

# Terms of Reference

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

### Component 3: Improved landscape management in refugee-hosting areas

#### Support for establishment of small-scale commercial woodlots

#### CONSULTANCY SERVICES TO SUPPORT 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>1</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 woodfuel 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>2</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> and 19<sup>th</sup> funding rounds. 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

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<sup>1</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 Southwestern Uganda. Washington, DC.

<sup>2</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 customary land. Component 3 will work in 17 districts in western 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, the development of small-scale commercial woodlots will be supported on private and customary land of host communities. The overall objective of the activity 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.

The specific objective is to establish and operate a performance-based subsidy scheme for the establishment of small-scale woodlots,<sup>3</sup> based on criteria and principles described in these Terms of Reference, and in consultation with the MWE and with the approval of the IFPA-CD Project Steering Committee.

## 3. Location and scale

The project aims to support the establishment of woodlots of average size 0.25 ha covering 4 percent of rural households (HHs) in 18 targeted districts, for a total of at least 9,750 ha, as summarized in Table 1.

**Table 1. Target districts, households and areas for woodlot development**

District	Rural population 2020	Average HH size	No. of rural HHs	Target HHs for woodlot development (4%)	Area of woodlots to be established (ha)
Adjumani	198,800	5.4	36,815	1,473	368
Amuru	206,000	5	41,200	1,648	412
Arua	517,700	5.3	97,679	3,907	977
Hoima	367,300	4.5	81,622	3,265	816
Kagadi	363,300	4.6	78,978	3,159	790
Kakumiro	437,000	4.6	95,000	3,800	950
Kamwenge	401,400	4.6	87,261	3,490	873
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
Koboko	258,000	6.8	37,941	1,518	379
Kyegegwa	384,300	4.7	81,766	3,271	818
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
Terego	233,300	5.3	44,019	1,761	440
Yumbe	416,697	7.6	81,053	3,242	811
	<b>5,024,600</b>		<b>975,354</b>	<b>39,014</b>	<b>9,754</b>

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

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

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

[unstats.un.org/unsd/demographic/sources/census/wphc/Uganda/UGA-2016-05-23.pdf](http://unstats.un.org/unsd/demographic/sources/census/wphc/Uganda/UGA-2016-05-23.pdf)

Note: (i) The stated woodlot area targets will be retained, regardless of changes in population changes since project design.

(ii) Consultants are expected to cover all target districts.

(iii) In case of district sub-division, all new districts created from the original 18 districts shall be included.

<sup>3</sup> Payment of subsidy grants will be based on performance of participating tree farmers.

#### 4. Detailed scope and tasks

MWE is seeking a qualified firm to design and implement a package of support for the development of small-scale commercial woodlots in the 18 named districts over the four (4) year IFPA-CD project period. This activity will adopt a performance-based payment system for cost sharing that draws closely on the experiences of Uganda's long-running Sawlog Production Grant Scheme (SPGS), to maximize tree survival rates and commercial returns to landowners, but in this case working with smaller land holdings in areas of more diverse tenure arrangements.

The Consultant will be responsible for designing and managing a subsidy scheme for woodlot establishment (building on good practices and existing procedures<sup>4</sup>), that includes operating procedures, detailed eligibility and performance assessment criteria as well as required aspects of environmental and social compliance. The subsidy will cover only a part of the direct development costs and will only be provided after investment by the beneficiary based on performance.

