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**Project Document for nationally implemented projects  
Financed by the Green Climate Fund (GCF)**

<b>Project title:</b> Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda	
<b>Country:</b> Uganda	
<b>Implementing Partner:</b> Ministry of Water and Environment	<b>Management Arrangements:</b> National Implementation Modality (NIM)
<b>UNDAF/Country Programme Outcome:</b> Outcome 3.1. Natural Resource Management and Climate Change Resilience: By end 2020, Natural resources management and energy access are gender responsive, effective, and efficient, reducing emissions, negating the impact of climate-induced disasters and environmental degradation on livelihoods and production systems, and strengthening community resilience.	
<b>UNDP Strategic Plan Output:</b> 1.3: Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented if CO agrees.	
<b>UNDP Social and Environmental Screening Category:</b> Low as per annex 5	<b>UNDP Gender Marker for each project output:</b> <i>GEN 2</i>
<b>Atlas Project ID/Award ID number:</b> 00104372	<b>Atlas Output ID number:</b> 00105972
<b>UNDP-GEF PIMS ID number:</b> 5711	<b>GCF ID number:</b> FP034
<b>Planned start date:</b> September 2017	<b>Planned end date:</b> September 2025
<b>LPAC date:</b> 1 <sup>st</sup> March 2017	
<b>Brief project description:</b>	
<p>The impact of climate change, coupled with other human and environmental stressors, is increasing degradation of wetlands and their associated ecosystem services in Uganda. This is negatively affecting the livelihoods of approximately 4 million people living in and around wetland areas. In fact, over 80% of the people living adjacent to wetland areas in Uganda directly use wetland resources for their household food security needs. Given that wetlands are highly vulnerable to changes in the quantity and quality of their water supply, climate change will most likely substantially alter ecologically important attributes of wetlands and will exacerbate the impacts from human activity. The loss of wetlands could exacerbate the impact of climate change as they provide fundamental services that contribute to mitigation of such impacts. This project seeks to support the Government of Uganda to take climate change issues into account when managing critical wetland areas. Project activities have been developed to specifically respond to and take into account specific climate-related impacts and vulnerabilities of wetland ecosystems.</p> <p>The barriers that prevent Uganda from sustaining resilient wetland ecosystems and associated livelihoods include: 1) limited technical knowledge on the agro-ecological and hydrological systems of the wetlands; 2) insufficient extension services for resilient agriculture and livelihoods, and 3) inadequate climate information and early warning systems.</p> <p>This project will restore wetlands and their eco-system services, based on wise-use principles and guidelines as outlined by the Ramsar Convention on Wetlands, with sustainable land management practices and reforestation, will support resilient agricultural practices and alternative livelihoods for communities living in these areas to reduce the pressures on the wetlands, and finally will strengthen the climate information and early warning systems to support these communities to make climate-resilient decisions.</p>	

The project will target two regions – South Western Uganda and Eastern Uganda with a total population of 3,946,366 people and land area of 13,000 Km<sup>2</sup>. At least 680,000 people in and around the wetlands will directly benefit from this investment. This initiative will improve the lives of some of the most vulnerable people in Uganda, dependent on subsistence agriculture and wetlands for their livelihoods. Improved sustainable management of the wetlands, increased skills for employability and entrepreneurship capacities to start new businesses, and accurate and reliable climate information will have a transformational impact on people’s lives in the targeted areas. Available public financing is limiting Uganda’s ability to implement adaptation measures to restore critical ecosystem services for resilient livelihoods in the country. Consequently, the Government of Uganda, as a Low-Income Economy, and a Least Developed Country, seeks maximum concessionality from the GCF (100% grant resources) to undertake the proposed adaptation investments. The cost-benefit analysis for the project has shown positive returns on the investments. The project is aligned with Government strategies such as the National Adaptation Programme of Action, the National Climate Change Policy. Thorough consultations with a wide array of stakeholders have defined the design of this project and the NDA has issued a letter of no objection.

**FINANCING PLAN**

GCF grant	USD 24,140,160
UNDP TRAC resources	USD 2,000,000
Cash co-financing to be administered by UNDP	0.00
<b>(1) Total Budget administered by UNDP</b>	<b>USD 26,140,160</b>
<b>PARALLEL CO-FINANCING (all other co-financing (cash and in-kind) administered by other entities, non-cash co-financing administered by UNDP)</b>	
Government	USD 18,122,000
<b>(2) Total co-financing</b>	<b>USD 18,122,000</b>
<b>(3) Grand-Total Project Financing (1) + (2)</b>	<b>USD 44,262,160</b>

**SIGNATURES**

<b>Signature:</b>  Hon Matia Kasaija <b>Minister for Finance, Planning and Economic Development</b>	<b>Agreed by Government</b> 	<b>Date/Month/Year:</b>  23 <sup>rd</sup> August 2017
<b>Signature:</b>  Mr. Alfred Okot – Okidi <b>Permanent Secretary, Ministry of Water and Environment</b>	<b>Agreed by Implementing Partner</b> 	<b>Date/Month/Year:</b>  23 August 2017
<b>Signature:</b>  Ms. Rosa Malango <b>Resident Representative, United Nations Development Programme</b>	<b>Agreed by UNDP</b> 	<b>Date/Month/Year:</b>  August 23, 2017

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## II. LIST OF ACRONYMS

BCA	Benefit Cost Analysis
CCA	Community Conservation Areas
CCR DRR	Climate Change Response Disaster Risk Reduction
COBWEB	Community Based Wetlands Conservation Initiatives
EES	Ecosystems Services
ERC	Evaluation Resource Centre
EWS	Early Warning Systems
FFA	Funded Activity Agreement
GCF	Green Climate Fund
GEF	Global Environmental Facility
Ha	Hectares
IRR	Internal Rate of Return
JICA	Japanese International Cooperation
LDCF	Least Developed Country Fund
LGs	Local Government
LPAC	Local Project Appraisal Committee
M&E	Monitoring and Evaluation
MAAIF	Ministry of Agriculture Animal Industry and Fisheries
MGLSD	Ministry of Gender Labour and Social Development
MLHUD	Ministry of Lands Housing and Urban Development
MTWA	Ministry of Tourism Wildlife and Antiquities
MTIC	Ministry of Trade, Industry and Cooperatives
MoU	Memorandum of Understanding
MTR	Mid Term Review
MWE	Ministry of Water and Environment
NBSAP	National Biodiversity Strategic Action Plan
NEMA	National Environment Management Department
NFA	National Forestry Authority
NGOs	Non- Government Organisations
NIM	National Implementation Modality
NPV	Net Present Value
O&M	Operations and Maintenance
OPM	Office of the Prime Minister
PMC	Project Management Cost
POPP	Programme and Operations Policies and Procedures
QA	Quality Assurance
ROAR	Results Oriented Annual Report
RTA	Regional Technical Advisor
SBAA	Standard Basic Assistance Agreement
SCIEWS	Strengthening Climate Information and Early Warning Systems
SECU	Social and Environmental Compliance Unit
TE	Terminal Evaluation
UN CBD	United Nations Convention on Biological Diversity
UNDP	United Nations Development Programme
UNMA	Uganda National Meteorology Authority
UTB	Uganda Tourism Board
UWA	Uganda Wildlife Authority

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### III. DEVELOPMENT CHALLENGE

#### Country situation and development context

Wetlands provide many important functions to the people in Uganda, particularly with regard to food security. According to a recent 2013 study on the value of wetlands in Uganda, several market and non-market benefits were identified: The market benefits include water for domestic use of livestock, support to dry season agriculture, provision of handicrafts, building materials, and food resources such as fish, yams, vegetables, wild game, and medicine. The non-market benefits include flood control, purification of water, and maintenance of the water table, microclimate moderation, and storm protection. Wetlands also serve as habitats for important flora and fauna, have aesthetic and heritage values, and contain stocks of biodiversity of potentially high pharmaceutical value. Over 80% of the people living adjacent to wetland areas in Uganda directly use wetland resources for their household food security needs.”<sup>1</sup> In addition to supporting food and water security, wetlands also support income generation and employment. “Of a total population of 34 million Ugandans, it is estimated that wetlands provide about 320,000 workers with direct employment and provide subsistence employment for over 2.4 million.”<sup>2</sup>

Wetland health and resilience can easily be compromised by climate change impacts. Climate change models for Uganda predict that temperatures will continue to increase, and there will be changes in the seasonal distribution and amount of rainfall, more frequent extreme weather events, and increases in the frequency of heavy rainfalls (see first section of the feasibility study for more specific details and citations, based on an extensive literature review). Increases in temperature and erratic rainfall will result in more frequent and intense floods, droughts and heat waves, which will directly threaten wetlands and livelihoods that rely on its healthy ecosystem services. Hydrologic and drainage maps of the project targeted sites (the Eastern and Southwestern Wetland Basins) indicate that most of the freshwater inflows pass through the wetlands and natural forests. These systems have played an integral role in maintaining the quality of water over the centuries. However, over the last three decades, climate change impacts, as well as other baseline (non-climate) issues such as excessive sedimentation and non-native species invasions, have resulted in substantial water quality deterioration. Already, changes to current and historical rainfall patterns have led to changes in the hydrological regime, leading to significant changes in water availability for key areas such as domestic use, watering livestock, and irrigation for agriculture.

As a result, the water table in both eastern and southwestern Wetlands Basin have experienced and are expected to experience more frequent and sudden drops. Livelihood activities (such as overexploitation of fish and agricultural lands, poaching, and extraction of reeds) in the catchment are already proving unsustainable for the wetland areas. These human stressors are resulting in direct effects and changes in the wetlands that are impeding its ability to provide critical services. For example, in Kabale District, one of the proposed project target areas in Southwestern Uganda, about 58% of wetlands have been drained to establish more arable land for agriculture and other livelihood opportunities (dairy farming, tree growing and fish farming). These communities are searching for this land, since soils along the hillsides are becoming increasingly infertile due to temperature increases and other climatic changes.<sup>3</sup> As a result, the wetland ecosystems have lost their capacity to retain nutrients and store and filter water. This impacts water access for surrounding communities which are dependent on water from wells constructed near the wetlands. In addition, the ability of these wetland ecosystems to adapt to climate change and variability impacts are also grossly compromised, such a flood control, water storage and filtration, and maintaining the microclimate.

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<sup>1</sup> Kakuru, Willy, Nelson Turyahabwe, and Johnny Mugisha, *Total Economic Value of Wetlands Products and Services in Uganda*, The Scientific World Journal, Volume 2013 (2013).

<sup>2</sup> Second National Communication, Uganda (2014)

<sup>3</sup> Barakagira, Alex, and Eliezer Kateyo, “Impacts of Wetland Drainage on Domestic Water Supplies and People’s Livelihoods in Kabale district, Uganda,” [http://dlc.dlib.indiana.edu/dlc/bitstream/handle/10535/1556/Barakagira\\_109901.pdf?sequence=1&isAllowed=y](http://dlc.dlib.indiana.edu/dlc/bitstream/handle/10535/1556/Barakagira_109901.pdf?sequence=1&isAllowed=y)

## Barrier analysis

The three critical barriers that the proposed project will overcome are presented below:

1. ***The exact vulnerability of key agro-ecological and hydrological systems of the wetlands is only partially known and not adequately addressed by the various development interventions in the project zone.*** To-date, there is limited engagement with local communities and resource managers in problem identification and solution finding related to improved wetlands ecosystem management for building climate resilience. Awareness of the composite impacts that poor land and resource management have on local livelihoods is insufficient for actions at scale to take place. Weak natural resource governance and control systems, poor understanding of incentive systems, and limited innovations in establishing and utilizing such eco-systems, is prevalent. Understanding of climate change risks and impacts on natural and social assets is also weak. Complicated social systems is also a constraint, including traditional communities that do not fully integrate culturally appropriate engendered approaches, i.e. targeted women's empowerment, and being cognizant of the dynamics of (seasonal) migration on household composition and available work force.
2. The extent to which smallholders receive ***impactful agricultural advice from extension workers*** affects the extent to which new techniques and adaptation practices are understood and adopted. Capacity constraints of national and sub-national institutions dedicated to extension support translates to an inability to use their planning and support mechanisms and consequently their investment plans, as a guiding tool for driving planned adaptation. The inability to set vulnerability reduction targets on the basis of needs and available (and reliable) funding, to identify adaptive investment actions, and source technical expertise and financial means to implement the plan is also a constraint. Agricultural extension officers and NGOs that are providing agricultural assistance are not only limited in number, but also lack experience and technical skills in providing climate resilient farming techniques. Technical capacity constraints for climate-resilient water infrastructure design and livelihood support. For example, the design standards employed by Agricultural Department Authority officials responsible for designing and constructing rural irrigation work currently do not take into account changes in timing and intensity of rainfall and additional run-off, as well as extreme events such as floods and droughts. Furthermore, limited access to markets restricts farmers' ability to sell goods and to source agricultural inputs such as fertilizers, equipment and extension advice. Information on current market prices is also rarely available, and post-harvest losses are high.
3. ***Limited climate risk information hampers decision makers' ability to make informed policy changes.*** At the farmer-level there is lack of planning tools for the planting and harvesting season. At the national level, strategic decisions on agricultural planning over the medium term are prevented by a lack of national-level long-term projected changes in climatic parameters. Although there is a nascent early warning system (EWS) in place in Uganda, there are a number of key weaknesses, namely: i) a lack of agro-meteorological stations; ii) inadequately equipped forecasting institutions with limited capacity; iii) inadequate communication to stakeholders (such as water managers, extension officers, other agricultural/ hydrological stakeholders) and, in particular, farmers (including packaging the information in a format that is not easily understood or accessible); iv) insufficient institutional processes in place to ensure effective distribution of information due to ineffective links between the UNMA and the District authorities; and v) limited capacity to cater for effective adaptation support at all levels (national, district, and local community).

## Baseline scenario

To address these challenges, several projects have been implemented in recent years to pilot different approaches for improving sustainable wetland management in the face of the pressures outlined above. Specifically, the Extending Wetland Protected Areas through Community Conservation Initiatives (COBWEB) project clearly demonstrated how to use a given livelihood issue like poverty or water scarcity as an entry point to promote sustainable wetland use and management. Its primary focus was to showcase the direct link between wetland conservation and livelihoods. The approaches focused on the livelihood needs of communities, and worked with them to demonstrate this value. This led to an interest in further engagement of communities and to guard and manage wetland resources not only in the wetland regions but also in the immediate catchment that was under pressure. The project established local committees and groups to manage the Community Conservation Areas (CCA) through implementation of the plans, which provides a valuable model for participatory management to be scaled up and replicated in other districts and communities.

However, the terminal evaluation of the COBWEB project identified a barrier to this replication, namely that there was no link to the private sector and/or development of micro-businesses in these plans, with no economic incentives incorporated. For example, the terminal evaluation recommends that community members should be trained in various agro-based, livestock or fisheries products to establish small businesses. Further, it recognized the lack of guidelines available for communities on undertaking specific management measures, which would help to replicate and scale up different interventions.

Responding to this challenge to replication and scaling up of successful community-based sustainable management practices, this project will focus on supporting communities dependent on the wetlands in these targeted areas to introduce new livelihood practices and business opportunities that would use wetland resources sustainably. Alternative livelihood options will also be introduced to help reduce pressures off the wetlands, and minimize encroachment and draining. Underpinning the ability to sustainably manage these targeted wetland areas is the need for reliable and timely climate-related information to identify climate risks and make informed livelihood decisions. This is also essential in terms of early warning for potential extreme events, such as floods, which as described above will become increasingly common due to the impacts of climate change.

The project will build on this context of country commitments and ownership, strong multi-stakeholder engagement, cross cutting sectoral synergies, existing community platforms, key baseline resource assessments, and other information captured in the pre-feasibility assessment, to strengthen the on-going and new activities that demonstrate sustainable wetland management and resilient livelihoods in the context of climate change impacts.

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## **IV. STRATEGY**

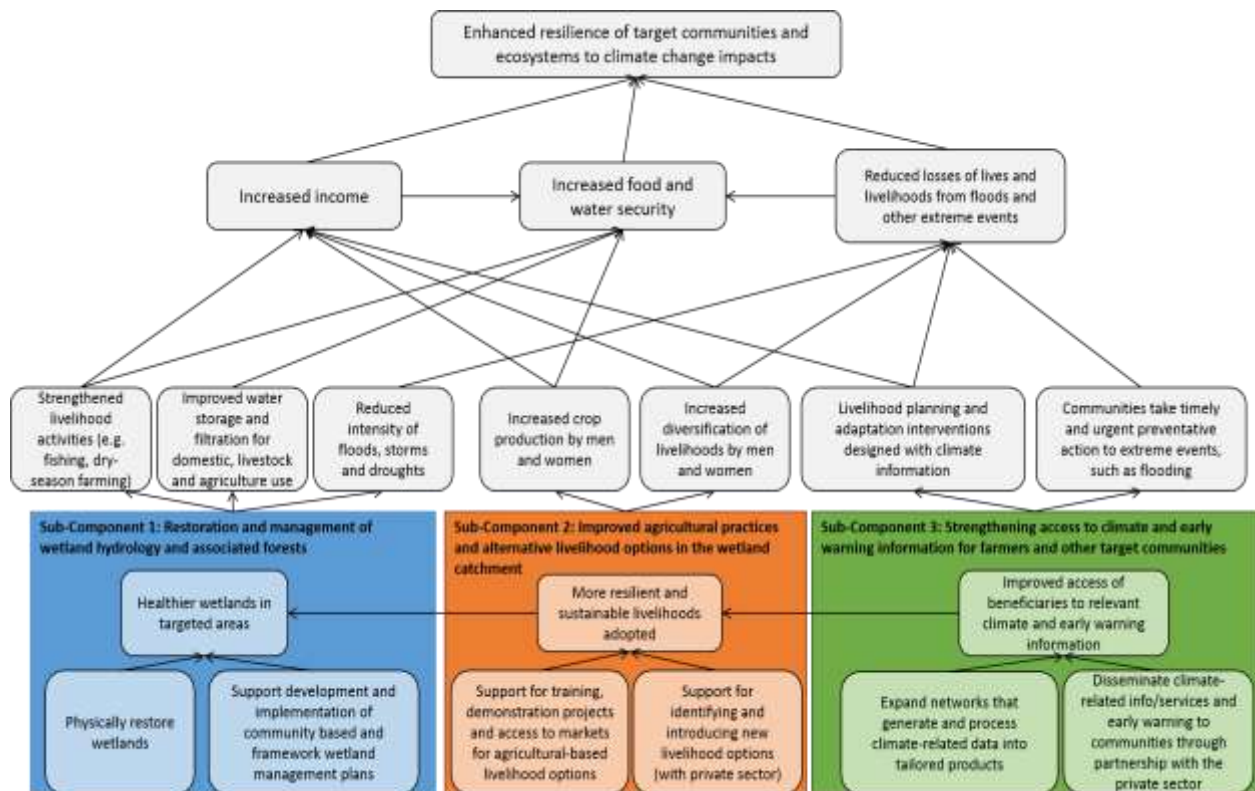
Work conducted under the feasibility study for this project was aimed at complementing information and validating the underlying assumptions of the Project Concept, as well as engagement with counterparts. Based on the findings of the feasibility study some adjustments were made to respond to the changes in Project context and the needs identified, as summarized in the following paragraphs.

The project proposes to address these issues by

1. Improving the ecosystem services of the wetlands and their associated catchments through reforestation and restoration activities, including water harvesting and aquifer recharge. Restored and reforested wetlands and their catchment will improve the capacity of the ecosystem to regulate extreme weather such as floods and drought, by reducing the impacts of flash floods thanks to absorbing the excess water better. The proposed interventions will also reduce the effects of droughts and desiccation by improving the retention of water in the wetlands and its catchment area, and by recharging ground water. A restored and improved ecosystem is insufficient on its own to address the impacts of climate change on the people living and dependent on the wetlands for their livelihoods. Therefore, the project aims at implementing crop diversification, conservation agriculture techniques, and train farmers in best practices for climate resilient farming. Improvement of value chains, local transformation of agricultural produce, and agri-based income generating activities (e.g. goat rearing, raising chickens, bee keeping, etc) will be promoted.
2. In addition, diversification of income sources through alternative livelihoods in the form of employment and entrepreneurship training will help the vulnerable target population to not entirely rely on agriculture for their livelihood and food security. In order to ensure sustainability, women self-help groups will be set up or strengthened, and access to existing public or private microfinance and revolving funds will be strengthened. Finally, all of these climate change adaptation activities will require more reliable climate information. Without improved weather forecasting adapting to climate change is not possible. The LDCF project is setting the foundation for the improvement of the capacity of the Uganda National Meteorology Authority by increasing the weather and climate observational network, developing tailored products and initiating private sector engagement. This GCF initiative will build on such and complement those efforts, by supporting the development of flood, drought and extreme weather forecasts for the wetlands specifically. Hydromet advisories will be developed and tailored to the needs of the people living in and around the wetlands, as well as the wetland management department in the Ministry of Water and Environment.

## Theory of Change

The project is designed to systematically address the relevant barriers previously identified in the previous section. The Theory of Change describes the barriers to a functioning market as well as how the interventions undertaken by the project will remove those barriers. This is a single project with one objective - to restore and sustainably manage wetlands and support target communities in wetland areas of Uganda to reduce the risks of climate change posed to agricultural-based livelihoods. The Theory of Change articulated above illustrates the contribution each of the three output areas will have on the long-term outcome and impact of this project.



Under output 1, project activities will focus on strengthening the resilience of the wetland areas climate change impacts to maximize their ecosystem benefits. This will include physically restoring wetlands, and putting in place wetland management plans that ensure sustainable and resilient management of these ecosystems. The resulting output of these two activities is healthier wetlands in the targeted areas which will be more resilient to impending climate risks, and also lead to several short-term outcomes. These outcomes relate to the specific services a restored a sustainably managed wetland ecosystem can provide in strengthening the climate resilience of the surrounding communities: strengthened livelihood activities, such as fishing and dry-season farming, water storage and filtration for use by households, livestock and irrigation or agriculture, and protection against floods, storms and droughts. Strengthened livelihoods will contribute to increasing sources of income (and thus increased income generation) and diversification such that income is not susceptible to degrading wetlands and climatic changes. Strengthened livelihoods, as well as improved water storage and filtration, will also contribute to increased food and water security, since surplus agricultural production, water access and income will be available to secure food and water. Reduced intensity of natural disasters, resulting from healthier wetlands to protect against floods, storms and droughts, will lead to reduced losses of lives and livelihoods from these extreme events. Replicating or scaling up the activities under this output area both within these target areas and to other wetlands, will further improve the health of these or other wetlands, which will further multiply the potential short-term outcomes a healthy and sustainably managed wetland can provide.



Under output or sub-component 2, project activities will contribute to both strengthen existing agricultural livelihoods by introducing climate-resilient practices, as well as introduce new opportunities for livelihoods that use sustainably managed wetlands. Climate-resilient agricultural practices will be defined and introduced based on communities' needs, and will include smart agriculture, conservation agriculture, and crop diversification (e.g. planting drought tolerant crops, early maturing crops, adopting multiple cropping techniques to spread risks). Similarly, new livelihood opportunities will be introduced which do not further degrade wetland ecosystems, such as eco-tourism, aquaculture, and dairy products. With new livelihood options, not only will wetland degradation be reduced, but diversification will strengthen resilience of communities (since they will not be so dependent on one livelihood which may be susceptible to changing and uncertain climate conditions). With economically viable and sustainable agri-based livelihoods and more diversified income generation, the output of these activities will be more resilient and sustainable livelihoods adopted. This output also contributes to enhancing the health of the wetlands, (output 1), through reducing livelihood pressures which are exacerbated by climate change. Leading from this result, several short-term outcomes emerge, namely: increase crop production (in the case of resilient agricultural practices) and diversification of livelihoods – both in the context of a changing climate. Scaling up and replicating agri-based activities within the targeted wetland will be done by setting up farmer-to-farmer exchanges and training of trainers. The project will also support agricultural cooperatives to further strengthen organization of farmers and access to a range of necessary rural facilities, including those relating to input and output marketing, and financial services. This sub-component, therefore, has potential to multiply resilient and sustainable livelihoods within and beyond these target wetland areas.

Finally, output or sub-component 3 focuses on strengthening access to climate and early warning information for farmers and other target communities in order to take preventative action against climate-induced extreme events, and strengthen livelihood planning in the face of climate change. The activities under this output focus on expanding networks for generating and processing information that is relevant and tailored to the needs at the local level planning, as well as strengthening dissemination channels to ensure this information reaches the local users (e.g. farmers). These two activity areas will lead to improved access of beneficiaries to relevant climate and early warning information. As a result, beneficiaries will be able to integrate this information into livelihood planning and adaptation interventions, which would increase their resilience – thus also contributing to activities under sub-component 2 and the outcome of increased income. In addition, information particularly on early warning of extreme weather events, would allow communities to take timely and urgent preventative action to these events, such as flooding, and subsequently reduce losses from these events. Putting in place the right systems and testing out the best technologies will provide a model for scaling up in other districts and regions of the country. Through engagement with the private sector, and setting up the necessary enabling environment and incentive structures to engage the private sector, the project will also pave the way for a much greater scale up and replication. Multiplicative impacts in this output area, such that even more beneficiaries have access to relevant climate and early warning information, therefore can also be attained building on the activities proposed in this project. Overall, therefore, this proposed project has the potential for a real paradigm shift by bringing successful activities to the scale required for transformational and significant impact that the previous pilot projects could not achieve.

The three outputs are interrelated by addressing the identified barriers and climate related drivers of wetlands degradation. The first output aims at restoring and strengthening the resilience of the physical attributes of the target wetlands by improving reforestation, water flow and storage and indigenous species. This restoration effort will only be effective in addressing climate vulnerabilities if the people living in and around the wetlands have alternative and resilient livelihoods that do not rely on the wetlands and further exacerbate their degradation. Thus, output 2 will provide this alternative by delivering high quality training to improve the skills of the beneficiaries for employment and help subsistence farmers adapt and strengthen resilience of their agricultural practices (including crop diversification) in the face of climatic changes, and improve additional skills for alternative employment to buffer against climate-related shocks. Output 3 will provide reliable and accurate climate information and early warning to improve the resilient management of the wetland and to ensure that beneficiaries have the necessary information that is crucial for resilient farming practices and for reducing risks posed by extreme climate induced weather events.

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## V. RESULTS AND PARTNERSHIPS

### i. Expected Results:

The main goal of this project is to restore and sustainably manage wetlands and support target communities in wetland areas of Uganda to reduce the risks of climate change posed to agricultural-based livelihoods. This directly addresses the critical challenge outlined in the baseline scenario: *climate change will further exacerbate increasingly degraded wetlands in Uganda, which provide valuable ecosystem services for local livelihoods, particularly for those dependent on the wetlands for water availability and agricultural production.* As such, the approach taken by this proposed project will be three-fold.

First, it will address the specific vulnerabilities of the wetland areas themselves, through sustainable management practices and restoration activities that take into account expected climate change risks. It is anticipated that the restored wetlands will also enhance communities' climate change adaptation and resilience, by reducing risk to flooding and drought associated with changing climatic conditions. GCF resources will be used to restore degraded wetland ecosystems whose critical regulatory ecosystem services have either been lost completely or are under immense threat, posing a problem not only to the ecological character of the wetlands, but also to their continued provision of benefits to current and future generations (this is in line with the National Climate Change Policy of Uganda). The Government of Uganda has committed funds under this project to support monitoring of wetland areas – through boundary demarcation, strengthening the wetland information systems, and undertaking economic valuation of the wetland areas. The Government will also support communities to prepare wetland management plans, as well as build capacity at central and local levels within the government to support their implementation. GCF funds will further scale up sustainable wetland management practices and strategies that have been tried and tested in previous projects and through government support. It will focus on two regions, namely eastern and southwestern Uganda (see map in the Annex 7). Specifically, this will include support for improving and increasing water storage and retention facilities, rehabilitating degrading catchment areas, restoring different wetland areas and associated forests which can support reducing impacts of floods and drought, and strengthening wetland management practices overall.

Second, through the proposed project, GCF resources will be used to strengthen agricultural practices and identify alternative livelihood options for those living in the wetland catchment areas. These efforts will ensure that livelihoods are more resilient in the face of climate impacts, through introducing climate-smart interventions, technologies and land use practices relevant for the wetland and immediate area. At the same time, project resources will be used to introduce new livelihood options and market-based activities, (e.g. by training on business and entrepreneurial skills, accessing new markets and employability, and introducing micro-credit schemes). In order to avoid failed attempts in this field, a systematic approach of screening the market for gaps and employment opportunities will be done prior to delivering extensive training. Training and business providers will have a placement target of 80% of trainees to help ensure that training leads to employment. These interventions will have transformative impacts such as changing the agricultural practices of subsistence farmers living in and around the wetlands from a single crop to a more diversified agriculture that is more resilient to climate change and transforming the local markets by building a variety of skill sets and entrepreneurship capacity for beneficiaries employability; changes that Uganda has not yet been able to accomplish. This will allow beneficiaries to become less dependent on wetland areas, thus taking the pressure off from these ecosystems.

Finally, underpinning both of these expected results, the project will help strengthen the generation, analysis and dissemination of relevant climate information and early warning systems for the targeted wetland areas. Access to information on climate variability and extreme events will help to enhance livelihood decision-making, for both resilient agriculture-based livelihood practices and alternative livelihoods. It will also strengthen risk reduction, which can help reduce direct impact of floods and droughts on wetland areas which threaten further degradation.

These three expected results are inter-related and integrated. Without each of these results realized, the overall project objective cannot be achieved.

## **Output 1: Restoration and management of wetland hydrology and associated forests**

Under this sub-component, at least 2,000 km<sup>2</sup> of degraded wetlands and its associated catchment will be restored and the lives of 500,000 people will be improved in selected districts of Eastern and South Western Uganda. The overall aim of the intervention is to restore the ecological and hydrological integrity of the wetland and support the development and implementation of a community-based framework for wetland management plans. This will help support climate risk management and resilient livelihoods through enhanced ecosystems services in the area.

The Government of Uganda has established a Wetlands Management Department (WMD) under the Ministry of Water and Environment (MWE). This Department is responsible for managing wetland resources, undertaking activities to build capacity of local governments to assess wetland resources, plan and implement activities for their sustainable management. In addition, they have also undertaken a series of data collection exercises to develop District Wetland Inventory Reports (DWIRs) which outline existing wetland resources, their values, threats and possible management options. However, while the WMD has done and will continue to do significant work to maintain wetlands and avoid further degradation, there is still extensive work to be done in restoring those that have already been lost. The Government of Uganda has therefore committed to USD 18.122 million under the MWE budget to support the aims of this project. The GCF resources will be used to scale up appropriate wetland restoration and management paradigms building on best practices and lessons learnt, particularly in selected districts of Eastern and southwestern Uganda. Practical activities will demonstrate the direct link between the benefits of wetland conservation and people's livelihoods, with a specific focus on climate change risks and adaptation opportunities of these restored wetlands.

### **Activity 1.1: Small-scale water storage and detention facilities designed and constructed or rehabilitated in critical waterways for communities to benefit from enhanced ecosystem functioning; (GCF)**

This activity will scale up community plans (designed under the COBWEB project including specific activities identified by communities such as small earth dams, ponds, drainage, clearing of waterways...etc. The objective is to improve water harvesting and aquifer recharge. Small earth dams, bunding, clearing of small streams and rivulets, ponds, drainage will all be part of this activity. Much more detail will be provided in the feasibility study, on how many of these water harvesting structures will be implemented. The impacts of these interventions is the increase in water captured and stored in the wetlands and in ground water aquifers. This increased water will have a very positive effect on the health of the wetlands themselves, but will also increase the availability of water for farming activities, for tourism (larger water bodies for boating), and to support the large biodiversity that these wetlands harbor.

### **Activity 1.2: Improved inlet streams to increase water delivery; (GCF)**

Under this activity, community plans will be scaled up for increasing tree cover in the Lake Bisina catchment areas (based on plans designed under the COBWEB project). Also, under this activity, GCF resources will be used to implement and scale up recommendations and best practices from the independent terminal evaluation of the COBWEB project such as embankments, desilting of rivulets, water harvesting structures, etc, and the preparation of detailed plans for silt traps, drainage, flood control and maximum water recuperation.

### **Activity 1.3: Degraded catchment areas rehabilitated and land productivity improved; (GCF, GoU)**

Scale up interventions identified in the COBWEB terminal evaluation as necessary follow up activities (e.g. replanting and protecting indigenous grasses and herbaceous vegetation resilient to climate variability, promote infiltration, decrease soil transpiration, placement of gabions in areas subject to excessive erosion) (GCF). Boundary demarcation and gazettement of wetlands will also be established (GoU). This activity will also scale up the training of community members and extension workers in sustainable land management techniques (GCF) and provide the necessary investments (infrastructure (earth movers, small earth dams), tools, etc) to scale up successful pilots delivered under the COBWEB project (GCF). Communities will be trained on the sustainable use of wetlands goods like fish (to avoid over-exploitation) and on sustainable land-use techniques (GCF) and raising community awareness on the importance of environmental protection (GCF).

#### **Activity 1.4: Strengthened wetlands management practices (GCF, GoU)**

Under this activity, the national wetland information system will be strengthened (GoU) and an economic valuation will be prepared for research and development plans (GoU). Institutional capacity will be built at central and local government levels on wetland management by training on technical knowledge about the impact of climate change on wetlands, environmental management and sustainable land management, and mentoring (GoU, GCF) will also be part of this activity, in order to scale up the preparation of community wetland management plans in each targeted area (GoU, GCF), and provide the necessary tools (from maps to earth movers), training and infrastructure to implement wetland management plans (GCF). This activity will also facilitate establishment of communities into committees and groups for management of local wetland areas and implementation of restoration activities (GCF). Formulating and enforcing by-laws, controlling charcoal burning

#### **Output 2: Improved agricultural practices and alternative livelihood options in the wetland catchment**

This output will target at least 150,000 farmers including those who currently do not have secure access to irrigation, land-poor farmers, women-headed households, and the landless, to make their livelihoods are more climate resilient. Investments in small-scale rural infrastructure (shallow bore wells, drip irrigation, tilling tools) for agricultural purposes, especially on-farm water management infrastructure such as dams, canals, drip irrigation systems, as well as farming best practices and crop diversification will be implemented to realize high economic return given their coverage. In addition, the output will focus on technical skills training for employment in key economic sectors viable in wetland areas, such as tourism, health and construction. Most of the beneficiaries have very low levels of education and no skills that can help them find a job. Based on the ILO methodology beneficiaries will be trained in specific skills with high employability potential (earth mover, driver, assistant nurse, reception clerk in hotels, desktop publishing...etc). The training providers will have delivery targets to place at least 80% of the trainees in durable jobs. This will ensure that beneficiaries are not only trained but also placed in employment. This will be delivered to at least 50,000 of the most vulnerable people, focusing particularly on women headed households, subsistence farmers and people identified as very dependent on the wetlands for their food security. Entrepreneurship development training, including business plan development, book keeping, accounting, stock management, access to banking and finance will be provided using GCF resources to 10,000 pre-screened candidates in the target districts. A mentoring programme to accompany the beneficiaries in this new business will be in place to ensure the sustainability of the effort. In order to deliver this output, the proposed project will follow the successfully tried and tested ILO methodology on Training for Rural Economic Empowerment (TREE<sup>4</sup>) and Start and Improve Your Business (SYIB<sup>5</sup>). This methodology has been successfully applied in over 80 countries with tested results on employment and economic empowerment. GCF resources will be used to support most of the activities under this sub-component, with some funding from the GoU. However, it will actively build on existing efforts and replicate good practices emerging from the COBWEB project and UNDP's broader project portfolio, specifically focusing on strengthening climate resilient livelihoods in the targeted wetland areas.

#### **Activity 2.1: Crop diversification and resilient agricultural best practice adopted (GCF, GoU)**

This activity will scale up the capacity building efforts of agricultural extension officers on resilient agriculture practices (smart agriculture, conservation agriculture) (GCF, GoU), and train farmers at all project sites on the importance of crop diversification and other resilient agricultural techniques as an adaptive measure to climate change (e.g. planting drought tolerant crops, early maturing crops, adopting multiple cropping techniques to spread risks). This includes scaling up established farmer and water user groups and/or agricultural cooperatives to oversee the adoption and dissemination of these practices and measures (GCF). This experience and good practice will also be disseminated through farmer to farmer exchanges, training of trainers, demonstration sites and other methods, to replicate and scale up impact (GCF).

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<sup>4</sup> [http://www.ilo.org/wcmsp5/groups/public/---ed\\_emp/documents/publication/wcms\\_159165.pdf](http://www.ilo.org/wcmsp5/groups/public/---ed_emp/documents/publication/wcms_159165.pdf)

<sup>5</sup>[http://www.ilo.org/wcmsp5/groups/public/---ed\\_emp/---emp\\_ent/---ifp\\_seed/documents/genericdocument/wcms\\_159435.pdf](http://www.ilo.org/wcmsp5/groups/public/---ed_emp/---emp_ent/---ifp_seed/documents/genericdocument/wcms_159435.pdf)

**Activity 2.2: Economically viable and sustainable agri-based livelihood and income generating interventions introduced, promoted and supported in the wetland and immediate catchment (GCF)**

This activity will scale up successful livelihood activities in the COBWEB project such as eco-tourism, aquaculture, and dairy products (GCF) and implement the recommendations from the COBWEB terminal evaluation on engaging the private sector for increased eco-tourism (GCF). The ILO methodology will be followed in the target wetland areas to identify employment needs and income streams that are resilient to climate change (GCF). Based on the findings, this activity will undertake the necessary trainings of identified beneficiaries, and will set up a model and 50 training centres in order to train and place beneficiaries in jobs, while making a profit – this will transform the local economy and raise the skill training capacity of the region (GCF). Under this activity, local groups, cooperatives and committees will be established to implement and manage the process of introducing and disseminating alternative livelihoods (participatory selection of beneficiaries, screening of skills and small and medium enterprises) (GCF). This activity will then undertake the necessary trainings of established groups (e.g. management of plantation of economically important tree species in buffer zones and farmlands, starting a business of plant nurseries, orchard management, sustainable fish production and processing, biodiversity counts, animal husbandry, CBO formation and eco-tourism); support the beneficiaries with the necessary small-scale infrastructure for identified livelihood options (e.g. beehives, fish ponds, fruit processing plants, cold storage, etc.); and provide the necessary small-scale infrastructure for identified livelihood options (e.g. renewable energy systems (pumps, biogas), cell phone repair tools, etc.) (GCF). All good practices and lessons learned will also be shared through training of trainers, demonstrations, and other methods (GCF).

**Activity 2.3: Business and entrepreneurial skills promoted, including micro credit schemes and revolving funds (GCF)**

This activity will also follow the ILO methodology for entrepreneurship development to build the capacity of micro-finance institutions and link them with project beneficiaries and set up business development service providers who train beneficiaries in sustainable business practices. Identify target stakeholder groups, based on the detailed feasibility study, and will identify wetland management skill gaps and potential wetland enterprises. This activity will then undertake the necessary trainings of stakeholder groups on entrepreneurial skills and scale up business development services to reach the expected large number of beneficiaries (i.e. small eateries, corner shop groceries, mobile phone repair shops, construction equipment business, etc). This activity will also invest in key local market infrastructure strengthened such as cold storage chains and raise awareness of private sector partners on climate risk, resilient and alternative livelihoods, and the potential value of investments from the private sector. [During large consultations with local communities and other stakeholders during the previous COBWEB project and while designing this proposal, it was understood that reliance on agriculture alone for food security and livelihood is insufficient in the context of climate change. While crop diversification contributes substantially in reducing the vulnerability of subsistence farmers to climate shocks it cannot prevent entirely to occurrence of very extreme weather events that wipeout crops. Therefore it is important, as an adaptation action, to provide vulnerable farmer families with diverse sources of income. In the event of a serious weather shock the beneficiaries will have another source of income to buy food and meet emergency expenses. This approach is the basis for adaptation, diversify income and food security source to be more resilient to climate shocks.]

**Output 3: Strengthening access to climate and early warning information to farmers and other target communities to support wetland management**

This output will focus on strengthening access to reliable climate-related information and scaling up advisories for farmers and other target communities in the two wetland target areas, to improve the adaptation capacity of the entire population in and around the wetlands – around 1,000,000 people. This will include the expansion of networks that generate and process climate-related data into relevant information to the scale and location of local districts, villages or communities, as well as dissemination of climate-related information/services, advisories and early warning to communities. A strong focus of this output will be on delivering actionable climate-related information to communities, taking the form of agro-met advisories for agriculture, as well as the dissemination channels for making information available to the “last mile.” The ongoing project “Strengthening Climate Information and Early Warning Systems (SCIEWS) in Africa for Climate Resilient Development and Adaptation to Climate Change,” supported by the UNDP, will complement the GCF resources to achieve this anticipated output. Its planned activities will be founded on both the existing pre-feasibility assessments developed by the UNDP project, as well as additional feasibility and capacity assessments undertaken during phase 1 of this proposed project.

In order to adapt to CC, accurate, reliable and locally relevant climate information is key to improving the management of the wetlands. By wetlands it is understood that it includes the people living in and around the wetlands. For policy makers and environmental managers, accurate and reliable climate information is crucial to plan policies and interventions, budget and prioritize scarce resources. For the local farmers and beneficiaries weather information is also crucial to plan their crops, the type of crop (short cycle, drought resistant) and the timing of planting, weeding and harvesting. The user uptake of information is a key step in the information dissemination cycle. The ongoing LDCF funded project on SCIEWS in Uganda, is currently working to develop tailored and packaged information for the target group. The project is also working towards partnering with mobile phone companies to use SMS for communication of advisories and climate information. Last but not least, awareness and climate/meteorology literacy campaigns are also being conducted under the SCIEWS project. This GCF funded initiative will build on and strengthen further the capacity to deliver relevant climate information to the beneficiaries of this project. Although further work is required to advance this activity, it is ready to start as soon as the funding is approved as much baseline work would have already been completed.

**Activity 3.1: Meteorological and hydrological infrastructural investments supported including additional manual and automatic weather stations, lightening sensors, hydrological monitoring equipment, agro-meteorological stations, forecasting equipment, and data archiving systems. (GCF, UNDP)**

Under this activity, the Uganda National Meteorology Authority (UNMA) database and information management system will be updated and linked to Department of Water Resource Monitoring and Assessment (DWRM) water management and information system (UNDP) and the National Wetland Information System (NWIS) (GCF). Data rescue and digitization processes will be undertaken from existing archives (UNDP), and a protocol and an agreement between the DWRM and UNMA for data collection, data exchange, data processing, data analysis and flood, drought and severe weather risk assessment and warnings will be established (UNDP). This will be complemented by establishing protocols and agreements with agricultural extension services through the National Agricultural Advisory Services Project (NAADS) and the Ministry of Agriculture, Animal Industries and Fisheries (MAAIF) (GCF). An online web platform linked to DWRM and UNMA's official websites and information and management systems (UNDP) will be developed and linked to infrastructure in targeted areas, which will be procured and installed (GCF); infrastructure repairs will be done as needed (GCF), and new systems will be integrated into the existing DWRM and UNMA networks (UNDP, GCF).

**Activity 3.2: Capacity building of relevant staff on operation and maintenance of climate monitoring equipment, data interpretation, modeling and forecasting. (GCF, UNDP)**

This activity will develop an observation network quality control and maintenance toolbox, and establish training materials, approaches and lessons learned, for meteorological and hydrological technicians on technical aspects regarding the operation and maintenance of infrastructure (UNDP). It will also establish operation and maintenance training facilities including demonstration equipment and reference quality sensors at training sites in the project target areas (UNDP, GCF), and train meteorological and hydrological technicians in targeted districts on technical aspects regarding the operation and maintenance of new infrastructure (GCF). Improvement of existing weather and seasonal forecasts will be undertaken through development of statistical downscaling approaches to correct biases in numerical model forecasts, utilizing digitized data to develop model output statistics (GCF).

**Activity 3.3: Climate-related information/services provided to target areas, such as early warnings on flash floods and extreme weather, agricultural extension advice for a wide variety of crops, and short- to long-range weather forecasts. (GCF, UNDP)**

This activity will train UNMA and DWRM forecasters, in collaboration with MAAIF and NAADS staff, to prepare weather and climate forecasts and package hydro-meteorological data and information into suitable format for user-agencies and local community end-users, including those specific to wetland areas (UNDP, GCF). It will also develop early warning products and advisories, utilizing satellite-based measurements of soil moisture and vegetation to enhance the usefulness and extent of these products, as well as SOPs for the target regions and users (UNDP, GCF). Training packages and toolkits will be developed to assist trained meteorologists, agronomists and hydrologists to build the in-house forecast and advisory development (using GIS tools and environmental data) capacities of DWRMA, MAAIF and UNMA and to enhance collaboration between the three departments and mainstream the online platform and integrated data storage management system (UNDP, CGF). This will be followed by the development of weather and climate-related alerts, tailored to the targeted wetland areas, including color-coded advisories for agriculture, watches and warnings for flood, drought, severe weather and agricultural stresses (GCF).

**Activity 3.4: Customized ICT, mobile platforms, and other public and private communication channels identified and/or developed to support dissemination of the above information/services to the ‘last mile’ users to enable timely and urgent responsive action as well as short/medium/long-term planning for climate-dependent activities in sectors such as agriculture. (GCF, UNDP)**

Co-development of information requirements for end-users will be undertaken through participatory workshops, which will feed into advisory and warning development through activity 3.3. This will include information on indigenous knowledge and local customs, which can help package understandable products in local languages (GCF). Advisories and warnings will be disseminated via radio and SMS-based platforms (UNDP, GCF). A review and proposal for revisions to the current i) cost recovery arrangement between UNMA, DWRM, WMD and CCA to adequately reflect enhanced services and fee structures; and ii) government reimbursement levels for meteorological services to reflect higher levels of operating expenses and capital costs needed to maintain and operate automated and modernized equipment and retain forecasting skills (UNDP), will be undertaken. Further, an EWS national dissemination toolbox will be developed and operationalized, including a gender-sensitive training manual (UNDP). Community awareness on climate information and interpretation/use will be built. (UNDP, GCF)

The three outputs are interrelated by addressing the identified barriers and climate related drivers of wetlands degradation. The first output aims at restoring and strengthening the resilience of the physical attributes of the target wetlands by improving reforestation, water flow and storage and indigenous species. This restoration effort will only be effective in addressing climate vulnerabilities if the people living in and around the wetlands have alternative and resilient livelihoods that do not rely on the wetlands and further exacerbate their degradation. Thus, output 2 will provide this alternative by delivering high quality training to improve the skills of the beneficiaries for employment and help subsistence farmers adapt and strengthen resilience of their agricultural practices (including crop diversification) in the face of climatic changes, and improve additional skills for alternative employment to buffer against climate-related shocks. Output 3 will provide reliable and accurate climate information and early warning to improve the resilient management of the wetland and to ensure that beneficiaries have the necessary information that is crucial for resilient farming practices and for reducing risks posed by extreme climate induced weather events.

**ii. Partnerships and Stakeholder engagement:**

In line with the National Climate Change Policy, National Development Plan, and other international and national policies, legislation and plans, the project will engage various relevant partners that are already implementing, or planning to implement, a series of initiatives and projects in the baseline. The executing entity for this project is the Ministry of Water and Environment. The MWE will sign a Memorandum of Understanding (MoU) with Responsible Parties and contractors. There are a number of partners who have entered into agreements with Ministry of Water and Environment to assist in successfully delivering project outcomes, namely: National Forest Authority; Ministry of Agriculture, Animal Industry and Fisheries; Private sector; Department of Water Resources; Hydropower generating companies; Non-Governmental Organizations; Uganda Wildlife Authority and the Uganda Tourism Board among others.

The GCF project will further strengthen the public-private partnerships already being established under the existing project, and help ensure financial sustainability of the climate information and early warning systems, as a result of developing products specifically suited for the management of wetlands and agriculture<sup>6</sup>, as well as being able to provide new sources of monitoring weather/hydrological data in these wetland areas. The market for these products will need to be established and promoted throughout the project, but products will potentially be marketable in other wetland areas and beyond. This project, therefore, is using a variety of mechanisms (e.g, setting up public-private partnerships, innovative market-based finance mechanisms, institutional restructuring and cost recovery) to ensure financial sustainability of all three components of the project.

The project will also mobilize additional stakeholders and partnerships to create viable business models for efficient and effective market-based delivery of climate information and services (such as insurance and finance products).

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<sup>6</sup> See special issue Agricultural and Forest Meteorology, Volume 103, Issues 1–2, Pages 1-228 (1 June 2000). In particular, Rijks D. and Baradas M.W. (2000). The clients for agrometeorological information. Agricultural and forest meteorology. [Volume 103, Issues 1–2](#), Pages 27–42.

### iii. Mainstreaming gender:

A full gender assessment and action plan have been prepared for this project. They can be found in [Annex 6](#)

Addressing gender dimensions within the project design and implementation, this proposal identifies and integrates interventions to provide gender responsive and transformative results. As women are key players in the agricultural sector and also natural resource management (including water management), particularly in the wetland areas, and therefore food security, it is integral to the success of the project that women are encompassed throughout the entirety of this project.

Uganda is one of poorest countries' in the world and a population highly dependent on agriculture and natural resources for livelihoods. The Government of Uganda has taken measures to address climate change. Leveraging from the Government of Uganda's proactivity, this proposal builds from the existing actions of the government's investment in improving its response to the impacts of climate crisis. Women are imperative to agriculture, forestry and water resource management. For this project to succeed it is integral that women are involved throughout.

*The project design will take into consideration the following gender implications:*

- Women's role as primary homestead and resource manager;
- Differing conservation incentives faced by women and men;
- Analysis of gender division of labour (e.g. gender-differentiated roles, responsibilities, and needs);
- Women's access to, and control over, environmental resources and the goods and services that they provide (Increasing women's access to and control over resources, improves the effectiveness of such projects);
- Identification of gaps in equality through the use of sex-disaggregated data enabling development of gender action plan to close those gaps, devoting resources and expertise for implementing such strategies, monitoring the results of implementation, and holding individuals and institutions accountable for outcomes that promote gender equality. Assess how gender is currently mainstreaming in differing ministries and sectors, to develop a need assessments, enable planning, and be effective in monitoring and evaluation.
- Involve women both at macro and micro level in climate resilience process.
- Involve men both at macro and micro level in climate resilience process.
- Financing and budgeting gender related initiatives in the climate resilience process.
- Incorporate women in identifying new and innovative technology that can support women to protect their environment and climate, promoting independence, empowerment, and entrepreneurship;
- Evaluation of women's work time, both as paid and unpaid;
- Identify specific strategies to include / target female-headed households;
- Identify differing conservation incentives faced by women;
- Promote advocacy and awareness adjusted to most effectively reflect gender-specific differences. Strategies used in the project are tailored, taking into account such differences;



The project implementation will take into consideration the following gender implications:

- Address the division of labour on small farms, taking into consideration gender specific views on management;
- Inclusion of a Gender Specialist position within the project to implement gender related activities; Inclusion of all stakeholders involved in the project to develop awareness raising / training aimed at drawing attention to the implication of climate resilience adaptation and gender equality;
- Inclusion of gender and climate issues in national curriculum (health, education...);
- Inclusion of village based non-formal education linked with increasing skills and technological knowledge;
- Linking income generating activities identified by women with microfinance institutions and cooperatives;
- Undertaking community discussions and dialogue in relation to gender and climate resilience and adaptation strategies with the inclusion of indigenous knowledge.

