

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

FOR OFFICIAL USE ONLY

Ref. TF014956

Reporting Period: 07/01/2015 to 02/16/2016

Printed On: 02/16/2016

Report Type: Progress Report

Report Status: Approved

Assignment: TF014956

## Second Grant Agreement for Uganda Readiness Preparation Proposal FCPFR - FOREST CARBON PARTNERSHIP FACILITY

Task Team Leader: 00000 239598  
Approving Manager: 00000086248

- Ross Hughes  
- Magdolna Lovei

Summary Information	
TF Status	ACTV
Recipient Country	Uganda
Executed By	Recipient
Managing Unit	9061 - GENDR
Grant Start Date / End Date	07/10/2013 to 06/30/2017
Program Manager	Simon J. Whitehouse
Original Grant Amount	3,634,000.00
Grant Amount	3,634,000.00
Outstanding Commitments	0.00
Cumulative Disbursements	1,738,452.62 as of 02/16/2016
Disbursed 07/01/2015 to 01/15/2016	404,121.62
Donor	TF602001 - MULTIPLE DONORS

*This GRM report includes the following sections: Overview, Outcome, Components/Outputs, Execution, Program(FCPFR), 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 07/01/2015 to 02/16/2016 with regard to Achieving Grant Objectives:

##### Comment:

Overall progress is satisfactory. Grant disbursements stand at 47.84%, and grant commitments stand at 72%.

The REDD+ Readiness activities are moving steadily towards achieving the stated objectives, with Uganda establishing robust national REDD+ management arrangements, progressing well on establishment of the reference emissions level and conducting a forest inventory, and mobilizing consultants for implementing other key assignments to contribute to development of Uganda's REDD+ Strategy.

The Forest Carbon Partnership Facility (FCPF) support to REDD+ Readiness in Uganda is complemented by the support from the Austrian Development Cooperation (2013-2016) and by the UN-REDD National Programme (2015-2017).

Effects of slow progress in the first 1.5 years of grant implementation continue to be felt but the Government of Uganda team is committed in working towards REDD+ Readiness. Uganda undertook the Mid Term Review (MTR) which identified gaps towards achieving REDD+ Readiness that are not currently financed - these informed the request for additional funding from the FCPF Readiness Fund, presented to the FCPF Participants Committee (PC) together with the MTR report.

The National REDD+ Secretariat has more recently also continued to engage stakeholders for developing the national REDD strategy and supporting REDD readiness. Uganda's expression of interest to participate in the Forest Investment Program was approved, and Uganda is preparing its Forest Investment Program Investment Plan. The National REDD+ Secretariat has demonstrated significant commitment and drive in the course of REDD+ Readiness. It has been effectively engaging various stakeholders and establishing robust structures of REDD+ Readiness.

#### Overall progress from 07/01/2015 to 02/16/2016 with regard to Implementation of Grant Financed Activities:

##### Comment:

Overall progress over the reporting period is satisfactory. The progress achieved is substantial enough to merit consideration for additional funding.

The Forest Reference Emissions Level (FREL) work has advanced significantly in the reporting period. The forest inventory work has started and is progressing according to schedule. The REDD+ management structures (including the Steering Committee, the Technical Committee, and the Reference Level Taskforce) have been fully operational. The National REDD+ Secretariat is driving the national REDD+ process. The Government of Uganda (GoU) has contracted preparation of the REDD+ Strategy and procurement for the Strategic Environmental and

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Social Assessment SESA is on-going. Besides, the Government of Uganda has signed contracts for other major consulting assignments producing key outputs, including (i) Identification of a Benefit-Sharing Mechanism and (ii) Establishment of a Feedback and Grievance Redress Mechanism. Besides, procurement of four NGOs to provide support to participatory structures for REDD+ is nearly completed. The Monitoring and Evaluation Framework for REDD+ Readiness has been produced. The Mid Term Review was conducted. The good progress on work initiated to date to some extent offsets the initial delays in implementation due to slow preparation of the terms of reference and bidding documents for launching the project's core activities and due to a delay of about one year with disbursement of grant funds (due to Uganda country portfolio issues that prevented disbursement of advances for activities to the Implementing Agency).

However, recognizing that satisfactory completion of work planned was not possible within the original grant timeframe, the GoU requested for a 12-month extension (to June 2017), which was granted in December 2015. It is expected that this will allow completion of all planned activities within the grant lifetime.

## Grant follow-up and structure

### Description and context of Grant:

The current grant of \$3.634 million is expected to close on June 30, 2017. During the mission in January 2016 (coinciding with the Mid Term Review) the GoU confirmed the need for additional funding from the FCPF Readiness Fund in the amount of US\$3.75 million and its intention to request it at PC21 in May 2016.

