The Republic of Uganda

Ministry of Education and Sports
Education Planning Department

# Environmental and Social Management Framework

## Uganda Global Partnership for Education Project

**Draft Report**

**August 2013**

# Acronyms

| | |
|---|---|
| BFP | Budget Framework Paper |
| BoG | Board of Governors |
| BTVET | Business, Technical, Vocational Education and Training |
| CAS | Uganda Country Assistance Strategy |
| ECE | Early Childhood Education |
| EDP: | Education Development Partners |
| EFA: | Education for All |
| EFAG | Education Funding Agencies Group |
| EIA | Environmental Impact Assessment |
| EMIS | Education Management Information System |
| EMP | Environmental Management Plan |
| ESC | Education Service Commission |
| ESIP | Education Strategic Investment Plan |
| ESMF | Environmental and Social Management Framework |
| ESR | Education Sector Review |
| ESSF | Environmental and Social Screening Form |
| ESSP | Uganda Education Sector Strategic Plan (2004/2015) |
| GDP | Gross Domestic Product |
| GoU | Government of Uganda |
| GPE | Global Partnership for Education |
| HIV/AIDS | Human Immuno Virus/ Acquired Immunity Deficiency Syndrome |
| HLG | Higher Local Governments |
| ICT | Information Communication Technology |
| IFC | International Financial Cooperation/World Bank |
| LEG | Local Education Group |
| LLG | Lower Local Governments |
| LTEF | Long Term Expenditure Framework |
| MDGs | Millennium Development Goals |
| MEMD | Ministry of Energy and Mineral Development |
| MoES | Ministry of Education & Sports |
| MoFPED | Ministry of Finance, Planning and Economic Development |
| MoLG | Ministry of Local Government |
| MTEF | Medium Term Expenditure Framework |
| MWLE | Ministry of Water and Environment |
| NEMA | National Environment Management Authority |
| NGOs | Non-Governmental Organizations |
| NTC | National Teachers College |
| PDO | Project Development Objective |
| PLE | Primary Leaving Examination |
| PPP | Public Private Partnership |
| SMC | School Management Committee |
| STR | Student Teacher Ratio |
| TDMP | Teacher Development Management Plan |
| ToR | Terms of Reference |
| UGPE | Uganda Global Partnership for Education Project |
| UNEB | Uganda National Examination Board |
| UPE | Universal Primary Education |
| UPPET | Uganda Post Primary Education & Training Program |
| WB | World Bank |
| WHO | World Health Organization |

# Contents

# List of Tables



# List of Figures

# EXECUTIVE SUMMARY

The World Bank is supporting the Government of Uganda (GOU) to implement a GPE Project starting in 2014. The proposed project's activities include components below:

**Component 1: Effective Teachers US$ 40.00 million**

Under the project, teacher effectiveness is expected to be promoted directly through a coherent and coordinated mix of initiatives related to (i) teacher competency, (ii) teacher resources, and (iii) teacher motivation and accountability. Initiatives under this component include:

***Teacher competency:***

- Enhancing effectiveness of early grade instruction through provision of training to in-service teachers and ECE instructors.

***Teacher resources:***

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

***Teacher motivation and accountability:***

- 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.

**Component 2: Effective Schools US$ 50.00 million**

The above initiatives are designed to directly improve teachers' performance. To provide a supportive enabling environment for these changes to take root, the project will also include a direct focus on school effectiveness through initiatives related to:

- 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.

- 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.

**Component 3: Technical Assistance US$ 10.00 million**

This component will finance advisory, technical, and capacity-building support in order to reach project objectives, including:

- Evaluation, review and dissemination of the education sector Early Childhood Development policy and operational standards (including associated capacity building and awareness raising activities).

- Technical assistance and Capacity building, including for project implementation, monitoring and evaluation, communication, and for preparing the ESSP for the next cycle.

In order to comply with GoU & WB's environmental requirements and to aid various stakeholders to identify and effectively manage potential environmental and social impacts of the proposed project, this Environmental and Social Management Framework (ESMF) was prepared. The ESMF is meant to ensure the provision of infrastructure under the UGPEP complies with the Ugandan Environmental Legislation and World Bank Safeguard Policies. This report outlines the mechanisms to determine and assess environmental and social impacts arising from UGPEP implementation, and sets out appropriate mitigation measures, and institutional arrangements for monitoring.

This framework is needed since specific locations of schools that will receive support (classrooms and pit latrines) under the proposed UGPEP are yet to be determined. However, the coverage of the UGPEP is countrywide benefiting public primary schools, which are about 500 in number. This is guaranteed by the existing Government policy, which requires that every sub-county should have at least one Government-aided primary school. This framework will guide in program screening and in determining the extent of required EIA once program locations and specifications are known. The report has a detailed program background, reviews the environmental legislative framework, and identifies potential social and environmental impacts and their mitigation, and an environmental and social management plan for UGPEP.

Key stakeholders who will be involved with implementation or monitoring this project are:

- Ministry of Education and Sports
- District Environment Officers
- District Education Officers
- District Engineers
- Ministry of Lands, Housing & Urban Development
- NGOs working in education sector
- Teachers associations

Typical impacts likely to ensure form project implementation are outline in table below and these may differ per school site.

Table ES1: Typical construction impacts

| | **Action** | **Impact** | **Mitigation** |
|---|---|---|---|
| 1 | Change of Landuse. | ▪ Direct Impact – On the plot of land<br>▪ Indirect Impact – On neighbouring plots.<br>▪ Cumulative Impact – On the surrounding area which will gradually change. | ▪ Restrict development to school land.<br>▪ Ensure development is permitted by local physical planning office. |
| 2 | Clearing of vegetation. | ▪ Soil erosion<br>▪ Dust emissions | ▪ Minimise vegetation clearing by restring activity to building footprint, as much as possible.<br>▪ Revegetate cleared areas as quickly as practicable.<br>▪ Ensure proper site drainage |
| 3 | Material transportation. | ▪ Accidents risk to school children.<br>▪ Road dust.<br>▪ Traffic noise at school campus. | Schedule this to be before or after school hours. |
| 4 | Building activities. | Construction noise. | Schedule noisy activities to be outside school hours. |
| 5 | Risk of falling debris to children. | Accident to children. | Fence off construction site to avoid access by children. |
| 6 | Waste management | Illegal dumping of waste in unauthorized places leading to contamination or grievances by property owners. | ▪ Ensure waste disposal is done with guidance of local environment officer's guidance and |

| | | | |
|---|---|---|---|
| | | | authorization.<br>▪ Stripped soil (overburden) should be used for site restoration/ landscaping, rather than being dumped offsite.<br>▪ Workers should not liter school campus with litter (plastic bags, water bottles, etc).<br>▪ Reusable waste (e.g. timber planks, paper bags, etc) should be given to local people if requested.<br>▪ Pit latrines should be lined with masonry brickwork to enable their emptying with a honey sucker when full. |
| 7 | Working at heights or depths | ▪ Risk of falls when workers at height (e.g. roofs) do not use safety latches.<br>▪ Risk of workers being interred by collapsing earth walls when digging pit latrines. | ▪ All workers should have appropriate safety gear<br>▪ Latrines should be safely dug on firm ground, carefully watching out for signs of possible wall failure. |
| 8 | Material acquisition | ▪ Leaving borrow sites unrestored after project completion. | ▪ Obtain material from already existing borrow sites and stone quarries. |
| 9 | Employment | ▪ Local people benefitting from construction projects | ▪ Contractors should hire atleast 5 people from the local community at anyone project. |
| 10 | Occupational safety | ▪ Workers getting buried by collapsing earth walls when digging pit latrines | ▪ Pits must never be dug in unstable soils<br>▪ All workers must have necessary safety gear |

Project implantation will also benefit from lessons from past similar projects (UPPET), outlined in Chapter 11, especially in regard to :

- Change of land use on school campus where teachers previously undertook subsistence farming
- Construction noise management
- Construction waste management and
- Management of interaction of construction workers with school students.

Capacity building will be essential for effective implementation of the ESMF. Requisite capacity enhancement for various entities is detailed in Section 9.4 and outlined below:

i) **Construction Management Unit (CMU) of MoE:**

- Engineering Assistants in CMU will be responsible for supervising construction activities at beneficiary primary schools. Each Engineering Assistant is commonly in charge of supervising school construction in several (5 or 6) districts.
- Engineering Assistants need capacity enhancement in monitoring socio-environmental impacts of building projects using checklists.

*Person (s) to be trained*:

- Section Head in charge of Engineering Assistants in Primary Education Section.
- This person is in charge of all Engineering Assistants in the Primary Education Section and can train them, passing on skills.

ii) **Monitoring & Evaluation Unit:**

Part of the Policy Analysis and Planning Unit in MoES, it should be essential that the head or other senior official in this unit acquires skills in monitoring socio-environmental impacts during project implementation based on potential impacts identified

*Person(s) to be trained*: Head of M&E Unit

iii) **School Management Committees (SMCs):**

SMCs will monitor project implementation mostly from economic and logistical angle of project progress, material consumption and financial expenditure. However they should also have basic skills to monitor socio-environmental impacts during and after project implementation.

*Person(s) to be trained*:

- Head of SMC of each beneficiary school or a member s(he) appoints.
- UGPEP support to 500 primary schools means 500 SMC members to train. This basic training can therefore be provided in 10 groups each of 50 members. Each group trained in a half-day workshop by a single District Environmental Officer. Beside hire of venues, training would entail transport refund to trainees. It is noted that the trainer (DEO) earns a government salary and probably logistical support such as transport and day allowance may suffice.

It is estimated that budget for implementing this ESMP including costs of monitoring and capacity building is USD300,000 over a 3 year period.

Main impacts associated with the project would arise from "Component 2" which entails construction works (classrooms and latrines). However considering that facilities to be constructed are of small scale with a short construction duration, no major impacts are envisaged. When they arise, impacts can be adequately managed by onsite due diligence and good construction management practices by contractors. By working with school administration to schedule impact bearing activities outside critical study times (e.g. examination times), contractors can minimise interference between school and project activities.

# 1 INTRODUCTION

## 1.1. The proposed UGPE Project

Under the Uganda Global Partnership for Education (UGPE) Project, Government of the Republic of Uganda will borrow USD100 million from the World Bank and spend it over a three year period (2014-2017) to improve critical aspects of teacher and school effectiveness in the public primary education system. The critical aspects of effectiveness to be improved are:

- ***Teachers' performance effectiveness***: presence in school, time on task, pedagogical approach for early reading and numeracy, and availability of instructional materials.
- ***Schools effectiveness***: improved school governance, greater information availability at the school and community level, and improved facilities.

The project will also entail a technical assistance component to finance advisory, technical and capacity-building support in order to achieve project objectives.

## 1.2 Background to education sector in Uganda

According to education statistics of MoES (2002-2010), MoES database contained 14,281 primary schools in 2002, and this figure had increased by 1.4 times to 20,448 by 2010. The number of schools that responded to questionnaires in the 2010 Annual School Census (ASC) was 17,865 (87.3% of all primary schools on the MoES database), and of these public schools accounted for 12,576 (102.1% of public primary schools on the database), while the remaining 5,289 were private schools (79.4% of private primary schools on the database) (MoES, 2010). Almost all public schools respond to the school census every year, and assuming that private schools account for the majority of non-responding schools (2,583 schools in 2010) (according to the hearing with the MoES Planning Department), whereas public schools accounted for 12,576 schools in 2010, the number of private schools is thought to be 7,872. Accordingly, public schools account for 61.5% of primary schools, and private schools account for almost 40% ). Viewed in terms of urban areas and rural areas, 74.7% of the primary schools that responded to the census in 2010 were located in rural areas, 13.5% were in peri-urban areas, 8.0% were in urban areas, and the remaining 3.8% were unknown. Moreover, 76.6% of the responding primary schools were already registered with MoES, 13.5% were licensed but not registered, and the remaining 9.9% were neither licensed nor registered (MoES, 2010). Table below shows key primary education indicators in Uganda.

a) **ACCESS** – The net enrolment rate of Uganda primary education improved from 85% in 2002 to 96% in 2010. The number of children attending primary education was 6,559 thousand in 2000 and this increased by 1.3 times to 8,374 thousand by 2010. There was hardly any gender gap and the net enrolment rate for girls was slightly higher than that for boys. The net intake rate for primary education was low at 70% because of the relatively small number of children entering primary education at the formal age of six years.

Table 1: Pupil school enrolment between 2000 and 2012

| Year | Gross enrolment rate % | | | Net enrolment rate | | | Enrolment trend (000s) | | |
|---|---|---|---|---|---|---|---|---|---|
| | Male | Female | Total | Male | Female | Total | Male | Female | Total |
| 2000 | -- | -- | -- | -- | -- | -- | 3396 | 3164 | 9669 |
| 2001 | -- | -- | -- | -- | -- | -- | 3528 | 3373 | 6901 |
| 2002 | 128.4 | 124.3 | 126.3 | 83.0 | 99.8 | 84.8 | 3721 | 3633 | 7354 |
| 2003 | 129.9 | 125.1 | 127.5 | 101.2 | 100.4 | 100.8 | 3873 | 3761 | 7633 |

| Year | Gross enrolment rate % | | | Net enrolment rate | | | Enrolment trend (000s) | | |
|---|---|---|---|---|---|---|---|---|---|
| | Male | Female | Total | Male | Female | Total | Male | Female | Total |
| 2004 | 107.6 | 101.4 | 104.4 | 92.5 | 87.6 | 90.0 | 3733 | 3645 | 7377 |
| 2005 | 108.8 | 106.8 | 107.8 | 936 | 92.4 | 93.0 | 3643 | 3581 | 7224 |
| 2006 | 117.8 | 111.2 | 114.4 | 94.1 | 90.1 | 92.0 | 3624 | 3601 | 7225 |
| 2007 | 116.5 | 109.9 | 113.1 | 95.0 | 91.4 | 93.3 | 3779 | 3759 | 7538 |
| 2008 | 118.8 | 113.0 | 115.7 | 96.9 | 93.1 | 95.0 | 3987 | 3977 | 7964 |
| 2009 | 134.1 | 132.5 | 133.3 | 97.4 | 94.7 | 96.1 | 4150 | 4148 | 8298 |
| 2010 | 128.3 | 127.6 | 128.0 | 95.6 | 96.4 | 96.0 | 4179 | 4195 | 8375 |

School enrolment displayed a temporary decline from 2003 to 2006. Looking at the factors behind this, following the introduction of free primary education in 1997 there was a large influx up until 2003 of children of school age who had until then not attended school; and following that, children of appropriate school age came to attend schools. This trend may be viewed as the manifestation of the mop-up effect (mopping up of non-attending children) of the UPE policy (MoES, 2007).

The gross enrolment rate (GER) in primary education in 2002 was 126.3%. Following that, in spite of some minor variations, it remained largely the same in excess of 120% at 133.3% in 2009 and 128% in 2010. The net enrolment rate (NER) was 84.8% in 2002 (83.0% among boys and 99.8% among girls).,However, this gradually improved and reached 96.0% in 2010 (95.6% among boys and 96.4% among girls). There is hardly any gender disparity, although the NER among girls is slightly higher than among boys. Looking at the NER by region in 2010, it was 110.6% in the Eastern region, 93.8% in the Northern region, 96.5% in the South Western region, 90.8% in the Central region and 85.7% in the Western region. Thus, all five regions generally displayed good figures, however, the NER in the Northeast region was low at 45.6% (MoES, 2002-2010).

Figure 1 profiles projected primary school enrolment up to 2017.

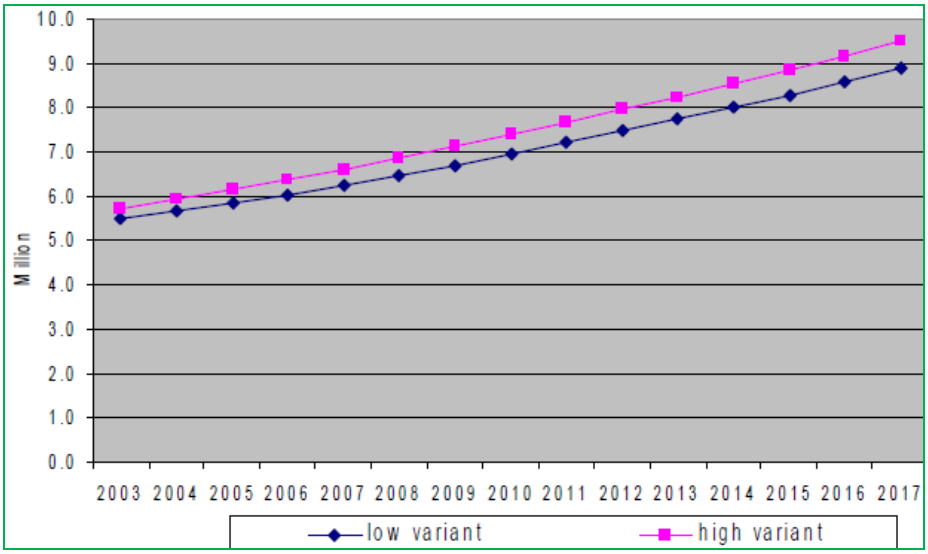


Figure 1: Trend of projected primary school-going population

b) **INTERNAL EFFICIENCY** – The repetition rate in 2010 was the highest at 12% among P6 pupils who are one year before the primary-level candidate class of P7 in which Primary Leaving Examinations (PLE) are sat,

followed by 12% for both P1 and P5 pupils. The drop-out rate in 2010 was 4.4% while the survival rate to P5 was low at 62%.

Automatic promotion is basically adopted in primary education; however, the repetition rate was 12.2% in 2009 and remained in excess of 10% at 10.9% in 2010. The repetition rate is highest among P6 pupils at 12.0% and next among P1 pupils at 11.6%. As was mentioned previously, among P1 pupils, children who were enrolled at less than six years old cannot keep up with the pace of study, while among the P5 and P6 pupils, teachers sometimes make pupils repeat years if they judge them not ready to sit for PLE final examinations (MoES, 2010e). Another reason is that because parents often transfer their children to public or private schools that have a better reputation, even midway during academic terms, the schools strive to acquire a higher rating. In primary education, according to education statistics of MoES, the dropout rate in 2002 was 4.4% (4.4% among boys and 4.5% among girls); it increased to 5.0% in 2005 and 2006, but the figure subsequently dropped again until it reached 4.4% (4.4% among boys and 4.3% among girls) in 2010 (MoES, 2010e).

c) **EQUITY** – Although no gender gap is observed in terms of access to primary education, enrolment figure for boys was higher than that for girls for secondary education. There are several possible reasons for the high level of drop-out and absenteeism for girls which include teenage pregnancy, sexual harassment, female genital mutilation and inadequate sanitation facilities for girls (especially when in monthly menstrual periods).

Table 2: Key primary education indicators in Uganda (2007-2010)

| | **2007** | **2008** | **2009** | **2010** |
|---|---|---|---|---|
| Total enrolment ('000) | 7537 | 7963 | 8297 | 8374 |
| Enrolment for males ('000) | 3779 | 3987 | 4150 | 4179 |
| Enrolment for females ('000) | 3758 | 3976 | 4147 | 4195 |
| Number of primary teachers ('000) | 152 | 159 | 168 | 172 |
| Number of primary schools | 14728 | 15962 | 17127 | 17865 |
| Total number of classrooms | 104899 | 114441 | 121212 | 144916 |
| % Annual change in enrolment | 2.5 | 5.7 | 4.2 | 0.9 |
| % Annual change in classrooms | 2.3 | 9.1 | 5.9 | 19.9 |

*UBOS, 2012*

d) **LEARNING OUTCOMES** – The completion rate for P7 pupils in primary education increased from 49% in 2002 to 54% in 2010. A significant percentage of those who start primary school do not complete the final primary grade (P7)**.** Primary completion rates for Uganda –measured by the international definition—were at 55 % for 2011, down from 58 % in 2008. The national measurement for completion – cohort survival to end of primary grade 7 –showed a grimmer picture of only 33 % completing primary education. As a result, Uganda is unlikely to achieve the primary education MDG that was previously thought to be within reach (World Bank, 2013). Although the figure for boys was higher than that for girls throughout this period, the gender gap decreased from 20 % to 5 %.

Table 3: Drop-out rate, transition rate and cohort survival rate in primary education in Uganda

| **Year** | **Drop-out rate %** | | | **Transition rate from primary education to secondary education %** | | | **Cohort survival rate %** | | |
|---|---|---|---|---|---|---|---|---|---|
| | **Male** | **Female** | **Total** | **Male** | **Female** | **Total** | **Male** | **Female** | **Total** |
| 2002 | 4.4 | 4.5 | 4.4 | 55.0 | 57.4 | 56.1 | 65.9 | 70.8 | 68.3 |
| 2003 | 4.4 | 4.6 | 4.5 | 49.0 | 49.1 | 49.0 | 52.0 | 51.0 | 52.0 |

| Year | Drop-out rate % | | | Transition rate from primary education to secondary education % | | | Cohort survival rate % | | |
|---|---|---|---|---|---|---|---|---|---|
| | Male | Female | Total | Male | Female | Total | Male | Female | Total |
| 2004 | 4.7 | 4.9 | 4.8 | 48.2 | 48.1 | 48.2 | 55.2 | 56.2 | 55.7 |
| 2005 | 5.0 | 5.1 | 5.0 | 44.1 | 45.0 | 44.5 | 52.0 | 53.0 | 52.0 |
| 2006 | 5.0 | 5.0 | 5.0 | 50.5 | 51.4 | 50.9 | 49.2 | 49.8 | 49.5 |
| 2007 | 5.0 | 4.9 | 4.9 | 69.7 | 67.4 | 68.6 | 49.0 | 50.0 | 49.0 |
| 2008 | 4.8 | 4.6 | 4.7 | 71.1 | 68.0 | 69.6 | 53.3 | 54.9 | 54.1 |
| 2009 | 4.5 | 4.4 | 4.5 | 65.8 | 62.0 | 63.9 | 60.0 | 61.8 | 60.9 |
| 2010 | 4.4 | 4.3 | 4.4 | 66.7 | 63.0 | 64.8 | 61.2 | 62.9 | 62.0 |

*Source: JICA and ICDJ (2012)*

e) **LEARNING ENVIRONMENT** – With introduction of UPE, the number of pupils enrolled in primary education has rapidly increased to 58 per classroom. An even higher figure for public schools of 76 per classroom clearly indicates insufficient school facilities. Uganda's population growth adds about 350,000 children of school entry age each year (a rate of about 5.3 % per annum). At a rate of 50 students to one teacher, this growth translates into an annual need of 7100 additional classrooms and teachers per year, just to maintain class sizes (World Bank, 2013). The phenomenon of over-sized classes is common all over the country. Bitamazire (2005) indicates that the pupil-teacher ratio in Uganda has been reducing at an annual rate of 7.4% and for primary schools it was last reported at 48.58 in 2010, according to a World Bank report published in 2012 although the desired ratio is 40.

f) **TEXTBOOK PROCUREMENT/DISTRIBUTION SYSTEM** – The selection and distribution of textbooks are primarily conducted by the Ministry of Education and Sports (MoES). The number of textbooks per pupil is still low in many schools. Lack of libraries or buildings in many primary schools means that even when supplies are provided, there is no place to store them. In some cases these therefore go to waste or a classroom is turned into a store for scholastic materials.

g) **CURRICULUM** – The curriculum for primary education has been revised to a thematic curriculum. Because of the slow progress of revising the curriculum for teacher training to match it, there is concern of inability of teachers to apply this thematic curriculum.

h) **TEACHING STAFF** – Although the number of teachers has increased following introduction of UPE, the number of enrolled pupils per teacher in primary education in 2010 stood at 57 for public schools which was much higher than the 26 for private schools. By region, the figure for North Eastern Uganda of 79 was high. In order to deliver effective teaching, teachers must have adequate content knowledge and pedagogical skills. In Uganda, teachers appear to be deficient on these dimensions, particularly with respect to the newly introduced primary curriculum. Results from teacher tests conducted by Uganda National Examinations Board (UNEB) in 2011 show that about half the tested teachers were weak in oral vocabulary and 75 percent were weak in numeracy (World Bank, 2013).

