemed necessary?</b>	<p>62. If yes, please describe.</p>

#### Format for Gender-Based Violence incidents

Date of incident intake by the project/GRM:	Date Reported to PIU:	Date Reported to WBG:
Reported to project/GRM by:	Reported to PIU by:	Reported to WBG by:
Survivor <input type="checkbox"/> Third party <input type="checkbox"/> Other: <input type="checkbox"/>	GRM operator <input type="checkbox"/> Directly, by Survivor <input type="checkbox"/> Directly, by third party <input type="checkbox"/> Other: <input type="checkbox"/>	PIU <input type="checkbox"/> Directly, by Survivor <input type="checkbox"/> Directly, by third party <input type="checkbox"/> Other: <input type="checkbox"/>
<b>Is a record of this incident in GRM?</b> Yes <input type="checkbox"/> No <input type="checkbox"/>		
<b>Provide the following details from the GM record</b>		
Age of survivor (if recorded in GRM):	Have the national legislation or mandatory reporting requirements been followed? Yes <input type="checkbox"/> No <input type="checkbox"/>	

<p>Sex of survivor (if recorded in GRM): Male <input type="checkbox"/> Female <input type="checkbox"/> Other <input type="checkbox"/></p>	<p>Was the survivor referred to service provision? (When a complaint is filed by a third party, or the survivor has not reached out to the project, the project may not be able to confirm this information. In these cases, it may not be advisable for the project GM to attempt to reach the survivor, as this may jeopardize confidentiality, safety, and agency. Projects may attempt to find safe ways to pass information indirectly (such as through broad efforts to inform) about services available. Yes <input type="checkbox"/> No <input type="checkbox"/></p>	
<p>Is the survivor employed by the project (including the mainstream government agencies staff in IAs and UPDF staff used by NFA to support patrol operations) (as indicated by the survivor or complainant and reported in the GRM)? Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>Is the alleged perpetrator employed by the project (as indicated by the survivor or complainant and reported in the GRM)? Yes <input type="checkbox"/> No <input type="checkbox"/></p>	
<p><b>Basis for further action</b></p>		
<p>a. Has the complainant provided informed consent to lodge a formal complaint? Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>c. Has the survivor provided informed consent to be part of an investigation into misconduct? Yes <input type="checkbox"/> No <input type="checkbox"/></p>	
<p>b. Does the employer have a suitable administrative process and capacity in place to investigate misconduct relating to SEA/SH in a survivor-centered way? Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>d. Has the complaint been filed anonymously or through a third party? Yes <input type="checkbox"/> No <input type="checkbox"/></p>	
<p><b>If the answer to any of these questions is “no”, has the GM assessed the risks and benefits of carrying out an investigation into the alleged misconduct, considering the survivor’s safety and wellbeing?</b> Yes <input type="checkbox"/> No <input type="checkbox"/></p>		
<p><b>Will an investigation into misconduct be undertaken in addition to an investigation into adequacy of project systems, processes, or procedures?</b> Yes <input type="checkbox"/> No <input type="checkbox"/></p>		
<p><b>In case an investigation will take place please fill the below after the investigation is concluded</b></p>		
<p><b>Findings of the investigation</b></p>		
<p>Have sanctions against a perpetrator been recommended as part of an investigation into misconduct? Yes <input type="checkbox"/> No <input type="checkbox"/></p>	<p>Has an investigation into adequacy of project systems, processes or procedures been undertaken? Yes <input type="checkbox"/> No <input type="checkbox"/></p>	
<p><b>Corrective actions to be implemented (to be fully described in Corrective Action Plan)</b></p>		
<p><b>Short Description of Action</b> <i>(Examples: Please replace text in italics below with brief description of actions to be taken)</i></p>	<p><b>Responsible Party</b></p>	<p><b>Timeline for completion/Status</b></p>
<p><i>Referral of Survivor to holistic care services</i></p>		

<i>Undertake disciplinary investigation in accordance with GM timelines and confirmed process</i>		
<i>Disciplinary actions, including sanctions, to be applied following misconduct investigation by Employer</i>		
<i>Increased training on Codes of Conduct (CoC)</i>		
<i>Audit implementation of SEA/SH safety mitigation</i>		
<i>Strengthened awareness training on project-related risks, CoC and how to report incidents for project-affected community</i>		
<i>Training for project supervisors on the need to follow guidelines of behavior in CoC and in their supervisory responsibilities</i>		
<i>Plan to improve coverage/quality of service provision</i>		
<i>Any other system strengthening measures or corrections for system failures that are necessary</i>		

