

Government of Uganda



Ministry of Education and Sports

**INDIGENOUS PEOPLES PLANNING/POLICY FRAMEWORK
(IPPF) FOR THE GLOBAL PARTNERSHIP FOR EDUCATION
(GPE) PROJECT**

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ABBREVIATIONS AND ACRONYMS

BMRS	Basic Minimum Requirements Standards
CMU	Construction Management Unit
CSOs	Civil Society Organizations
DLIs	Disbursement-Linked Indicators
ECD	Early Childhood Development
ECE	Early Childhood Education
ESSP	Education Sector Strategy Plan
EGR	Early Grade Reading
GoU	Government of Uganda
GPE	Global Partnership for Education
IPs	Indigenous Peoples
IPP	Indigenous Peoples Plan
IPPF	Indigenous Peoples Policy Framework
M&E	Monitoring and Evaluation
MGD	Millennium Development Goals
MoES	Ministry Of Education and Sports
NER	Net Enrollment Ratio
NGO's	Non-Government organization
PAD	Project Appraisal Document
PDO	Project Development Objective
POM	Project Operations Manual
PS	Primary School
PTA	Parents Teachers' Association
PTCs	Primary Teachers' Colleges
SA	Social Assessment
SMC	School Management Committee
TOR	Terms of Reference
UPE	Universal Primary Education

A. COUNTRY AND PROJECT BACKGROUND

1. Uganda has one of the youngest populations in the world (53% under the age of 15 years) due to a relatively high population growth rate (3.2%). Around 80% of the population is rural, making Uganda the second most rural economy in Africa. Poverty in Uganda has declined over the last 20 years. The country is struggling to reach the millennium development goals, with approximately attaining 2 out of 8 MGDs by 2015. In addition, Uganda has a record of impressive growth, prudent macroeconomic management and structural reform; however this has recently come under test. Since 2009, growth has remained below historical trends as domestic and exogenous shocks weighed economic activity down. Despite an expansionary fiscal policy, economic activity in 2011/12 slowed down to about 3.5%.

2. However, to sustain this high growth and attained poverty reduction, Uganda faces numerous challenges including a renewed attention to education. Uganda needs to address infrastructure bottlenecks, increase agricultural productivity and value addition, reintegrate Northern Uganda, manage urbanization and strengthen its human capital base. Renewed attention to education is particularly important in light of the considerable gains from human capital on labor market income, youth employment, reduced fertility, urbanization and for ensuring a positive and substantial demographic dividend in the decades to come.

3. Against this background, Uganda has made great progress in expanding access to education. The introduction of universal primary education (UPE) in 1997 led to significant gains in enrollments with a statistical information indicating a Net Enrollment Ratio (NER) at 83.2% with parity between boys and girls. Full gender parity in primary enrollment has been achieved. However, completion at class 7 measured against enrollment is still very low. Primary completion rates for Uganda measured by the international definition were at 55% in 2011, down from 58% in 2008. The national measurement for completing primary education – cohort survival to end of primary grade 7- showed a grimmer picture of only 33% that was previously thought to be within reach. In addition, UPE has resulted in very low quality of education despite the initial high enrollment gained.

4. The World Bank is in the process of providing a Global Partnership for Education (GPE) Grant to the GoU in support of a project entitled the “Uganda Global Partnership for Education (GPE)” that will be implemented by the MoES in priority primary schools selected based on the Basic Minimum Requirements Standards (BMRS) and, related institutions, particularly the Primary Teachers Colleges (PTCs) that are charged with the responsibility to train primary school teachers across the country. The objectives of the project are threefold:

- To develop and propagate the standards for ECE to contribute to school readiness
- To improve teacher effectiveness in primary education
- To strengthen school management for primary education

The above objectives of the Uganda GPE project are expected to be achieved through the implementation of 3 components namely;

B PROJECT DEVELOPMENT OBJECTIVE(S) PDO

5. **The proposed Project Development Objective is to support the Government in improving critical aspects of teacher and school effectiveness in the public primary education system.**

The critical aspects of effectiveness to be improved are:

- For teachers: pedagogical approach for early reading and numeracy, availability of instructional material for teaching, and presence in school.
- For schools: improved school accountability and facilities.

C PROJECT COMPONENTS

6. **Component 1: Effective TeachersUS\$40 million:** Under the project, teacher effectiveness is expected to be promoted directly through a coherent and coordinated mix of initiatives related to:

Teacher competency

- (a) Enhancing effectiveness of early grade literacy instruction through provision of training to in-service teachers and ECE instructors. The early grade instruction will support local language instruction in primary grade 1-3. It will be implemented in 30 districts selected based upon language readiness for use as medium of instruction.

Teacher resources

- (b) Provision of instructional materials, including teacher reference materials, on the new primary curriculum.

Teacher motivation and accountability

- (c) Strengthening the design and implementation of an ongoing merit-based promotion scheme for teachers.
- (d) Strengthening the system of teacher and school supervision through scaling up inspections and establishing a system for real-time filling of inspection reports and dissemination to key stakeholders. This will be implemented in the targeted 69 districts where less than half of the students meet the expected learning outcomes.

