

# World Bank - Grant Reporting and Monitoring (GRM) Report

Report to Donor

Ref. TF014956  
Printed On: 10/16/2017

Reporting Period: 07/10/2013 to 06/30/2017  
Report Type: Completion  
Report Status: Approved

Assignment: TF014956

## Second Grant Agreement for Uganda Readiness Preparation Proposal FCPFR - Forest Carbon Partnership Facility

Task Team Leader: 00000239598 - Nigel Ross Hughes  
Approving Manager: 00000086248 - Magdolna Lovei

Summary Information	
TF Status	ACTV
Recipient Country	Uganda
Executed By	Recipient
Managing Unit	9270 - GEN01
Grant Start Date / End Date	07/10/2013 to 12/31/2017
Original Grant Amount	3,634,000.00
Grant Amount	3,634,000.00
Outstanding Commitments	0.00
Cumulative Disbursements	3,033,326.83 as of 06/30/2017
Disbursed 07/10/2013 to 06/30/2017	3,033,326.83
Donor	TF602001 - MULTIPLE DONORS

*This GRM report includes the following sections: Overview, Components, Outcome, Execution, Program(FCPFR), Completion, Disbursements.*

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## OVERVIEW

### Overall Assessments

#### Grant Objectives:

The Project Development Objective is to design a socially and environmentally viable national strategy for reducing emissions from deforestation and forest degradation as compared to a reference level.

#### Overall progress from 07/10/2013 to 06/30/2017 with regard to Achieving Grant Objectives:

##### Comment:

The grant objectives were achieved with grant support.

The National REDD+ management arrangements have been well established and maintained. Specific outputs of the Readiness process supported by the grant include a National REDD+ Strategy; a Strategic Environmental and Social Assessment (including an Environmental and Social Management Framework); the National Forest Inventory and a Forest Emissions Reference Level (FREL); identification of appropriate benefit sharing and Feedback and Grievance Redress mechanisms for REDD+; support for participatory structures for REDD+ at the sub-national level; development of communication materials and tools; and monitoring and evaluation framework for REDD+ Readiness. All activities were carried out in a highly participatory manner.

The REDD+ Readiness process has been important for supporting the policy dialog on sustainable approaches in forestry, including policy makers, decision makers, and the general public.

#### Overall progress from 07/10/2013 to 06/30/2017 with regard to Implementation of Grant Financed Activities:

##### Comment:

Overall implementation has been moderately satisfactory. The initial delays in starting grant implementation required a 12-month no-cost extension of the grant, to allow adequate completion of all activities. The SESA procurement has been particularly troublesome as the procurement had to be cancelled and re-started twice. Regardless, with the extension, all activities were completed as planned by the grant closing date. Uganda is utilizing the approved additional funding of US\$3.75 million for further support to the REDD+ policy work (including the National REDD+ Strategy) and design of potential Emissions Reductions programs (ER-Programs).

### Grant follow-up and structure

#### Description and context of Grant:

The grant funded activities are organized into five components as follows:

#### COMPONENT 1. COORDINATION AND MONITORING OF REDD+ READINESS PROCESS

Description: This component included support for the national level coordination and monitoring of the REDD+ process.

#### COMPONENT 2. STAKEHOLDER ENGAGEMENT AND FEEDBACK IN READINESS PROCESS

Description: This component included two major activities # (i) strengthening participatory structures and preparing awareness raising materials; and (ii) designing a national feedback and grievance redress mechanism (FGRM) for REDD+.

#### COMPONENT 3. REDD+ STRATEGY AND SESA

Description: This component included two major activities: (i) Preparation of the REDD+ Strategy and (ii) Conducting a Strategic Environmental and Social Assessment (SESA) and production of the Environment and Social Management Framework (ESMF).

#### COMPONENT 4. REDD+ IMPLEMENTATION FRAMEWORK

Description: This component included three major activities # (i) review and assessment of existing benefit sharing arrangements (a consultancy); (ii) preparation of interim guidelines for REDD+ projects (a consultancy); and (iii) review and documentation of existing REDD+ demonstration activities (an in-house assignment by FSSD / REDD+ Secretariat).

#### COMPONENT 5. NATIONAL REFERENCE SCENARIO AND INVENTORY OF FOREST RESOURCES

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Description: This component included two major activities #preparation of the national FREL (implemented by the FAO under a framework agreement) and inventory of forest resources (implemented by the National Forestry Authority under a Memorandum of Understanding).