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

### Comment on follow up:

There are funding-related gaps in achieving the REDD+ readiness. Several follow up activities are envisaged. First, Uganda indicated plans to make a request for additional grant funds of US\$3.75 million to the FCPF Readiness Funds to support additional REDD+ Readiness activities under the following R-PP components: (i) R-PP Component 1. Organize and Consult - REDD+ Readiness Organization and consultation; (ii) R-PP Component 3. Develop a Reference Scenario - Reference Emission Level/reference levels; and (iii) R-PP Component 4. Design a Monitoring System - Monitoring Systems for forest and implementation of FGRM and safeguards. Second, Uganda received a grant for preparation of its Forest Investment Plan from the Strategic Climate Funds (US\$250,000). This opens potential for seeking funding for implementation of Uganda's REDD+ Strategy from the Strategic Climate Funds, the Green Climate Funds, and other climate change funds or bilateral donors. Third, Uganda received funding from the Pilot Program for Climate Change Resilience for preparation of its Investment Plan and will seek ways of utilizing this financing for adaption activities in the forestry sector, among others.

Importantly, over the last two financial years, the GoU has been allocating its own financing for the REDD+ activities, including financing for early actions on REDD+ on the ground.

**End Date of Last Site Visit:** 01/22/2016

### Restructuring of Grant:

No grant restructuring is expected. As per above, Uganda is requesting additional funding of US\$3.75 million from the FCPF Readiness Fund, along with the presentation of its Mid Term Review report.

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## OUTCOME

### Comments on outcome achieved from 07/01/2015 to 02/16/2016

The key outputs include: (i) continuous operation of robust national REDD+ Secretariat and REDD+ management structures; (ii) production of a monitoring and evaluation framework for Uganda's REDD+ Readiness (which was first applied for Mid Term Reporting); (iii) conducting a Mid Term Review; (iv) a nationally appropriate definition of forest was developed and confirmed, based on the reference emissions level work (taking into account the UNFCCC guidance and national circumstances); (v) time series data for the FREL for 1990, 2005, 2010 and 2015 have been produced and quality checks ongoing; and (vi) emission factors for three forest strata have been identified.

### Grant Outcome Indicators

No Outcome indicators are defined or used for this grant.

## COMPONENTS/OUTPUTS

### Output and Implementation by Component

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

Status: Under Implementation

**Planned Output:** Functional REDD+ Secretariat, National Technical Committee, expanded Climate Change Policy Committee (the Steering Committee), and Task Forces with capacity for coordination of REDD+ agenda in Uganda; M&E Framework in place; and a Mid Term Review conducted, including MTR report prepared.

**Actual Output:** REDD+ Secretariat operating with GOU staff, FAO technical advisor and three recruited consultants (one of them with UN REDD Programme support); CCPC, NTC and REL Task Force functioning; M&E Framework produced; MTR report drafted.

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

Status: Under Implementation

**Planned Output:** Participatory structures for REDD+ strengthened through targeted communication; National Feedback and Grievance Redress Mechanism (FGRM) for REDD+ strengthened.

**Actual Output:** Four NGOs for strengthening participatory structures identified contracted (see below, under Component 2 detailed progress, for details); feedback and grievance redress mechanism assignment initiated.

#### Component 3. REDD+ Strategy and SESA

Status: Under Implementation

**Planned Output:** SESA initiated; REDD+ Strategy work advanced

**Actual Output:** No outputs yet, procurement not yet completed.

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## Component 4. REDD+ Implementation Framework

**Status:** Under Implementation

**Planned Output:** analytical work on benefit sharing options advanced; interim guidelines for REDD+ pilots drafted; and a review and documentation of existing REDD+ pilots.

**Actual Output:** 1<sup>st</sup> version of interim guidelines prepared and approved by the National Steering Committee (these are to be expanded through additional work by the REDD+ Secretariat, planned for 2016); benefit sharing work initiated

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

**Status:** Under Implementation

**Planned Output:** Data sets produced; forest inventory work initiated; capacity on REL aspects strengthened; forest definition developed; equipment for remote sensing processing and field work purchased

**Actual Output:** All outputs achieved as planned.

## Comment on planned and actual Output

The components described here are those identified in the R-PP Assessment Note

## Comment on component implementation progress

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

The National REDD+ Secretariat, which is composed of the National Focal Point (Assistant Commissioner Forestry, Ministry of Water and Environment), Alternate National Focal Point (Climate Change Coordinator, National Forestry Authority), two Senior Forestry Officer (Ministry of Water and Environment), Chief Technical Advisor, Technical Advisor (FAO), Project / Communications Officer, and Project Accountant is effectively managing the national coordination of REDD+ and implementation of activities planned under the Readiness grant including procurement and financial aspects. The multi-sectoral National Climate Change Advisory Committee steers the REDD+ Readiness process in Uganda and provides policy guidance to the REDD+ agenda. The National Technical Committee and its three Task Forces (Strategy, SESA and Consultation and Participation, and Reference Scenario) provide technical guidance to REDD+. A Monitoring and Evaluation Framework to monitor implementation progress of the REDD+ readiness process has been prepared (and utilized in preparation of the Mid Term Review report). The Mid Term Review was also conducted as an activity under this component. Financial audits have been conducted. In addition, the architecture for national REDD+ Readiness management at various levels (technical and policy and terms of reference) has been operationalized.