Table 4: Pupil Teacher ratio and Pupil classroom ratio for primary schools in Uganda

| Year | Kampala | | National averages | | | |
|---|---|---|---|---|---|---|
| | Pupil Teacher Ratio | Pupil Classroom Ratio | Pupil Teacher Ratio | Pupil Classroom Ratio | | |
| | | | | Total | Private schools | Public schools |
| 2000 | 34 | 52 | 59 | 96 | -- | -- |
| 2001 | 33 | 42 | 54 | 90 | -- | -- |

| Year | Kampala | | National averages | | | |
|---|---|---|---|---|---|---|
| | Pupil Teacher Ratio | Pupil Classroom Ratio | Pupil Teacher Ratio | Pupil Classroom Ratio | | |
| | | | | Total | Private schools | Public schools |
| 2002 | 29 | 42 | 53 | 87 | -- | -- |
| 2003 | 29 | 41 | 52 | 87 | 53 | 94 |
| 2004 | 30 | 41 | 50 | 79 | 47 | 84 |
| 2005 | 29 | 40 | 50 | 74 | 43 | 79 |
| 2006 | 28 | 40 | 48 | 72 | 42 | 78 |
| 2007 | 29 | 41 | 57 | 72 | 41 | 79 |
| 2008 | 27 | 39 | 50 | 70 | 42 | 78 |
| 2009 | 27 | 39 | 49 | 68 | 38 | 80 |
| 2010 | 27 | 36 | 49 | 58 | 32 | 67 |

*Source: MOEs, 2010; UBOS, 2006; UBOS, 2008 and UBOS, 2012*

i) **GOVERNMENT INITIATIVES** - There is strong political commitment and will to support increased access to quality primary education, including undertaking key policy reforms in the long term in line with the Sector Strategic Plan (ESSP 2007-2015) that also covers primary education. The new challenges arising from the introduction of UGPEP has necessitated the need of an overarching strategic plan for primary education sub- sector with a vision, goals, policy and financial framework, with clear indicators and annual targets.

To enable participation in primary education to expand to the maximum level possible, the MoES has initiated a number of measures designed to maximize access, improve equity and protect quality with improved management and efficiency. These include: (i) the programmed increased resource for primary expansion, (ii) introduction of the eighteen subject curriculum from the current 42 subject curriculum with a school menu of ten subjects, (iii) reform of teacher deployment and utilization practices, (iv) introduction of double-shift teaching in over enrolled schools,, (v) UGPEP 35 periods per week per class for the revised curriculum (vi) planning for an accelerated program of low-cost classroom construction, (vii) plans for the provision of an initial stock of textbooks and instructional materials provision of support for UGPEP students in non-government schools, (ix) completion of incomplete permanent structures, (x) rehabilitation of existing facilities.

### 1.3 Sectoral and institutional context of UGPE Project

**a) Uganda has made great progress in expanding access to education**. The introduction of universal primary education (UPE) in 1997 led to significant gains in primary enrollment, which increased from about 3 million students in 1998 to 8.4 million students by 2010 (Annual School Census 2010). There were approximately 20,500 primary schools in Uganda in 2010, of which 62 % were public schools. This expansion in primary education has been pro-poor. Studies indicate that the UPE policy effectively improved access to primary education for children of poor families. The expanded access to primary education has led to gender parity in primary enrollment. By 2009/10, the Uganda Bureau of Statistics estimated the primary Net Enrollment Ratio (NER) at 83.2 % with parity between boys and girls.

**b) However, the progress against achievement of the MDG goal of universal primary education is slow due to low completion rates**. A significant percentage of those who enter primary school do not reach the final primary grade**.** Primary completion rates for Uganda –measured by the international definition—were at 55% for 2011, down from 58 percent in 2008. The national measurement for completion – cohort survival to end of

primary grade 7 –showed a grimmer picture of only 33% completing primary education. These rates have not shown much improvement over the past decade. As a result, Uganda is unlikely to achieve the primary education MDG that was previously thought to be within reach. Low quality of education service delivery appears to be playing an important role in low primary completion. This is attested by high repetition rates (at about 10-12 percent p.a.) which are linked with high rates of discouragement and dropout at the primary school level.

c) **Many of those who remain in primary education do not achieve minimum levels of literacy and numeracy.** In 2010, less than half the Primary grade 6 students tested by National Assessment of Progress in Education (NAPE) were proficient in literacy (41%) and numeracy (46%). In cross-country assessments (SAQMEC), Uganda students scored in the lowest one-third of countries.

d) **Plausible explanations for low completion rates and low learning outcomes can be found at different levels of the education service delivery chain** –the teacher level, the school level, and the system level. In addition, there are important contributing factors at the student and household levels which mediate the relationship between school enrollment and learning outcomes.

e) **Teachers are key determinants of student achievement but there are several constraints to effective service delivery on the part of teachers in Uganda**. These constraints relate to different dimensions of performance – competency, incentives, and accountability.

f) **Teacher competencies are inadequate.** In order to deliver effective teaching, teachers must have adequate content knowledge and pedagogical skills. In Uganda, teachers appear to be deficient on these dimensions, particularly with respect to the newly introduced primary curriculum. Results from teacher tests conducted by Uganda National Examinations Board (UNEB) in 2011 show that about half the tested teachers were weak in oral vocabulary and 75 percent were weak in numeracy. These results can be linked in part to gaps in teacher training. The current Primary Teacher Education (PTE) curriculum was devised in 1994 and is now out of date and inappropriate. This curriculum has persisted to the present day despite major developments in the Education Sector – which include a new Thematic Curriculum for Lower Primary which began implementation in P1 from 2007 and a new curriculum for Upper Primary which began implementation in 2000. Other recent developments not currently included in the PTE curriculum are initiatives regarding Guidance and Counseling, HIV/AIDS, Gender, Peace Education, Multi-Grade and Large Classes, and Special Needs. A new teacher training curriculum has been prepared but bureaucratic delays and lack of finance mean that the date of its introduction into the Primary Teacher Colleges still uncertain.

g) **Teacher time on task is low and absenteeism is high.** A study based on data from unannounced visits to 160 schools found that nearly 20 percent of all teachers could not be found in the school at the time of enumerator visits. Of those teachers present at school, only 19 percent were in class and teaching.[1] On the whole, teaching time loss in Uganda is estimated to be in the range of 30-40 percent of the officially scheduled teaching time.[2]

h) **Low teacher presence and effort can be linked to gaps in incentive and accountability mechanisms for teachers**. Data analysis shows that teacher absence is very heterogeneous and reflects a wide array of factors among which weak incentives and poor working conditions figure prominently.[3] On the whole, teachers in Uganda are poorly incentivized to exert effort given that teacher compensation is not directly linked to performance.[4] The results of staff performance appraisals conducted by the principal are taken into account in the evaluation process when a teacher applies to a higher position in the teacher career ladder. However, there is no direct impact of staff performance appraisals on teacher salaries, nor do high-performing teachers receive financial or non-financial awards. In addition, serious inconsistencies between the payroll, personnel data and the census data plague the public service, including the education sector. They point to the lack of control over

[1] Uganda Teacher and School Effectiveness Project, Project Appraisal Document (PAD). World Bank Report No: 77419-UG, May 2013
[2] *ibid*.
[3] *ibid*
[4] *ibid*

pay and personnel issues as well as the existence of potential abuse and irregularities in human resource management.

Analysis of teacher absenteeism in Uganda shows that there is a negative association at school level between parental involvement (parental contributions of resources and frequency of parent meetings) and teacher absence, attesting to the importance of accountability mechanisms.[5] This research is supported by qualitative evidence in form of key informant interviews with District Education Officers and Head-teachers which suggests that cumbersome rules and lack of enforcement of standards lead to low teacher accountability for absenteeism and time-on-task.[6] Procedures for the appointment and dismissal of teachers are extremely complex and unwieldy. Thirteen separate steps are required for the appointment of a teacher and the procedures for dismal are almost as lengthy. There are no external evaluations of individual teacher performance. The district inspectorate and the national inspectorate perform school inspections, but these inspections are meant to provide information on the overall performance of the school, rather than on the performance of each individual teacher, since not all teachers are observed during school inspections.[7]

i) **At the school level, there is evidence of weak governance and support systems.** A recent study indicates that School Management Committees (SMCs) have limited capacity to execute the legislated functions - only one in four SMC members expressed awareness of key functions like planning and monitoring of education programs in school.[8] In addition, there is limited information flow within and outside the school to inform community and parental decisions about their children's schooling. The Joint Budget Support Framework (JBSF) also identified the low parental and community participation in education programs as one of the binding constraints to quality education in Uganda. Evidence from the Basic Required Minimum Standards (BRMS) baseline survey points to low school compliance to established standards and procedures in a number of areas. This further attests to weak school governance systems.

j) **Ugandan classrooms lack sufficient teaching and learning materials.** The availability of appropriate teaching and learning materials is a critical determinant of the quality of education service delivery. However, there is perceptible scarcity of teaching and learning materials in Ugandan classrooms. In 2009, Uganda spent just 1.7 percent of its recurrent budget on primary education on teaching materials. In addition, while the new thematic curricula have been rolled out for primary education and the corresponding teaching materials have been developed; they have not as yet been purchased and distributed.

k) **Overcrowded classrooms are also contributing to low student learning outcomes.** Uganda's population growth adds about 350,000 children of school entry age each year (a rate of about 5.3 percent per annum). At a rate of 50 students to one, this growth translates into an annual need of 7100 additional classrooms and teachers per year, just to maintain class sizes. However, in 2010/11, only a little over 1000 classrooms were added. The national average is 64 students per classroom in public schools; however, EMIS estimates show that around 1240 schools have more than 100 students per classroom. That being said, evidence from Uganda and elsewhere shows that present, well-motivated and well-prepared teachers can achieve strong learning outcomes among pupils even in large classes.

l) **There are some notable constraints at the system level as well.** It appears that students enter primary school without adequate preparation. The net enrollment rate for early childhood education (ages 3-5) is estimated at only 7 percent. Although the Government recognizes the importance of early childhood education (ECE) and officially children aged 3 to 5 years old are expected to be enrolled in preprimary institutions, provision of pre-primary education in Uganda is private sector led and self-financed. ECE enrolment is therefore constrained by limited household income and extremely low coverage of operations especially in the rural areas.

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[5] *ibid*
[6] *ibid*
[7] *ibid*
[8] *ibid*

However, a number of initiatives, mostly led by UNICEF and non-state civil society actors, target disadvantaged areas, but none are large scale.

m) **The share of education within the national budget has shown a declining trend over the last six years**; while respective shares of infrastructure, public administration and security have increased. In addition, there are competing priorities within the education sector including scaling up of secondary and tertiary education, which have led to a decline in per capita investment in primary education. Table below shows share of the education budget within the national budget.

Table 5: Share of the education budget within the national budget

| Year | 2007/08 | 2008/09 | 2009/10 | 2010/11 | 2011/12 | 2012/13 |
|---|---|---|---|---|---|---|
| % | 15.5% | 15.0% | 15.5% | 14.0% | 13.1% | 14.9% (budget) |

n) **A number of development partners support the ESSP and coordination is effective**. The Local Education Group (LEG) includes UN-agencies, such as UNICEF and UNESCO, multilateral partners, such as the AfDB and the World Bank, and bilateral partners, such as the Belgium (outgoing lead partner), Irish Aid (in-coming lead partner), and USAID. The proposed Global Partnership for Education (GPE) financed operation will build upon and scale-up existing and evaluated donor-financed programs and be designed and implemented in a coordinated manner.

## 1.4 Higher Level Objectives to which UGEPE Project Contributes

### a) Country Assistance Strategy (CAS) of FY10/11-14/15

World Bank support to Government's program within education is contained in the Uganda Country Assistance Strategy (CAS) of FY10/11-14/15 which was approved in May 2010. Similar to the NDP, the CAS focuses on human capital development, together with infrastructure development, agriculture, as well as improving efficiency and value for money in public spending. The proposed GPE support is thus consistent with CAS Strategic Objective 3 – strengthening human capital development together with CAS outcome 3.1 – improved access to and quality of primary and post primary education. Budget support to the national program is provided through the Poverty Reduction Support Credit (PRSP) currently in its 9th cycle, complemented by sector funding through World Bank supported projects including the Universal Post Primary Education and Training (UPPET) project.

### b) Learning-For-All

The proposed project is also aligned with the Bank's education strategy – learning for all - which focuses on improving learning outcomes, early childhood development, and building a high-quality knowledge base. The higher order objective of the program is improvement in students' learning outcomes in literacy and numeracy for primary education. However, a three year time horizon might not be sufficient to significantly impact student performance in standardized tests. In light of this and in order to truly capture the pathways of change, project development objective (PDO) indicators include measurable outcomes that are significantly predictive of education quality, particularly in relation to teachers. Student learning outcomes will, nevertheless, be monitored throughout the program. Annual data for student learning outcomes (on literacy and numeracy) will be collected for Grades 3 (P3) and P6 by UNEB.

### c) Government of Uganda's Education Sector Strategic Plan (ESSP) 2007-2015,

Government of Uganda's Education Sector Strategic Plan (ESSP) 2007-2015, updated in 2010, focuses comprehensively on core challenges in the education sector. A key objective for primary education in the ESSP is improving quality and relevance of primary education to help ensure pupils' mastery of basic numeracy and literacy.

To achieve this objective, the ESSP emphasizes reduction of high repetition rates in primary grades, teacher training and provision of learning materials on the new thematic curriculum, and reducing teacher absence, while recognizing the need for efficient interventions and improved monitoring and evaluation and accountability for meeting standards.

**d) Global Partnership for Education (GPE)**

The project is built around the GPE priorities in terms of focus on teacher effectiveness, early grade literacy and numeracy, enhancing aid effectiveness through a proposed result-based approach, and a focus on girls attending a safe and supportive learning environment.

## 1.5 Project Development Objective

The proposed Project Development Objective (PDO) 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***: presence in school, time on task, pedagogical approach for early reading and numeracy, and availability of instructional material for teaching.
- ***For schools:*** improved school governance, greater information availability at the school and community level, and improved facilities.

## 1.6 Project Beneficiaries

The project beneficiaries will be:

- ***Students in primary education*** who will benefit from more effective, motivated and present teachers as well as improved teaching-learning inputs.
- ***Teachers in primary schools*** who will benefit through improved in-service training.
- ***Head-teachers and school management committee members*** who will receive training and resources for school improvement.
- ***Parents and communities with children in schools*** covered under the program who will indirectly benefit from higher quality education, greater information and enhanced voice in school management.
- ***Staff in the Ministry of Education and Sports as well as district staff managing teachers and education service delivery who will receive training.***

# 2 PROJECT DESCRIPTION

This project is centered on improving education service delivery at the classroom level to realize meaningful gains in pupil's achievement in primary classes. This objective necessitates a focus on improving teacher quality and performance since these are dimensions which are highly predictive of pupil's achievement and where considerable margins for improvement exist. This focus on teachers will be buttressed by improvements in the overall school environment – in the form of enhanced school management, accountability, and learning conditions. The complementary focus on schools is aimed at enabling improved teacher competencies to most effectively translate into improved education service delivery.

Broadly, activities are formulated to yield returns in the short-term in terms of perceptible improvements in education service delivery. However, they are also expected to promote well-performing, robust, sustainable institutions and administrative systems that would generate returns over the medium- to long-term.

The project will therefore have three components below:

- Component 1: A results-based component focused on '*Effective Teachers'*, amounting to US$40 million;
- Component 2: A results-based component focused on '*Effective Schools'*, amounting to US$50 million;
- Component 3: A technical Assistance (TA) component which will finance essential advisory, technical, and capacity-building support, amounting to US$10 million.

These components are outlined below.

## 2.1 Component 1: Effective Teachers US$ 40.00 million

Under the project, teacher effectiveness is expected to be promoted directly through a coherent and coordinated mix of initiatives related to (i) teacher competency, (ii) teacher resources, and (iii) teacher motivation and accountability.

Initiatives under this component include:

***Teacher competency:***

- Enhancing effectiveness of early grade instruction through provision of training to in-service teachers and ECE instructors. Related *Disbursement Linked Indicators* (DLIs) will be linked to numbers of teachers trained.

***Teacher resources:***

- Provision of instructional materials (including teacher reference materials) on the new primary curriculum. Related DLIs will be linked to several schools with access to these materials.

***Teacher motivation and accountability:***

- Strengthening the design and implementation of an ongoing merit-based promotion scheme for teachers, Related DLIs will be linked to demonstrable improvements in design and implementation of the scheme.
- 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.

### 2.2 Component 2: Effective Schools US$ 50.00 million

The above initiatives are designed to directly improve teachers' performance. To provide a supportive enabling environment for these changes to take root, the project will also include a direct focus on school effectiveness through initiatives related to:

- 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.

- 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.

### 2.3 Component 3: Technical Assistance US$ 10.00 million

This component will finance advisory, technical, and capacity-building support in order to reach project objectives, including:

- Evaluation, review and dissemination of the education sector Early Childhood Development policy and operational standards (including associated capacity building and awareness raising activities).

- Technical assistance and Capacity building, including for project implementation, monitoring and evaluation, communication, and for preparing the ESSP for the next cycle.

Some aspects of above components may have social-environmental impacts, hence the importance of this ESMF. Most of environmental and social impacts, though minimal and readily mitigated, are associated with Component 2, more so during project implementation.

# 3 UGANDA's BIOPHYSICAL AND SOCIO-ECONOMIC ENVIRONMENT

Existing environmental and socio-economic conditions in Uganda are discussed in sections below and will, in many cases, provide a basis for predicting impacts of the project.

## 3.1 Location

Uganda (located in East Africa) has an area of 241,500 km² and is bordered by Sudan to the North, the Democratic Republic of the Congo to the west, Tanzania and Rwanda to the South and Kenya to the East. 15.3% of its land area is covered by water. Uganda contains and shares some of the world's most important eco-systems with its neighbours and beyond and notably Lakes Victoria, Albert, Edward, the Nile Basin, its mountain systems such as the Rwenzori, Elgon and Virunga series as well as several parks. It has a crucial role to play in the conservation of biodiversity in the sub-region and the world at large Administratively, Uganda is divided into 112 districts and the capital city Kampala. The districts can loosely be classified into four broad regions (Northern, Central, Eastern and Western). However, for purposes of education statistics, Uganda is divided into regions namely: Central, Eastern, North Eastern (Karamoja), Northern, South Western and Western.


*Source: UBOS, 2012*

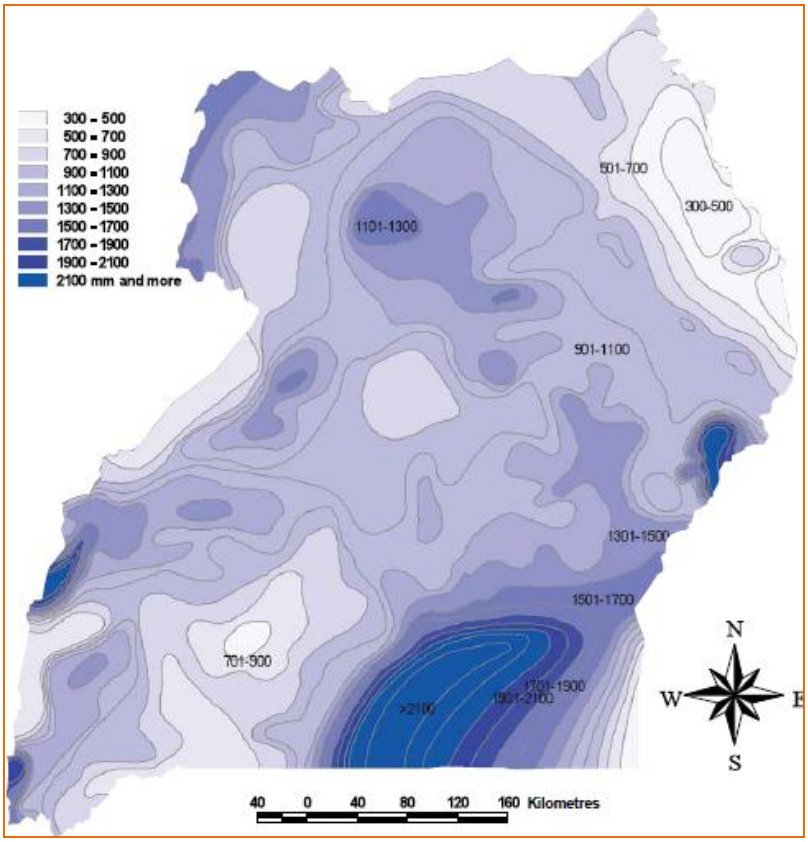
Figure 2: Regions in Uganda

## 3.2 Climate

***Relation to the project:*** *Climatic conditions can influence rain received in a given project area, sunshine hours, flood levels and winds all of which could affect, in various ways, the proposed project such as construction schedules, damage by winds or inability to deliver school supplies when roads are cut off by floods.*

Climatic conditions in Uganda are discussed below.

a) Uganda is characterized by equatorial climate with plenty of rain and sunshine moderated by the relatively high altitude. In most parts of the country, the mean annual temperatures range from $16^0$C to $30^0$C. Nevertheless, the Northern and Eastern regions sometimes experience relatively high temperatures exceeding $30^0$C and the South Western region sometimes has temperatures below $16^0$C. The Central, Western and Eastern regions have two rainy seasons, from March to May for the first rains, and the second rains from September to November. The Northern region receives one rainy season from April to October, and the period from November to March has minimal rain. Most of the country receives between 750 mm and 2100 mm of rain annually.