**Expected follow up (if any):** Follow up Bank project/loan/credit/grant

### Comment on follow up:

Uganda's Forest Investment Plan and its Strategic Program for Climate Resilience received endorsement of the Forest Investment Program (FIP) and Pilot Program for Climate Resilience (PPCR) Sub-Committees in June 2017 - however, these Climate Investment Funds have no funding committed. Uganda intends to use the FIP and PPCR approval for seeking funding for implementation of Uganda's REDD+ Strategy from the Green Climate Fund, Global Environment facility (GEF) and other climate change funds or bilateral donors.

Uganda's request for Additional Funding from the FCPF Readiness Fund (\$3.75 million) was approved by the FCPF Participants Committee.

Uganda has been successful in mobilizing additional support for REDD+ - from the Austrian Development Cooperation (around US\$0.8 million, ended in 2016) from the UN REDD National Programme (ending in December 2017).

### End Date of Last Site Visit:

### Restructuring of Grant:

Grant was extended by 12 months, to June 30, 2017.

## OUTCOME

### Comments on outcome achieved from 07/10/2013 to 06/30/2017

### Grant Outcome Indicators

No Outcome indicators are defined or used for this grant.

## COMPONENTS

### Output and Implementation by Component

#### Component 1. Coordination and monitoring of REDD+ readiness progress

Status: Completed  
Planned Output: See comments section  
Actual Output: See comments section

#### Component 2. Stakeholder Engagement and Feedback in Readiness Process

Status: Completed  
Planned Output: See comments section  
Actual Output: See comments section

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## Component 3. REDD+ Strategy and SESA

Status: Completed  
Planned Output: See comments section  
Actual Output: See comments section

## Component 4. REDD+ Implementation Framework

Status: Completed  
Planned Output: See comments section  
Actual Output: See comments section

## Component 5. National Reference Scenario and Inventory of Forest Resources

Status: Completed  
Planned Output: See comments section  
Actual Output: See comments section

## Comment on planned and actual Output

### Comment on component implementation progress

Component 1. Coordination and monitoring of REDD+ readiness progress

Planned Outputs: Functional REDD+ Secretariat, National Technical Committee, expanded National Climate Change Advisory Committee, and Task Forces with capacity for REDD+ agenda coordination; M&E Framework in place; and a Mid Term Review completed.

Actual Outputs: National REDD+ Secretariat operates with GOU staff, an FAO tech. advisor and four consultants (two of them with UN REDD National Programme support); National Climate Change Advisory Committee and National Technical Committee functioning; i) SESA/Safeguards, ii) Methodological/MRV, and, iii) Policy/Strategy task forces formed and actively involved in the National REDD+ Strategy formulation process; M&E Framework produced and used; MTR report produced and approved by the FCPF PC.

Component 2. Stakeholder Engagement and Feedback in Readiness Process

Planned Outputs: Participatory structures for REDD+ strengthened ; National Feedback and Grievance Redress Mechanism (FGRM) for REDD+ determined.

Actual Outputs: Four NGOs engaged for strengthening participatory structures; feedback and grievance redress mechanism review completed.

Component 3. REDD+ Strategy and SESA

Planned Outputs: REDD+ Strategy prepared and validated ; SESA (including ESMF) completed.

Actual Outputs: the National REDD+ Strategy prepared through a consultative process; SESA process completed resulting in a SESA report and an ESMF. Both are ongoing internalization by the Government of Uganda, including with the UN REDD Programme support.

Component 4. REDD+ Implementation Framework

Planned Output: review of benefit sharing options completed; guidelines for REDD+ pilots prepared; and a review and

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documentation of existing REDD+ pilots completed.

Actual Output: benefit sharing review completed; guidelines for REDD+ pilots prepared and approved as an interim document, with an understanding that any REDD+ project requirements will be dictated by the potential buyers; review and documentation of existing REDD+ pilots dropped.

Component 5. National Reference Scenario and Inventory of Forest Resources

Planned Outputs: FREL and NFI completed.

Actual Output: the national FREL was completed and submitted to the UNFCCC in January 2017; National Forest Inventory carried out.

## EXECUTION

### Bank project related to the grant

Project ID / Name:	P124296 - UG-FCPF REDD READINESS
Project Status:	Lending
Global Focal Area:	Climate change
Product Line:	CN - Carbon Offset

### Implementing agency and contact details

Agency:	Ministry of Water and Environment (Forestry Services Support Department)		
Contact:	Margaret Athieno		
Address:	10/20 Spring Road, Kampala		
Phone:	+256772 470 023	Email:	
Website:	<a href="http://www.mwe.go.ug/">http://www.mwe.go.ug/</a>		

## PROGRAM

### Program Specific Questions

**1. Describe progress in how the Grant activities are being coordinated with other REDD+-related initiatives, including those funded by Describe progress in how the Grant activities are being coordinated with other REDD+-related initiatives, including those f**

Joint supervision missions take place with UN REDD Programme and Austrian Development Cooperation, partners supporting the Uganda REDD+ Readiness process together with the Bank. The preparation of the Forest Investment Plan (under Strategic Climate Funds, now endorsed as of June 2017) build on the REDD+ readiness efforts.