During project implementation, qualitative assessments will be conducted on the gender-specific benefits that can be directly associated to the project. This will be incorporated in the annual Project Implementation Report, Mid-Term Report, and Terminal Evaluation. Indicators to quantify the achievement of project objectives in relation to gender equality will include men and women who had access to affordable solutions, number of men and women employed from the jobs created by the project, training opportunities, knowledge management and information dissemination.

Gender issues will be mainstreamed at all levels during the project implementation in order to ensure promotion of gender equality and women empowerment. With respect to the gender element, it is worth noting that women are a very important group under this project; so is their role in the management and protection of natural assets (water, forests, fish and wildlife). Furthermore, women, children and the elderly are frequently amongst the more vulnerable of the poor. In the face of climate change, their vulnerability will likely be exacerbated. Hence, women will not only be a key beneficiary of adaptation measures under this project, but they will also play a leading role in promoting the mainstreaming of adaptation measures into the local economy. Furthermore, as previously explained, project indicators will be disaggregated by gender where applicable and gender concerns incorporated in the planning of specific activities. Women will be involved in all aspects of the project, and will benefit

#### **iv. South-South and Triangular Cooperation (SSC/TrC):**

As part of the project activities the project's stakeholders through the project's activities will learn from other countries around the world. Data sharing, site visits and documenting lesson learned will enable Ugandans to share experiences and to gather knowledge. The UNDP-GEF Regional Office and the UNDP Country Office will support the project in identifying success stories and experiences in other countries/regions, that the Uganda's project stakeholders can visit and benefit from.

#### **v. Knowledge:**

Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project.

The project will identify, analyze and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

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## VI. FEASIBILITY

### i. Cost efficiency and effectiveness

The proposed project entails grant financing in the amount of USD 25.3 million. The funding is adequate for the scope of the project, for establishing infrastructure, capacity and an enabling environment (addressing institutional barriers) for generations, and for the use of effective, reliable, and sustained interventions and services for resilient ecosystems and livelihoods. The funding estimate is calculated based on previous projects including JICA (USD 5 M, IDRC; USD 350,000, COBWEB; 800,000).

The project contributes to aversion of economic and financial losses related to the consequences of wetland degradation, such as floods and drought. These losses can significantly impact the GDP of the country. The project facilitates the establishment of revenue streams for the Wetlands Management Department, hence ensuring financial viability and efficiency of service delivery. The project will also mobilize additional stakeholders and partnerships to create viable business models for efficient and effective market-based delivery of climate information and services (such as insurance and finance products).

Projects are said to be **economically efficient** when the value of economic benefits flowing from their implementation (i.e. project economic benefits) are judged to be at least as great as the value of what society has to give up for their implementation (i.e. project economic costs).

To estimate the value to society of a project designed to restore degraded wetlands, two main classes of benefits could potentially be considered, where benefits are defined as the value of ecosystem services (ESS) society enjoys from functional wetlands. The first class consists of economic benefits society derives from provisioning ESS. The per hectare value of provisioning ESS from Uganda wetlands were estimated by Emerton, Iyango, Luwum and Malinga (1998) at Uganda Shillings (Ushs.) 12,348,756 per ha per year distributed as follows: sugar cane production (1,800,000 Ushs./ha/year), coco yam production (785,500 Ushs./ha/year), cassava production (785,800 Ushs./ha/year), mirror carp production (1,868,819 Ushs./ha/year), tilapia production (319,232 Ushs./ha/year), papyrus production (4,285,714 Ushs./ha/year) and brick-making (2,500,000 Ushs./ha/year). The second class consists of economic benefits society derives from intermediate ESS. Emerton, Iyango, Luwum and Malinga (1998) also provide per hectare estimates of the following intermediate ESS provided by Uganda wetlands: water treatment and purification, sewage treatment, and water channel outflow.

It is generally recognized in the environmental economics literature that relative to provisioning ESS, the modeling of intermediate ESS is not only very complicated but the methods used for their measurement are contentious. The literature also recognizes that the modeling of provisioning ESS is relatively straightforward and the values deriving from their measurement much less contentious. It is for this reason that in evaluating the economic efficiency of this project, we conservatively limited project benefits to wetlands provisioning ESS.

The economic net present value of the proposed investment project has been estimated to reach approximately US\$61.4 million and to yield an economic internal rate of return of approximately 22.6%. This is expected to be an under-estimate as assumptions made in the economic analysis are conducive to under-estimating the true economic value of the proposed investment project. Sensitivity analysis shows the NPV to be robust to both increases in estimated economic costs and decreases in estimated economic benefits. As such, the proposed investment project is deemed to be economically efficient.

### ii. Risk Management:

The overall assessment of risk for the project is low. A number of risks have been identified that could impact project implementation.

1. Delayed implementation of baseline projects by the government and donors negatively affects GCF project outcomes.
2. Installed hydro-meteorological equipment fails because it is vandalized or not maintained.
3. Climate shocks occurring during the design and implementation phase of the GCF project result in disruptions to restoration activities and severely affect communities, prior to the EWSs being established.
4. Variation and limitation in technical capacity will reduce the efficiency of the project implementation.
5. Lack of commitment from communities where restoration activities, alternative livelihoods and EWS are established undermines the effectiveness of the GCF project demonstrations.

These along with their mitigation measures are in summarized in the UNDP Risk Log Annex 14. The mitigation measures will focus on building awareness and sensitization, but also on building capacity at various levels of governance, all the way down to extension officers and communities. A participatory approach will be adopted in order to ensure community buy-in.

As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5 and probability is 1,2,3,4, 5 or when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported in the annual Progress Reports.

### **iii. Social and environmental safeguards<sup>7</sup>**

This project is compliant with UNDP's Social and Environmental Screening Procedure (see SESP attached as Annex 5a). UNDP's Social and Environmental Standards were reviewed by the GCF accreditation panel and deemed sufficient to accredit UNDP to submit low and medium risk projects. The overall social and environmental risk category for this project is low as highlighted below. Specific project risks are listed in Section G below. Appropriate mitigation measures are included within the following section.

#### **Environmental Impacts**

The project will have a number of environmental impacts which will be temporally restricted. During rehabilitation, it will be necessary to undertake earth works to re-stabilize the degraded wetlands. The earth works will remove sediment that is currently impacting on the wetlands operating effectively. These earth works will be limited to access into the wetlands and any movement of sediment. Additional artificial wetlands will also be created. To ensure that the sediment is not mobilized through either wind or more specifically rain events, it will be necessary to prepare an erosion control sediment plan. The plan should contain aspects including but not limited to the installation of sediment curtains to reduce sediment movement, covering sediment where practicable and using sediment for other works. There will be a cut and fill balance and therefore no additional soil etc. will need to be transported into the areas of works. All works should be undertaken in the dry season. Consistent with the project, rehabilitation works around the wetlands will also take place. All banks should be battered to ensure they are compacted and will not slump when inundated. Any additional sediment that is not required should be used within the existing catchment as topsoil as it is likely to be richer in nutrients than the existing topsoil.

Alternative cropping is also planned as part of activities for farmers. There is the potential for pest species to be brought in within seeds. Further, there is the potential for new crops to invade habitats in proximity to the farms through wind borne movement. To mitigate this impact, all alternative crops will be local provenance thereby mitigating adverse impacts. Weeds may affect the wetlands following construction. As no additional soil will be moved to the site, there is unlikely to be an additional impact as a result of non-native plants growing in the wetlands. To ensure that the rehabilitated wetlands do not "choke" through weed infestation, a weed control and maintenance plan will be developed to remove weeds and ensure the rehabilitation is effective. Overall, it is expected that the project will have limited environmental impacts and these can be mitigated effectively through appropriate management measures. The project will have significant environmental benefits in the short to long term through the improvement of water quality and a reduction in sediment movement. The social and environmental impacts of setting up a few automated weather stations will be very limited.

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<sup>7</sup> Social and environmental complaints by communities and people affected by the project can be submitted to UNDP's Social and Environmental Compliance Unit (SECU). SECU will respond to claims that UNDP is not in compliance with applicable environmental and social policies. Complaints can be submitted by e-mail to [project.concerns@undp.org](mailto:project.concerns@undp.org) or the UNDP website. Project-affected stakeholders can also request the UNDP Country Office for access to appropriate grievance resolution procedures for hearing and addressing project-related social and environmental complaints and disputes. Environmental and social grievances will be monitored and reported in the annual progress reports.

The only environmental impacts associated with the installation of meteorological and hydrological infrastructure will be digging small (<100mm diameter) to place posts that will hold the infrastructure. The posts will be surrounded by a fence that will be 4 meters by 4 meters. To ensure no impacts occur such as erosion runoff, the installation will be undertaken during the dry season, thus reducing any potential loss of sediment into water courses as a result of rain. All meteorological stations are proposed to be constructed on land currently owned by the Government of Uganda. As such, there is no requirement for any form of land acquisition.

### **Social Impacts**

There are limited social impacts associated with the project. Importantly, no people will be displaced or relocated. There will be a reduction in the availability of land for crop production through the construction of the wetlands; however carefully planning and stakeholder consultation will be undertaken prior to the construction and development of any new wetlands and the rehabilitation of existing wetlands. There will potentially be an impact on what farmers currently utilize being converted back into wetlands. To ensure there is limited impact on people, crop diversification is planned. This will improve the livelihoods overall of people working in and around the wetlands and increase their income potential. Where available, local people will be employed to undertake construction and maintenance of the wetlands, thereby providing a social benefit to the community. Further, the wetlands will act as a buffer during flood and therefore reduce the potential loss of lives and assets.

### **Grievance Redress Mechanism**

The project has developed a Grievance Redress Mechanism to ensure any complaints or concerns are fully addressed. The project allows those that have a complaint or that feel aggrieved by the project to be able to communicate their concerns and/or grievances through an appropriate process. The Complaints Register and Grievance Redress Mechanism set out in the Environmental and Social Management Plan and to be used as part of the project will provide an accessible, rapid fair and effective response to concerned stakeholders, especially any vulnerable group who often lack access to formal legal regimes. The Grievance Redress Mechanism utilizes existing frameworks that have been proven to work in Uganda through a two-tier structure.

#### **iv. Sustainability and Scaling up**

To sustain the project interventions beyond its implementation period, this project will put in place the necessary ownership, capacity and identify financing schemes to ensure continued sustainable management of wetlands, sustained adoption of resilient livelihood practices, and maintenance of the climate information network. With regards to ownership, relevant government departments, as well as local communities (which have been consulted extensively), will be involved in the implementation of project interventions. Integration into existing institutional framework will ensure the continuity of the project, especially given the decentralized nature of governance and on-going projects. The strong commitment of the Government of Uganda to sustainably address climate change and its social, economic, environmental and financial impacts has been evident through several initiatives from the country's leadership. This clear intention is reflected in the country's National Climate Change Policy, Strategy and the establishment of the Climate Change Department in the Ministry of Water and Environment.

A participatory approach, which has already been initiated through collaboration and consultations with national government departments and other stakeholders in designing the project, will include capacity building of the lead institutions as well as other stakeholders, including the private sector. Suitable policy and technical, legal and institutional capacity will be established at both the local and the national level to ensure continued sustained engagement in sustainable wetland management and resilient livelihoods. The activities for the implementation of restoration efforts will be conducted at a community level and aim at building an understanding and awareness of the issues at hand while including the communities in the development and maintenance of the restoration efforts. The participation of the targeted communities is, for example, an instrumental part of the wetland restoration and adaptation measures related to flood control and water provisioning during drought periods. Trainings and participatory processes as well as the establishment of local processes and institutions (e.g. wetland management committees) aim to create the local capacity to make informed decisions in regards adapting to climate change-related flooding and water shortages.

Further, the project will include a component of “training of trainers,” to ensure continued capacity building of both, government staff and communities. Additionally, agreements will be established with individuals trained to ensure that they remain in the relevant government departments for a minimum period after receiving the training. Ensuring sufficient budgetary allocations for the sustainable functioning of both the wetland ecosystem and the climate information network will be an important component of project sustainability, particularly with regards to MWE. As the proposed project will complement existing government initiatives, operations and maintenance work requiring government intervention will be integrated into the existing programs and plans and budgets to ensure sustainability. Importantly, the Ministry of Water and Environment has established a unit to handle operation and maintenance of infrastructure and will be responsible for O&M of infrastructure.

Further, the project will develop processes, build capacity to manage infrastructure/resources, and identify financing schemes for enhancing the long-term functionality and sustainability of all three components of the project. This will be done through engaging the private sector, including small and medium sized enterprises. Firstly, to sustain the restoration and sustainable management of wetland areas, the project will strengthen the capacity of the Wetland Management Department to engage with private companies, particularly in the eco-tourism sector, which has incentives to restore and sustainably manage these natural resources. Through support for institutional restructuring of the department, and introduction of further incentives for partnership, this new business model will allow for cost recovery to ensure continued resources for managing the wetlands. Secondly, the project will help strengthen and diversify livelihoods of beneficiaries through skills development for both employability in local companies (e.g. tourism, health care, services) and entrepreneurship, access to micro-finance institutions and establishment of small-scale infrastructure. These activities will help strengthen the long-term financial sustainability of vulnerable beneficiaries who will have new, economically viable livelihoods not dependent on climate-sensitive resources. Finally, the project will contribute to business models being set up as part of the UNDP SCIEWS project, to establish financially sustainable climate information and early warning systems. This project is strengthening the capacity of the UNMA to engage with private companies, such as the civil aviation authority, mobile phone, insurance and tourism companies to charge a fee against the forecasts and products that are being developed. While climate information will remain a “public good,” particularly for products used by vulnerable farmers etc, private companies may be prepared to pay a fee to the UNMA for specific tailored information or the raw data if it is spatially detailed and reliable enough to be used for their operations. This cost recovery model will help UNMA invest in the operation and maintenance of the system.

The GCF project will further strengthen the public-private partnerships already being established under the existing project, and help ensure financial sustainability of the climate information and early warning systems, as a result of developing products specifically suited for the management of wetlands and agriculture<sup>8</sup>, as well as being able to provide new sources of monitoring weather/hydrological data in these wetland areas. The market for these products will need to be established and promoted throughout the project, but products will potentially be marketable in other wetland areas and beyond. This project, therefore, is using a variety of mechanisms (e, g, setting up public-private partnerships, innovative market-based finance mechanisms, institutional restructuring and cost recovery) to ensure financial sustainability of all three components of the project.

This project will scale up activities of earlier wetland projects such as local level planning and livelihood options under the COBWEB and ensure that the implementation of sustainable use strategies and the maintenance of biodiversity are positively correlated. Further, the project will rely on the contribution of communities towards monitoring and patrolling of lakes to increase community involvement and reduce conservation costs. It has been shown that communities demarking their own conservation areas and formulating management guidelines is a best practice to guide wise-use of wetland resources.

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<sup>8</sup> See special issue Agricultural and Forest Meteorology, Volume 103, Issues 1–2, Pages 1-228 (1 June 2000). In particular, Rijks D. and Baradas M.W. (2000) The clients for agrometeorological information. Agricultural and forest meteorology. [Volume 103, Issues 1–2](#), Pages 27–42.

## v. Economic and/or Financial Analysis:

### Programming of wetland restoration target

The degradation of wetlands and their associated ecosystem services in Uganda is negatively affecting the livelihoods of the people living in and around the wetlands – around 4,000,000 people. Over 80% of the people living adjacent to wetland areas in Uganda directly use wetland resources for their household food security needs.<sup>9</sup> This project seeks to support the Government of Uganda to take climate change issues into account in the management of critical wetlands. The barriers that need to be overcome are:

- the limited technical knowledge on the agro-ecological and hydrological systems of the wetlands;
- insufficient extension services for resilient agriculture and livelihoods; and
- Inadequate climate information and early warning systems.

This project will restore wetlands and their eco-system services with sustainable land management practices and reforestation, will support resilient agricultural practices and alternative livelihoods to reduce the pressures on the wetlands, and finally will strengthen the climate information and early warning systems to communities. Under a set of reasonable assumptions, the economic analysis demonstrates the social desirability of the proposed project even in circumstances where the true net economic value of the proposed project is expected to be under-estimated.

### Basic Approach and Methodology

The total benefits of the proposed investments as outlined in the project proposal can be categorized into:

- **Provisioning ecosystem services (ESS).** The economic benefits society will derive from provisioning ESS include the use of rehabilitated wetlands areas to support agriculture (e.g. production of sugar cane, coco yam and cassava), fisheries (e.g. production of mirror carp and tilapia), papyrus and the brick-making industry.
- **Indirect ESS.** The economic benefits that society will derive from indirect ESS include (but are not limited to) the role of rehabilitated wetlands in water treatment and purification, sewage treatment, and water channel outflow control. In the language of the Millennium Ecosystem Assessment, these indirect ESS include regulating services, cultural services, and supporting services.<sup>10</sup>

For purpose of conducting the economic analysis of this investment project, we solely include the economic value of protecting and/or restoring the provisioning ESS provided by rehabilitated wetlands. In the environmental economics literature, such value is categorized as direct consumptive use value and its estimation is generally simple, unlike the estimation of the economic value of indirect ESS.

Ignoring the economic benefits of restoring indirect ESS, the estimated benefits of the investment project included in the economic analysis are expected to significantly under-estimate the true benefits of the investment project.

The economic analysis of the proposed project was carried out in accordance with the Guidelines for the Economic Analysis of Projects of United Nations Development Program (UNDP 2015). The economic efficiency of the investment was determined by computing the economic net present value (NPV) with an assumed 10% discount rate and economic internal rate of return (IRR). All proposals supported by UNDP have opted to use a 10% discount rate, in line with the existing practice of multilateral development banks.

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<sup>9</sup> Kakuru, Willy, Nelson Turyahabwe, and Johnny Mugisha. 2013. Total Economic Value of Wetlands Products and Services in Uganda, The Scientific World Journal, Volume 2013.

<sup>10</sup> Millennium Ecosystem Assessment. 2005. Ecosystems and Human Well-Being: Wetlands and Water Synthesis. World Resources Institute, Washington, DC.

Economic values (costs and benefits) are all measured in real terms of 2014. Economic costs of the project are net of taxes, duties, and price contingencies. Furthermore, the analysis assumes a shadow wage rate of 1.00 for unskilled and semi-skilled labor in Uganda. Provided that the economic cost of labor in Uganda is expected to be lower than the market wage rate (financial cost), we expect this assumption leads to significantly over-estimating the economic cost of the project, and under-estimating the true net economic value of the project. For example, in a recent cost-benefit analysis of road investment projects in Uganda, a shadow wage factor of 0.83 was used for unskilled and semi-skilled labor.<sup>11</sup> Similarly, in a 2006 procedural guidelines, Uganda's Ministry of Works, Housing and Communication then estimated a shadow wage factor of 0.78 for semi-skilled labor in Uganda.<sup>12</sup>

As is common when undertaking the economic analysis of investment projects, numerous assumptions were used to delineate the "with project scenario" from the "without project scenario". These assumptions were presented and discussed in Annex XII of the GCF Funding proposal. Assumptions were made so as to under-estimate the true net economic value of the proposed investment project.

### **Net Present Value and Sensitivity Analysis**

The project's economic net present value (NPV) over a 25-year period is estimated to be US\$61.4 million with an economic internal rate of return (IRR) of 22.6%.

Results from sensitivity analysis suggest the conclusion that this project is socially desirable is robust. For example:

- If we assume a 20% increase in costs over the base case, the project's NPV is US\$56.0 million and its IRR is 20.4%.
- If we assume a 20% decrease in benefits over the base case, the project's NPV is US\$43.7 million, with an economic IRR of 19.9%.
- If we assume a simultaneous 20% increase in costs and 20% decrease in benefits, the project's NPV is US\$38.4 million and its economic IRR is 17.9%.

### **Other Benefits**

Some benefits of this project were not included in this analysis due to lack of data. These benefits include among others, (i) the intermediate services of wetlands including the role of rehabilitated wetlands in water treatment and purification, sewage treatment, and water channel outflow control, (ii) increased skills for employability and entrepreneurship capacity to start new businesses, and (iii) accurate and reliable climate information which will have a transformational impact on people's lives in the targeted areas.

### **Project Beneficiaries and Distribution of Benefits**

While the results and impacts of the proposed project are expected to eventually spread countrywide, the proposed project is expected to improve the lives of some of the most vulnerable people in Uganda dependent on subsistence agriculture and wetlands for their livelihoods.

This follows from the observation that the areas targeted by the proposed project are South Western Uganda (6 districts of Kabale, Kisoro, Kanungu, Rukungiri, Greater Bushenyi and Ntungamo) and Eastern Uganda (10 districts of Pallisa, Kibuku, Bukedea, Namutumba, Butaleja, Budaka, Tororo, Kaliro, Ngora and Mbale) with a total population of 3,946,366 people and land area of 13,000 Km<sup>2</sup>. At least 800,000 people in and around wetlands will directly benefit from the proposed investment.

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<sup>11</sup> Crossroads. 2014. Building the Evidence Base for more Labour-Intensive Road Work Contracts and Increased Employment Opportunities for Women. Prepared by M&E Associates.

<sup>12</sup> Republic of Uganda. 2006. Procedural Guide to Economic Road Feasibility Studies. Ministry of Works, Housing and Communication, Road Agency Formation Unit.

**VII. PROJECT RESULTS FRAMEWORK**

This project will contribute to the following Sustainable Development Goal (s): 1-No poverty; 2-Zero hunger; 5-Gender equality; 6-Clean water and sanitation; 7-Renewable energy; 8-Good jobs and economic growth; 10-Reduced inequality and 12-Responsible consumption.

This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: Outcome 3.1: By end 2020, natural resources management and energy access are gender responsive, effective and efficient, reducing emissions, negating the impact of climate-induced disasters and environmental degradation on livelihoods and production systems, and strengthening community resilience.

This project will be linked to the following output of the UNDP Strategic Plan:

Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.

Output 1.4: Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented.

Output 1.5: Inclusive and sustainable solutions adopted to achieve increased energy efficiency and universal modern energy access (especially off-grid sources of renewable energy)

Output 2.5: Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation.

GCF Paradigm shift objectives: Increased climate-resilient sustainable development

	<b>Objective and Outcome Indicators</b>	<b>Baseline</b>	<b>Mid-term Target</b>	<b>End of Project Target</b>	<b>Assumptions</b>
<b>SDG indicators</b> <b>SDG 1</b>	<p><i>1.2.1 Proportion of population living below national poverty line by sex and age.</i></p> <p><i>1.5.1 Number of death, missing people and persons affected by disaster per 100,000 people.</i></p> <p><i>2.3.2 Average income of small scale food producers by sex and indigenous status.</i></p> <p><i>5.A.1 (a) Proportion of total agricultural pop with ownership or secure rights over agriculture land, by sex</i></p> <p><i>6.6.1 Change in the extent of water related ecosystems over time.</i></p> <p><i>6.B.1. Proportion of local administration units with established and operational policies and procedures for participation of local communities in water and sanitation management.</i></p> <p><i>7.2.11 Renewable energy share in total final energy consumption.</i></p> <p><i>10.3.1 Proportion of the population reporting having personally felt discriminated against or harassed within the previous 12 months on the basis of a ground of discrimination prohibited under International law.</i></p>	<p>TBD</p> <p>TBD</p> <p>TBD</p> <p>TBD</p> <p>TBD</p> <p>TBD</p> <p>TBD</p> <p>TBD</p>			



<b>UNDP Strategic Plan Indicators</b>	<i>1.3.1 Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystems services, chemicals and waste at national and/or subnational level</i>	<i>231 in 2016</i>	<i>261 partnerships</i>	<i>271 partnerships</i>	Enabling partnership framework in place
	<i>1.3.2 Number of new jobs and livelihoods created through management of natural resources, ecosystems services, chemicals and waste, disaggregated by sex. a) New jobs (women) b) New jobs (men).</i>	<i>New jobs (women) 5800+ livelihoods (978,158) in 2016</i>	Livelihoods 1,016,040 (women) 6,024 jobs (women)	1,161,458 <sup>13</sup> -female 6887jobs (women)	Farmers have capacity to implement adaptation measures and alternative livelihood options
		<i>b) New jobs (men).4700+ livelihoods (917,870) in 2016</i>	Livelihoods 952,830 (men) 4,879 jobs	1,101,170-men 5,639 jobs	
	<i>5.4.1 Number of countries with new end-to-end early warning systems (EWS) for man-made crisis and all major natural hazards (e.g. geo-physical and climate-induced hazards).</i>	<i>10 end-to-end early warning systems for man-made crisis and all major natural hazards in place) 2016</i>	37 installations	47 Installations	Ensuring that data communication streams are functioning and provide data in time to be useful. Trained staff for the operation and maintenance of infrastructure and associated communications systems. Tailored products are communicated per sectors and needs Improved users' platform for dissemination and for short term action.
<b>FUND LEVEL IMPACT:</b>					
<b>Fund level Impact: A4.0 Improved resilience of ecosystems and ecosystem services</b>	4.1 Area (ha) of habitat or kilometres of coastline rehabilitated (e.g. reduced external pressures such as overgrazing and land degradation through logging/collecting); restored (e.g. through replanting); or protected (e.g. through improved fire management; flood plain/buffer maintenance)	483 ha (South western), 141ha Eastern) of wetland restored. 5000 ha of catchment restored	20,000 ha restored wetland  7,000 ha restored catchment	64,370 ha restored wetland  11,630 ha restored catchment	<ul style="list-style-type: none"> <li>• District authorities, CBOs and communities support wetland restoration</li> <li>• Active participation of authorities and communities in wetland and catchment restoration and management</li> <li>• The momentum generated during the JICA supported project is maintained especially in Eastern Uganda.</li> </ul>
	4.2 Area of agroforestry projects, forest-pastoral systems, or ecosystems –based adaptation systems established or enhanced	2000 ha of agroforestry	10,000 ha	35,000 ha	

<sup>13</sup> Based on average household size of 4.7 people (UBOS 2014)

<b>Fund level Impact: A1.0</b> <i>Increased resilience and enhanced livelihoods of the most vulnerable people, communities and regions</i>	<p>1.2 Number (percentage) of households adopting a wider variety of livelihood strategies/coping mechanisms.</p> <p>1.4 Area (ha) of agricultural land made more resilient to climate change through agricultural practices (e.g. planting times, new and resilient native varieties, efficient irrigation systems adopted).</p>	<p>150 HHs (52% female)</p> <p>30 ha</p>	<p>15,500 Households - 10% of Households (52% female)</p> <p>4000 ha</p>	<p>75,000 Households - 50% of Households (52% female)</p> <p>12,500 ha</p>	<p>Communities are willing to engage in EBA activities and see net benefits from it</p> <p>Improved farmers' capacity to undertake resilient agriculture and farming best practices</p> <p>Community awareness raised to enable farmers improve management</p>
<b>PROJECT OUTCOMES:</b>					
<b>Project Outcomes: A7.0</b> <i>Strengthened adaptive capacity and reduced exposure to climate risks</i>	<p>7.1 Use by vulnerable households, communities, businesses and public-sector services of Fund-supported tools, instruments, strategies and activities to respond to climate change and variability</p> <p>7.2 Number of males and females reached by [or total geographic coverage of] climate-related early warning systems and other risk reduction measures established/ strengthened</p>	<p>1000 Households (52% female)</p> <p>1300 females and 1650 males</p>	<p>15,500 Households - 10% of Households (52% female)</p> <p>809,233 (males) and 875777 (females)-30% of the target population receives accurate and actionable climate information and EW</p>	<p>75,000 Households - 50% of Households (52% female)</p> <p>70% of the target population receives accurate and actionable climate information and EW</p>	<p>Installation of hydromet infrastructure, tailored to the needs of users in wetland areas.</p> <p>Ensuring that data communication streams are functioning and provide data in time to be useful.</p> <p>Trained staff for the operation and maintenance of infrastructure and associated communications systems.</p> <p>Tailored products are communicated according to sectors and needs</p> <p>Improved users' platform for dissemination and for short term action.</p>
<b>PROJECT OUTPUTS:</b>					
<b>Project Output: 1. Restoration and management of wetland hydrology and associated catchment</b>	<p>Wetlands and natural grasslands rehabilitated</p> <p>Surface areas restored, rehabilitated or enriched with grassed, herbaceous and wooded vegetation, reducing loss of top soil, protecting riverbanks and improving infiltration in critical areas</p>	<p>525 Ha of wetlands</p> <p>2000ha of catchment</p>	<p>25,748ha</p> <p>7000 Ha</p>	<p>64,370 ha Wetland</p> <p>11,630 ha</p>	<p>Communities are willing to engage in Ecosystem Based Adaptation activities and see net benefits from it.</p>
<b>Project Output: 2. Improved agricultural practices and alternative livelihood options in the wetland catchment</b>	<p>Percentage increase in agricultural incomes and alternative livelihoods in the project sites.</p> <p>Number of women involved in livelihoods and employability interventions in the project sites.</p>	<p>30% (1000 HH)</p> <p>100 Households (244 women) livelihoods.</p>	<p>60</p> <p>1,000 (2,440 women)</p>	<p>100% increase in agricultural incomes. 50,500HHs</p> <p>11,200HH (5,712 women) (7000-capture fisheries, 2800-apiary, 1,400-ecotourism)</p>	<p>Farmer acceptability of adaptation measures may limit project implementation.</p>

<b>Project Output: 3. Strengthening access to climate and early warning information to farmers and other target communities</b>	% of population with access to improved climate information and drought, flood and severe storm warnings (disaggregated by gender).  Number of early flood warning systems installed in vulnerable communities	20% (of the total project area population around 3.9 Million people)  10 installations	60%  30	85% of men and women in the project area have access to improved climate information and flood, drought and severe weather warnings  40 Installations	Awareness raising activities, and the demonstration of the advantages of responding to the information provided through the established EWS, will ensure the commitment of the communities in participating in the GCF project.
<i>While no project activities were included in the above resources framework, this information can be found in <a href="#">Annex 10</a> of the GCF Funding Proposal</i>					

## VIII. MANAGEMENT ARRANGEMENTS

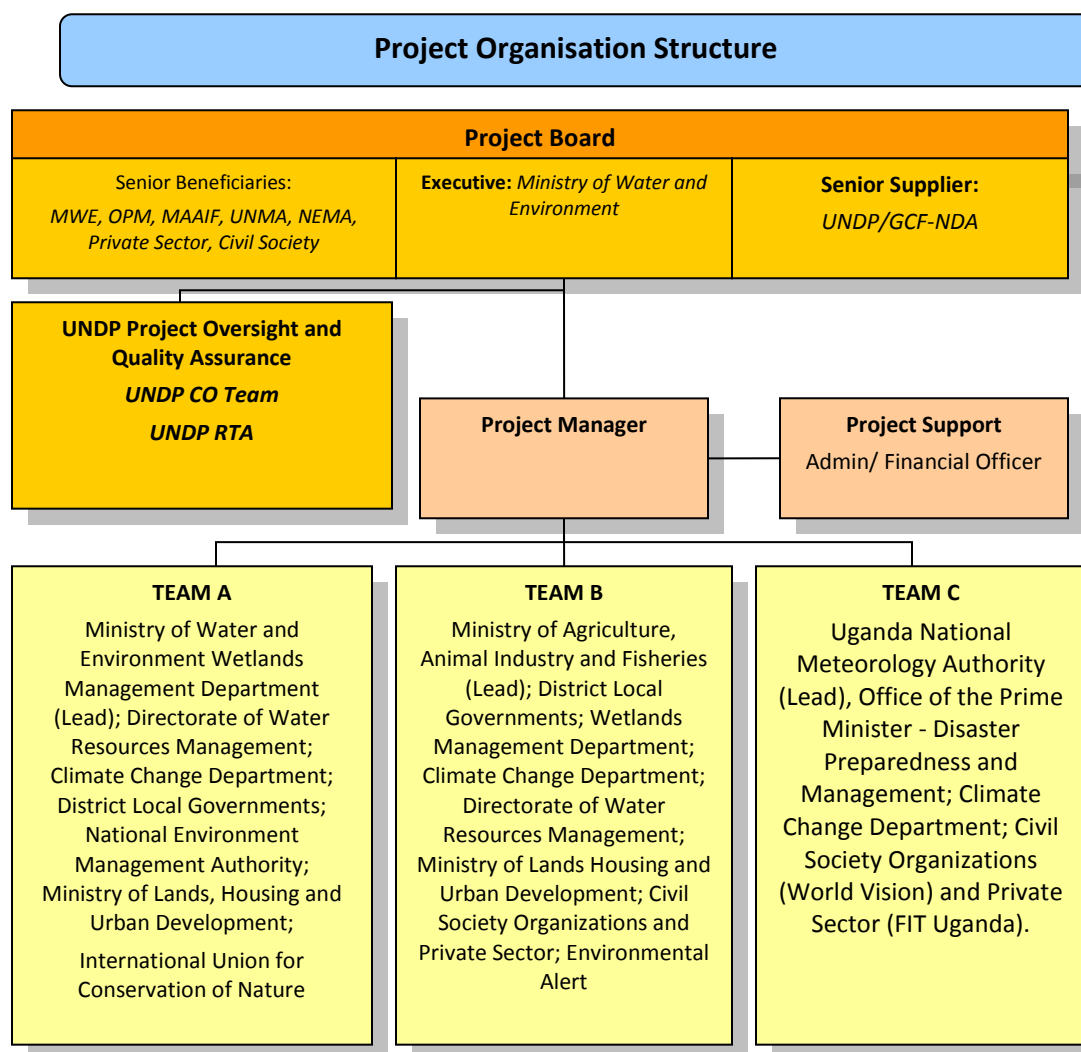
### i. Roles and responsibilities of the project's governance mechanism:

The project will be implemented following UNDP's national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of Uganda, and the Country Programme.

The **Implementing Partner** for this project is the Ministry of Water and Environment. The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. The Implementing Partner is responsible for:-

- Approving and signing the multiyear work plan;
- Approving and signing the combined delivery report at the end of the year and;
- Signing the financial report or the funding authorization and certificate of expenditures.

The project organisation structure is as follows:



**Project Board:** The Project Board (also called Project Steering Committee) is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendations for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager.

Specific responsibilities of the Project Board include:-

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the project manager;
- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- Agree on project manager's tolerances as required;
- Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the work plan;
- Provide ad hoc direction and advice for exceptional situations when the project manager's tolerances are exceeded; and
- Assess and decide to proceed on project changes through appropriate revisions.

The composition of the Project Board must include the following roles:

- 1) **Executive:** The Executive is an individual who represents ownership of the project who will chair the Project Board. This role can be held by a representative from the Government Cooperating Agency or UNDP. The Executive is the Permanent Secretary for Ministry of Water and Environment.

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive has to ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities: (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organization structure and logical set of plans;
- Set tolerances in the AWP and other plans as required for the Project Manager;
- Monitor and control the progress of the project at a strategic level;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief relevant stakeholders about project progress;
- Organize and chair Project Board meetings.

- 2) **Senior Supplier:** The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role. The Senior Supplier is UNDP and GCF National Designated Authority.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.

- 3) **Senior Beneficiary:** The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the government or civil society. The Senior Beneficiaries are the Ministry of Water and Environment, Office of the Prime Minister; Ministry of Agriculture, Animal Industry and Fisheries; Uganda National Meteorology Authority; National Environment Management Authority, International Union for Conservation (to support implementation of Output 1) of Nature and Environment Alert (to support implementation of Output 2).

The Senior Beneficiaries are responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored.

**Project Manager:** The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The Implementing Partner appoints the Project Manager, who should be different from the Implementing Partner's representative in the Project Board.

Specific responsibilities include:

- Provide direction and guidance to project team(s)/ responsible party (ies);
- Liaise with the Project Board to assure the overall direction and integrity of the project;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Plan the activities of the project and monitor progress against the project results framework and the approved annual work plan;
- Mobilize personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work;
- Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments or reimbursement using the fund authorization and certificate of expenditures;
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports;
- Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- Capture lessons learned during project implementation;
- Prepare the annual work plan for the following year; and update the Atlas Project Management module if external access is made available.
- Prepare the Annual Progress Report, and submit the final report to the Project Board;

- Based on the Annual Progress Report and the Project Board review, prepare the AWP for the following year.
- Ensure the mid-term review process is undertaken as per the UNDP guidance, and submit the final MTR report to the Project Board.
- Identify follow-on actions and submit them for consideration to the Project Board;
- Ensure the terminal evaluation process is undertaken as per the UNDP guidance, and submit the final TE report to the Project Board;

**Project Assurance:** UNDP provides a three – tier supervision, oversight and quality assurance role – funded by the agency fee – involving UNDP staff in Country Offices and at regional and headquarters levels. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. This project oversight and quality assurance role is covered by the accredited entity fee provided by the GCF.

As an Accredited Entity to the GCF, UNDP delivers the following GCF-specific oversight and quality assurance services: (i) day to day project oversight supervision covering the start-up and implementation; (ii) oversight of project completion; and (iii) oversight of project reporting. A detailed list of the services is presented in the table below.

Function	Detailed description of activity	Typical GCF fee breakdown
Day-to-day oversight supervision	<p><b>1. Project start-up:</b></p> <ul style="list-style-type: none"> <li>• In the case of Full Funding Proposals, prepare all the necessary documentation for the negotiation and execution of the Funding Activity Agreement (for the project) with the GCF, including all schedules</li> <li>• In the case of readiness proposals, if needed assist the NDA and/or government partners prepare all the necessary documentation for approval of a readiness grant proposal</li> <li>• Prepare the Project Document with the government counterparts</li> <li>• Technical and financial clearance for the Project Document</li> <li>• Organize Local Project Appraisal Committee</li> <li>• Project document signature</li> <li>• Ensure quick project start and first disbursement</li> <li>• Hire project management unit staff</li> <li>• Coordinate/prepare the project inception workshop</li> <li>• Oversee finalization of the project inception workshop report</li> </ul> <p><b>2. Project implementation:</b></p> <ul style="list-style-type: none"> <li>• <u>Project Board</u>: Coordinate/prepare/attend annual Project Board Meetings</li> <li>• <u>Annual work plans</u>: Quality assurance of annual work plans prepared by the project team; issue UNDP annual work plan; strict monitoring of the implementation of the work plan and the project timetable according to the conditions of the FAA and disbursement schedule (or in the case of readiness the approved readiness proposal)</li> <li>• <u>Prepare GCF/UNDP annual project report</u>: review input provided by Project Manager/team; provide specialized technical support and complete required sections</li> <li>• <u>Portfolio Report (readiness)</u>: Prepare and review a Portfolio Report of all readiness activities done by UNDP in line with Clause 9.02 of the Readiness Framework Agreement.</li> <li>• <u>Procurement plan</u>: Monitor the implementation of the project procurement plan</li> <li>• <u>Supervision missions</u>: Participate in and support in-country GCF</li> </ul>	70%

Function	Detailed description of activity	Typical GCF fee breakdown
	<p>visits/learning mission/site visits; conduct annual supervision/oversight site missions</p> <ul style="list-style-type: none"> <li>• <u>Interim Independent Evaluation Report</u>: Initiate, coordinate, finalize the project interim evaluation report and management response</li> <li>• <u>Risk management and troubleshooting</u>: Ensure that risks are properly managed, and that the risk log in Atlas (UNDP financial management system) is regularly updated; Troubleshooting project missions from the regional technical advisors or management and programme support unit staff as and when necessary (i.e. high risk, slow performing projects)</li> <li>• <u>Project budget</u>: Provide quality assurance of project budget and financial transactions according to UNDP and GCF policies</li> <li>• <u>Performance management of staff</u>: where UNDP supervises or co-supervises project staff</li> <li>• <u>Corporate level policy functions</u>: Overall fiduciary and financial policies, accountability and oversight; Treasury Functions including banking information and arrangements and cash management; Travel services, asset management, and procurement policies and support; Management and oversight of the audit exercise for all GCF projects; Information Systems and Technology provision, maintenance and support; Legal advice and contracting/procurement support policy advice; Strategic Human Resources Management and related entitlement administration; Office of Audit and Investigations oversight/investigations into allegations of misconduct, corruption, wrongdoing and fraud; and social and environmental compliance unit and grievance mechanism.</li> </ul>	
<p><b>Oversight of project completion</b></p>	<ul style="list-style-type: none"> <li>• Initiate, coordinate, finalize the Project Completion Report, Final Independent Evaluation Report and management response</li> <li>• Quality assurance of final evaluation report and management response</li> <li>• Independent Evaluation Office assessment of final evaluation reports; evaluation guidance and standard setting</li> <li>• Quality assurance of final cumulative budget implementation and reporting to the GCF</li> <li>• Return of any un-spent GCF resources to the GCF</li> </ul>	<p>10%</p>
<p><b>Oversight of project reporting</b></p>	<ul style="list-style-type: none"> <li>• Quality assurance of the project interim evaluation report and management response</li> <li>• Technical review of project reports: quality assurance and technical inputs in relevant project reports</li> <li>• Quality assurance of the GCF annual project report</li> <li>• Preparation and certification of UNDP annual financial statements and donor reports</li> <li>• Prepare and submit fund specific financial reports</li> </ul>	<p>20%</p>
	<p><b>TOTAL</b></p>	<p><b>100%</b></p>



## **II. Direct Project Services as requested by Government**

The UNDP Country Office will also deliver a pre-determined set of project-specific execution services at the request of the Government. To ensure the strict independence required by the GCF and in accordance with the UNDP Internal Control Framework, these execution services should be delivered independent from the GCF-specific oversight and quality assurance services (i.e. not done by same person to avoid conflict of interest).

These execution services will be charged to the project budget in accordance with the [UNDP's Harmonized Conceptual Funding Framework and Cost Recovery Methodology](#). The Letter of Agreement between the UNDP CO and IP for the following Direct Project Costs is included in Annex 2.

The government has requested UNDP to undertake the following services:

### **Services related to procurement (including but not limited to):**

- Procurement of goods and equipment
- admin. and customs clearance
- logistics for delivery
- Procurement of services
- Processing terms of reference for recruitments
- Consultant recruitments
- Advertising
- Short-listing & selection
- Contract issuance
- Administrative services for consultant mobilization

### **Services related to finance (including but not limited to):**

- Payments
- Creation of vendor forms
- Issuing cheques

## **III. Agreement on intellectual property rights and use of logo on the project's deliverables**

In order to accord proper acknowledgement to the GCF for providing grant funding, the GCF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GCF will also accord proper acknowledgement to the GCF as per the GCF branding guidelines.

## **IV. Disclosure of information**

Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy<sup>14</sup> and the GCF Disclosure Policy<sup>15</sup>.

## **V. Carbon offsets or units**

As outlined in the AMA agreement between UNDP and the GCF, to the extent permitted by applicable laws and regulations, the Implementing Partner will ensure that any greenhouse gas emission reductions (e.g. in emissions by sources or an enhancement of removal by sinks) achieved by this project shall not be converted into any offset credits or units generated thereby, or if so converted, will be retired without allowing any other emissions of greenhouse gases to be offset.

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<sup>14</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>15</sup> See [https://www.greenclimate.fund/documents/20182/184476/GCF\\_B.12\\_24\\_-\\_Comprehensive\\_Information\\_Disclosure\\_Policy\\_of\\_the\\_Fund.pdf/f551e954-baa9-4e0d-bec7-352194b49bcb](https://www.greenclimate.fund/documents/20182/184476/GCF_B.12_24_-_Comprehensive_Information_Disclosure_Policy_of_the_Fund.pdf/f551e954-baa9-4e0d-bec7-352194b49bcb)

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## IX. MONITORING AND EVALUATION (M&E) PLAN

The project results as outlined in the project results framework will be monitored and reported annually and evaluated periodically during project implementation to ensure the project effectively achieves these results. Full monitoring and evaluation plans have been included in [Annex 8](#) and [Annex 9](#) respectively.

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](#) and [UNDP Evaluation Policy](#). While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GCF-specific M&E requirements will be undertaken in accordance with relevant GCF policies.

In addition to these mandatory UNDP and GCF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Workshop Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including national/regional institutes assigned to undertake project monitoring.

### i. M&E oversight and monitoring responsibilities

**Project Manager:** The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF Regional Technical Advisor of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Project Manager will develop annual work plans to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the Annual Progress Report, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. Environmental and social management plan, gender action plan etc..) occur on a regular basis.

**Project Board:** The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

**Project Implementing Partner:** The Implementing Partner is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

**UNDP Country Office:** The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key M&E activities including the Annual Progress Report, the independent mid-term review and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GCF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the [UNDP POPP](#). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the Annual Progress Report and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. Annual Progress Report quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will support GCF staff (or their designate) during any missions undertaken in the country, and support any ad-hoc checks or ex post evaluations that may be required by the GCF.

The UNDP Country Office will retain all project records for this project for up to seven years after project financial closure in order to support any ex-post reviews and evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GCF.

**UNDP-Global Environmental Finance Unit (UNDP-GEF):** Additional M&E and implementation oversight, quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as outlined in the management arrangement section above.

## ii. Audit

The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.<sup>16</sup> Additional audits may be undertaken at the request of the GCF.

## iii. Additional monitoring and reporting requirements

**Inception Workshop and Report:** A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E;
- e) Identify how project M&E can support national monitoring of SDG indicators as relevant;
- f) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender action plan; and other relevant strategies;
- g) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- h) Plan and schedule Project Board meetings and finalize the first year annual work plan.

The Project Manager will prepare the inception workshop report no later than one month after the inception workshop. The inception workshop report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.

**Annual Project Report:** The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Adviser will provide objective input to the annual project report covering the calendar year for each year of project implementation. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance so that progress can be included in the report. Any environmental and social risks and related management plans will be monitored regularly, and progress will be included in the report.

The Annual Project Report will be shared with the Project Board. The UNDP Country Office will coordinate the input of other stakeholders to the report as appropriate. The quality rating of the previous year's report will be used to inform the preparation of the subsequent report.

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<sup>16</sup> See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

**Lessons learned and knowledge generation:** Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

**Interim independent evaluation:** An independent mid-term review process will begin after the second Annual Project Report has been submitted to the GCF, and the Interim independent evaluation report will be submitted to the GCF within 3 months after Year 4. The Interim independent evaluation findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review process and the Interim independent evaluation report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center \(ERC\)](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

**Final Independent Evaluation:** An independent evaluation will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin at least three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. This is expected to be 3 months before the end of the project (Year 8).

The Project Manager will remain on contract until the Independent Evaluation report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Additional quality assurance support is available from the UNDP-GEF Directorate. The final Independent Evaluation report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The Independent Evaluation report will be publically available in English on the UNDP ERC.

The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC).

**Final Report:** The project's final Annual Project Report along with the Independent Evaluation report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

## Mandatory GCF M&E Requirements and M&E Budget:

GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>17</sup> (US\$)		Time frame
		GCF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 11,000	USD 5,000	Within 6 months of FAA effectiveness date
Inception Report	Project Manager	None	None	Within 6 months of FAA effectiveness date
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework <i>(including hiring of external experts, project surveys, data analysis etc ...)</i>	Project Manager	Per year: USD 8,000		Annually
Annual Project Report	Project Manager and UNDP Country Office and UNDP-GEF team	None	None	Annually
NIM Audit as per UNDP audit policies	UNDP Country Office	USD 3,000	None	Annually or other frequency as per UNDP Audit policies
Lessons learned, case studies, and knowledge generation	Project Manager	Per year: USD 7,000	USD 10,000	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Manager UNDP CO	Per year: USD 8,000	USD 10,000	On-going
Monitoring of gender action plan	Project Manager UNDP CO	Per year: USD 4,000	USD 4,000	On-going
Monitoring of stakeholder engagement plan	Project Manager UNDP Country Office	Per year: USD 4,000	USD 4,000	On-going
Addressing environmental and social grievances	Project Manager UNDP Country Office BPPS as needed	USD 10,000	USD 10,000	<i>Costs associated with missions, workshops, BPPS expertise etc. can be charged to the project budget.</i>
Project Board meetings	Project Board UNDP Country Office Project Manager	Per year: USD 13,000	USD 10,000	At minimum annually
Supervision missions	UNDP Country Office	None <sup>18</sup>	USD 10,000	Two per year
Oversight missions	UNDP-GEF team	None <sup>18</sup>	USD 10,000	Troubleshooting as needed
GCF learning missions/site visits	UNDP Country Office and Project Manager and UNDP-GEF team	USD 20,000	USD 10,000	To be determined.
Interim independent evaluation	UNDP Country Office and	USD 40,000	USD 5,000	

<sup>17</sup> Excluding project team staff time and UNDP staff time and travel expenses.

<sup>18</sup> The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GCF Agency Fee.

GCF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget <sup>17</sup> (US\$)		Time frame
		GCF grant	Co-financing	
and management response	Project team and UNDP-GEF team			
Final Independent Evaluation included in UNDP evaluation plan, and management response	UNDP Country Office and Project team and UNDP-GEF team	USD 40,000	USD 10,000	At least three months before operational closure
Translation of Interim independent evaluation and Final Independent Evaluation reports into English	UNDP Country Office	USD 10,000	None	As required. GCF will only accept reports in English.
<b>TOTAL indicative COST</b> Excluding project team staff time, and UNDP staff and travel expenses		<i>USD 507,000</i>	<i>USD 98,000</i>	

## X. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is USD 44.262 million. This is financed through a GCF grant of USD 24.14 million, USD 2 million in cash co-financing to be administered by UNDP and USD 18.122 million in parallel co-financing. UNDP, as the GCF Accredited Agency, is responsible for the oversight and quality assurance of the execution of GCF resources and the cash co-financing transferred to UNDP bank account only.

### i. Project Financing

Component	Outputs	Financing institution (US\$) in millions			Total (US\$) millions
		GCF	Government	UNDP	
		Grant	Grant	Grant	
Component 1. Restored and sustainably managed wetlands for resilient livelihoods	1: Restoration and management of wetland hydrology and associated forests	10.619	12.5	0.1	23.219
	2: Improved agricultural practices and alternative livelihood options in the wetland catchment	8.674	5	1	14.674
	3: Strengthening access to climate and early warning information to farmers and other target communities	3.732	0.622	0.9	5.254
	Project Management	1.115			1.115
<b>Total</b>		<b>24.140</b>	<b>18.122</b>	<b>2</b>	<b>44.262</b>

### ii GCF Disbursement schedule

GCF grant funds will be disbursed according to the GCF disbursement schedule. The Country Office will submit an annual work plan to the UNDP-GEF Unit and comply with the GCF milestones in order for the next tranche of project funds to be released. All efforts must be made to achieve 80% delivery annually.