Source: NEMA (2009)

Figure 3: Uganda rainfall map

b) Uganda's climate is naturally variable and susceptible to flood and drought events which have had negative socio-economic impacts in the past. Human induced climate change is likely to increase average temperatures in Uganda by up to 1.5 ºC in the next 20 years and by up to 4.3 ºC by the 2080s. Such rates of increase are unprecedented. Changes in rainfall patterns and total annual rainfall amounts are also expected but these are less certain than changes in temperature. The climate of Uganda may become

wetter on average and the increase in rainfall may be unevenly distributed and occur as more extreme or more frequent periods of intense rainfall. Regardless of changes in rainfall, changes in temperature are likely to have significant implications for water resources, food security, natural resource management, human health, settlements and infrastructure. In Uganda, as for the rest of the world, there are likely to be changes in the frequency or severity of extreme climate events, such as heat waves, droughts and floods.

c) The Inter-Tropical Convergence Zone (ITCZ) and the air currents such as the southeast and northeast monsoons influence the climate in Uganda. In most parts of the country, the seasons are fairly well marked- as rainy and dry seasons. Depending on the elevation and landscape, the mean temperature over the whole country show great variations. However, in areas adjacent to water bodies such as Lake Victoria, maritime conditions tend to modify the temperatures. The variation in mean monthly and annual evaporation rates are much smaller than corresponding variations in rainfall, which respectively, are 10-20% and 20-40% in the southern and northern parts of the country. The movement of the ITCZ is to a great extent responsible for the variations in meteorological factors that determine evaporation.

d) Uganda's economy and wellbeing of its people are tightly bound to climate hence are highly vulnerable to climate change and variability. In particular, climate change is likely to mean increased food insecurity, rising trends in spread of diseases like malaria, soil erosion and land degradation, flood damage to infrastructure and settlements and shifts in the productivity of agricultural and natural resources. It will be the poor and vulnerable who feel these impacts the hardest, and the likely implication scenario for rural primary schools is increasingly higher school dropout to seek means of survival.

### 3.3 People and Population Dynamics in Uganda

An outline of the people of Uganda is provided below.

#### 3.3.1 The People

The Uganda constitution 1995 recognizes 46 tribes (GoU 1995) with varying production and consumption patterns. Modes of production and the rural livelihood coping strategies range from mainly cultivators (e.g. Baganda, Bakiga, Bagisu and Basoga) to pastoralists (e.g. the Karamojong and the Bahima) the rest of the people derive their livelihoods from a mix of livestock keeping and cultivation or agro- pastoralism. In addition, Uganda has been and still is, home to several thousand refugees from neighboring countries. There are also other non-citizens residing in Uganda as a preferred place for home or where they are engaged in various economic activities. This mosaic provides Uganda with a rich cultural base and opportunities for modernization. However, there are also challenges the people of Uganda face, among others are: (i) rapid population growth and the ensuing pressures on the country's natural capital; (ii) inadequate provision of, and demand for, social services and infrastructure; and (iii) poor environmental conditions.

***Relation to the project:*** *Either due to their culture, predominant economic activities, or past civil strife, various peoples in Uganda have diverse attitudes about education hence different regions have differing literacy levels. Size of classes in rural primary schools will most often mirror population size and density in those communities. Poverty levels will reflect in the number and quality of primary school teachers available in a given community. Cultures with female genital mutilation will have girl-children missing school for days. Communities which emphasize boy- more than girl-child education would have this imbalance reflecting in number of girls attending school. These disparities manifest for example in northern Uganda which suffered from a 20-year rebel insurgency, Karamoja sub-region which is a culturally nomadic cattle area to central, East and Western Uganda which in general terms have comparatively higher school attendance and literacy levels.*

### 3.3.2 Population Dynamics

In Uganda, the 20th century marked an unprecedented population growth and economic development as well as environmental change. The Census report of 2002 put the country's population at 24.7 million people in 2003. The current growth rate of 3.4% per year is higher than the 2.9% that was envisaged for the period 1991 – 2002. Currently standing at 34 million, population of Uganda is likely to hit 50 million by 2025. Population is a key determinant of economic and social wellbeing and environmental degradation.

Considering the size of Uganda and comparing this with cities such as Mexico and Lagos whose populations are in excess of 20 and 13 million people respectively, it can easily be concluded that Uganda does not have a problem with its population size. While absolute numbers may suggest Uganda is relatively under-populated, the concern is the inability to provide for these relatively few people. In the absence of adequate social services, even a small population becomes a constraint. In addition, a poor population however small, needs attending to otherwise its people may engage in activities detrimental to the environment especially where alternative livelihood options are limited.

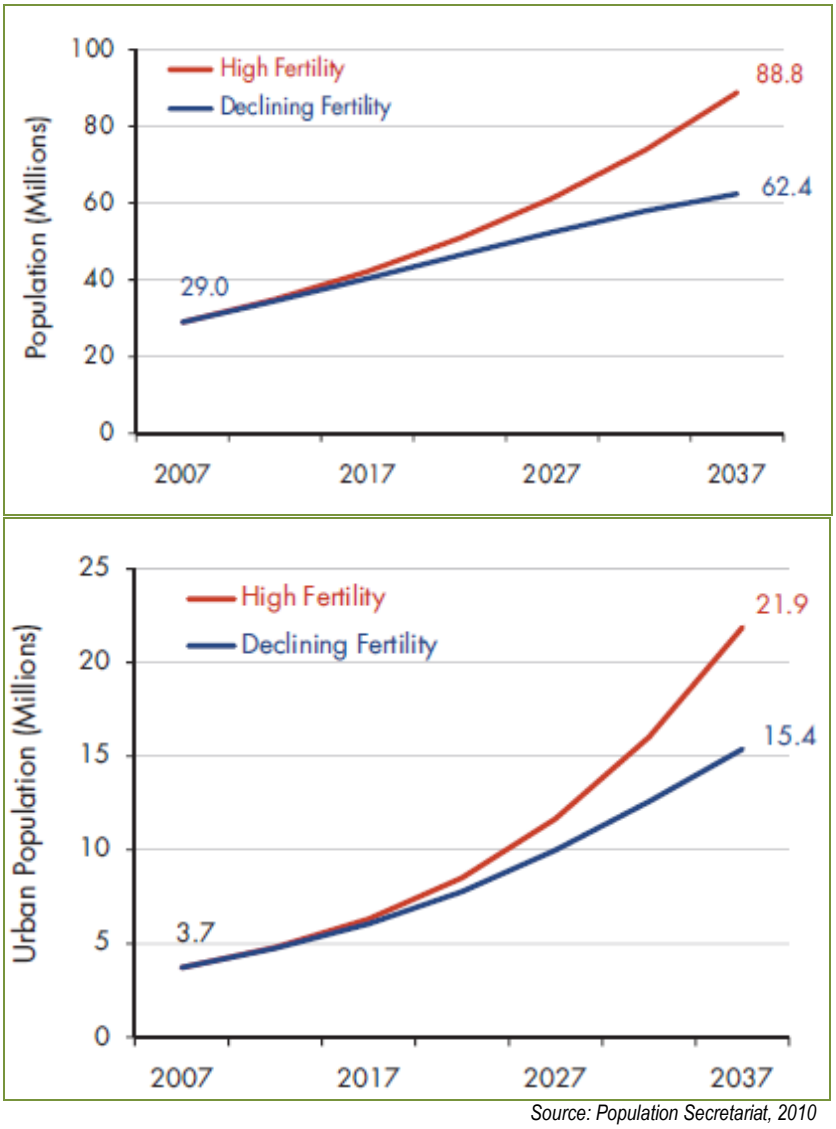
The urban population in Uganda has increased rapidly from less than 0.8 million persons in 1980 to 5.0 million persons in 2012, representing an increase of more than six times. This increase is mainly attributed to the creation of new urban administrative units, natural growth, demographic factors (excess of fertility over mortality) and Rural - Urban Migration (UBOS, 2012). Kampala City has by far the highest population density. The population growth rate of Kampala City is above the national average even though the population growth rate of Central region, in which Kampala City is located, is the lowest among the four regions (North, Eastern, Western and Central) in the country. The lowest population density by region is 65 people per square kilometers for the Northern region.

Table 6: Population characteristics of Uganda

| Region | 1991 population | 2002 population | Area ($km^2$) | Population density (persons/$km^2$) | Annual average population growth rate (1991-2002) % |
|---|---|---|---|---|---|
| Kampala (Central) | 774241 | 1189142 | 197.0 | 7258.6 | 3.7 |
| Central | 4843594 | 6575425 | 6140..3 | 175.7 | 2.6 |
| Eastern | 4128469 | 6204915 | 39478.8 | 225.8 | 3.5 |
| Northern | 3151955 | 5363669 | 85391.7 | 64 | 4.6 |
| Western | 4547687 | 6298075 | 55276.5 | 126.9 | 2.8 |
| **Total** | **16671705** | **20442084** | **241550.7** | **123.9** | **3.3** |

*Source: UBOS, 2012*

The projected mid-year population size in millions for each year from 2003 to 2017 is given in figure below. The population of Uganda is estimated to increase from 28.6 million in 2007 to 40.6 million in 2017 in the *Low Variant*, while in the *High Variant* it is estimated to increase from 30.2 million in 2007 to 43.4 million in 2017.




*Source: Population Secretariat, 2010*

Figure 4: Population projections for Uganda (for high and low fertility rates)

Figure 5 below shows population distribution in Uganda.

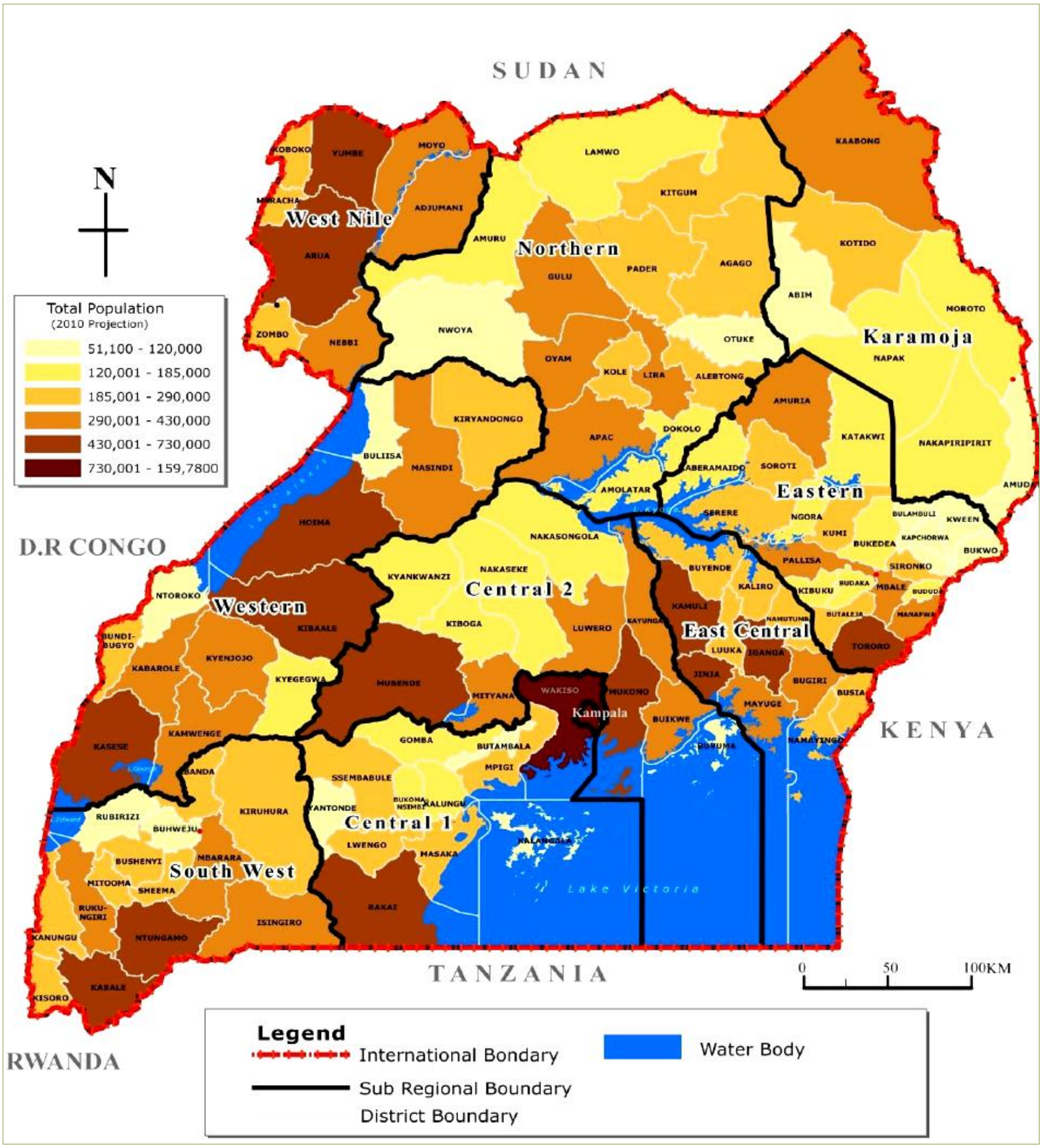



Figure 5: Population distribution in Uganda

***Relation to the project:*** *The high rate of population growth may affect Uganda's efforts to achieve and sustain universal primary education. With high fertility continued, the number of primary school pupils will increase from 7.5 million in 2007 to 18.4 million in 2037. With declining fertility, the pupil population would increase gradually to 10.2 million by 2037. The minimal required number of primary school teachers would increase from 152,000 in 2007 to 459,800 in 2037 with high fertility. In contrast 253,900 teachers would be needed in 2037 with declining fertility. In addition to the need to train, recruit, and retain more teachers, Uganda will need more schools, and primary expenditures will be much larger with high fertility continued (Population Secretariat, 2010). Continued high fertility across the country, combined with increased pressures on the land in rural areas, will lead to further urban growth in Uganda. The rapid growth of urban centres will place a greater burden on primary education infrastructure and quality in urban areas.*

## 3.4 Morphology, Relief and Drainage

***Relation to the project:*** *At locations where school buildings will be constructed, landform is an important aspect to consider since it influences access, site drainage, erosion (or building foundation damage/ undercutting) and risk of landslides. Soils influence strength of foundations at sites where schools buildings will be constructed. General conditions in Uganda are discussed below.*

### 3.4.1 Morphology and Relief

Most of Uganda forms part of the interior plateau of the African continent and its landforms are characterized by flat-topped hills in the central, western and eastern parts of the country. The rise of the plateau in the eastern and western part of the country is represented by spectacular mountain topography located along the borders as, for example, the Rwenzori Mountains and Mufumbira volcanoes in the west and Mt. Elgon, Mt. Moroto, Mt. Murungole and Mt. Timu in the east.

### 3.4.2 Drainage

Most of the rivers in the southern part of the country drain into Lake Victoria. Waters flows out of the lake along Victoria Nile into Lake Kyoga into Lake Albert (Lake Albert also receives water from DRC mainly through river Semliki), the Albert Nile or White Nile in Sudan, down to the Mediterranean sea through Egypt. The lakes in Uganda cover almost one-fifth of the total area of the country. Lake Victoria, shared with Kenya and Tanzania is the biggest tropical fresh water body and the second largest fresh water lake in the world. Other lakes of interest are the crater lakes on the western part of the country associated with the western rift valley. It is not likely that any lakes or major rivers will be affected by this project.

### 3.4.3 Geology and Soils

Geological formations of Uganda reveal very old rocks formed in the pre-Cambrian era around 300 or 600 million years ago. The younger rocks are either sediments or of volcanic origin, formed from about 135 million years ago (cretaceous period) to the present. Thus, a gap of about 460 million years remains in the knowledge of the geological history of Uganda. A number of parameters define the soils of Uganda and these include parent rock, and the age of soil and climate. The most dominant soil type in ferralistic soil, which accounts for about two-thirds of the soils found in the country. Based on studies carried out in the past (NEMA 1996), Uganda's soils are divided into six categories according to productivity: (a) very high to high productivity, (b) moderate productivity, (c) fair productivity, (e) low productivity (e) negligible productivity and (f) zero productivity. The high productivity soils cover only 8% of the area of Uganda (MWLE 2001). Considering the country's size, this is indeed a small area and it may therefore be most likely to encounter short-term arrangements, especially in rural areas, where portions of school

land are used for subsistence cultivation by teachers or surrounding communities. Conversion of such land for building construction at these schools would call for some sort of compensation.

### 3.5 Natural Resources

#### 3.5.1 Atmospheric Resources

In Ugandan climate change and climate variability impose adverse impacts on livelihoods, especially of the rural poor. The country is a net sink for greenhouse gases but global climate has no physical borders, hence Uganda is also impacted by increase and fluctuation in the earth's temperature. Increased frequencies of floods and droughts are manifestations of climate change.

***Relation to the project:*** *The erratic onset and cessation of rain as a result of climate variability make it difficult for Ugandan farmers to plan production cycles. In many cases this has led to frequent crop failures. Indirectly crop failures raise prices of maize, a key source of flour used in schools for posho (maize meal) and porridge. Scarcity of maize hence lack of school food often leads to early closure (of schools) for holidays yet shorter school terms mean inability to complete syllabi. This can be a critical disadvantage for candidate class (Grade 7 or P7) preparing for final national examinations.*

*Climate change effects are associated with flooding and landslides. These have in the recent past caused immense destruction to infrastructure and schools especially in Eastern Uganda, as exemplified by Bududa landslides and flooding in Teso. In such incidents, schools are either washed away or access to them impeded with flooded or damaged roads.*

Plate 1: A massive landslide that occurred in Bududa on 1st March 2010 and ensuing property damage

*Source: The State of Uganda Population Report 2012. Uganda Population Secretariat & UNFPA, p141.*

#### 3.5.2 Terrestrial Resources and relation to the project

***a) Land resources***

Availability and access to land is increasingly becoming difficult in Uganda, especially for the poor. This is also true for schools which are increasingly finding it difficult to acquire land parcels sufficient for buildings, green spaces and playgrounds for extra-curricular activities. It is increasingly common in towns to find an entire primary school (all

seven grades: P1-P7) with only two classroom blocks on a small land holding without any space for playing activities or physical education (PE). This leads to congestion, low learning comfort, poor indoor health conditions and inadequate sanitation. Conversely, in rural areas where land is available, many schools have no financial resources to construct buildings and pupils study under trees. Herein lies the benefit of classroom blocks proposed in the UGPEP to such schools.

Plate 2: Primary school children studying under a tree.

*Source: The State of Uganda Population Report 2012. Uganda Population Secretariat & UNFPA, p128.*

***b) Forestry Resources***

No forests will be affected by this project and forestry resources are here discussed only for the reason that timber and poles (scaffoldings) would be necessary for construction of school buildings in this project.

Generally due to tightened controls, loss of forest cover in protected forests has been reducing and total cover is stabilizing. Unfortunately, forests in protected areas make up only 30% of the national forest cover. The remaining 70% are on private and customary land where deforestation rates are high as a result of conversion of forest areas into agricultural and pastoral land. Furthermore, the country's harvestable timber resources are almost exhausted. Hence, to increase forest cover and ensure increased supply of timber, the Sawlog Production Grant Scheme (SPGS) and other licensing measures including charging economic rents for timber were introduced. SPGS funded by European Union supports private sector development of large forest plantations.

***c) Rangeland resources and livestock production***

Rangelands, mostly found in the 'cattle corridor' occupy 107,000 $km^2$ or 44% of the country's land area. In some places, the conditions of the rangelands are deplorably over- grazed or, and through wind and soil erosion, bare. The rangelands are also located in arid and semi-arid areas, themselves fragile ecosystems. In the extreme, pasture and water scarcities are contributing to frequent conflicts between cultivators and pastoralist in the first place, and among pastoralists themselves. The number of cattle, goats and sheep is on the increase and hence there is need to pay attention to the carrying capacity of Uganda's rangelands. It is common in rural areas to encounter cattle grazing on school land, mostly during holidays. This affects school efforts to create green spaces since tree saplings will be damaged by livestock as soon as they are planted or nibbled early in their growth stages.

***d) Wildlife resources***

No wildlife resources would likely be affected by the project since schools are never built inside conservation areas. However, since wildlife can also occur in un-protected areas, wild animals might stray into schools campuses. Protection of any such stray animals is a duty of Uganda Wildlife Authority (UWA) which should be informed when they are encountered any time during project implementation.

Wildlife constitutes an important resource base for the country as a source of recreation/ tourism revenue, nature studies and scientific research. By 1994, wildlife populations whether inside or outside protected areas represented a small fraction of what they were in the 1960s, with some species such as both the black and the white rhino becoming extinct. By 2004, the populations of wildlife in protected areas had stabilized, and some even increased, although marginally. Outside protected areas, the decline in wildlife population continues as a result of increased hunting, blocking migratory routes and habitat conversions, among others. The Uganda Wildlife Authority is piloting the conservation of wildlife populations outside protected areas through measures such as the operationalization of the different classes of wildlife use right provided for in the Wildlife Act. Also, communities adjacent to wildlife protected areas are being encouraged to appreciate the presence of wildlife through benefits (including revenue) sharing with local communities, which is expected to benefit schools as well.

***e) Mineral resources***

The only mineral resources to be utilised by the proposed project are cement and aggregate (crushed stone) required for building construction. These materials will be procured form existing sources or suppliers, therefore no single school construction site would require opening a stone quarry.