In rolling out the support system for woodlot development, the Consultant will be responsible for the design and implementation of:

- a strategy for geographic targeting and beneficiary selection for small plantation development that takes into account: market potential for products from small-scale woodlots, latest data on rural population distribution, the merits of higher weighting for areas closer to refugee settlements, synergy and avoidance of duplication with existing forestry initiatives, and elaboration of household (HH) eligibility criteria - such as minimum available landholding, availability of land surplus to that required for meeting subsistence needs, evidence of tenure or occupancy rights, existence of a basic forestry business plan, commitment to up-front contribution of labour inputs, access to sufficient capital for the balance of the investment, agreement to use approved seed(lings), acceptance of terms of performance-based payments and agreement to comply with the environmental and social risk management requirements of the project.
- a demand-driven system for managing expressions of interest from HHs interested and capable of developing small-scale commercial woodlots on their land, according to the defined criteria, and implemented together with DLG technical staff.
- a system for farmers to identify context-appropriate tree species with demonstrated market value and suitability for local agro-ecological conditions and management capacity, such as *Pinus caribaea*, *Pinus patula*, *Pinus oocarpa*, *Terminalia spp*, *Tectona grandis*, *Eucalyptus spp* and *Eucalyptus clones*, *Araucaria cunninghamii*, *Cupressus lusitanica*, *Melia volkensii*, *Gmelina arborea* and *Mahogany*. The selection of species must be determined by the private planters themselves, but the Consultant will be responsible for providing advice on species selection.
- a strategy to source and disseminate quality-certified planting material to farmers on a demand-driven basis, to the extent possible strengthening existing seed and seedling supply chains, rather than establishing new tree nurseries.
- training and extension support to landowners from staff trained and mentored in best practices of commercial forestry, including the development of technical publications, to ensure best practice and maximize quality and survival rates.
- a system to 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.

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<sup>4</sup> For example, from the SPGS and other ongoing plantation support programmes in Africa.

- A system for making recommendations to an Appraisal Committee for payment of performance-based grants to qualifying landowners up to an agreed ceiling,<sup>5</sup> based on tree survival rates of at least 60 percent after 12 months.
- a georeferenced information management system for recording and monitoring woodlot locations, tree planting, survival rates and landowner payments, that is publicly accessible, compatible with the National Forest Monitoring System and the project's internal M&E system, and regularly updated.
- publicity materials for the planting support programme and best practice guidelines based on project experience.

Detailed operating procedures,<sup>6</sup> eligibility principles and performance assessment criteria and principles for the scheme will require the approval of the Project Steering Committee and the World Bank. Such procedures should be risk-based and meet the requirements of nationally accepted certification standards (NFSS).

The Consultant will be expected to coordinate closely with the firm chosen to implement a similar plantation development programme under IFPA-CD Component 2, which will be targeting larger land holdings across a wider area. The Consultant 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 Consultant should ensure that the implications for women and men of any planned action are properly assessed, to ensure that their respective concerns and experiences are an integral dimension of design, implementation, monitoring and evaluation, so that women and men benefit equally and inequality is not perpetuated.

Consultants will need to comply with relevant World Bank Environmental and Social Standards, and supported activities will need to meet requirements of the project-specific environmental and social risk management instruments such as the Environmental and Social Management Framework, Stakeholder Engagement Plan, Labour Management Procedures and the Vulnerable and Marginalized Groups Framework.

## 5. Qualifications of the Firm

Firms should demonstrate that they meet the following minimum standards:

- Experience in managing contracts of comparable value and related scope within the last five years, of which at least one should have been in sub-Saharan Africa;
- Sound working knowledge of the commercial forestry sector in the East Africa region;
- Sufficient organisational, managerial and staffing capacity to operate across multiple districts with a programme of consistent quality;
- Demonstrated capacity for 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, research bodies and decentralized government authorities.
- Demonstrated capacity to deliver high quality, well designed written and visual materials that will require no further editorial work once completed.

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<sup>5</sup> A flat-rate, approximately 50% of the eligible labour costs per unit area.

<sup>6</sup> Procedures may include those regulating use of planting material from certified nurseries.

## 6.2 Expertise required

The staff to be provided by the Consultant shall be sufficient to cover all the phases of the assignment.