**2. Describe any important changes in the technical design or approach related to the Grant activities.**

None

**3. Describe progress in addressing key capacity issues (implementation, technical, financial management, procurement) related to this Grant.**

FAO Technical Advisor (engaged under the FAO TA agreement for the FREL work) was providing key support during most of the grant period. Bank Task Team providing on time quality support, including on procurement and financial management.

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#### **4. Describe progress in addressing social and environmental issues (including safeguards) related to the Grant. Is the SESA conducted in accordance with the Common Approach?**

SESA was conducted in accordance with the Common Approach. SESA was prepared, including through a series of consultations. The SESA was also conducted consistent with Ugandan environmental laws and regulations and World Bank operational safeguards policies and procedures.

#### **5. Is the ESMF prepared in accordance with the Common Approach?**

ESMF prepared in accordance with the Common Approach. The ESMF sets out the procedures to be followed for identifying, assessing, managing and mitigating the potential environmental and social impacts of REDD+ interventions once the details are fully defined in the context of the future implementation of REDD+. The ESMF development was also informed by sub-national and national consultations.

#### **6. Describe progress in stakeholder consultation, participation, disclosure of information, and the FGRM related to this Grant.**

Uganda's National REDD+ Process engage multi-stakeholder (including during consultations) decision-making processes. Stakeholders that were engaged in the REDD+ process included central government and local government institutions, CSOs, Academia, Private Sector and representatives of Indigenous people and Local Communities.

In order to ensure that all stakeholder categories (including CSOs and IPOs) participate and are consulted upon during the National REDD+ Process, undertakings aiming at; i) Strengthening participatory structures; ii) Conducting capacity building trainings to enhance stakeholder engagement at national and sub national levels; iii) Communicating about REDD+ process and raising awareness about REDD+ were supported. Consultations were undertaken also specifically in defining national REDD+ Strategy options, SESA/ESMF, FREWL, NFIS and MRV, Benefits Sharing Arrangements, and FGRM.

With regards to stakeholder engagement, additional efforts included raising awareness through dissemination of information on REDD+ process in form of brochures, press reviews, radio messages, engaging in public events e.g., commemorating World Forestry Day and World Environment Day and during stakeholder consultations on the development of Forest Reference Emissions Levels/ Forest Reference Levels, Benefit Sharing Arrangements, REDD+ Feedback and Grievances Redress Mechanism and REDD+ Strategy Options and SESA process. REDD+ Process information was shared through the MWE Website as well as websites of REDD+ Partners (World Bank, ADC and UN-REDD+).

A CSO self-selection of its representatives to the Steering, coordination and technical committees was undertaken in December 2016 and the recommended representation adopted. Self-selection took into account the following considerations:

1.#The CSO and IPs representatives to NCCAC were selected because they are: representatives of ENR CSO Network on the Water and Environment Sector Working Group (WESWG) (representing national NGOs) the International NGOs active in REDD+ matters (represented by IUCN) and IPO representative to Global Climate Change issues (Ng#akarimojong including Teuso People) who are the national representative of the IPAAC.

2.#CSOs representatives to the National Technical Committee were selected due to their technical background and potentials to contribute on Technical matters.

3.#CSO representatives to the Taskforces were not selected. This was due to the fact that Taskforce require specific expertise in the subject matter, not necessarily linked to constituencies, In this regards, self-selection exercise maintained the status quo, that is; maintaining the selection that task into account individual expertize within or from outside the CSO/NGOs..

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## COMPLETION

### Overall Assessments and Lessons Learned

#### Main lessons learned:

The main lessons revolve around issues of procurement, donor coordination, capacity and sustainability and managing expectations.

#### a)#Lessons on capacity and sustainability

A key lesson on successful engagement and capacity development can be found in the work of the MRV Task Force. The taskforce was set up to provide advice and support the process for developing the FREL/FRL and National Forest Monitoring System. It has been highly effective in ensuring external linkages to organizations outside MWE, such as Ministries of Energy and Agriculture both of whom have valuable data that can be used in assessing forest and carbon stocks. A key factor in its success is that the flow of benefits has been two-way. While external agencies are asked to undertake tasks and provide information to NFA, significant training and capacity development is offered in return. Strategic selection of relatively small well-placed individuals within key institutions has also been critical to the success of the MRV taskforce. Given that membership is based on individual expertise rather than institutional mandate, it has been possible to #hand-pick# individuals with the right level of expertise and specific role to ensure that functionality can be maintained within a relatively small group of team members. The experiences with the development of the MRV Taskforce offers valuable lessons on how other processes can be anchored within the Ugandan context as well as being used as a tool for extending capacity and awareness beyond the forest sector

A further lesson on capacity and sustainability comes from the procurement process where the MWE has given consideration to target centres of excellence within the country national institutions and organizations for service delivery. In addition, in cases where technical expertise is unlikely to be found within Uganda, partnerships between international bidders and local /national based consultants/firms and other technical institutions has been promoted during the design of the Terms of Reference and bidding conditions in the Requests for Proposals. This approach has aimed at building in-country building capacity and ensuring that solutions are appropriately framed within the local context.