7. **Component 2: Effective SchoolsUS\$50 million:** The above initiatives are designed to directly improve teacher performance. To provide a supportive enabling environment for these changes to take root, the project will also include a direct focus on school effectiveness by:

- (a) Increasing the capacity of School leadership and accountability to the community. Head-teachers and school management committees (SMCs) will be offered training for enhancing monitoring of teacher

and student performance. This will be implemented in the targeted 69 districts where less than half of the students meet the expected learning outcomes.

- (b) Improve basic school facilities (class-rooms, functioning girls and boys toilets, and access to water) in schools without such facilities. For the school to be selected, the teachers and School Management Committee must meet reasonable minimum standards of teacher presence and SMC meetings. This support is implemented as part of the existing School Facility Grant program, which is a national program.

8. Component 3: Technical Assistance US\$10 million: This component will finance advisory, technical, and capacity-building, including:

- (a) Evaluation, review and dissemination of the education sector Early Childhood Development policy and operational standards (including associated capacity building and awareness raising activities).
- (b) Technical assistance and Capacity building, including for project implementation, monitoring and evaluation, communication, and for preparing the Education Sector Strategy Plan (ESSP) for the next cycle.

D INDIGENOUS PEOPLES PLANNING FRAMEWORK (IPPF)

Objective of IPPF

9. The objective of this Indigenous Peoples Planning Framework (IPPF) is to clarify the principles, procedures and organizational arrangements to be applied to indigenous peoples (IP) for the GPE project. The IPPF serves as a guideline to the MoES Planning Unit, Local Governments (District) IPPF committees, participating Schools and communities to:

- a. Enable them to prepare an Indigenous Peoples Plan (IPP) for schools in accordance with the Bank's Safeguard Policies.
- b. Enable IPs to benefit equally from the project by providing improved quality education in the selected public primary.

Applicable Policies and Potential Impacts

10. The GPE project is to cover the whole country, including districts inhabited the Indigenous Peoples of Uganda (the Ik and Batwa). The project activities are expected to involve and affect IPs, thereby triggering the World Bank Safeguard Policy on Indigenous Peoples (OP/BP 4.10). School going children in the proposed priority Schools in these Districts will benefit from culturally appropriate and improved education services at the school and classroom level.

11. **Component 1.** Aims to produce effective teachers through teacher competency, teacher resources and teacher motivation and accountability, this will require training of teachers in early grade instruction in local language instruction in primary grade 1-3; this will positively impact the IP children attending the schools who will learn and study in both the local and English language.

12. **Component 2.** This is designed to directly improve teacher performance by increasing the capacity of school leadership and accountability to the community through training of Head teachers and

School Management Committees. Batwa and Ik parents will become members of the SMC in their respective schools; and as members of SMCs will gain from the training and guidance on their roles with respect to SRCs, transparency and accountability. In sub-component 2(b) school facilities (class-rooms, functioning girls and boys toilets, and access to water) will be provided to selected schools. These activities will involve civil works with a potential to cause displacement of land uses, triggering the World Bank policy on Involuntary Resettlement (OP/BP 4.12). The project will not undertake civil works at completely new school sites; however, should there be some land take or restrictions of access to resources or livelihoods, the affected IP communities will be consulted and included in the decision making process of locating schools and/or other facilities prior to the implementation of project and reflected in the IPP.

Key Principles

13. The following principles will guide the preparation and implementation of activities, in relation to IP:
- a. Design training and related activities in a manner to ensure that the IP receive social and economic benefits that are culturally appropriate and gender inclusive.
 - b. Affirmative action in relation to the IPs should be used during the selection of schools to benefit from the GPE projects given the limited number of schools per component activity.
 - c. Engage in a process of free, prior, and informed consultation with the affected IP, including inputs to the curriculum .

Definition of IP

14. The definition of IP used in this framework in a generic sense refers to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees:
- a. Self-identification as members of a distinct indigenous cultural group and recognition of this identify by others
 - b. Collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories
 - c. Customary cultural, economic, social or political institutions that are spate form those of the dominant society and cultures.
 - d. An indigenous language, often different from the official language of the country or region.
15. For this framework, the World Bank criterion to identify indigenous peoples from the 65 ethnic groups in Uganda has been adapted. There are a number of groups in Uganda that have been identified as satisfying the Work Bank's policy for the identification of indigenous peoples. These include the Batwa, Benet, and Karamajong (Ik). These people have historically suffered, and continue to suffer disempowerment and discrimination on economic, social and cultural grounds.
16. Their livelihood is threatened mainly by the dwindling access they have to land and natural resources on which they depend either as pastoralists or as hunt-gatherers. It will be demonstrated, however, that although the law in Uganda does not expressly recognize Indigenous Peoples, it makes provision for addressing some of the negative effects arising from ethnic vulnerability and imbalances. The Constitution, in the section on National Objectives and Directive Principles of State Policy, provides

that every effort shall be made to integrate all peoples while at the same time recognizing the existence of, amongst others, their ethnic, religious and cultural diversity. In this regard, the Constitution requires that everything necessary be done to promote a culture of co-operation, understanding, appreciation, tolerance and respect for each other's customs, traditions and beliefs.

17. The Constitution of Uganda even makes provision for the adoption of affirmative action in favor of marginalized groups in order to address historical imbalances. The National Objectives also make provision for the fair representation of marginalized groups on all constitutional and other bodies. These provisions have direct relevance to Indigenous Peoples and could be used to compel government to undertake special measures to address the needs of these peoples.