Disbursements	Amount (in USD)	Indicative expected month and year of disbursement
Disbursement 1	2,617,968	August 2017
Disbursement 2	1,782,136	August 2018
Disbursement 3	3,479,526	August 2019
Disbursement 4	4,040,468	August 2020
Disbursement 5	4,191,529	August 2021
Disbursement 6	3,997,739	August 2022
Disbursement 7	2,773,232	August 2023
Disbursement 8	1,257,563	August 2024
<b>Total</b>	<b>24,140,160</b>	

### **iii Budget Revision and Tolerance**

10% of the total projected costs per year can be reallocated among the budget account categories within the same project output. Any budget reallocation involving a major change in the project's scope, structure, design or objectives or any other change that substantially alters the purpose or benefit of the project requires the GCF's prior written consent.

As outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board (within the GCF requirements noted above). Should such deviation occur, the Project Manager and UNDP Country office will seek the approval of the UNDP-GEF Unit.

### **iv Refund to GCF**

Unspent GCF resources must be returned to the GCF. Should a refund of unspent funds to the GCF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

### **v Project Closure**

Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.<sup>19</sup> On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

### **vi Operational completion**

The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed.

Transfer or disposal of assets: In consultation with the NIM Implementing Partner and other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file. In addition, the following GCF requirements must be followed: As stated in Clause 9.03 of the Funding Activity Agreement included in Annex [1], the Accredited Entity shall inform the GCF, in the final APR, which steps it intends to take in relation to the durable assets and/or equipment purchased with the GCF Proceeds to implement the Funded Activity.

### **vii Financial completion**

The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) The Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project is required to be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

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<sup>19</sup> see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>



## XI. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan	
<sup>20</sup> Proposal or Award ID:	00104372 Atlas Primary Output Project ID: 00105972
Atlas Proposal or Award Title:	Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda
Atlas Business Unit	UGA10
Atlas Primary Output Project Title	Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda
UNDP-GEF PIMS No.	5711
Implementing Partner	Ministry of Water and Environment

Component	Project Outputs / ATLAS Activities	Responsible Party (Atlas Implementing Agent)	Financing Source	Atlas Budget Acc. Code	Budget Account Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Amount Year 7 (USD)	Amount Year 8 (USD)	Total (USD)	Budget Note
Restored and sustainably managed wetlands for resilient livelihoods	Output 1. Restoration and management of wetland hydrology and associated forests  GEN 2	Ministries of Water and Environment, Agriculture, Animal Industry and Fisheries, Uganda National Meteorology Authority	GCF	71300	Local Consultants	47,486	47,486	80,726	80,726	80,726	61,732	37,989	37,989	474,860	1
				71400	Contractual Services - Individual	14,482	14,482	31,377	36,204	36,204	36,204	36,204	36,204	241,360	2
				72100	Contractual Services-Companies	168,216	252,324	1,429,834	1,598,049	1,513,941	1,513,941	1,513,941	420,539	8,410,786	3
				71600	Travel	10,991	10,991	11,723	10,991	10,991	5,862	5,862	5,862	73,270	4
				72200	Equipment and Furniture*	748,135	290,941	-	-	-	-	-	-	1,039,076	5
				72500	Supplies	30,000	32,500	30,000	32,500	30,000	32,500	30,000	32,500	250,000	6
				75700	Training, Workshops and Confer	14,223	29,739	14,223	14,223	14,223	14,223	14,223	14,223	129,300	7
					<b>Sub-total Output 1 GCF</b>	<b>1,033,532</b>	<b>678,462</b>	<b>1,597,883</b>	<b>1,772,693</b>	<b>1,686,085</b>	<b>1,664,462</b>	<b>1,638,219</b>	<b>547,317</b>	<b>10,618,652</b>	
	UNDP	71200	International Consultants	-	-	-	30,000	-	-	-	0	30,000	8		

<sup>20</sup> See separate guidance on how to enter the TBWP into Atlas

Component	Project Outputs / ATLAS Activities	Responsible Party (Atlas Implementing Agent)	Financing Source	Atlas Budget Acc. Code	Budget Account Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Amount Year 7 (USD)	Amount Year 8 (USD)	Total (USD)	Budget Note
				71600	Travel	-	-	-	10,000	-	-	-	10,000	20,000	9
				71300	Local Consultants etc	-	-	-	25,000	-	-	-	25,000	50,000	10
					<b>Sub-total Output 1 UNDP</b>	-	-	-	<b>65,000</b>	-	-	-	<b>35,000</b>	<b>100,000</b>	
			MWE	71400	Contractual Services - Individual	50,000	50,000	100,000	100,000	100,000	50,000	25,000	25,000	500,000	11
				71600	Travel	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	400,000	12
				72100	Contractual Services-Companies	30,000	56,000	1,316,000	1,416,000	1,416,000	1,426,000	1,400,000	450,000	7,510,000	13
				72300	Equipment and Furniture	500,000	500,000	500,000	500,000	350,000	350,000	350,000	350,000	3,400,000	14
				72500	Supplies	30,000	30,000	30,000	30,000	30,000	30,000	30,000	30,000	240,000	15
				75700	Training, Workshops and Confer	50,000	100,000	50,000	50,000	50,000	50,000	50,000	50,000	450,000	16
					<b>Sub-total Output 1 GoU</b>	<b>710,000</b>	<b>786,000</b>	<b>2,046,000</b>	<b>2,146,000</b>	<b>1,996,000</b>	<b>1,956,000</b>	<b>1,905,000</b>	<b>955,000</b>	<b>12,500,000</b>	
					<b>TOTAL Output 1</b>	<b>1,743,532</b>	<b>1,464,462</b>	<b>3,643,883</b>	<b>3,983,693</b>	<b>3,682,085</b>	<b>3,620,462</b>	<b>3,543,219</b>	<b>1,537,317</b>	<b>23,218,652</b>	
	Output 2. Improved agricultural practices and alternative livelihood options in the wetland catchment GEN 2	Ministries of Water and Environment, Agriculture, Animal Industry and Fisheries, Uganda National Meteorology	GCF	71300	Local Consultants	11,034	13,792	9,654	8,275	8,275	5,517	6,206	6,206	68,960	17
				71400	Contractual Services - Individ	50,427	100,854	100,854	100,854	72,839	67,236	44,824	22,412	560,300	18
				72100	Contractual Services-Companies	291,024	218,268	1,164,096	1,236,852	1,818,900	1,746,144	582,048	218,268	7,275,600	19
				72200	Equipment and Furniture*	240,093	-	-	98,066	-	-	-	-	338,159	20
				75700	Training, Workshops and Confer	21,550	211,190	64,650	47,410	34,480	17,240	17,240	17,240	431,000	21

Component	Project Outputs / ATLAS Activities	Responsible Party (Atlas Implementing Agent)	Financing Source	Atlas Budget Acc. Code	Budget Account Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Amount Year 7 (USD)	Amount Year 8 (USD)	Total (USD)	Budget Note
		Authority			<b>Sub-total Output 2 GCF</b>	<b>614,127</b>	<b>544,104</b>	<b>1,339,254</b>	<b>1,491,457</b>	<b>1,934,494</b>	<b>1,836,137</b>	<b>650,318</b>	<b>264,126</b>	<b>8,674,019</b>	
			UNDP	72500	Office Supplies	90,000	180,000	180,000	135,000	90,000	90,000	90,000	45,000	900,000	22
				74500	Miscellaneous	10,000	20,000	20,000	15,000	10,000	10,000	10,000	5,000	100,000	23
					<b>Sub-total Output 2 UNDP</b>	<b>100,000</b>	<b>200,000</b>	<b>200,000</b>	<b>150,000</b>	<b>100,000</b>	<b>100,000</b>	<b>100,000</b>	<b>50,000</b>	1,000,000	
			MWE	72100	Contractual Services-Companies	30,000	56,000	500,000	500,000	500,000	500,000	1,400,000	450,000	3,936,000	24
				72500	Office supplies	30,000	30,000	30,000	30,000	30,000	30,000	30,000	30,000	240,000	25
				75700	Training, Workshops and Confer	70,000	154,000	100,000	100,000	100,000	100,000	100,000	100,000	824,000	26
					<b>Sub-total Output 2 GoU</b>	<b>130,000</b>	<b>240,000</b>	<b>630,000</b>	<b>630,000</b>	<b>630,000</b>	<b>630,000</b>	<b>1,530,000</b>	<b>580,000</b>	<b>5,000,000</b>	
					<b>TOTAL Output 2</b>	<b>844,127</b>	<b>984,104</b>	<b>2,169,254</b>	<b>2,271,457</b>	<b>2,664,494</b>	<b>2,566,137</b>	<b>2,280,318</b>	<b>894,126</b>	<b>14,674,019</b>	
	Output 3. Strengthening access to climate and early warning information to farmers and other target communities	Ministries of Water and Environment, Agriculture, Animal Industry and Fisheries, Uganda National Meteorology Authority	GCF	71200	International Consultants	48,675	48,675	48,675	82,748	92,483	82,748	43,808	38,940	486,750	27
				71300	Local Consultants	24,813	31,016	21,711	18,610	18,610	12,407	13,957	13,957	155,082	28
				71400	Contractual Services - Individ	30,503	47,280	13,727	12,201	12,201	12,201	12,201	12,201	152,517	29
				72100	Contractual Services-Companies	3,564	23,163	40,980	1,782	4,454	5,345	4,454	5,345	89,088	30
				71600	Travel	24,496	68,589	68,589	73,488	68,589	68,589	58,790	58,790	489,920	31
				72200	Equipment and Furniture*	520,503	-	-	212,600	-	-	-	-	733,103	32
	GEN 2			72400	Communic & Audio Visual Equip	21,662	93,868	101,089	101,089	101,089	101,089	101,089	101,089	722,062	33

Component	Project Outputs / ATLAS Activities	Responsible Party (Atlas Implementing Agent)	Financing Source	Atlas Budget Acc. Code	Budget Account Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Amount Year 7 (USD)	Amount Year 8 (USD)	Total (USD)	Budget Note
				72500	Supplies	3,866	4,189	3,866	4,189	3,866	4,189	3,866	4,189	32,220	34
				72800	Information Technology Equipmt	65,560	-	-	65,560	-	-	-	-	131,120	35
				73100	Rental & Maintenance -Premises	7,241	13,447	13,447	14,482	13,447	13,447	13,447	14,482	103,440	36
				73400	Rental & Maint of Other Equip	8,193	8,875	8,193	8,875	8,193	8,875	8,193	8,875	68,272	37
				74100	Professional Services	19,500	21,124	19,500	21,124	19,500	21,124	19,500	21,124	162,496	38
				74200	Audio Visual&Print Prod Costs	3,751	1,607	1,072	1,072	4,822	4,822	4,822	4,822	26,790	39
				74500	Miscellaneous Expenses	3,793	4,138	4,138	4,138	3,793	4,827	4,827	4,827	34,480	40
				75700	Training, Workshops and Confer	37,964	79,380	37,964	37,964	37,964	37,964	37,964	37,964	345,129	41
					<b>Sub-total Output 3 GCF</b>	<b>824,083</b>	<b>445,352</b>	<b>382,950</b>	<b>659,920</b>	<b>389,011</b>	<b>377,627</b>	<b>326,919</b>	<b>326,607</b>	<b>3,732,469</b>	
			UNDP	72500	Office Supplies	180,000	90,000	90,000	90,000	90,000	90,000	90,000	90,000	810,000	42
				74500	Miscellaneous	20,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	90,000	43
					<b>Sub-total Output 3 UNDP</b>	<b>200,000</b>	<b>100,000</b>	<b>100,000</b>	<b>100,000</b>	<b>100,000</b>	<b>100,000</b>	<b>100,000</b>	<b>100,000</b>	<b>900,000</b>	
			MWE	72100	Contractual services - Companies	50,000	80,000	80,000	80,000	80,000	60,000	50,000	10,000	490,000	44
				75700	Training, Workshops and Conferences	10,000	25,000	25,000	20,000	15,000	10,000	10,000	9,000	124,000	45
				74500	Miscellaneous Expenses	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	8,000	46
					<b>Sub-total</b>	<b>61,000</b>	<b>106,000</b>	<b>106,000</b>	<b>101,000</b>	<b>96,000</b>	<b>71,000</b>	<b>61,000</b>	<b>20,000</b>	<b>622,000</b>	

Component	Project Outputs / ATLAS Activities	Responsible Party (Atlas Implementing Agent)	Financing Source	Atlas Budget Acc. Code	Budget Account Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Amount Year 7 (USD)	Amount Year 8 (USD)	Total (USD)	Budget Note
					<b>Output 3 GoU</b>										
					<b>TOTAL Output 3</b>	<b>1,085,083</b>	<b>651,352</b>	<b>588,950</b>	<b>860,920</b>	<b>585,011</b>	<b>548,627</b>	<b>487,919</b>	<b>446,607</b>	<b>5,254,469</b>	
	Project management Unit	Ministries of Water and Environment, Agriculture, Animal Industry and Fisheries, Uganda National Meteorology Authority	GCF	71400	Contractual Services - Individual	49,775	54,300	58,825	54,300	58,825	58,825	58,825	58,825	452,500	47
72400				Communication & Audio Visual Equip	6,535	28,317	30,495	30,495	30,495	30,495	30,495	30,495	30,495	217,820	48
72500				Supplies	523	1,950	2,080	1,950	2,080	1,430	1,560	1,430	13,003	49	
72800				Information Technology Equipment	22,500	-	-	-	22,500	-	-	-	45,000	50	
74100				Professional Services	2,880	3,120	2,880	3,120	2,880	3,120	2,880	3,120	24,000	51	
64397				Direct Project Costs	64,013	26,532	65,159	26,532	65,159	25,643	64,016	25,643	362,697	52	
					<b>Total Project Management</b>	<b>146,226</b>	<b>114,219</b>	<b>159,439</b>	<b>116,397</b>	<b>181,939</b>	<b>119,513</b>	<b>157,776</b>	<b>119,513</b>	<b>1,115,020</b>	
<b>Total GCF</b>						<b>2,617,968</b>	<b>1,782,136</b>	<b>3,479,526</b>	<b>4,040,468</b>	<b>4,191,529</b>	<b>3,997,739</b>	<b>2,773,232</b>	<b>1,257,563</b>	<b>4,140,160</b>	
<b>Total Accredited Entity</b>						<b>300,000</b>	<b>300,000</b>	<b>300,000</b>	<b>315,000</b>	<b>200,000</b>	<b>200,000</b>	<b>200,000</b>	<b>185,000</b>	<b>2,000,000</b>	
<b>Total Government</b>						<b>901,000</b>	<b>1,132,000</b>	<b>2,782,000</b>	<b>2,877,000</b>	<b>2,722,000</b>	<b>2,657,000</b>	<b>3,496,000</b>	<b>1,555,000</b>	<b>18,122,000</b>	
<b>Grand Total</b>						<b>3,818,968</b>	<b>3,214,136</b>	<b>6,561,526</b>	<b>7,232,468</b>	<b>7,113,529</b>	<b>6,854,739</b>	<b>6,469,232</b>	<b>2,997,563</b>	<b>44,262,160</b>	

## Budget Notes

No.	Description of cost item
1	<p>Cost of recruiting consultants for confirming Feasibility Study and the Environmental and Social Impact Assessment results and gathering any missing information and technical data.</p> <p>Cost of local consultants for 8 years.</p> <p>Year 1 &amp; 2: two consultants hired @ USD 431.69 per dayx55 days (USD 47,486);</p> <p>Year 3, 4 &amp; 5: three consultants @ USD 448.48 per day x60 days (USD 80,726);</p> <p>Year 6: two consultants @ USD 497.84 per day x 62 days (USD 61,732)</p> <p>Year 7 &amp; 8: two consultants @ USD 474.86 per day x 40 days (USD 37,989) <span style="float: right;">(Total cost = USD 474,860)</span></p>
2	<p>National Project Management Specialist: 8-year assignment budgeted for. Tasks are roughly 10% managerial (amount allocated to the project's management budget) and 90% technical (allocated equally across the three outputs).</p> <p>Year 1 &amp; 2: annual salary @ USD 1,206.83 x 12 (USD 14,482)</p> <p>Year 3: annual salary @ USD 2,614.75 x 12 (USD 31,377)</p> <p>Year 4,5,6,7 &amp; 8: annual salary @ USD 3,017 x 12 (USD 36,204) <span style="float: right;">(Total Cost = USD 241,360)</span></p>
3	<p>Service provision contract (International Procurement) - Capacity building and training developed on sustainable wetlands management and delivered to national and sub-national level government officers. (120 people including approx. 30 national and District level planners, 60 local community leaders plus 30 staff from NGOs/CSOs X 175 trainings X USD 20,000 = USD 420,540).</p> <p>Service provision contract (International Procurement) - Raising awareness at community level on the ecosystem services of wetlands and their importance for sustainable livelihoods. From year 3 onwards, cost of Small-scale water storage and detention facilities designed and constructed or rehabilitated in critical waterways for communities to benefit from enhanced ecosystem functioning (320 trainings X USD 5000 = USD 1,600,000).</p> <p>Implementation costs:</p> <ul style="list-style-type: none"> <li>- Increased water storage and improved inlet streams (USD 1,390,246).</li> <li>- Degraded catchment rehabilitation and land productivity improvement (USD 1,000,000).</li> <li>- Restoration of wetlands and associated forests in the project area enhancing their ability to mitigate the effects of flooding and drought (USD 2,000,000).</li> <li>- Climate scenarios and trends analyzed to support decision making, planning and implementation of adaptation and mitigation measures (USD 2,000,000).</li> </ul>
4	<p>Travel costs in connection with project activities under this output. (USD 73,270).</p>
5	<p>Procurement of office equipment and furniture including 2 Earth moving equipment and its accessories (USD 847,076), 2-Double Cabin Four-wheel drive vehicles (60,000), 2 Station Wagon Four Wheel vehicles (USD 80,000) and 13 Motor cycles for participating Districts (USD 52,000). Total cost is USD 1,039,076.</p>
6	<p>Office supplies (e.g., toner, paper) for the Project Coordination Unit. (Lump sum of USD 31,250 per year for 8 years = USD 250,000).</p>
7	<p>Workshop and meeting costs sustainable wetlands management for national and sub national level government officers and other activities under Output 1. (USD, 129,300).</p>

No.	Description of cost item
8	International Consultant for Mid Term Review and Terminal Evaluation of the project @ USD 600 per day for 50 days = USD 30,000.
9	Travel cost during Mid-term and Terminal Evaluations (USD 20,000).
10	Local Consultant for Mid-term and Terminal evaluations: USD 500/day X 100days (USD 50,000).
11	<p>Salaries for Project staff recruited by Government for 8 years (USD 500,000) broken down as follows:</p> <p>Year 1, 2 &amp; 6:</p> <ul style="list-style-type: none"> <li>• National Coordinator \$1,500/month x 12</li> <li>• Finance and Administrative Officer \$1,250/month x 12</li> <li>• Administrative Assistant \$1,000/month x 12</li> <li>• Chauffeur \$416.66/month x 12</li> </ul> <p>Year 3, 4 &amp; 5:</p> <ul style="list-style-type: none"> <li>• National Coordinator \$2,433.33/month x 12</li> <li>• Finance and Administrative Officer \$1,650/month x 12</li> <li>• Administrative Assistant \$1,300/month x 12</li> <li>• Chauffeur \$700/month x 12</li> <li>• Communication Officer \$2,250/month x 12</li> </ul> <p>Year 7 &amp; 8:</p> <ul style="list-style-type: none"> <li>• Finance and Administrative Officer \$2,083.33/month x 12</li> </ul>
12	Travel for Government officials on project activities including International and Local Air tickets, Daily Subsistence Allowances, subsistence allowance for meeting participants and shipping costs (USD 400,000).
13	<p>Cost of implementing activities under Output 1 (to be covered by Co-financing from Government projects) for Increased water storage and improved inlet streams. Degraded catchment areas rehabilitated and land productivity improved; Wetlands and associated forests in the project area restored, enhancing their ability to mitigate the effects of flooding and drought. Climate scenarios and trends analyzed to supports decision making, planning and implementation of adaptation and mitigation measures (USD 2,500,000).</p> <p>Service provision contract (international procurement - hydraulics &amp; forestry engineering) under ongoing Government projects to implement activities for Critical wetland areas, covering some 1,600 Ha and of ephemeral rivers and lakes in the Wetlands Basin, and which support 24,000 livelihoods, become more resilient to desiccation through improved management of water usage and soil (e.g. deforestation, trampling by livestock), and the replanting and protection of indigenous grasses and herbaceous vegetation resilient to significant climatic variance (USD 2,500,000).</p> <p>Service provision contract (international procurement - hydraulics &amp; forestry engineering) under ongoing Government projects to implement activities for flood and erosion control is ensured through a “surgical” and climate anticipatory approach in the target area, by establishing flood tolerant and erosion resistant grassed and herbaceous swamps (USD 2,510,000).</p>
14	Equipment and furniture including 30 Farm equipment (USD 2,000,000) and 20 Irrigation Equipment (USD 1,400,000).
15	Various supplies, stationaries, camping materials and water purification etc. under this output (USD 30,000/ year x 8 years = USD 240,000).
16	Costs of Workshops, meetings and conferences supported by Government on various restoration and management of wetland hydrology and associated forests under output 1 (45 workshops x USD 10,000 = USD 450,000).

No.	Description of cost item
17	<p>Ecosystem-based Adaptation expert for supporting the adaptation planning and project inception foreseen under activity 2.1 Effective technical expertise on participatory governance, alternative livelihoods and project implementation structures are established, local adaptation plans are implemented, and local commune leaders and resource users are trained in climate adaptive and anticipatory management of natural and social assets</p> <ul style="list-style-type: none"> <li>• Year 1: 1 National Consultant @ \$501.54/day x 22</li> <li>• Year 2: 2 National Consultants @ \$431/day x 16</li> <li>• Year 3: 1 Local Consultant @ \$438.81/day x 22</li> <li>• Year 4 &amp; 5: 1 Local Consultant @ \$551.66/day x 15</li> <li>• Year 6: 1 National Consultant @ \$551.70/day x 10</li> <li>• Year 7 &amp; 8: 1 National Consultant @ \$620.60/day x 10</li> </ul> <p style="text-align: right;">(Total cost = USD 68,960).</p>
18	<p>Contractual services including the followings:</p> <p>Selection of NGOs/CBOs to support implementation of livelihood activities aimed at the technical implementation of activities 2.1 to 2.8.</p> <p>Service provision contract (international procurement - hydraulics &amp; forestry engineering) to implement activities under Activity 2.2: Critical wetland areas, covering some 1,600 ha ephemeral rivers and lakes in the selected Wetland Basins. Support to 24,000 livelihoods so that they become more resilient to desiccation through improved management of water usage and soil (e.g. deforestation, trampling by livestock), and the replanting and protection of indigenous grasses and herbaceous vegetation resilient to significant climatic variance.</p> <p>Service provision contract (international procurement - hydraulics &amp; forestry engineering) to implement activities under Activity 2.3: Flood and erosion control is ensured through a “surgical” and climate anticipatory approach in the target area, by establishing flood tolerant and erosion resistant grassed and herbaceous swamps.</p>
19	<p>Local manufacturers/construction companies will be contracted or their equipment rented for the following undertakings:</p> <p>1) Local manufacturers/ carpenters will be contracted to manufacture modern beehives to be supplied to the farmers (around 10,000) for alternatives to farming in the wetlands – honey markets have been identified.</p> <p>2) Local engineering firms will be contracted to construct new ponds for flood control, ground water recharge, and supplying water for domestic use, animal watering and irrigation. The size of these ponds will depend on the number of households in the catchment area but will not be more than 10 meters wide and 4 meters deep. Household demand for domestic, livestock and irrigation usage is estimated at 200m<sup>3</sup> per year. To account for loses due to evaporation and seepage each household needs 800m<sup>3</sup> in total from the dam. Each dam will be equipped with water extraction mechanism for irrigation as well as animal watering points to prevent direct extraction by animals and people which leads to silting. Each household in the sites is expected to have sufficient water for irrigating 1000m<sup>2</sup> of land for vegetables for 90 days.</p> <p>3) Local construction companies will be contracted to construct fish ponds. Approximately, 30 production ponds will be constructed each year. About 40 rearing ponds will also be constructed each year to supply the production ponds with fingerlings (2.5 fingerlings per metre squared). About 10 breeding ponds will be constructed each year. A 200m<sup>2</sup> will supply fry to all the three rearing ponds. Assuming that the fish will be under supplementary feeding, estimated harvest per year on average is 1800kg for the production ponds (30kg/m<sup>2</sup>).</p>
20	<p>Purchase of Office IT Equipment to the project team at large including</p> <ul style="list-style-type: none"> <li>• 25 Desk top Computers (@ USD 3,000 = USD 75,000),</li> <li>• 10 Laptops (@USD 2,000 = USD 20,000),</li> <li>• 3 Servers (@ USD 6,000 = USD 18,000),</li> <li>• 3 Heavy Duty Printers (@ USD 3,700 = USD 11,100)</li> <li>• 3 Analysis Soft wares (@ USD 34,480 = USD 103,440)</li> </ul>



No.	Description of cost item
	<ul style="list-style-type: none"> <li>• 1 Scanner/Fax Machine (@ USD 13,283 = USD 13,283)</li> <li>• 40 Desks (@ USD 435 = USD 17,400)</li> <li>• 30 Desk Chairs (@ USD 485.75 = USD 14,572.50)</li> <li>• 15 Conference Tables (@ USD 692.50 = USD 10,387.50)</li> <li>• 80 Conference Chairs (@ USD 488.25 = USD 39,060)</li> <li>• 40 Cupboards (@ USD 397.90 = USD 15,916)</li> </ul> <p>Total cost = USD 338,159.</p>
21	<p>Workshop and meeting costs for training national, sub-national and community stakeholders on alternative livelihood options to farming in wetlands such as bee keeping, animal husbandry, fish farming.</p> <p>Provision of skill and entrepreneurship training and placement for employment and business development for over 100,000 beneficiaries in the area.</p>
22	<p>Various supplies, stationary, camping materials and water purification etc. under this output estimated at USD 90,000 (Yr 1), USD 180,000 (Yr 2), USD 180,000 (Yr 3), USD 135,000 (Yr4), USD 90,000 (Yr 5), USD 90,000 (Yr 6), USD 90,000 (Yr 6), USD 90,000 (Yr 7) and USD 45,000 (Yr 8).</p>
23	<p>Miscellaneous costs: insurance, bank charges, security and other blended costs, contingency etc.</p>
24	<p>Contractual services – Companies hired by Government for Agricultural management, Construction and Engineering; Trade and business services, Transportation services and; Studies and research activities in support of Project</p>
25	<p>Various supplies, stationery, camping materials and water purification etc. under this output.</p>
26	<p>Workshop and meeting costs to be co-financed by Government for training national, sub-national and community stakeholders on alternative livelihood options to farming in wetlands such as bee keeping, animal husbandry and fish farming.</p>
27	<p>International Consultant to develop a relevant EWs system for the wetlands, along with specific climate information products such agromet advisories, organizing the communication systems, involving the communities in the CI system, and training of local committees estimated at a total cost of USD 486,750 broken down as follows.</p> <ul style="list-style-type: none"> <li>• Year 1, 2 &amp; 3: 2 International Consultants @\$973.50/day x 25</li> <li>• Year 4 &amp; 6: 3 International Consultants @ \$985.09/day x 28</li> <li>• Year 5: 2 International Consultants @ \$924.83/day x 50</li> <li>• Year 7: 1 International Consultant @ \$973.51/day x 45</li> <li>• Year 8: 1 International Consultant @ \$973.50/day x 40</li> </ul>
28	<p>National hydrological specialist; National meteorological specialist; National training and workshop facilitator; National Communications and ICT specialist.</p> <p>Local consultants to support organizing and conducting equipment surveys/reports, identifying and liaising on procurement of equipment with line ministries and facilitating NHMS etc training programmes.</p> <ul style="list-style-type: none"> <li>• Year 1: 2 Local Consultants @ \$563.93/day x 22</li> <li>• Year 2: 2 Local Consultants @ \$646.16/day x 24</li> <li>• Year 3: 1 Local Consultant @ \$700.35/day x 31</li> <li>• Year 4 &amp; 5: 1 National Consultant @ \$689.25/day x 27</li> <li>• Year 6: 1 National Consultant @ \$496.28/day x 25</li> <li>• Year 7 &amp; 8: 1 Local Consultant @ \$558.28/day x 25</li> </ul>

No.	Description of cost item
29	International expertize for technical support in project management, financial accountability, project cycle management, and financial delivery;
30	Cost to develop, host and maintain an integrated hydro-meteorological database and information management system including costs for upgrading/updating the national UNMA database and information system from CLICOM/ASCII to an appropriate modern system and link to DWRM's water and management information system. Cost to develop, host and maintain a platform and database to operationalize protocols and agreements between UNMA and DWRM.
31	Travel costs including International and Local air tickets, Daily Subsistence Allowance for relevant GoU, UNDP and Project staff as well as meeting participants.
32	<p>Procurement and installation of equipment</p> <ul style="list-style-type: none"> <li>• 8 Synoptic Automatic Weather Stations at Kabale, Kisoro, Kanungu, Rukungiri, Greater Bushenyi and Ntungamo synoptic stations; 17 Agro/hydro-met Automatic Weather Stations in Pallisa, Kibuku, Bukedea, Namutumba, Butaleja, Budaka, Tororo, Kaliro Ngora and Mbale districts all estimated at a cost of USD 202,500.</li> <li>• 16 Automatic Water Level Hydrological Stations @ USD 13,800 = USD 220,800;</li> <li>• 1 Acoustic Doppler current profile estimated at a cost of USD 100,000;</li> <li>• Telecommunications infrastructure including computers, computer servers and software, radiotelephones, portable telephones, GSM/GPRS/GSM/GPRS modems and other equipment for internet access estimated at cost of USD 80,000.</li> <li>• Installation and construction costs for 32 manual stations, including stabilizing power supply with solar panels, batteries and inverters and upgrading weather fences. Calibration and installation costs for 32 AWS upgrades including fieldtrips to sites estimated at a cost of USD 46,700.</li> </ul> <p>Rehabilitation, replacement and upgrading costs for the following equipment estimated at USD 83,103:</p> <ul style="list-style-type: none"> <li>• 5 AWLSs including instalment of solar panels, batteries and wind sensors.</li> <li>• Replace barometers in 12 manual stations.</li> <li>• Upgrade 5 AWSs - replacing the unit.</li> <li>• Upgrade 5 AWSs - replacing sensors on units.</li> <li>• Upgrade 19 AWSs - replacing data loggers on units.</li> <li>• Relocate 5 AWS stations, including installation of new weather fencing. <span style="float: right;">(Total Cost = USD 733,103)</span></li> </ul>
33	<p>Communication &amp; Audio Visual Equipment including Translations, interpretation services, web-design and strengthening existing and/or develop, implement and maintain coordination protocols and agreements between DWRM and DoM.</p> <p>Edit, print and publish protocols, handbooks, and/or guidelines for DoM and DWRM including manuals for AWSs, AWLSs and manual stations as well as other remotely accessible resources regarding the observation network quality control and maintenance toolbox developed.</p> <p>Support documentation and preparation of knowledge products including lessons learned and best practices among others. (Total estimated cost is USD 722,062).</p>
34	Additional Office supplies including stationery under Output 3 estimated at USD 3,866 (Yr 1), USD 4,189 (Yr2), USD 3,866 (Yr 3), USD 4,189 (Yr4), USD 3,866 (Yr 5), USD 4,189 (Yr6), USD 3,866 (Yr 7) and USD 4,189 (Yr8). <span style="float: right;">(Total cost USD 32,220)</span>
35	Information technology equipment including Acquisition of 25 Desk top Computers (@ USD 3,000 = USD 75,000), 8 Laptops (@USD 2,000 = USD 16,000), 3 Servers (@ USD 6,000 = USD 18,000), 3 Printers (@ USD 2,000 = USD 6,000) and software (USD 16,200). <span style="float: right;">(Total cost = USD 131,200)</span>
36	Utility bills in offices provided by the State. Rental of external rooms as needed to accommodate service providers in the field or other needs estimated at a total cost of USD 103,440 for 8 years.

No.	Description of cost item
37	Rental and maintenance of other equipment including IT equipment and other equipment estimated at total cost of USD 68,272.
38	Professional services including costs of Translations of various project materials into local languages estimated at a total cost of USD 162,496.
39	<p>Audio Visual and Print Production Costs estimated at a total cost of USD 26,790 for 8 years including:</p> <ul style="list-style-type: none"> <li>• Costs relating to printing and distribution of Year Planners and produce calendars every year with messages on the project.</li> <li>• Print and distribute materials on interpretation of weather/climate forecasts for agriculture at District and Agricultural Resource Centres in all the target districts;</li> <li>• Radio and internet production and transmission costs, including translation into local languages. Working with NGOs and FM Radio Stations in districts where they are present;</li> <li>• Print and distribute messages on leaflets/pamphlets/brochures for distribution to target communities.</li> <li>• Communication materials for awareness raising around climate information and Early warning systems</li> <li>• Log books for use by communities to record weather parameters such as rainfall.</li> </ul>
40	Miscellaneous costs estimated at USD 34,480 including insurance, bank charges, security and other blended costs and contingency among others.
41	<p>Training and workshops for relevant National and District level staff as well as Community associations communities on aspects under Output 3 estimated at a total of USD 345,129 including:</p> <ul style="list-style-type: none"> <li>- Facilitate 5 Training of Trainers to conduct training (5 days) of 50 weather observers at regional training sites.</li> <li>- Cost of 4 training sessions (5 days) for 50 weather observers at regional training sites 4 each. Cost of an Inception workshop prorated at the Output level. Equip 4 training facilities with reference quality sensors and demonstration equipment. Develop and promote an observation network quality control and maintenance toolbox, including remotely accessible and online calibration and training courses, handbooks and manuals for AWSs, AWLSs and manual stations.</li> <li>- Promoting protocols and agreements developed between UNMA and DWRM.</li> </ul> <p>Contractual services to provide in-country national technical hydro-meteorological operation and maintenance training (2 weeks) for 5 meteorological and six hydrological technicians. Facilitate regional training workshops at synoptic stations and water management offices (refresher training at the regional level conducted by individuals trained at a national level).</p>
42	Office supplies for Project Coordination Staff within the Ministry of Water and Environment, Uganda National Meteorology Authority and Project field offices estimated at a total of USD 810,000 (i.e. an average of USD 10,000 per year for 8 years).
43	Miscellaneous expenses estimated at a total of USD 90,000 for 8 years including insurance, bank charges, security and other blended costs, contingency, among others.
44	Contractual services to Support preparation and execution of an operations and maintenance plan for the various Climate Information and Early Warning systems and installed equipment relevant to the project estimated at a total of USD 490,000 for 8 years (i.e. USD 50,000 (Yr1), USD 80,000 (Yr2), USD 80,000 @ for Yr3 – Yr 5, USD 60,000 (Yr 6), USD 50,000 (Yr7) and USD 10,000 (Yr 8).
45	Government co-financing for training workshops for various stakeholders at the national, District and Community levels related to implementation of Output 3 activities.
46	Miscellaneous costs: insurance, bank charges, security and other blended costs, contingency among others.
47	Finance and Administration Manager, Finance Assistance, Accountant, 4 drivers and support staff
48	Communication, including cell phone contracts or airtime and internet connectivity for Project Coordination Units
49	Additional costs of Office supplies such as Toners and Paper among others for Project Coordination Unit.

No.	Description of cost item
50	Information technology equipment including 10 Mobile phone equipment, 5 Security cameras; 10 Video camera, 5 projectors, for the Project Coordination teams all estimated at a total of USD 45,000
51	Professional services especially Annual Audits estimated at a total of USD 24,000 for 8 years.
52	Direct project costs - support services to GoU calculated based on an estimation of %age time spent by specific UNDP support staff multiplied by their respective Proforma costs which is in turn prorated based per year based %age workload. I.e. USD 64,013 (Yr1), USD 26,532 (Yr 2), USD 65,159 (Yr 3), USD 26,532 (Yr 4), USD 65,159 (Yr 5), USD 25,643 (Yr 6), USD 64,016 (Yr 7) and USD 25,643 (Yr8) = Total DPC of USD 362,697.

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## **XII. LEGAL CONTEXT**

### **i. Additional legal conditions**

Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

By signing this UNDP GCF project document, the Implementing Partner also agrees to the terms and conditions of the GCF Funded Activity Agreement (FAA) included in Annex 1 and to use the GCF funds for the purposes for which they were provided. UNDP has the right to terminate this project should the Implementing Partner breach the terms of the GCF FFA.

### **ii. Legal Context Standard Clauses**

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Uganda and UNDP, signed in 1977. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by Ministry of Water and Environment “Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

### **iii. Risk Management Standard Clauses**

Consistent with the Article III of the SBAA [or the Supplemental Provisions to the Project Document], the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.

The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).

Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).

The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at [www.undp.org](http://www.undp.org).

In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.

The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, mutatis mutandis, in all sub-contracts or sub-agreements entered into further to this Project Document.

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### **XIII. MANDATORY ANNEXES**

1. GCF Term sheet and Funding Activity Agreement
2. Direct project cost letter of agreement
3. Letter of agreement between the Implementing Partner and Responsible Parties
4. Letters of co-financing
5. (a) Social and environmental screening procedure  
(b) [Social and environmental management plan for moderate risk projects](#)
6. [Gender analysis and action plan](#)
7. [Map of project location](#)
8. [Monitoring Plan](#)
9. [Evaluation Plan](#)
10. [Timetable of project implementation](#)
11. [Procurement plan](#)
12. Terms of reference for Project staff
13. UNDP Project Quality Assurance Report
14. [UNDP Risk Log](#)
15. Results of the capacity assessment of the project implementing partner and HACT micro assessment (to be completed by UNDP Country Office)
16. Any additional agreements, such as cost sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as the “executing entity”)



## Annex 1: GCF Term sheet and Funding Activity Agreement

### Term sheet

Proposal number:	FP 034
Proposal name:	Building resilient communities, wetland ecosystems and associated catchments in Uganda
Accredited Entity	United Nations Development Programme (UNDP)

This Term Sheet, together with the Funding Proposal attached hereto, as agreed by the Green Climate Fund (“**Fund**” or “**GCF**”) and the United Nations Development Programme (“**Accredited Entity**” or “**UNDP**”), shall be reflected in the Funded Activity Agreement (“**FAA**”) to be entered into by the Fund and the Accredited Entity in due course. The Parties acknowledge that such FAA shall also incorporate the terms and conditions of the Accreditation Master Agreement entered into by the Parties on 5 August 2016 (“**AMA**”) and, as such, any derogation, modification or deviation from those terms is set out below. Capitalized terms used but not defined herein shall have the meaning ascribed to them in the AMA and the Funding Proposal.

#### Project/ Programme Activity Information

##### 1. GCF Project Name: Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda (the “**Project**”)

**Description:** The objective of the Project is to restore wetlands to improve eco-system services and build resilient livelihoods in the face of climate change in Uganda, and this will be achieved through the implementation of the following three outputs as described in the funding proposal:

Output 1: Restoration and management of wetland hydrology and associated forests;

Output 2: Improved agricultural practices and alternative livelihood options in the wetland catchment; and

Output 3: Strengthening access to climate and early warning information to farmers and other target communities

##### 2. Implementation Arrangements

For the financing of the Project, GCF will enter into a FAA with UNDP under which UNDP shall administer the relevant GCF Proceeds to be used for the financing of the Project and channel such GCF Proceeds to the Executing Entity (in UNDP terminology, the Implementing Partner) in accordance with the AMA and the FAA.

UNDP shall implement the Project following UNDP’s National Implementation Modality (“**NIM**”) and in accordance with the Financial Regulations and Rules (“**FRR**”) of UNDP and the terms of the Standard Basic Assistance Agreement (“**SBAA**”) entered into between UNDP and the Government of Uganda on April 29th, 1977.

The Accredited Entity shall sign a Project Document (the “**Project Document**”, as defined in the SBAA) as a Subsidiary Agreement with the MWE, acting on behalf of the Government of Uganda, in accordance with the SBAA. The Project Document will be legally binding and outline the detailed financial, procurement and implementation plan of the Project, as well as contain the relevant provisions for the compliance by the Executing Entity and Responsible Parties (in UNDP terminology) with the requirements of the AMA and FAA.

The Project Document shall reflect the following implementation arrangements:

(a) The Project will be executed by the Ministry of Water and Environment (“**MWE**” or the “**Executing Entity**”).

(b) The MWE will be required to establish a Project Board for the overall supervision of the Project and a Project Management Unit responsible for the day-to-day operation of the Project.

(c) The MWE will implement specific outputs/sub-components, and the entities responsible for such activities, as described in the table below.

(d) MWE, as Executing Entity, will enter into legal agreements with the following Co-executing entities (or Responsible Parties in UNDP terminology): (i) National Forest Authority, (ii) the Ministry of Agriculture, Animal and Fisheries; (iii) Department of Water Resources; (iv) Uganda Wildlife Authority; (v) Uganda Tourism Board ; (vi) Uganda National Meteorology Authority and (vii) the private sector, hydropower generating companies and non-governmental organizations; which shall reflect all the applicable provisions for the implementation of the Project and all requirements for the flow of GCF Proceeds in accordance with the AMA and FAA. These legal arrangements will be legally binding, and will detail the different roles and responsibilities of the MWE and the other co-executing entities, as well as the budgets, the expected activities to be implemented by each of these entities, targets and deliverables, the timeline for implementation and the compliance with the obligations of the AMA and FAA.

The activities for the implementation of the specific sub-components, and the entities responsible for such activities, are described below:

Output	Activities	Entity in charge / Responsible Party
Output 1: Restoration and management of wetland hydrology and associated forests	1.1 Small-scale water storage and detention facilities designed and constructed or rehabilitated in critical waterways for communities to benefit from enhanced ecosystem functioning	National Forest Authority, the Ministry of Agriculture, Animal and Fisheries; Department of Water Resources; & Uganda Wildlife Authority
	1.2 Improved inlet streams to increase water delivery	National Forest Authority, the Ministry of Agriculture, Animal and Fisheries; Department of Water Resources; & Uganda Wildlife Authority
	1.3 Degraded catchment areas rehabilitated and land productivity improved	National Forest Authority, the Ministry of Agriculture, Animal and Fisheries; Department of Water Resources; & Uganda Wildlife Authority
	1.4 Strengthened wetlands management practices	National Forest Authority, the Ministry of Agriculture, Animal and Fisheries; Department of Water Resources; & Uganda Wildlife Authority
Output 2: Improved agricultural practices and alternative livelihood options in the wetland catchment	2.1 Crop diversification and resilient agricultural best practice adopted	National Forest Authority, the Ministry of Agriculture, Animal and Fisheries
	2.2 Economically viable and sustainable agri-based livelihood and income generating interventions introduced, promoted and supported in the wetland and immediate catchment	National Forest Authority, the Ministry of Agriculture, Animal and Fisheries
Output 3: Strengthening access to climate and early warning information to farmers and other target communities	3.1 Meteorological and hydrological infrastructural investments supported including additional manual and automatic weather stations, lightning sensors, hydrological monitoring equipment, agro-meteorological stations, forecasting equipment, and data archiving systems	Uganda National Meteorology Authority, Ministry of Agriculture, Animal and Fisheries

Output	Activities	Entity in charge / Responsible Party
	3.2 Capacity building of relevant staff on operation and maintenance of climate monitoring equipment, data interpretation, modeling and forecasting	Uganda National Meteorology Authority, Ministry of Agriculture, Animal and Fisheries
	3.3 Climate-related information/services provided to target areas, such as early warnings on flash floods and extreme weather, agricultural extension advice for a wide variety of crops, and short-to long-range weather forecasts.	Uganda National Meteorology Authority, Ministry of Agriculture, Animal and Fisheries
	3.4 Customized ICT, mobile platforms, and other public and private communication channels identified and/or developed to support dissemination of the above information/services to the “last mile” users to enable timely and urgent responsive action as well as short/medium/long-term planning for climate-dependent activities in sectors such as agriculture.	Uganda National Meteorology Authority, Ministry of Agriculture, Animal and Fisheries

### 3. Total Amount to be disbursed by the Fund / Form of Financing:

US\$ 24,140,160 from the GCF to be disbursed by UNDP, in its capacity as an Accredited Entity of the GCF, to the MWE, as per the FAA, to finance the Project (the “GCF Proceeds”).

The Accredited Entity’s fee is not included in the GCF Proceeds.

### 4. Total Project Financing / Form of Financing (by source):

Outputs	Activities	Financing institution			Total (in million) (US\$)
		GCF	MWE	UNDP	
		Grant (in million) (US\$)	In-kind (in million) (US\$)	Cash (in million) (US\$)	
Output1	1.1	0.431	0.5	-	
	1.2	0.218	0.3	-	
	1.3	8.73	9	0.1	
	1.4	1.24	2.7	-	
	Total Output 1	10.619	12.5	0.1	23.219
Output 2	2.1	6.053	4	0.5	
	2.2	2.621	1	0.5	
	Total Output2	8.674	5	1	14.674
Output 3:	3.1	2.036	0.622	-	
	3.2	0.455	-	-	
	3.3	0.08	-	0.9	
	3.4	0.255	-	-	
	3.5	0.906	-	-	
	Total Output3	3.732	0.622	0.9	5.254
PMC		1.115	-	-	1.115
Total Project Financing		24.14	18.122	2	44.262

## 5. Cost/Budget Breakdown:

Project Outputs	Budget Account Description	Total (USD)
Output 1: Restoration and management of wetland hydrology and associated forests	Local Consultants	474,860
	Contractual Services - Individual	241,360
	Contractual Services-Companies	8,410,786
	Travel	73,270
	Equipment and Furniture	1,039,076
	Supplies	250,000
	Training, Workshops and Confer	129,300
	<b>TOTAL Output 1</b>	<b>10,618,652</b>
Output 2: Improved agricultural practices and alternative livelihood options in the wetland catchment	Local Consultants	68,960
	Contractual Services - Individual	560,300
	Contractual Services-Companies	7,275,600
	Equipment and Furniture	338,159
	Training, Workshops and Confer	431,000
	<b>TOTAL Output 2</b>	<b>8,674,019</b>
Output 3: Strengthening access to climate and early warning information to farmers and other target communities	International Consultants	486,750
	Local Consultants	155,082
	Contractual Services - Individual	152,517
	Contractual Services-Companies	89,088
	Travel	489,920
	Equipment and Furniture	733,103
	Communication & Audio Visual Equip	722,062
	Supplies	32,220
	Information Technology Equipment	131,120
	Rental & Maintenance-Premises	103,440
	Rental & Maintenance of Other Equip	68,272
	Professional Services	162,496
	Audio Visual & Print Prod Costs	26,790
Miscellaneous Expenses	34,480	
Training, Workshops and Confer	345,129	
	<b>TOTAL Output 3</b>	<b>3,732,469</b>
Project Management	Contractual Services - Individ	452,500
	Contractual Services-Companies	350,000
	Communication & Audio Visual Equip	217,820
	Supplies	13,000
	Information Technology Equipment	45,000
	Professional Services	24,000
	Miscellaneous Expenses	12,700
	<b>TOTAL Project Management</b>	<b>1,115,020</b>
	<b>TOTAL</b>	<b>24,140,160</b>

**6. Disbursement Schedule / Disbursement Plan:**

The following disbursement schedule is indicative and is subject to fulfilment of the conditions set forth in item 12 below.

Description	GCF Proceeds
Disbursement no.1	2,617,968
Disbursement no.2	1,782,136
Disbursement no.3	3,479,526
Disbursement no.4	4,040,468
Disbursement no.5	4,191,529
Disbursement no.6	3,997,739
Disbursement no.7	2,773,232
Disbursement no.8	1,257,563
<b>Total</b>	<b>24,140,160</b>

After the first disbursement by the GCF to the AE, all subsequent disbursement shall be subject to the expenditure of at least seventy percent (70%) of the previous disbursements for the eligible expenditures.

**7. Permitted reallocation pursuant to 11.02 Clause of the AMA (percentage of total projected costs):**

Any reallocation among the Project’s outputs to be described in a budget table to be provided at FAA signature, resulting in a variation of more than 10% of the volume of finance of each output must be approved in writing by the Fund in advance. Any change in the volume of finance indicated under project management shall be communicated in writing to the Fund in advance.

The GCF Proceeds shall not finance any expenditures incurred prior to the effectiveness of the FAA.

**8. Reporting Period:**

From FAA Effective date to Completion date, which covers the duration of project implementation of 8 years as specified in the Funding Proposal.

The reports indicated in the project calendar are due to be submitted no later than three months from the indicated expected dates.

**9. Project Calendar:**

The approximate timeline for achievement of key milestones is subject to the date of the FAA effectiveness.

Milestones	Timing
Project implementation start date	FAA effectiveness date
Inception Report and Baseline Assessments	Within 3 months after FAA effective date
Interim Independent Evaluation Report	Within 3 months after Year 4
Project Completion Report (Final APR)	Within 3 months after the project completion date
Final Independent Evaluation Report	Within 6 months after the project completion date

**10. Conditions to be met prior to the execution of the FAA:**

- (a) The Funding Proposal is approved by the GCF Board;
- (b) The AMA between the Fund and UNDP has been executed and effective; and
- (c) Completion of legal due diligence on the Project satisfactory to the Fund and UNDP.

[Further conditions to be met prior to the execution of the FAA may be required based on the Board's decision of approval of the Project, if approved and the legal due diligence.]

**11. Conditions for Effectiveness of the FAA:**

Delivery of a certificate, in a form and substance that is satisfactory to the Fund, which has been signed by the most senior legal officer of UNDP confirming that the FAA entered into by UNDP has been duly authorized or ratified by all necessary corporate actions, duly executed and delivered on behalf of the Accredited Entity, and is legally binding upon UNDP in accordance with its terms.

Submission by UNDP to the Secretariat of a revised logic framework including the quantifiable and measurable inputs at activity level, which will contribute to the project objective.

[The Fund reserves the right to add Conditions for Effectiveness based on the Board's decision of approval of the Project and the review of the legal due diligence]

**12. Conditions for Disbursement under the FAA:**

**For first disbursement:**

- (a) Fulfilment of the conditions for effectiveness of the FAA; and
- (b) Delivery to the GCF by the Accredited Entity of an executed copy of the Subsidiary Agreement, in the form of a UNDP Project Document, between the Accredited Entity and the Executing Entity.