### Annex: Incident Types

#### A-1 : Severe Incidents to be reported to the Bank in line with this Incident Reporting System

<b>Environmental</b>	<b>Social</b>	<b>Health &amp; Safety</b>
<p><b>Environmental pollution incident:</b> Exceedances of emission standards to land, water, or air (e.g., from chemicals/toxins) that have persisted for more than 24hrs or have resulted in harm to the environment.</p>	<p>Forced evictions or resettlement of communities without due process or compensation</p> <p><b>Displacement Without Due Process:</b> The permanent or temporary displacement against the will of individuals, families, and/or communities from the homes and/or land which they occupy without the provision of, and access to, appropriate forms of legal and other protection and/or in a manner that does not comply with an approved resettlement action plan.</p>	<p><b>Fatality:</b> Death of a person(s) that occurs within one year of an accident/incident, including from occupational disease/illness (e.g., from exposure to chemicals/toxins).</p> <p><b>Lost Time Injury:</b> Injury or occupational disease/illness (e.g., from exposure to chemicals/toxins) that results in a worker requiring <b>3 or more days off work</b>, or an injury or release of substance (e.g., chemicals/toxins) that results in a member of the community needing medical treatment.</p>

Environmental	Social	Health & Safety
		Permanent disability
Poaching or hunting and trafficking of threatened or endangered species	Abuses of community members (including vulnerable groups e.g., women, children, youth, elderly, disabled/sick, LGBT) by site security forces or other Project workers, including but not limited to GBV	<b>Disease Outbreaks:</b> The occurrence of a disease in excess of normal expectancy of number of cases. Disease may be communicable or may be the result of unknown etiology
Sediment, pesticide, or herbicide runoff causing permanent damage to waterways	Significant damage to nationally protected areas or to UNESCO World Heritage sites	Criminal and political attacks at worksite
Destruction of internationally recognized critical habitat or major impact on endangered wildlife	Human trafficking  <b>Child labor:</b> An incident of child labor occurs when a child under the age of 18 is employed or engaged in connection with a project	Forced labor by Project's Works Contractor
Major river contamination causing decimation of fish population or other aquatic resources	Violent community protests against the Project	Works Contractor is unresponsive regarding ongoing worksite risks of bodily injury
	Significant impacts on Indigenous Peoples' land/natural resources and/or culture and there is no evidence of consultation, broad community support, mitigation of harm and/or culturally appropriate benefit-sharing	Persistent non-compliance and/or inability or unwillingness to remedy non-compliance that could result in bodily injury or harm Murders, kidnappings, manslaughter and assaults, while criminal matters and not safeguards incidents per se, have occurred in Bank Projects and should be treated as severe incidents. These incidents would be referred to local authorities with notification to WB Security
<b>Unexpected impacts on heritage resources:</b> An impact that occurs to a legally protected and/or internationally recognized area of cultural heritage or archaeological value, including world heritage sites or	<b>Acts of Violence/Protest:</b> Any intentional use of physical force, threatened or actual, against oneself, another person, or against a group or community, that either results in or has a high likelihood of resulting in	.

Environmental	Social	Health & Safety
<p>nationally protected areas that was not foreseen or predicted as part of the project design or the environmental or social assessment.</p>	<p>injury, death, psychological harm, deprivation to workers or project beneficiaries, or negatively affects the safe operation of a project worksite.</p>	
<p><b>Unexpected impacts on biodiversity resources:</b> An impact that occurs to a legally protected and/or internationally recognized area of high biodiversity value, to a Critical Habitat, or to a Critically Endangered or Endangered species (as listed in IUCN Red List of threatened species or equivalent national approaches) that was not foreseen or predicted as part of the project design or the environmental and social assessment. This includes poaching or trafficking of Critically Endangered or Endangered species.</p>	<p><b>Forced Labor:</b> An incident of forced labor occurs when any work or service not voluntarily performed is exacted from an individual under threat of force or penalty in connection with a project, including any kind of involuntary or compulsory labor, such as indentured labor, bonded labor, or similar labor-contracting arrangements. This also includes incidents when trafficked persons are employed in connection with a project.</p>	
	<p><b>Sexual Exploitation:</b> Any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. In Bank financed operations/projects, sexual exploitation occurs when access to or benefit from a Bank financed Goods, Works, Non-consulting Services or Consulting Services is used to extract sexual gain.</p> <p><b>Sexual Abuse:</b> Actual or threatened physical intrusion of a sexual nature, whether by force</p>	