18. To ascertain if IPs are in the project areas, Ministry of Education and Sports (MoES) has undertaken a social assessment in the districts of Kaabong and Kunungu. The findings and recommendations of the social assessment are described in a separate Social Assessment.

Key Elements of the IPPF

19. The key elements of the IPPF, which include activities that lead to the development of the Indigenous Peoples Plan (IPP), as well as follow on activities that include implementation and monitoring of the IPP, are listed below, followed by detailed discussion on each of these elements:

a. Social Assessment

- i. Based on the above definition (refer to paragraph 14), other IP groups may be identified in the proposed project districts for the GPE. Even if the social assessment has already identified the Ik in Kaabong and Batwa in Kunungu, the definition of IP in Uganda refers to others tribes too, like the Benet and the entire Karamojong community given their vulnerability (see IP background information annex 1). During project implementation there is the possibility that IP communities from groups that are not identified in the assessment report compiled in Annex 1 may be encountered in districts where the project is operating.
- ii. The MoES will therefore undertake a supplemental social assessment to identify any other IP group appropriately and evaluate the project activities' potential impacts on these IPs. The social assessment will also include the identification and evaluation, based on free, prior, and informed consultation with the affected IP communities, of measures necessary to ensure that the IP receive culturally appropriate benefits from the activities under the project.
- iii. To carry out the social assessment, the MoES will engage the services of an IP/Social Development specialist, whose qualifications, experience, and terms of reference are acceptable to the MoES and approved by the Bank. The TOR of the IP/Social Development specialist will include, among others, identifying IP communities within the project Districts.

b. Consultation and Participation

The PCU has to ensure that where the proposed project affects IP, it engages in free, prior, and informed consultation with them. To ensure such consultation, the MoES:

- Establishes an appropriate gender and inter-generationally inclusive framework that provides opportunities for consultation at each stage of training preparation and

implementation among the MoES, the affected IP communities, the IP organizations if any, and other local CSOs identified by the affected IP communities.

- Uses consultation methods appropriate to the social and cultural values of the affected IP communities and their local conditions and, in designing these methods, gives special attention to the concerns of indigenous women, youth and children and their access to opportunities and benefits under GPE project.
- Provides the affected IP communities with all relevant information about the project, including the potential adverse impacts, if any, in a culturally appropriate manner at each stage of subproject preparation and implementation.

c. Public Awareness

The project will support a public awareness and where appropriate include media campaign to ensure that stakeholders and beneficiaries are aware of their rights and responsibilities under the project, especially the targeted beneficiaries such as IPs, women and children.

The objective of Sub-component 2(b) is to enhance the effectiveness of SMCs through training and awareness programs targeted at SMCs on: (i) planning for school development, (ii) preparing and managing budgets, (iii) monitoring teacher and pupil performance, (iv) school report cards (see below) and (iv) for targeted schools, basic technical training for carrying out supervision of construction activities under school facilities grants (see below). This activity will also include phasing in of an ICT-based capacity development program (SMSs), coupled with regular provision of relevant written materials. The public awareness will be based on the social assessment which identifies the best media and message format to reach IP communities; the Public Awareness campaign will extend the mediums used for social marketing to include print media, radio and signage and introduce more targeted interventions by engaging Non-Government Organizations providing pre-primary & primary schools and non-formal education to IP communities. The terms of reference for the consultant designing and conducting the Public Awareness will be agreed with the Bank and will include in the scope of services the specific task of ensuring that the GPE project message reaches IP.

Consultation with the Ik community: Public consultations were undertaken with the Ik community to get their views on the proposed GPE project and their priorities. The community was appreciative of government's efforts to consider bringing the GPE project in their area and above all to be recognized and consulted for the first time on their issues and concerns. They also appreciated the proposal to promote ECD centres for their younger children and, where possible, to have their children taught in the Iche'tod so that they can learn better. The Ik community members believe that if the GPE project improved the standard of schools in their community, they would be relieved of having to travel far looking for quality education for their children. They therefore requested that better schools such as what they see in other sub-counties should be provided. Their priorities proposed for the GPE project to consider included the need for:

- Schools that offer both day and boarding sections; quality classrooms which are well equipped with furniture; enough staff houses for their teachers; separate boarding accommodation for girls and boys to avoid the two sexes sharing one room; proper bathing shelters (bathrooms) which are separate for girls and boys; lighting system for the schools; separate latrines for pupils and teachers, including separating the genders; piped water powered by solar in the school; a school administration block; a library for storing books and for learners revisions; computer rooms with computers; provision of co-curricular activities; motivation of teachers; teaching their children in the Ik language for the thematic curriculum was suggested and finally they would like proper fencing of their school for security.

- The SMC/PTA to be trained so that they can perform better. They should be trained on their roles and responsibilities; project monitoring and supervision as the contractors normally do shoddy work because the SMC do not know the right cement mixture and are not empowered. They also requested for incentives to motivate them.

The Ik community also outlined the key reasons for their reluctance to send their daughters to school as cultural beliefs that the girl child is meant to be at home to perform domestic chores; early marriages; the negative attitude of parents towards education thus neglect supporting their children; high illiteracy rates especially among the women are not interested to educating their daughters to school since they are not educated themselves and; poverty which prevents them from providing basic school requirements.

It was clear from the Ik community consultations that they are for education in spite of the cultural and marginalization challenges, which is in line with the district education department's position that if the project is to move forward, there is need to invest in education in a manner that appreciates its good cultural practices and gets rid of the bad ones.