#### b)#Lessons on donor co-ordination

Despite different donor agencies having very different ways of working, a collegiate working relationship, reinforced through Joint Missions has meant that any differences in approach can be resolved and addressed. This contrasts strongly with other multi-donor programs (not implemented through a basket fund arrangement). Having a strong voice from government has also been critical to donor co-ordination # particularly with regard to guiding on appropriate programme implementation structures and priorities that are in harmony with the national REDD+ agenda.

#### c)#Managing Expectations

Preparing Uganda to be ready for REDD+ implementation is a process that has been on-going since 2010. There are stakeholders# concerns that the process is taking long before actions to tackle high rates of forest loss are undertaken.

#### Overall outcome (and its Sustainability):

##### Comment:

The grant financed activities largely achieved their objectives. The REDD+ dialog enhanced attention to the drivers of deforestation and forest degradation and increased cooperation between the forestry sector and other sectors that are at the root of deforestation and forest degradation (agriculture, energy). In the mid-term, REDD+ Readiness activities are sustained with financing from the additional funding grant.

#### Bank Performance:

##### Comment:

The Bank team provided close support and technical advise throughout implementation of the grant financed activities.

### Additional Assessment

#### Development / strengthening of institutions:

##### Comment:

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The capacity of the National REDD+ Secretariat and the Ministry of Water and Environment to handle REDD+ has increased immensely thanks to the grant support. The National REDD+ management institutions (such as the National Technical Committee, ) are well versed on REDD+ and have a better capacity for managing the national REDD+ process.

## Mobilization of other resources:

### Comment:

Uganda currently has no funding committed for implementation of its National REDD+ Strategy. Despite Uganda being selected as a FIP pilot country (in the second round of FIP calls of interest) and presenting a high quality Forest Investment Plan, there is no committed FIP funding for implementation of the Strategy. Uganda is keen on accessing the REDD+ window under the Green Climate Fund once this is established and operational.

## Knowledge exchange:

### Comment:

The Uganda REDD+ team has been a part of some learning events on REDD+ supported by the FCPF and other sources

## Client's policy / program implementation:

### Comment:

Uganda has sound policy related to forestry; implementation has been fairly weak, though.

## Efficiency:

### Comment:

Outcomes planned at the onset have been largely achieved, thus efficiency is rated satisfactory.

## Replicability:

### Comment:

The REDD+ Readiness process resulted in a number of useful outputs - however, this process is unlikely to be replicated without dedicated donor support.

## Main recommendations to stakeholders:

Need for Careful Management of Expectations

REDD+ has been communicated globally as a mechanism which seeks to incentivize activities targeted at reducing emissions from the land-use sector. This created fairly high expectations of potential substantial monetary benefits. The protracted policy dialog process with no actual investments has created some frustration especially among the non-state actors (NGOs).

## Main recommendations to Bank Management:

REDD+ is an evolving effort, with new international rules and agreements coming up nearly at every global meeting. It is difficult for GP task teams, which are not involved in this global dialog, to stay on top of these developments AND help the client understand them. More support to teams is needed. Support from the FMT needs to be adequate at all times as well.

## DISBURSEMENTS

### Disbursements Summary in USD

Date From	Date To	Planned Cumulative	Planned Period	Actual Cumulative	Actual Period
07/01/2013	12/31/2013	0.00	0.00	0.00	0.00
01/01/2014	06/30/2014	0.00	0.00	0.00	0.00
07/01/2014	12/31/2014	0.00	0.00	263,250.00	263,250.00
01/01/2015	06/30/2015	0.00	0.00	1,334,331.00	1,071,081.00



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07/01/2015	12/31/2015	0.00	0.00	1,579,331.00	245,000.00
01/01/2016	06/30/2016	0.00	0.00	1,978,094.27	398,763.27
07/01/2016	12/31/2016	0.00	0.00	2,263,301.08	285,206.81
01/01/2017	06/30/2017	0.00	0.00	3,033,326.83	770,025.75
07/01/2017	12/31/2017	0.00	0.00	0.00	0.00