**For second disbursement:**

- (c) Confirmation by UNDP to the GCF's Secretariat, in the annual performance report, that the following studies were conducted and completed:
  - (I) Detailed design study of the small-scale water storage and detention facilities, and detailed plans for silt traps drainage, flood control and maximum water recuperation (Component 1);
  - (II) Suitability assessment of agricultural and water management techniques in the project sites, cost-benefit analysis, and market study in the target wetland areas to identify gaps, employment needs and income streams that are resilient to climate change, including market viability assessment (Component 2);
  - (III) Technical design study for the meteorological and hydrological infrastructure, capacity assessment of existing meteorological and hydrological technicians, identification of products and required data for producing bulletins and advisories based on community defined criteria, and viability assessment of different sources of revenues for SMS-based and traditional communication systems to deliver climate information (Component 3); and
  - (IV) Cost analysis of wetlands restoration in each of the project districts.
- (d) Submission by UNDP to the GCF's Secretariat of the reviewed cost of wetlands restoration in each district based on the results of site-specific studies.

**For fifth disbursement:**

- (e) Submission by UNDP to the GCF of a detailed operations and maintenance plan for the meteorological and hydrological infrastructure during project implementation and after project completion.

**General conditions for all disbursements (except for the first disbursement):**

- (f) Delivery of evidence indicating the status and amount of the co-financing funds disbursed and applied the Project's implementation activities up to the date of the request for funds made by UNDP; and

**General conditions for all disbursements (including the first disbursement):**

- (g) Delivery of a Request for Disbursement by UNDP, in a form and substance satisfactory to the GCF, within thirty (30) calendar days prior to the expected date of disbursement.

[Further conditions for disbursement may be required based on the Board's decision of approval of the Project, if approved and the legal due diligence.]

**13. GCF Holding Currency of Disbursements, Financial Reporting and Accounting Currency: USD**

**14. Accredited Entity Fee:**

The requested Accredited Entity Fee is nine percent (9%) of the total GCF Proceeds, which will be disbursed to the Accredited Entity in addition to the GCF Proceeds, subject to finalization of AMA and FAA between the two parties. The GCF interim policy on fees indicates the cap is nine per cent (9%) of the GCF funding for small scale public sector projects/programmes.

**15. Environmental and Social Safeguards (ESS)**

The Project is a Category B project under the GCF's ESS standards. UNDP shall comply with the Environmental & Social Management Plan (ESMP) as annexed to the Funding Proposal as Annex VI and shall not assign, amend, abrogate or waive any provisions of this document without prior approval of the GCF.

**16. Covenant:**

The Accredited Entity shall, upon request by the Fund, inform the Fund on the status of the co-financing funds that have been disbursed and used in the implementation of the Project's activities. [The Fund reserves the right to add Covenants based on the Board's decision of approval of the Project, if approved and the review of the legal due diligence]



**GCF  
FUNDED ACTIVITY AGREEMENT  
(GRANTS)**

**between**

**UNITED NATIONS DEVELOPMENT PROGRAMME**

**and**

**GREEN CLIMATE FUND**

**FUNDED ACTIVITY: FP034  
"Building Resilient Communities,  
Wetland Ecosystems and Associated  
Catchments in Uganda"**

Dated 8<sup>th</sup> June 2017





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### Funded Activity Agreement (Grants)

This FUNDED ACTIVITY AGREEMENT (the "FAA" or this "Agreement") dated 9<sup>th</sup> June 2017 between:

**UNITED NATIONS DEVELOPMENT PROGRAMME**, an international organization established by the General Assembly of the United Nations pursuant to its resolution 2029(XX) of 22 November 1965 and having its registered office at One UN Plaza, New York, New York 10017, United States of America (the "Accredited Entity" or "UNDP"); and

The **GREEN CLIMATE FUND**, designated as an operating entity of the financial mechanism under Article 11 of the United Nations Framework Convention on Climate Change and established pursuant to the Governing Instrument for the Green Climate Fund, approved by the COP at its seventeenth session, on 11 December 2011, and is annexed to Decision 3/CP.17, possessing juridical personality in order to operate effectively internationally, having such legal capacity as is necessary for the exercise of its functions and the protection of its interests and having its headquarters at Songdo, Incheon, Republic of Korea ("GCF" or the "Fund"),

each a "Party" and together the "Parties".

#### WHEREAS

- (A) The Accredited Entity and the GCF entered into an accreditation master agreement on 5 August 2016 (the "AMA"), which sets forth, amongst others, the general terms and conditions applicable between the Parties in connection with a funded activity;
- (B) In accordance with Clause 4.11 of the AMA, the Accredited Entity has submitted to the Fund a funding proposal, which is attached to this Agreement as Annex 1 (the "Funding Proposal") requesting funding for the activity described therein (the "Funded Activity" or "Project");
- (C) The NDA of the Host Country has issued the No-Objection Letter with respect to the Funding Proposal;
- (D) The Board of the Fund, by its decision B.15/07 ("Approval Decision"), approved the Funding Proposal in the amount of USD 24,140,160 (twenty-four million one hundred forty thousand one hundred sixty US Dollars) subject to the conditions set out in annex III "List of conditions and recommendations" to the Approval Decision and in the respective term sheet; and
- (E) In accordance with Clause 6.02 of the AMA, the Parties now wish to enter into this Agreement in order to set out the agreed terms for the implementation of the Funded Activity.

THE PARTIES HEREBY AGREE AS FOLLOWS:



## Clause 1. Definitions; AMA

- 1.01 The terms of the AMA are incorporated in, and form part of, this Agreement and pursuant to Clauses 1.02 and 1.03 of the AMA, any derogations from, deviations or modifications to the AMA in relation the Funded Activity are set forth in this Agreement. In case of termination of the AMA, its terms as incorporated in this Agreement shall continue to apply.
- 1.02 In the event of a conflict between:
- (a) The terms and conditions in the Clauses of this Agreement and the terms and conditions of any of its Schedules or Annex, the terms and conditions in the Clauses of the Agreement shall prevail; and
  - (b) The terms and conditions in the Schedules to this Agreement and the terms and conditions in the Annex to this Agreement, the terms and conditions in the Schedules shall prevail.
- 1.03 Wherever used in this Agreement, terms defined in the AMA shall have the respective meanings therein set forth unless modified herein or the context otherwise requires. Additional terms used in this Agreement shall have the following meanings:
- (a) **"Accredited Entity Fee"** shall have the meaning ascribed to it in Clause 4 of this Agreement;
  - (b) **"Budget"** means the costs of the Funded Activity and the breakdown thereof, as set out in Part A of Schedule 2;
  - (c) **"Civil Works"** means all types of civil, mechanical, electrical or other engineering services (other than consulting services) as well as the supply of construction materials and equipment to be financed out of the GCF Proceeds;
  - (d) **"Closing Date"** means the date which is seven (7) years after the Effective Date (or such later date as the Fund shall establish by notice to the Accredited Entity), on which the Accredited Entity's right to receive GCF Proceeds to the GCF Account in respect of the Funded Activity will have terminated;
  - (e) **"Completion Date"** means the date which is no later than one (1) year after the Closing Date (except if otherwise agreed with the Fund);
  - (f) **"Disbursement Plan"** means the disbursement plan included in Part B of Schedule 2;
  - (g) **"Effective Date"** shall have the meaning ascribed to it in Clause 6.01 of this Agreement;
  - (h) **"Eligible Expenditures"** means any reasonable costs of Goods, Services or Civil Works required for the implementation of the Funded Activity to be financed with the GCF Proceeds, in accordance with this Agreement, the AMA and the Funding Proposal;
  - (i) **"Executing Entity"** means the entity specified in Clause 2.02 of this Agreement;
  - (j) **"Funded Activity"** or **"Project"** shall have the meaning ascribed thereto in Recital (B);
  - (k) **"Funding Proposal"** shall have the meaning ascribed thereto in Recital (B);
  - (l) **"Grant"** means the GCF Proceeds in the amount specified in Clause 3.01 of this Agreement, as approved by the Board, which the Fund has decided to make

- available for the Funded Activity, which shall be exclusive of the Accredited Entity Fee;
- (m) **"Host Country"** means the Republic of Uganda;
  - (n) **"Implementation Arrangements"** mean the contractual arrangement(s) to be entered into and/or the administrative arrangement(s) to be established by the different parties involved in the implementation of the Funded Activity as set out in Schedule 3;
  - (o) **"Implementation Plan"** means the calendar for the implementation of the Funded Activity set forth in Schedule 5;
  - (p) **"Project Document"** means a document that the Accredited Entity enters into with the Host Country in accordance with the SBAA defining the detailed financial, procurement and implementation plans, and the respective responsibilities of the parties thereto in respect of the Project. For the avoidance of doubt, the Project Document shall serve as the Subsidiary Agreement and shall reflect the requirements of this Agreement and the AMA, as applicable;
  - (q) **"Request for Disbursement"** means the template request for disbursement in Schedule 6 to this Agreement; and
  - (r) **"SBAA"** means Standard Basic Assistance Agreement between UNDP and the Government of the Republic of Uganda dated 29 April 1977.
- 1.04 Any references in this Agreement to "Clause", "Schedule" or "Annex" shall refer to a clause of, a schedule to or an annex to, this Agreement, unless otherwise specified or context requires otherwise.

## Clause 2. The Funded Activity

- 2.01 The Accredited Entity shall monitor and supervise the implementation of the Funded Activity by the Executing Entity, and ensure that the Executing Entity will carry out the Funded Activity, with due diligence and efficiency and in conformity with appropriate financial, economic, social, environmental and administrative practices, and shall provide, promptly as needed, the funds, facilities, services and other resources required for the Funded Activity.
- 2.02 The Ministry of Water and Environment (MWE) shall act as the Executing Entity for this Funded Activity, as further described in Schedule 3.
- 2.03 The Accredited Entity shall ensure that the obligations set out in this Agreement are observed and carried out by the Executing Entity pursuant to the Subsidiary Agreement, in accordance with the relevant provisions of the AMA.
- 2.04 Without prejudice to the provisions of Clause 2.01 above and except as the Accredited Entity and the Fund may otherwise agree, the Funded Activity shall be carried out in accordance with the Implementation Arrangements and within the timeframe set out in the Implementation Plan set forth in Schedule 5.
- 2.05 The implementation of all the activities of the Funded Activity shall be completed no later than the Completion Date and shall be subject to confirmation by the Fund based on the completion report to be provided in accordance with Schedule 4.

### Clause 3. The Grant; Disbursements

- 3.01 Subject to the terms and conditions of this Agreement, the Fund agrees to make available to the Accredited Entity by or before the Closing Date, as set forth in the Disbursement Plan attached hereto as Part B of Schedule 2, an amount equal to USD 24,140,160 (twenty-four million one hundred forty thousand one hundred sixty US Dollars), which shall be disbursed by the Accredited Entity to the Executing Entity in the form of a grant for the purposes of, and to assist, in financing the Funded Activity.
- 3.02 The Grant shall be transferred, in accordance with the Disbursement Plan provided in Part B of Schedule 2, to the Accredited Entity upon the fulfillment by the Accredited Entity, to the satisfaction of the Fund, of the relevant conditions precedent to disbursement set forth in Clause 8 below. In accordance with this Clause 3.02, the Grant shall be transferred to the bank account to be notified by the Accredited Entity to the Fund in writing in the Request for Disbursement. For the avoidance of doubt, the GCF Account for the Funded Activity will be a ledger account.
- 3.03 The GCF Holding Currency for disbursements shall be USD.
- 3.04 The Accredited Entity shall make the proceeds of the Grant available to the Executing Entity in the form of a grant in accordance with the Project Document to be entered into between the Accredited Entity and the Executing Entity under the terms and conditions consistent with this Agreement and the AMA.
- 3.05 The Accredited Entity shall ensure that (a) the Grant will be used by the Executing Entity exclusively to finance the Eligible Expenditures, in accordance with the AMA and this Agreement, as set out in the Funding Proposal, and as further specified in the Budget; and (b) all Eligible Expenditures shall be accrued by the Executing Entity before the Completion Date.
- 3.06 After the first disbursement by the Fund, all subsequent disbursements shall be subject to the expenditure of at least seventy per cent (70%) of the previous disbursements for the Eligible Expenditures.
- 3.07 The GCF Proceeds shall not be used to finance any costs incurred prior to the Effective Date.
- 3.08 The financial reporting and accounting currency for the Funded Activity shall be USD.

### Clause 4. Accredited Entity Fee

- 4.01 The Accredited Entity's fee in relation to the Funded Activity shall be an amount equal to nine per cent (9%) of the aggregate amount of the GCF Proceeds used to finance Eligible Expenditures (the "Accredited Entity Fee").
- 4.02 **Disbursement of the Accredited Entity Fee.** The Accredited Entity's Fee shall be paid in instalments at the time of each Grant disbursement. The amount of each instalment shall be equal to nine per cent (9%) of the related Grant disbursement. All such disbursements of the Accredited Entity Fee shall be paid together with the Grant disbursements and deposited into the bank account referred to in Clause 3.02 above.
- 4.03 The final instalment of the Accredited Entity Fee shall be an amount equal to the Accredited Entity Fee less all previous instalments of the Accredited Entity Fee paid to the Accredited Entity under this Clause 4.
- 4.04 If, after the Completion Date, the aggregate amount of the GCF Proceeds used to finance Eligible Expenditures is less than the amount referred to in Clause 3.01, the Accredited



Entity shall, on thirty (30) days' written notice from the Fund, refund to the Fund the amount by which the total amount disbursed to the Accredited Entity under Clause 4.02 exceeds the Accredited Entity Fee, unless otherwise agreed by the Fund.

- 4.05 If the Fund decides to suspend Grant disbursements, in accordance with Clause 15.03 of the AMA, the Fund may also, at its own discretion, suspend the payment of Accredited Entity Fee.

#### **Clause 5. Administration of Grant by the Accredited Entity**

- 5.01 **Permitted Reallocation.** Any reallocation among the Funded Activity's outputs described in Part A of Schedule 2 resulting in a variation of more than ten per cent (10%) of the previously agreed budget for the output from which the funds are to be reallocated must be approved in writing by the Fund in advance.
- 5.02 **Taxation.** The tax exemptions accorded under the SBAA shall apply to Goods and Services procured with the GCF Proceeds.

#### **Clause 6. Effectiveness**

- 6.01 This Agreement shall enter into effect on the date upon which the Fund dispatches to the Accredited Entity a notice of its acceptance of the evidence specified below ("**Effective Date**"):
- (a) A duly authorized and executed copy of this Agreement by the Accredited Entity;
  - (b) Delivery of a certificate, in a form and substance that is satisfactory to the Fund, which has been issued by the Accredited Entity's most senior legal officer, confirming that this Agreement entered into by the Accredited Entity has been duly authorized or ratified by all necessary corporate actions, duly executed and delivered on behalf of the Accredited Entity, and is legally binding upon the Accredited Entity in accordance with its terms;
  - (c) An indicative disbursement schedule by the Accredited Entity indicating month and year for the disbursement of the GCF Proceeds by the Fund to the GCF Account for the implementation of the Funded Activity; and
  - (d) Submission by the Accredited Entity, in a form and substance satisfactory to the Fund, of a revised logic framework, including the quantifiable and measurable inputs at activity level, which will contribute to the Project's objective.
- 6.02 If, before the Effective Date, any event has occurred, which would entitle the Fund to suspend the right of the Accredited Entity to request disbursements under this Agreement if this Agreement had been effective, the Fund may postpone the dispatch of the notice referred to in this Clause 6 until such event (or events) has (or have) ceased to exist.
- 6.03 **Termination for Failure to Become Effective.** This Agreement and all obligations of the Parties under it shall terminate if it has not entered into effect by the date which falls ninety (90) days after the date of this Agreement, unless the Fund, after consideration of the reasons for the delay and following consultations with the Accredited Entity, establishes a later date for the purpose of this Clause 6. The Fund shall promptly notify the Accredited Entity of such later date.



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### Clause 7. Reporting, Monitoring and Evaluation Schedule

- 7.01 The reporting, monitoring and evaluation of the Funded Activity shall be done in accordance with Schedule 4.

### Clause 8. Conditions Precedent to Disbursement

- 8.01 The obligation of the Fund to disburse GCF Proceeds in connection with the Funded Activity under this Agreement shall be subject to the following conditions having been fulfilled to the satisfaction, in form and substance, of the Fund:

(a) Conditions precedent to first disbursement:

- (i) Effectiveness of this Agreement; and
- (ii) Delivery to the Fund by the Accredited Entity of an executed copy of the Subsidiary Agreement, in the form of a Project Document, between the Accredited Entity and the Executing Entity.

(b) Conditions precedent to second disbursement:

- (i) Confirmation by the Accredited Entity, in the first APR, that the following studies were conducted and completed:
  - (1) A detailed design study of the small-scale water storage and detention facilities, and detailed plans for silt traps drainage, flood control and maximum water recuperation (output 1 as described in the logic framework included in the Funding Proposal);
  - (2) A suitability assessment of agricultural and water management techniques in the project sites, cost-benefit analysis, and market study in the target wetland areas to identify gaps, employment needs and income streams that are resilient to climate change, including market viability assessment (output 2 as described in the logic framework included in the Funding Proposal);
  - (3) A technical design study for the meteorological and hydrological infrastructure, capacity assessment of existing meteorological and hydrological technicians, identification of products and required data for producing bulletins and advisories based on community defined criteria, and viability assessment of different of revenues for SMS-based and traditional communication systems to deliver climate information (output 3 as described in the logic framework included in the Funding Proposal); and
  - (4) A cost analysis of wetlands restoration in each of the Project's districts;
- (ii) Submission by the Accredited Entity of the reviewed cost of wetlands restoration in each Project's district based on the results of site-specific studies; and
- (iii) Delivery by the Accredited Entity, in a form and substance satisfactory to the Fund, of an operation and maintenance plan, which shall include the long-term sustainability of the functioning of the early warning system, including the management of climate information. The operation and maintenance plan shall take into consideration the support of the Host Country towards establishing an operations, management and

sustainability unit to be financed by the Host Country, as described in the letter submitted by the Host Country to the Fund on 4 May 2016, which was shared with the Accredited Entity before the Approval Decision was taken.

(c) Conditions precedent to fifth disbursement:

- (i) Submission by the Accredited Entity to the Fund of a detailed operations and maintenance plan for the meteorological and hydrological infrastructure during Project implementation and after its completion.

(d) General conditions for all disbursements:

- (i) Other than in relation to the first disbursement, submission to the Fund by the Accredited Entity of evidence that at least seventy per cent (70%) of the funds previously disbursed have been spent for Eligible Expenditures;
- (ii) Other than in relation to the first disbursement, submission to the Fund by the Accredited Entity of APRs and Financial Information in accordance with the AMA;
- (iii) Delivery to the Fund by the Accredited Entity of a Request for Disbursement, in accordance with the template attached hereto (Schedule 6), signed by the person or persons authorized to do so, within thirty (30) calendar days prior to the date on which the disbursement is requested to be made, which date of disbursement shall not be later than the Closing Date;
- (iv) Delivery to the Fund by the Accredited Entity of evidence, satisfactory to the Fund, of the authority of the person or persons authorized to sign each Request for Disbursement and the authenticated specimen signature of each such person; and
- (v) Delivery to the Fund by the Accredited Entity of evidence indicating the status and amount of the co-financing funds disbursed and applied to the Funded Activity implementation activities up to the date of the request for funds made by the Accredited Entity.

**Clause 9. Additional Representations, Warranties and Covenants of the Accredited Entity**

9.01 In addition to Clause 18.01 of the AMA, the Accredited Entity represents and warrants that:

- (a) On the date of the execution of this Agreement and the date of each disbursement made by the Fund under this Agreement, there are no circumstances of which the Accredited Entity is aware, including through its oversight of the Funded Activity as per the obligations of this FAA, the AMA and UNDP's own policies and practices, that may substantially interfere with the performance of the Accredited Entity's obligations under this Agreement, the AMA or with the implementation of the Funded Activity, or otherwise jeopardize the achievements of any objectives, outcomes or outputs of the Funded Activity; and
- (b) On the date of the first disbursement by the Fund under this Agreement and throughout the term of this Agreement, the Subsidiary Agreement remains in effect.





- 9.02 In addition to Clause 18.02 of the AMA, the Accredited Entity covenants that as from the Effective Date of this Agreement it shall:
- (a) Upon request by the Fund, inform the Fund on the status of the co-financing funds that have been disbursed and applied to the implementation of the Project activities;
  - (b) Develop and deliver a monitoring and evaluation plan to the Fund, no later than six (6) months after the first disbursement, in a form and substance satisfactory to the Fund;
  - (c) Undertake and/or put in place any adequate measures in order to ensure that the management of the environmental and social risks and impacts arising from the Funded Activity complies at all times with the recommendations, requirements and procedures set forth in the Environmental and Social Management Plan (ESMP) and the Social and Environmental Screening Template, which were provided by the Accredited Entity to the Fund before the Approval Decision;
  - (d) Obtain, or ensure that the Executing Entity shall obtain, all land and rights in respect of land that are required to carry out the Funded Activity and shall promptly furnish to the GCF, upon its request, evidence that such land and rights in respect of the land are available for the purposes of the Funded Activity;
  - (e) Ensure that the livelihood restoration plan is developed and implemented in the cases where the Funded Activities adversely affect the livelihood of communities; and
  - (f) Prior to commencing any construction works or activities for the implementation of the Project, the Accredited Entity shall submit the detailed Environmental and Social Management Plan related to the relevant construction works or activities to be executed, in a form and substance satisfactory to the GCF Secretariat.
- 9.03 Pursuant to Clause 23.04 of the AMA, the Accredited Entity shall inform the Fund, in the final APR, which steps it intends to take in relation to the durable assets and/or equipment purchased with the GCF Proceeds to implement the Funded Activity.

#### **Clause 10. Additional Remedies to the Fund**

- 10.01 **Events of Default.** In addition to Clause 19 of the AMA, the following events shall constitute an event of default of this Agreement:
- (a) The Accredited Entity has failed to comply, in any material respect with, or shall have failed to perform in any material respects, any of its obligations under this Agreement.
- 10.02 **Remedies/consequences of default.** If there is an event of default under this Agreement, Clause 20 of the AMA shall apply to this Agreement *mutatis mutandis*.

#### **Clause 11. Step-in Rights**

- 11.01 In the event the Fund exercises its rights under Clauses 20.01(c), 22.01 and 22.03 of the AMA, the Accredited Entity shall execute such documents and take such steps as are reasonably necessary to enable the Fund to give effect to such provisions.

#### **Clause 12. Applicable Law; Dispute Resolution**

- 12.01 Clauses 28 and 29 of the AMA apply to this Agreement *mutatis mutandis*.

### Clause 13. Designated Authority; Notices

- 13.01 Any notice, request, document, report, or other communication submitted by either the Accredited Entity or the Fund, shall unless expressly specified in this Agreement, be in English and delivered by hand or by facsimile or email to the Party to which it is required or permitted to be given or made to the following addresses:

For the Accredited Entity:

Attn: Director, Global Environmental finance, Bureau for Policy and Programme Support  
Address: One United Nations Plaza  
New York, NY 10017  
United States of America  
Fax: +1 212 906 6998  
Email: [adriana.dinu@undp.org](mailto:adriana.dinu@undp.org)

For the Fund:

Attn: Division of Mitigation and Adaptation  
Address: G-Tower, 175, Art Center-daero  
Yeonsu-gu, Incheon 22004  
Republic of Korea  
Fax: +82 32 458 6092  
Email: [fundingproposal@gcfund.org](mailto:fundingproposal@gcfund.org)

### Clause 14. Miscellaneous

- 14.01 **Assignment; Novation.** The Accredited Entity will not be entitled to assign or otherwise transfer its rights and obligations under this Agreement, in full or in part, without the prior written consent of the Fund, which consent may be granted or not granted at the Fund's absolute discretion.
- 14.02 **Failure to Exercise Rights.** No delay in exercising, or omission to exercise, any right, power or remedy accruing to any Party under this Agreement upon any default shall impair any such right, power or remedy or be construed to be a waiver thereof or an acquiescence in such default. No action of such Party in respect of any default, or any acquiescence by it in any default, shall affect or impair any right, power or remedy of such Party in respect of any other or subsequent default.
- 14.03 **Execution in Counterparts.** This Agreement may be executed in two counterparts, each of which shall be an original.
- 14.04 **Rights of Third Parties.** This Agreement is intended solely for the benefit of the Parties and is not intended to be for the benefit of, nor may any provision be enforced by, any person or entity that is not a party to this Agreement. Any other statute or law to the contrary is hereby excluded or disappplied.
- 14.05 **Entire Agreement.** This Agreement constitutes the entire agreement and understanding of the Parties with respect to its subject matter and supersedes all oral communication and prior writings with respect thereto, other than those writings expressly referred to or incorporated into this Agreement entered into hereunder, including the AMA.
- 14.06 **Modification or Amendment.** No modification or amendment of this Agreement shall be valid unless in writing and signed by an authorized representative of the Fund and an authorized representative of the Accredited Entity.



- 
- 14.07 **Relationship of the Parties.** Nothing contained in this Agreement shall be deemed or construed as creating a principal-agent relationship between the Parties hereto or be construed to evidence the intention of the Parties to constitute such. Neither Party shall have any express or implied right or authority to assume or create any obligations on behalf of or in the name of the other Party or to bind the other Party to any contract, agreement or undertaking with any third party.
- 14.08 **Severability.** If any term of this Agreement is to any extent invalid, illegal, or incapable of being enforced, such term shall be excluded to the extent of such invalidity, illegality, or unenforceability; all other terms hereof shall remain in full force and effect.
- 14.09 **Survival.** Clause 12.01 of this Agreement shall, unless explicitly provided otherwise, survive for a period of five (5) years after the termination of this Agreement.



GREEN  
CLIMATE  
FUND

IN WITNESS WHEREOF the parties hereto, acting through their representatives thereunto duly authorized, have caused this Agreement to be signed in their respective names as of the day and year first above written and to be delivered at the principal office of the Fund.

**UNITED NATIONS DEVELOPMENT PROGRAMME**


By 

Name: Adriana Dinu

Designation: Director, Global Environmental Finance, Bureau for Policy and Programme Support

Date 7th June 2017

**GREEN CLIMATE FUND**

By  O.I.C  
DM

Name: German Jerry Velasquez

Designation: Director of Mitigation and Adaptation

Date 8<sup>th</sup> June 2017

**Schedule 1. Description of Funded Activity**

The description of the Funded Activity is included in the Funding Proposal attached herein as Annex 1.

Component	Outputs	Activities
Building resilient communities, wetland ecosystems and associated catchments in Uganda	1. Restoration and management of wetland hydrology and associated catchment	1.1 Small-scale water storage and detention facilities designed and constructed or rehabilitated in critical waterways for communities to benefit from enhanced ecosystem functioning
		1.2 Improved inlet streams to increase water delivery
		1.3 Degraded catchment areas rehabilitated and land productivity improved
		1.4 Strengthened wetlands management practices
	2. Improved agricultural practices and alternative livelihood options in the wetland catchment	2.1 Crop diversification and resilient agricultural best practice adopted
		2.2 Economically viable and sustainable livelihood and income generating interventions introduced, promoted and supported in the wetland and immediate catchment
	3. Strengthening access to climate and early warning information to farmers and other target communities	3.1 Meteorological and hydrological infrastructural investments supported including additional manual and automatic weather stations, lightening sensors, hydrological monitoring equipment, agrometeorological stations, forecasting equipment, and data archiving systems
		3.2 Capacity building of relevant staff on operation and maintenance of climate monitoring equipment, data interpretation, modelling and forecasting
		3.3 Climate-related information/service provided to target areas, such as early warnings on flash floods and extreme weather, agricultural extension advice for a wide variety of crops, short- to long-range weather forecasts
		3.4 Customized ICT, mobile platforms, and other public and private communication channels identified and/or developed to support dissemination of the above information/services to the 'last mile' users to enable timely and urgent responsive action as well as short/medium/long-term planning for climate-dependent activities in sectors such as agriculture

## Annex 2: Direct Project Cost Letter of Agreement



### STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT FOR THE PROVISION OF SUPPORT SERVICES




Empowered lives.  
Resilient nations.

Dear Mr. Muhokanizi,

1. Reference is made to consultations between officials of the Government of *Uganda* (hereinafter referred to as "the Government") and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated in the relevant programme support document or project document, as described below.
2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.
3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:
  - (a) Identification and/or recruitment of project and programme personnel;
  - (b) Identification and facilitation of training activities;
  - (c) Procurement of goods and services;
4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document or project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme or project, the annex to the programme support document or project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.
5. The relevant provisions of the *UNDP Standard Basic Assistance Agreement with Government of Uganda of 1977* (the "SBAA"), including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme or project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the programme support document or project document.
6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBAA.
7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the programme support document or project document.
8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.
9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Yours sincerely,

 28/06/2017

Signed on behalf of UNDP

Almaz Gebru

Country Director



For the Government of Uganda

Mr. Keith Muhakanizi

**Permanent Secretary/ Secretary to the Treasury**

Ministry of Finance, Planning and Economic Development

**ATTACHMENT 1: DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES**

1. Reference is made to consultations between *Ministry of Water and Environment*, the institution designated by the Government of *Uganda* and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed programme or project “Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda” *project number (TBD)- “the Project”*.
2. In accordance with the provisions of the letter of agreement signed on ..... and the *project document*, the UNDP country office shall provide support services for the *Project* as described below.
3. Support services to be provided:

Support services	Schedule for the provision of support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement of UNDP (where appropriate)
Services related to procurement (including but not limited to):  Procurement of goods and equipment o admin, and customs clearance o logistics for delivery Procurement of services o Processing terms of reference for recruitments o Consultant recruitments o Advertising o Short-listing & selection o Contract issuance o Administrative services for consultant mobilization	Throughout project implementation when applicable	As per pro-forma costs  UNV Officers (Procurement) G7 Officers (Procurement) G6 Officer (Procurement) G6 Officer (Procurement) G7 Officer (Programme) G6 (Human Resource)	UNDP will directly charge the project upon approval of annual work and procurement plans by IP
Services related to finance (including but not limited to): o Payments o Creation of vendor forms o Issuing cheques	Ongoing throughout implementation when applicable		As above
Average DPC/year over 8 years:		US\$ 45337.18	

Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (\$)	Amount Year 2 (\$)	Amount Year 3 (\$)	Amount Year 4 (\$)	Amount Year 5 (\$)	Amount Year 6 (\$)	Amount Year 7 (\$)	Amount Year 8 (\$)	Total (\$)	See Budget Note:
74596	Direct Project Costs	64013	26,532	65,159	26,532	65,159	25,643	64,016	25,643	362,697	S2



#### 4. Description of functions and responsibilities of the parties involved:

UNDP Uganda undertakes the following:

Provide the required financial resources for the support of the implementation of the activities agreed upon in the project document work plan. Provision of the resources will be done in line with the HACT guidelines and UNDP financial rules and regulations;

- a. Conduct Harmonized Approach to Cash Transfers (HACT) assessment of the financial and administrative management capacity of the implementing partner (IP);
- b. Recruit project personnel: The recruitment of the project staff will follow UNDP rules and regulations, and undertaken following mutual agreement by UNDP and the IP;
- c. Procure physical equipment and services at following mutual agreement between UNDP and the IP;
- d. Procure services of a firm to audit the project;
- e. Procure services of a consultant or consultancy firm to review mid-term and final evaluations of the project; and
- f. Facilitate capacity building activities at the request of the IP.
- g. Any other support services mutually agreed upon by the Government and UNDP

The Government of Uganda Ministry, Department or Agency acting as implementing partner (IP) undertakes the following:

- a. Retain overall responsibility for the project as the implementing partner and shall designate a Project Manager<sup>1</sup> who will be the authorized signatory to approve and sign all documents pertaining to the project, these will include, the work plans, the requests for advances, requests for direct payments, financial reports, and Combined Delivery Reports (CDRs) etc;
- b. Administer the resources provided by UNDP, being responsible for all direct payments generated by the implementation of the activities indicated in the project document work plan;
- c. Prepare progress reports on a quarterly basis. The format shall be a consolidation of all the activities carried out by the responsible parties during that reporting period. The IP shall be responsible for consolidating the report;
- d. Prepare financial reports on a quarterly basis using the Funding Authorisation and Certificate of Expenditure (FACE) form and a final financial report at the end of the implementation period;
- e. Approve and sign the quarterly Combined Delivery Report (CDR) at the end of each quarter and the final CDR that the end of the year. The CDRs shall have all the expenditures of the project including the direct payments by UNDP, the expenditures by the IP and the expenditures incurred by the RPs on behalf of the IP;
- f. Prepare Annual/quarterly work plans which shall include all activities to be carried out by the responsible party on behalf of the IP;
- g. Take direct lead in implementing the activities results for which the IP is responsible for in the project document work plan. The IP shall engage the Responsible Parties (RPs) listed in the project document to act on their behalf on the basis of a written agreement, contract or memorandum of understanding to provide services covered in the project document work plan and budget;
- h. The IP and its collaborating RPs shall participate in all the procurement of goods and services as well as in the recruitment of the project personnel for the project;
- i. Ensure that all publications, vehicles and equipment (procured through this project) promotional material, advertisements, brochures and related material shall acknowledge the support/contribution of and bear the logo of the United Nations Development Programme, along with the Government of Uganda Coat of Arms. The logos shall be visually equal. The IP shall submit to UNDP for review and prior clearance of any signage, branding and publication;
- j. The IP shall remove UNDP logos and decals attached to the equipment and vehicles upon termination and the hand-over of the equipment and vehicles.
- k. The IP shall reimburse to UNDP unspent amounts of project funds advanced to it, if any.

<sup>1</sup> The Project Manager shall be held accountable for the day-to-day management and operations of the project. She is responsible for ensuring that the project produces the outputs and results specified in the project document to the required standard of quality and within specified constraints of time and cost.

**Annex 3: Letter of Agreement between the United Nations Development Programme and Ministry of Water and Environment to carry out activities when UNDP Provides Support Services to the “Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda Project”**

Dear. Mr. Okot-Okidi,

1. Reference is made to the consultations between officials of the United Nations Development Programme (hereinafter referred to as “UNDP”) in Uganda and officials of *Ministry of Water and Environment* (hereinafter referred to as the Government Ministry) with respect to the realization of activities by *the Government Ministry* in the implementation of the UNDP support services to the project 00104372 and Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda], as specified in Attachment 1: Project Document, to which UNDP has been selected as a responsible party.

2. In accordance with the LOA signed between the government implementing partner and UNDP for support services and with the following terms and conditions, we confirm our acceptance of the activities to be provided by *the Government ministry* towards the project, as specified in Attachment 2: Description of Activities (hereinafter referred to as “Activities”). Close consultations will be held between *the Government ministry* and UNDP on all aspects of the Activities.

3. *The Government ministry* shall be fully responsible for carrying out, with due diligence and efficiency, all Activities in accordance with its Financial Regulations and Rules.

4. In carrying out the activities under this Letter, the personnel and sub-contractors of *the Government ministry* shall not be considered in any respect as being the employees or agents of UNDP. UNDP does not accept any liability for claims arising out of acts or omission of *the Government ministry* or its personnel, or of its contractors or their personnel, in performing the Activities or any claims for death, bodily injury, disability, damage to property or other hazards that may be suffered by *the Government ministry* and its personnel as a result of their work pertaining to the Activities.

5. Any subcontractors, including NGOs under contract with *the Government ministry* shall work under the supervision of the designated official of *the Government Ministry* These subcontractors shall remain accountable to *the Government ministry* for the manner in which assigned functions are discharged.

6. Upon signature of this Letter, UNDP will make payments to *the Government ministry* according to the schedule of payments specified in Attachment 3: Schedule of Activities, Facilities and Payments.

7. *The Government ministry* shall not make any financial commitments or incur any expenses which would exceed the budget for the Activities as set forth in Attachment 3. *The Government ministry* shall regularly consult with UNDP concerning the status and use of funds and shall promptly advise UNDP any time when *the Government ministry* is aware that the budget to carry out these Activities is insufficient to fully implement the project in the manner set out in the Attachment 2. UNDP shall have no obligation to provide *the Government ministry* with any funds or to make any reimbursement for expenses incurred by [*the Government ministry* in excess of the total budget as set forth in Attachment 1.

8. *The Government ministry* shall submit a cumulative financial report each quarter (31 March, 30 June, 30 September and 31 December). The report will be submitted to UNDP through the UNDP Country Director or UNDP Resident Representative within 30 days following those dates. The format will follow the standard UNDP expenditure report [a model copy of which is provided as Attachment 2]. UNDP will include the financial report by *the Government ministry* in the financial report for Project: 00104372-Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda].
9. *The Government ministry* shall submit such progress reports relating to the Activities as may reasonably be required by the project manager in the exercise of his or her duties.
10. *The Government ministry* shall furnish a final report within 6 months after the completion or termination of the Activities, including a list of non-expendable equipment purchased by *the Government ministry* and all relevant audited or certified financial statements and records related to such Activities, as appropriate, pursuant to its Financial Regulations and Rules.
11. Equipment and supplies that may be furnished by UNDP or procured through UNDP funds will be disposed as agreed, in writing, between UNDP and *the Government ministry*
12. Any changes to the LOA between the government implementing partner and UNDP for support services which would affect the work being performed by *the Government ministry* in accordance with Attachment 2 shall be recommended only after consultation between the parties.
13. For any matters not specifically covered by this Letter, the Parties would ensure that those matters shall be resolved in accordance with the appropriate provisions of the LOA for support services and any revisions thereof and in accordance with the respective provisions of the Financial Regulations and Rules of the Government ministry and UNDP.
14. The arrangements described in this Letter will remain in effect until the end of the project, or the completion of Activities according to Attachment 2, or until terminated in writing (with 30 days' notice) by either party. The schedule of payments specified in Attachment 3 remains in effect based on continued performance by *the Government ministry* unless it receives written indication to the contrary from UNDP.
15. Any balance of funds that is undispersed and uncommitted after the conclusion of the Activities shall be returned within 90 days to UNDP.
16. Any amendment to this Letter shall be effected by mutual agreement, in writing,
17. All further correspondence regarding this Letter, other than signed letters of agreement or amendments thereto should be addressed to Ms. Almaz Gebru, Plot 11 Yusuf Lule Road, P.O Box 7184 Kampala; [rosa.malango@one.un.org](mailto:rosa.malango@one.un.org), Resident Representative, UNDP].
18. *The Government ministry* shall keep the UNDP Country Director/Resident Representative fully informed of all actions undertaken by them in carrying out this Letter.
19. UNDP may suspend this Agreement, in whole or in part, upon written notice, should circumstances arise which jeopardize successful completion of the Activities.
20. Any dispute between the UNDP and [*the Government ministry/institution/IGO*] arising out of or relating to this Letter which is not settled by negotiation or other agreed mode of settlement, shall, at the request of either party, be submitted to a Tribunal of three arbitrators. Each party shall appoint one arbitrator, and the two arbitrators so appointed shall appoint a third arbitrator, who shall be the chairperson of the Tribunal. If, within 15 days of the appointment of two

arbitrators, the third arbitrator has not been appointed, either party may request the President of the International Court of Justice to appoint the arbitrator referred to. The Tribunal shall determine its own procedures, provided that any two arbitrators shall constitute a quorum for all purposes, and all decisions shall require the agreement of any two arbitrators. The expenses of the Tribunal shall be borne by the parties as assessed by the Tribunal. The arbitral award shall contain a statement of the reasons on which it is based and shall be final and binding on the parties.

21. If you are in agreement with the provisions set forth above, please sign and return to this office two copies of this Letter. Your acceptance shall thereby constitute the basis for your *[Government ministry's/institution's/IGO's]* participation in the implementation of the project.

Yours sincerely,  
Signed on behalf of UNDP

Rosa Malango  
Resident Representative

*[Date:.....]*

Signed on behalf of Ministry of Water and Environment

Mr. Alfred Okot-Okidi  
Permanent Secretary

*[Date:.....]*

## Annex 4: Letters of Co-Financing

United Nations Development Programme



Empowered lives.  
Resilient nations.

13 February 2017

Our Ref: PRO/0009731/GEN

Dear Mr. Okidi,

Subject: **Co-Financing Green Climate Fund Approved \$24.140 Million Grant for Uganda Wetlands Project**

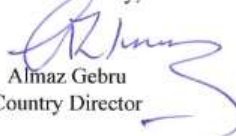
Reference is made to the co-financing letter for the above project received from your office; ADM/168/250/01 of 28 July 2015. The letter communicated government co-financing for the project on "Building Resilient Communities, Wetlands and Associated catchments" for submission to the Green Climate Fund.

I am pleased to inform you that the 15th Green Climate Fund Board meeting sitting in Samoa on 15th December 2016, approved the \$44.262 million Uganda project (\$24.140 million GCF grant and co-financing of \$2 million-UNDP and Government of Uganda- \$18.122 million).

Following approval of the project, UNDP is working with the Green Climate Fund to finalise financing agreement to facilitate transfer of funds to Uganda.

In this regard, I would like to request government to allocate \$18.122 million as co-financing for the 8-year project period effective 1st July 2017 to ensure that project target commitments are realised as per project proposal.

Yours Sincerely,

  
Almaz Gebru  
Country Director

Mr. Alfred Okidi  
Permanent Secretary,  
Ministry of Water and Environment

cc: Mr. Keith Muhakanizi  
The Permanent Secretary/Secretary to Treasury  
Green Climate Fund Nationally Designated Authority  
Ministry of Finance, Planning and Economic Development.

Encl:

1. Co-financing letter
2. No objection letter
3. Project Proposal

TEL-GENERAL +256 41 4505942  
TELEPHONE +256 41 4505945  
+256 41 4505950  
+256 41 4220203  
+256 41 4321316  
+256 41 4221198  
FAX: +256 414605941  
Email: [mwe@mwe.go.ug](mailto:mwe@mwe.go.ug)  
[go@mwe.go.ug](mailto:go@mwe.go.ug)  
website: [www.mwe.go.ug](http://www.mwe.go.ug)



MINISTRY OF WATER AND  
ENVIRONMENT  
P. O. BOX 20026  
KAMPALA - UGANDA

In any correspondence on  
this subject please quote Ref. **ADM/168/250/01**

July 28, 2015

Ms. Adrian Dinu  
Executive Coordinator and Director,  
UNDP-GEF Energy & Environment Group, BDP  
New York, NY 10017 USA

Dear Ms. Dinu,

**CO-FINANCING FOR THE GREEN CLIMATE FUND PROGRAMME "BUILDING  
RESILIENT COMMUNITIES, WETLAND ECOSYSTEMS AND ASSOCIATED  
CATCHMENTS IN UGANDA"**

Reference is made to the above captioned subject as part of the proposal submission requirements to the Green Climate Fund.

The purpose of this letter is to confirm co-financing of the project to the tune of US \$ 18,122,000. This commitment is in-kind as part of the Ministry of Water and Environment's ongoing projects and programmes. The projections for the medium term over a five year period are broken down as here below;

1. Promoting research for improved environment and natural resources management under Environment Support Services (\$100,000);
2. Restoration and protection of degraded forest ecosystems under Forestry support services ( \$ 263,00);
3. Increase the contribution of Uganda's wetlands to human welfare and health of the environment under Wetland management services ( \$ 5,158,000);
4. Improving farm incomes and rural livelihoods and food security through sustainable natural resources management and agricultural enterprise development (\$ 8.090,000);
5. Supporting households to increase incomes through commercial tree planting under Sawlog Production Grant Scheme (\$ 640,00);
6. Enhancing forest resources for biodiversity conservation and provision of multiple benefits to the economy and livelihoods under National REDD plus Project (\$ 771,000);
7. Improving the environment through watershed management under Water for Production (\$ 2,350,000);
8. Providing meteorological advisory services to the Agricultural sector (\$250,000);
9. Supporting catchment based planning, management and development of water resources to meet the socio-economic needs of the present and future generations under Water Resources Management (\$500,000).

I confirm that the above resources have been committed by Ministry of Water and Environment to contribute towards the achievement of the objective and outputs of the proposal that is submitted to the GCF.

Yours Sincerely,



David O.O Obong

**PERMANENT SECRETARY**

Copy to: Hon. Minister of Water and Environment  
Hon. Minister of State for Environment  
Hon Minister of State for Water  
Almaz Gebru, Country Director UNDP  
National Designated Authority - GCF, Ministry of Finance Planning and  
Economic Development

## Annex 5 (a): Social & Environmental Screening Procedure

### Project Information

<b>Project Information</b>	
1. Project Title	Building Resilient Communities and Ecosystems through Restoration of Wetlands and Associated Catchments in Uganda
2. Project Number	
3. Location (Global/Region/Country)	Uganda

### Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

#### **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?**

##### ***Briefly describe in the space below how the Project mainstreams the human-rights based approach***

The project will ensure social equity and equality. All social aspects of the project will be positive. Prior to the rehabilitation and/or construction of any wetlands, community consultation will be undertaken to seek approval for the location of new wetlands and any works to be undertaken.

##### ***Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment***

The project will have focus on gender sensitive planning and implementation to ensure the highest gains are made for gender equity. Many of the project beneficiaries will be women, especially within the agricultural sector where they often make up the majority of smallholder farmers, yet are most vulnerable to climate shocks and variability. In the food insecure and disaster prone communities, women often bear the brunt of the vagaries of the weather, low productivity, and disrupted livelihoods. By focusing on tailored products that include gender-sensitive adoption strategies, the project will ensure that women are empowered to benefit from the information and can cope with climate change impacts. Women are crucial in the translation of the products of a vibrant agriculture sector into food and nutrition security for their households. Many women will benefit from increased awareness and support on climate change risks and how to incorporate the information in their trades thereby protecting their livelihoods and enhancing adaptive capacities. Therefore, the proposed interventions, in particular, will ensure that women farmers have enhanced access to extension services, productive and effective wetlands and therefore water which is necessary for moving them up the agricultural value-chain.

##### ***Briefly describe in the space below how the Project mainstreams environmental sustainability***

The project is expected to have limited environmental impacts but significant environmental benefits. Accordingly, it is not necessary to undertake a full environmental and social impact assessment. By improving wetlands that will allow for the retention of water during droughts and to reduce flood peaks etc., the project will yield environmental benefits through strengthened ecosystem resilience and improved soil and water quality.

The project will provide important habitats and resources that farmers can potentially utilize in their activities. Through crop diversification, farmers will gain knowledge and adapt their practices to be more effective, economically and environmentally in a changing environment. Farmers will be able to store water so as the environment is not degraded to get them through for example, drought events. Further, with the additional knowledge, farmers can better plan their activities that will result in a reduction in sediment loss (and any nutrients etc. that may be used on their crops) into riverine and wetland environments. This will have flow on environmental benefits to those living downstream.



## Part B. Identifying and Managing Social and Environmental Risks

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>	<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			<b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b>
<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</b>
Risk 1: Sediment movement during construction/rehabilitation	I = 3 P = 3	Moderate		When undertaking the installation of weather stations, erosion and sediment control should be established to ensure runoff does not flow into riverine systems. Further sediment movement is not to be undertaken during rainy periods therefore significantly reducing the potential impact.
Risk 2: Alternative crops invade other habitats	I = 2 P = 2	Low		There is a limited potential that seeds from new crops may germinate and invade areas in proximity to the project. Through the use of local varieties, this impact will be mitigated.
Risk 3: Weed infestation of wetlands	I = 2 P = 3	Moderate		There is the potential for weed seeds to be contained within the existing sediment. Most weeds are pioneering species and therefore will be fast growing and may outcompete plant vegetation. To reduce this impact, a weed management regime will be undertaken during rehabilitation.
Risk 4: Constructing wetlands that are socially detrimental	I = 2 P = 2	Low		Stakeholder consultation will be undertaken prior to the selection of wetland sites to ensure no impacts occur on the local communities
	<b>QUESTION 4: What is the overall Project risk categorization?</b>			
	Select one (see <a href="#">SESP</a> for guidance)			Comments
	Low Risk	X	There will be no long term environmental and social impacts associated with the	

			<b>project. Any environmental impacts will be spatially and temporally restricted during construction/rehabilitation of the wetlands. Any social impacts will be mitigated through stakeholder consultation prior to construction/rehabilitation.</b>
	<i>Moderate Risk</i>	<input type="checkbox"/>	
	<i>High Risk</i>	<input type="checkbox"/>	
	<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>		
	Check all that apply		<b>Comments</b>
	<i>Principle 1: Human Rights</i>	<input type="checkbox"/>	Not Applicable
	<i>Principle 2: Gender Equality and Women's Empowerment</i>	X	The participation of women and youth in project activities/interventions is a focus of the project. This is to ensure that they are also empowered to make decisions and also benefit as a result of project interventions.
	<i>1. Biodiversity Conservation and Natural Resource Management</i>	X	The project will have an overall benefit on biodiversity and natural resource management. The project will improve wetland ecology through the rehabilitation of wetlands. There will be a temporal impact through for example, the loss of invertebrate biodiversity; however these animals are known to be both resilient and moreover, quickly inhabit new ecosystems. The improved water quality will increase biodiversity. Further, the construction and rehabilitation of wetlands will reduce sediment movement and improve water quality, an important aim in catchment management.
	<i>2. Climate Change Mitigation and Adaptation</i>	X	The project is designed to provide the community with habitats that can be utilized during drought events and in the alternative, reduce flows during potential flood events that are both occurring as a result of climate change
	<i>3. Community Health, Safety and Working Conditions</i>	X	The project has a positive benefit of increasing communities' health and safety through improved wetlands, therefore providing valuable resources to both the

			environment and community.
	<b>4. Cultural Heritage</b>	<input type="checkbox"/>	Not Applicable
	<b>5. Displacement and Resettlement</b>	<input type="checkbox"/>	Not Applicable
	<b>6. Indigenous Peoples</b>	<input type="checkbox"/>	Not Applicable
	<b>7. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>	Not Applicable

## Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

## Annex 5 (b): Social & Environmental Screening Plan

### Disclaimer

This Environmental and Social Management Plan has been prepared for the submission of the proposal to the Green Climate Fund for the purposes of assisting in the assessment of the potential environmental and social impacts of the “Building Resilient Communities and Ecosystems through Restoration of Wetlands and Associated Catchments in Uganda” proposal. This Environmental and Social Management Plan has been prepared prior to undertaking an Environmental and Social Impact Assessment (or commonly known as an Environmental Impact Assessment). Normally, an Environmental and Social Management Plan would be prepared following baseline studies and then the subsequent impact assessment contained within the Environmental and Social Impact Assessment and would form the basis for the construction and operational environmental and social management plans.

As no Environmental and Social Impact Assessment have been undertaken for the projects, this Environmental and Social Management Plan has been prepared solely on the author’s experience with projects of this nature and in consideration of international good practice for these types of projects.

### Assumptions

The following assumptions have been made in the preparation of this Environmental and Social Management Plan:

1. all components of the proposal will have an Environmental and Social Impact Assessment/s prepared prior to the construction and operation of the specific project components;
2. none of the projects will require the displacement of people;
3. none of the projects will be conducted in wetlands that have otherwise been degraded through anthropogenic impacts;
4. appropriate modelling will be conducted prior to the final design of any significant changes to wetland characteristics and hydrological processes to ensure any works will not have significant impacts on hydrological processes;
5. appropriate erosion and sediment control will be undertaken during all stages of the projects; and
6. there will be no release of pollution and/or chemicals as a result of the projects.