Consultations with the Ik community on the proposed GPE project revealed that there would be no adverse impacts on them. They were pleased that there is a possibility of having ECE centres in their community which might encourage their children to start going to school from an early age and make them more intelligent and ready for primary education. This might increase enrolment in primary schools and reduce on drop outs because the learners were well prepared. However as findings indicate, it is important for the GPE project to consider the ability of the Ik community to make a contribution towards any ECE centres that may be established in their community.

Consultation with the Batwa community: Public consultations were held with a broad segment of community members, including the Batwa, who were a minority. Having attentively listened to the GPE objectives and its various components including the proposed activities to be implemented, participants overwhelmingly welcomed the proposed Uganda GPE project in their communities and pledged their full support during its implementation.

The communities said that education of their children is very important and therefore unanimously agreed that the development of their schools to provide better education as per the proposed GPE activities was their highest priority. They reported that they wanted their children to learn in a good environment and be taught by teachers who are motivated and skilled on how to instruct learners. Asked why some of the Batwa children are not in school, the Batwa explained that, by the time they were displaced from the forest and came to the settlements, some of their children were far beyond school going age while others are involved in hunting and fishing and the rest are still young. However, they said that to improve learners' performance and ensure that primary school completion rate for both sexes improve, the following should be considered in addition to the proposed GPE activities:

- ECE centres should be as close as possible to the communities given the tender age of children for ECE as they should not be walking long distances which may discourage many of them from attending.
- The project must consider the provision of water and sanitation as the communities highlighted it as a priority in improving the environment at both schools. The only latrines at the two schools were constructed for girls but are shared with boys and teachers. There should be separate latrines for each category and provide hand washing facilities too.

- Enough teachers' houses should be provided.
- Girls should receive sanitary towels in order to keep more girls in school so that they complete primary school.
- Various vulnerable children in the community should be given some special attention if their access is to be improved so that they can equally participate in primary education. The support should be in form of provision of uniforms, scholastic materials and meals.
- The project should consider the provision of solar power to improve academic performance.
- The buildings to be constructed should be fitted with gadgets that protect them against lightening/thunder
- The Batwa thanked the government for the GPE project but expressed the challenge they face - of their children escaping from school due to lack of food or without any sound reason. They thus suggested a boarding school for them with a fence, gate, watch man and tight security so that they can be strictly controlled inside and no child would escape. On engaging them on their request of a boarding school – whether it would solve the problem or if there was a root cause of the problem that needs to be dealt with first before forcing them into a 'strict' boarding system, they replied they were adamant about it and said that at least the young ones will not escape if trained to remain inside and the older ones will get used to staying at the school. The Batwa expect government to meet all the costs involved in educating their children.
- The Batwa went further to express their views that they want a modern school with *“very good constructed classrooms, with glittering windows, doors and a cemented floor, a well-furnished school, nice buildings with good teachers so that their children are attracted to schooling”*. In addition, they requested full government support such as providing lunch, school uniforms and scholastic materials for their children because they are unable to provide these given that they lack land on which to cultivate food and do not own any assets.
- The Batwa rejected the thematic curriculum and requested in very strong terms that their children be taught strictly in English so that they are able to speak English fluently from an early age, and their parents can also learn from them. They said that they have been marginalized for a long time and if their children are able to speak English, they might be recognized as equal human beings in the long-run. It was explained to them the reasons for the introduction of the thematic curriculum and they were asked if they still would rather speak English fluently and ignore the importance of learning using the language of instruction that learners understand best in lower classes. Their response was that being recognized by other communities is more important to them at the moment.
- The Batwa at Nyamirama II PS requested Functional Adult Literacy (FAL) because they lack such services in their area and yet, for them to participate in any development, they need to know how to read and write. They said that they have lagged behind because they are not educated and nobody listens to them because they are all illiterate.
- The Batwa are concerned about their future, having been displaced from the forest. They said that their leaders do not listen to them because they are illiterate and therefore do not participate in any developments in their community. They said that even their leaders (Chairmen) do not follow what is going on due to ignorance and illiteracy, and therefore are not very helpful to their communities.

d. Development of an IPP

Aside from the IPPF, which would serve as guidelines for the development of an IPP, the PCU will also prepare an “umbrella” and generic IPP that would be suitable for Uganda in general. Furthermore, the PCU will also provide an IPP template to be used by the districts inhabited by IPs to develop district specific IPPs. The PCU’s IPP will have to be reviewed by the Bank for compliance with OP 4.10.

MoES will disseminate the IPPF and the IPP template to prospective participating Districts (Schools) and engage a consultant to provide appropriate training on the IPPF and how to develop an IPP. Districts(Schools) participating in GPE project will then develop District specific IPPs, tailored to the IP groups in their respective area and based on the respective social assessment, referring to the IPPF as guidelines and using the IPP template. The MoES will guide Districts in developing the IPPs and review them before submitting them to the Bank. Upon the Bank’s approval, the Districts will then need to integrate the IPP provisions into the training and other relevant elements of the project.