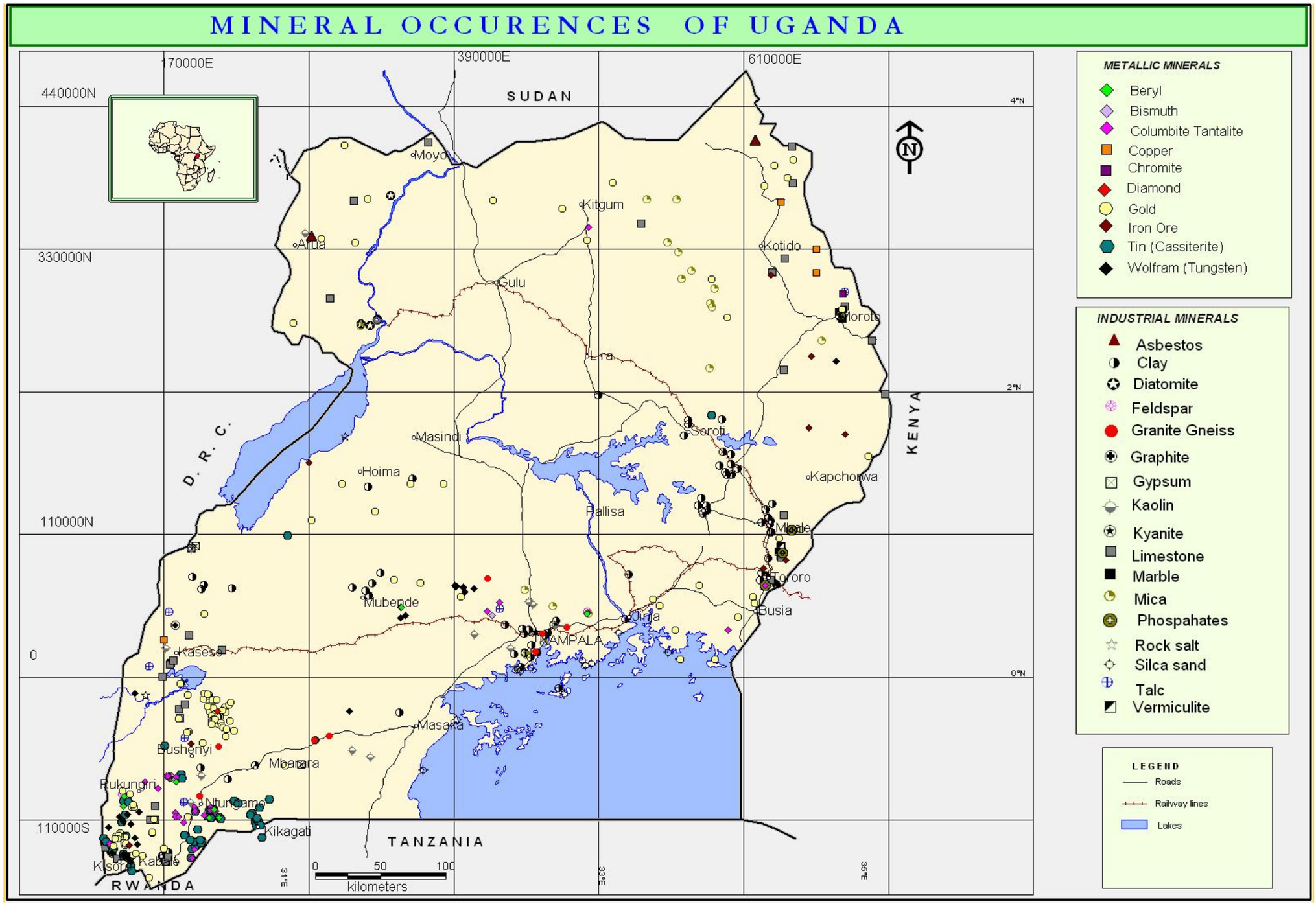
Many minerals occur in Uganda including gold, tin, gemstones, limestone, clay, salt and stone aggregate. Commonly these are mined at an artisanal and small-scale mining. Artisanal gold mining in Mubende and Bushenyi is widespread and in some cases children are reported to be involved in these activities, hence dropping out or missing school. Figure 6 shows location of mineral deposits in Uganda and if children are involved in their small-scale mining, the risk of missing or dropping out of school due to artisanal mining is spread all over the country.

### 3.5.3 Aquatic Resources

***a) Wetlands***

Wetlands cover about 13% of the area of Uganda and provide direct and indirect values. Up to late 1980s, wetlands were generally considered 'wastelands' to be reclaimed for agriculture in rural areas, 'drained' as anti-malaria measures or industrial areas in urban settings. By 1994, the need for conservation was realized and the process of formulating an appropriate policy on wetlands was initiated. By 2001, wetlands came to be regarded as 'granaries of water'. From being a program in 1994, wetlands had by 2005 obtained an institutional home within government structure. Wetlands are now better known with detailed information up to the district level. The 56 districts then existing by 2004 all had District Wetland Action Plans and some communities in a few districts have gone ahead and prepared Community Wetlands Action Plans. Despite such an impressive achievement, the implementation of the various action plans is constrained by lack of resources. Furthermore, despite a wide array of achievements, wetlands, degradation is still evident- some for basic survival needs of the poor, others as a saving measure where land purchase prices are high, and yet others are the result of ignorance about ownership and legal boundaries of wetlands.

***Relation to the project:*** Primary schools part of whose land is a wetland must develop it in consideration of regulatory requirements for environment and wetland protection.




*Source: http://www.uganda-mining.go.ug/magnoliaPublic/en/GeologyMining/MineralOccurances/mainColumnParagraphs/0/content_files/file/MinOccMap.jpg*

Figure 6: Mineral deposits in Uganda

***b) Water***

Water is life, and Uganda has significant quantities of the resource. From both hydrological and social water scarcity considerations at the moment, Uganda is not water stressed. However, by 2025, indications are that there will be reason to worry as a result of increasing demands for human, livestock, wildlife, irrigation and industrial water. Uganda is ranked in a group of countries that must plan to secure more than twice the amount of water they used in 1998 in order to meet reasonable future requirements. The quality of the water from available sources is another area of concern principally as a result of pollution – residential, industrial and agricultural land discharges into the open water bodies. To some extent the buffering capacity of wetlands is making a contribution towards reductions in pollution, but this will continue only if the integrity of the wetlands can be sustained.

***Relation to the project:*** Building construction at schools to be assisted by the project is expected to take small quantities of water and for only the duration of construction activities. However, school sanitation especially washing hands at latrines and drinking water for pupils will always require water supply. These coupled with probable increase in pupil enrolment at schools that receive additional classroom blocks call for water harvesting and storage provisions in building design. It is common for school children especially in upper primary classes (e.g. P6-P7) to collect school water and sometimes travel distances may be considerable. Although not a daily undertaking, exertion and exhaustion from this activity may affect concentration and learning in class.

***c) Fisheries***

The fisheries resource of Uganda has been an important source of high quality solid animal protein. On average Ugandans were consuming about 13 kg/person/year by 1994. As of 2005, this consumption was estimated to have declined to about 13kg/person/year, mainly as a result of increasing scarcity and cost. Exports of fish products are also on the increase. There is evidence of localized over-fishing in certain water bodies. Two lakes (Victoria and Kyoga) and two species (Nile Perch and Tilapia) account for over 80% of annual harvest, implying a high level of selectivity. On the other hand, the Nile Perch, a carnivore, is having a divesting effect of the fish biodiversity of the Victoria and Kyoga.

A few fisheries policies are in place and seek to address, among others, enhanced aquaculture development by adding 100,000 tons per year in the fisheries capture of about 330, 000 tones so as to raise combined long run sustainable supply to 430, 000 tonnes.

***Relation to the project:*** Due to their young age, primary school children are generally not likely to be found actively involved in lake fishing activities. However, this scenario may be different from aquaculture where, just like gardening, family labour is usually utilised.

Plate 3: Many homes in Uganda use family labour in household farming activities

*Source: The State of Uganda Population Report 2012. Uganda Population Secretariat & UNFPA, p75.*

### 3.5.4 Cross-Sectoral Resources

***a) Energy***

The dominant source of energy in Uganda is biomass and this is expected to remain so in the foreseeable future in spite of plans to increase hydropower energy production. However, the share of clean energy in total consumption is gradually increasing, in part as a result of programs like the Energy for Rural Transformation. Production of energy is being liberalized, attracting an increasing interest among private investors. The adverse environmental effects of clean production are mitigated through the EIA guidelines for Uganda 1997 and the EIA guidelines for the Energy Sector. There are some efforts to promote clean energy sources such as solar and biogas. Unfortunately, capital investment required is not yet afforded by the rural poor.

***Relation to the project:*** In rural areas, it is a responsibility of women and children to travel long distances in search for firewood for domestic use. In some cases this may affect their school attendance or punctuality in reaching schools. Some rural schools use children in higher classes (e.g. P6-P7) to search for firewood in bushes, required to prepare meals or porridge. Often this is not a daily undertaking but in light of increasing scarcity, associated travel distances and ensuing exhaustion can affect concentration and learning in class.

***b) Biodiversity***

Uganda is endowed with a very rich and varied biodiversity due to its biogeographical setting, varied altitudinal range and extensive drainage systems. This biodiversity is a national asset supporting rural livelihoods and contributing to commercial economic activities. The contribution of Uganda's biodiversity resources, organisms or parts there-of, population or other biotic components of ecosystems with actual or potential value for humanity has been estimated at $1000 million per year, balanced against economic costs of $ 202 million plus loses to other economic activities of about $49 million per year. While Uganda continues to lose some of its rich biodiversity, the rate of loss has been reduced somewhat. Reflected in terms of living Uganda's Index, the country out-performs Planet Earth as a whole when Living Planet Index is considered. The loss of biodiversity in protected areas has to a great extent been stopped and the trend reversed between 1990 and 2005. Outside protected areas biodiversity loss was still continuing as of 2005. The loss of biodiversity is largely the result of habitat conversion and introduction of exotic species.

***Relation to the project:*** Biodiversity aspects would apply to the project only in rare situations that schools supported by the project and buildings to be constructed are in ecologically-sensitive areas.

***c) Tourism***

According to Uganda Tourism Board (UTB), Uganda's tourism earnings have doubled in the last five years from USD$440m to $800 m in 2012. Uganda is now ranked top in tourism industry growth in Africa. According to the 2011 tourism review in Africa, Uganda's tourism sector grew by 25% in 2011 while that of South Africa and Tanzania realized growth of 21% and 13.4% respectively. Uganda's tourism growth is attributed to its top tourist destination hubs like Murchison Falls National Park, Queen Elizabeth national park, Bwindi Impenetrable Forest renowned for its Mountain Gorilla Safari activities.

***Relation to the project:*** It is unlikely that primary school children would be directly involved in tourism activities but where their parents or teachers have associated activities such as production of art and craft, children may be involved in collecting required raw materials (reeds, straw/fibre, feathers, etc). Ideally these would be undertaken outside school time but where children miss school to do this, it is would affect their attendance and performance.

## 3.6 Socio-Economic and Cultural Environment

### 3.6.1 Human settlements, housing and urbanizations

In general and particularly in rural areas, settlement patterns are wasteful of land and increase the cost of providing services to the areas. The settlements are also largely unplanned; and where plans exist they are often not adhered to. The quality of Ugandans' housing has improved over the years. When compared to the situation in 1991 where over 85% of the households in both urban and rural areas has rammed earthen floors, by 2002 only 29% urban and 77% rural households had them.

Although Uganda is one of the least urbanized countries in the world in absolute terms, the urban population is growing. Beginning from about 635 00 in 1969, the urban population increased to 938 00 in 1980, 1,890,000 in 1991 and 292,200 in 2002. The urban population is also growing faster (3.7%) than the national average (3.4%). The growth in the urban population means that pollution issues such as solid wastes management, and the provision of adequate safe water and acceptable level of sanitation coverage will have to be addressed.

***Relation to the project:*** In urban areas due to land scarcity and low enforcement of landuse zoning, it is common to find primary schools in congested residential settlements or trading centres. Where small inadequately fenced primary school campuses are surrounded by highly populated neighborhoods or slums, pupils face social risks such as early witnessing or exposure to incidents of drug abuse, prostitution, use of indecent language and road accidents especially caused by *"boda-boda"* commuter motorcycles.

### 3.6.2 Safe water and sanitation

Access to safe water and sanitation in both urban and rural areas has increased compared to the situation 10 years ago. For example in 1991, only 11 towns had the services of the National Water and Sewage Cooperation (NWSC) but now the corporation covers 19 towns. By 2004, rural access to safe drinking water had increased to 57% while the urban one was at 67%. If current trends continue, and incremental investment funds are procured, Uganda should meet its Millennium Development Goal on water supply. While safe water access per se has improved, functionality of water points is another key issue. Also, the costs of water in urban areas and the distance travelled to and queuing at water points in rural areas easily undermine accessibility. As far as sanitation is concerned, latrines coverage, the board indicator (as a measure) of environmental health had improved from 41.7% in 1999 to in 2002.

***Relation to the project:*** Availability of adequate water for drinking and sanitation is still a challenge in many primary schools- both in urban and rural areas. This is the reason buildings proposed by the project should have proviso for rainwater harvesting and storage.

### 3.6.3 Environmental pollution

As Uganda's urban areas increases in number and the urban population grows, pollution of air, noise and water are emerging as significant issues in environmental management around schools. Standards have been established for noise, air quality and wastewater discharge but enforcement is still low.

***Relation to the project:*** Support to be provided by UGPEP will likely increase pupil enrolment in primary schools and tis may outstrip existing sanitation facilities. Provision of classroom buildings should be matched with commensurate number of latrine/ toilet stances for pupils (girls' separate from boys') and teachers.

### 3.6.4 Poverty

A May 2013 Poverty Status Report released by Uganda's Ministry of Finance Planning and Economic Development (MFPED) indicates that poverty levels among Ugandans have continued to decline, a trend that gives hope that the country's economy will continue to grow. According to the study report, the country's poverty levels have been on the downward trend since 1992 except in 2002/03 when a survey indicated that poverty levels had gone up. The number of people who are absolutely poor was 9.9 million (56.4%) in 1992/93 and reduced to 7.4 million (33.8%). In 1999/2000, the number however went up slightly to 9.3 million (38.8%) in 2002/03 but it reduced to 8.5 million (31%) in 2005/06 and to 7.5 million (24.5%) in 2009/10. MFPED attributes the reduction in poverty levels to the reduction in the number of households relying mainly on subsistence agriculture.

***Relation to the project:*** Declining poverty levels mean that even more rural parents will afford to take children to primary school. This necessitates increasing infrastructure in schools to avoid likely stress on existing facilities.

### 3.6.5 Health

Key health statistics in Uganda are outlined below[9]:

- In 2011, Uganda Government owned the highest percentage (46%) of hospitals in the country followed by private Not-For-Profit entities at 43% while private For-Profit organizations owned 11%.
- In 2011, polio immunization coverage was 95 % among the children below 5 years of age.
- In 2010/11, there were 34.9 million Out Patients Department (OPD) visits as compared to 36.8 million visits in 2009/10 in government and private Not-For-Profit healthcare facilities.
- Latrine coverage at national level has continued to improve for the last five years, standing at 71 % in 2010/11 from 69 percent in 2009/10.
- Malaria remains the highest cause of both morbidity and mortality among the children below 5 years of age. This is the age at the bottom of the primary school-going children and prevalence is higher in rural areas.

***Relation to the project:*** High malaria prevalence among primary school-going children in rural areas without healthcare facilities or where access is difficult may lead to children often missing school. While the project will not provide malaria control treatment or mosquito nets, training given to teachers could include instruction about cost-effective easy to learn malaria control practices that can be taught to primary school children. This instruction could also apply to sanitation-related diseases that can be prevented by simple cleanliness habits such as hand-washing after using latrines or before eating food.

### 3.6.6 Cultural heritage

[9] UBOS 2012, Statistical Abstract

Cultural heritage is part of humanity's link with the world and its past, its achievements and discoveries. The National Environmental Act provides for protection of the country's cultural heritage. About 187 cultural, historical and para-archaeological sites have been identified and their specific locations recorded in Uganda.

***Relation to the project:*** This will only be relevant to the proposed in the unlikely event that a campus of a primary school supported by the project has physical cultural resources or when chance finds are encountered during construction works. A protocol to manage chance finds if encountered at any site during project implementation is provided in Annex 5.

# 4 PREPARATION AND OBJECTIVES OF THE ESMF

## 4.1 Objective of this ESMF

Key objectives of the ESMF are to:

- Provide a framework for integration of social and environmental aspects at all stages of project planning, design, execution and operation.
- Enhance positive social and environmental impacts of the project and avoid/minimize or manages any potential adverse impacts.

In line with environmental requirements of Government of Uganda (GoU) and the World Bank, the environmental and social safeguards policies shall be applied to the project components. The ESMF spells out the procedures and methodologies for identifying potential environmental and social impacts during project planning, design and implementation and outlines management instruments required to effectively address them. Appropriate institutional arrangements towards implementing the ESMF and capacity building efforts required have been provided in the framework. The adoption of this framework shall ensure that the project meets national environmental and social requirements and are also consistent with applicable safeguards policies of the World Bank.

The ESMF is intended to be used as a practical tool during program formulation (where environmental screening is applied), design (when ESIA is undertaken), implementation and monitoring (when EMP is implemented and reported). It describes the steps involved in screening of projects and developing EMPs to address potential environmental and social impacts of project activities. It also provides guidance in cases where screening indicate that a separate Environmental Impact Assessment (EIA) is required. The ESMF includes an Environmental Management Plan (EMP) for the project's implementation. The EMP outlines institutional arrangements necessary for implementation of mitigation and monitoring measures, timeline, capacity building and training measures, and cost estimates for these activities under the proposed program.

The screening process outlined in this ESMF is consistent with GoU's National Environmental Act, EIA Regulations, Guidelines and the Bank's safeguard policy OP 4.01 Environmental Assessment. These laws and policies require assessment of proposed projects for potential environmental and social impacts, and that the required environmental assessment is carried out on the basis of the screening results. Thus, screening may indicate that (i) no additional environmental assessment would be required; (ii) the application of simple mitigation measures by qualified staff would suffice; or, (iii) a detailed environmental impact assessment (EIA) would be required.

## 4.2 Methodology used to prepare the ESMF

The ESMF was prepared based on the following methodology

a) Document review including the following:

- UPPET ESMF,
- Uganda Statistical Abstract 2012,
- The National Environment Act 1995,
- Environment Checklist of the Ministry of Local Government,
- World Bank Safeguard Policies,
- The Universal Post-Primary Education and Training Act, 1997,

b) Consultations with Ministry of Education and Sports

c) Discussions were held with selected schools to understand challenges in implementing UPPET, opportunities the project may encounter or utilise as lessons.

Ministry of Education and Sports has had prior experience with implementing World Bank Projects and therefore has some knowledge for safeguards requirements relating to Bank environmental and social safeguard policies. Therefore, the ESMF of the ongoing UPPET project was adopted, revised and applied to UGPE. Lessons from implementation of UPPET project ESMF have been incorporated into this ESMF. In addition the institutional capacity was also reviewed and remedial measures recommended to strengthen implementation of UGPE ESMF.

# 5 POLICY, LEGAL AND INSTITUTIONAL FRAMEWORK

In this section the policies, legal and institutional frameworks for environmental management in Uganda are discussed.

## 5.1 Policy Framework

### 5.1.1 Uganda's Vision 2040

This Vision Framework provides plans and strategies to operationalize the Ugandan vision which is "A transformed Ugandan society from a peasant to a modern and prosperous country within 30 years". It aims at transforming Uganda from a predominantly peasant and low income country to a competitive upper middle income country with per capita income of about USD9,500. Over this period, average real GDP growth rate will be over 8.2 per cent per annum translating into total GDP of about US $580.5bn with a projected population of 61.3 million. This will match the level of development observed in upper middle income (UMI) countries such as Malaysia, Mauritius, Hungary and Chile. Table below presents development status and desired targets.

To attain this level of per capita income the country will exploit its enormous and novelty opportunities including; oil and gas, tourism, minerals, ICT business, abundant youthful labor force, strategic geographical location, fresh water resources, industries and agriculture. These opportunities will be harnessed through strengthening fundamentals including; physical infrastructure (transport, ICT and energy), Science, Technology, Engineering and Innovation (STEI); and globally competitive human resource.

The main vision strategies include:

a) Review the architecture of government service delivery system to act as a unit, harness synergies and deliver public services efficiently and effectively.
b) Government will invest directly in strategic areas to stimulate the economy and facilitate private sector growth.
c) Pursue an urbanization policy that will bring about better urban systems that enhance productivity, liveability and sustainability.
d) Government will pursue policies aimed at leapfrogging in the areas of innovation, technology and science, engineering, human resource development, public sector management, and private sector development.
e) Develop and implement a National Innovation System that will help in initiating, importing, modifying and diffusing new technologies.
f) Government will front-load investments in infrastructure targeting areas of maximal opportunities with focus on oil, energy, transport and ICT.
g) Accelerate industrialization through upgrading and diversification to effectively harness the local resources, off shoring industries and developing industrial clusters along the value chain.
h) To develop and nurture a national value system by actualizing a national service programme to change mind sets and promote patriotism and national identity.
i) The vision will be implemented in accordance with existing and future agreements, standards and protocols within the framework of regional integration.

Uganda's Vision 2040 plans the provision of universal primary (and secondary education) as a human right and consolidated as basic education. This project therefore compliments this aspiration.

### 5.1.2 Uganda's National Environmental Action Plan (NEAP)

Uganda's National Environmental Action Plan seeks to promote and implement sound environmental policy. The UEAP represents the culmination of a series of initiatives and activities coordinated by the NEMA. It is the master plan for the environment in Uganda and contains a National Environment Policy, Framework Environmental Legislation and Environmental Strategy. The NEAP consists of Sectoral Plans for the medium and long term intended to lead to sustainable development in the country.

The NEAP has been innovative and included the following steps:

- The development of a National Consensus on the NEAP,
- The setting up of the National Environment Management Council,
- The establishment of the NEMA,
- The enactment of the legislation of the National Environment Act,
- The establishment of Working Groups to address thematic environmental issues.

The successful coordination and implementation of all the measures in the NEAP calls for national and international consensus and cooperation. The other environmental strategies are:

- The National Strategy and action Plan on Biodiversity Conservation,
- The National Strategies on Protection of Wetlands and Water Bodies,
- The National Strategy on Climate Change,
- The National Action Plan to combat Desertification.

The NEAP puts special emphasis on environmental management, pollution and nuisances, and the necessity to safeguard the well-being of the populations.

### 5.1.3 The National Environment Management Policy

The National Environment Management Policy for Uganda (1994) is the cornerstone of the country's commitment to social and economic development that is environmentally sustainable and brings the benefits of a better life to all. The National Environment Management Policy gives the overall policy framework, which calls for sustainable development that maintains and enhances environmental quality and resources productivity to meet human needs of the present generation without compromising ability of future generations to meet their own needs.