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

Activities under this component are focused on engaging various stakeholders in Uganda's REDD+ Readiness process at both the national and the local levels. Under this component, the National REDD+ Secretariat identified and contracted four NGOs to undertake work on strengthening participatory structures for REDD+ (these NGOs were selected for work in specific regions, based on their comparative advantages). Of these, the IUCN is providing the necessary coordination and methodological support for the work and will work on strengthening participatory

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structures for REDD+ in Mt. Elgon, Karamoja, and Northern Region; the Wildlife Conservation Society will work on strengthening structures in the Albertine Region; and Environmental Alert will support participatory structures in the Central, Mid-Eastern and Southern Region. At the same time, Tree Talk Plus, which has a track record in producing communication materials in support of sustainable management of natural (including forest) resources will develop any necessary communication materials on REDD+, including printed brochures and fliers, radio clips, etc. Also under this component, development of a feedback and grievance redress mechanism has been initiated - as an important building bloc of REDD+ Readiness.

### Component 3. REDD+ Strategy and SESA

With some delay the recruitment of a experienced consultant team to support analysis of REDD strategy options and preparation of Uganda's REDD+ Strategy was completed, and the team submitted an inception report that that clearly lay out the steps to completion of the deliverables. In the months ahead considerable effort will be required to advance work on the SESA which is being undertaken by a reputable national institution with involvement of international REDD+ experts. The outcomes of the SESA process will provide inputs into the design of the national REDD+ strategy. The ESMF which outlines interventions to address anticipated social and environmental impacts of REDD strategy options will be one of the outputs from the SESA process. This component also supports the consultations with stakeholders on SESA and REDD strategy according to the consultation and participation plan. As the draft reports become available the consultations specific to the REDD strategy are expected to begin - these will heavily rely on participatory structures supported under Component 2.

### Component 4. REDD+ Implementation Framework

The National REDD+ Steering Committee approved the interim guidelines for REDD+ projects that were prepared under this Component. These are intended to guide national REDD+ demonstration activities. Work on identifying appropriate benefit sharing options of Uganda's REDD+ has been initiated and consultations are ongoing.

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

Preparation of the national forest reference emissions level is well advanced and is already informing national forestry policy discussions/ Key achievements under this work include: (i) forest definition finalized and technically endorsed by 3rd meeting of the methodological Task Force, by the National Technical Committee in December 2015, and endorsed by the National Climate Change Advisory Committee (NCCAC, REDD+ Steering Committee) in February 2016; (ii) time-series data set for 1990; 2005, 2010 and 2015 available and undergoing accuracy assessment; (iii) emission factors available for 3 out of 4 identified forest strata; (iv) agreement on the national scale for FREL reached during the 3rd meeting of the methodological Task Force and by the National Technical Committee in December 2015 and endorsed by the NCCAC in February 2016. Development of the reference scenario has also started. The forest inventory work started in December 2015 and is expected to be completed by June 2016. Overall, Uganda made impressive progress on developing its national reference scenario, which serves, among others, as a robust basis for preparing a FIP Investment Plan.

## EXECUTION

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---

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## 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: +256 772 470 023 Email:

Website: [www.mwe.go.ug](http://www.mwe.go.ug)

## PROGRAM

### Program Specific Questions

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

Uganda's REDD+ Readiness is jointly funded through the FCPF Readiness Fund, UN-REDD Programme, Austrian Development Cooperation, and Government of Uganda. These readiness activities are closely coordinated by the same Steering Committee and driven by the National REDD+ Secretariat under a combined work plan. Donors have been fielding joint missions since June 2014 (4 joint missions to date). IUCN has been supporting readiness activities through its Pro-Poor REDD+ project, with specific focus on gender and consultation / stakeholder engagement, in close coordination with the REDD+ Secretariat.

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

Project is being implemented as originally designed.

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

The capacity within the National REDD+ Secretariat has improved, and the team actively supports the project implementation. With REDD+ readiness advancing, capacity of the National REDD+ Secretariat on safeguards management needs to be strengthened. Procurement capacity, which had constituted a significant constraint in the early stages of implementation, has improved with assignment of a dedicated procurement officer to the

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grant-financed activities. The resident FAO Technical Advisor is providing key support. The Bank Task team is providing on time quality technical, project management, and procurement support.

#### 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?

The SESA work is being led by an experienced nationally based consultant team with good understanding and experience on safeguards issues in Uganda. The National REDD+ Secretariat is coordinating with stakeholders and consultant team. The consultative processes for SESA and REDD Strategy will be closely linked and coordinated.

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

Preparation of the Environmental and Social Management Framework (ESMF) will be combined with the SESA consultancy.

#### 6. Describe progress in stakeholder consultation, participation and disclosure related to this Grant.

Stakeholder consultations are a fundamental and central element of implementing this grant and are integrated with the key activities and consultancies. Key stakeholder consultations are taking place.

## 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
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	1,738,452.62	159,121.62
07/01/2016	12/31/2016	0.00	0.00	0.00	0.00
01/01/2017	06/30/2017	0.00	0.00	0.00	0.00
07/01/2017	12/31/2017	0.00	0.00	0.00	0.00

Approved by:

Magdolna Lovei, Practice Manager, GENDR, 02/25/2016