An IPP is prepared in a flexible and pragmatic manner, and its level of detail varies depending on the specific activities, the nature of effects to be addressed and the characteristics of specific IP groups. However, an IPP needs to include the following elements, as needed:

- A summary of the social assessment;
- A summary of results of free, prior, and informed consultation with the affected Indigenous Peoples’ communities that was carried out during training preparation and that led to broad community support for the training approach;
- A framework for ensuring free, prior, and informed consultation with the affected Indigenous Peoples’ communities during project implementation;
- An action plan of measures to ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate, including, if necessary, measures to enhance the capacity of the implementing agencies;
- The cost estimates and financing plan for the IPP;
- Mechanisms and benchmarks appropriate to the project for monitoring, evaluating, and reporting on the implementation of the IPP. The monitoring and evaluation mechanisms should include arrangements for the free, prior, and informed consultation with the affected IP communities.

20. The matrix below summarizes the likely project interactions with IP groups under each component of GPE and need to be taken into consideration when to developing the IPP:

Project Components & Sub-Component		Possible Project Interactions with Indigenous Peoples
Component 1: Effective Teachers		
1.1	<p><i>Improving teacher competencies:</i></p> <p>The project will provide in-service teacher training to enhance teacher competencies and effectiveness of early grade literacy instruction through provision of training to in-service teachers and ECE instructors; and will also support local language instruction in primary grades 1-3.</p>	<p>The major point of interaction will be during the class room instruction where the IP children will benefit from being taught by more effective, motivated and present teachers as well as improved teaching-learning inputs. IP children will get an opportunity of learning an area local language which will be used for instruction in primary 1-3.</p> <p>In-service training of teachers is an added advantage of making sure teachers are competent to deliver education services in schools thus indirectly</p>

		benefiting the IP children in school.
1.2	<i>Providing equipment and instructional materials Teacher and pupil resources</i> The project will provide instructional materials, including teacher reference materials, on the new primary curriculum.	The direct point of interaction will be IP children using the reference materials provided in schools and also through the instructional materials used by the teachers. This will result in early learners getting a good foundation leading to improved standards of learning for the IP children.
1.3	<i>Rewarding teachers for good performance</i> The project will enhance teacher motivation by supporting the implementation of an ongoing merit-based promotion scheme that rewards high-performing teachers.	The interaction with the IP pupils is direct through improved classroom instruction resulting from motivated teachers.
1.4	<i>Enhancing Teacher Supervision</i> The project will strengthen the system of teacher and school supervision through scaling up inspections and establishing a system for real-time filling of inspection reports and dissemination to key stakeholders. This will be used as an instrument for teacher supervision and accountability.	An indirect positive effect as school and teacher supervision will lead to teacher availability in schools and holding of SMCs more accountable for results, hence improved quality of education.
Component 2: Effective Schools		
2.1	<i>Enhancing school leadership, management, and accountability</i> The project will provide training to Head-teachers and members of school management committees to increase their capacity of school leadership and accountability to the community. They will also be trained in enhancing monitoring of teacher and student performance.	Direct interactions with IP parents who will happen to be members of the school management committees. These will positively benefit in the trainings for enhanced monitoring of teachers and student performance. The IP students will benefit directly from good school leadership, and effective SMCs
2.2	<i>Providing needs-based performance linked school grants for basic school facilities</i> The project will provide improvement of basic school facilities (class-rooms, functioning girls and boys toilets, and access to water) in schools without such facilities. For the school to be selected, the teachers and School Management Committee must meet reasonable minimum standards of teacher presence and SMC meetings.	A direct positive effect through better learning environments for the IP children who go to the selected schools. This was reported by IPs parents that they would wish their children to go good schools that foster quality learning and retention to completion of school. A direct negative effect for the IP community during the building process which may require additional land. The IPs being marginalized may not be consulted in case their land and rights are impacted by the project activities.
Component 3: Implementation Support and Capacity Building		
3.1	The project will finance advisory, technical, and	An indirect positive effect as the ECD policy will

	capacity-building, including evaluation, review and dissemination of the education sector Early Childhood Education (ECE) policy and operational standards (including associated capacity building and awareness raising activities).	take into account issues of the Indigenous Peoples and should be included in the capacity building and awareness raising activities.
3.2	The project will fund technical assistance and capacity building, including for project implementation, monitoring and evaluation, communication, and for preparing the ESSP for the next cycle.	Indirect positive effect if during the preparation of the next cycle of Education Sector Strategic Plan, issues of social safeguards particularly Indigenous Peoples are considered for integration in the plan.

1. Implementation and Institutional Arrangements

21 *Capacity building for safeguards designate officer at The Ministry of Education and Sports* Ministry of Education and Sports will build capacity and provide necessary training to a designated staff to handle safeguard issues particularly Indigenous People. The current implementation arrangement has assigned a MoES staff (An Engineer) in the Construction Management Unit (CMU) to oversee the implementation of safeguard aspects including the Indigenous Peoples. It is recommended that this activity be assigned and vulnerability to either an Environment or Gender Officer in the Ministry whose capacity in handling safeguard aspects is enhanced through training or working closely with a Social Development Consultant. These staff will then train the Local Government Social Services Committee Members staff comprising: District Education Officer, District Inspector of schools, District Environment Officers, District Engineers and District Community Development Officers of the respective districts where IPs are found. These officials' capacity will be enhanced in specifically undertaking social screening and will participate in the development of the District specific IPPs, including reporting. At the District Level, the District Community Development Officer will be tasked with the role of implementation of the IPP and will be expected to submit progress reports to the designated officer at the MOES in charge of Safeguard aspects who will then report to the Department of Education Planning. The short-term consultant recruited to provide this technical assistance will be located at MoES and report directly to the Project Coordinator.