The framework points out cross-sectoral guiding principles and strategies to achieve sustainable socio-economic development. The policy sets a guiding principle that Environmental Impact Assessment should be required for any activities which cause significant impact on the environment. Other relevant policies to be considered in the implementation of UGPEP include the Land Policy, the National Wetlands Conservation and Management Policy, the National Forestry Policy, the Water Policy, the National Health Policy, the National Forestry Policy, and the National Gender Policy.

### 5.1.4 Social Strategies: The Poverty Reduction Strategies

The Poverty Reduction Strategies aim to provide the blueprint for economic and social development and reflect the commitments of both the Government and its external partners. The overall goal is to reduce income disparities and disparities in access to sources of income and empowerment. The PRSPs concentrate on four development objectives. To avoid the occurrence of the weaknesses in the previous strategies, the already guaranteed political commitment must be translated in terms of ensuring performance-based management towards implementation. Allocating adequate resources to support the planned activities must also be reinforced by:

- Creating and enabling Policy for Environmental Management, for Economic Growth and Poverty Reduction,
- Improving Productive Capacity and Social Protection of the Poor and Vulnerable,
- Increasing coverage of Basic Social Services needs of the poor and vulnerable (Social Protection/Safety Nets),
- Building the Capacity of Local Communities & Civil Society Organizations to play an active role in the process of poverty reduction;

Issues of development concerns (Gender, Environment, Nutrition, HIV/AIDS, Population, Governance and Youths) are now integrated/mainstreamed into the above four pillars to be addressed using cross-sectoral approach.

#### 5.1.4.1 National Development Plan 2010/11 – 2014/15

The education section is included in the National Development Plan in 'increasing access to quality social services' which is one of the eight priority objectives identified in the plan. In 1996, the Universal Primary Education (UPE) was introduced and primary education became free the following year (1997) and compulsory in 2008. In April, 2010, the five-year National Development Plan (NDP) (2010/11 – 2014/15) was announced to replace the PEAP. While having emphasized poverty reduction as in the case of the PEAPs, this NDP places more emphasis on economic growth and upholding economic growth as the main pillar for national development.

### 5.1.5 Medium and Long term Plans

As the education sector is an active and evolving, any long-term plan must seriously take into account current activities and medium-term goals and plans. These are articulated in several documents: the Aide Memoires of the annual Education Sector and Sports Reviews as well as the Planning and Budgeting Workshops held since the inception of Sector Wide Approach (SWAp) in 1998, the Mid-term Review of the ESIP 1998-2003 undertaken in February 2003, the logical framework/strategic plans drafted by departments subsequent to the Mid-Term Review, and the National Poverty Eradication Action Plan (PEAP).

#### 5.1.5.1 Education Sector Strategic Plan (ESSP) – 2004-2015

In 2003, the Education Sector Strategic Plan (ESSP) 2004-2015 was formulated. It succeeded the Education Strategic Investment Plan (ESIP) of 1998-2003. The Education Sector Strategic Plan (ESSP) 2004-2015 was prepared in 2003 to provide a framework for policy analysis and budgeting. For primary schools, it recognized that primary schools were not providing many Ugandan children with literacy, numeracy and basic life skills.

#### 5.1.5.2 Revised Education Sector Strategic Plan (2007-2015)

This is the latest version of the Education Sector Strategic Plan (2004-2015). The decision to re-cost and update the strategic plan was prompted by the addition of six items to Uganda's education policy agenda since the launch of the ESSP 2004-2015. It stipulates a number of specific objectives such as:

a) Improving the quality of primary education through introduction of local language instruction and a simplified thematic curriculum.
b) Increase and improvement of equitable access and completion rate for primary education and ensuring gender equality.
c) Improvement in the quality and relevance of primary education.

d) Ensuring that all pupils successfully completing Primary 7 have access to either academic secondary education or BTVET.
e) Enhancement of equitable access to the business technology, vocational education and training and tertiary education (BTVET).
f) Improvement of the relevance and quality of BTVET and tertiary education; and
g) Improvement of the effectiveness and efficiency of the delivery of education services at all levels by increasing the planning, management and monitoring capacity.

### 5.1.6 The Government White Paper on Education

The 1992 Government White Paper on Education is the basis of official policy on the purposes and programs of education. While some of the programs have been revised as a result of intervening events, the White Paper's articulation of the purposes of Uganda's education system in particular primary education continues to be the supreme guidance for the sector. Its aims are to promote citizenship; moral, ethical, and spiritual values; scientific, technical and cultural knowledge, skills, and attitudes; literacy and equip individuals with basic skills and knowledge - in short, "to contribute to the building of modern, integrated, self-sustaining and independent national economy."

### 5.1.7 International Long-term Commitments

Uganda has two sets of commitments to the international community that have an impact on its long-term plans. These are the Millennium Development Goals (MDGs) and the Education for All goals (EFA). The Plan is in line with these broad sets of goals. The Millennium Development Goal that is relevant to the Ministry of Education and Sports is to ensure that by 2015 boys and girls are able to complete a full course of primary schooling and that gender disparities would have been eliminated at the primary level by 2005 and at all levels by 2015. The Education for All goals (set in Jomtien in 1990 and reaffirmed in Dakar in 2000) include completion of free and compulsory basic education of good quality, equitable access by all children, elimination of gender disparities, and achievement of measurable learning outcomes, especially in literacy, numeracy, and essential life skills.

## 5.2 Legal Framework

### 5.2.1 International Conventions

Uganda is signatory to several international conventions and agreements amongst which the most important are the following:

Table 7: International conventions to which Uganda is a signatory

| Convention | Objective |
|---|---|
| African Convention on the Conservation of Nature (1968) | To encourage individual and joint action for the conservation, utilization and development of soil, water, flora and fauna for the present and future welfare of mankind, from an economic, nutritional, scientific, educational, cultural and aesthetic point of view. |
| Convention on wetlands of International Importance especially as Water Fowl Habitat- Ramsar Convention 1971 | To stop encroachment on and loss of wetland now and in the future, recognizing the fundamental ecological functions of wetlands and their economic, cultural, scientific and recreational values. |
| Convention Concerning the Protection of World and Cultural Heritage 1972 | To establish an effective system of collective protection of the cultural and natural heritage of outstanding universal values. |
| Convention on the International Trade in Endangered Species of Wild Flora | To protect certain endangered species from over exploitation by means of a system of import/ export permits. |

| Convention | Objective |
|---|---|
| and Fauna – CITES 1973 | |
| Convention on the conservation of migratory species of Wild animals 1979 | To protect those species of wild animals that migrate across or outside national boundaries |
| Vienna Convention for the protection of the Ozone Layer 1985 | To protect human health and the environment against adverse effects resulting from modification of the ozone layer. |
| Montreal Protocol on Substances that deplete the Ozone layer 1987 | To protect the ozone layer by taking precautionary measures to control global emissions of substances that deplete it. |
| Basel Convention on the Trans-boundary Movement of Hazardous Wastes and their disposal | To set up obligations for the state parties with a view to:<br><br>-Reducing trans-boundary movements of waste subject to the Basel Convention to a minimum consistent to the environmentally sound and different effects of such wastes<br><br>-Reducing trans boundary movements of waste subject to minimizing the amount and toxicity of hazardous wastes generated and ensuring their environmentally sound management |
| Convention on Biological Diversity- CBD 1992 | To promote diversity and sustainable use Encourage equitable sharing of benefits arising out of the utilization of genetic resources |
| United Nations Framework Convention on Climate Change UNFCCC – 1992 | To regulate the levels of greenhouse gases concentration in the atmosphere so as to avoid the occurrence of climate change on a level that would impede sustainable economic development, or compromise initiative in food production |
| United Nations Convention to combat Desertification –UNCCD 1994 | To combat desertification and mitigate the effects of drought in countries experiencing serious drought and or desertification |
| Lake Victoria Environment Management Programme 1994 | Program for the management of the environment in the Lake Victoria region addressing water quality, land use, wetlands, fisheries and control of water hyacinth |
| Kagera Basin Agreement 1997 | Forum for cooperation between the Kagera Basin States of Uganda, Tanzania, Rwanda and Burundi to ensure that environmental conditions are taken into account in development programs |
| Technical Cooperation Committees for the promotion of resources Development and Environmental Protection of the Nile Basin 1992 | Promote Basin wide cooperation for the integrated and just development, conservation and use of the Nile Basin water and to determine the equitable entitlement of each state of the Nile Basin |
| Cooperation enforcement Operations Directed at illegal trade in Wild Fauna and Flora (the Lusaka Agreement) 1996 | Directed at controlling illegal trade in Wildlife and Wildlife products |
| Inter-Government Authority in Development 1986 | Regional Forum for conflict Resolution and environment management particularly early warning system and food security. Covers Sudan, Eritrea, Djibouti, Ethiopia, Kenya, Uganda and Somalia |

### 5.2.2 The Constitution of the Republic of Uganda

This is the supreme law of the land. The constitution provides for, inter alia, matters pertaining to land, natural resources (such as swamps, rivers and lakes) and the environment. Objective XXVII of the constitution declares that:

a) Utilization of natural resources shall be managed in such a way as to meet the development and environmental needs of the present and future generations of Uganda, particularly taking all measures to prevent or minimize damage and destruction to land, air, and water resources resulting from pollution or any other kind of natural resource degradation.
b) The state shall promote sustainable development and public awareness of the need to manage natural resources and to ensure that the utilization of the natural resources of Uganda shall be managed in such a way as to meet the needs of present and future generations.

Under Article 237 (2) of the Constitution, the Government holds in trust for the people and is required to protect natural lakes, rivers, wetlands, forest reserves, game reserves, national parks and any land to be reserved for ecological or tourism purposes for the common good of all citizens. In this regard, it is in the interest of the Government of Uganda that all socio-economic development activities protect and preserve the environment from abuse, pollution and degradation, thus sustainable development.

### 5.2.3 Education Act

The Education Act was enacted in 2008 and has the following objectives.

i) To give full effect to the education policy of the government and the functions and
ii) services of the government
iii) To give full effect to the decentralization of education services
iv) To give full effect to the universal primary education policy of the government
v) To give full effect to the universal post primary education and training policy of the
vi) government
vii) To promote partnership with various stakeholders in the provision of education services
viii) To promote the quality control of education and training
ix) To promote physical education and sports in schools

The Act addresses such matters as the role of the Minister, categories of educational institutions, functions of government grant-aided educational institutions, free universal primary education and universal post primary education, levels of education, registration and licensing of teachers, control and management of schools, special provisions relating to private schools and the quality control of education. The Act stipulates that “the provision of education and training for a child shall be the joint responsibility of the state, parent or guardian and other stakeholders, the basic education shall be provided and enjoyed as a right by all persons.” Article 13 stipulates “primary education shall be universal and compulsory for pupils aged 6 (six) years and above”. The Constitution of Uganda adopted in 1995 clearly states that all persons have a right to education and that a child is entitled to basic education which shall be the responsibility of the state and the parents of the child (UNESCO, 2010).

### 5.2.4 National Environment Act CAP 153

The National Environment Act CAP 153 defines programs in the third schedule for which an EIA is a requirement. It also provides for guidelines and regulations for undertaking an EIA and emphasizes public participation in the conduct of an EIA. Sections 19, 20 and 21 of the Act lay out the EIA process, and Sections 22 and 23 make it a requirement to undertake environmental audits and monitoring of on-going activities or projects under implementation. The National Environment Act also established the National Environment Management Authority (NEMA), which is charged, inter alia, with the responsibility to oversee, coordinate, supervise and operationalize the EIA process in Uganda. Over the years, NEMA has issued several guidelines and regulations to ensure sustainable management of the environment. For implementation of UGPEP the following will be critical.

- The National Environment Impact Assessment Regulations S.I. No. 13/1998
- The National Environment (Wetlands, River Banks and Lake Shores Management) Regulations, 2000
- The National Environment (Noise Standard and Control) Regulations (2002)
- The National Environment (Waste Management) Regulations 1999
- The National Environment (Standards for Discharge of effluent into Water or on Land) Regulations, 1999.

### 5.2.5 The Investment Code, No. 18 of 1987.

This Code empowers the Uganda Investment Authority (UIA) to, among other things, attract and coordinate all local and foreign investments in the country to enhance economic development. Section 19 of the code requires every investment license to take necessary steps to ensure that the operation of its business enterprise does not cause any injury to the ecology or the environment.

### 5.2.6 Other key legislation and regulations

a) The Water Act Cap 152
b) The Water Resources Regulations 1998
c) The Land Act 1998
d) The Public Health Act, Cap 281

## 5.3 The EIA Process in Uganda

The EIA guidelines (NEMA 1997) and the EIA regulations (NEMA 1998) recognize the following stages of the EIA process:

- Project brief formulation;
- Screening;
- Environmental impacts study;
- Decision making

In addition public consultation is required throughout the EIA process. Figure below shows EIA process in Uganda.

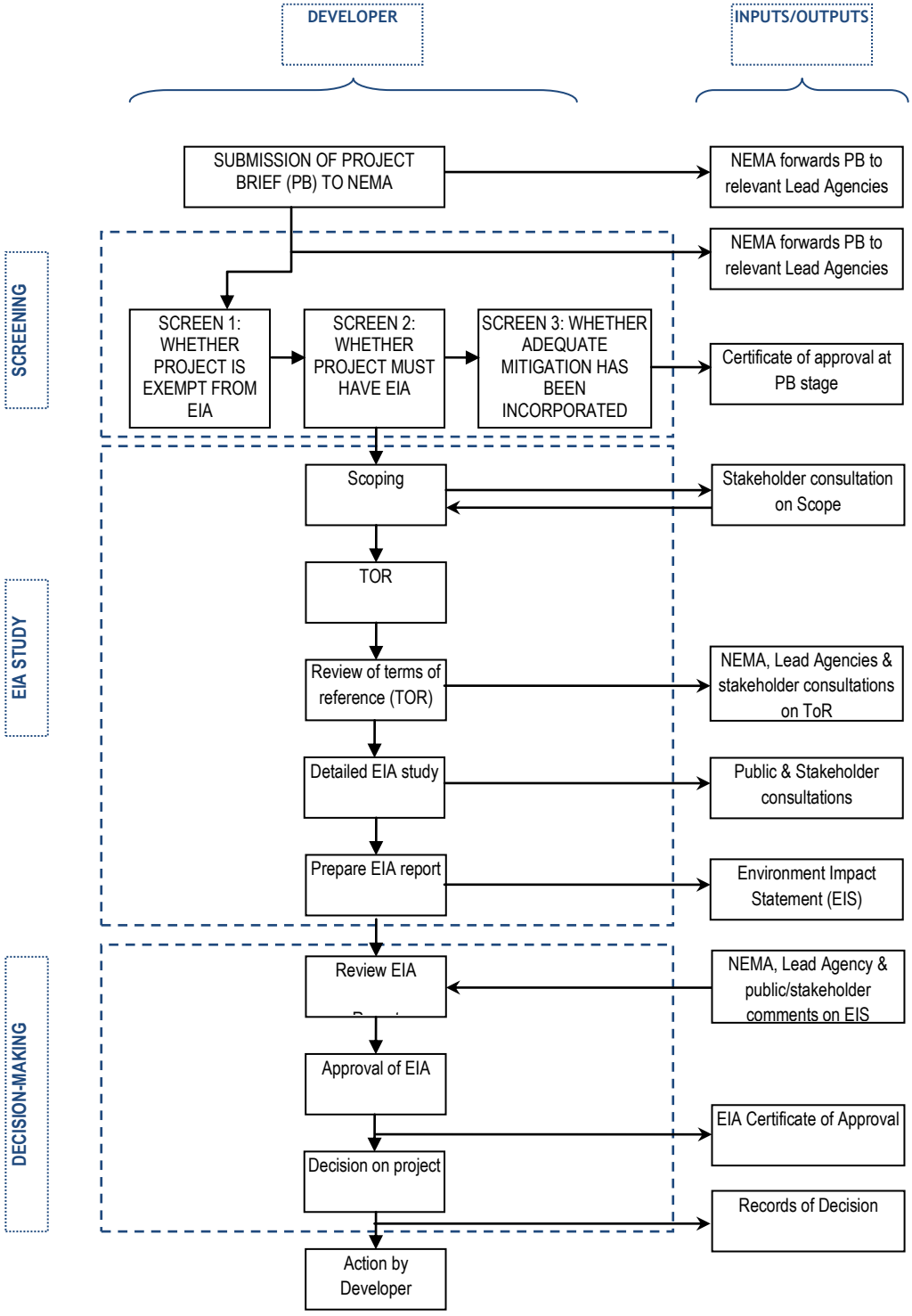



Figure 7: Summary of EIA process in Uganda

### 5.3.1 Preparation of Project Brief

A concise project brief shall be prepared by the developer for submission to NEMA. This shall provide essential project information to guide NEMA on the screening criteria to which the proposed project should be subjected. The report shall include the following key information:

a) Contact details of developer;
b) Characteristics of project;
c) Project description;
d) Reasons for project;
e) Background to the project;
f) Project site;
g) Baseline data;
h) Physical form of the development;
i) Construction practices;
j) Operations;
k) Preliminary analysis of alternatives;
l) Other large projects within the area of influence of the proposed project;
m) Characteristics of the potential impacts;
n) Nature, extent and magnitude of impacts;
o) Probability of impacts;
p) Duration frequency and reversibility of impacts;
q) Mitigations measures proposed; and
r) Trans-boundary nature of the impacts.

In the case of UGPE, preparation of these briefs will be the responsibility of MoES.

### 5.3.2 Environmental Screening

The objective of screening is to determine the extent to which a project is likely to affect the environment and therefore, be able to determine the level of assessment required. Screening is generally guided by the following criteria largely based on the contents of the Project Brief given in the previous Sub-section:

- Size or location of project;
- Type of project;
- Potential socio-economic and biophysical impacts compared against set thresholds and standards, and
- Provision of an Environmental Management Plan (EMP) to address any identified impacts.

There are three screening stages:

- Screen I: The first screening decides on the projects that do not require an EIA.
- Screen II: Projects that require mandatory EIA are directly subjected to a detailed EIS.
- Screen III: Projects that do not fall under any of the above two categories do not require a mandatory EIA though they are associated with some minor, site specific, and easily predictable impacts. If adequate mitigation measures are already prescribed for a project in the Project Brief, it can be approved directly, and if not, then an Environmental Impact Review (EIR) is required. Depending on the results of the EIR, the project can be approved or subjected to a detailed EIS.

If a decision is made at the screening stage to exempt a project, or to approve its environmental aspects on the basis of identified adequate mitigation measures, such a decision shall be contained in a Certificate of Approval of the EIA issued by NEMA.

### 5.3.3 Environmental Impact Study

According to the EIA Regulations 1998, EIS refers to the detailed study conducted to determine the possible environmental impacts of a proposed project and measures to mitigate their effects. The EIS process contains the following key stages:

- Scoping and ToR;
- Preparation of the EIS;
- Review of EIS and Decision on project; and
- Environmental Monitoring.

### 5.3.4 Scoping and ToR

Scoping is the initial step in the EIS. Its purpose is to determine the scope of work to be undertaken in assessing the environmental impacts of the proposed project. It identifies the critical environmental impacts of the project for which in- depth studies are required, and elimination of the insignificant ones. The scoping exercise should involve all the project stakeholders so that consensus is reached on what to include or exclude from the scope of work. It is also at this stage that project alternatives are identified and taken into consideration. The contents of the scoping report are the same as the project brief however more detail is likely to be needed. This may involve some preliminary data collection and field work.

The Developer takes the responsibility for scoping and prepares the scoping report after consultation with NEMA, Lead Agencies and other stakeholders. The developer with assistance from technical consultants will draw up the ToR for the EIS and submit a copy to NEMA that shall in turn be forwarded to Lead Agencies for comments, in this case including the District Local Government or District Environment Officer.

### 5.3.5 Preparation of the EIS

In preparing an EIS, relevant information is collected on issues of real significance and sensitivity. These are then analyzed, mitigation measures developed for the adverse impacts and compensatory measures recommended for unmitigated environmental impacts. Measures aimed at enhancing beneficial or positive impacts are also given. An EIS documents the findings and is submitted to NEMA by the developer.

### 5.3.6 Review of EIS and Decision on Project

The Developer is required to submit ten (10) copies of the EIS to NEMA for review and approval. NEMA then forwards a copy to the Lead Agencies for comments. NEMA in consultation with the Lead Agencies (in this case including the District Local Governments) shall review the contents of the EIS, paying particular attention to the identified environmental impacts and their mitigation measures, as well as the level of consultation and involvement of the affected stakeholders in the EIS process. In this review, the level to which the ToR set out for the study is addressed shall be considered. In making a decision about the adequacy of the EIS, NEMA shall take into account the comments and observations made by the Lead Agencies, other stakeholders and the

general public. NEMA may grant permission for the project with or without conditions, or refuse permission. If the project is approved, the Developer will be issued a Certificate of Approval.

### 5.3.7 Environmental Monitoring and Management Plan

Monitoring is the continuous and systematic collection of data in order to assess whether the environmental objectives of the project have been achieved. Good practice demands that procedures for monitoring the environmental performance of proposed projects are incorporated in the EIS.

The purpose of monitoring is to:

- Provide information that the predicted impacts from a project are within the engineering and environmental acceptable limits;
- Provide an early warning information for unacceptable environmental conditions;
- Ensure that the mitigation measures proposed in the environmental management plans are implemented satisfactorily; and
- Assist in identifying additional mitigation efforts needed or where alteration to the adopted management approach may be required.

To assist in the implementation of identified mitigation and monitoring strategies, an environmental monitoring plan will be developed. It will describe the various environmental management strategies and programmes to be implemented. It will also identify the management roles and responsibilities for ensuring that monitoring is undertaken, results are analyzed and any necessary amendments to practices are identified and implemented in a timely manner.

The monitoring plan shall provide for monitoring of both project implementation and environmental quality. It shall contain a schedule for inspecting and reporting upon the implementation of the project and associated mitigation measures identified in the EIS. The monitoring plan shall also identify the key indicators of environmental impact. Further, the plan shall provide a schedule for monitoring each indicator and for reporting the monitoring results to NEMA or the Local Authority.

The data collected during monitoring is analyzed with the aim of:

- Assessing any changes in baseline conditions;
- Assessing whether recommended mitigation measures have been successfully implemented;
- Determining reasons for unsuccessful mitigation;
- Developing and recommending alternative mitigation measures or plans to replace unsatisfactory ones; and
- Identifying and explaining trends in environment improvement or degradation.