### Environmental and Social Management Plan for Building Resilient Communities and Ecosystems through Restoration of Wetlands and Associated Catchments in Uganda Project

1. This document is an Environmental and Social Management Plan (ESMP) for the “*Building Resilient Communities and Ecosystems through Restoration of Wetlands and Associated Catchments in Uganda*” proposal submitted to the Green Climate Fund for funding. The project will provide the restoration and rehabilitation of wetlands, improved agricultural practices and alternative livelihood options in the wetland catchment; and strengthening access to climate and early warning information to farmers and other target communities to support wetland management.

### Governing Legislation

2. The legislative and policy basis for the provision of wetland protection projects comes under a number of piece of legislation including but not limited to the:
  - a. *National Environment Act 1998*;
  - b. *National Environment Water Act 1998*.
  - c. *National Environment (Audit) Regulations 2009*;
  - d. *National Environment Impact Assessment Regulations 1998*;
  - e. *National Environment Forestry and Tree Planting Act 2003*;
  - f. *National Environment (Minimum Standards for Discharge of Effluents into Water or Land) Regulations*;

- g. *National Environment (Wetlands, Riverbanks and Lakeshores Management) Regulations;*
- h. *Water Act 1997;*
- i. *Wildlife Act 1996;* and
- j. *Land Act (Cap 227).*

#### ***National Environment Act 1998 and National Environment Impact Assessment Regulations 1998***

3. Environmental management and the requirement for an environmental impact assessment are controlled by the *National Environment Act 1998 and National Environment Impact Assessment Regulations 1998*. The Ministry of Water and Environment (MoWE) administers the Act and Regulations. Specifically, Part 5 of the Act (sections 19 and 20) sets out the process and procedures for the undertaking of an Environmental Impact Assessment (EIA).
4. Of importance, sections 36 and 37 relate to the restriction on the use of wetlands and management of wetlands respectively. Section 36(1) specifically stated that *no person shall*:
  - a. *reclaim or drain any wetland;*
  - b. *erect, construct, place, alter, extend, remove or demolish any structure that is fixed in, on, under or over any wetland;*
  - c. *disturb any wetland by drilling or tunnelling in a manner that has or is likely to have an adverse effect on the wetland;*
  - d. *deposit in on or under any wetland any substance in a manner that has or is likely to have an adverse effect on the wetland;*
  - e. *destroy, damage or disturb any wetland in a manner that has or is likely to have an adverse effect on any plant or animal or its habitat;*
  - f. *introduce or plant any exotic or introduced plant or animal in a wetland,*  
*unless he or she has written approval from the authority given in consultation with the lead agency.*
5. Section 36(2) states that the *Authority may, in consultation with the lead agency, and upon an application to carry on any activity referred to in subsection (1), make any investigation it considers necessary, including an environmental impact assessment referred to in section 19 to determine the effect of that activity on the wetland and the environment in general.*

### **Overview - Institutional Requirements for the Environmental and Social Management Plan**

6. As the project will be funded by the Green Climate Fund through the UNDP, all works (including but not limited to civil and construction contractors) must adhere to the outcomes of the ESIA (once prepared) and this or a modified ESMP (following an ESIA) including complying with the appropriate avoidance and mitigation measures. The ESIA and this or a modified ESMP will be assessed for each project by the DoE and UNDP prior to any works being undertaken. The ESMP identifies potential risks to the environment and social matters from the projects and outlines strategies for managing those risks and minimising undesirable environmental and social impacts.
7. The MoWE will be responsible for the supervision of the ESMP. The UNDP will gain the endorsement of the MoWE and will ensure the ESMP is adequate and followed. The supervising engineer will ensure timely remedial actions are taken by the contractor where necessary.

### **Objectives of the Environmental and Social Management Plan**

8. An ESMP is a management tool used to assist in minimising the impact to the environment and reach a set of environmental objectives. To ensure the environmental objectives of the projects are met, this ESMP will be used by the contractor to structure and control the environmental management safeguards that are required to avoid or mitigate adverse effects on the environment.
9. The environmental and social objectives of the projects are to:
  - a) restore and rehabilitate wetlands to provide functioning hydrological systems and increase ecosystem resilience;

- b) improved agricultural practices and alternative livelihood options in the wetland catchment to reduce pressures on wetlands;
  - c) provide alternate income to those currently using wetland areas for agricultural activities;
  - d) develop and strengthen access to climate and early warning information to farmers and other target communities to support wetland management and improve agricultural outputs;
  - e) provide training to local staff;
  - f) encourage good management practices through planning, commitment and continuous improvement of environmental practices;
  - g) comply with all applicable laws, regulations and standards for the protection of the environment; and
  - h) adopt the best practicable means available to prevent or minimise environmental impact.
  - i) describe all monitoring procedures required to identify impacts on the environment; and
  - j) provide an overview of the obligations of MoWE and UNDP staff and contractors in regard to environmental obligations.
10. The ESMP will be updated from time to time by the contractor in consultation with the UNDP staff and MoWE.

### **General Management Structure and Responsibilities**

- 11. The UNDP and MoWE are accountable for the provision of specialist advice on environmental issues to the contractor and for environmental monitoring and reporting. The MoWE will assess the environmental performance of the contractor in charge of construction throughout the project and ensure compliance with the ESMP.
- 12. The MoWE will be responsible for monitoring the implementation of the ESMP by relevant supervisory staff during construction. During operations the contractor will be accountable for implementation of the ESMP. Contractors working on the projects have accountability for preventing or minimizing environmental and social impacts.

### **Administration**

- 13. The MoWE will be responsible for the revision or updates of this document during the course of work. It is the responsibility of the person to whom the document is issued to ensure it is updated.
- 14. The site supervisor will be responsible for daily environmental inspections of the construction site. The MoWE will cross check these inspections by undertaking monthly audits.
- 15. The contractor will maintain and keep all administrative and environmental records which would include a log of complaints together with records of any measures taken to mitigate the cause of the complaints.
- 16. The contractor will be responsible for the day to day compliance of the ESMP MoWE will be the implementing agency and will be responsible for the implementation and compliance with the ESMP via the contractor. The ESMP will be part of any tender documentation.
- 17. The Supervising Engineer/Project Manager will supervise the contractor, while the MoWE will be responsible for environment and social issues.

### **Economic Displacement during project activities**

- 18. No people will be displaced or relocated will be relocated as a result of the project. However, there is the potential for there to be a reduction in the availability of land for crop production through the rehabilitation of the wetlands. There will potentially be an impact on what farmers currently utilize being converted back into wetlands.
- 19. Prior to any work, carefully planning and stakeholder consultation will be undertaken prior to the construction and development of any new wetlands and the rehabilitation of existing wetlands. To ensure there is limited impact on people, crop diversification is planned. This will improve the livelihoods overall of people working in and around the wetlands and increase their income potential. Where available, local people will be employed to undertake construction and maintenance of the wetlands, thereby providing a social benefit to the community.

## Land Requirements for Meteorological Stations

20. All meteorological stations are proposed to be constructed on land currently owned by the Government of Uganda. As such, there is no requirement for any form of land acquisition.

## Indigenous Peoples and Ethnic Minorities

21. As part of due diligence, an analysis and consultations were undertaken as to the likelihood of any of the project's activities involving indigenous people and/or ethnic minorities. No indigenous people and/or ethnic minorities are known to occur in the project area.

## Public Consultation and Environmental and Social Disclosure

22. The projects are designed to improve restore and rehabilitate wetlands, install an early warning system; and improve agricultural practices and alternative livelihood options in the wetland catchment. Agricultural activities are currently being undertaken within wetlands that are proposed to be restored and rehabilitated although it is unknown if people currently reside within wetland footprints. During site selection, MoWE will ensure there are no resettlement issues and any individuals that may have their livelihoods impacted are provided with alternate livelihoods as proposed as part of the project. The ESIA's will also include public consultation as part of their stakeholder engagement plan and this information will be included in any modified ESMP.
23. Large, widespread consultation with affected communities have been undertaken to inform the detailed design of the project. It is anticipated that based on the communities' needs, the projects will be fully accepted.
24. The UNDP and MoWE will develop and release Community Flyers on a regular basis to provide interested stakeholders with an update on the construction status of the projects. A publicised telephone number will be maintained throughout the construction of all projects to serve as a point of contact for enquiries, concerns and complaints. All enquiries, concerns and complaints will be recorded on a register and the appropriate manager will be informed. All material must be published in English, Swahili and Luganda.
25. Where there is a community issue raised, the following information will be recorded:
  - a) time, date and nature of enquiry, complaint or concern;
  - b) type of communication (eg telephone, letter, personal contact);
  - c) name, contact address and contact number;
  - d) response and investigation undertaken as a result of the enquiry, complaint or concern; and
  - e) actions taken and name of the person taking action.
26. Some enquiries, complaints and concerns may require an extended period to address. The complainant(s) will be kept informed of progress towards rectifying the concern. All enquiries, complaints and concerns will be investigated and a response given to the complainant in a timely manner. A nominated contractor staff will be responsible for undertaking a review of all enquiries, complaints and concerns and ensuring progress toward resolution of each matter.

## Site Supervisor

27. The site supervisor is responsible for ensuring compliance with the ESMP. The site supervisor will provide advice on effective environmental management of the project to the UNDP Staff, MoWE and engineers and all construction site personnel. The site supervisor is to also ensure the environmental awareness of project personnel is maintained through appropriate training. A compliance report on mitigation measures will be submitted by the UNDP to MoWE for the civil contractor. An independent review of the compliance may be undertaken during construction and post construction where deemed necessary.

## Environmental Procedures and Site and Activity-Specific Work Plans/Instructions

28. Environmental procedures provide a written method describing how the management objectives for a particular environmental element are to be obtained. They contain the necessary detail to be site or activity-specific and are required to be followed for all construction works. Site and activity-specific work plans and instructions are to be issued through the following methods:



## Environmental and Incident Reporting

29. Any incidents, including non-conformances to the procedures of the ESMP are to be recorded using an Incident Record and the details entered into a register. For any incident that causes or has the potential to cause material or serious environmental harm, the site supervisor shall notify MoWE as soon as possible. The contractor must cease work until remediation has been completed as per the approval of MoWE.

## Daily and Weekly Environmental Inspection Checklists

30. A daily environmental checklist is to be completed at each work site by the relevant site supervisor and maintained within a register. The completed checklist is forwarded to MoWE for review and follow-up if any issues are identified. A weekly environmental checklist is to be completed and will include reference to any issues identified in the daily checklists completed by the Site Supervisors.

## Corrective Actions

31. Any non-conformances to the ESMP are to be noted in weekly environmental inspections and logged into the register. Depending on the severity of the non-conformance, the site supervisor may specify a corrective action on the weekly site inspection report. The progress of all corrective actions will be tracked using the register. Any non-conformances and the issue of corrective actions are to be advised to MoWE.

## Complaints Register and Grievance Redress Mechanism

32. During the construction and implementation phases of any project, a person or group of people can be adversely affected, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements, disruption of services, temporary or permanent loss of livelihoods and other social and cultural issues. Grievances may also be related to environmental issues such as excessive dust generation, damages to infrastructure due to construction related vibrations or transportation of raw material, noise, traffic congestions, decrease in quality or quantity of private/ public surface/ ground water resources during irrigation rehabilitation, damage to home gardens and agricultural lands etc.
33. Should such a situation arise, there must be a mechanism through which affected parties can resolve such issues in a cordial manner with the project personnel in an efficient, unbiased, transparent, timely and cost-effective manner. To achieve this objective, a grievance redress mechanism has been included in ESMP for this project
34. The project allows those that have a complaint or that feel aggrieved by the project to be able to communicate their concerns and/or grievances through an appropriate process. The Complaints Register and Grievance Redress Mechanism set out in this ESMP and to be used as part of the project will provide an accessible, rapid fair and effective response to concerned stakeholders, especially any vulnerable group who often lack access to formal legal regimes.
35. While recognizing that many complaints may be resolved immediately, the Complaints Register and Grievance Redress Mechanism set out in this ESMP encourages mutually acceptable resolution of issues as they arise. The Complaints Register and Grievance Redress Mechanism set out in this ESMP has been designed to:
  - a. be a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner;
  - b. allow simple and streamlined access to the Complaints Register and Grievance Redress Mechanism for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;
  - c. provide clear and known procedures for each stage of the Grievance Redress Mechanism process, and provides clarity on the types of outcomes available to individuals and groups;
  - d. ensure equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a complaint and/or concern;
  - e. to provide a transparent approach, by keeping any aggrieved individual/group informed of the progress of their complaint, the information that was used when assessing their complaint and information about the mechanisms that will be used to address it; and
  - f. enable continuous learning and improvements to the Grievance Redress Mechanism. Through continued assessment, the learnings may reduce potential complaints and grievances.
36. In order to ensure that any grievance that may arise is resolved in a manner that will accrue maximum benefits to

both the project and affected parties, the following aspects were taken into consideration in developing the grievance redress mechanism:

- a. special attention to cultural norms in Uganda;
  - b. will build on existing national mechanisms in Uganda;
  - c. ensure that community have information about the project activities, selection criteria and possible impact on them;
  - d. to build up productive relationships among the stakeholders including and affected parties;
  - e. provide a mechanism for the affected parties to negotiate and influence the decisions and policies of the project which might adversely affect them;
  - f. mitigate or prevent adverse impacts of the project on the environment and produce appropriate corrective or preventive action;
  - g. to harmonize project activities with the activities of potentially affected parties to avoid grievances or disputes if possible before they arise; and
  - h. should a grievance or dispute arise, provide a forum for addressing such issues at the lowest possible level so that they are resolved as and when they occur.
37. Eligibility criteria for the Grievance Redress Mechanism include:
- a. Perceived negative economic, social or environmental impact on an individual and/or group, or concern about the potential to cause an impact;
  - b. clearly specified kind of impact that has occurred or has the potential to occur; and explanation of how the project caused or may cause such impact; and
  - c. individual and/or group filing of a complaint and/or grievance is impacted, or at risk of being impacted; or the individual and/or group filing a complaint and/or grievance demonstrates that it has authority from an individual and or group that have been or may potentially be impacted on to represent their interest.
38. The Grievance Redress Mechanism has been designed to be problem-solving mechanism with voluntary good-faith efforts. The Grievance Redress Mechanism is not a substitute for the legal process. The Grievance Redress Mechanism will as far as practicable, try to resolve complaints and/or grievances on terms that are mutually acceptable to all parties. When making a complaint and/or grievance, all parties must act at all times, in good faith and should not attempt to delay and or hinder any mutually acceptable resolution.
39. A complaints register will be established to record any concerns raised by the community during construction. Any complaint will be advised to the UNDP and MoWE within 24 hours of receiving the complaint. The complaint will be screened. Following the screening, complaints regarding corrupt practices will be referred to the UNDP for commentary and/or advice along with the Uganda Inspector General of Government.
40. A summary list of complaints received and their disposition must be published in a report produced every six months in English or appropriate local language.
41. In order to ensure smooth implementation of the Project and timely and effectively addressing of problems that may be encountered during implementation, a robust Grievance Redress Mechanism, which will enable to the Project Authorities to address the grievances of the stakeholders of the Project has been established.
42. All complaints regarding social and environmental issues can be received either orally (to the field staff), by phone, in complaints box or in writing to the UNDP, MoWE or the Construction Contractor. A key part of the grievance redress mechanism is the requirement for the project proponent and construction contractor to maintain a register of complaints received at the respective project site offices. All complainants shall be treated respectfully, politely and with sensitivity. Every possible effort should be made by the project proponent and construction contractor to resolve the issues referred to in the complaint within their purview. However, there may be certain problems that are more complex and cannot be solved through project-level mechanisms. Such grievances will be referred to the Grievance Redress Committee. It would be responsibility of the MoWE to solve these issues through a sound / robust process.
43. The Grievance Redress Mechanism has been designed to ensure that an individual and/or group are not financially impacted by the process of making a complaint. The Grievance Redress Mechanism will cover any reasonable costs in engaging a suitably qualified person to assist in the preparation of a legitimate complaint and/or grievance. Where a complaint and/or grievance is seen to be ineligible, the Grievance Redress Mechanism will not cover these costs.
44. Information about the Grievance Redress Mechanism and how to make a complaint must be placed at prominent

places for the information of the key stakeholders.

45. The Safeguards officer in the PMU will be designated as the key officer in charge of the Grievance Redress Mechanism. The Terms of Reference for these positions (as amended from time to time) will have the following key responsibilities:
  - a. PMU – Safeguards Officer
    - (i) coordinate formation of Grievance Redress Committees before the commencement of constructions to resolve issues;
    - (ii) act as the focal point at the PMU on Grievance Redress issues and facilitate the resolution of issues within the PMU;
    - (iii) create awareness of the Grievance Redress Mechanism amongst all the stakeholders through public awareness campaigns;
    - (iv) assist in redress of all grievances by coordinating with the concerned parties;
    - (v) maintain information on grievances and redress;
    - (vi) monitor the activities of MoWE on grievances issues; and
    - (vii) prepare the progress for monthly/quarterly reports.
46. A two tier Grievance Redress Mechanism structure has been developed to address all complaints in the project. The first tier redress mechanism involves the receipt of a complaint at the local/village and/or Divisional Secretariat level. The stakeholders are informed of various points of making complaints (if any) and the PMU collect the complaints from these points on a regular basis and record them. This is followed by coordinating with the concerned people to redress the Grievances. The Safeguards Officer of the PMU will coordinate the activities at the respective district local government level to address the grievances and would act as the focal point in this regard. The Community Development Officer of the Local Government or in the absence of the Community Development Officer, any officer given the responsibility of this would coordinate with the Safeguards and Gender Manager of the PMU and MoWE in redressing the grievances. The designated officer of the Local Government is provided with sufficient training in the procedure of redress to continue such systems in future.
47. Following the receipt of a complaint, the following entities would be informed:
  - a. Respective Local Council;
  - b. Concerned Parish Chief
  - c. District Environment Officer
  - d. Chief Administrative Officer
  - e. District Police Commander
  - f. Executive Director, National Environment Management Authority
  - g. Sub-county Environment Secretary; and
  - h. Resident District Commissioner.
48. The complaints can be made orally (to the field staff), by phone, in complaints box or in writing to the UNDP, MoWE or the Construction Contractor. Complainants may specifically contact the Safeguards Officer and request confidentiality if they have concerns about retaliation. In cases where confidentiality is requested (i.e. not revealing the complainant's identity to UNDP, MoWE and/or the Construction Contractor). In these cases, the Safeguards Officer will review the complaint, discuss it with the complainant, and determine how best to engage project executing entities while preserving confidentiality for the complainant.
49. As soon as a complaint is received, the Safeguards Officer would issue an acknowledgement. The Community Development Officer receiving the complaint should try to obtain relevant basic information regarding the grievance and the complainant and will immediately inform the Safeguards Officer in the PMU.
50. The PMU will maintain a Complaint / Grievance Redress register at the Provincial Level. Keeping records collected from relevant bodies is the responsibility of PMU.
51. After registering the complaint, the Safeguards Officer will study the complaint made in detail and forward the complaint to the concerned officer with specific dates for replying and redressing the same. The Safeguards Officer will hold meetings with the affected persons / complainant and then attempt to find a solution to the complaint received. If necessary, meetings will be held with the concerned affected persons / complainant and

the concerned officer to find a solution to the problem and develop plans to redress the grievance. The deliberations of the meetings and decisions taken are recorded. All meetings in connection with the Grievance Redress Mechanism, including the meetings of the Grievance Redress Committee, must be recorded. The Safeguards Officer for the Grievances Redress Mechanism will be actively involved in all activities.

52. The resolution at the first tier will be normally be completed within 15 working days and the complainant will be notified of the proposed response through a disclosure form. The resolution process should comply with the requirements of the Grievance Redress Mechanism in that it should, as far as practicable, be informal with all parties acting in good faith. Further, the Grievance Redress Mechanism should, as far as practicable, achieve mutually acceptable outcomes for all parties.
53. Should the grievance be not resolved within this period to the satisfaction of the complainant, the grievance will be referred to the next level of Grievance Redress Mechanism. If the social safeguard and gender officer feels that adequate solutions can be established within the next five working days, the officer can decide on retaining the issue at the first level by informing the complainant accordingly. However, if the complainant requests for an immediate transfer to the next level, the matter must be referred to the next tier. In any case, where the issue is not addressed within 20 working days, the matter is referred to the next level.
54. Any grievance related to corruption or any unethical practice should be referred immediately to the Inspector General of Government and the Office of Audit and Investigation within the UNDP Stakeholder Response Unit in New York
55. The Grievance Redress Committee formed at every district local government level would address the grievance in the second tier. A Grievance Redress Committee will be constituted for every district local government by the circulars issued by the Resident District Commissioner, who would also be the Chairman of the Committee.
56. The Structure of the committee would be:
  - a. Resident District Commissioner – Chairman;
  - b. District Secretary for Environment;
  - c. Chairpersons of District Local Government
  - d. Representative of the non-government organization/civil society working in the area as nominated by the Resident District Commissioner;
  - e. Member of Faith Based Organisation in the district; and
  - f. District Environment Officer.
57. The Social Safeguard and Gender Officer from the PMU will coordinate with the respective Resident District Commissioner in getting these Committees constituted for each District and get the necessary circulars issued in this regard so that they can be convened whenever required.
58. The Terms of Reference for the Grievance Redress Committee are:
  - a. providing support to the affected persons in solving their problems;
  - b. prioritize grievances and resolve them at the earliest;
  - c. provide information to the PMU and MoWE on serious cases at the earliest opportunity;
  - d. Coordinate with the aggrieved person/group and obtain proper and timely information on the solution worked out for his/her grievance; and
  - e. study the commonly occurring grievances and advise PMU, Project Board on remedial actions to avoid further occurrences.
59. The Grievance Redress Committee will hold the necessary meetings with the aggrieved party/complainant and the concerned officer and attempt to find a solution acceptable at all levels. The Grievance Redress Committee would record the minutes of the meeting.
60. Grievance Redress Committee will communicate proposed responses to the complainant formally. If the proposed response satisfies the complainant, the response will be implemented and the complaint closed. In cases where a proposed response is unsatisfactory to the complainant, the Grievance Redress Committee may choose to revise the proposed response to meet the complainant's remaining concerns, or to indicate to the complainant that no other response appears feasible to the GRC. The complainant may decide to take a legal or any other recourse if s/he is not satisfied with the resolutions due to the deliberations of the three tiers of the grievance redress mechanism.
61. In addition to the project-level grievance redress mechanism, complainants have the option to access UNDP's

Accountability Mechanism, with both compliance and grievance functions. The Social and Environmental Compliance Unit investigates allegations that UNDP's Standards, screening procedure or other UNDP social and environmental commitments are not being implemented adequately, and that harm may result to people or the environment. The Social and Environmental Compliance Unit is housed in the Office of Audit and Investigations, and managed by a Lead Compliance Officer. A compliance review is available to any community or individual with concerns about the impacts of a UNDP programme or project. The Social and Environmental Compliance Unit is mandated to independently and impartially investigate valid requests from locally impacted people, and to report its findings and recommendations publicly.

62. The Stakeholder Response Mechanism offers locally affected people an opportunity to work with other stakeholders to resolve concerns about the social and environmental impacts of a UNDP project. Stakeholder Response Mechanism is intended to supplement the proactive stakeholder engagement that is required of UNDP and its Implementing Partners throughout the project cycle. Communities and individuals may request a Stakeholder Response Mechanism process when they have used standard channels for project management and quality assurance, and are not satisfied with the response (in this case the project level grievance redress mechanism). When a valid Stakeholder Response Mechanism request is submitted, UNDP focal points at country, regional and headquarters levels will work with concerned stakeholders and Implementing Partners to address and resolve the concerns. Visit [www.undp.org/secu-srm](http://www.undp.org/secu-srm) for more details. The relevant form is attached at the end of the ESMP. The relevant form is attached as Annexure One to the ESMP.
63. The Social Safeguards Officer of the PMU will initially brief all the staff of PMU, the concerned officer in the office of the Resident District Commissioner and the Chief Administrative Officer, on the Grievance Redressal Mechanism of the Project and explain them the procedures and formats to be used including the reporting procedures. The Safeguards Officer will further brief the concerned Local Authorities, Technical staff at Sub-county and District on the Grievance Redress Mechanism of the Project and explain to them the procedures and formats to be used including the reporting procedures.
64. The Safeguard Officer of the PMU will prepare the Quarterly Report on the Grievance Redressal issues of the Project as part of quarterly reporting.

## Review and Auditing

65. The ESMP and its procedures are to be reviewed at least two month by UNDP staff and MoWE. The objective of the review is to update the document to reflect knowledge gained during the course of construction operations and to reflect new knowledge and changed community standards (values). Any changes are to be developed and implemented in consultation with UNDP Staff and MoWE. When an update is made, all site personnel are to be made aware of the revision immediately through a tool box meeting.

## Training of Contractors

66. The main contractor has the responsibility for ensuring systems are in place so that relevant employees, contractors and sub-contractors are aware of the environmental and social requirements for construction, including the ESMP.
67. All construction personnel will attend an induction which covers health, safety, environment and cultural requirements.
68. All staff and contractors engaged in any activity with the potential to cause serious environmental harm (e.g. handling of hazardous materials) will receive task specific environmental training.

## Key Environmental and Social Indicators

69. This section identifies the Key Environmental and Social Indicators identified for the project and outlines respective management objectives, potential impacts, control activities and the environmental performance criteria against which these indicators will be judged (i.e. auditable). This section further addresses the need for monitoring and reporting of environmental performance with the aim of communicating the success and failures of control procedures, distinguish issues which require rectification and identify measures which will provide continuous improvement in the processes by which the projects are managed.

## Water Quality

70. The projects involve the rehabilitation of numerous wetlands and the construction and installation of the early warning system to improve livelihoods and the environment more broadly.
71. The construction and installation of the early warning system along with the restoration and rehabilitation of the wetlands will result in the movement of sediment during construction. While it is assumed that none of the

wetlands are currently undisturbed, protected and/or pristine environments, there is a necessity to maintain appropriate water quality standards within these environments when undertaking the construction and installation of the early warning system and the rehabilitation of the wetlands to protect riverine environments and downstream users.

72. The rehabilitation of the wetlands could also result in changes to small and medium scale hydrological processes that could result in changes to water quality within specific locations. Prior to final design and construction, it will be necessary to undertake modelling to ensure that any impacts are mitigated.

### Performance Criteria

73. The following performance criteria are set for the construction of the projects:
- a) no significant decrease in water quality as a result of rehabilitation activities;
  - b) no significant decrease in the quality and quantity of surface water as a result of construction activities in proximity to the projects;
  - c) water quality shall conform to any approval conditions stipulated by UNDP, MoWE and/or other government departments, or in the absence of such conditions follow a 'no worsening' methodology;
  - d) no offsite impact will occur through the release of sediment into riverine environments; and
  - e) effective implementation of site-specific Erosion, Drainage and Sediment Control Plan (EDSCP).
74. By following the management measures set out in the ESMP, the rehabilitation of wetlands and the construction and installation of the early warning system will not have a significant impact on water quality across the broader area.

### Monitoring

75. A standardised water quality monitoring program has been developed for the projects. The program is subject to review and update at least every two months from the date of issue. The site supervisor will be required to conduct a daily visual inspection for turbidity within or adjacent to their work area as a part of the daily site inspection checklist.

### Reporting

76. All water quality monitoring results and/or incidents will be tabulated and reported as outlined in the ESMP. The MoWE must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to water quality is exceeded.

**Table 1: Water Quality Management Measures**

Issue	Control Activity (and Source)	Action Timing	Responsibility	Monitoring and Reporting
W1: Elevated turbidity in wetlands and riverine environments.	W1.1: Develop and implement a site specific Erosion, Drainage and Sediment Control Plan (EDSCP) to address drainage control, sediment and erosion controls and stockpiling of materials including soil during construction of all components of the project. EDSCP measures to be inspected regularly to ensure all devices are functioning effectively.	Pre Earthworks	Site Supervisor	Initial set up and then as required with reporting to MoWE and UNDP
	W1.2: Designated areas for storage of fuels, oils, chemicals or other hazardous liquids should have compacted impermeable bases and be surrounded by a bund to contain any spillage.	Entire construction phase	All Personnel	Weekly with reporting to MoWE and UNDP
	W1.3: Conduct regular surface water quality monitoring in location where the groundwater is likely to be impacted including assessing the changes to water quality.	Entire construction phase	Site Supervisor	Twice weekly with reporting to MoWE and UNDP
	W1.4: Schedule works in stages to ensure that disturbed areas are revegetated and stabilised progressively and as soon as practicable after completion of works.	No works during wet season	Site Supervisor and MoWE	Maintain records
	W1.5: Construction materials will not be stockpiled in proximity to the recharge locations that may allow for release into riverine and other wetland environments. Construction equipment will be removed from in proximity to the wetlands and riverine environments at the end of each working day or if heavy rainfall is predicted.	Entire construction phase	Site Supervisor	Maintain daily records
	W1.6 Minimise the release of clays and very fine silts into wetlands and riverine environments through the installation of sediment basins, rock checks and sediment fences in appropriate places as outlined in the EDSCPs.	Entire construction phase	Site Supervisor	Maintain daily records
	W1.7 Disturbance of vegetation to be limited to that required for construction works	Entire construction phase	All Personnel	Weekly with reporting to MoWE and UNDP

Issue	Control Activity (and Source)	Action Timing	Responsibility	Monitoring and Reporting
W2: Increase gross pollutants, hydrocarbons, metals and other pollutants into wetlands and riverine environments.	W2.1: Reuse suitable water runoff from site to supplement construction water supply.	All phases	All Personnel	Weekly with reporting to MoWE and
	W2.2: Designated areas for storage of fuels, oils, chemicals or other hazardous liquids should: 1. Have compacted impermeable bases; and 2. Surrounded by a bund to contain any spillage.	All phases	All Personnel	Weekly with reporting to MoWE and UNDP
	W2.3: Check all vehicles, equipment and material storage areas daily for possible fuel, oil and chemical leaks.	All phases	All Personnel	Daily and maintain records
	W2.4: Rubbish and waste materials to be placed in suitable facilities to ensure that they do not enter the wetland and riverine environments. Ensure all absorbent material is placed in contaminant bags prior to removal.	All phases	All Personnel	Weekly reporting to MoWE and UNDP
	W2.5: Minimise the use of herbicides and use only biodegradable herbicides that have minimal impact on water quality and fauna.	All phases	All personnel	Maintain records



## Erosion, Drainage and Sediment Control

77. Uganda lies within the African plate, which is a continental crust that contains Archaean cratons that date at least 2700 Ma. The country's geology contains a wide variety of minerals. It is situated on a plateau that gently drops from approximately 1,500 metres above sea level in the south to approximately 900 metres in the north although there are peaks including for example, Ptolemy's Mountains of the Moon in the north with a peak of 5,109 metres. The soils, in general, are fertile (and primarily lateritic), and those in the region of Lake Victoria are among the most productive in the world. Interspersed with these are the waterlogged clays characteristic of the northwest and of the western shores of Lake Victoria.
78. The project will be located in the South Western Uganda (6 districts of Kabale, Kisoro, Kanungu, Rukungiri, Greater Bushenyi and Ntungamo) and Eastern Uganda (9 districts of Pallisa, Kibuku, Bukedea, Namutumba, Butaleja, Budaka, Tororo, Kaliro Ngora and Mbale). These areas are the main areas of volcanicity in Uganda. The eastern volcanics are older and range from Cretaceous to Miocene and comprise generally soda-rich agglomerates, lavas and tuffs extruded by central volcanoes of Moroto, Kadam and Elgon Mountains. In western Uganda, volcanism was confined to the later Pleistocene and the volcanic areas are potash-rich. The volcanic attributes form prominent cones including for example, Mount Mufumbira and are also represented by explosion craters in areas between Lake George and Fort Portal.

## Performance Criteria

79. The following performance criteria are set for the construction of the projects:
  - a. no build-up of sediment in the wetlands and riverine environments and or groundwater as a result of construction and rehabilitation activities;
  - b. no degradation of water quality on or off site of all projects;
  - c. all water exiting the project area and/or into groundwater systems is to have passed through best practice erosion, drainage and sediment controls;
  - d. no changes to hydrological processes from wetland rehabilitation;
  - e. no changes to existing erosion or sediment deposition regimes from the taking of sediment from wetland environments; and
  - f. effective implementation of site-specific EDSCP.
80. By following the management measures set out in the ESMP, construction and rehabilitation activities of the projects will not have a significant impact as a result of sedimentation across the broader area.

## Monitoring

81. A standardised sediment control monitoring program has been developed for the projects. The program is subject to review and update at least every two months from the date of issue. The site supervisor will be required to:
  - a. conduct site inspections on a weekly basis or after rainfall events exceeding 20mm in a 24 hour period;
  - b. develop a site-specific checklist to document non-conformances to this ESMP or any applicable EDSCPs; and
  - c. communicate the results of inspections and/or water quality testing to the Site Supervisor and ensure that any issues associated with control failures are rapidly rectified and processes are put in place to ensure that similar failures are not repeated.
82. It is the responsibility of the site supervisor to:
  - a. conduct daily inspections of EDS control measures as part of the Daily Check Procedure; and
  - b. consult MoWE and UNDP staff when a non-conformance is suspected and amend accordingly.

## Reporting

83. All sediment and erosion control monitoring results and/or incidents will be tabulated and reported as outlined in the ESMP. The MoWE must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to erosion and sediment control is exceeded.

**Table 2: Erosion, Drainage, Sediment Control Measures**

Issue	Control Activity (and Source)	Action Timing	Responsibility	Monitoring and Reporting
E1: Loss of soil material and sedimentation to wetlands and riverine environments and/or groundwater systems from site due to earthwork activities	E1.1: Develop and implement an EDSCP for any surface works, embankments and excavation work, water crossings and storm water pathways.	Entire construction phase	All Personnel	Maintain records
	E1.2: Ensure that erosion and sediment control devices are installed, inspected and maintained as required.	Entire construction phase	All Personnel	Maintain records
	E1.3: Schedule/stage works to minimize cleared areas and exposed soils at all times.	Pre and during construction	Site Supervisor	Maintain records
	E1.4: Incorporate the design and location of temporary and permanent EDSC measures for all exposed areas within wetlands and riverine environments. These shall be implemented prior to pre-construction activities and shall remain onsite during work	Pre and during construction	Site Supervisor	Maintain records
	E1.5: Schedule/stage proposed works to ensure that major vegetation disturbance and earthworks are carried out during periods of lower rainfall and wind speeds.	Pre and during construction	Site Supervisor	Maintain records
	E1.6: Strip and stockpile topsoil for use during revegetation.	Pre and during construction	Site Supervisor	Maintain records
	E1.7: Schedule/stage works to minimize the duration of stockpiling topsoil material	During construction	All Personnel	Maintain records
	E1.8: Locate stockpile areas away from sensitive locations.	Pre and during construction	Site Supervisor	Maintain records
	E1.9: Design storm water management measures to reduce flow velocities and avoid concentrating runoff.	Pre and during construction	Site Supervisor	Maintain records
	E1.10: Include check dams in drainage lines where necessary to reduce flow velocities and provide some filtration of sediment.	Pre and during construction	Site Supervisor	Maintain records

	E1.11: Mulching shall be used as a form of erosion and sediment control (dependent on site selection), include extra sediment fencing during high rainfall.	During construction	All Personnel	Maintain records
<b>Issue</b>	<b>Control Activity (and Source)</b>	<b>Action Timing</b>	<b>Responsibility</b>	<b>Monitoring and Reporting</b>
E1: Loss of soil material and sedimentation to wetlands and riverine environments and/or groundwater systems from site due to earthwork activities	E1.12: Bunding shall be used around sensitive/dangerous goods as necessary.	During construction	All Personnel	Maintain records
	E1.14: Grassed buffer strips shall be incorporated where necessary during construction to reduce water velocity were applicable.	During construction	Site Supervisor	Maintain records
	E1.15: Silt curtain to be installed to protect from increased sediment loads.	During construction	Contractors	Maintain records
	E1.16: Excess sediment in all erosion and sediment control structures (eg. Sediment basins, check dams) shall be removed when necessary to allow for adequate holding capacity.	During construction	Contractors	Maintain records
E2: Soil contamination	E2.1: If contamination is uncovered or suspected (outside of the project footprints), undertake a Stage 1 preliminary site contamination investigation. The contractor should cease work if previously unidentified contamination is encountered and activate management procedures and obtain advice/permits/approval (as required).	Entire construction phase	All Personnel	Daily and maintain records
	E2.2: Adherence to best practice for the removal and disposal of contaminated soil/ material from site (if required), including contaminated soil within the project footprints.	Entire construction phase	All Personnel	Daily and maintain records
	E2.3: Drainage control measures to ensure runoff does not contact contaminated areas (including contaminated material within the project foot prints) and is directed/diverted to stable areas for release.	Entire construction phase	All Personnel	Daily and maintain records
	E2.4: Avoid importing fill that may result in site contamination and lacks accompanying certification/documentation. Where fill is not available through on site cut, it must be tested in accordance with geotechnical specifications.	Entire construction phase	All Personnel	Daily and maintain records
E3 Changes in hydrological processes through rehabilitation	E3.1 Ensure no increased erosion of deposition occurs as a result of rehabilitation works.	All phases	All Personnel	Weekly with reporting to MoWE and UNDP
	E3.1 Ensure no long term changes in hydrological processes as a result of rehabilitation works.	All phases	All Personnel	Weekly with reporting to MoWE and UNDP

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## Noise and Vibration

84. All construction activities have the potential to cause noise nuisance. Vibration disturbance to nearby residents and sensitive habitats is likely to be caused through the use of vibrating equipment. Blasting is not required to be undertaken as part of this project.
85. It is assumed that there are no sensitive receptors in proximity to the projects.
86. Contractors involved in construction activities should be familiar with methods of controlling noisy machines and alternative construction procedures as contained within specific Uganda legislation or in its absence, international good practice may be used if the legislation has not been enacted.
87. The detail, typical equipment sound power levels, provides advice on project supervision and gives guidance noise reduction. Potential noise sources during rehabilitation and construction may include:
  - a. excavation equipment for all aspects of the projects;
  - b. delivery vehicles; and
  - c. power tools and compressors.

## Performance Criteria

88. The following performance criteria are set for the construction of the projects:
  - a. noise from construction activities must not cause an environmental nuisance at any noise sensitive place;
  - b. undertake measures at all times to assist in minimizing the noise associated with construction activities;
  - c. no damage to off-site property caused by vibration from construction and operation activities;
  - d. no impact to fauna species as a result of rehabilitation of the wetlands and/or the construction and installation of the early warning system; and
  - e. corrective action to respond to complaints is to occur within 48 hours.

## Monitoring

89. A standardised noise monitoring program has been developed for the projects. The program is subject to review and update at least every two months from the date of issue. Importantly, the site supervisor will:
  - a. ensure equipment and machinery is regularly maintained and appropriately operated; and
  - b. carry out potentially noisy construction activities during daylight hours only; i.e. 7am -5pm.

## Reporting

90. All noise monitoring results and/or incidents will be tabulated and reported as outlined in the ESMP. The MoWE must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to noise is exceeded.

**Table 3: Noise and Vibration Management Measures**

Issue	Control Activity (and Source)	Action Timing	Responsibility	Monitoring and Reporting
N1: Increased noise levels	N1.1: Select plant and equipment and specific design work practices to ensure that noise emissions are minimised during construction and operation including all pumping equipment.	All phases	Contractor	Maintain records
	N1.2: Specific noise reduction devices such as silencers, mufflers and/or acoustic rock breaking heads shall be installed as appropriate to site plant and equipment.	Pre and during construction	Contractor	Maintain records
	N1.3 Minimise the need for and limit the emissions as far as practicable if noise generating construction works are to be carried out outside of the hours: 7am-5pm (Mon - Fri).	Construction phase	All Personnel	Daily and maintain records
	N1.4: Consultation with nearby residents in advance of construction activities particularly if noise generating construction activities are to be carried out outside of the hours: 7am-5pm (Mon - Fri) and 7am-3pm (Sat).	Construction phase	All Personnel	Daily and maintain records
	N1.5 The use of substitution control strategies shall be implemented, whereby excessive noise generating equipment items onsite are replaced with other alternatives.	Construction phase	All Personnel	Daily and maintain records
	N1.6 Provide temporary construction noise barriers in the form of solid hoardings where there may be an impact on specific residents.	Construction phase	Site Supervisor	Daily and maintain records
	N1.7 All incidents complaints and non-compliances related to noise shall be reported in accordance with the site incident reporting procedures and summarised in the register.	Construction phase	Site Supervisor	Maintain records
	N1.8 The contractor should conduct employee and operator training to improve awareness of the need to minimise excessive noise in work practices through implementation of measures.	Pre and during construction	Contractor	Maintain records

Issue	Control Activity (and Source)	Action Timing	Responsibility	Monitoring and Reporting
N2. Vibration due to construction	N2.1: Identify properties, structures and habitat locations that will be sensitive to vibration impacts resulting from construction and operation of the projects.	Pre and during construction	Contractor	Maintain records
	N2.2: Design to give due regard to temporary and permanent mitigation measures for noise and vibration from construction and operational vibration impacts.	Pre-construction	Contractor	Maintain records
	N2.3: All incidents, complaints and con-compliances related to vibration shall be reported in accordance with the site incident reporting procedures and summarized in the register.	Construction phase	Site Supervisor	Maintain records
	N2.4: During construction, standard measure shall be taken to locate and protect underground services from construction and operational vibration impacts	Construction phase	Site Supervisor	Maintain records

### **Air Quality**

91. All construction activities have the potential to cause air quality nuisance, particularly the movement of sediment in dry wetland locations.
92. Vibration disturbance to nearby residents is likely to be caused through the use of vibrating rollers, graders and construction traffic. Blasting is not required to be undertaken as part of this project.
93. It is assumed that there are no sensitive receptors in proximity to the projects.
94. Contractors involved in construction and operation activities should be familiar with methods minimizing the impacts of deleterious air quality and alternative construction procedures as contained in the Uganda legislation.

### **Performance Criteria**

95. The following performance criteria are set for the construction of the projects:
  - a. release of dust/particle matter must not cause an environmental nuisance;
  - b. undertake measures at all times to assist in minimizing the air quality impacts associated with construction and operation activities; and
  - c. corrective action to respond to complaints is to occur within 48 hours.

### **Monitoring**

96. A standardised air monitoring program has been developed for the projects. The program is subject to review and update at least every two months from the date of issue. Importantly, the site supervisor will:
  - a. ensure all stockpiles are covered so as to not allow dust to generate; and
  - b. the requirement for dust suppression will be visually observed by all personnel daily and by MoWE and UNDP staff when undertaking routine site inspections (minimum frequency of once per week).

### **Reporting**

97. All air quality monitoring results and/or incidents will be tabulated and reported as outlined in the ESMP. The MWE must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to air quality is exceeded.

**Table 4: Air Quality Management Measures**

Issue	Control Activity (and Source)	Action Timing	Responsibility	Monitoring and Reporting
A1: Increase in dust levels at sensitive locations	A1.1: Implement effective dust management measures in all areas during design, construction and operation.	Pre and during construction	All Personnel	Daily and maintain records
	A1.2: Install dust gauges at locations identified for construction lay down and stockpiling within the project footprints.	During construction	Site Supervisor	Daily and Weekly Reports
	A1.3: Manage dust/particulate matter generating activities to ensure that emissions do not cause an environmental nuisance at any sensitive locations	During construction	Site Supervisor	Daily and maintain records
	A1.4: Construction activities should minimising risks associated with climatic events.	During construction	Site Supervisor	Daily and maintain records
	A1.5: Implement scheduling/staging of proposed works to ensure major vegetation disturbance and earthworks are minimised.	Entire construction	Contractor	Daily and maintain records
	A1.6: Ensure that materials to be stockpiled onsite are not ordered and/or purchased until they are required for works.	Entire construction	Contractor	Daily and maintain records
	A1.7: Locate material stockpile areas as far as practicable from sensitive receptors.	During construction	Site Supervisor	Daily and maintain records
	A1.8: Source sufficient water of a suitable quality for dust suppression activities complying with any water restrictions.	During construction	Site Supervisor	Daily and maintain records
	A1.9: Schedule revegetation activities to ensure optimum survival of vegetation species.	During construction	Site Supervisor	Maintain records
	A1.10: Ensure an air quality management plan is developed and implemented.	Pre and during construction	Contractor	Maintain records
	A1.11: Rubbish skips and receptacles should be covered and located as far as practicable from sensitive locations.	During construction	Site Supervisor	Maintain records
	A1.12: Restrict speeds on access tracks.	During construction	Site Supervisor	Daily and maintain records
	A1.13: Cover loads of haul trucks and equipment and plant when not in use and in transit.	During construction	Site Supervisor	Daily and maintain records



Issue	Control Activity (and Source)	Action Timing	Responsibility	Monitoring and Reporting
A2. Increase in vehicle emissions (including odours and fumes)	A2.1 Ensure construction vehicles are switched off when not in use.	During construction	Site Supervisor	Daily and maintain records
	A2.2 Ensure only vehicles required to undertake works are operated onsite.	During construction	Site Supervisor	Daily and maintain records
	A2.3 Ensure all construction vehicles, plant and machinery are maintained and operated in accordance with design standards and specifications.	During construction	Site Supervisor	Daily and maintain records
	A2.4 Develop and implement an induction program for all site personnel, which includes as a minimum an outline of the minimum requirements for environmental management relating to the site.	Pre and during construction	Contractor	Daily and maintain records
	A2.5 Locate construction car park and vehicle/plant/equipment storage areas as far as practicable from sensitive locations.	During construction	Site Supervisor	Daily and maintain records
	A2.6 Direct exhaust emissions of mobile plant away from the ground.	During construction	Site Supervisor	Daily and maintain records
	A2.7 Rubbish skips and receptacles should be covered and located as far as practicable from sensitive locations.	During construction	Site Supervisor	Daily and maintain records

## Flora and Fauna

98. It is assumed that the majority of the project areas have been previously disturbed although vegetation may still exist. Further, it is assumed that the wetlands being rehabilitated and the construction and installation of the early warning system will be located in areas that do not contain important undisturbed habitats.
99. Uganda is one of the top ten countries in the world for biodiversity; particularly for mammalian diversity (six species are endemic). Uganda has 364 species of mammals and 1062 species of birds. There are relatively few varieties of fish, but the lakes and rivers contain plentiful stocks of tilapia, Nile perch, catfish, lungfish, elephant snout fish, and other species.
100. Contractors involved in construction activities should be familiar with methods minimising the impacts of clearing vegetation to minimise the footprints of all projects to that essential for the works and rehabilitate disturbed areas. By doing these activities, the projects should minimise the impact upon terrestrial and aquatic flora and fauna where ever practical.

## Performance Criteria

101. The following performance criteria are set for the construction of the projects:
  - a. no clearance of vegetation outside of the designated clearing boundaries;
  - b. no death to native fauna as a result of clearing activities;
  - c. no loss of important vegetation areas;
  - d. no long term deleterious impacts on terrestrial and aquatic habitats;
  - e. no introduction of *new* weed species as a result of construction activities;
  - f. no increase in *existing* weed proliferation within or outside of the corridor as a result of construction activities; and
  - g. Successful establishment of rehabilitation works incorporating species native to the local area.

## Monitoring

102. A flora and fauna monitoring program has been developed for the projects. The program is subject to review and update at least every two months from the date of issue. Importantly, the site supervisor will when undertaking clearing works, will compile a weekly report to MoWE and UNDP staff outlining:
  - a. any non-conformances to this ESMP;
  - b. the areas that have been rehabilitated during the preceding week; and
  - c. details of the corrective action undertaken.

## Reporting

103. All flora and fauna monitoring results and/or incidents will be tabulated and reported as outlined in the ESMP. The MoWE must be notified immediately in the event of any suspected instances of death to fauna and where vegetation if detrimental impacted.

**Table 5: Flora and Fauna Management Measures**

Issue	Control Activity (and Source)	Action Timing	Responsibility	Monitoring and Reporting
FF1. Terrestrial and aquatic habitat loss and disturbance of fauna	FF1.1 Limit vegetation clearing and minimise habitat disturbance through adequate protection and management of retained vegetation.	During construction	Site Supervisor	Daily and maintain records
	FF1.2: Minimise noise levels and lighting intrusion throughout construction in the vicinity of any sensitive locations.	During construction	Site Supervisor	Daily and maintain records
	FF1.3: Ensure that all site personnel are made aware of sensitive fauna/habitat areas and the requirements for the protection of these areas.	During construction	Contractor	Daily and maintain records
	FF1.4 Minimise disturbance to onsite fauna and recover and rescue any injured or orphaned fauna during construction.	During construction	Contractor	Daily and maintain records, report to MoWE
FF2. Introduced flora and weed species	FF2.1: Implement an EDSCP to reduce the spread of weeds through erosion and sediment entering any waterways and therefore spreading.	Pre and during construction	Contractor	Maintain records
	FF2.2: Revegetate disturbed areas using native and locally endemic species that have high habitat value.	During construction	Site Supervisor	As required and maintain records
	FF2.3: Minimise disturbance to mature remnant vegetation, particularly canopy trees.	During construction	Site Supervisor	Daily and maintain records
	FF2.4: The removal of regrowth native trees should be minimised particularly where the width of a forest is narrow.	During construction	Site Supervisor	Daily and maintain records
	FF2.5: Small trees and shrubs shall be removed in preference to large trees.	During construction	Site Supervisor	Daily and maintain records
	FF2.6: Vegetation to be removed shall be clearly marked using paint or flagging tape.	During construction	Site Supervisor	Daily and maintain records
	FF2.7: Environmental weeds and noxious weeds within the project footprints shall be controlled.	During and post construction	Site Supervisor	Weekly and maintain records

## Waste Management

104. The MoWE advocate good waste management practice. The preferred waste management hierarchy and principles for achieving good waste management is as follows:
  - a. waste avoidance (avoid using unnecessary material on the projects);
  - b. waste re-use (re-use material and reduce disposing);
  - c. waste recycling (recycle material such as cans, bottles, etc.; and
  - d. waste disposal (all putrescible to be dumped at approved landfills).
105. The key waste streams generated during construction are likely to include waste from the construction and installation of the early warning system and any sediment removed from wetlands, although this is anticipated to be minimal as it is likely that the early warning system infrastructure will be prefabricated and sediment will be used on site. The wastes to be generated will also include:
  - a. the excavation wastes unsuitable for reuse during earthworks;
  - b. wastes from construction equipment maintenance. Various heavy vehicles and construction equipment will be utilized for the duration of the construction phase. Liquid hazardous wastes from cleaning, repairing and maintenance of this equipment may be generated. Likewise, leakage or spillage of fuels/oils within the site needs to be managed and disposed of appropriately;
  - c. non-hazardous liquid wastes will be generated through the use of workers' facilities such as toilets; and
  - d. general wastes including scrap materials and biodegradable wastes
106. Contractors involved in construction and operational activities should be familiar with methods minimizing the impacts of clearing vegetation to minimize the footprint to that essential for the works and rehabilitate disturbed areas. By doing these activities, the projects should minimize the impact of waste generated by the project.