22. *Develop screening procedures and criteria for selecting Schools.* At the MoES the Department of Education Planning will develop screening procedures for selection of Districts and subsequently schools that are to benefit from different components of the GPE project. Specific consideration should be taken to include those schools particularly attended by the IP children. Some GPE project Components are targeting specific numbers of schools in the selected Districts for example; Component 1: Teacher Competency will be implemented in 30 Districts, Rewarding Teachers for good performance is targeting 20 Districts and enhancing of teacher supervision will be implemented in 55 Districts. The performance management criteria to be used in the selection of beneficiary schools will embrace a pro-vulnerable/IP focus as an affirmative action for IPs to benefit from the GPE project since this is also provided for in the Constitution of Uganda.

23. *Provide additional resources towards awareness raising for remote areas and IP.* Districts inhabited by Indigenous Peoples i.e. Kaabong and Kanungu are found at the extreme most end of the

country. These places are remote and difficult to reach especially Kamion in Kaabong District. Special consideration in terms activities to promote quality education through a rights-based approach, which ensures that all stakeholder are aware of their rights and responsibilities will be provided as appropriate. In addition, technical assistance will be provided during the development and implementation of the IPP which require technical capacity and intensive monitoring to ensure compliance with World Bank policy OP 4.10 on IP. The project may consider providing full packages of the activities in the respective components in schools involving IPs.

24. *Recommendation to enhance IP participation and benefit sharing in local education:*

Consultations with the Ik and Batwa have resulted in the following recommended approaches for the project:

- Train teachers and school administrators to be culturally sensitive to the IPs;
- Ensure GPE project activities that aim at benefiting the Batwa use an integrative approach whereby they are integrated into the wider community, such as mobilizing them to attend UPE schools and creating an enabling environment for them to participate and benefit. Only areas that require affirmative action must it be specific and targeted to them. Unlike the Batwa who are in settlements scattered in the wider communities, the Ik live in a sub county of their own;
- Although the Ik cannot have instructional materials for the thematic curriculum in their language at the moment due to lack of an orthography; it is recommended that in order to address issue regarding the implementation of the thematic curriculum in Ik schools, the project should sponsor O' and A' level Ik leavers who meet the minimum qualifications for PTCs so that they are able to teach the thematic curriculum. They would still use instructional materials in Karamojong, but would be able to effectively translate them in the Ik language for the learners who do not understand Karimojong.
- Undertake rigorous mobilization and sensitization of the Ik and Batwa, particularly at the beginning of every school term so that they can effectively participate and benefit from the GPE project. This could be done through radio, church, BDP and the use of their community structures should be critical in the mobilization and sensitization efforts. Furthermore, the Ik and Batwa also need to be provided with a 'comfortable' environment or something that can attract them to schools, such as assured meals and certain items that identify them and make them feel special and recognized e.g. school bags; and,
- The SMC should serve as some kind of 'middlemen'¹ in respect to the mobilization and sensitization of the Batwa so that they can send their children to school. This should gradually enable Batwa parents to take responsibility for educating their children.

¹ Middlemen was a term used by the community to refer to sponsors, individuals or development agencies that are supporting the Batwa children to access education by taking them to schools of the middlemen's choice and meeting all the costs and school requirements.

24. The specific roles and responsibilities of institutions involved for IP management under LSE3 are as presented in the following matrix of responsibilities:

Institution	Responsibilities
<p>The Ministry of Education and Sports through the Department of Education Planning which will coordinate GPE project in its capacity as the Project Coordination Unit (PCU)</p>	<ul style="list-style-type: none"> • Develop IPPF and incorporate it in the Project Operations Manual (POM) to serve as guidelines • Re-assessment of Districts and schools in the specific Regions to ensure inclusion of IP inhabited districts and schools in the GPE project area. • Designate a focal point staff at MoES to coordinate all safeguard aspects including Indigenous peoples, • Hire a short-term Social Development Consultant to provide technical assistance on development and implementation of the IPP, • Build capacity of the Local Government team in selected districts inhabited by IPs to enhance their monitoring skills of IP issues • Monitor the implementation of IPPs by the District Community Development Officer
<p>The Local Government Education Group including the Development Partner and Civil Society Organization in the Districts in their capacity as an advisory and coordinating group as per the GPE institutional arrangements.</p>	<ul style="list-style-type: none"> • Disseminate guidelines and templates developed by MoES/Department of Education Planning • Participate in the social screening to confirm presence of IP communities/schools in the district and children in the selected schools • Participate in the monitoring of mitigation measures intended to involve participation of the IP communities in education issues • Monitor the implementation of the IPP
<p>District Community Development Officers in their capacity as the implementers of the IPP at district level.</p>	<ul style="list-style-type: none"> • Participate in the social screening exercise • Participate in the development and implementation of the IPP • Create awareness through sensitization of the wider community on issues of IP • Ensure fair representation of IP parents in the school management committees through affirmative action. • Provide IP related reports to the Department of Education Planning.
<p>The World Bank</p>	<ul style="list-style-type: none"> • Review and approve the IPPF developed by MoES • Review and approve District specific' IPPs • Monitor and supervise the implementation of IPPs

Monitoring and Evaluation

25. Monitoring and evaluation (M&E) are fundamental components of projects involving affected individuals, households and communities. Monitoring should be participatory and include the monitoring of beneficial and adverse impacts on Indigenous peoples within project impact areas. M&E should be based on free, prior and informed consultation with the IP who should play an integral role in its implementation. All monitoring activities are ultimately the responsibility of the MoES. Implementing departments/districts/agencies will be responsible for compiling the data and auditing for completeness of the records, and they will be responsible for providing compiled information to the M&E Unit of MoES.