### 5.3.8 Public Consultation

The environmental impacts or effects of a project will often differ depending on the area in which it is located. Such impacts may directly or indirectly affect different categories of social groups, agencies, communities and individuals. These are collectively referred to as project stakeholders or the public. It is crucial that during the EIA process, appropriate mechanisms for ensuring the fullest participation and involvement of the public are taken by the developer in order to minimize social and environmental impacts and enhance stakeholder acceptance. In the case of UGPEP prior to its implementation at any given School site, meetings will be held at the Local Council 3 level involving leaders, Technical Personnel, School Board of Governors and the Communities where the new site is to be located.

NEMA prepared EIA Public Hearing Guidelines (1999) providing methodological guidelines on public consultation. An effective consultation process should generally ensure that:

- The public has a clear understanding of the proposed project; and
- Feedback mechanisms are clearly laid out and known by parties involved.

Different stages of the EIA process require different levels of public consultation and involvement. The key stages are:

- Public consultation before the commissioning of the EIS;
- Public consultation during the EIS; and
- Public consultation during EIS review.

Consultation can be before, during the EIA study or during its review as outlined below:

**a) Consultation before the EIA**

On submission of the project brief to NEMA, it might be decided that views of the public on the project are sought. NEMA is obliged to publish the developer's notification and other relevant documents in a public notice within 4 weeks from the date of submission of the project brief and/or notice of intent to develop.

It is important therefore, that a plan for stakeholder involvement is prepared before the EIS begins. Such a plan should consider:

- The stakeholders to be involved;
- Matching of stakeholders with approaches and techniques of involvement;
- Traditional authority structures and political decision-making processes;
- approaches and techniques for stakeholder involvement;
- Mechanisms to collect, synthesize, analyze and, most importantly, present the results
- To the EIS team and key decision-makers;
- Measures to ensure timely and adequate feedback to the stakeholders;
- Budgetary / time opportunities and constraints; and
- Public Consultations during the EIS.

**b) Pubic consultation during the EIS**

During the EIS, the study team should endeavour to consult the public on environmental concerns and any other issues pertaining to the project. Though consultations are very critical at the scoping stage, ideally, it should be an on-going activity throughout the study.

**c) Pubic consultation during the EIS review**

During the EIS review, the public is given additional opportunity for ensuring that their views and concerns have been adequately addressed in the EIS. Any earlier omissions or oversight about the project effects can be raised at this stage. To achieve this objective, the EIS and related documents become public after submission to NEMA. An official review appointment will be announced, where the reviewing authority has to answer questions and remarks from the public. These questions have to be handed in writing prior to the meeting

# 6 OVERVIEW OF THE WORLD BANK'S SAFEGUARD POLICIES

The World Bank's ten safeguard policies are designed to help ensure that programs proposed for Bank financing are environmentally and socially sustainable, and thus improve decision-making. These operational policies are outlined below and ones to be triggered by the project indicated:

Table 8: World Bank policies showing their trigger status by the project

| Safeguard Policies | Triggered? | | Reason |
|---|---|---|---|
| | Yes | No | |
| OP 4.01 Environmental Assessment | x | | OP/BP 4.01 is triggered because the project will entail civil works (e.g. construction of classroom blocks and latrines).<br><br>For selected public primary schools, construction and rehabilitation of classrooms and sanitation facilities is planned. The schools to be selected are in rural areas and the sanitation facilities to be constructed are pit latrines which will not require use of water. The waste (faeces) generated will be contained in pits which can be emptied when full. Management measures of the waste generated will be guided in the ESMF and ESMPs. All the structures to be constructed and/or rehabilitated shall follow national construction standards, including gender and disability requirements.<br><br>The UPPET project ESMF will be adopted, revised by the Borrower and applied to this project to guide implementation of environmental and social aspects of the project.<br><br>Upon confirmation of the project locations, the sub projects will be grouped by district and respective sets of Project Briefs prepared by the Borrower. ESMPs will be developed under each Project Brief to guide site implementation of mitigation measures. Mechanisms for Public Disclosure Copy Public Disclosure Copy implementation of the safeguard instruments shall be included in the PIM and project financing agreements. |
| OP 4.04 Natural Habitats | | x | The project has no adverse impact on natural habitats. |
| OP 4.09 Pest Management | | x | The project will not involve use of pesticides. |
| OP 4.11 Physical Cultural Resources | x | | This is triggered because project investments involve civil works and may affect physical cultural resources. At this stage, the project ESMF will includes provisions for chance finds management. The respective ESIAs to be undertaken (compilation of Project Briefs & ESMPs) will include PCRs investigation, |

| | | | |
|---|---|---|---|
| | | | assessment and management measures. |
| OP 4.12 Involuntary Resettlement, | x | | The project is to be implemented at already existing public primary schools and there will be no acquisition of new land. However, there may be displacement of land uses due to civil works (expansive/rehabilitation). Therefore, a resettlement policy framework (RPF prepared separately) used under UPPET project will be adopted, revised and applied to this project. The RPF and PAD will also describe land tenure arrangements and any social impacts that could affect access to resources and livelihoods as a result of the project. |
| OP 4.10 Indigenous People | x | | This policy has been triggered because some project schools are in IPs areas: such as *Ik* in Kaabong District, and *Batwa* in Districts of Kisoro, Bundibugyo, Kasese and Kanungu. Therefore, an Indigenous Peoples Planning Framework will be prepared. |
| OP 4.36 Forests | | x | The project is not expected to affect the management of forests and neither will it support forest nor logging operations. |
| OP 4.37 Safety of Dams | | x | The project will not support or depend on dams. |
| OP 7.50 Projects on International Waterways | | x | This does not apply to the education sector or primary schools to benefit from UGPEP. |
| OP 7.60 Projects in Disputed Areas . | | x | The project will not be implemented in disputed areas. |

All above Operational Policies are discussed below with details provided in Annex 6.

### 6.1 OP 4.01 Environmental Assessment

The objective of OP 4.01 is to ensure that programs financed by the Bank are environmentally and socially sustainable, and that the decision making process is improved through an appropriate analysis of the actions including their potential environmental impacts. Environmental assessment (EA) is a process whose breadth, depth, and type of analysis depend on the nature, scale, and potential environmental impact of the proposed program. EA takes into account the natural environment (air, water, and land); human health and safety; social aspects (involuntary resettlement, indigenous peoples, and cultural property); and trans-boundary and global environmental aspects.

EA considers natural and social aspects in an integrated way. OP 4.01 is triggered if a program is likely to present some risks and potential adverse environmental impacts in its area of influence. Thus, in the case of UGPEP, potential negative environmental and social impacts due to program activities and likely to include loss of vegetation, soil erosion, soil and groundwater pollution, air pollution, public health impacts such as traffic hazards, noise, dust, and loss of livelihoods which must be fully identified and the appropriate mitigating measures clearly defined and cost to be incorporated into the program's overall budget. This ESMF has been designed to address potential adverse environmental and social impacts at the planning stage of UGPEP activities.

### 6.2 OP 4.12 Involuntary Resettlement

The objective of this operational policy is to:

a) Avoid or minimize involuntary resettlement where feasible and explore all viable alternative program designs and location.
b) Assist displaced persons in improving their former living standards, income earning capacity, and production levels, or at least in restoring them.
c) encourage community participation in planning and implementing resettlement, and
d) Provide assistance to affected people regardless of the legality of land tenure (encroachers and squatters included).

The policy does not only cover physical relocation, but:

a) Relocation causing loss of land and or loss of shelter;
b) Loss of assets or access to assets; and
c) Loss of income sources or means of livelihood, whether or not the affected people must move to another location.

In the event of land acquisition, the UGPEP will implement the provisions of the Resettlement Policy Framework (RPF) which has been prepared as a separate document.

### 6.3 OP 4.10 Indigenous Peoples

The objective of the policy is (i): ensure that the development process encourages full respect of dignity, human rights and cultural features of indigenous people; (ii) ensure they do not suffer from the detrimental effects during the development process; and ensure indigenous people derive economic and social advantages compatible with their ways of life.

### 6.4 OP 4.11 Physical Cultural Resources

The objective of this policy is the help countries avoid or reduce the adverse impacts of development projects on physical cultural resources. In order to implement such policy, the words “physical cultural resources” mean movable and unmovable objects, sites, structures, natural’s aspects of landscapes that have an importance form the archeological, paleontological, historic, architectural, religious, aesthetic or other. Physical cultural resources could be found in urban or rural areas, as well as both in the open air, under the ground and in water.

# 7 ENVIRONMENTAL AND SOCIAL IMPACTS OF UGPEP

Overall, UGPEP is likely to have a positive impact on the social issues in community development in Uganda in the short, medium and long term. UGPEP will benefit future economic growth.

The project will benefit:

- **Students in primary education** who will gain from more effective, motivated and present teachers as well as improved teaching-learning inputs.
- **Current and future teachers in primary schools** who will benefit through improved in-service and pre-service training.
- **Head-teachers and school management committee members** who will receive training and resources for school improvement.
- **Parents and communities** with children in schools covered under the program that will indirectly benefit from higher quality education, greater information and enhanced voice in school management.

These and other impacts are discussed in sections below in two themes: environmental and social impacts.

## 7.1 Social impacts

### 7.1.1 Positive social impacts

The overarching outcome of UGPEP is improvement of Uganda's primary education with attendant long-term benefits of improved national socio-economic development. Specific benefits of the project are presented in table below.

Table 9: Social impact/ benefits of the proposed project

| | Project component | Benefit/ impact |
|---|---|---|
| 1 | **Effective Teachers (US$ 40 million)**<br><br>Under the project, teacher effectiveness is expected to be promoted directly through a coherent and coordinated mix of initiatives related to (i) teacher competency, (ii) teacher resources, and (iii) teacher motivation and accountability. | Initiatives under this component and associated benefits are:<br><br>**a) Improved teacher competency:**<br><br>Enhancing effectiveness of early grade instruction through provision of training to in-service teachers and ECE instructors.<br><br>**b) Provision of teacher resources:**<br><br>Provision of instructional materials (including teacher reference materials) on the new thematic primary curriculum. These resources are often lacking or inadequate in primary schools.<br><br>**c) Enhanced teacher motivation and accountability**<br><br>▪ Strengthening the design and implementation of a merit-based promotion scheme for teachers.<br>▪ Strengthening the system of field-based advisory support to and accountability of teachers through more effective inspection.<br>▪ Regular and objective assessments of teacher time-on-task and pedagogical practices, undertaken by Uganda National Examinations Board. |
| 2 | **Effective Schools (US$ 50 million)** | Benefits under this component include: |

| | Project component | Benefit/ impact |
|---|---|---|
| | This initiative is 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 through initiatives related to: (1) school leadership and management, (2) school accountability to the community, and (3) school learning environment. | ▪ Increasing the capacity and autonomy of head-teachers and school management committees (SMCs) to support and monitor teacher and student performance.<br>▪ Increasing availability and use of credible information on student, teacher, and school performance to internal and external stakeholders, particularly communities - for planning, transparency, and accountability.<br>▪ Provision of needs-based but performance-linked school facility grants to help meet prioritized basic input standards at the school level. |
| 3 | **Technical Assistance (US$ 10.00 million)** | This component will finance advisory, technical, and capacity-building support in order to reach project objectives, including:<br>▪ Evaluation, review and dissemination of the education sector Early Childhood Development policy and operational standards (including associated capacity building and awareness raising activities).<br>▪ Capacity building for Monitoring and Evaluation.<br>▪ Strengthen design and implementation of Educators of Excellence Awards.<br>▪ Technical assistance to improve the functioning of the current teacher payroll system.<br>▪ Technical assistance for a strong and well-crafted communication strategy relating to different aspects of the program.<br>▪ Technical assistance for generating ESSP for the next cycle. |
| 4 | **Rehabilitation of classrooms** | ▪ This will ensure a safe learning environment for pupils and teachers in beneficiary primary schools.<br>▪ Rehabilitation will return disused or condemned buildings to safe and habitable state. Additional space may increase enrolment numbers in schools. |
| 5 | **Provision of latrines** | ▪ Provision of latrines (separate for boys, girls; male and female teachers) will provide convenience and improve sanitation. This will be so especially if handwash water is provided at latrines.<br><br>**Note**: As an enhancement measure, latrines should be located out of view of classrooms since it was reported that commonly, adolescent girl children will not walk to latrines in full view of boys. Locating latrines behind classes or lining walkways to them with a hedge is a recommended measure. |

### 7.1.2 Social impacts and proposed management measures

### a) Impacts from supply of materials

Supply of teaching materials may create space and storage challenges for some primary schools without buildings. Available classrooms could then be turned into stores creating, acerbating the problem of classroom space scarcity.

*Impact management:*

- *Beneficiary schools should be advised to plan for adequate storage commensurate with quantity of materials they will obtain.*
- *Schools that need a store should have this incorporated in design of the classroom block to be built on site.*

**b) Sharing of teacher housing due to lack of storage space**

If teaching materials and books are supplied to primary schools that don't have a store, the need for material storage space may force teachers to share housing, possibly resulting into unplanned sexual fraternization with attendant risks such as HIV/AIDS and unwanted pregnancies.

*Impact management:*

- *As indicated in a) above, beneficiary schools should be advised to plan for adequate storage commensurate with quantity of materials they will obtain.*
- *Where sharing residences is unavoidable, this ideally should be done by teachers of same gender.*

**c) Teachers moving from UGPEP-aided schools to seek better paying schools after training by the project**

With improved pedagogical skills, teachers (in government primary schools) trained by the project will be more marketable and sought after by private schools. In addition, extra skills from the training may raise their expectation with regard to remuneration and possibly make them search for higher pay in private schools. Movement of teachers from schools that were supported by the project would erode benefits meant to be achieved by these schools.

*Impact management: This can be avoided by having teachers (to be trained) sign multiple-year (atleast 3 years) binding contracts.*

**d) Construction noise disrupting teaching and learning**

Construction noise will disrupt teaching and learning. This impact can be significant where construction activities last for several months or spanning examination periods.

*Impact management: Schools management should require contractors to schedule noisy construction activities outside class time or examination periods.*

**e) Occupational safety risks for construction workers**

Carrying out construction activities without necessary safety gear such as hard hats, hand gloves, foot protection and safety latches when working at heights could have risks of grave injuries leading to disability or even loss of life. These construction workers are the bread-winners in their homes and extended families therefore this risk poses long-term financial handicap in affected homes.

*Impact management: All construction workers must be provided with requisite safety gear and trained in their proper use.*

**f) Safety risks for pupils walking or playing near construction sites**

Near and around construction sites, school children are exposed to risks of harm by falling debris, dust and tripping on construction materials (aggregate, wood poles, etc). Due to their little age and inquisitive nature, pupils need to be protected from potential dangers at construction sites.

*Impact management: School management should sensitize teachers who should in turn educate children about dangers at construction sites in their midst and how to stay away from harm.*

**g) Displacing prevailing land uses at location where buildings would be built**

*Impact management: At some schools, land where buildings will be constructed may be used by teachers or nearby communities for temporary benefit of growing crops or grazing livestock. When this land is to be used by the school, this benefit is lost and may necessitate advance notice or compensation in case some property/ crops are to be destroyed. For example under UPPET, teaches at Wampewo Ntake Senior Secondary School were compensated for crops grown where classroom blocks were to be built.*

*(Note however that land and property loss impacts were addressed in a separate resettlement policy framework developed for this project).*

## 7.2 Environmental impacts

### 7.2.1 Positive environmental impacts

The project will support improvement of basic school facilities (class-rooms, functioning girls and boys toilets, and access to water) in schools without these facilities. Environmental merits of this are discussed below.

**a) Rehabilitation of classrooms**

The project will to the extent possible limit rehabilitation but will primarily focus on construction of new classrooms in selected schools, typically between 3 – 6 classroom (which could be one or two blocks). No storeyed structures are planned in this project.

This undertaking will have the following positive impacts:

i) Rehabilitated classrooms would be more aesthetic.
ii) Rehabilitated classrooms would be safer and of improved indoor environmental quality (better ventilation).

**b) Access to water**

Under this sub-component, installation of rain water harvesting systems in schools is planned. This will have the following impacts:

i) Improved hygiene in schools,
ii) Reduced lost time for pupils (especially in bigger classes) who often have to collect school water,
iii) Availability of drinking water for school pupils.

Plate 4: Rehabilitation of classroom blocks such as this rural primary school building with part of its roof blown off (left background) would ensure safety of pupils and teachers

*Source: The State of Uganda Population Report, 2012. Uganda Population Secretariat & UNFPA, p122.*

**c) Construction of school latrines**

Construction of latrines will improve state of sanitation in these schools. This benefit can however be enhanced by the following considerations:

i) Constructing pit latrines with masonry lining so they can be emptied (without collapsing) whenever they are full.
ii) Provision of hand wash water at the latrines which can be achieved by harvesting and storage of rainwater.
iii) Provision of urinals for boys to reduce volume of liquid in pit latrines (this eventually increases volume of faecal sludge during emptying).
iv) Provision of separate latrine stances for girl and boy school pupils; male and female teachers.
v) Provision of toilet paper.

### 7.2.2 Potential environmental impacts

The likely adverse environmental impacts of implementing UGPE will arise from construction activities. These are discussed in table below.

Table 10: Potential social and environmental impacts of UGPE activities

| Medium | Potential impacts | Mitigation |
|---|---|---|
| Topography | ▪ Topography modification due to cut and fill activities. | ▪ Regulate the use of borrow sites to ensure that they are legally operated, do not hold stagnant water to allow breeding of mosquitoes<br>▪ Refurbish borrow sites |
| | ▪ Increased costs in developing low gradient sites | ▪ Low lying swampy areas will not be considered for construction of buildings and other activities as per Ugandan laws. |
| Soil | ▪ Exposure and erosion of topsoil due to vegetation removal. | ▪ Set aside an area to stockpile topsoil for future landscaping |
| | ▪ Increased extraction of sand and murram for construction. | ▪ Acquisition of sand and murram to be from known suppliers & sources not degrading the environment.<br>▪ Ensure suppliers of construction materials have the required licenses from local authorities; |

| Medium | Potential impacts | Mitigation |
|---|---|---|
| | | ▪ Rehabilitate the borrow pits after use |
| Flora and fauna | ▪ Removal of vegetation to make way for construction may encroach on the wetland areas<br>▪ Sensitive habitats may be degraded or encroached upon by construction activities | ▪ The program will work with district environment office to safeguard the integrity of these areas.<br>▪ Classrooms will not be located in habitat areas such as forests, wetlands, etc. |
| Dust pollution | ▪ Un-paved access roads that will be used daily by trucks and other construction vehicles will generate large amounts of dust.<br>▪ Handling of granular construction material could generate dust | ▪ During construction, un-paved roads should be water sprayed / to reduce dust levels.<br>▪ Employers should provide protective equipment e.g. dust masks and construct well-ventilated workshops as necessary. |
| Noise | ▪ Construction noise disrupting learning at schools | ▪ Schedule construction activities outside class hours. |
| Groundwater | ▪ Potential for pollution of groundwater from improper practice by sub-programs. | ▪ Pit latrines in high water table areas would potentially pollute groundwater. A mitigation is to construct lined pit latrines, or ECO-SAN toilets in high water table areas. |
| Surface water | Construction of pit-latrines, septic tanks and soak ways could cause seepage of contaminated water into aquifers. | ▪ Pit latrines should be excavated avoiding high water table area or with appropriate technologies such as lining.<br>▪ Construction should be monitored by local/district public health officials notably in the siting of these items.<br>▪ Where possible, the pit latrines should be lined and regularly emptied<br>▪ Environmental Guidelines for Rural Water Supply and Sanitation sub-programs should be applied as appropriate |
| Construction waste/ rubble | Improperly managed construction waste would contaminate soil, air or water resources | ▪ Ensure construction contractors have a construction waste management plan.<br>▪ Contractors should identify and obtain consent to dispose of waste in existing waste sites.<br>▪ Contractors should explore waste reuse opportunities by themselves or surrounding communities.<br>▪ No disposal of waste in wetlands must occur |
| Stress on existing sanitation facilities | Increase in pupil enrolment following availability of classroom space my stress sanitation facilities (latrines) especially when projected/ future increase in pupil numbers is not planned for. | ▪ Adequate stances of latrines for male, female pupils and teachers should be provided for about 50% projected increase in pupil enrolment levels.<br>▪ Pit latrines should be constructed with masonry lining so that emptying is easily undertaken.<br>▪ Water for hand washing should be provided at latrines to prevent diseases. This can be achieved by rainwater harvesting off roofs. |
| Improper disposal of waste sucked from pit latrines | With large pupil numbers in some primary schools, pit latrines may fill fairly quickly necessitating emptying with honey-suckers (cesspool emptiers). However in locations without centralised sewage treatment facilities (e.g. lagoons), transportation to existing facilities may involve long distances and thus costly. For especially | ▪ Dumping of faecal sludge in ungazetted places is illegal and onsite disposal facilities/ treatment facilities would be infeasible investment schools should plan for cost associated with its acceptable and legal disposal. This can be achieved by providing for a sanitation budget every year eventhough emptying might not be necessary until after 2-3 years of use. |

| Medium | Potential impacts | Mitigation |
|---|---|---|
| | rural schools remote from towns, this may lead to dumping waste in unauthorised places such as streams or wetlands hence contaminating watercourses on which local communities depend for domestic and livestock water supplies. | ▪ Signing a long-term agreement/ contract with an emptying contractor may lower cost of each.<br><br>Note that schools near urban areas with sewage treatment facilities, can use such facilities. The cost could be with transportation, handling and disposal. |
| Physical cultural resources | Encounter and destruction of chance finds would mostly arise during site excavation activities. | All chance finds should be handed to site supervising engineer for onward transmission to Department of Monuments and Museums by MoE. |

### 7.3 Grievance management

If any grievances arise during implementation of UGPE projects, they should be redressed through a systematic and documentable grievance redress mechanism. The grievance redress mechanism should provide avenues for affected persons to lodge complaints or grievances against the project or contractors during UGEP projects. It also should describe procedures, roles and responsibilities for managing grievances and resolving disputes. Every aggrieved person shall be able to trigger this mechanism to quickly resolve their complaints.

Key objectives of the grievance process are supposed to be:

i) Provide affected people with avenues for making a complaint or resolving any dispute that may arise during project implementation;
ii) Ensure that appropriate and mutually acceptable corrective actions are identified and implemented to address complaints;
iii) Verify that complainants are satisfied with outcomes of corrective actions;
iv) Avoid the need to resort to judicial (legal court) proceedings.

Based on above objectives, grievance management process is described below:

***Step 1: Receipt of complaint***

A verbal or written complaint from a complainant will be received by the site supervising engineer and recorded in a complaints log kept on site.