The key professional staff shall include the following (these three staff are expected to be full-time (48 man-months over the contract duration) and based in Uganda):

- a) **Project Manager:** Relevant Bachelor's degree with orientation towards natural resources or community development. Postgraduate or other specialized training in project management. At least 10 years' experience in project management roles in environment, natural resources or community forestry. Demonstrated experience in management of multidisciplinary teams. Demonstrated capacity in land use or natural resources management planning. Hands-on experience in project monitoring and evaluation.
- b) **Resource Mapping and GIS Expert:** Bachelor's degree or higher in natural resource management or similar, with at least five years' practical experience in resource mapping and GIS applications.
- c) **Community Engagement Expert:** Relevant Bachelor's degree with bias towards communication, community development, social sciences or related fields. At least 10 years' experience in rural development or extension work, including training and capacity building at community level. Demonstrated experience and capacity to facilitate multi-stakeholder participation and engagement processes in rural areas. Knowing the local languages within the project area e.g.. Runyakitara and Luo will be an added advantage

The Consultant shall provide other support staff, technical and non-technical, deemed necessary for the execution of the services. All experts in the team need to have excellent command of spoken and written English.

## 6. Duration

The implementation period will be 48 months.

## 7. Facilities and information to be provided by the client

The Client (MWE) shall provide or facilitate the Consultant to access relevant information within the Forest Sector Support Department. The MWE will introduce the Consultant to the DLGs and facilitate access to information and other procedures for operating in each district.

## 8. Reporting and supervision

The Consultant will report to the IFPA-CD National Project Coordinator in the Ministry of Water and Environment (MWE) ('the client'), through a 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.

It is the responsibility of the Consultant, as part of an inception phase, to establish a detailed work programme, guided by professional judgment of the assignment's requirements and knowledge of local conditions and needs.

Deliverables and timelines are summarised in Table 2.

Table 2. Deliverables and timelines

Item	Report	Time after contract signing	Content
A.1	Draft Inception Report	3 months	<p>a. Baseline Information on the following aspects:</p> <ul style="list-style-type: none"> <li>• Status and trends in natural resources, land tenure, tree cover and demographics in the target districts.</li> <li>• Household socio-economic data covering HH size, land tenure and land use, livelihoods, incomes, etc.</li> </ul> <p>b. Criteria for selecting target locations and HHs interested and capable of establishing small-scale commercial woodlots.</p> <p>c. Georeferencing system for systematic household mapping, monitoring, evaluation and learning.</p> <p>d. Implementation strategy for achieving farmer participation, collaboration and skills transfer.</p> <p>e. Stakeholder engagement strategy, including strategies for engagement with District Local Governments and their specific roles.</p> <p>f. List of outputs, schedule for their delivery and detailed work plan.</p> <p>g. Gender strategy.</p> <p>h. Monitoring and Evaluation Framework.</p> <p>i. Communication and Outreach Strategy.</p> <p>j. Criteria for Environmental and Social safeguards screening; and integration of appropriate E&amp;S compliance measures including strategy for compliance with occupational health and safety legislation and safe system of works.</p>
A.2	Final Inception Report	4 months	A revised document including a comments matrix indicating how feedback of MWE, DLGs, World Bank and other stakeholders (as determined and convened by the MWE) has been reflected.
A-3	Quarterly reports	6 months after contract signing and 3-monthly thereafter	A geo-referenced database and accompanying narrative of quarterly and cumulative achievements and outputs against targets, including numbers of participating farmers and areas brought under small-scale commercial woodlots, and documentation on trainings conducted and inputs provided.
A-5	Completion report	46 months	Information on how each aspect of the scope of works and tasks of the assignment were undertaken, the outputs and results achieved, along with challenges, lessons learned and recommendations for any similar future programmes. The client will be given 2 weeks for review and approval. The draft Completion Report shall also be reviewed and commented upon by the Project Steering Committee and the World Bank. Changes shall be made by the Consultant and reflected in a final report, with comments matrix.

In addition, the Consultant is required to keep a real-time database (accessible to MWE) of participating landowners, with location data, tree planting records, survival rates, and any performance-based grants received.

The Consultant shall honour any invitation by MWE to attend and or facilitate discussion *fora* convened by MWE regarding this assignment and deliverables, as appropriate.