The overall goal of the M&E process for the Indigenous Peoples plan is to:

- Ensure effective communication and consultation takes place;
- Report any grievances that require resolution;
- Document the performance of GPE program as regards the Indigenous Peoples; and
- Allow project implementing staff and participants to evaluate whether the Indigenous Peoples have maintained their rights, culture and dignity and that they are not worse off than they were before the project.

The monitoring and evaluation of the implementation of IPPF will be an integral part of the results framework of the GPE project.

- Enumerators from the M&E Unit of MoES using an objective classroom observation tool and making unannounced visits to targeted schools to evaluate percentage of teachers who show improvement in pedagogical approach. This will help ascertain if the IP children are benefiting from the GPE project.
- The monitoring and reporting of IP aspects will be integrated in Management Information System of the M&E Unit of MoES for the GPE project which will be linked to the Disbursement Linked Indicators (DLIs) – (ref. to the Project Appraisal Document (PAD)).
- Through direct field monitoring reports by MoES and the districts during project implementation.
- The proposed impact evaluations of the IPPF implementation will be incorporated in periodic joint MoES and World Bank Supervisory and Implementation Mission. (mid-term and project completion evaluations)

Grievance Mechanism

Prior to approval of any resettlement plans for the different investment GPE program, individuals and households already associated with the conception, design and location of the program activities would have been in a position to express their dissatisfactions or grievances to the appropriate LG structures and attempt to resolve these in an amicable manner using traditional and customary avenues of conflict resolution. In pursuit of this same approach grievances could be addressed through the various tiers of local government authority, and District Education Officers.

In case of resettlement issues, at the time that the individual resettlement and compensation plans are approved and individual compensation contracts are signed, affected individuals would have been informed of the process for expressing dissatisfaction and to seek redress.

The grievance procedure will be simple, administered as far as possible at the local level to facilitate access, flexible and open to various proofs taking into cognizance of the fact that most people are illiterate and poor requiring a speedy, just and fair resolution of their grievances. Therefore, taking these concerns into account, all grievances concerning non-fulfillment of contracts, levels of compensation, or seizure of assets without compensation will be addressed to the existing local courts system of administration of justice in the Districts and this will be addressed to MoES headquarters. The MoES will ensure that grievance address mechanisms are developed in culturally appropriate ways in close collaboration with the relevant group. The IP/Special Development consultant will act as grievance mechanism of last resort, and will monitor occurrence and proper handling of grievances.

All attempts would be made to settle grievances. Those seeking redress and wishing to state grievances would do so by notifying their village chief and the District Education Officer (DEO) and BoG. The DEO

will consult with the MoES, CAO, parish and village chiefs and BoG and other records to determine claims validity. If valid, the village chief and School Board Committee will notify the complainant and s/he will be settled.

If the complainants claim is rejected, then the matter will be brought before the District Land Tribunals and/or the local courts for settlement. If the matter cannot be settled by the local courts and/or the District Land Tribunals, the matter will go the High Court for resolution. The High Court of Uganda will be the highest appellate “judge” in this system. The decision of the High Court would be final and all such decisions will be reached within a full growing season after the complaint is lodged.

If a complaint pattern emerges, the BOGs, the local governments, MoES, parish and village leaders will discuss possible remediation. The local leaders will be required to give advice concerning the need for revisions to procedures. Once the MoES, local governments, parish and village leaders agree on necessary and appropriate changes, then a written description of the changed process will be made. The MOES, local governments, parish and village leaders will be responsible for communicating any changes to the population.

In the local cultures it takes people time to decide that they are aggrieved and want to complain. Therefore, the grievance procedures will give people up to the end of the next full agricultural season after surrendering their assets to set forth their case.

Where all these avenues for redress of grievances have been exhausted without arriving at an amicable solution or consensual decision, recourse can be had with the judicial institutions in place, namely the law courts. In this regard, the Program is obliged to provide, in particular to vulnerable and disadvantaged groups the requisite assistance enabling them to present their case to such decision-making organs of government.

Institutional Capacity Building for Safeguards Management

26. MoES Department of Education Planning will engage the services of a social development consultant under terms of reference agreed by the Bank to help build capacity of a designated focal point officer within the MoES, Local Government Education Group of Districts with IPs, for safeguards management among other tasks. The specialist will be located in the Department of Education Planning (PCU) to provide technical assistance during the development of the Early Childhood Development policy and strategic planning. The specialist will work closely with the PCU and designated safeguard focal person for better safeguards management and their combined duties will include, but not be limited to:

- a. Identifying IP communities within the project areas.
- b. Ensuring that in all the selected districts with IPs, a Social Assessment is conducted as the basis for developing an appropriate IPP (Indigenous Peoples Plan), and that the IPP is agreed with the Bank in each instance where an indigenous community is encountered.
- c. Ensuring that the details of the plan in point (b) above are disseminated in the indigenous community, the surrounding local community and routinely updated centrally on the project website.
- d. Conducting and participating in training in matters related to the identification, communication and provision of services to indigenous peoples.