## Performance Criteria

107. The following performance criteria are set for the construction of the projects:
  - a. waste generation is minimized through the implementation of the waste hierarchy (avoidance, reduce, reuse, recycle);
  - b. no litter will be observed within the project footprint or surrounds as a result of activities by site personnel;
  - c. no complaints received regarding waste generation and management;
  - d. any waste from on-site portable sanitary facilities will be sent off site for disposal by a waste licensed contractor; and
  - e. waste oils obtained from the oil separator will be collected and disposed or recycled off-site, local oil companies or shipped for recycling.

## Monitoring

108. A waste management monitoring program has been developed for the projects. The program is subject to review and update at least every two months from the date of issue.

## Reporting

109. The MoWE must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to waste is exceeded.

**Table 6: Waste Management Measures**

Issue	Control Activity (and Source)	Action Timing	Responsibility	Monitoring and Reporting
WT1: Production of wastes and excessive use of resources	WT1.1: Preference shall be given to materials that can be used to construct the project that would reduce the direct and indirect waste generated.	Pre and during construction	Contractor	Maintain records
	WT1.2: Consideration shall be given to the use of recycled aggregates and fly-ash cement mixes for the construction of the early warning system infrastructure.	Pre and during construction	Contractor	Maintain records
	WT1.3: Daily waste practices shall be carried out unless these are delegated to the activities of external waste management bodies.	During construction	Site Supervisor	Daily and maintain records
	WT1.4: The use of construction materials shall be optimised and where possible a recycling policy adopted.	During construction	Site Supervisor	Weekly and maintain records
	WT1.5: Separate waste streams shall be maintained at all times i.e. general domestic waste, construction waste and contaminated waste. Specific areas on site shall be designated for the temporary management of the various waste streams. Adequate signage and colour coded bins will be used for each waste streams.	During construction	Site Supervisor	Weekly and maintain records
	WT1.6: Any contaminated waste shall be disposed of at an approved landfill.	During construction	Site Supervisor	Weekly and maintain records
	WT1.7: Recyclable waste (including oil and some construction waste) shall be collected separately and disposed of correctly.	During construction	Site Supervisor	Weekly and maintain records
	WT1.8: Waste sites shall be sufficiently covered daily to ensure that wildlife does not have access to any of the waste.	During construction	Site Supervisor	Daily
	WT1.9: Disposal of waste including all filters shall be carried out in accordance with the Government of Uganda requirements.	During construction	Site Supervisor	Weekly and maintain records
	WT1.10: Fuel and lubricant leakages from vehicles and plant shall be immediately rectified.	During construction	Site Supervisor	Daily and maintain records
	WT1.11: Where possible, concrete batching plants shall be centrally located to minimise the occurrence of concrete batching at individual construction locations.	Pre and during construction	Contractor	Maintain records

Issue	Control Activity (and Source)	Action Timing	Responsibility	Monitoring and Reporting
WT1: Production of wastes and excessive use resources	WT1.12: Major maintenance and repairs shall be carried out off-site whenever practicable.	During construction	Site Supervisor	Weekly and maintain records
	WT1.13: Remnants of waste shall not be left at any location near the project footprint.	During Construction	Site Supervisor	Weekly and maintain records
	WT1.14: Disposal of trees shall be undertaken in accordance with one or more of the following methods: a. Left in place; b. Chipped and mulched;and c. Large trunk sections may be sold/passed on to a commercial mill.	During Construction	Site Supervisor	Weekly and maintain records
	WT1.15: Hydrocarbon wastes shall be stored in colour coded and labelled drums placed around fueling depots.	During Construction	Site Supervisor	Daily and maintain records
	WT1.16: Where possible, fuel and chemical storage and handling shall be undertaken at central fuel and chemical storage facilities, such as petrol stations.	During Construction	Site Supervisor	Daily and maintain records
	WT1.17: On-site storage of fuel and chemicals shall be kept to a minimum.	During Construction	Contractor	Daily, maintain records and report any incidents
	WT1.18: Any waste oils and lubricants are to be collected and transported to recyclers or designated disposal sites as soon as possible.	During Construction	Site Supervisor	Daily and maintain records
WT1.19: Any dangerous goods stored on site shall be stored in accordance with Uganda regulations.	During Construction	Contractor	Daily and maintain records	

## Chemical and Fuel Management

110. The key types of chemicals and fuels likely to be stored on-site during construction include but are not limited to diesel and unleaded petrol for the refuelling of plant equipment and generators.
111. If not handled, stored or used appropriately, contamination of land, wetland, riverine environments and groundwater systems could occur. The accidental discharge of hazardous materials during construction activities is a potential risk to the local environment. Accordingly, all oil, grease, diesel, petrol and chemicals should be stored off site within a bunded area.
112. Potential activities which could result in spills are:
  - a. use of machinery and vehicles – potential for fuels, oils and lubricant spills;
  - b. transport, storage and handling of fuels, machinery oils, grease;
  - c. transport, storage and handling of cement and other construction materials; and
  - d. Impacts associated with hazardous materials will primarily be associated with the storage and handling during the construction and operation phase.

## Performance criteria

113. The following performance criteria are set for the construction of the projects:
  - a. ensure a Material Safety Data Sheet (MSDS) Register should be developed for all chemicals and fuels retained onsite;
  - b. handling and storage of hazardous material is in accordance with the relevant legislation and best management practices;
  - c. all spills are reported to MoWE within *one hour* of occurrence; and
  - d. no spills enter the wetland or riverine environments; and
  - e. prevent the uncontrolled release of oil, grease and diesel to the environment;
  - f. no spills of hazardous materials;
  - g. no chemical spills into the groundwater aquifers; and
  - h. no contamination of land due to spills of hazardous materials.

## Monitoring

114. A chemical and fuel management program has been developed for the projects. The program is subject to review and update at least every two months from the date of issue. Importantly, the site supervisor should:
  - a. conducted daily chemical and fuel assessments as part of their daily check procedure;
  - b. manage the selection, purchase, storage, handling and disposal of chemicals to ensure minimal environmental impact;
  - c. regularly inspect equipment that uses fuel, lubricants and/or hydraulic fluid;
  - d. develop procedures and install equipment to contain, minimize and recover spills; and
  - e. provide staff with procedures and training in spill prevention and clean up.

## Reporting

115. The MoWE must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level as a result of a chemical or fuel leak or spill

**Table 7: Chemical and Fuels Management Measures**

Issue	Control Activity (and Source)	Action Timing	Responsibility	Monitoring and Reporting
C1 Poor management of chemicals and fuels	C1.1: Prepare spill management plan addressing measures	Pre-construction	Contractor	Maintain records and weekly reporting
	C1.2: Store and handle all chemicals, fuels, oils and potentially hazardous materials as specified in relevant standards and guidelines. All hazardous materials to be approved for use onsite. All hazardous materials and construction fuel will be stored in appropriate storage facilities (e.g. fuel and chemicals will be stored in a bunded area).	During Construction	Site Supervisor	Daily and maintain records
	C1.3: Hydrocarbon wastes shall be stored in colour coded and labelled drums placed around fueling depots and disposed of.	During Construction	Site Supervisor	Daily and maintain records
	C1.4: Where possible, fuel and chemical storage and handling shall be undertaken at central fuel and chemical storage facilities, such as petrol stations/site depot.	During Construction	Site Supervisor	Daily and maintain records
	C1.5: Onsite storage of fuel and chemicals shall be kept to a minimum.	During Construction	Site Supervisor	Daily and maintain records
	C1.6: Emergency clean up kits for oil and chemical spills will be available onsite and in all large vehicles.	During Construction	Site Supervisor	Daily and maintain records
	C1.7: Re-fueling activities to preferentially occur off site however if required onsite ensure re-fueling activities occur in designated areas of the site where appropriate temporary protection measures have been designed/located and are no less than 20 metres from surface waters and drainage lines.	During Construction	Site Supervisor	Daily and maintain records



### Emergency Response Plan

116. In the event of actions occurring, which may result in serious health, safety and environmental (catastrophic) damage, emergency response or contingency actions will be implemented as soon as possible to limit the extent of environmental damage.
117. It is assumed that there are residences located near the construction activities.
118. The contractor will need to incorporate construction emergency responses into the projects complying with the requirements under the Occupational, Health and Safety Policy of the contractor or the work related Government of Uganda legislation.

### Performance Criteria

119. The following performance criteria are set for the construction of the projects:
  - a. no incident of fire outbreak during construction;
  - b. reduce the risk of fire by undertaking hot works within cleared locations;
  - c. provide an immediate and effective response to incidents that represent a risk to public health, safety or the environment; and
  - d. minimise environmental harm due to unforeseen incidents.

### Monitoring

120. An emergency response monitoring program has been developed for the projects. The program is subject to review and update at least every two months from the date of issue. Importantly, visual inspections will be conducted by site supervisor daily with reporting to MoWE and UNDP staff on a weekly basis (minimum) noting any non-conformances to this ESMP.

### Reporting

121. The MoWE and UNDP staff must be notified immediately in the event of any emergency, including fire or health related matter including those that have resulted in serious environmental harm.
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**Table 8: Emergency Management Measures**

Issue	Control Activity (and Source)	Action Timing	Responsibility	Monitoring and Reporting
E1. Fire and Emergency management and prevention strategies implemented	E1.1: Flammable and combustible liquids bunding/storage areas to be designed in accordance with appropriate international standards	Pre and during construction	Contractor	Daily and maintain records
	E1.2: Fire extinguishers are to be available within all site vehicle	During construction	Contractor	Daily and maintain records
	E1.3: No open fires are permitted within the project area	During construction	Site Supervisor	Daily and maintain records
	E1.4: No cigarette butts are to be disposed of onto the ground throughout the project area, all smokers must carry a portable disposal bin to reduce the risk of a spot fire starting and general litter	During construction	All Personnel	Daily and maintain records
	E1.5: Any stockpiles of mulch are not to exceed two metres in height and width and must be turned regularly.	During construction	All Personnel	Daily and maintain records
	E1.6: Train all staff in emergency preparedness and response (cover health and safety at the work site)	During construction	Site Supervisor	Daily and maintain records
	E1.7: Check and replenish First Aid Kits	During construction	Site Supervisor	Daily and maintain records
	E1.8: Use of Personal Protection Equipment	During construction	All Personnel	Daily and maintain records



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## Guidance for Submitting a Request to the Social and Environmental Compliance Unit (SECU) and/or the Stakeholder Response Mechanism (SRM)

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### **Purpose of this form**

- **If you use this form, please put your answers in bold writing to distinguish text**
- **The use of this form is recommended, but not required. It can also serve as a guide when drafting a request.**

### **This form is intended to assist in:**

- (1) Submitting a request when you believe UNDP is not complying with its social or environmental policies or commitments and you believe you are being harmed as a result. This request could initiate a 'compliance review', which is an independent investigation conducted by the Social and Environmental Compliance Unit (SECU), within UNDP's Office of Audit and Investigations, to determine if UNDP policies or commitments have been violated and to identify measures to address these violations. SECU would interact with you during the compliance review to determine the facts of the situation. You would be kept informed about the results of the compliance review.

and/or

- (2) Submitting a request for UNDP "Stakeholder Response" when you believe a UNDP project is having or may have an adverse social or environmental impact on you and you would like to initiate a process that brings together affected communities and other stakeholders (e.g., government representatives, UNDP, etc.) to jointly address your concerns. This Stakeholder Response process would be led by the UNDP Country Office or facilitated through UNDP headquarters. UNDP staff would communicate and interact with you as part of the response, both for fact-finding and for developing solutions. Other project stakeholders may also be involved if needed.

Please note that if you have not already made an effort to resolve your concern by communicating directly with the government representatives and UNDP staff responsible for this project, you should do so before making a request to UNDP's Stakeholder Response Mechanism.

**Confidentiality** If you choose the Compliance Review process, you may keep your identity confidential (known only to the Compliance Review team). If you choose the Stakeholder Response Mechanism, you can choose to keep your identity confidential during the initial eligibility screening and assessment of your case. If your request is eligible and the assessment indicates that a response is appropriate, UNDP staff will discuss the proposed response with you, and will also discuss whether and how to maintain confidentiality of your identity.

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## Guidance

When submitting a request please provide as much information as possible. If you accidentally email an incomplete form, or have additional information you would like to provide, simply send a follow-up email explaining any changes.

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### **Information about You**

Are you...

1. A person affected by a UNDP-supported project?

Mark "X" next to the answer that applies to you:

Yes:

No:

2. An authorized representative of an affected person or group?

Mark "X" next to the answer that applies to you:

Yes:

No:

*If you are an authorized representative, please provide the names of all the people whom you are representing, and documentation of their authorization for you to act on their behalf, by attaching one or more files to this form.*

**3. First name:**

4. Last name:

5. Any other identifying information:

6. Mailing address:

7. Email address:

8. Telephone Number (with country code):

9. Your address/location:

10. Nearest city or town:

11. Any additional instructions on how to contact you:

12. Country:

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### **What you are seeking from UNDP: Compliance Review and/or Stakeholder Response**

You have four options:

- Submit a request for a Compliance Review;
- Submit a request for a Stakeholder Response;
- Submit a request for both a Compliance Review and a Stakeholder Response;
- State that you are unsure whether you would like Compliance Review or Stakeholder Response and that you desire both entities to review your case.

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13. Are you concerned that UNDP's failure to meet a UNDP social and/or environmental policy or commitment is harming, or could harm, you or your community? Mark "X" next to the answer that applies to you: Yes:  
No:

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14. Would you like your name(s) to remain confidential throughout the Compliance Review process?

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Mark "X" next to the answer that applies to you: Yes:

No:

If confidentiality is requested, please state why:

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## Annex 5 (c) – Environmental and Social Management Plan

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15. Would you like to work with other stakeholders, e.g., the government, UNDP, etc. to jointly resolve a concern about social or environmental impacts or risks you believe you are experiencing because of a UNDP project?

Mark “X” next to the answer that applies to you: Yes: No:

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16. Would you like your name(s) to remain confidential during the initial assessment of your request for a response?

Mark “X” next to the answer that applies to you: Yes: No:

If confidentiality is requested, please state why:

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17. Requests for Stakeholder Response will be handled through UNDP Country Offices unless you indicate that you would like your request to be handled through UNDP Headquarters. Would you like UNDP Headquarters to handle your request?

Mark “X” next to the answer that applies to you: Yes: No:

If you have indicated yes, please indicate why your request should be handled through UNDP Headquarters:

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18. Are you seeking both Compliance Review and Stakeholder Response? Mark

“X” next to the answer that applies to you: Yes: No:

19. Are you unsure whether you would like to request a Compliance Review or a Stakeholder Response? Mark “X” next to the answer that applies to you: Yes: No:

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### Information about the UNDP Project you are concerned about, and the nature of your concern:

20. Which UNDP-supported project are you concerned about? (if known):

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21. Project name (if known):

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22. Please provide a short description of your concerns about the project. If you have concerns about UNDP’s failure to comply with its social or environmental policies and commitments, and can identify these policies and commitments, please do (not required). Please describe, as well, the types of environmental and social impacts that may occur, or have occurred, as a result. If more space is required, please attach any documents. You may write in any language you choose

23. Have you discussed your concerns with the government representatives and UNDP staff responsible for this project? Non-governmental organizations?

Mark “X” next to the answer that applies to you: Yes: No:

If you answered yes, please provide the name(s) of those you have discussed your concerns with Name of Officials You have Already Contacted Regarding this Issue:

First Name	Last Name	Title/Affiliation	Estimated Date of Contact	Response from the Individual

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24. Are there other individuals or groups that are adversely affected by the project? Mark "X" next to the answer that applies to you: Yes: No:

25. Please provide the names and/or description of other individuals or groups that support the request:

First Name	Last Name	Title/Affiliation	Contact Information

Please attach to your email any documents you wish to send to SECU and/or the SRM. If all of your attachments do not fit in one email, please feel free to send multiple emails.

Submission and Support

To submit your request, or if you need assistance please email: [project.concerns@undp.org](mailto:project.concerns@undp.org)

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## Annex 6: Gender Assessment Analysis and Action Plan

### Introduction

The proposed GCF funded project supports the Government of Uganda to *build resilient communities, restore wetland ecosystems and associated catchments*.

While Uganda has shown great economic improvements in the past few years, with growth rates averaging 5.5 percent between 2010 and 2014, it still faces many challenges. Only 18.5% of the working labor force is engaged in wage employment. The remaining 72% are largely engaged in subsistence agriculture. Agriculture remains the backbone of Uganda's economy, accounting for 25.3% of the country's GDP, and employs 70% of the population (both formally and informally), 77% of whom are women, and 63% of whom are youth. As of 2013, 19.7% of the population was living below the poverty line and there remain significant disparities in poverty levels across the region.<sup>21</sup> As of 2014, out of a total population of 28 million in the country, wetlands provide subsistence employment for over 2.4 million people.<sup>22</sup>

The impact of climate change, coupled with other human and environmental stressors, is increasing degradation of wetlands and their associated ecosystem services in Uganda. This is negatively affecting the livelihoods of the people living in and around the wetlands. In fact, over 80% of the people living adjacent to wetland areas in Uganda directly use wetland resources for their household food security needs.<sup>23</sup> Given that wetlands are highly vulnerable to changes in the quantity and quality of their water supply (Erwin, 2009, Jin et al., 2009), climate change will most likely substantially alter ecologically important attributes of wetlands and will exacerbate the impacts from human activity. On the other hand, the loss of wetlands could exacerbate the impact of climate change in as they provide fundamental services that contribute to mitigation of such impacts.

This proposed project seeks to support the Government of Uganda to take climate change issues (increased climate variability, and extreme weather events such as drought, floods, high temperature, violent storms) into account in the management of critical wetlands. This gender assessment provides an overview of the situation in Uganda, identifying gender issues that are relevant to the project, and examining gender-mainstreaming opportunities.

The resulting gender assessment is based on:

- Undertaking a desktop review, and aligning approaches in this proposal with the national priorities of Uganda;
- Incorporating information and lessons learnt from past studies and assessments on gender in Uganda by the Government of Uganda, the United Nations, Development Partners, civil society organizations, and multilateral development banks;
- Conducting stakeholder consultations and engaging women affected by the project and incorporating all points raised; and
- Integrating gender considerations in the project indicators, targets and activities, identifying women as leaders and decision-makers.

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<sup>21</sup> Uganda's Second National Development Plan, 2012

<sup>22</sup> Second National Communication, Uganda (2014)

<sup>23</sup> Kakuru, Willy, Nelson Turyahabwe, and Johnny Mugisha, *Total Economic Value of Wetlands Products and Services in Uganda*, The Scientific World Journal, Volume 2013 (2013).

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## **Resilience of communities dependent on wetland ecosystems which are vulnerable to climate change**

Wetlands represent considerable ecological, social and economic values. In Uganda, wetlands provide important water sources for human consumption, agriculture, livestock, and recreation, and their ecosystem functions and services such as water purification, water flow, storage and recharge, shoreline stabilization, micro-climate regulation and biodiversity habitat provision.

Uganda's National Policy for the Conservation and Management of Wetland Resources (1995) defines wetlands as areas "where plants and animals have become adapted to temporary or permanent flooding." It includes permanently flooded areas with papyrus or grass swamps, swamp forests or high-altitude mountain bogs, as well as seasonal floodplains and grasslands. While all wetlands are characterized by impeded drainage, the length of their flooding period, depth of water, soil fertility, and other environmental factors vary with different wetland types. Wetlands are home to distinctive plant and animal communities that are well adapted to the presence of water and flooding regimes. (MNR, 1995).

Based on the literature, it has been reported that communities who live around protected areas in Uganda are generally poor (Plumptre et al., 2003). These poor populations generally rely on ecosystem services for subsistence and income generating activities or to obtain water and medicines because they lack affordable alternatives. Data shows approximately 5 million people in rural areas get their daily fresh water supply from wetlands (UN WWAP and DWD, 2005). This report added that the economic value of this service alone has been estimated at US 25 million per year in Uganda.

Thus, demand for wetland resources is not likely to diminish in the near future, unless major drivers of poverty are addressed. For example, one of the few studies about the relationship between poverty and wetlands in Uganda revealed that an overwhelming majority of papyrus harvesters in the Lake Bunyonyi wetlands sold raw papyrus or crafts made from papyrus to bridge income shortfalls for periodic high expenses such as school fees or end-of-the year festivities (Maclean et al., 2003).

It should be noted that climate change affects women and men differently – to the detriment of women - due often to existing social norms. The risk of climate change magnifies women's relative poverty. Women are also underrepresented in decision-making in resource management and other issues on how best to manage the climate threat.

Addressing gender dimensions within the project design and implementation, this proposal works to identify and integrate interventions to provide gender responsive and transformative results. Women are key players in natural resource management, as well as in the agricultural sector, and therefore contribute to food security, livelihoods and water management. Women, however own fewer assets and have less access to land. They also have limited access to financial products and services, particularly in the rural areas of Uganda.

Climate change policies and programs in the past have been gender-blind and have not been responsive to gender mainstreaming. The concerns and considerations of women when included have presented only a minimal effort.

Subsequent to the inception of the Rio Conventions (1992) it was evident that, without gender equity equality, poverty reduction, environmental sustainability and long-term economic development achievement of aspired goals seemed less attainable. As women and men experience poverty differently, they also have differentiated knowledge of natural resources, yet their contributions are unequally recognized. Improving environmental management and achieving poverty eradication requires full acknowledgment on the roles of both women and men in effecting changes.



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The Government of Uganda has approved its National Gender Policy (NGP) in 1997. The policy raised awareness on gender as a main issue that needs to be addressed. However, the policy has not been revised since, and it does not take into consideration current emerging development issues and challenges that women in Uganda are facing. Efforts need to be undertaken in the areas of: recognition and promotion of gender in macroeconomic management, participation in decision-making and governance, protection of rights and improved livelihoods.<sup>24</sup>

As a result of gender roles historically and socially assigned to women and men, including the gendered division of labor, it is recognized that female vulnerabilities to climate change are different. Vulnerability of rural women in many parts of sub-Saharan Africa (including Uganda) is highly related to biophysical, socio-economic and political factors. Difference in levels of education, wealth, reliance on natural resources, health status, access to credit, access to information, capital, as well as access to and participation in decision-making potential lead to high variations and intensify vulnerability.

Communities' can take action on adapting to climate change, such that men and women can be preemptive in reducing their vulnerability and build their resilience to potential new and discriminatory risks. In the past, communities have used their own strategies for coping with climate variability and extreme weather. But climate change and intense change in weather patterns now cause new risks that fall outside the previous experience of communities. Therefore, new techniques and ways need be used in combination with indigenous knowledge.

### **Existing Gender Inequality in Uganda**

Gender inequality is one of the main indicators of inequality and is played out along political, social and cultural dimensions. It is closely linked to poverty and other development challenges which is deeply-rooted in social norms and economic conditions with a greater impact on the poor, particularly women and young people.

Women play a critical role in agriculture, however, estimates show that they own only 7 percent of agricultural land. Common practice is that men are landowners and women have the right to live on the land and be involved in the farming activities. Efforts need to be undertaken in addressing the issue of equal women's rights to land ownership and decision-making.<sup>25</sup>

Uganda has made certain progress in addressing gender issues and overcoming challenges over the last years. However, due to embedded cultural norms and assumptions, women's participation in decision-making processes is significantly lower in comparison to males<sup>26</sup>. Mainstreaming gender perspectives in policy making and adopting policies to advance women' participation in leadership at a national and local level is crucial.

Uganda's Ministry of Gender, Labour and Social Development (hereafter MGLSD) was established in 1989. MGLSD's mandate is to guide and coordinate gender-responsive policymaking and practices as well as provide specialized support for other sectors with an aim to integrate gender-perspectives into the different sectors. Due to decentralization, MGLSD<sup>27</sup> has Community-Based Services/Gender departments within local governments and district offices (including every police post) to mainstream gender at the sub-national level. The appointed Gender Equality staff are Gender Focal Points or Community Development Officers and their role is

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<sup>24</sup> <http://gov.ug/about-uganda/government-polici es/national-gender-policy>

<sup>25</sup> <https://www.fidh.org/IMG/pdf/uganda582afinal.pdf>

<sup>26</sup> <https://cgspace.cgiar.org/rest/bitstreams/56517/retrieve>

<sup>27</sup> The number of technical staff working on gender in the MGLSD fell from 33 in 1996 to 10 in 2014. It is noteworthy that designated gender focal points often have limited impact due to their low-ranking within the office as well as having dual responsibilities with few resources and ambiguity about their roles, little training, and support (APRM, 2016).

to lead gender mainstreaming in district development plans and budgets by motivating technocrats and other stakeholders in both political leadership and technical leadership. However, both the national and sub-national structures of MGLSD face funding and staffing deficits which negatively impact implementation. The MGLSD's budget is very low with less than 1% allocation of the national budget to the ministry, resulting in insufficient resources to implement the country's well-designed policies for gender mainstreaming at both the system-level and the community-level. (DFID, 2014; APRM, 2016).

Gender inequality issues in Uganda can be summed up as

1. Inconsistency between gender sensitive policies/regulation and implementation;
2. Lack of reliable gender statistics and research;
3. Inadequate funding;
4. Existence of socio-cultural norms and patriarchal traditions;
5. Sexual and gender-based violence;
6. Unequal work burden for women in household and community.

## Gender Inequality Index

Through the years, several indices have been developed to quantify the concept of gender inequality. The United Nations Development Programme uses the Gender Inequality Index (GII) and Gender Development Index (GDI).<sup>28</sup> The GII is a composite measure that shows inequality in achievement between women and men in reproductive health, empowerment and the labour market while measuring achievement in human development in three areas: health, education, and command over economic resources. The GDI considers the gender gaps on human development between men and women.

Uganda has a GII of 0.682 as of 2014 and ranks 88 out of 142 countries assessed. The GDI value as of 2013 is 0.896, which has ranked Uganda as 114.<sup>29</sup>

The Global Gender Gap Index (GGGI) of the World Economic Forum examines the gap between men and women in four categories: economic participation and opportunity, educational attainment, health and survival and political empowerment.<sup>30</sup> Out of 142 countries, Uganda is ranked at 88 based on the GGGI 2014 results given below<sup>31</sup>:

Description	Score	Rank	Sample average
Economic participation and opportunity	0.631	97	0.596
Educational attainment	0.846	128	0.935
Health and survival	0.967	107	0.960
Political empowerment	0.284	29	0.214
Overall Gender Gap Index 2014	0.682	88	

\* Inequality = 0.00; Equality = 1.00. Source: The Global Gender Gap Report 2014

<sup>28</sup> United Nations Development Programme. Human Development Report. <http://hdr.undp.org/en/content/table-4-gender-inequality-index>.

<sup>29</sup> <http://hdr.undp.org/sites/default/files/hdr14-report-en-1.pdf>

<sup>30</sup> World Economic Forum. The Global Gender Gap Report 2014 Country Profiles. <http://reports.weforum.org/global-gender-gap-report-2014/economies/#economy=ETH> [http://www3.weforum.org/docs/GGGR14/GGGR\\_CountryProfiles.pdf](http://www3.weforum.org/docs/GGGR14/GGGR_CountryProfiles.pdf).

<sup>31</sup> <http://reports.weforum.org/global-gender-gap-report-2014/economies/#economy=ZMB>

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The Organization for Economic Cooperation and Development (OECD) developed the Social Institutions and Gender Index (SIGI), a composite index that scores countries (on a 0 to 1 scale) on 14 indicators grouped into five sub-indices: discriminatory family code, restricted physical integrity, son bias, restricted resources and assets, and restricted civil liberties to measure the discrimination against women in social institutions across 160 countries. The 2014 SIGI value for Uganda is 0.2163, suggesting that discrimination against women is in the medium range.<sup>32</sup>

## Poverty

Uganda is heavily dependent on agriculture, which is considered to be the backbone of its economy. Its GDP per capita as of 2014 is 714.6 USD. Another important component of the national economy is the livestock sector, contributing to about 5% of the national GDP and about 15% of the agricultural economy.

Uganda has been classified as a country with low human development and the estimated gross national income per capita in PPP terms and as of 2011 is 1,226 USD for female and 1,997 USD for male.<sup>33</sup> The poorest members of the population are located in the northern and eastern regions of Uganda.

Vulnerable communities are dependent on wetlands and derive their livelihoods from the ecosystem goods and services obtained from wetlands. Due to climate change induced impacts, wetland degradation is a serious threat to impoverished communities and reduces availability of clean water, food and income to meet basic service needs. Although rural water coverage has increased from 54.9% in 2002 to 61% in 2006, access to clean and safe water are necessary conditions for sustainable development.<sup>34</sup>

The Lake Victoria wetland catchment and Lake Kyoga catchment are among the most critical ecosystems in Uganda. The Global Water Partnership in East Africa states that Uganda loses approximately 15% of its Gross Domestic Product (GDP) due to the destruction of its natural resources, including wetlands.

According to recent data, absolute poverty in Uganda has decreased in the past two decades. In 1992/93, more than half of the population (56.4%) was living below the poverty line. The trend continued as in 2012-13, the population living in poverty fell by 19.1%. (UNHS, 1999/00-2012-13 and HIS, 1992/3).

Figure 1 below shows the sub-regional picture in 2012-13, and presents significant differences in poverty by location. This data shows that there is unequal wealth distribution with nearly 90% of households in Kampala are in the middle class while most of the households in other sub-regions like East Central, Eastern, North East still live in poverty.

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<sup>32</sup> <http://www.genderindex.org/country/uganda>

<sup>33</sup> [http://hdr.undp.org/sites/default/files/hdr\\_2015\\_statistics\\_annex.pdf](http://hdr.undp.org/sites/default/files/hdr_2015_statistics_annex.pdf)

<sup>34</sup> <http://www.mglsd.go.ug/policies/Uganda-Gender-Policy.pdf>

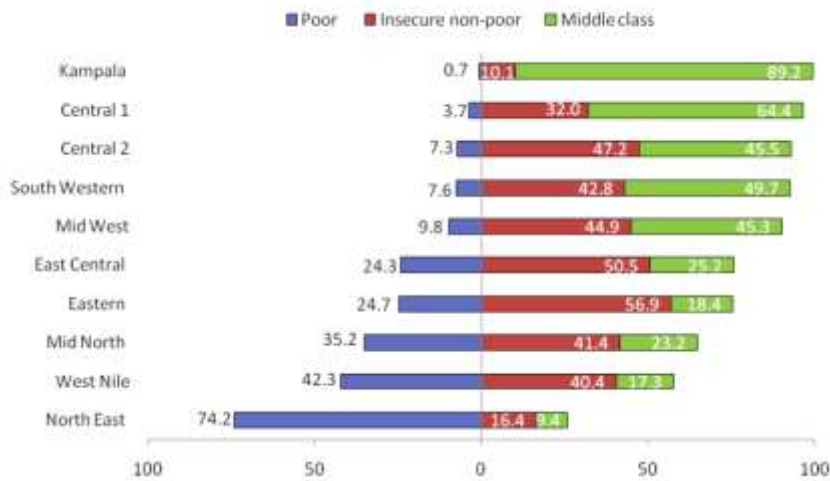


Figure 1. *Sub-regional Picture, 2012-2014.* Source: Uganda Poverty Status Report, 2014; UNHS 2012/13

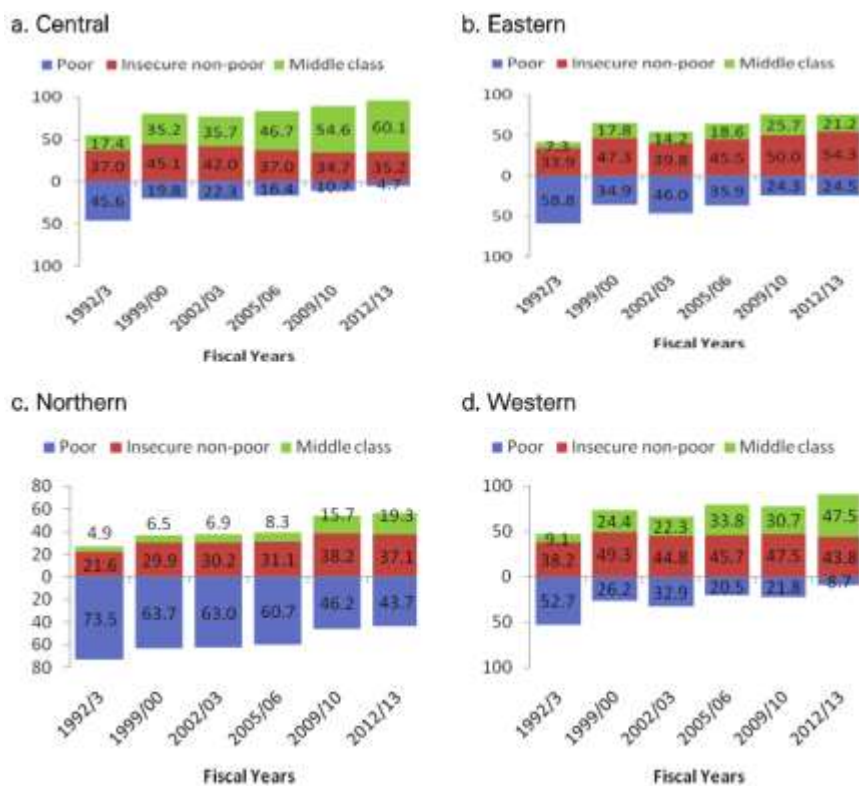


Figure 2. *The poor, insecure non-poor and middle class in each region of Uganda, 1992-2012.* Source: UNHS, 1999/00-2012/13 and HIS, 199

Climate change affects men and women differently - which in turn affects exposure to poverty - depending on their roles and responsibilities in the household and community. In many communities, climate change has a disproportionately greater effect on women, since women are often poorer and less educated than men and often excluded from political and household decision-making processes. In addition, women tend to have fewer assets and depend more on natural resources, such as wetlands, for their livelihoods.

Women and men's roles in society both contribute and effect change, yet their contributions are unequally recognized. Improving natural resource management and achieving poverty eradication requires full acknowledgment of the roles of women and men in effecting change.

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There are around 4,000,000 people living around the wetland in Uganda. Nearly 80% of them depend on the wetland resources for their household food, income and water security. Over the last decades and particularly in locations with higher density, wetlands are degrading. In eastern Uganda, wetlands are drained for rice growing. Strengthening the capacity of monitoring and managing wetlands is one of the priority areas for the Government of Uganda, and action has been taken by putting in place mechanisms for conservation and management of wetlands.

Wetlands are an important source of food, income and water for livelihoods and farming in wetlands is a common practice. Wetlands have been used for crop cultivation of Irish potatoes, tea growing and grazing areas. Men and women have different roles in managing and using the wetland resources. Various initiatives have been put in place to involve both male and female participation in wetland programme and policymaking<sup>35</sup>.

## Health

Impacts of climate changes will have a negative effect on both women and men's health, with a more detrimental impact on women if gender equality is not addressed in congruence with adaptation measures. Women represent a high percentage of the poor in communities dependent on local natural resources for their livelihood, particularly on wetlands, which serve as an invaluable source of food, income and clean water. Women are more exposed to water borne diseases due to the nature of their roles in the community. This importance is captured in UNFCCC (2007) report indicating that climate change threatens to reverse progress in fighting diseases of poverty, including malaria and water borne diseases.

Various testimonies and case histories of widows and orphans indicate that the real difficulty they face in adapting to climate change is that are more exposed to illness. During incidents of disaster, food prices increase and leads to a reduction in the quality or quantity of the food rural poor families are able to purchase. Women most making sacrifices to care and feed the family.

The disproportionate impact on women's nutrition and health can be contributed to their limited access to and control over services. Women have negligible participation in decision-making and are not involved in the distribution of environmental management benefits. Consequently, women are less able to confront vulnerabilities associated with climate change. Hence, again there is a need to distinguish between vulnerabilities associated with poor sectoral responses to the needs of the rural poor and the causes of women's vulnerabilities – due to climate variability. The inequalities are multifaceted, due to tradition and cultural barriers, gender insensitivities, or how development service agents go about creating awareness, assistance, and feedback amongst the development community for more responsive actions.

In Uganda, the mortality rate and life expectancy age are one of the worst in the world. Due to climate change and limited or no access to clean water, available to only 50% of the population, women are vulnerable to cholera and diarrhea.<sup>36</sup>The Fifth Millennium Development Goal (MDG) aimed to reduce the maternal mortality ratio by 75% between 1990 and 2014. Nowadays, maternal mortality remains high in Uganda with 440 deaths per 100,000 live births. It should be noted that the proportion of birth attended by health professionals increased from 42% in 2006 to 58% in 2011, although this is still far from the MDG target of 100% by 2015.

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<sup>35</sup> [http://www.kit.nl/gender/wp-content/uploads/publications/1326\\_GSD%20Strengthening%20institutions%20for%20gender%20responsive%20planning%20in%20natural%20resource%20management.pdf](http://www.kit.nl/gender/wp-content/uploads/publications/1326_GSD%20Strengthening%20institutions%20for%20gender%20responsive%20planning%20in%20natural%20resource%20management.pdf)

<sup>36</sup> <http://fsdinternational.org/country/uganda/healthissues>

(UBOS 2012 Statistical Abstract; exec summary). Studies show that the decline of social services (health services in particular) is one of the major contributing factors to high maternal deaths in Uganda. Chart 1 shows the declining pattern of Uganda's health and education services.

Uganda is ranked 19<sup>th</sup> in the world for the highest rate of under 5-death and was not able to achieve MDG 4. As a response, the Safe Motherhood Program (SMP) was launched, together with other initiatives such as a supportive community network of traditional birth attendants (TBAs).<sup>37</sup> Part of ILO's country programme in Uganda for 2013-2017 is to promote the ratification of the ILO Convention No. (183) on Maternity Protection and to ensure that the Maternity Protection Convention is integrated into municipal law and practices<sup>38</sup>.

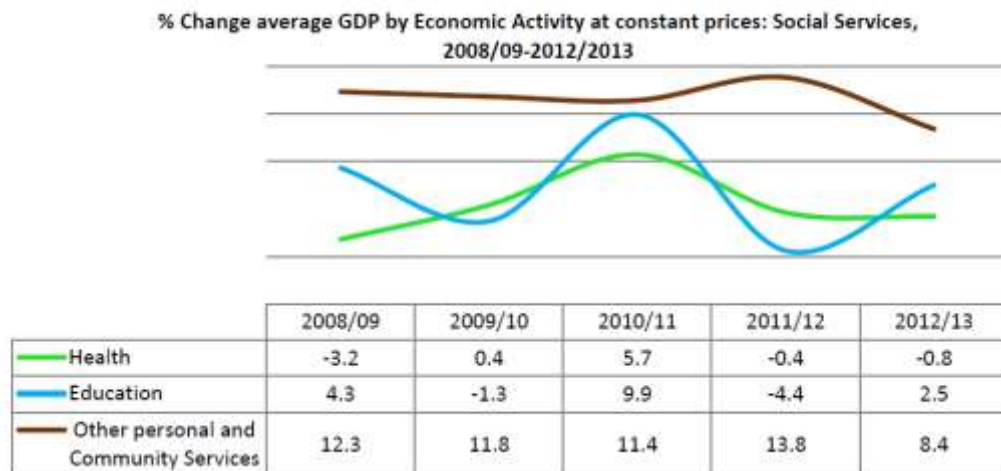


Chart 1. *Percentage change average GDP by Economic Activity at constant prices: Social Services 2008/09-2012/13.* Source: MFPED, 2013

## Water and Sanitation

The District Government is advised to appoint District Water and Sanitation Coordination Committees (DWSCC) to serve as a Technical Committee and to report to the Sectoral Committee.<sup>39</sup> In the District Water and Sanitation Coordination Committees (DWSCC), at least one woman holds a key position, which significantly contributes to women's decision making in the communities. From 2010-2011 to 2011-2012 there has been an increase of the percentage of women holding key positions in WSCs, from 81% to 82%. These results are based on data from 30 districts and 4,597 water sources. The districts of Arua are where the highest participation of women has been recorded (96%). Respectively, the lowest women participation is in Rubirizi (46%). In the Ministry of Water and Environment, as of 2012 the percentage of women staff is 29.6% and the percentage of men is 70.4% with a total staff of 452 people.<sup>40</sup>

## Education

Education and literacy play a key role in determining the status of women and men. Uganda has continuously registered an increased

<sup>37</sup> <http://www.who.int/pmch/media/membernews/2011/ugandabackgroundpaper.pdf>

<sup>38</sup> <http://www.ilo.org/public/english/bureau/program/dwcp/download/uganda.pdf>

<sup>39</sup> Government of Uganda Ministry of Water and Environment, Water and Sanitation Sector, Sectoral Specific Schedules/guidelines. May 2012

<sup>40</sup> <http://www.wiki gender.org/wiki/gender-statisitics-in-uganda/>

number of dropouts. Dropouts occur at all levels of education and the various reasons for this include sickness, need to work, domestic work, transport issues and pregnancy. In 2005/06 more females (7.3%) dropped out of school to do domestic work than males (0.7%). More females than males also dropped out of school due to sickness<sup>41</sup>.

### Primary Education

Data from the Ministry of Education indicates a positive trend of increased girls enrollment into primary school. School attendance rates vary by regions and by asset index (Uganda DHS EdData Survey 2001, p.38). The highest attendance rates have been registered in the Eastern region (94.3% boys and 93% girls) and the lowest in the Northern region (84.1% boys and 80.6% girls). More recent data for the period of 2007-2012 have been plotted in Graph 1. The trend for new enrollment ratio for Primary school for boys and girls indicated higher enrollment for boys up to 2010, when this trend reverses and as of 2014 the ration of girls is higher.

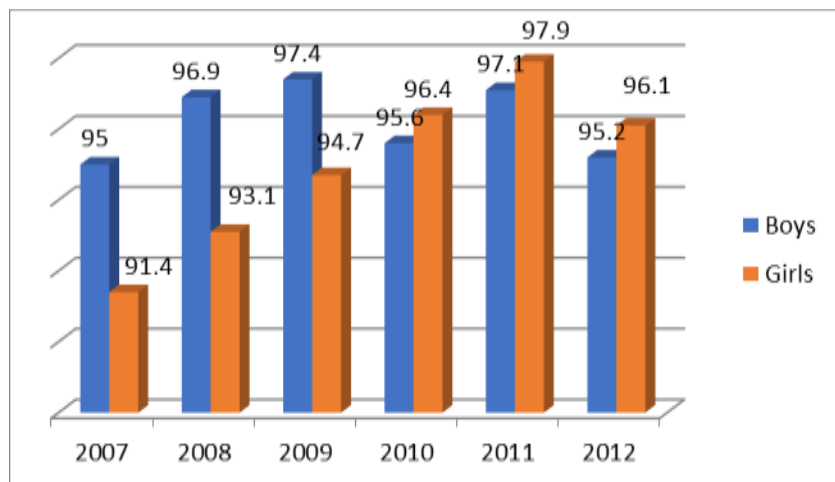


Figure 3. Net enrollment ratio for Primary Education. Source: Education Management Information System<sup>42</sup>

### Secondary Education

The net enrollment ratio is expressed as a percentage of the education and we can see that in comparison with Primary Education, the net enrolment ratio under Secondary education is below 30 %for both girls and boys. The results suggest that boys have higher enrollment rate in comparison with girls. Due to social stereotypes, child labour or social insecurity, women and girls do not have the chance to continue their education and complete their education cycle. For Secondary level education, the completion rate for boys is 10% higher than the one for girls.<sup>43</sup> According to the 2002 Population and Housing Census, 77.4% of the males are literate in comparison to 62.4% of the females. These disparities need to be addressed and efforts need to be undertaken in bridging the gender gap in education and providing equal opportunities for both men and women.

<sup>41</sup><http://www.ubos.or.gi/onlinenfiles/uploads/ubos/gender/Uganda%20Fact%20and%20Figures%20on%20Gender%202013.pdf>

<sup>42</sup><http://www.ubos.or.gi/onlinenfiles/uploads/ubos/gender/Uganda%20Fact%20and%20Figures%20on%20Gender%202013.pdf>

<sup>43</sup><http://www.ubos.or.gi/onlinenfiles/uploads/ubos/gender/Uganda%20Fact%20and%20Figures%20on%20Gender%202013.pdf>

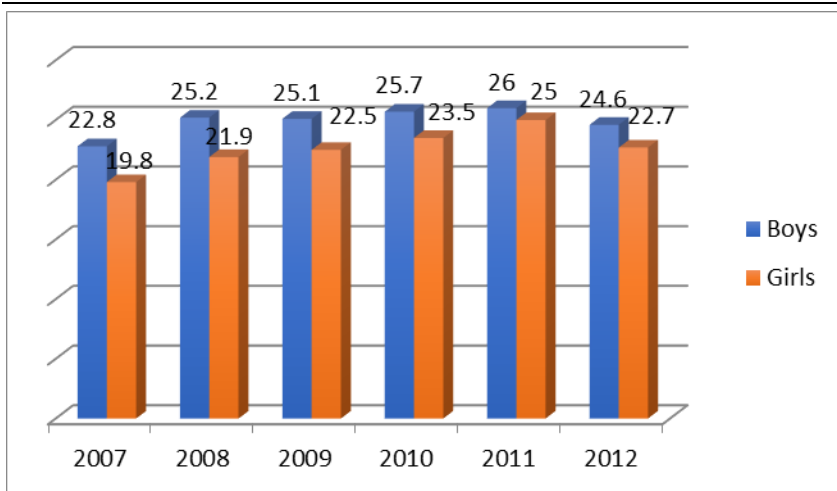


Figure 4. Net enrollment ratio for Secondary Education. Source: Education Management Information System<sup>44</sup>

In 1997, the Government of Uganda introduced the Universal Primary Education (UPE) and as a result, the enrollment in Primary school have increased from 2.7 million in 1996 to 8.5 million in 2013. Uganda did not meet MDG 2 target to achieve universal primary education. Nonetheless, the net enrollment rate for children attending primary school increased from 53% in 1990 to 87% in 1997 and has been over 80% ever since. Various studies suggest concerns with education quality and standards as one of the obstacles in achieving MDG 2. As a response, the Government has increased the Capitation and School Facilities Grants in order to ensure the effectiveness of the UPE programme.

### Political participation

Women have the same rights to vote and stand for election, as men. The Constitution of Uganda ensures that for each district, there is one seat for a woman member of Parliament. Additionally, one third of local council seats are to be occupied by women. Out of 80 chairpersons, one seat is reserved for women. From the early 1990s until 2003, the share of women in local councils increased from 6% to 44%, showing a significant progress in women's decision-making and political participation. As of 2011, nearly 35% of the total members of Parliaments, are women. (World Bank, 2011). The representation of women in the Government is the following:

- 23 female Ministers in the President's member cabinet (out of 75)
- 135 women in the National Assembly (out of 386 members)
- 42 women in the Ministry of Local Government and 103 men

<sup>44</sup><http://www.ubos.org/onlinenfiles/uploads/ubos/gender/Uganda%20Fact%20s%20and%20Figures%20on%20Gender%202013.pdf>



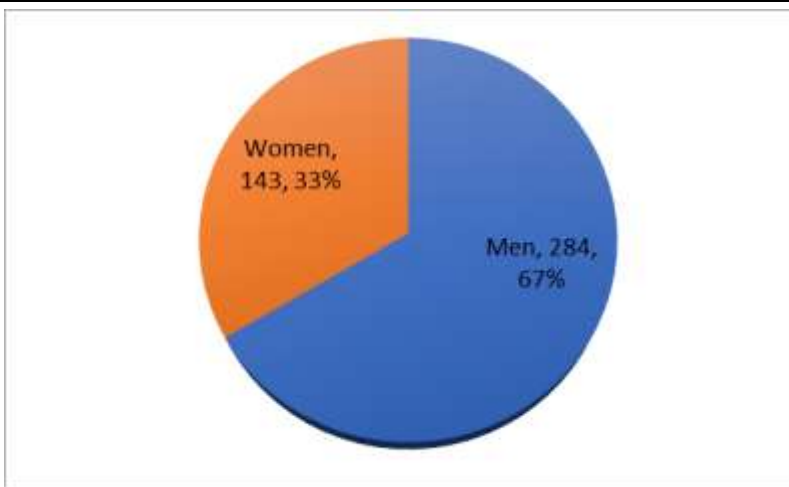


Figure 5: *Members of Parliament by Gender*. Source: Women in Parliament, World Classification<sup>45</sup>

Various gender and women’s organizations, NGOs and CBOs work towards greater representation of women in Uganda’s policymaking. Among the many laws and policies that support women’s participation in policymaking are:

- The Local Government Act (Cap 243);
- The Social Development Sector Strategic Investment Plan(2003-2008);
- The Community Mobilisation and Empowerment Strategy (2006);
- The National Women's Council Act (Cap 318).

**Part IV of The Constitution of the Republic of Uganda: Rights** states that:

1. Women shall be accorded full and equal dignity of the person with men.
2. The State shall provide the facilities and opportunities necessary to enhance the welfare of women to enable them to realise their full potential and advancement.
3. The State shall protect women and their rights, taking into account their unique status and natural maternal functions in society.
4. Women shall have the right to equal treatment with men and that right shall include equal opportunities in political, economic and social activities.
5. Without prejudice to article 32 of this Constitution,women shall have the right to affirmative action for the purpose of redressing the imbalances created by history, tradition or custom.
6. Laws, cultures, customs or traditions which are against the dignity, welfare or interest of women or which undermine their status. are prohibited by this Constitution.<sup>46</sup>

Although there has been progress in advancing women’s rights, more needs to be done in this direction. In the areas of Health, Education and Labour, gender sensitive policies and non-discriminatory laws are needed in order to achieve sustainable development.