Environmental	Social	Health & Safety
	<p>or under unequal or coercive conditions. In Bank financed operations/projects, sexual abuse occurs when a project related worker (contractor staff, subcontractor staff, supervising engineer) uses force or unequal power vis a vis a community member or colleague to perpetrate or threat to perpetrate an unwanted sexual act.</p> <p><b>Sexual Harassment:</b> Any unwelcome sexual advance, request for sexual favor, verbal or physical conduct or gesture of a sexual nature, or any other behavior of a sexual nature that might reasonably be expected or be perceived to cause offence or humiliation to another, when such conduct interferes with work, is made a condition of employment, or creates an intimidating, hostile or offensive work environment. In Bank financed operations/projects, sexual harassment occurs within the context of a subcontractor or contractor and relates to employees of the company experiencing unwelcome sexual advances or requests for sexual favor or acts of a sexual nature that are offensive and humiliating among the same company's employees.</p>	
	<p><b>Violence on the basis of SOGI:</b> The threat or use of physical force that injures or abuses a person, or damages or destroys</p>	

Environmental	Social	Health & Safety
	<p>property, and that is motivated in whole or in part by the victim's real or perceived sexual orientation, gender identity, gender expression, or sex characteristics.</p> <p><b>Discrimination on the basis of SOGI:</b> Discrimination means creating a distinction, exclusion, or restriction which has the purpose or effect of impairing or excluding a person based on their real or perceived sexual orientation, gender identity, gender expression, or sex characteristics from being on an equal basis with others.</p>	

**Other:** Any other incident or accident that may have a significant adverse effect on the environment, the affected communities, the public, or the workers, irrespective of whether harm had occurred on that occasion. Any repeated non-compliance or recurrent minor incidents which suggest systematic failures that need attention.

**A-2: Incidents that do not require reporting to the Bank but should be captured in the quarterly E&S reports and documented in the Aide-Memoires**

**Indicative Incidents**

Environmental	Social	Occupational Health & Safety
Small-volume hydrocarbon or chemical spills	Small-scale crop damage or livestock deaths	Underuse of personal protective equipment (PPE) by Works Contractor
Localized dust, light, or noise pollution	Grievances due to Project use of public roads	Local increase in the occurrence of communicable disease
Illegal hunting of wildlife (non-endangered)	Project interference with locally significant practices or sites	Minor job site injuries
Small volume sediment, pesticide, or fertilizer run-off into local waterways	Vehicle damage to public or private roads caused by Works Contractors	Poor "housekeeping" at site, e.g., littering and random disposal of solid waste
Minor off-site disposal of solid waste from Project	Nuisance-level contact between employees and community	Lack of understandable warning or traffic control signage
Poor quality or delayed site	Minor instances of	Almost empty first aid kit at

<b>Environmental</b>	<b>Social</b>	<b>Occupational Health &amp; Safety</b>
restoration and revegetation	inappropriate behavior of security forces or other Contractor personnel	work site
Poorly functioning erosion-control measures	Overloading of local commercial services from use by Project personnel	Poorly organized or sporadic health & safety induction and training
	Minor impacts on livelihood restoration and/or access to community natural resources	Multiple “slip and trip” hazards throughout the site
	Minor impacts on cultural sites/areas	Lack of Health & Safety plan and/or training for staff
	Minor social conflict related to or affecting the Project	
	Some problems with consultation/outreach about the Project	
	Delays by GRM in handling/addressing grievances	

### Serious Incidents

<b>Environmental</b>	<b>Social</b>	<b>Occupational Health &amp; Safety</b>
Large-volume hydrocarbon or chemical spills, or other hazardous substances impacting the environment	Widespread crop damage or livestock deaths	
Over-exploitation of local natural resources	Cases of mistreatment of communities potentially, including vulnerable groups, by Project workers or security forces, including incidents such as sexual harassment	Instances of serious communicable diseases among workforce
Large-volume or long-term sediment, pesticide, or herbicide runoff into waterways	Significant impacts to protected physical cultural resources	Consistent lack of health & safety plans and training at work site
Medium to large-scale deforestation	Works have commenced without compensation and resettlement being completed	Chronic non-use of PPE at Project work site
Lack of implementation of agreed environmental restoration program	Significant and repeated community impacts from Project vehicles and construction activities	Repeated non-compliance or failure to remedy non-compliance
Disturbance to wildlife habitat, breeding areas or wildlife itself	Lack of clarity about consultations with Indigenous Peoples and	

Environmental	Social	Occupational Health & Safety
	broad community support for the Project	
	GRM not functioning	
	Inadequate consultation and engagement of stakeholders in the Project leading to significant conflict and/or delays	
	Non-violent community protests against the Project, or mild community unrest	