- e. Ensure that IP communities are appropriately represented in discussions at an early stage in the project, (for example by local village council, and school management Committees).
 - f. Ensure that appropriate media are used to communicate with IP communities.
 - g. In ensuring the appropriate use of media will also include the translation of project materials, such as brochures and guidelines, into the local language or dialect of the indigenous group(s).
 - h. Ensure that involvement of the indigenous community provides for the culturally appropriate inclusion of community members regardless of gender or age.
27. The MoES/Department of Education Planning with support from the short-term Social Development Consultant would be in charge of developing and updating the project document to reflect the standard operating procedures for dealing with IP. This working arrangement will allow the staff at the Districts to build their capacity in developing approaches that would ensure the inclusion of IP groups in mainstream government programs (currently running and future projects), not just limited to GPE.
28. The on-the-job training conducted by the social safeguards specialist for both the PCU and Local Government Team in matters related to the identification, communication and provision of services to indigenous peoples will serve as a sustainable approach for capacity building of these institutions, in managing social safeguards.

Disclosure

29. Before finalizing an IPP a draft should be disclosed together with the social assessment report (or its key findings) in a culturally appropriate manner to the Indigenous Peoples affected by the project. Language is critical and the IPP should be disseminated in the local language or in other forms easily understandable to affected communities – oral communication methods are often needed to communicate the proposed plans to affected communities.
30. After The World Bank has reviewed and approved the IPP as part of the overall proposed project for funding, the implementing agency (MoES) shares the final IPP again with affected communities. The final IPP is also disclosed at The World Bank Info shop Web site.

Annex 1

Indigenous People in Uganda

The Constitution has no express protection for indigenous peoples but provides for affirmative action in favour of marginalized groups. There is no official definition of indigenous peoples, and neither are there criteria in place for their identification. The term ‘indigenous’ is used to describe the different ethnic groups that historically have resided within Uganda’s borders. The Third Schedule of the Constitution, which names the 65 ethnic groups of Uganda, is titled ‘Uganda’s Indigenous Communities as of 1st February 1926’. This understanding differs markedly from the manner in which the term has been used by international and regional organizations and by experts in the area of indigenous peoples and indigenous issues. Uganda uses aboriginality, to the exclusion of other factors, as the only method of identifying indigenous people. There are a number of groups of persons in Uganda that have been identified as satisfying the international criteria for the identification of indigenous peoples. These include the Batwa, Benet and Karamajong (IK). These people have historically suffered, and continue to suffer disempowerment and discrimination on economic, social and cultural grounds.

The Constitution, in the section on National Objectives and Directive Principles of State Policy, provides that every effort shall be made to integrate all peoples while at the same time recognizing the existence of, amongst others, their ethnic, religious and cultural diversity. In this regard, the Constitution requires that everything necessary be done to promote a culture of co-operation, understanding, appreciation, tolerance and respect for each other’s customs, traditions and beliefs. The Constitution of Uganda even makes provision for the adoption of affirmative action in favor of marginalized groups in order to address historical imbalances. The National Objectives also make provision for the fair representation of marginalized groups on all constitutional and other bodies. These provisions have direct relevance to indigenous peoples and could be used to compel government to undertake special measures to address the needs of these peoples.

Below is a brief description of the two known indigenous groups in the project area:

The Batwa

The Batwa are forest peoples spread all over the Great Lakes region and parts of Central Africa. In Uganda, the Batwa are estimated to be about 6000 people; they live in the South-western districts of Bundibugyo, Kisoro, Kanugu and Kabale. They have historically depended on the forest for hunting and fruit gathering; their methods of survival have been very rudimentary and based on nature as provided by the forest environment in which they live. They also maintain a special spiritual relationship with the forest, which they believe to be their God-given source of livelihood. In spite of this, the Batwa have witnessed changing life patterns, rearing livestock and engaging in some form of subsistence farming and such self-employment activities as making crafts to be sold in the informal market sector.

The Ik

The Ik are an indigenous people who were referred to as the “mountain people” in Colin Turnbull’s² controversial study of them. They are an agricultural people who live exclusively in the northern part of Kaabong District, in Dodoth County, Kalapata and Kathile Sub Counties.

Their communities are located on top of a remote mountain escarpment along the Kenyan border ranging from Timu Forest in the south to Kidepo National Park in the north. They are bordered to the north by the Didinga and Toposa of Sudan, to the west and south by the Dodoth (an ethnic subgroup of the Karamojong), and to the east by the Turkana of Kenya.

As a result of their location in relation to their neighbors, the Ik are incredibly vulnerable and liable to attacks from both Dodoth and Turkana warriors. They are historically a non-violent people and, as a result, they have become what one report has described as “the archetypal middlemen – unarmed, non-combative and numerically weak”.

The Ik exist in a precarious situation on the top of the escarpments and whilst their physical isolation in the mountains helps to protect them from violence at the hands of raiding warriors, it also serves to marginalize them from government services. Additionally, due to periodic drought, the Ik often face famine. The vital relief aid that has targeted the region has often not reached them.

² See **Turnbull, Colin M., 1972: *The Mountain People***. New York: Simon & Schuster.