### Income

Uganda has been ranked as a low income country, with an overall score of 0.7086 and an overall rank of 46 (out of 127), based on GNI per capita (World Bank, 2013). Overall, male-headed households are earning higher average income in comparison to female-

<sup>45</sup> <http://www.ipu.org/wm-e/classif.htm>

<sup>46</sup> <https://dr edf.org/international/UgaConst.htm>

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headed households. Over the period of 2005 to 2010 there has been an overall increase in earnings for both households, as shown in the data:

- 2005-2006: 170,300 UGX (50.42 USD) for Male and 106,200 UGX (31.44 USD) for Female
- 2009-2010: 336,900 UGX (99.76 USD) for Male and 226,300 UGX (67.01 USD) for Female<sup>47</sup>

Traditionally, income-generating activities for women include handicrafts or agriculture. Out of the total women labour force, 42% are not receiving remuneration for their work, although being a major player in the agricultural employment (Gender and Productivity Survey (GPS), 2008; (EPRC, 2009)). The same number corresponding to male counterparts is only 16 percent. Only one out of ten women in Uganda is receiving remuneration for her work. Women are also receiving lower remuneration in comparison to men in the private sector. The Gender and Productivity Survey (2008) indicates that:

- 80% of women are employed in Agriculture
- 7% of women are employed in Manufacturing
- 8% of women are employed in Retailing
- 1% of women are employed in Restaurants
- 8% of women are employed in Social Services
- 2% of women are employed in Other

Although agriculture is an important source of employment, in 2008, 40% of the women employed in agriculture were unpaid. As of 2011, only 15 % of them are being paid (out of 47%). From the total 523,000 women, who are being paid, 17.4% are teaching professionals. The Uganda National Household Survey of 2009/2010 registered 71% of Female as informal employee as a percentage of the non-agricultural employment, in comparison with 64% for male.

Average time spent on economic and care labour activity per week indicates that females spend more time in care labour than economic activities, in comparison with males. Care labour activities include taking care of children, fetching water, firewood, cooking, food processing and others.<sup>48</sup> The average time spent of unpaid domestic work for women aged 18-34 is 6 hours, compared to less than an hour for men of the same age in 1992/93. There is a positive relation between age increase and unpaid domestic work for both men and women.<sup>49</sup>

In terms of marital status, 16% of women are married by the age of fifteen and 53% are married by age of eighteen (UDHS 2006). This requires women to be engaged with more care labour activities and leaves less time to explore various labour opportunities. Men spend less time on unpaid care work compared to women and regardless of their marital status, whereas married men spend less time on unpaid domestic work.

## Labour force

The Global Gender Gap Index has ranked Uganda's Labour force participation at the sixth place (out of 136) with a 0.96 Female-to-male ratio, where 77 stand for Female and 80 for Male.<sup>50</sup> The overall score of Uganda is 88 on the Global Gender Gap Index. The country ranks particularly low on the Economic Participation and Health and Survival Indicators.<sup>51</sup>

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<sup>47</sup> Source: Uganda National Household Survey. Exchange rate 1 USD = 3.37 UGX

<sup>48</sup> <http://www.ubos.or.g/UNHS0910/unhs200910.pdf>

<sup>49</sup> <http://www.ubos.or.g/onlinfiles/uploads/ubos/gender/Uganda%20Fact%20s%20and%20F%20gures%20on%20Gender%202013.pdf>

<sup>50</sup> [http://www3.weforum.org/docs/WEF\\_Gender\\_Gap\\_Report\\_2013.pdf](http://www3.weforum.org/docs/WEF_Gender_Gap_Report_2013.pdf)

<sup>51</sup> The Global Gender Gap Index results in 2014

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The total labour force in Uganda had increased from 9.5 million in 2005-2006 to 11.5 million in 2009-2010. The unemployment rate in Uganda as of 2014 is 3.8% and higher for females, than males. Out of the total labour force in Uganda, 3.5 million are engaged with informal employment and the fishing sector accommodates 70% of the total. Of the total labour force, 79% are self-employed and 86% of the paid workers are only temporary or seasonal employees.

Uganda has adopted the National Child Labour Policy of Uganda (NCLP) in 2006, which provide guidelines and stands for action against child labour. The Employment Act of 2006 aims to promote and to guarantee equal opportunities for all citizens and to eliminate discrimination in employment. Discrimination is defined as any exclusion of preference made on the basis of race, color, sex, religion, political view, national extraction or social origin and HIV status or disability, which prevents a person from equal employment opportunities or prevents one from obtaining benefits under a contract of service.<sup>52</sup>

### Access to resources

The incidence of formal financial inclusion was reported as higher among men (31%) than women (26%) in a 2009 survey. In comparison to women, 24 % of men have access to banks, whereas only about 18% of women have access to banks and financial institutions, such as the Bank of Uganda, regulated financial institutions i.e. commercial banks, credit institutions or microfinance deposit-taking institutions<sup>53</sup>.

Enabling women to have access to land ownership provides more control over their livelihoods and lives and that of their children, as well as encourages empowerment. The 2011 Uganda Demographic Health Survey (UDHS) indicated that the proportion of land owned by women was 28.1%, while that by men was 71.9%.<sup>54</sup> Individual ownership of land for women was found to be more common in the rural areas (28.6%) than urban areas (24.9%).

The 2011 UDHS revealed the status of decision making within households<sup>55</sup>. It was found that husbands have the most control in decision-making on women's health care, major household purchases, and visits to family or relatives. Around 40% of currently married women claimed that their husbands primarily made decisions on their own health care, major household purchases, and visits to their family or relatives. Only 23% of the married women reported that they make independent decisions on their own health care and visits to family or relatives, and 16% reported making independent decisions on major household purchases.

In 2010, nearly 500,000 persons owned businesses and out of these 56% were male while 44% were female. Comparing this to the situation in 2001, there was an increase in the proportion of females owning businesses from 37% in 2001 to 44% in 2010<sup>56</sup>.

### Gender-based Violence

Uganda's National Gender Based Violence Database (NGBV)<sup>57</sup> lists the following types of gender-based violence that are prevalent in the country. It can be noted that different types of violence are not mutually exclusive.

- Denial of resources;

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<sup>52</sup> <http://www.ilo.org/dyn/natllex/docs/SERIAL/74416/76582/F1768664138/UGA74416.pdf>

<sup>53</sup> <http://www.ubos.org/onlinefiles/uploads/ubos/gender/Uganda%20Fact%20and%20Figures%20on%20Gender%202013.pdf>

<sup>54</sup> <https://dhsprogram.com/pubs/pdf/FR264/FR264.pdf>

<sup>55</sup> Ibid

<sup>56</sup> Census of Business Establishments, 2010/11 <http://www.ubos.org/onlinefiles/uploads/ubos/pdf%20documents/2010%20COBE%20Report.pdf>

<sup>57</sup> <http://ngbvd.mglsd.go.ug/ngbvd/index.php>

- Opportunities and services;
- Physical and sexual assault;
- Psychological abuse;
- Rape;
- Forced and child marriage;
- Defilement and female genital mutilation.

The 2011 Uganda Demographic Health Survey revealed that 56% of women in Uganda have experienced physical violence at some point since the age of 15 years. In Uganda, 28% of women and 9% of men aged 15-49 reported having experienced sexual violence at least once in their lifetime<sup>58</sup>.

Domestic violence is widespread, high rates of which are linked to cultural norms as well as alcohol abuse<sup>59</sup>. The UDHS survey also found that 58% of women respondents believed that wife beating is justified for certain reasons. High proportions of women who justify wife beating indicate that women generally accept the right of a man to control his wife’s behavior through violence.

UN Women’s Global Database on Violence Against Women<sup>60</sup>, determines the prevalence of violence toward women in Uganda as follows:

Prevalence Data on Different Forms of Violence against Women:	
Lifetime Physical and/or Sexual Intimate Partner Violence	51 percent <sup>61</sup>
Physical and/or Sexual Intimate Partner Violence in the last 12 months	35 percent <sup>62</sup>
Lifetime Non-Partner Sexual Violence	4 percent <sup>63</sup>
Child Marriage	40 percent <sup>64</sup>

Uganda has set in place specific laws for gender based violence prevention and response. These include the Domestic Violence Act of 2010, the Prevention of Trafficking in Person Act (2009), and the Prohibition of Female Genital Mutilation Act (2010). A multi-sectoral approach is emphasized, examples of which include child and family protection units being established in police stations, revised protocols of gathering medico-legal evidence to increase access to justice for women and girls, and interventions in the education sector to train teachers who then reach out to vulnerable children.<sup>65</sup> In addition to this, in 2015 the Government of Uganda launched a National Gender-Based Violence Database (NGBVD) to collect, store and generate reports on Gender Based Violence in

<sup>58</sup> <https://dhsprogram.com/pubs/pdf/FR264/FR264.pdf>

<sup>59</sup> Gender Based Violence Survey 2009, Analytical Report (Uganda Bureau of Statistics) <http://www.ubos.org/unda/index.php/catalog/24>

<sup>60</sup> <http://www.evaw-global-database.unwomen.org/en/countries/afri ca/uganda>

<sup>61</sup> Proportion of ever-partnered women aged 15-49 years experiencing intimate partner physical and/or sexual violence at least once in their lifetime. Source: Central Statistical Office (CSO), Ministry of Health (MOH), Tropical Diseases Research Centre (TDRC), University of Zambia, and Macro International Inc., 2009. Zambia Demographic and Health Survey 2007. Calverton, Maryland, USA: CSO and Macro International Inc. as per <http://www.evaw-global-database.unwomen.org/en/countries/afri ca/zambia>

<sup>62</sup> *Ibid.*

<sup>63</sup> *Ibid.*

<sup>64</sup> Percentage of women aged 20-24 years who were married or in union before age 18. Source: UNICEF global databases 2014. Based on DHS, MICS and other national household surveys as per <http://www.evaw-global-database.unwomen.org/en/countries/afri ca/zambia>

<sup>65</sup> <http://www.un.org/womenwatch/daw/csw/csw57/generaldiscussion/memberstates/uganda.pdf>

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real time. This aims to make GBV incident reporting and response services more evidence based<sup>66</sup>.

Gender based violence is further exemplified in times of stress, greater need, disaster, loss of income – all of which may be linked to climate change impacts. By addressing climate issues and gender inequality simultaneously, projects have an opportunity to co-benefit in aspects of attracting funding and delivering outcomes and successes for the community and environment.

#### **IV. Legal and Administrative Framework Protecting Women and Protecting Gender Equality**

Uganda is characterized by relatively strong national machineries and progressive laws and regulations compare to other African countries. Institutions in Uganda have attempted to promote gender equality and women’s empowerment through reforming different laws, policies and institutionalizing accountability mechanisms for the last decade. Uganda’s Constitution (1995) prohibits discriminatory laws and traditions against both men and women. National Gender Policy (1997) was reformulated in 2007 to address the issues of gender inequality. Law on Domestic Violence (2010), the Anti-Trafficking in Person Act (2009) and Employment Act (2006) and National Development Plan (2015-2020) are also efforts to advance gender equality and women’s empowerment in the country.

It is noteworthy that Uganda has made significant progress in gender mainstreaming across sectors in government and CSOs through building capacity of gender focal points in different sectors, local governments, and CSOs in specific areas of gender-responsive policy, planning and budgeting (GRB) (APRM, 2016). The Government of Uganda’s gender mainstreaming efforts resulted in the development of GRB guidelines and manuals. (NPA, 2013; APRM, 2016). Consequently, sector-specific gender policies and strategies were developed in health, education, water and environment, agriculture, local government, and the Justice Law and Order Sector (JLOS) (NPA, 2013). Through the abovementioned efforts which have been made by central governments and development partners, there is consensus on the integration of gender perspectives in public agenda, especially in the development discourse.

In Uganda, some important bills have never become law. For instance, the Marriage and Divorce law (formerly the Domestic Relations Bill) has remained in Parliament since the 1960s. Implication of this particular law is that if this bill passed into law, Ugandan women would enjoy their property rights during and after marriage. Additionally, the Sexual Offences Bill has not progressed in Parliament.

#### **Gender and climate change**

Like other countries, gender and climate change issues are recognized as cross-cutting issues in public policy agenda. National Gender Policy (1997) has provisions for biodiversity management. According to this policy, the provisions are (1) integrate gender concerns in existing and proposed policies and programmes; (2) collect gender disaggregated information related to the environment including the human factors; (3) include gender roles and analysis in environmental management training programmes in all levels; (4) facilitate participation of both men and women in formal and informal education, training, public awareness campaigns and decision making in environment and natural resources management; (5) establish an institutional mechanism to review existing and proposed programmes to integrate gender issues; (6) carry out research on the local knowledge and use of natural resources. This National Gender Policy illustrates that the government of Uganda clearly sees the centrality of integrating gender consideration in climate change policies,

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66 <http://ngbvd.mglsd.go.ug/ngbvd/index.php>

however, the issue of gender and climate change has given priority or a clear allocated budget to pursue gender mainstreaming effectively. Also, often gender mainstreaming in the most relevant policies and strategies/action plans (Uganda National Climate Change Policy, the National Agriculture Policy, National Biodiversity Strategy and Action Plan, and others) is an addendum rather than fundamental aspects of the respective policies.

Recently, the Government of Uganda revised the second National Biodiversity Strategy and Action Plan for Uganda (NBSAP2) and submitted to the Convention for Biological Diversity (CBD) in 2015. However, specific gender considerations for implementing NBSAP2 have not been addressed in NBSAP2, National Environment Management Authority (NEMA) organized a national stakeholder's dialogue aimed at building consensus on gender-biodiversity actions and priorities to be included in NBSAP2 in June, 2016 which shows gender consideration has not been the integral part of the main discussion.

Findings from a study conducted by CGIAR, Climate Change, Agriculture and Food Security, and CCAFS shows that the efforts to mainstream gender in all relevant activities and programs shall be done with both a comprehensive implementation plan across sectors and a clear budget allocation (CCAFS, 2015). The study notes that climate change related policies have been mostly designed to address practical gender needs while attempts to address the structural constraints (i.e., root causes of gender inequalities such as patriarchal attitudes in township level) that hinder women's access to resources.

In line with the National Gender Strategy, the Directorate of Environmental Affairs of the Ministry of Water and Environment has developed the first Gender Strategy to guide mainstream gender in the sub-sector. According to this Environment and Natural Resources Sub-sector Gender Mainstreaming Strategy 2016-2021 (2016), Wetland Management Department of the ministry will assess the level of compliance in gender mainstreaming for wetland management; assess levels of access and control regimes of wetland resources; promote equal representation of both men and women in decision making for wetland management; develop and disseminate a mechanism for equitable sharing of wetland products and services by men and women through the value chain and public private partnerships; build and strengthen capacity for gender mainstreaming for wetland management staff and stakeholders. In addition, some development partners like UNDP have invested in generating data on wetlands, including development of the first Wetland Atlas for Uganda.

**Table 1. Sectoral Policies relevant to Climate Change, Biodiversity Management in Uganda**

<b>Policy</b>	<b>Relevance</b>
National Gender Policy (1997)	Promotes Integration of gender concerns in environmental policy planning, decision making and implementation at all levels to ensure sustainable social and economic development
Uganda National Environment Management Policy (1994)	Promotes the inclusion of women in climate change and recognizes the relevance and implications of gender roles in environmental and natural resource management.
National Wetlands Policy (1995)	Promotes the conservation of Uganda's wetlands in order to sustain their ecological and socio-economic functions for the present and future well-being of the people
Uganda Wildlife Policy (1999)	Promotes the long-term conservation of the country's wildlife and biodiversity in a cost effective manner which maximizes the benefits for the people of Uganda
National Climate Change Policy (2013)	Promotes the integration of gender vulnerability to climate change in targeted interventions

Disaster Management Policy	
Forestry Policy (2001)	Promotes management of forestry resources
Land Policy (2000)	Promotes the land use and physical planning
Tourism Policy (2003)	Ensure that tourism becomes a vehicle for poverty reduction
Fisheries Policy (2003)	Conserve and manage sustainably fisheries and other aquatic resources for sustainable production
National Agriculture Policy (2009)	Promote farming systems and land use practices that conserve and enhance land productivity in an environmentally sustainable manner
Decentralization Policy (1993)	Districts are empowered to plan for development in the district and to manage the environment and sectoral natural resources such as wetlands, forestry, wildlife, and etc
Natural Culture Policy (2006)	Conserve, protect and promote Uganda's tangible and intangible cultural heritage
National Population Policy (1995)	Involve a society that is both informed and conscious of population and development issues at all levels
Education Policy (1992)	Promotes human resources development

Source: Uganda National Environment Management Authority (2016)

### **I. Gender issues in response to the impact of climate change on wetland catchments**

It is important to note that in order to create transformational change, women are not just seen as climate change victims or beneficiaries. Women are imperative to climate change adaptation efforts. They practice adaptive measures as a part of daily life – through farming and in the face of increasing risks – through disaster recovery and preparation.<sup>67</sup> By utilizing these existing skills into project design and implementation and by providing a platform in which to empower women enables women's influence to rise from a household to a community and national level. Leadership and decision-making capacities and opportunities increase.

Women from the poorest households often pay the most, sacrifice the most, are the most disadvantaged and the least resilient.

Women are impacted differently by climate change in the following ways:

- Women rely more on natural resources, wetlands in particular, for their livelihoods, with staple crops providing up to 90 percent of food in farming districts of some countries and 80 percent of food in Uganda<sup>68</sup>. Women struggle to fulfill their key responsibility for the production of food, in spite of the detrimental impacts of climate change on agriculture.
- Women and children are often responsible for gathering water and fuel in traditional agrarian societies, tasks that are laborious, challenging and time consuming. These tasks become more time intensive due to the impact of climate change.
- Climate change is linked to increased incidences of tropical diseases such as cholera, malaria and diarrhea, which have severe impacts on women because of their limited access to medical services and clean water (available to only 50% of the population in Uganda) and their responsibility to care for the sick. Maternal mortality in Uganda is one of the highest in the world with 440 deaths per 100,000 live births.

<sup>67</sup> <http://asiapacificadapt.net/gender-sourcebook/wp-content/themes/iges/pdf/integrating-gender-sourcebook.pdf>

<sup>68</sup> Uganda: Growing Out of Poverty, Kapi Kapoor, 1993.

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- In some societies more women are dying during natural disasters because men receive preferential treatment in rescue and relief efforts.
  - Women are disproportionately affected due to vulnerability and the capacity to adapt to the process of climate change are affected by various factors, including age, education, social status, wealth, access to resources, sex, gender and many other social dimensions;
  - In addition, at the time of crisis, women's needs are not considered priority in recovery programmes.
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## **Recommendations**

### **Gender analysis**

The gender analysis undertaken at the onset and design of this project acts as an entry point for gender mainstreaming throughout implementation. Stakeholder consultation took place at the Ministry of Water and Environment and involved the Water and Environment Sector Working Group (WESWG), which comprises of representatives from the Ministry of Water and Environment, other line ministries, Development Partners and Civil Society Organisations. Results from the consultations are detailed below in the Stakeholder engagement section further below.

The gender analysis, through stakeholder engagement and consultation enabled:

- Assessment of the gender-related activities in responding to the expanding threat of climate change on wetland catchment areas, including gender roles and responsibilities, resource use and management, and decision making raised by the project;
- Engagement, development and input into the design of responding to the expanding threat of climate change and building the resilience of the most vulnerable communities through strengthen agricultural livelihoods, introducing alternative livelihoods, and strengthening planning and management of natural resources;
- Demonstration of the need for gender-disaggregated data and indicators to establish a baseline in which to measure improvements and identify areas of focus; and
- Establishment of recommendations to incorporate into the Gender Action Plan.

### **Project design and implementation**

Addressing gender dimensions within the project design and implementation, this proposal identifies and integrates interventions to provide gender responsive and transformative results. As women are key players in the agricultural sector and also natural resource management (including water management), particularly in the wetland areas, and therefore food security, it is integral to the success of the project that women are encompassed throughout the entirety of this project.

Uganda is one of poorest countries' in the world and a population highly dependent on agriculture and natural resources for livelihoods. The Government of Uganda has taken measures to address climate change. Leveraging from the Government of Uganda's proactivity, this proposal builds from the existing actions of the government's investment in improving its response to the impacts of climate crisis. Women are imperative to agriculture, forestry and water resource management. For this project to succeed it is integral that women are involved throughout.

The project design will take into consideration the following gender implications:

- Women's role as primary homestead and resource manager;
- Differing conservation incentives faced by women and men;



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- Analysis of gender division of labour (e.g. gender-differentiated roles, responsibilities, and needs);
  - Women's access to, and control over, environmental resources and the goods and services that they provide (Increasing women's access to and control over resources, improves the effectiveness of such projects);
  - Identification of gaps in equality through the use of sex-disaggregated data enabling development of gender action plan to close those gaps, devoting resources and expertise for implementing such strategies, monitoring the results of implementation, and holding individuals and institutions accountable for outcomes that promote gender equality.
  - Assess how gender is currently mainstreaming in differing ministries and sectors, to develop a need assessments, enable planning, and be effective in monitoring and evaluation.
  - Involve women both at macro and micro level in climate resilience process.
  - Involve men both at macro and micro level in climate resilience process.
  - Financing and budgeting gender related initiatives in the climate resilience process.
  - Incorporate women in identifying new and innovative technology that can support women to protect their environment and climate, promoting independence, empowerment, and entrepreneurship;
  - Evaluation of women's work time, both as paid and unpaid;
  - Identify specific strategies to include / target female-headed households;
  - Identify differing conservation incentives faced by women;
  - Promote advocacy and awareness adjusted to most effectively reflect gender-specific differences. Strategies used in the project are tailored, taking into account such differences;

The project implementation will take into consideration the following gender implications:

- Address the division of labour on small farms, taking into consideration gender specific views on management;
- Inclusion of a Gender Specialist position within the project to implement gender related activities;
- Inclusion of all stakeholders involved in the project to develop awareness raising / training aimed at drawing attention to the implication of climate resilience adaptation and gender equality;
- Inclusion of gender and climate issues in national curriculum (health, education...);
- Inclusion of village based non-formal education linked with increasing skills and technological knowledge;
- Linking income generating activities identified by women with microfinance institutions and cooperatives;
- Undertaking community discussions and dialogue in relation to gender and climate resilience and adaptation strategies with the inclusion of indigenous knowledge.

During project implementation, qualitative assessments will be conducted on the gender-specific benefits that can be directly associated to the project. This will be incorporated in the annual Project Implementation Report, Mid-Term Report, and Terminal Evaluation. Indicators to quantify the achievement of project objectives in relation to gender equality will include men and women who had access to affordable solutions, number of men and women employed from the jobs created by the project, training opportunities, knowledge management and information dissemination.

### Stakeholder engagement

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The stakeholder consultations and engagement of women's organizations promote gender equality at the local as well as at national level. The involvement of women's organizations in the project design, will assist in the identification of relevant gender issues within the country's social context, and implementation and monitoring of gender aspects of the project.

A consultation with the Ministry of Water and Environment Sector Working Group took place on the 19 May 2015 at the Ministry of Water and Environment. The target populations were women and men as representatives of all stakeholder groups affected by this proposal.

The stakeholder engagement component of this annex, captures the specific issues and difficulties that women face in responding to the expanding threat of degraded wetlands and building the resilience of the most vulnerable communities through climate-smart and landscape-based investment and in addition outlines how women's security is affected by these issues.

*The results captured as are follows:*

- The Ministry of Lands Housing and Urban development should be engaged to address the ownership of land during implementation;
- There is a high level of awareness on the need for wetland conservation;
- The WESWG agreed that another component of the Wetlands Governance would be included in the Programme, to cover issues such as: 1) Review of the policy and legal regime governing wetlands; 2) Coordination of stakeholders, including review of institutional mandates; 3) Stakeholder participation 4) Development of client charters; 5) Minimum standards of behaviour by the leaders and the led Payment for ecosystem services; 6) Cost-benefit analysis of current and proposed interventions in the utilisation of wetlands; 7) Role of each stakeholder, such as the Central Government, Local governments, NGOs and CBOs and the Private sector;
- The Wetlands Advisory Group and the Local Partner Advisory Committee have agreed that the project should be mainstreamed into both National and Local planning processes;
- Specific Environment Impact Assessments will be undertaken for specific activities, using an ecosystem based approach;
- Priority to technologies such as water harvesting in catchments and small scale irrigation should be given in order to build resilience of communities to climate change.

*The recommendations by the ministries include:*

- Actively engage local stakeholders in the design, implementation and monitoring of the project;
- Staff capacity building and training of relevant stakeholders;
- Staff capacity building on gender and climate change analysis, planning, budgeting and mainstreaming;
- Implementation of public awareness and sensitization programmes on the effects of climate change and the benefits of project interventions;
- Demonstration of the benefits of project interventions in pilot sites around wetlands;
- Introduce new environmental friendly tree species;
- Community level awareness raising at all levels;
- Identification of the issues and challenges that hinder men, women in accessing all levels of policy and decision-making processes;
- Assessment of current farming practices in Africa and how they affect the environment;
- Need for collaborative management with wetland resource users;

- 
- Need to empower Enforcement officers.

## Monitoring and evaluation

Through onset analysis, data has been collated to establish a baseline. This data shall be monitored against throughout implementation and evaluation.

The analysis identified the differences between men and women within at-risk populations. In order to monitor and evaluate progress of the project, the following indicators can be measured:

- Number of women and men as beneficiaries;
- Number of female and male-headed households as beneficiaries;
- Change in health and well-being;
  - Health status of women and children;
  - Female school enrollment and retention;
- Change in livelihoods of rural, targeted populations;
  - Female and male engagement in agricultural livelihoods
  - Women and men engaged in alternative income generating activities;
  - Purchasing capacity and production of food for household consumption and income generation;
  - Distance and time saved due to climate resilience projects;
  - Use of leisure time saved by the project;
- Business development support, targeting rural women entrepreneur groups;
- Availability and accessibility of microfinance institutions and cooperatives;
- Number of women and men engaged in agricultural processing
- Number of men and women participating in land management, natural resource management, and restoration activities
- Number of men and women participating in water user groups and wetland management activities
- Number of women and men in farmer groups, farmer cooperatives or farmer associations;
- Number of women and men in leadership positions
- Women participation and engagement in local business.

Qualitative indicators:

- Role of men and women in agricultural livelihoods
- Opportunities for men and women to generate additional income.
- Time-saved by women as a result of the reduction of labour hours required for agricultural and water management practices prior to the implementation of the project;
- Contribution to self-esteem raised and empowerment of women in the community;
- Expanded involvement in public and project decision-making as a result of initiation of women to actively participate in income generating activities;
- Engagement in training and educational activities. E.g. activities related to climate change, agriculture, water management, leadership, business, finance, entrepreneurship and decision-making, thereby empowering and increasing involvement of women to participate with confidence in community meetings;
- Effectiveness of awareness on climate change adaptation approaches increasing among men and women;

- Role of men and women in management and rehabilitation of natural resources, including water catchments
- Perception of women and men on their vulnerability to climate change
- Ability of women and men to identify their environmental changes and risks based on their different roles and access to resources; and
- Engagement of women and men in social protection mechanisms, such as savings groups, or insurance

## Proposed Gender Action Plan

This Gender Action plan provides suggested entry points for gender-responsive actions to be taken under each of the Activity areas of the project. In addition, specific indicators are also proposed to measure and track progress on these actions at the activity level. This can be incorporated into the detailed M&E plan which will be developed at the start of implementation, and provides concrete recommendations on how to ensure gender (including disaggregated data) continues to be collected and measured throughout implementation

Objective	Actions	Indicator	Responsible Institutions
<b>Output 1: Restoration and management of wetland hydrology and associated catchment</b>			
<p>Activity 1.1: Small-scale water storage and detention facilities designed and constructed or rehabilitated in critical waterways for communities to benefit from enhanced ecosystem functioning</p>	<p>Integration of gender and the roles/responsibilities around access and use of water to trainings on wetland ecosystem management</p> <p>Identify female beneficiaries who are working with existing water storage schemes and / or those who are interested in introducing water management technologies as champions</p> <p>Engage women in contributing their unique knowledge to the mapping and preparatory activities for ponds and water storage facilities</p> <p>Define strategies to support increased water access and irrigation to address the needs of both men and female to benefit from enhanced ecosystem functioning</p> <p>Ensure the involvement of both men and women in water user groups and wetland management activities, including equal participation in leadership positions</p>	<ul style="list-style-type: none"> <li>• Number of male and female adopting new water storage strategies</li> <li>• Number of men and women participating in trainings on resilient water storage</li> <li>• Number of women and men contributing to mapping and preparatory activities for ponds and water storage facilities</li> <li>• Number of men and women participating in water user groups and wetland management activities and</li> <li>• Changing role of men and women in groups tasked with water and wetland management</li> </ul>	
<p>Activity 1.2: Improved inlet streams to increase water delivery; (GCF)</p>	<p>Ensure women contribute to community plans for catchment areas</p>	<ul style="list-style-type: none"> <li>• Number of women and men contributing to community plans for catchment areas</li> </ul>	

	<p>Ensure both women and men are engaged in all sensitization activities</p> <p>Take into consideration the differentiated roles/responsibilities, needs and knowledge of both men and women in defining and constructing necessary infrastructure</p> <p>Ensure both men and women's participation in groups and committees to manage new water storage and delivery systems</p>	<ul style="list-style-type: none"> <li>• Number of women and men engaged in sensitization activities</li> <li>• Number of men and women participating in water storage and delivery group sand committees – including numbers in leadership roles</li> </ul>	
<p>Activity 1.3: Degraded catchment areas rehabilitated and land productivity improved</p>	<p>Identify best practices to be scaled up based on the experiences of both men and women</p> <p>Ensure men and women are equally engaged in training on sustainable land management and natural resource management of wetlands</p> <p>Identify and carry out best sensitization strategies for both men and women (which may differ)</p> <p>Ensure both men and women are equally engaged in planning and implementing restoration activities</p> <p>Ensure all learning activities are tailored to needs and strategies of both men and women</p>	<ul style="list-style-type: none"> <li>• Number of women and men engaged in sensitization activities</li> <li>• Number of men and women participating in land management, natural resource management, and restoration activities</li> <li>• Number of men and women engaged in learning activities</li> </ul>	
<p>Activity 1.4: Strengthened wetlands management practices</p>	<p>Identify the information needs and contributions of both men and women to inform a valuable wetland information system, and ensure information is differentiated by gender (as relevant)</p> <p>Define indicators for measuring and monitoring wetlands (including economic valuation, research and development) related to the needs of both men and women, and that are sex disaggregated</p> <p>Ensure both men and women in government institutions are</p>	<ul style="list-style-type: none"> <li>• Comprehensive wetland information system incorporates sex differentiated a data and information</li> <li>• Number of women and men engaged in training activities</li> <li>• Number of men and women participating in planning and implementing wetland management plans</li> <li>• Number of women and men participating in committees and groups, including number of women and men in leadership positions</li> </ul>	

	<p>engaged in training and monitoring of wetlands</p> <p>Ensure knowledge of both women and men inform wetland management plans</p> <p>Identify the different types of tools, training and infrastructure needed for men and women to implement wetland management plans</p> <p>Ensure both women and men are participating in committees and groups for managing local wetland areas, including ensuring women in leadership positions</p>		
Objective	Action	Indicator	Responsible Institution
Output 2: Improved agricultural practices and alternative livelihood options in the wetland catchment			
<p>Activity 2.1: Crop diversification and resilient agricultural best practice adopted</p>	<p>Increase adoption of diversified crops for women in target communities</p> <p>Introduce new agricultural practices for both women and men drawing on indigenous knowledge strategies from both genders</p> <p>Identification of agricultural practices that also align with the needs and priorities of both men and women</p> <p>Identify and document indigenous knowledge, practices and coping mechanisms informed by both men and women</p> <p>Engagement of both women and men in farmer and water user groups, including leadership positions</p> <p>Engagement of both women and men in learning and dissemination of good practices</p>	<ul style="list-style-type: none"> <li>• Number of participants engaged in training and technical support for introduction of new agricultural practices, disaggregated by gender.</li> <li>• Number of female recipients able to strengthen production and diversify amidst climate variability and change with the Introduction of new agricultural practices</li> <li>• Success rate of new agricultural practices introduced with regards to crop yield</li> <li>• Success rate of new agricultural practices introduced with regards to time saved for other activities</li> <li>• Number of participants and leaders in water user groups disaggregated by gender</li> <li>• Number of smallholder farmers receiving agricultural inputs, disaggregated by gender</li> </ul>	
<p>Activity 2.2 Economically viable and sustainable livelihood and income generating interventions introduced, promoted and supported in the wetland and immediate catchment</p>	<p>Community dialogue / conversation and engagement to identify livelihood options that fit the needs of both men and women</p> <p>Identification of female community members who are</p>	<ul style="list-style-type: none"> <li>• Number of participants engaged in training and adoption of new alternative livelihoods, disaggregated by gender</li> <li>• Number of women in leadership positions in newly established cooperatives or</li> </ul>	

	<p>interested in becoming champions and leaders for adopting alternative livelihoods members who are working within existing systems and whom are introduced to alternative livelihoods</p> <p>Engagement of both men and women in training and technical support for introducing alternative livelihoods</p>	farmer groups for alternative livelihoods	
<p><b>Activity 2.3:</b> Business and entrepreneurial skills promoted, including micro credit schemes and revolving funds ;</p>	<p>Community dialogue / conversation and engagement to identify entrepreneurship and local innovative financing mechanisms that fit the needs of both men and women</p> <p>Identification of female community members who are interested in becoming entrepreneurs and setting up businesses</p> <p>Ensure training/ mentoring on business development, entrepreneurship and innovative finance is provided equally to both men and women</p> <p>Identify and provide market infrastructure that is relevant for both men's and women's needs</p>	<ul style="list-style-type: none"> <li>• Number of participants trained/mentored on business development, entrepreneurship and innovative finance differentiated by gender</li> <li>• Number of beneficiaries starting new businesses or adopting new financial mechanisms, differentiated by gender</li> <li>• Number of new business owners receiving or benefiting from local market infrastructure, disaggregated by gender</li> </ul>	
Objective	Action	Indicator	Responsible / Institution
Output 3: Strengthening access to climate and early warning information to farmers and other target communities			
<p>Activity 3.1 Meteorological and hydrological infrastructural investments supported including additional manual and automatic weather stations, lightning sensors, hydrological monitoring equipment, agro-meteorological stations, forecasting equipment, and data archiving systems.</p>	<p>Engage both men and women in defining climate information needs</p> <p>Identify locations, specifications, and equipment of new infrastructure based on information needs of both men and women</p>	<ul style="list-style-type: none"> <li>• Number of women and men engaged to define information and infrastructure needs</li> </ul>	
<p>Activity 3.2 Capacity building of relevant staff on operation and maintenance of climate monitoring equipment, data interpretation, modelling and forecasting.</p>	<p>Identify differentiated training needs of both men and women</p> <p>Ensure both men and women are trained in the operation and maintenance of climate monitoring, interpretation and forecasting equipment</p> <p>Engagement of both men and women in the generation and</p>	<ul style="list-style-type: none"> <li>• Number people trained and engaged in the generation and analysis of climate information, disaggregated by gender</li> </ul>	

	analysis of climate-related data		
Activity 3.3 Climate-related information/services provided to target areas, such as early warnings on flash floods and extreme weather, agricultural extension advice for a wide variety of crops, short- to long-range weather forecasts.	<p>Identification of both men and women's needs when it comes to climate information and weather/agricultural advisories</p> <p>Identify differentiated needs related to format and content of weather and agricultural advisories to target both men and women</p> <p>Development and promotion of tailored and targeted weather and agricultural advisories that are gender sensitive and take into account the needs of women and men</p> <p>Integration of gender into trainings on interpretation and use of climate information</p>	<ul style="list-style-type: none"> <li>Number of advisory products designed specifically to target women</li> <li>Number of women and men receiving climate and early warning advisories</li> <li>Number of farmers and other beneficiaries using advisories to inform their agricultural planning and wetland management, disaggregated by gender</li> <li>Number of women and men involved in training on interpretation and use of climate information</li> </ul>	
Activity 3.4 Customized ICT, mobile platforms, and other public and private communication channels identified and/or developed to support dissemination of the above information/services to the 'last mile' users to enable timely and urgent responsive action as well as short/medium/long-term planning for climate-dependent activities in sectors such as agriculture.	<p>Define specific dissemination channels that would be best able to reach both women and men.</p> <p>Development of a gender-sensitive training manual for climate information and early warning system dissemination</p> <p>Engagement of both men and women in identifying and implementing sector-specific marketing strategy for meteorological services</p>	<ul style="list-style-type: none"> <li>Number of beneficiaries engaged in identifying and implementing sector-specific marketing strategies, disaggregated by gender</li> <li>Number of dissemination channels designed and implemented to specifically target women</li> <li>Number of participants in simulation exercises for preparedness, disaggregated by gender</li> </ul>	

### General population in target districts Eastern District

District	Gender		Residence		Population Type		Total
	Male	Female	Rural	Urban	Household	Non-Household	
Budaka	101,076	106,521	183,720	23,877	206,6	935	207,597
Butaleja	119,721	124,432	210,952	33,201	243,441	712	244,153
Pallisa	189,342	197,548	348,951	37,939	384,279	2,611	386,890
Ngora	69,153	72,766	126,748	15,171	140,457	1,462	141,919
Bukedea	99,122	104,478	192,691	10,909	202,757	843	203,600
Mbale	235,624	253,336	365,869	123,091	481,562	7,398	488,960
Kaliro	116,787	119,412	219,438	16,761	234,445	1,754	236,199
Namutumba	124,304	128,258	233,943	18,619	251,833	729	252,562
Kibuku	97,845	104,188	184,597	17,436	201,215	818	202,033



Tororo	251,892	265,190	444,937	72,145	512,474	4,608	517,082
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Source: 2014 National Census Report

## Western District

District	Gender		Residence		Population Type		Total
	Male	Female	Rural	Urban	Household	Non-Household	
Kabale	254,414	273,817	452,093	76,138	517,476	10,755	528,231
Kisoro	126,643	155,062	256,251	25,454	280,304	1,401	281,705
Kanungu	121,873	130,271	201,006	51,138	250,224	1,920	252,144
Ntungamo	234,822	249,019	423,211	60,630	478,726	5,115	483,841
Bushenyi	116,410	118,030	186,655	47,785	228,974	5,466	234,440
Buhweju	59,245	61,475	117,768	2,952	120,209	511	120,720
Mitooma	86,771	96,673	172,048	11,396	182,867	577	183,444
Rubirizi	62,135	67,014	111,912	17,237	128,062	1,087	129,149
Sheema	101,032	106,311	159,963	47,380	203,278	4,065	207,343
Rukungiri	152,070	162,624	271,088	43,606	310,454	4,240	314,694

Source: 2014 National Census Report

## International agreements relevant to gender and climate change

Year	International Agreement	Environmental Relevance	Gender Relevance
1948	UN Universal Declaration of Human Rights (UNDHR)	No specific mention of environment but acknowledges fundamental human rights that are linked to and dependent upon a healthy environment	Establishes core human rights but with a limited gender perspective
1979	Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW)	Calls for governments to ensure that women participate at all levels of decision-making concerned with environmental sustainability, and that women's interests and perspectives are adequately reflected in all policies and approaches adopted	The first international treaty to recognize women's human rights
1992	Agenda 21 and the Rio Declaration on the Environment and Development	This provided the first international precedent for including the gender perspective in promoting sustainable development. It adopted a gender perspective in all development and environment policies and programmes, leading to the promotion of women's effective participation in the proper use of natural resources;	
1992	UN Convention on Biological Diversity (UNCBD)	The first global agreement focused on conservation and sustainable use of biodiversity	Explicitly addresses women's participation and „recognises the vital role that women play in conservation and sustainable use of biological diversity, emphasizing the need for the full participation of women at all levels of policymaking and implementation for biological diversity conservation’
1992	UN Framework Convention on Climate Change (UNFCCC)	Acknowledges human interference with the climate and aims to stabilise concentration of GHGs in the atmosphere	Absence of any mention of gender
1994	UN Convention to Combat Desertification (UNCCD)	The only legally binding international agreement dealing with land degradation	Promotes the equal participation of men and women and recognises the important role played by women in regions affected by desertification and/or drought, particularly in rural areas of developing countries, and

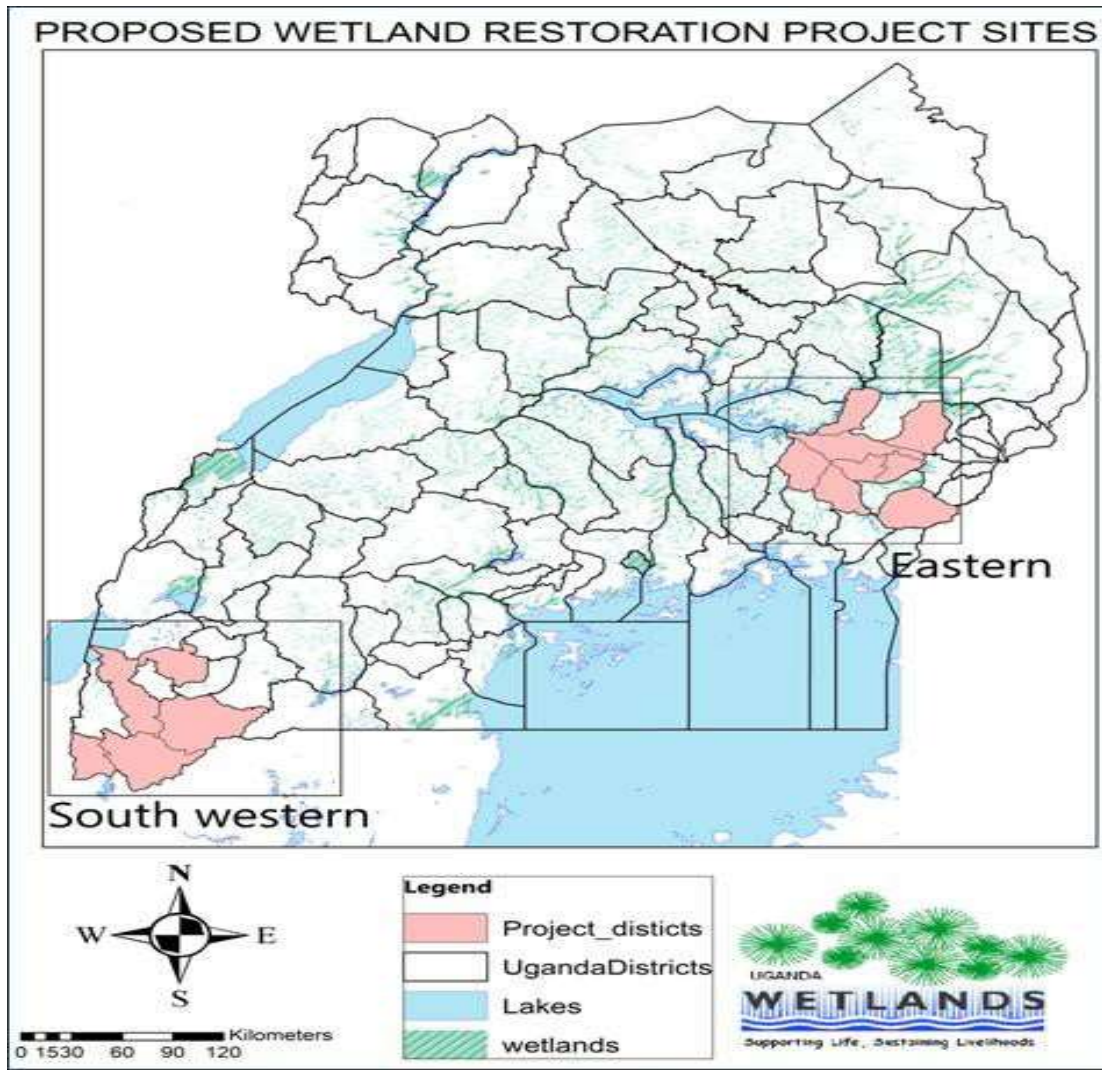
			the importance of ensuring the full participation of both men and women at all levels in programmes to combat desertification and mitigate the effects of drought'
1995	Beijing Declaration and Platform for Action	This makes the link between gender, the environment and sustainable development. Chapter K draws attention to women's poverty and the need for women to participate in decision-making about the environment at all levels, as well as the integration of gender in all sustainable development policies and programmes.	
2000	Millennium Declaration and MDGs	Includes goal on environmental sustainability (but with no linkage to gender)	Promotes gender equality but without making linkages with environment
2005	Kyoto Framework for Action	The first internationally accepted framework on disaster risk reduction (DRR), setting out objectives and priorities for policies at national level over the next decade.	Recognizes that a gender perspective should be integrated into all DRR policies, plans and decision-making processes, including those associated with existing climate variability and future climate change.
2007	UN Declaration on the Rights of Indigenous Peoples (UN DECLIPS)	Acknowledges rights to forests and community lands.	Establishes rights of minorities but with limited gender perspective.

(Adopted and Drawn from Raczek et. al. 2010)

### Summary of gender differences in vulnerability and adapting to disasters

<p>Disparities that increase risks for women in disasters</p> <ul style="list-style-type: none"> <li>• Higher levels of poverty</li> <li>• Extensive responsibilities of caring for others</li> <li>• Domestic violence</li> <li>• Traditional women's occupations</li> </ul>	<p>Disparities that increase risks for men in disasters</p> <ul style="list-style-type: none"> <li>• Occupational segregation</li> <li>• Internalized norms of masculinity</li> <li>• Roles in the family and in the home</li> </ul>
<p>Gender experiences that can increase capacities for managing disaster situations:</p> <p>Women</p> <ul style="list-style-type: none"> <li>• Social networking</li> <li>• Caring abilities</li> <li>• Extensive knowledge of communities</li> <li>• Management of natural and environmental resources</li> <li>• High levels of risk awareness</li> </ul>	<p>Gender experiences that can increase capacities for managing disaster situations by:</p> <p>men</p> <ul style="list-style-type: none"> <li>• Professional and work contacts</li> <li>• Technical abilities</li> <li>• Limited childcare responsibilities</li> </ul>

**Annex 7: Map of Project location(s)**



## Annex 8: Monitoring Plan

The Project Manager will collect results data according to the following monitoring plan.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
SDG indicator	<b>Indicator 1</b>	1.2.1 Proportion of population living below national poverty line by sex and age.	Interviews, Surveys, Meetings, Reports, Annual Sector Performance Review Reports.	Quarterly	Project Manager		
	<b>Indicator 2</b>	1.5.1 Number of death, missing people and persons affected by disaster per 100,000 people.	District Disaster Management Reports	Quarterly	Project Manager		
	<b>Indicator 3</b>	2.3.2 Average income of small scale food producers by sex and indigenous status.	Project reports District Profiles District reports Statistical Abstracts	Quarterly	Sociologist		
	<b>Indicator 4</b>	5.A.1 (a) Proportion of total agricultural pop with ownership or secure rights over agriculture land, by sex	Project reports District Profiles District reports Statistical Abstracts	Quarterly	Project Manager/ District Agricultural Officer(s)		
	<b>Indicator 5</b>	6.6.1 Change in the extent of water related ecosystems over time.	Project reports, National State of Environment Reports,	Quarterly	Project Manager/ Project Hydrologist		
	<b>Indicator 6</b>	6.B.1. Proportion of local administration units with established and operational policies and procedures for participation of local communities in water and sanitation management.	District reports, Joint Annual Review of Decentralization Reports,	Annual	Project Manager/ District Water Officers		
	<b>Indicator 7</b>	7.2.11 Renewable energy share in total final energy consumption.	District reports, District Profiles. Energy and Mineral Development Performance Reports.	Annual	Project Manager/ Regional Energy officers		
	<b>Indicator 8</b>	8.8.1. Proportion of informal employment in non-agriculture, employment by sex.	District reports, District Profiles,	Annual	Project Manager/ District Labour Officer		

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	<b>Indicator 9</b>	<i>10.3.1 Proportion of the population reporting having personally felt discriminated against or harassed within the previous 12 months on the basis of a ground of discrimination prohibited under International law.</i>	<i>District reports, District profiles. Project progress reports</i>	Annual	<i>Project Manager/ District Community Development Officer</i>		
<b>UNDP Strategic Plan IRRF Indicators</b>	<b>Indicator 1</b>	<i>1.3.1. Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystems services, chemicals and waste at national and/or subnational level.</i>	<i>Project progress reports. Signed Agreements</i>	Quarterly	<i>Project manager</i>		
	<b>Indicator 2</b>	<i>1.3.2 Number of new jobs and livelihoods created through management of natural resources, ecosystems services, chemicals and waste, disaggregated by sex. a) New jobs (women) b) New jobs (men)</i>	<i>Project progress reports, District profiles, Statistical Abstracts, Sector Performance Reports</i>	Quarterly	<i>Project Manager</i>		
	<b>Indicator 3</b>	<i>1.5.1 Number of new development partnerships with funding for improved energy efficiency and/or sustainable energy solutions targeting underserved communities/groups and women.</i>	<i>Signed Agreements. District profile reports, Statistical Abstracts,</i>	Quarterly	<i>Project Manager</i>		
	<b>Indicator 4</b>	<i>5.4.1 Number of countries with new end-to-end early warning systems (EWS) for man-made crisis and all major natural hazards (e.g. geo-physical and climate-induced hazards)</i>	<i>District Disaster Management Reports, National Disaster Management Reports,</i>	Quarterly	<i>Project Manager</i>		

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
<b>Fund level Impact:</b> <i>A4.0 Improved resilience of ecosystems and ecosystem services</i>	<b>Indicator 1:</b>	Area (ha) of habitat or Kilometres of coastline rehabilitated (e.g. reduced external pressures such as overgrazing and land degradation through logging/collecting); restored (e.g. through replanting); or protected (e.g. through improved fire management; flood plain/buffer maintenance)	IE reports and ongoing project M&E documentation	Quarterly, Annually, Mid-term and End of Project		IE reports and ongoing project M&E documentation	
	<b>Indicator 2:</b>	Number and area of agroforestry projects, forest-pastoral systems, or ecosystems –based adaptation systems established or enhanced	IE reports and ongoing project M&E documentation	Quarterly, Annually, Mid-term and End of Project	Project Manager	IE reports and ongoing project M&E documentation	
<b>Fund level Impact:</b> <i>Increased resilience and enhanced livelihoods of the most vulnerable people, communities and regions</i>	<b>Indicator 1</b>	1.2 Number (percentage) of households adopting a wider variety of livelihood strategies/coping mechanisms	Surveys, end of project independent evaluation reports	Quarterly, Annually, Mid-term, End of project	Project Manager	Surveys, end of project independent evaluation reports	
	<b>Indicator 2</b>	Area (ha) of agricultural land made more resilient to climate change through agricultural practices (e.g. planting times, new and resilient native varieties, efficient irrigation systems adopted)	Surveys, end of project independent evaluation reports	Quarterly, Annually, Mid-term, End of project	Project Manager	Surveys, end of project independent evaluation reports	
<b>Project Outcome:</b> <i>Strengthened adaptive capacity and reduced exposure to climate risks</i>	<b>Indicator 1</b>	Use by vulnerable households, communities, businesses and public-sector services of Fund-supported tools, instruments, strategies and activities to respond to climate change and variability	IE reports and ongoing project M&E documentation	Quarterly, Annually	Project Manager	IE reports and ongoing project M&E documentation	
	<b>Indicator 2</b>	Number of males and females reached by [or total geographic coverage of] climate-related early warning systems and other risk reduction measures established/strengthened	IE reports and ongoing project M&E documentation	Quarterly, Annually	Project Manager	IE reports and ongoing project M&E documentation	
<b>Project Output:</b> <b>Restoration and management of wetland</b>	<b>Indicator 1</b>	Wetlands and natural grasslands rehabilitated	Local adaptation plans and monitoring results reviewed as part of APRs	Quarterly, Annually	Project Manager	Local adaptation plans and monitoring results reviewed as part of APRs	Assumptions: Communities are willing to engage in EBA activities and see net benefits from it

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
hydrology and associated catchment							
	<i>Indicator 2</i>	Surface areas restored, rehabilitated or enriched with grassed, herbaceous and wooded vegetation, reducing loss of top soil, protecting riverbanks and improving infiltration in critical areas	Project's periodic reports, validated by independent evaluations and reviews	<i>Quarterly, Annually, Mid-term, End of project</i>	<i>Project Manager</i>	Project's periodic reports, validated by independent evaluations and reviews	Communities are willing to engage in EBA activities and see net benefits from it
<b>Project Output: Improved agricultural practices and alternative livelihood options in the wetland catchment</b>	<i>Indicator 1</i>	Percentage increase in agricultural incomes and alternative livelihoods in the project sites.	Surveys, end of project independent evaluation reports	<i>Quarterly, Annual, Mid-term, End of project</i>	<i>Project Manager</i>	Surveys, end of project independent evaluation reports	Farmer acceptability of risky adaptation measures may limit project implementation.
	<i>Indicator 2</i>	Number of women involved in livelihoods and employability interventions in the project sites.	Surveys, end of project independent evaluation reports	<i>Quarterly, Annual, Mid-term, End of project</i>	<i>Project Manager</i>	Surveys, end of project independent evaluation reports	Commitment from the community
<b>Project Output: 3. Strengthening access to climate and early warning information to farmers and other target communities</b>	<i>Indicator 1</i>	% of population with access to improved climate information and drought, flood and severe storm warnings (disaggregated by gender).	Review of agricultural practices and plans to validate incorporation of risk, weather and/or climate information  Gender-sensitive field surveys undertaken within identified priority sites, representative of the Ugandan population; consultant reports.	<i>Quarterly, Annual, Mid-term and End of project</i>	<i>Project Manager</i>	Review of agricultural practices and plans to validate incorporation of risk, weather and/or climate information  Gender-sensitive field surveys undertaken within identified priority sites, representative of the Ugandan population; consultant reports.	Awareness raising activities, and the demonstration of the advantages of responding to the information provided through the established EWS, will ensure the commitment of the communities in participating in the GCF project.
<b>Interim independent evaluation</b>		Interim independent evaluation report in place	Minutes of meetings, Field visits, Progress reports	Mid-term	UNDP / Independent Consultants	Mid-term review report in place.	
<b>Environmental and Social risks and management plans, as relevant.</b>		Environmental and social risks and management plan in place	Project document, Progress reports	Annually	<i>Project Manager</i>	Environmental and social risks plans	
<b>Gender action plan as relevant</b>		Gender action plans	Project document, Progress reports	Annually	<i>Project Manager</i>	Gender action plans	
<b>Stakeholder engagement plan as relevant</b>		Stakeholder engagement plans in place	Project document, Progress reports	Annually	<i>Project Manager</i>	Stakeholder engagement plans	

## Annex 9: Evaluation Plan

<b>Evaluation Title</b>	<b>Planned start date Month/year</b>	<b>Planned end date Month/year</b>	<b>Included in the Country Office Evaluation Plan</b>	<b>Budget for consultants<sup>69</sup></b>	<b>Other budget (i.e. travel, site visits etc...)</b>	<b>Budget for translation</b>
<b>Interim independent evaluation</b>	<i>Jan 2021</i>	<i>June 2021</i>	<i>Yes</i>	<i>40,000</i>	<i>10,000</i>	
<b>Final Independent Evaluation</b>	<i>July 2024</i>	<i>July 2025</i>	<i>Yes</i>	<i>40,000</i>	<i>10,000</i>	
<b>Total evaluation budget</b>				USD 100,000		

<sup>69</sup> The budget will vary depending on the number of consultants required (for full size projects should be two consultants); the number of project sites to be visited; and other travel related costs. Average # total working days per consultant not including travel is between 22-25 working days.