***Step 2: Determination of corrective action***

If in his/her view, a grievance can be solved at this stage, the site supervising engineer will determine a corrective action in consultation with the aggrieved person.

Grievances will be resolved and status reported back to complainants within 5 working days. If more time is required this will be communicated clearly and in advance to the aggrieved person.

***Step 3: Meeting with the complainant***

The proposed corrective action and timeframe in which it is to be implemented will be discussed with the complainant within 5 days of receipt of the grievance. Consent to proceed with corrective action will be sought from the complainant and witnessed by the area's local council chairperson (LC Chairman) and a member of the School Management Committee.

***Step 4: Implementation of corrective action***

Agreed corrective action will be undertaken by the project or its contractor within the agreed timeframe. The date of the completed action will be recorded in the grievance log.

***Step 5: Verification of corrective action***

To verify satisfaction, the aggrieved person will be asked to return and resume the grievance process, if not satisfied with the corrective action.

## 7.4 Other typical construction impacts

Generic impact construction of buildings (classrooms, pit latrines, installation of rain-water harvesting) typical to what will be undertaken during implementation of UGPE projects is provided in Annex 10.

# 8 ENVIRONMENTAL AND SOCIAL SCREENING PROCESS

## 8.1 The Environmental and Social Screening Process

The sections below illustrate the stages (steps 1-7) of the environmental and social screening process leading to the review and approval of the UGPEP activities. The purpose of this screening process is to determine which activities are likely to have negative environmental and social impacts; to determine appropriate mitigation measures for activities with adverse impacts; to incorporate mitigation measures into the sub- program as appropriate; to review and approve the sub-program's proposals; to monitor environmental parameters during the implementation of activities. The extent of environmental work that might be required prior to the commencement of the sub-programs will depend on the outcome of the screening process described below.

## 8.2 The Screening Steps

The environmental and social process of screening consists of the following steps:

### Step 1: Screening of the UGPEP Sub-Programs

Project screening will be based on a project brief prepared by the School Authorities in consultation with the MoES. However while this requirement is in line with the EIA process of Uganda. PBs may not be required for classroom construction, since EMPs prepared following screening as guided in the ESMF would suffice to handle impacts that may arise.

Screening will be carried out by the Town/ Municipal or District Environment Officer at local government level. Every district, Town or Municipal Council in Uganda has a District Environment Officer (DEO) employed by the District Local Government. These environmental officers are trained and experienced in environmental management and EIA procedures. The District Environment Officer will complete the Environmental and Social Screening Form to facilitate identification of potential environmental and social impacts, determination of their significance, assignment of appropriate environmental category, proposal of appropriate environmental mitigation measures, and where required recommend undertaking of an Environmental Impact Assessment (EIA).

### Step 2: Assigning of Environmental Categories

Assignment of appropriate environmental category to a particular activity will be based on the information provided in the environmental and social screening form that the District Environmental Officer will have administered. There is no UGPEP activity envisioned to require a full EIA given the fact that the construction is a small scale expansion program, school based and using mostly local produced materials by communities. It should be noted that any sub-programs judged to have potential significant adverse impacts on the environment that cannot be mitigated through simple mitigation measures are not anticipated and will not be funded.

### Step 3: Carrying out Environmental Assessment

After analyzing the data contained in the environmental and social screening form and after having identified the right environmental category and thus the scope of the environmental assessment required, the DEO will make a recommendation to the School Authorities/MoES establishing whether: (a) no EIA will be required; (b) the implementation of simple mitigation measures will be required; or (c) a separate environmental impact assessment EIA will be carried out (such activities are not anticipated). According to the results of the screening process, the following environmental assessment will be carried out:

In case of activities under (a) and (b) above, UGPE environmental and social mitigation measures checklist will be used (see Annex 2): Using the checklist the environmental and social mitigation measures will be proposed by the District Environment Officer at high Local Government level and an EMP developed (as shown in Section 10). In case of UGPEP activities falling under (c) above, and Environmental Impact Assessment (EIA) will be carried out to provide for environmental and social due diligence. The School Authorities will in consultation with the MoES source for an EIA practitioner approved by NEMA to prepare terms of Reference and to undertake the EIA study.

The EIA will identify and assess the potential environmental impacts for the planned activities, assess alternative solutions and will design the mitigation, management and monitoring measures to be adopted. These measures will be quoted in the Environmental Management Plan (EMP) that will be prepared as part of the EIA for each sub-program. The preparation of the EIA and the EMP will be done in consultation with all relevant stakeholders, including the people likely to be affected by the sub- program.

The EIA will follow the national procedure established in the framework of the Environment Management Act, EIA Regulations, Guidelines and consistent with the WB OP 4.01. In situations where the screening process identifies the need for land acquisition, qualified service providers will prepare a RAP (Resettlement Action Plan), consistent with the OP 4.12, and the Resettlement Policy Framework (RPF) that has been prepared as a separate document for this program.

An EIA report should have content and structure presented in Annex 11.

**Step 4: Review and Approval**

Review: At the district or municipal level, the District Environment Officer, communities and BOGs will review the environmental and social screening forms and will make recommendations as to whether the results of the screening process are acceptable. In case an EIA needs to be undertaken, the ToR's for the study will be prepared by MoES and reviewed and approved by NEMA, with modifications where necessary.

Approval/Rejection: The EIA study will be undertaken by the EIA practitioner in accordance with the ToRs approved by NEMA. The EIA report will be submitted to NEMA for review. NEMA will then forward a copy to the Local Authority (DEO) for comments.

The comments from the Local Authority will be considered by NEMA in making a final decision on project implementation. If the EIA is approved, NEMA issues the necessary environmental permit that confirms the EIA has been satisfactorily completed and the proposed sub-program implementation may proceed. A record of the decision explains how environmental issues were addressed in the process.

It is important to note that this review and approval process is to be carried out in parallel with the review and approval of the technical, economic, financial and other aspects of the sub-programs. Implementation of sub-programs cannot commence until the environmental and social aspects have been reviewed and appropriate mitigation measures have been adopted. If land acquisition is needed for sub-program implementation, resettlement and/or compensation plans have to be prepared and implemented following the RPF.

**Step 5: Public Consultations and Disclosure:**

Public consultations will take place during the environmental and social screening process, and the input from the public consultations will be reflected in the design of the mitigation and monitoring measures. Consultations will be facilitated by the FP at the School and the SC/TC Community Worker at village, parish and Sub-county levels. The District/Municipal Environment Officer will communicate the results of environment and social screening to the

Chief Administrative Officer who will in thereafter, communicate the result to the Ministry of Education and Local Government.

According to the procedures governing the EIA, public information and participation must be ensured during the scoping period and the preparation of the terms of reference of the Environmental Impact Assessment. This will be done by EIA practitioner, supported by the School Environmental FP. The involvement of District/Municipal Environment Officer, District/Municipal Community Development Officer, Inspector of Schools, and the Community workers at lower LGs level will be encouraged. Public consultations include particularly:

- One or several meetings for the presentation of the sub-program with a gathering of local authorities, the populations, the concerned organizations;
- The opening of a register available to all the populations where will be consigned the preoccupations, the appreciations, remarks and suggestions formulated on the program.

A public information program is initiated, and public notices are issued during the scoping and EIA preparation stages. Whenever a public concern over the proposed sub- program is indicated and impacts are extensive and far-reaching, the District Chief Administrative Officer/Town Clerk (CAO/TC) is required to organize a public hearing. The results of the public hearing will be taken into account when a decision is taken whether or not a permit is to be issued. These consultations should allow for the identification of the main issues and determine how the concerns of all parties will be tackled in the terms of reference for the EIA. The results of the consultations will be included in the EIA report and made available to the public by the CAO/TC.

World Bank requires disclosure of ESMF both in-country and at WB's infoshop.

**Step 6: Environmental Monitoring**

Environmental monitoring aims at checking the effectiveness and relevance of the implementation of the proposed mitigation measures. Local councillors, School Committees, environmentalists under the guidance of District Environmental Officers as well as concerned citizens will undertake monitoring exercises as speculated by the environmental act. The District Environment Officer in conjunction with the District Education Officer /Inspector will monitor the implementation of environment mitigation measures based on the contractor's work plan. The MoES in collaboration with NEMA will monitor the implementation of the environment mitigation measures on a sample of UGPEP investments on quarterly basis. On annual basis the District Environment Officers, MoES in collaboration with NEMA will carry out a national assessment of UGPEP performance in environment and natural resource management using the indicators mentioned in step 7.

**Step 7: Monitoring indicators**

The monitoring indicators that will be under EMP for assessing environmental management for UGPEP include:

- Loss of vegetation
- Land degradation
- Compliance with Legislations.

Use of the indicators for environmental monitoring will be included in the training and capacity building program.

# 9 PROJECT IMPLEMENTATION ARRANGEMENTS

## 9.1 Implementation and Monitoring Institutional Arrangements

Project implementation will be mainstreamed in the Ministry of Education and Sports using existing institutional setup. The overall responsibility for project implementation lies with the Permanent Secretary, with day-to-day implementation overseen by the *Department of Education Planning*.

Various departments in the MoES will be responsible for specific project sub-components consistent with the statutory provisions that prescribe their mandates, as follows:

### 9.1.1 Roles of Primary and Pre-Primary Department

The primary and pre-primary department will:

i) Implement the instructional material procurement, provision, and distribution sub-component using their existing reviewed and tested methods with World Bank assistance. Specifically, this will be the task of the Instructional Material Unit in that Department.

ii) Train School Management Committees and Head Teachers building upon delivery models by development partners and civil society.

iii) Coordinate, support and monitor the implementation of the School Facility Grant, which will be implemented jointly by the District Education Office and the School Management Committee.

iv) Carry out the policy review, policy studies, and evaluation of planned Early Childhood Education activities under Component 3. This will specifically be the role of the Pre-primary unit.

### 9.1.2 Roles of the Teacher and Instructor Education Training Department

The Teacher and Instructor Education Training Department will be the overall entity responsible for teacher training and improved teacher support using the model recently piloted by USAID. This model trains the Coordinating Center Tutors in Primary Teacher Colleges to deliver early grade literacy and numeracy pedagogical training aligned with the new curriculum to teachers.

### 9.1.3 Roles of the Directorate of Education Standards (DES)

The Directorate of Education Standards (DES) will guide and coordinate the scaling up of the inspectorate, which will primarily be undertaken by the District Inspectorate of Standards (DIS).

### 9.1.4 Role of Education Service Commission

*The Education Service Commission* would implement the improvement and scaling up of the Scheme of Service.

### 9.1.5 Role of Education Planning Department

*The Education Planning Department through its M&E unit* will implement the School reporting cards program.

### 9.1.6 Roles of Local Governments

Local governments will implement the school grants, teacher motivation, and the scaled-up inspections in line with the decentralized education service delivery. As noted above, the Ministry of Education & Sports and, for the teacher motivation part, the Ministry of Public Service, will remain with the overall oversight and guidance. Adherence to existing implementation guidelines by the local governments will be strictly monitored. These include the School Facility Grant (SFG) guidelines[10] and the procedures for the implementation of the Scheme of Service.[11] Effort to strengthen capacity of respective local governments to execute these sub-components will be undertaken.

Town/ Municipal/ District Environmental Officers and Town/ Municipal/ District Engineers will also be involved in monitoring UGPEP implementation, specifically construction activities. District Land Officers (who are under the Ministry of Lands, Housing & Urban Development) may also be involved where land use change, property valuation and resettlement are encountered during project implementation. These officials have adequate skills to undertake this monitoring and do not require further training, except financial facilitation. Utilizing existing monitoring structures though, it can be arranged that MoES's Engineering assistants or District Engineer travel to monitor construction sites on the same day in the same vehicle thereby avoiding need for multiple vehicles and travel trips.

### 9.1.7 Local Education Group (LEG)

The Local Education Group (LEG) serves as an advisory and coordinating group as per the GPE institutional arrangements. LEG will also participate in supervision of the UGPEP. LEG is comprised of Government representatives, development partners and MoES' officials from the key implementing departments.

## 9.2 Project Monitoring and Evaluation

There are three major general monitoring systems that will yield information about success. These systems are:

- Student and teacher assessments conducted by UNEB,
- Data from school inspections,
- Data from Education Management Information System (EMIS).

These will be supplemented by data from unannounced school visits collected by the M&E unit and/or UNEB as a part of project-specific monitoring.

Monitoring systems are discussed below:

**a)** **UNEB** administers student assessments to Grades P3 and P6 in English and Mathematics, in a nationally representative sub-sample of schools. These are referred to as the National Assessment of Progress in Education (NAPE). Discussions are underway to include targeted GPE schools as a part of the NAPE sample during project duration. Results from these assessments will provide data on the higher order objective of the project – improvements in student learning outcomes. In addition, discussions are underway to leverage existing UNEB assessments to provide additional information on teacher competency and pedagogical practices.

**b)** **School inspections** are carried out monthly and capture information in a standardized questionnaire on teacher, head-teacher, and student presence, teaching practices, school management and administration of key activities. Design of questionnaires and data collection modalities for school inspection are being strengthened under the project. Specifically, frequency of inspections and provision of real-time inspection data to District Education Officers (DEOs), schools, and other stakeholders is being facilitated under the project, in part through

[10] Ministry of Education and Sports (MoES); Poverty Action Fund (PAF) Programmes. School Facilities Grant (SFG) Planning and Implementation Guidelines for Local Governments.

[11] Education Service Commission (2008); The Scheme of Service for Teaching Personnel in the Uganda Education Service. Policy Analysis Unit; June 2008.

ICT-based platforms. These data will feed directly into the project M&E and provide information on several intermediate indicators.

c) **EMIS data** has traditionally been collected annually in Uganda through a school census. However, pilots are underway to support collection of real-time school-level data directly from head-teachers, teachers, and SMC members. To the extent possible, the project will leverage promising ongoing initiatives that provide real-time data on school functioning through mobile phones (such as *Edutrac* or other initiatives). MoES and the Bank team will consult with partners to identify the most effective available tool with a proven track-record and that follows global standards and best practices for interoperability and sharing data across systems that can be scaled up during the project duration and become a sustainable system-wide M&E tool. This scaled-up data collection system will also be used as a source of M&E information for the project. Feedback loops and harmonization will be emphasized to link the project M&E with EMIS indicators and planning data used by Ministry of Education & Sports.

   The project will also have its own dedicated monitoring system, which would provide more detailed information for assessing project implementation progress and performance. This dedicated monitoring system will function primarily through systematic unannounced school visits for targeted schools and serve as the source of information on subprogram implementation progress and performance monitoring indicators, including relevant DLIs. These unannounced checks will be undertaken in a statistically representative random sub-sample of schools targeted by the program. Data collection protocol, instruments, and timetables will be designed under the leadership of the M&E unit in MoES. Actual data collection will be undertaken by trained enumerators from the M&E unit. Frequency of checks is expected to be once every two terms.

   Possibilities of triangulating direct beneficiary feedback with M&E data (possibly using the *UReport* platform as validation for M&E data) are being explored.

d) **Third-party assessments:** Implementation progress and performance of selected subprograms will be assessed through reviews, validations, and process and impact evaluations conducted by third parties contracted by the project, financed by the Technical Advisor and with technical / advisory support from the World Bank and other development partners.

### 9.3 Monitoring socio-environmental aspects comprised in this ESMF

Depending on location of the primary schools, Town/Municipal or District Environment Officers will be the key personnel responsible for monitoring the environmental and social impacts of UGPE project. Monitoring exercises will also involve School Management Committees. There is also a possibility of hiring supervising consultants to monitor the construction phase and these could be required to have Environmental Specialist to monitor environmental aspects.

In accordance with the provisions in the National Environment Act Cap 153, The National Environment Management Authority (NEMA) gazetted/warranted District Environmental Officers as inspectors for monitoring of socio-environmental impacts of developments at local government level, hence their mandate includes proposed activities of UGPE projects. DEOs are gazetted Environmental Inspectors by NEMA following provisions in the NEA. They (DEOs) are appointed by the District Service Commission in Local Governments and their roles are provided for in the National Environment Act.

As earlier indicated, Town/Municipal or District Environmental Officers have requisite training and expertise to undertake necessary monitoring without added technical capacity enhancement. Financial facilitation would however be necessary for their effective participation. However, a better understanding and appreciation of safeguard requirements may need to be enhanced through discussion of modalities for implementation of the project ESMF.

### 9.4 Capacity enhancement needs

Assessments undertaken during compilation of the ESMF indicate a need to strengthen capacity of key units in MoES for timely and quality execution of project activities. These include:

i) Procurement and Disposal Unit (PDU),
ii) Finance and administration (F&A),
iii) Construction Management Unit (CMU) in Finance and Administration Department.

Additional personnel and logistical support will be provided at the start of project implementation, complemented by the regular technical support that will be provided through the day-to-day interaction with the implementation team.

For ESMF implementation the following departments need capacity building in monitoring socio-environmental impacts.

iv) **Construction Management Unit (CMU):**

- Engineering Assistants in CMU will be responsible for supervising construction activities at beneficiary primary schools. Each Engineering Assistant is commonly in charge of supervising school construction in several (5 or 6) districts.
- Engineering Assistants need capacity enhancement in monitoring socio-environmental impacts of building projects using checklists.

*Person (s) to be trained*:

- Section Head in charge of Engineering Assistants in Primary Education Section.
- This person is in charge of all Engineering Assistants in the Primary Education Section and can train them, passing on skills.

v) **Monitoring & Evaluation Unit:**

Part of the Policy Analysis and Planning Unit in MoES, it should be essential that the head or other senior official in this unit acquires skills in monitoring socio-environmental impacts during project implementation based on potential impacts identified in Sections 7.1 and 7.2 above.

*Person(s) to be trained*: Head of M&E Unit

vi) **School Management Committees (SMCs):**

SMCs will monitor project implementation mostly from economic and logistical angle of project progress, material consumption and financial expenditure. However they should also have basic skills to monitor socio-environmental impacts during and after project implementation.

*Person(s) to be trained*:

- Head of SMC of each beneficiary school or a member s(he) appoints.
- UGPEP support to 500 primary schools means 500 SMC members to train. This basic training can therefore be provided in 10 groups each of 50 members. Each group trained in a half-day workshop by a single District Environmental Officer. Beside hire of venues, training would entail transport refund to trainees. It is noted that the trainer (DEO) earns a government salary and probably logistical support such as transport and day allowance may suffice.

# 10 ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN (ESMP)

An Environmental and Social Management Plan (ESMP) for the UGPE Program is intended to ensure efficient environmental and social management of its activities. An ESMP translates recommended mitigation and monitoring measures into specific actions that will be carried out by the proponent. The ESMP will need to be adjusted to the terms and conditions specified in any project approval. It will then form the basis for impact management during project construction and operation. The main components of an ESMP are described in the table below, which reflects practice at the World Bank. Ideally the EMP should contain the following:

- Summary of the potential impacts of the proposal;
- Description of the recommended mitigation measures;
- Statement of their compliance with relevant standards;
- Allocation of resources and responsibilities for plan implementation;
- Schedule of the actions to be taken;
- Programme for surveillance, monitoring and auditing; and
- Contingency plan when impacts are greater than expected.

The ESMP should contain commitments that are binding on the proponent. It can be translated into project documentation and provide the basis for a legal contract that sets out the responsibilities of the proponent. In turn, the proponent can use the ESMP to establish environmental performance standards and requirements for those carrying out the works or providing supplies. An ESMP can also be used to prepare an environmental management system for the operational phase of the project.

Table 11: Components of ESMP

| Components of ESMP | |
|---|---|
| **EMP Component** | **How to address** |
| **Summary of impacts** | The predicted adverse environmental and social impacts for which mitigation is required should be identified and briefly summarised. Cross referencing to the EA report or other documentation is recommended. |
| **Description of mitigation measures** | Each mitigation measure should be briefly described with reference to the impact to which it relates and the conditions under which it is required (for example, continuously or in the event of contingencies). These should be accompanied by, or referenced to, project design and operating procedures which elaborate on the technical aspects of implementing the various measures. |
| **Description of monitoring programme** | The monitoring program should clearly indicate the linkages between impacts identified in the EIA report, measurement indicators, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions. |
| **Institutional arrangements** | Responsibilities for mitigation and monitoring should be clearly defined, including arrangements for co-ordination between the various actors responsible for mitigation. |
| **Implementation schedule and reporting procedures** | The timing, frequency and duration of mitigation measure should be specified in an implementation schedule, showing links with overall project implementation. Procedures to provide information on the progress and results of mitigation and monitoring measures should also be clearly specified. |
| **Cost estimates and sources of funds** | These should be specified for both the initial investment and recurring expenses for implementing all measures contained in the ESMP, integrated into the total project costs, and factored into loan negotiations. |

*Source: World Bank, 1999*

Estimate of the budget for implementing UGPE ESMP including costs of monitoring and capacity building is estimated at about USD300,000 over a 3 year period .

# 11 FINDINGS FROM VISITS TO SELECTED SCHOOLS

During preparation of this ESMF, visits were made in May 2013 to secondary schools that benefit from UPPET to consult schools administrators and obtain their experiences that could be useful lessons for schools that will benefit from UGPE project. A typical primary school was visited for insight into challenges faced. Findings of the visit are provided below.

**1) Management of landuse at schools prior to project implementation**

***Case example:*** Wampewo Ntake Secondary School, in Gayaza Road in Wakiso District.

Land to be used for construction of building at the school was used by teachers to grow crops. This land when taken for development, compensation was provided to teachers who would lose crop gardens.

Plate 5: Before construction of classroom blocks (background), this land was used by teachers to grow crops. Available land is still used to grow crops (shown in foreground)

*Photo credit:: L.Kajubi,*

**2) Fraternization between female students and male builders**

***Case example:*** Wampewo Ntake Secondary School, along Gayaza Road in Wakiso District.

- During project development, fraternization between female students and male builders was avoided by ensuring the contractor hires mature male workers who were far older than the students.
- Sensitization of students and fencing off construction site from the rest of the school was also done to avoid chance of student having access to construction workers.

**3) Water challenges**

***Case example:*** Wampewo Ntake Secondary School, along Gayaza Road in Wakiso District.

Water was noted to be very essential for school sanitation, especially girl children when in menstrual periods. Female students reportedly missed school for 3-5 days during monthly periods since they would not get wash water in school latrines. It was noted crucial to consider water harvesting and storage tanks in design of buildings proposed under UGPE project.