### Annex 10: Timetable for Project implementation

TASK	YEAR 1				YEAR 2				YEAR 3				YEAR 4				YEAR 5				YEAR 6				YEAR 7				YEAR 8				YEAR 9							
	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q	Q				
	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4				
<b>Output 1: Restoration and management of wetland hydrology and associated forests</b>																																								
Activity 1.1. Small-scale water storage and detention facilities designed and constructed or rehabilitated in critical waterways for communities to benefit from enhanced ecosystem functioning																																								
Activity 1.2. Increased water storage and improved inlet streams to increase water delivery																																								
Activity 1.3. Degraded catchment areas rehabilitated and land productivity improved																																								
Activity 1.4. Strengthened wetlands management practices																																								
<b>Output 2: Improved agricultural practices and alternative livelihood options in the wetland catchment</b>																																								
Activity 2.1 Crop diversification and resilient agricultural best practice adopted																																								





## Annex 11: Procurement plan

The following table lists consulting services contracts for which procurement activity is either ongoing or expected to commence within the next 12 months.

General Description	Contract Value	Recruitment Method <sup>1</sup>	Advertisement Method	Advertisement Date (quarter/year)	International or National Assignment
Local Consultants	474,860.00	International Advert**	CS with Advert	QTR3&4-YR1	National
Local Consultants	68,960.	Desk Review	Competitive Sourcing	QTR3&4-YR1	National
Local Consultants	155,082.00	International Advert**	CS with Advert	QTR3&4-YR1	National
International Consultants	486,750.00	International Advert**	CS with Advert	QTR3&4-YR1	International
<b>TOTAL</b>	<b>1,185,652.00</b>				

\*\* Applicable UNDP IC policies might not exclude either recruitment method depending on considerations other than the contract value

## Procurement Plan

Description of goods, services or works required	Unit of Measure	Quantity	Estimated Unit Price in USD	Estimated Total Price in USD	Procurement Method*	Justification for Direct Contracting, if selected as Proc Method	Requested delivery date (goods, works) or start of services	Finalization of services date	End user of goods, services or works
Venues for the regional Project Inception workshops (1 National and 2 Regional workshops)	Days	3	10,000	30,000	RFQ	N/A	1 - Aug	30-Aug	Ministry of Water and Environment
EIA consultants	Days	10	4,310	43,100	SWPOE	N/A	1 - Aug	30 <sup>th</sup> Nov	MWE. Uganda National Meteorology Association
Pillars for demarcation	Numbers	4000	100	400,000	ODB/OIB	N/A	1- Aug	30 <sup>th</sup> Nov	MWE

Description of goods, services or works required	Unit of Measure	Quantity	Estimated Unit Price in USD	Estimated Total Price in USD	Procurement Method*	Justification for Direct Contracting, if selected as Proc Method	Requested delivery date (goods, works) or start of services	Finalization of services date	End user of goods, services or works
Construction earth dams	Days	10	21,550	215,500	ODB/OIB	N/A	1-Aug	30-Nov	MWE
Rehabilitation of existing water harvesting facilities	Days	10	1,923	19,230	RFQ	N/A	1-Aug	30-Nov	MWE
NGOs services to support rehabilitation of catchment	Days	50	3,448	172,400	ODB/OIB	N/A	1-Aug	30-Nov	Ministry of AAIF/MWE
Construction of cattle watering points	Numbers	20	1,724	34,480	RDB/RIB	N/A	1-Aug	30-Nov	MAAIF/MWE
Supply of climate resilient varieties	kg	50	4,310	215,500	ODB/OIB	N/A	1-Aug	30-Nov	MAAIF
National consultants to design plans for drainage and flood control	Days	2	12,930	25,860	SWPOE	N/A	1-Aug	15-Sept	MWE
Engage Institutions to support capacity building	Days	5	2,500	12,500	SWPOE	N/A	1-Aug	1-Sep	MWE/MAAIF
Procure earth moving equipment and associated accessories	Numbers	2	519,538	1,039,076	ODB/OIB	N/A	1-Aug	30-Oct	MWE/LGs
Procure assorted seed varieties	Numbers	5,000	40	200,000	ODB/OIB	N/A	1-Aug	30-Nov	MAAIF
Procure assorted Herbicides	Numbers	30	862	25,860	RFQ	N/A	1-Aug	30-Nov	MWE
Procure consultant to establish farmer schools	Days	4	17,240	68,960	RFEI	N/A	1-Aug	30-Sep	MAAIF
Engage NGOS to train farmer groups	Days	2	77,750	155,500	RFEI	N/A	1-Aug	30-Sep	MAAIF

Description of goods, services or works required	Unit of Measure	Quantity	Estimated Unit Price in USD	Estimated Total Price in USD	Procurement Method*	Justification for Direct Contracting, if selected as Proc Method	Requested delivery date (goods, works) or start of services	Finalization of services date	End user of goods, services or works
Procure consultant to update National Wetlands Information Systems	Days	1	17,240	17,240	SWPOE	N/A	1-Aug	30-Sep	MWE
Engage consultant to conduct economic valuation	Days	2	17,240	34,480	SWPOE	N/A	1-Aug	30-Oct	MWE
Procure consultant to develop catchment management plans	Days	2	12,930	25,860	SWPOE	N/A	1-Aug	30-Oct	MAAIF
Engage service provider to supply solar panels	Numbers	400	87	34,800	RDB/RIB	N/A	1-Aug	30-Nov	MWE
Engage service provider to supply storage equipment	Numbers	20	25,860	517,200	ODB/OIB	N/A	1-Aug	30-Nov	MWE
Engage NGO to train farmers in water management	Days	2	30,170	60,340	RFEI	N/A	1-Aug	30-Oct	MWE
Procure farm equipment	Numbers	30	1,724	51,720	RDB/RIB	N/A	1-Aug	30-Nov	MAAIF
Procure irrigation equipment	Unit	20	21,550	431,000	ODB/OIB	N/A	1-Aug	30-Oct	MAAIF
Procure contractor to construct water harvesting infrastructures	Days	20	124,990	2,499,800	ODB/OIB	N/A	1-Aug	30-Nov	MWE
Engage 10 groups of NGOs/Consultants	Days	10	129,300	1,293,000	RFEI	N/A	1-Aug	30-Nov	MWE
Procure service provider to supply Biogas equipment	Numbers	10	129,300	1,293,000	ODB/OIB	N/A	1-Aug	30-Nov	MWE
Procure equipment for drip irrigation	Numbers	20	25,860	517,200	ODB/OIB	N/A	1-Aug	30-Nov	MAAIF

Description of goods, services or works required	Unit of Measure	Quantity	Estimated Unit Price in USD	Estimated Total Price in USD	Procurement Method*	Justification for Direct Contracting, if selected as Proc Method	Requested delivery date (goods, works) or start of services	Finalization of services date	End user of goods, services or works
Procuring a consultant to train UNMA staff on use of Clidata	Days	1	10,138	10,138	SWPOE	N/A	1-Aug	30-Oct	UNMA
Procure a consultant to develop and establish an online web platform linked to DWRM, WMD and UNMA's official websites and information management systems	Days	1	15,215	15,215	SWPOE	N/A	1-Aug	30-Oct	MWE/MAAIF
Procurement of a consultant to conduct a comprehensive study to establish the viability of different sources of revenues	Days	1	15,206	15,206	SWPOE	N/A	1-Aug	30-Oct	UNMA
Procurement of a consultant review and propose revisions to the current) cost recovery arrangement.	Days	1	12,620	12,620	SWPOE	N/A	1-Aug	30-Oct	UNMA
Installation of the new weather observatories	Days	10	4,916	49,160	RDB/RIB	N/A	1-Aug	30-Oct	UNMA
Procure international consultant	Days	1	29,782	29,782	RDB/RIB	N/A	1-Aug	30-Oct	UNMA
Procure ICT consultant	Days	1	10,146	10,146	RFEI	N/A	1-Aug	30-Oct	UNMA
Procure specialized stationary (e.g. rainfall cards, sunshine cards) for the new weather observatories in target areas	Numbers	192	87	16,704	ODB	N/A	1-Aug	30-Nov	MWE/UNMA/MAAIF

Description of goods, services or works required	Unit of Measure	Quantity	Estimated Unit Price in USD	Estimated Total Price in USD	Procurement Method*	Justification for Direct Contracting, if selected as Proc Method	Requested delivery date (goods, works) or start of services	Finalization of services date	End user of goods, services or works
Procure toolkits	Numbers	2	7,758	15,516	RFQ	N/A	1-Aug	30-Oct	UNMA
Procure Clidata	Numbers	1	43,100	43,100	RDB/RIB	N/A	1-Aug	30-Oct	UNMA
Procuring Weather observatories	Numbers	10	81,000	810,000	ITB	N/A	1-Aug	30-Nov	UNMA
Procure contractor to rehabilitate existing Weather observatories	Numbers	20	2,000	40,000	RDB/RIB	N/A	1-Aug	30-Nov	UNMA
Procure desktop computers and accessories	Numbers	25	3,000	75,000	ODB/OIB	N/A	1-Aug	30-Nov	MWE/UNMA/MAAIF
Procure laptop computer	Numbers	8	2,000	16,000	RFQ	N/A	1-Aug	30-Oct	
Procure servers	Numbers	3	6,000	18,000	RFQ	N/A	1-Aug	30-Oct	MWE/UNMA
Procurement of analysis soft ware	Numbers	2	34,480	68,960	ODB/OIB	N/A	1-Aug	30-Oct	MWE/UNMA
Procurement of 2-D/CABIN TOYOTA HILUX Project Vehicles	Unit	2	60,000	120,000	ODB/OIB	N/A	1-Aug	30-Sep	MWE; MGLSD
Procurement of 02 S/WAGON TOYOTA L/CRUISER project vehicles	Unit	2	80,000	160,000	ODB/OIB	N/A	1-Aug	30-Sep	MWE; MGLSD
Procurement of printers	Unit	3	2,000	6,000	RFQ	N/A	1-Aug	30-Oct	MWE
Procurement of auditors	Days	8	4,200	33,600	RFEI	N/A	1-Aug	30-Oct	MWE
Procurement of office desks and chairs	Unit	5	4,000	20,000	RFQ	N/A	1-Aug	30-Oct	MWE



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## Annex 12: Terms of reference for Project staff

### Terms of Reference and Performance Indicators for the Technical Advisor

**Position title:** Technical Advisor, Building Resilient Communities and Ecosystems through Restoration of Wetlands and associated Catchments Project

**Directly reports to:** Director, Directorate of Environment Affairs, Ministry of Water and Environment

**Location:** Kampala with regular travel to the project areas in South-Western and Eastern Uganda

#### Introduction

The Ministry of Water and Environment is implementing a wetland restoration project in Eastern and South Western Uganda. The Building Resilient of Communities and Ecosystems through Restoration of Wetlands and associated Catchments Project, running from 2017 to 2025 is a cornerstone of the wetland restoration programme and is comprised of three components:

1. Restoration and management of wetland hydrology and associated catchments.
2. Improved agricultural practices and alternative livelihood options in wetland catchments.
3. Strengthening access to climate and early warning information to farmers and other target communities.

In order to ensure effective implementation of the project, MWE is seeking the services of a Project Technical Advisor that will support the Project Implementation Team in the planning, implementation, reporting and monitoring of day-to-day activities

#### Major Function of the TA

This position will act as Technical Advisor, for the Building Resilient of Communities and Ecosystems through Restoration of Wetlands and associated Catchments Project. This position involves the development and implementation of management systems for the restoration of wetlands and associated catchments. The Technical Advisor will be responsible for providing guidance during implementation of the project activities and budget across the three components ensuring synergy and continuity. The position has a strong focus on capacity building and mentoring of MWE and partner staff. Monitoring and evaluation of outputs against actual outcomes also forms a key component of this position.

#### Responsibilities

**Planning:** The TA will support the Project Coordination Team in up of work and budget expenditure plans.

Provide inputs into the process of drawing up a set of "standard operating guidelines that can be rolled out to other areas

**Implementation:** Support the Teams during the implementation of the work plans and budget expenditure plans based on the pre-agreed timeline.

**Monitoring and Evaluation:** Support the Teams in the implementation of the Project M&E policy in accordance with the projects overall M&E strategy

Support the implementation Teams in evaluating progress and outcomes according to the set indicators

**Capacity Building:** In close collaboration with the Human Resource and other department heads, will identify gaps and develop a personal development strategy aimed at building capacity in both project and government staff outside the project (includes personal development plans, skills gap analysis, capacity building programs, mentoring)

**Partnership Development:** Support the building and maintenance of positive and productive relationships between the implementing institutions

Support the establishment agreements and implementation plans between key stakeholders

Guide and support work towards synergies within the various components of the project, by facilitating joint planning and strategy on areas of mutual concern.

#### Sustainable Financing

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Support the development of strategy and implementation of activities around the development of long-term sustainable funding for the restoration of degraded wetlands and catchment areas.

**Working Relationships**

The TA will work closely;

With WMD, UNMA and MAAIF staff to ensure the project activities are aligned with GCF and country milestones including Vision 20140, UNDP CAP and the NDP 2015-2020

Stakeholders at the NGOs district and community levels

**Education and Qualification**

A university degree at Masters Level (or equivalent) in Natural Resource management, Conservation Agriculture, Climate Change or similar

**Knowledge**

Excellent technical experience and knowledge around key Natural Resource Management activities especially restoration

Knowledge of the realities of development partners, donor institutions, government agencies and NGOs

**Experience**

At least 10 years practical experience in the above mentioned areas

Considerable project management experience within the public conservation environment.

Experience in working and negotiating with government officials and Donors at all levels; Extensive experience in the management of community-based conservation

Projects, development of forums and maintenance of cooperation agreements.

Significant supervisory experience.

Experience of working in a multi-cultural environment and with key regional and

International institutions.

**General Skills**

Excellent interpersonal, communication and diplomatic skills with the ability to manage and interact at all levels of international, multicultural, and local organizations.

**Fluency in written and spoken English**

Proficiency in MS Office

Technical Skills

Coaching and capacity building/development

Report writing and data analysis

Virtual support

Ability

Strong team player with ability to work in virtual teams

Working on own initiative with minimum supervision and to stay on task

Personality

Dynamic

Initiative

Sociable

**TERMS OF REFERENCE AND PERFORMANCE INDICATORS FOR THE MONITORING AND EVALUATION SPECIALIST**

**Title:** Building Resilient Communities and Ecosystems through Restoration of Wetlands and Associated Catchments Project,

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**Expertise:** Monitoring and Evaluation Specialist

**Source:** National

### **Background**

The Government of Uganda through the Ministry of Water and Environment and in partnership with UNDP has prepared a proposal for Building Resilient Communities and Ecosystems through Restoration of Wetlands and Associated Catchments Project. The project has three components namely; Restoration and management of wetland hydrology and associated catchments, improved agricultural practices and alternative livelihood options in wetland catchments and Strengthening access to climate and early warning information to farmers and other target communities. These components will be implemented by the Wetlands Management Department, Uganda Meteorological Authority and the Ministry of Agriculture Animal Industry and Fisheries.

A dedicated Project Management Unit (PMU) has been set up in MWE to oversee the implementation of the project components. For overall coordination, monitoring, supervision and reporting of the project activities, MWE requires services an individual consultant with the capacity of Monitoring and Evaluation Specialist.

More broadly, the PMU is responsible for ensuring integration of project-specific monitoring and evaluation (M&E) frameworks, consolidation of project lessons learned, and facilitation in information, data and output sharing amongst the project implementation partners. Close coordination between monitoring and reporting for the project and output level indicators is important to assess the overall impact of project interventions.

### **Objective/Purpose of the Assignment:**

The Monitoring and Evaluation Specialist will serve as the main focal person for all monitoring and evaluation related activities for the project. She/he will assist and report to the Director (DEA) regarding the Monitoring and evaluation of project activities implemented by the project. The M&E Specialist's responsibility is to coordinate and support implementation of monitoring and evaluation all the project activities to be conducted in accordance with the Logical Framework of the Project.

### **Scope of Work:**

The M&E Specialist will work as part of the PMU (Project Management Unit) under the supervision and guidance of the Project Steering Committee, the Director (DEA) and the Project Manager for the attainment of project's goal.

### **Duties and Responsibilities of the specialist**

Lead development of and oversee the review of project level Monitoring & Evaluation (M&E) plan and associated work plans for each component/activity (as reflected in the results framework).

Develop TORs for M&E tasks to be carried out during implementation. Using a combination of quantitative and qualitative methods.

Be responsible for sourcing data and information for specific M&E needs directly from other agencies, PMU e.t.c (such as budgets, staff capacity and other internal data) particularly for indicators not requiring a survey.

Support technical work such as reviewing M&E methods, carrying out training needs, designing M&E tools and advising M&E technical assistance.

Oversee and participate in evaluations and assessments.

The M&E Specialist may also serve as the evaluation team member of selected evaluations conducted under this contract.

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Ensure quality control of M&E outputs (e.g. surveys etc), including by contributing substantively to the design and field testing of the monitoring methodology, review, supervise design and implementation of the survey, participatory data collection methods and protocols, data verification techniques, and other technical evaluation and analytical tasks conducted under this contract.

Closely cooperate and coordinate with the communication specialist for the design, quality, development and completion of all assessments, analytical reports, case studies, success stories.

Review and provide advice related to log frames and indicators on proposals submitted by the partner.

Ensure the incorporation of information on the project level indicators into MWE program level reports and provide recommendations to the PMU

Develop and maintain an M&E database for the project and contribute to the maintenance of a database.

Maintain a detailed knowledge of all relevant issues impacting his/her field of Monitoring & Evaluation.

Coordinate with the communication specialist for promoting information sharing on all aspects related to project activities among stakeholders.

Ensuring mentoring and training of project team to foster capacity building on M&E knowledge.

Support monitoring and evaluation missions commissioned by the donor (GCF and UNDP)

Review monitoring and evaluation system/mechanism, process and procedures of the project and forms and formats for project activities under its various components;

Monitor project progress through field visit, offer feedback and keep regular communication with related field and centre level staff.

Attend, participate and provide necessary inputs for preparation of and during project meeting, Workshops and trainings;

Serve as focal point for providing M &E inputs on Implementation Progress Reports (IPRs); Prepare and submit M&E inputs as per the Results Framework to the consolidated trimester/ annual project implementation progress reports meeting the deadline as per the requirement of project and GCF;

Accomplish others tasks related for preparing, monitoring, evaluation and MIS as per the need of project assigned by Project Director.

### **Competencies:**

The M&E Specialist should possess excellent technical skills in socio-economic research and project performance assessment.

Demonstrated experience in monitoring and evaluation of development project activities.

Strong communication and facilitation skills with ability to establish good working relationships with colleagues and stakeholders in a sensitive environment. Must be able to respond quickly to requests for information

Must demonstrate strong interpersonal and motivational skills and sensitivity to the local environment as well as the ability to work with minimal supervision.

Excellent data analytical skills and interpretation.

Must have ability to write clearly and concisely, and have sound quantitative skills (managing, analyzing and interpreting data).

Experience on planning, monitoring and evaluation of community based projects and having good computer knowledge on database software like MS Excel, SPSS, and GIS will be given priority.

Broad knowledge and understanding of adaptation to climate change; climate resilience would be an added advantage.

### **Required Qualifications:**

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Master's degree in Agricultural Sciences, Social Science, Management, Environment Sciences, Natural Science or related field combined with extensive experience in similar responsible position in rural community is considered as equivalent.

**Experience:**

At least 8 years of work experience in a field related to rural development, livelihoods, agriculture promotion, and planning or project management.

At least 3 years of experience in M&E design and implementation at the project level would be preferable. Previous successful involvement with, and good knowledge of, CBOs, I/NGOs and civil society is desired.

Willingness to undertake regular field visits in different conditions is required.

Computer literacy in Microsoft packages (MS Word, MS PowerPoint, MS Excel), GIS and SPSS is an asset.

Experiences in creating and managing performance monitoring plans and leveraging performance monitoring data for improving ongoing project management are under consideration.

Knowledge in designing and field testing surveys and other data collection instruments are required.

Contribute in indicator development, data collection and analysis, data quality assessments, and/or performance monitoring and reporting.

Good knowledge of concepts and framework for monitoring and Evaluation and Result Measurement

Both written and spoken in English is essential.

**Duration of Service**

The Specialist will be contracted initially for 12 months with the possibility of extension based on performance evaluation and expected to work full time (office hours) within Kampala, except otherwise situation demands travel to the field on project related matters.

**Duty Station:** Kampala, field travel as and when required.

**Financial Conditions:**

The Specialist shall be paid a lump sum amount of remuneration per month, which should include all his overheads, social charges and other associated costs including local transportation within Kampala.

The Specialist shall be responsible for all taxes and duties including income tax applicable as per Government of Uganda rules and regulations.

In case of travel requirement outside Kampala within Uganda for project related assignments, the specialist shall be paid travel and hotel expenses

**Output/Reporting Requirements:**

The Specialist will report to the Project Director and Project Manager. In addition to the regular tasks, the specialist should be responsible for providing /preparing following documents and reports during assigned period.

M&E inputs to Monthly/Trimester/Yearly Project Implementation Progress Report; M&E implementation plan for the project, TORs for surveys

Inputs to MWE program level indicators; M&E inputs to good practice case studies

Monitoring and Supervision report as per the requirement.

Prepared and submit Guidelines/Manuals of concerned fields as per the need of the project.

Reports and proceeding of seminars, workshops and training. All reports should be in English and as necessary.

As the focal person for the M&E at the PMU, the M&E specialist will work closely with all other members of the PMU.

**TERMS OF REFERENCE AND PERFORMANCE INDICATORS FOR GENDER SPECIALIST**

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**Title:** Building Resilient Communities and Ecosystems through Restoration of Wetlands and Associated Catchments Project,

**Expertise:** Gender Specialist

**Source:** National

### **Overall Responsibilities**

The gender specialist will ensure that gender issues are considered in project activities.

### **Tasks**

Preparation of project plans. The project plans prepared for this assignment will form the basis for implementing the wetland restoration project. The specialist shall ensure that adequate attention is paid to gender in conducting all surveys and collection and analysis of demographic, physical, economic, and financial data to attain this objective.

Gender Analysis during implementation phase.

The gender specialist on the project implementation team is responsible for ensuring that gender-sensitive project design is well implemented. If gender was not addressed in the design, the specialist will propose a modification of the design during implementation. In particular, the specialist is responsible for:

Developing a gender strategy for the project or refining the strategy developed during project preparation as needed

Ensuring that project activities that involve women are carried out at times and locations convenient for women

Hiring and supervising staff focusing on gender issues

Conducting gender training sessions for the sensitization of all staff

Organizing community-level training as needed concerning participation and gender issues and specific training for women in skills needed for the project

Working with other project staff and the community to develop and maintain an M&E system that includes gender-disaggregated data and data that provide indicators concerning women's and men's involvement

Reformulating the project and making mid-course corrections as needed during implementation for better attention to gender, based on the results of monitoring

Developing adequate information channels between village women and men and project and government staff

Within one month after commencement of the project, the specialist will prepare a report presenting the main findings and suggesting appropriate options and recommendations.

### **Gender Analysis during Monitoring and Evaluation**

The gender specialist will be responsible for developing and implementing gender-sensitive M&E systems. Gender issues will form an integral part of an overall M&E framework. In particular, the specialist is responsible for:

Ensuring that the project's M&E system can provide gender-disaggregated data and indicators that can be used to measure the gender appropriateness of project activities.

The system should be designed to provide staff and the community with timely information that can be used to adjust and reformulate the project in the course of implementation, if needed.

Measuring the effects and impact of the project separately for women and men.

Analyzing men's and women's participation in the project and their access to and control over management and resources. This includes assessing types of involvement: decision-making, financial, participation on committees, management, maintenance, and so on. For example, how many women and how many men are on the committees and what roles do they play?

Examining staff attitudes toward gender issues and how this affects project outcomes. Is staff supportive of gender issues? Have they received gender training? If so, what impact did this have? Should they receive additional or follow-up training?

Assessing the training of men and women in maintenance, hygiene education, and other skill areas. What percentage of women as opposed to men was trained in each area? What were the benefits of the training? What could have been done differently? Is there any difference between the performance of women and men?

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Examining women's and men's roles in determining the type of technology chosen, the siting of facilities, and whether or not additional facilities such as washing and bathing facilities will be built.

Involving community women and men in data collection and interpretation and in the design of the system(s).

Organizing meetings, workshops, or both to inform project staff and communities of M&E findings. Identifying areas for further research.

Analyzing additional benefits, such as gains in time that women and men derived from the project. How were these gains in time used for economic or social purposes and why? Did the project anticipate or plan for these uses?

Analyzing additional costs in time or labor for men or women created by the project activities. Drawing lessons and providing recommendations for future projects.

### **Methodology and Approach to Work**

A dedicated Gender Specialist will be part of the PMU for an initial period of six months, to provide day-to-day coaching and mentoring support to the project staff, Cluster coordinators and partners on the practical integration of gender-responsive actions in the project activities. The Gender Specialist will adopt an Action Learning approach which will involve a combination of training workshops, guided learning-by-doing, and day-to-day mentoring support as staff and partners apply new gender tools to their project activities.

The Gender Specialist will work under the direct supervision of the Director and project implementation unit working closely with the other project partners. The Specialist will coordinate and will work closely with existing gender capacity in the country.

### **Minimum Qualifications**

Masters or Advanced Degree in a related subject area. Ability to communicate ideas in a manner conducive to their practical application; Comfortable working as part of a team to add value to collective results. Fluency in English required

At least eight (8) years of progressively responsible professional experience working on gender responsive programming in projects.

Practical experience working in donor funded projects as a specialist. Proven experience combining formal expertise on gender mainstreaming and gender equality with experience of applying these concretely to specific project activities

### **Payments:**

The specialist shall be paid a remuneration monthly based on the inputs in the month, which should include all his overheads, social charges and other associated costs including local transportation within Kampala.

The specialist shall be responsible for all taxes and duties including income tax applicable as per Government of Uganda rules and regulations.

In case of travel requirement outside Kampala station, and within Uganda for project related assignments, the specialist shall be paid travel expenses and hotel expenses.

## **TERMS OF REFERENCE AND PERFORMANCE INDICATORS FOR ENVIRONMENTAL SAFEGUARD SPECIALIST**

**Title:** Building Resilient Communities and Ecosystems through Restoration of Wetlands and Associated Catchments Project,

**Expertise:** Environmental Safeguard Specialist

**Source:** National

### **Introduction**

The Government of Uganda through the Ministry of Water and Environment and in partnership with UNDP has prepared a proposal for Building Resilient Communities and Ecosystems through Restoration of Wetlands and Associated Catchments Project. The project has three components namely; Restoration and management of wetland hydrology and associated catchments, improved agricultural practices and alternative livelihood options in wetland catchments and Strengthening access to climate and early warning information to farmers and other target communities. These components will be implemented by the Wetlands Management Department, Uganda Meteorological Authority and the Ministry of Agriculture Animal Industry and Fisheries.

The project aims at upgrading hydro-meteorological network, weather forecasting system and flood forecasting system. The process involves acquiring private and/or public land, construction of buildings and establishment and operation of water harvesting

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infrastructure. Assessment of social and environmental impacts considering the losses of agriculture products, deforestation, loss of natural habitats, impacts on indigenous population, electromagnetic radiation of weather equipment, security of installations are some of the important social and environmental aspects of the project.

The project therefore requires a specialist with expertise in relevant environmental field, who will work as a member of PMU to accomplish the objectives of the project.

#### Objective/Purpose of the Assignment:

The specialist will work for PMU, which has been established to support the implementation of project. Under the supervision of the Director or PM on the following responsibilities,

Provide overall environmental management oversight during the implementation of project, supporting and advising the client in addressing a variety of environmental issues at all the stages of the implementation of the Project and in environment related training/awareness raising and coordination activities.

Implement environmental related activities as outlined in the Environmental and Social Management Framework (ESMF) of the project.

Prepare necessary documents, such as environmental guidelines and tools in consultation with stakeholders and help the client in commissioning and managing additional assessment, if necessary.

#### Scope of Work:

The specialist will work closely with other members of Project Management Unit (PMU), staff and other staff for attainment of the project's goal. The scope covers the whole project's environmental oversight responsibilities including those implemented by Ministry of Agriculture.

#### Duties and responsibilities of the specialist

Under the direct supervision of Director and PMU, the specialist will be responsible for, but not limited to, the following duties.

Ensuring that each sub-project and activities under the project is subjected to the Project ESMF process and procedures.

Prepare guidelines, tools and notes for use in the project based on relevant environmental policies, acts and regulations/ directives of the Government of Uganda and relevant safeguard policies of GCF and the ESMF;

Carry out environmental screening of subprojects and activities, and help to prepare subproject or activity specific Environmental Management Plans (EMPs).

Organize environmental orientation & awareness, and training

Help commissioning and managing Initial Environmental Examination (IEE), if necessary and other assessment such as hazardous & e-waste management. Prepare environmental information materials and help the client in disseminating the information to the relevant stakeholders.

Review sub-project and activity plan, design, cost, and bid documents to ensure environmental factors and mitigations are incorporated, and sub-project documents and environmental documents are in harmony. Larger investments such as installation weather stations shall be reviewed from early on (starting from concept stage);

Carry out site supervisions during implementation of subprojects and activities, and provide feedback to the PMU;

Coordinate with relevant agencies for obtaining permission;

Communicate with vendors, contractors, and subcontractors for necessary environmental compliance

Evaluate environmental risks associated with floods, landslides, erosion, bank cutting and shifting channel as a result of project activities;

Monitor potential collaboration with specific key stakeholders, such as Ministry of Agriculture and Forest Support Services Department.

Organize local-level interaction programs on environmental screening and environmental awareness as well as Organize national level consultations with major stakeholders and academia, if necessary;

Identify necessary environmental requirement to clear site for meteorological and hydrological stations

Assess appropriate technologies suitable for construction activities at field sites considering low carbon foot print.

Produce reports in a manner understood by non-technical people for effective dissemination purpose.



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Support production of relevant summary documents in local languages for dissemination in local levels; and  
Undertake other duties as per the requirements of the project or as directed by Project Director.

**Competencies:**

Must be able to work with multiple people of different background and be a good team member;  
Strong interpersonal and communication skills, commitment to team work and to work across disciplines;  
Consistently approaches work with energy and a positive, constructive attitude;  
Demonstrates good oral and written communication skills in substantive and technical areas;  
Demonstrates openness to change and ability to manage complexities;  
Excellent writing, editing and analytical skills and capability of working independently;  
Ability to work effectively, take initiative and deliver results, even under pressure, and willing to visit sites in remote areas.

**Qualification and Experience:**

The specialist must have a minimum of Master's Degree in environmental sciences, environmental engineering, environmental studies or equivalent;

At least eight years of relevant experience;

Proficiency in the usage of computers and office software packages (word processing, spreadsheet etc) and experience in handling of web-based data and information management systems;

Work experience in GoU, NGO's, INGO'S, donor funded projects and other relevant institutions will be an added advantage; work experience as environmental specialist in any donor funded project will be an advantage.

**Duration of Service:**

The consultant will be assigned initially for 12 months and possibilities of further extension, in case of satisfactory performance. The specialist is expected to work full time office hours within Kampala with frequent travels to the project areas

**Duty Station:** Kampala with field visit as per requirement.

**Reporting Requirements:**

The specialist will report time to time to the Project Director and other concerned regarding the accomplishment of the assignment.

**Payments:**

The specialist shall be paid a remuneration monthly based on the inputs in the month, which should include all his overheads, social charges and other associated costs including local transportation within Kampala.

The specialist shall be responsible for all taxes and duties including income tax applicable as per Government of Uganda rules and regulations.

In case of travel requirement outside Kampala station, and within Uganda for project related assignments, the specialist shall be paid travel expenses and hotel expenses.

## Annex 13: UNDP Project Quality Assurance Report

Atlas Project Award ID:	Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda	Output ID/Project ID number:	Building Resilient Communities, Wetland Ecosystems and Associated Catchments in Uganda	Appraisal/Design
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### PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

#### OVERALL PROJECT

##### EXEMPLARY (5)



At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.

##### HIGHLY SATISFACTORY (4)



All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.

##### SATISFACTORY (3)



At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.

##### NEEDS IMPROVEMENT (2)



At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.

##### INADEQUATE (1)



One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.

#### DECISION

- APPROVE – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
- APPROVE WITH QUALIFICATIONS – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.
- DISAPPROVE – the project has significant issues that should prevent the project from being approved as drafted.

### RATING CRITERIA

#### STRATEGI

C

- Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):
  - 3: The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.
  - 2: The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.
  - 1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change.

3

#### Evidence

Project document (Page 9)

\*Note: Management Action or strong management justification must be given for a score of 1

- Is the project aligned with the

3

thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):

- 3: The project responds to one of the three areas of development work<sup>70</sup> as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas<sup>71</sup>; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. (*all must be true to select this option*)
- 2: The project responds to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (*both must be true to select this option*)
- 1: While the project may respond to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.

**Evidence**

Cover page, Projects Resource Framework (Page 27) and Monitoring plan Annex 8 of the Project document do specifies applicable Key Result Area (Strategic Plan):

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Select (all) targeted groups: (drop-down)

**Evidence**

Is highlighted throughout entire Project document specifically Pages 1 (cover page), 2, 6, 8 and 11 among others.

**RELEVANT**

3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):

- 3: The target groups/geographic areas are appropriately specified, prioritizing the excluded and/or marginalized. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.)The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (*all must be true to select this option*)
- 2: The target groups/geographic areas are appropriately specified, prioritizing the excluded and/or marginalized. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (*both must be true to select this option*)
- 1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalized populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.

\*Note: Management Action must be taken for a score of 1

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4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):

- 3: Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives.
- 2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.
- 1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.

\*Note: Management Action or strong management justification must be given for a score of 1

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5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):

- 3: A participatory gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (*all must be true to select this option*)
- 2: A gender analysis on the project has been conducted. This analysis reflects on the different needs,

**Evidence**

Project Document includes a section on mainstreaming gender on page 17 and Annex 6 for Gender analysis and Action plan

<sup>70</sup> 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

<sup>71</sup> sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience

roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. *(all must be true to select this option)*

- 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.

\*Note: Management Action or strong management justification must be given for a score of 1

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):

- 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. *(all must be true to select this option)*
- 2: Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.
- 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

\*Note: Management Action or strong management justification must be given for a score of 1

## SOCIAL & ENVIRONMENTAL STANDARDS

7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):

- 3: Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. *(all must be true to select this option)*
- 2: Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.
- 1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

\*Note: Management action or strong management justification must be given for a score of 1

8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):

- 3: Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. *(all must be true to select this option)*.
- 2: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.
- 1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.

\*Note: Management action or strong management justification must be given for a score of 1

9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential

3

### Evidence

Project Document (page 16) includes a Section Partnerships and stakeholder engagement, which reflects intention of UNDP to explore partnerships with existing programmes and leverage its convening power to develop strategic partnerships to enhance delivery of expected programme results.

2

### Evidence

Project document Page 20 and Annex 5 includes a Social Environmental Screening Procedure (SESP), which covers a Human Rights Based Approach.

3

### Evidence

Project document Page 20 and Annex 5 includes a Social Environmental Screening Procedure (SESP), which considers potential environmental opportunities and adverse impacts.

Yes

No

**social and environmental impacts and risks?** The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]

Project document Annex 5 shows that SESP was completed.

## MANAGEMENT & MONITORING

**10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):**

- **3:** The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (*all must be true to select this option*)
- **2:** The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (*all must be true to select this option*)
- **1:** The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.

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   1

### Evidence

Project Document Section IX and Annex 8&9 covers Monitoring and Evaluation Plan

\*Note: Management Action or strong management justification must be given for a score of 1

**11. Is there a comprehensive and costed M&E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?**

Yes (3)

**12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project):**

- **3:** The project's governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (*all must be true to select this option*).
- **2:** The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodop lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (*all must be true to select this option*)
- **1:** The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

3

### Evidence

Project document page 30 has a Section VIII on Project management arrangements.

\*Note: Management Action or strong management justification must be given for a score of 1

**13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project):**

- **3:** Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. (*both must be true to select this option*)
- **2:** Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.
- **1:** Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.

3

### Evidence

Project document includes a section on Risk Management (Page 19) and Annex 14.

\*Note: Management Action must be taken for a score of 1

## EFFICIENT

<p><b>14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.</b></p>	<p>Yes (3)</p>
<p><b>15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)</b></p>	<p>Yes (3)</p>
<p><b>16. Is the budget justified and supported with valid estimates?</b></p> <ul style="list-style-type: none"> <li>• <u>3</u>: The project’s budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget.</li> <li>• <u>2</u>: The project’s budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates.</li> <li>• <u>1</u>: The project’s budget is not specified at the activity level, and/or may not be captured in a multi-year budget.</li> </ul>	<p style="text-align: center;">3</p> <hr/> <p style="text-align: center;"><b>Evidence</b></p> <p style="text-align: center;">Page 44 of the Project document includes a Project budget.</p>
<p><b>17. Is the Country Office fully recovering the costs involved with project implementation?</b></p> <ul style="list-style-type: none"> <li>• <u>3</u>: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)</li> <li>• <u>2</u>: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.</li> <li>• <u>1</u>: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.</li> </ul>	<p style="text-align: center;">3                      2</p> <hr/> <p style="text-align: center;">1</p> <hr/> <p style="text-align: center;"><b>Evidence</b></p> <p style="text-align: center;">Page 35, 48 and 55 of the Project document includes a Section on Cost recovery (Direct Project Costs), budget and budget note respectively.</p>
<p><i>*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.</i></p>	
<p><b>EFFECTIVE</b></p>	
<p><b>18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <u>3</u>: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. <i>(both must be true to select this option)</i></li> <li>• <u>2</u>: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.</li> <li>• <u>1</u>: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.</li> </ul>	<p style="text-align: right;">2</p> <hr/> <p style="text-align: center;"><b>Evidence</b></p> <p style="text-align: center;">Annex 15 of the Project document shows results of Capacity assessment and HACT micro assessment for Ministry of Water and Environment.</p>
<p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	
<p><b>19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?</b></p> <ul style="list-style-type: none"> <li>• <u>3</u>: Credible evidence that all targeted groups, prioritizing marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the</li> </ul>	<p style="text-align: right;">2</p> <hr/> <p style="text-align: center;"><b>Evidence</b></p> <p style="text-align: center;">Project document Page 6, 8, 9 and 11 shows that the views and constraints</p>

<p>project. Their views, rights and any constraints have been analyzed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.</p> <ul style="list-style-type: none"> <li>• <u>2</u>: Some evidence that key targeted groups, prioritizing marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analyzed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.</li> <li>• <u>1</u>: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.</li> </ul>	<p>have been analyzed and incorporated into root causes analysis theory of change .</p>
<p><b>20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?</b></p>	<p>Yes (3)</p>
<p><b>21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</b></p>	<p>Yes (3)</p>
<p>*Note: Management Action or strong management justification must be given for a score of “no”</p>	<p><b>Evidence</b></p>
<p><b>22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):</b></p>	<p>3</p>
<ul style="list-style-type: none"> <li>• <u>3</u>: The project has a realistic work plan &amp; budget covering the duration of the project <i>at the activity</i> level to ensure outputs are delivered on time and within the allotted resources.</li> <li>• <u>2</u>: The project has a work plan &amp; budget covering the duration of the project at the output level.</li> <li>• <u>1</u>: The project does not yet have a work plan &amp; budget covering the duration of the project.</li> </ul>	<p><b>Evidence</b></p> <p>Page 44 of the Project document elaborates a realistic work plan and budget.</p>
<p><b>SUSTAINABILITY &amp; NATIONAL OWNERSHIP</b></p>	
<p><b>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</b></p>	<p>3</p>
<ul style="list-style-type: none"> <li>• <u>3</u>: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.</li> <li>• <u>2</u>: The project has been developed by UNDP in close consultation with national partners.</li> <li>• <u>1</u>: The project has been developed by UNDP with limited or no engagement with national partners.</li> </ul>	<p><b>Evidence</b></p> <p>The project development process was coordinated by Ministry of Water and Environment as evident in the Project document Governance structure and Minutes of project validation and Project Appraisal Committee</p>
<p><b>24. Are key institutions and systems identified, and is there a strategy for strengthening specific/comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):</b></p>	<p>2.0</p>
<ul style="list-style-type: none"> <li>• <u>3</u>: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.</li> <li>• <u>2.5</u>: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities.</li> <li>• <u>2</u>: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.</li> <li>• <u>1.5</u>: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.</li> <li>• <u>1</u>: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.</li> </ul>	<p><b>Evidence</b></p> <p>Project Work plan and budget includes activities to develop a strategy to strengthen specific capacities based on capacity assessments.</p>
<p><b>25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?</b></p>	<p>Yes (3)</p>
<p><b>26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilization strategy)?</b></p>	<p>Yes (3)</p>

## Annex 14: UNDP Risk Log

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
1	Delayed implementation of baseline projects by the government and donors negatively affects GCF project outcomes.	Dec 2016	Operational	Low (<5% of project value)	Continuous sensitization of the policy makers based on evidence from the pilot sites to secure cooperation and commitment.	Project Manager	Project Manager	Jan 2017	
2	Installed hydro-meteorological equipment fails because it is vandalized or not maintained.	Dec 2016	Environmental	Medium (5.1-20% of project value)	Awareness raising activities will be undertaken in target communities to highlight the importance of the installed equipment. In addition, the equipment will be housed within a secure fence.	Project Manager	Project Manager	Jan 2017	
3	Climate shocks occurring during the design and implementation phase of the GCF project result in disruptions to restoration activities and severely affect communities, prior to the EWSs being established.	Dec 2016	Environmental	Low (<5% of project value)	Disaster mitigation and response activities will be prioritized at the target communities whilst the EWS is being established.	Project Manager	Project Manager	Jan 2017	
4	Variation and limitation in technical capacity will reduce the efficiency of the project implementation.	Dec 2016	Operational	Medium (5.1-20% of project value)	Local communities and district environmental officer around the pilot sites will be trained in the design, planning and implementation of NWRP Project interventions. International experts will be engaged to assist local authorities in implementing NWRP Project interventions	Project Manager	Project Manager	Jan 2017	



#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
					where national expertise is not available.				
5	Lack of commitment from communities where restoration activities, alternative livelihoods and EWS are established undermines the effectiveness of the GCF project demonstrations.	Dec 2016	Environmental	Low (5.1-20% of project value)	The GCF project will avoid a 'top down' approach and seek to create community ownership of the project through community training and encouraging participation in project activities.	Project Manager	Jan 2017		
6	Political instability	Dec 2016	Other	Low (<5% of project value)	A system of installments and disbursements against measurable outcomes and deliverables will be put in place to ensure that the funding is secure and any political instability does not affect the project impact.	Project Manager	Jan 2017		

**Annex 15: Results of the capacity assessment of the project implementing partner and HACT micro assessment**

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**Micro Assessment (HACT) for MoWE**

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**TEAM & COMPANY**

UNDP

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**Micro Assessment (HACT) for Ministry of Water and Environment (MoWE)**

22/03/2016

**[Micro Assessment (HACT) of MoWE. Overall Risk Rating: Low]**

*By Team and Company Certified Public Accountants*

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## Micro Assessment (HACT) for MoWE

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The Procurement and Disposal Unit (PDU) is sufficiently staffed. There are nine (9) staff members in the Procurement and Disposal Unit (PDU) of the ministry. The unit is headed by Ms. Jane Margret Meke who is a member of CIPS.

The audit report by PPDA of year ended June 2014 noted noncompliance with PPDA guidelines where procurement from non-prequalified service providers amounting to UGX 520,694,524 was done without proper justification or approval from contracts committee.

### 4.0 RISK RATING

	Subject Matter Section	Risk rating	Comment
1.0	Implementing Partner	2	Moderate risk
2.0	Funds Flow	2	Moderate risk
3.0	Staffing	1	Low risk
4.0	Accounting Policies and Procedures	2	Moderate risk
5.0	Internal Audit	2	Moderate risk
6.0	Financial Audit	2	Moderate risk
7.0	Reporting, Monitoring	2	Moderate risk
8.0	Information Systems	1	Low risk
9.0	Procurement	1	Low risk
	<b>Overall</b>	<b>1</b>	<b>Low risk</b>

The overall financial management risk assessment for the Ministry of Water and Environment is **Low**.

**Micro Assessment (HACT) for MoWE**

**5.0 RECOMMENDATIONS**

	Observations	Recommendations
<b>1.0</b>	There was a noted noncompliance with approved budget and work plans. The auditors also noted that the Ministry incurred expenditure beyond the approved work plan and budget approved by the World Bank. The excess unapproved expenditure was USD 216,581 representing 61% of total approved project expenditure.	The ministry should ensure that project expenditure is in accordance with the approved UN agency budgets. Appropriate approvals should be obtained and documented for any required variations from the UN agency.
<b>2.0</b>	It was noted that the UN agency financial reports are prepared from Excel Spreadsheets, and ledgers are not maintained.	It is necessary to maintain accounting records in relation to UN funding in accordance with generally accepted accounting principles; these should include cash books and ledgers from which financial reports should be prepared. These may be maintained using an appropriate accounting package or manually but not using Excel spreadsheets which may be subject to manipulation.
<b>3.0</b>	The ministry does not have specific policies and procedures for tracking and reporting United Nations resources.	It is also necessary to design and document policies and procedures regarding the recording, tracking and reporting of transactions to UN Agencies' funded activities.
<b>4.0</b>	The financial statements are generated directly from the computerized Integrated Financial Management System (IFMS), which links expenditure with the budget. However, UN Agencies' transactions are not part of this system and therefore not included in the financial statements.	UN Agencies' funds are not included in the ministry financial statements and there is a risk that the external audit may not cover these funds. It is therefore necessary to inform the Auditor General about the funding and request that the funds are audited.
<b>5.0</b>	It was observed that the fixed assets for donor funded projects, like laptops and others, were not tagged for identification thus rendering the process of tracking	It is necessary that management should ensure that fixed assets relating to projects are tagged and the assets register regularly updated.

**Micro Assessment (HACT) for MoWE**

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	usage and location of assets difficult which could result into loss or misappropriation of the assets.	
6.0	The audit report by PPDA of year ended June 2014 noted noncompliance with PPDA guidelines where procurement from non-qualified service providers amounting to UGX 520,694,524 was done without proper justification or approval from contracts committee.	The ministry should ensure full compliance with the PPDA requirements.

Prepared by:

TEAM & CO. CERTIFIED PUBLIC ACCOUNTANTS

SIGNATURE: *Team B signing*

DATE: *28/04/2016*



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**Annex 16: Additional agreements, such as cost sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as the “Executing Entity”**

Not applicable