**4) Social challenges related to location of sanitation facilities**

***Case example:*** Wampewo Ntake Secondary School, along Gayaza Road in Wakiso District.

Location of sanitation facilities especially latrines needs to be considered during project design. It was reported that girls will not visit latrines in full view of boys, even when they are viewing them from classrooms! Therefore latrines need to be away and out of sight from classrooms.

Plate 6: Female students will not visit latrines in full view of male students

*Photo credit: L.Kajubi,*

**5) Exponential increase in student enrolment, stressing existing facilities**

***Case example:*** Wampewo Ntake Secondary School, along Gayaza Road in Wakiso District.

Increased available classroom space from additional buildings increased student enrolment but also impressed stress on sanitary facilities (latrines), a big inconvenience to students, especially girls.

**6) Construction noise**

***Case example:*** Luzira Secondary School, Luzira, Nakawa Division, Kampala.

Construction noise was noted to be a big challenge. This was significant especially considering that construction at this school was to take up to 1 year. Students were encouraged to "just live with the noise" and get used to it. Only during examination periods was the contractor advised to reschedule noisy activities to times outside class periods.

**7) Construction waste disposal**

***Case example:*** Luzira Secondary School, Luzira, Nakawa Division, Kampala.

Where construction of new buildings involved demolition of old ones, disposal of demolition rubble was noted to be a major challenge. Without a construction waste landfill in the country and municipal waste landfill being 16 km from the school, disposal of rubble was difficult for the contractor until a nearby community requested that this waste be spread on a local road.

**8) Challenge of sanitation for large primary pupil numbers**

***Case example:*** St. James Primary School Biina, Nakawa Division, Kampala.

- This primary school in a peri-urban setting was started in 1939 and has a pupil enrolment of 2061 children.
- For 2061 children, the school has only 2 blocks of Ecosan toilets: one block has 12 stances (6 for boys, others for girls). Another 3-stance block is for teachers.
- It was reported that Ecosan toilets are very expensive to operate and maintain for such a large population of school children.
- The lesson here is that although Ecosan toilets do not need emptying, (presumed to be costly) they are themselves not cost-effective for large student populations and pit latrines would be a better alternative in many cased for primary schools to be supported under the proposed UGPEP.

# 13 CONCLUSION

This ESMF describes the proposed UGPEP, identifies likely social and environmental impacts and proposes management measures to control socio-environmental effects during project implementation.

An EMP was developed and should be implemented during project execution. Involvement of existing institutional structures is important especially for impact monitoring. For this reason capacity building of School Management Committees is recommended to ensure they are effective in monitoring not only construction activities but also associated socio-environmental impacts as provided in this ESMF.

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# Annexes

## Annex 1: Environmental and Social Screening Form (ESSF)

Please type or print clearly, completing this form in its entirety. You may provide additional information on a separate sheet of paper if necessary. Kindly note that the information you are to provide is required by Section 22 of the National Environmental Management Act of 1994 and it is an offence to give inaccurate information under Section 53 (C) of the same Act.

SECTION 1: INFORMATION ON THE CONTACT PERSON

Name: ----------

Institutional Affiliation ----------

Business Title / position ----------

Business Address ----------

Telephone ----------

**SECTION 2: DESCRIPTION OF THE PROPOSED PROGRAM**

Name of Proposed Program ----------

Date expected to start construction ----------

Proposed location of program ----------
(Attach a map or maps, covering the proposed site and Surrounding 5 km radius)

Land Area ----------
(Approximate land area and of proposed location)

Current Land use (Describe how the land is being used at present)

---

Describe any Possible Alternative Site(s) ----------

Describe other types of facilities (including health centers and schools) which are located within 100 meters of the site, or are proposed to be located near the proposed facility. Indicate the proximity of the proposed site to residential areas, national parks or areas of ecological, historical or cultural importance.

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Indicate whether adequate infrastructure exists at the proposed location, or whether new building, roads, electricity and water lines, or drainage systems will need to be constructed as a part of the proposed program.

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**SECTION 3: EMPLOYEES AND LABOURERS**

Number of people to be employed:

| Employees and Laborers | During Construction | During Routine Operation |
|---|---|---|
| FULL-TIME | | |
| PART-TIME | | |

Indicate whether you plan to construct housing / sanitation facilities for temporary or permanent Workers.

**SECTION 4: PRODUCTS**

Briefly state the nature of the product(s) or output of the proposed sub-program and the expected quantities on a quarterly or annual basis. Indicate the intended uses of the product(s).

| Name of Product / Output | Description of uses | Anticipated Output per Qtr/Yr |
|---|---|---|
| | | |
| | | |
| | | |
| | | |

**SECTION 5: BY-PRODUCTS, WASTE MANAGEMENT AND DISPOSAL**

Specify the nature of each waste or by-product and the quantity to be generated

| Type | Description | Quantity in Kg per wk/mo | Proposed disposal method |
|---|---|---|---|
| Solid (Bulk) | | | |
| Solid (particulate) | | | |
| Liquid | | | |
| Gaseous | | | |
| Medical Waste | | | |
| Asbestos | | | |
| PCB | | | |
| Other | | | |

Proposed method of disposal or management of waste (e.g. Burning, burying, landfills etc.) and capacity needed to safely implement the proposed disposal method.

| Type(s) and Source | Method of Disposal / Management | Capacity Needs |
|---|---|---|
| | | |
| | | |
| | | |

Indicate sources of noise pollution, the type / quality of noise (i.e. machinery / repetitive pounding, etc.)

| Source of Noise | Type of Noise |
|---|---|
| | |

| | |
|---|---|
| | |

SECTION 6: ENVIRONMENTAL IMPACTS
Please indicate environmental impacts that may occur as a result of the proposed program.

A. The Biological Environment

8.0 The Natural Environment

8.1 Describe the habitats and flora and fauna in the sub-program area and in the entire area expected to be affected by the sub-program (e.g., downstream areas, access roads):

8.2 Will the sub-program directly or indirectly affect:
8.2.1 Natural forest types?
8.2.2 Mangroves or swamps?
8.2.3 Wetlands (i.e., lakes, rivers, swamps, seasonally inundated areas)?
8.2.4 Natural critical habitats (parks, protected areas)?
8.2.5 Other habitats of threatened species that require protection under Mozambican laws and/or international agreements?

YES ____ NO _____

8.3 Are there according to background research / observations any threatened / endemic species in the program area that could be affected by the program?

YES ____ NO _____

8.4 Will vegetation be cleared?
YES ____ NO _____

8.5 Will there be any potential risk of habitat fragmentation due to the clearing activities?

YES ____ NO _____

8.6 Will the program lead to a change in access, leading to an increase in the risk of depleting biodiversity resources?

YES ____ NO _____

Provide an additional description for "yes" answers:

_____

9.0 Protected Areas
Does the sub-program area or do sub-program activities:

9.1 Occur within or adjacent to any designated protected areas?

YES ____ NO _____

9.2 Affect any protected area downstream of the program?

YES ____ NO _

9.3 Affect any ecological corridors used by migratory or nomadic species located between any protected areas or between important natural habitats (protected or not) (e.g. mammals or birds)?

YES ____ NO _

Provide an additional description for "yes" answers:

_____

10.0 Invasive Species

10.1 Is the sub-program likely to result in the dispersion of or increase in the population of invasive plants or animals (e.g. along distribution lines or as a result of a dam)?

YES ____ NO _

Provide an additional description for a "yes" answer: _____

B. The Physical Environment

11.0 Geology / Soils

11.1 Will vegetation be removed and any surface left bare? YES _____ NO ___

11.2 Will slope or soil stability be affected by the program? YES _____ NO ___

11.3 Will the sub-program cause physical changes in the program area (e.g., changes to the topography)? YES ____ NO ___

11.4 Will local resources, such as rocks, wood, sand, gravel, or groundwater be used? YES __ NO ___

11.5 Could the sub-program potentially cause an increase in soil salinity in or downstream the program area? YES ____ NO _____

11.6 Could the soil exposed due to the program potentially lead to an increase in lixiviation of metals, clay sediments, or organic materials? YES ____ NO __

12.0 Landscape / Aesthetics

12.1 Is there a possibility that the sub-program will adversely affect the aesthetics of the landscape? YES ____ NO __

13.0 Pollution

13.1 Will the sub-program use or store dangerous substances (e.g., large quantities of hydrocarbons)? YES ____ NO __

13.2 Will the sub-program produce harmful substances? YES ____ NO ___

13.3 Will the sub-program produce solid or liquid wastes? YES ____ NO ___

13.4 Will the sub-program cause air pollution? YES ____ NO __

13.5 Will the sub-program generate noise? YES ____ NO __

13.6 Will the sub-program generate electromagnetic emissions? YES ____ NO ___

13.7 Will the sub-program release pollutants into the environment? YES ____ NO ___

13.8 Will the sub-program generate medical waste? YES____ NO__

13.9 Will the sub-program generate asbestos? YES___ NO___

14.0 Will the sub-program generate PCB? YES___ NO__

**C. The Social Environment**

14.0 Land use, Resettlement, and/or Land Acquisition

14.1 Describe existing land uses on and around the sub-program area (e.g., community facilities, agriculture, tourism, private property, or hunting areas):

14.2 Are there any land use plans on or near the sub-program location, which will be negatively affected by sub-program implementation? YES ___ NO_____

14.3 Are there any areas on or near the sub-program location, which are densely populated which could be affected by the sub-program? YES ____ NO __

14.4 Are there sensitive land uses near the program area (e.g., hospitals, schools)?
YES ____ NO____

14.5 Will there be a loss of livelihoods among the population? YES _____ NO ___

14.6 Will the sub-program affect any resources that local people take from the natural environment? YES ____ NO _____

14.7 Will there be additional demands on local water supplies or other local resources? YES _ NO _

14.8 Will the sub-program restrict people's access to land or natural resources? YES _____ NO ____

14.9 Will the program require resettlement and/or compensation of any residents, including squatters? YES __ NO ____

14.10 Will the sub-program result in construction workers or other people moving into or having access to the area (for a long time period and in large numbers compared to permanent residents)? YES ____ NO ___

14.11 Who is/are the present owner(s)/users of resources/infrastructures the sub-program area?

15.0 Loss of Crops, Fruit Trees, and UGPEP Infrastructure
Will the sub-program result in the permanent or temporary loss of:

15.1 Crops?

15.2 Fruit trees / coconut palms?

15.3 UGPEP infrastructure?

15.4 Any other assets/resources?

16.0 Occupational Health and Safety, Health, Welfare, Employment, and Gender

16.1 Is the sub-program likely to safeguard worker's health and safety and public safety (e.g., occupational health and safety issues)? YES __ NO _____

16.2 How will the sub-program minimize the risk of accidents? How will accidents be managed, when they do occur?

16.3 Is the program likely to provide local employment opportunities, including employment opportunities for women? YES ____ NO ___

Provide an additional description for "yes" answers:

17.0 Historical, Archaeological, or Cultural Heritage Sites
Based on available sources, consultation with local authorities, local knowledge and/or observations, could the sub-program alter:

17.1 Historical heritage site(s) or require excavation near the same?YES __ NO ___

17.2 Archaeological heritage site(s) or require excavation near the same? YES ___ NO ____

17.3 Cultural heritage site(s) or require excavation near the same? YES _____ NO ___

17.4 Graves, or sacred locations (e.g., fetish trees or stones) or require excavations near the same?
YES ___ NO __

N.B. For all affirmative answers (YES) Provide description, possible alternatives reviewed and/or appropriate mitigating measures.

**D. RECOMMENDATIONS:**

Based on the above screening results, the following recommendations are made:

1) The sub-program has been assigned the environmental category A: Since the parent program has been categorized as a B, this sub-program cannot be funded.

2) The sub-program has been assigned the environmental category: B1: Implementation of the environmental mitigation measures as proposed in the Environmental and Social Checklist (with amendments as appropriate) and as per Environmental Guidelines for Contractors and Clause 8 contained in the Bidding Documents will suffice

3) The sub-program has been assigned the environmental category B2: The sub- program will require a separate Environmental Impact Assessment to be reviewed and approved by NEMA.

4) The sub-program has been assigned the environmental category C: The sub-program does not require any additional environmental work and therefore can be implemented immediately.

In the event that a sub-program requires land acquisition, please prepare and implement a Resettlement Action Plan (RAP) consistent with the provisions of the Resettlement Policy Framework, July 2007

Please note that civil works cannot commence until the provisions of the RAP have been implemented to the satisfaction of the World Bank and the affected persons.

**SECTION 8: TESTIMONY**

I confirm that the information provided herein is accurate to the best of my knowledge

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## Annex 2: Environment and Social Mitigation Measures Checklist

| Activity: Construction of classrooms | Environmental component affected | Nature of environmental concern | Required action /mitigation measure by Contractor |
|---|---|---|---|
| **1. Burning of Brick**<br>Brick making<br>Firewood<br>Burning of bricks | Soil<br>Geology<br>Vegetation | Soil erosion.<br>Dumping of soil waste material<br>Uncovered pits<br>pollution | Sensitize community<br>Tree planting<br>Cover pits |
| **2.Site Leveling**<br>Excavations in borrow areas.<br>Grading to attain right camber | Soil<br>Human beings<br>Animals Geology Plants | Erosion and sedimentation<br>Labor accidents.<br>Silting.<br>Creates ponds that encourage breeding of mosquitoes | Restore the borrow areas with topsoil<br>Proper grading of the sites at the right camber<br>Provide first aid kits.<br>Soil bunds should be constructed around a single designated area |
| **3. Building** | Human beings | Noise<br>Accidents<br>Dust | Constructors' Dress<br>First aid Kits<br>Protective gear |
| **4. Roofing** | Human beings | Accidents | Protective gear<br>First aid Kits |
| **5. Soak pits, septic tanks and disposal fields** | Human beings<br>Land<br>Water | Contaminated water<br>Land acquisition<br>Disease outbreak<br>Accessibility of the waste bins, collection points | Community consultation.<br>Consult with DEO for appropriate siting of waste collection point.<br>Provide adequate waste collection bins<br>Conduct hygiene education campaign. |
| **6. Pit latrines** | Vegetation<br>Soil<br>Surface water<br>Human beings | Contamination of ground water supply sources through sub- surface flow of human waste.<br>Contamination of surface water sources through transportation by storm runoff.<br>Flies and rodents carrying disease from latrine.<br>More land is used in construction of new latrines when old ones fill up. | Sensitization of people on hygiene practices after using the latrine e.g. washing their hands.<br>If possible, construct lined pit latrines, which can be emptied.<br>Consider constructing water borne squat toilets if there is piped water in the school. |

## Annex 3: Sample Terms of Reference for EIA

In case an EIA has to be undertaken for any specific UGPEP, the MoES will procure the services of a certified NEMA EIA Practitioner to undertake the EIA study. The following will be the content of the ToR's for this study.

**Introduction and Context**
This part will be completed at a time and will include necessary information related to the context and methodology to carry out the study. It will briefly describe the purpose and objectives of UGPEP, and the specific UGPEP for which the EIA is undertaken.

**Objectives of EIA study**

- To identify all likely positive and negative environmental impacts due to the SPECIFIC UGPEP project;
- To identify and evaluate all significant negative environmental impacts, and propose appropriate mitigation measures for the attention of the developer, for incorporation into the final construction and operational phases;
- To propose an environmental management plan for all aspects of the specific project.

**EIA study tasks**

The consultant should realize the following:

- Describe the project characteristics, including extent, land requirement, material requirements, construction works, and the beneficiary community;
- Describe the biophysical characteristics of the environment where the project activities will be realized; and underline the main constraints that need to be taken into account at the field preparation, construction works and future school or project operations;
- Assess the potential environmental and social impacts related to project activities and recommend adequate mitigation measures, including costs estimation.
- Review alternative more cost-effective and environmentally and socially friendlier options for achieving the same objectives,
- Review policy, legal and institutional framework, at national and international level, related to the environment and identify the constraints for best practices in management with appropriate recommendations for improvements,
- Identify responsibilities and actors for the implementation of proposed mitigation measures,
- Assess the capacity available to implement the proposed mitigation measures, and suggest recommendations in terms of training and capacity building and estimate their costs,
- Develop an Environmental Management Plan (EMP) for the project. The EMP should underline (i) the potential environmental and social impacts resulting from project activities (ii) the proposed mitigation measures; (iii) the institutional responsibilities for implementation; (iv) the monitoring indicators; (v) the institutional responsibilities for monitoring and implementation of mitigation measures; (vi) the costs of activities; and (vii) the implementation schedule,
- Public consultations: The EIA results and the proposed mitigation measures will be discussed with populations, NGOs, local administration and other stakeholders impacted by the project activities. Recommendations from this public consultation will be include in the final EIA report.

**Structure of the EIA Report**

- Cover page
- Table of contents
- List of acronyms
- Executive summary
- Introduction
- Description of project activities
- Description of environment in the project area
- Description of policy, legal and institutional framework

- Presentation of results of public consultations and disclosure, and proposed social action by the developer;
- Description of methodology and techniques used in the assessment and analyses of project impacts,
- Description of environmental and social impacts of project activities,
- Environmental Management Plan (EMP) for the project including the proposed mitigation measures; the institutional responsibilities for implementation; the monitoring indicators; the institutional responsibilities for monitoring and implementation of mitigation; Summary table for EMP
- Recommendations
- References
- List of persons / institutions met

**Consultant team**

The Consultants will be NEMA -Certified EIA Practitioners or others agreed by NEMA.

## Annex 4: Environmental Guidelines for Construction Work

1) These general environmental guidelines on construction work to be undertaken by any Project in Uganda shall apply to the UGPEP construction activities. For certain work sites entailing specific environmental and/or social issues, a specific Environmental and Social Impact Assessment, including an Environmental and Social Management Plan (ESMP), shall be prepared to address the above-mentioned specific issues based on the general environmental guidelines for construction work. In addition to these general Environmental Guidelines, the Contractor shall therefore comply with any specific ESMP for the works he is responsible for. The Contractor shall after being informed by the District Environmental officer here-in referred to as a focal point person (FP) about such an ESMP for certain work sites, prepare his work strategy and plan to fully take into account relevant provisions of that ESMP. If the Contractor fails to implement the approved ESMP as embodied in the contract documents and/or after written instructions by the designated works supervisor, the Client on the advice of the district local government leadership particularly the CAO and based on the authentic reports from the DEO reserves the right to arrange for execution of the missing action by a third party on account of the Contractor.

2) Notwithstanding the Contractor's obligation under the above clause, the Contractor shall implement all measures necessary to avoid undesirable adverse environmental and social impacts wherever possible, restore work sites to acceptable standards, and abide by any environmental performance requirements specified in an ESMP where such an ESMP applies.
3) Inclusion of environmental and social aspects in the bidding documents and contracts is necessary, including the need for an Environmental Specialist on the team of Supervising Consultant during construction.

4) These Environmental Guidelines, as well as any specific ESMP, apply to the Contractor. They also apply to any sub-contractors present on Project work sites at the request of the Contractor with permission from the Client.

**General Environmental Protection Measures**

5) In general, environmental protection measures to be taken at any work site shall include but not be limited to:

   (a) Minimize the effect of dust on the environment resulting from earth works, vibrating equipment, construction related traffic on temporary or existing access roads, etc. to ensure safety, health and the protection of workers and communities living in the vicinity of work sites and access roads.
   (b) Ensure that noise levels emanating from machinery, vehicles and noisy construction activities (e.g. excavation, blasting) comply with NEMA standards and are generally kept at a minimum for the safety, health and protection of workers and nearby communities within the vicinity of noise sources.
   (c) Ensure that existing water flow regimes in rivers, streams and other natural or irrigation channels are maintained and/or re-established where they are disrupted due to works being carried out.
   (d) Prevent any construction-generated substance, including bitumen, oils, lubricants and waste water used or produced during the execution of works, from entering into rivers, streams, irrigation channels and other natural water bodies/reservoirs.
   (e) Avoid or minimize the occurrence of standing water in holes, trenches, borrow areas, etc
   (f) Prevent and minimize the impacts of quarrying, earth borrowing, piling and building of temporary construction camps and access roads on the biophysical environment including protected areas and arable lands; local communities and their settlements. Restore/rehabilitate all sites to acceptable standards.
   (g) Upon discovery of graves, cemeteries, cultural sites of any kind, including ancient heritage, relics or anything that might or believed to be of archeological or historical importance during the execution of works, immediately report such findings to the Client so that the Ministry of Tourism, Trade and Industry may be expeditiously contacted for fulfilment of the measures aimed at protecting such historical or archaeological resources.
   (h) In the event that the Contractor encounters chance finds during construction and/or rehabilitation activities, he will contact the appropriate MoES Official overseeing the sub-project with the view to

passing on this information to: the Ministry of Tourism, Trade and Industry and the Authority of Research and Conservation of Cultural Heritage.

(i) Prohibit construction workers from engaging in the exploitation of natural resources such as hunting, fishing, and collection of forest products or any other activity that might have a negative impact on the social and economic welfare of the local communities. Prohibit explicitly the transport of any bush meat in Contractor's vehicles.
   - Prohibit the transport of firearms in Project-related vehicles.
   - Prohibit the transport of third parties in Project-related vehicles.

(j) Implement soil erosion control measures in order to avoid surface run off and prevent siltation, etc.

(k) Ensure that waste management, sanitation and drinking water facilities are provided in construction workers camps.

(l) Ensure that, in as much as possible, local materials are used to avoid importation of foreign material and long distance transportation.

(m) Ensure public safety, and meet Ugandan traffic safety requirements for the execution of works to avoid accidents including Ugandan speed limits, and any other traffic restrictions related with construction activities at Project sites.

(n) Ensure that any trench, pit, excavation, hole or other hazardous feature is appropriately demarcated and signposted as safety measures.

(o) Ensure that casual workers are hired from neighboring communities.

(p) Generally comply with any requirements of Ugandan law and regulations.

6) Besides the regular inspection of the sites by the supervisor appointed by the Client for adherence to the Contract conditions and specifications, the Client may appoint an environmental inspector to oversee the compliance with these environmental conditions and any proposed mitigation measures. District or Municipal Environmental Officers may carry out similar inspection duties. In all cases, as directed by the Client's supervisor, the Contractor shall comply with directives from such inspectors.

7) No trench of sand shall be left open for more than 7 days, unless duly authorized by the supervisor upon Contractor's request. Trenches and other excavation works shall be demarcated and/or signposted to avoid third party intrusion.

8) General conditions related with topsoil stripping, storage and restoration apply.

9) The Contractor will take measures to dispose of water used for construction activities in a manner that does not affect neighboring settlements.

**Waste Management**

10) All drums, containers, bags, etc. containing oil/fuel/surfacing materials and other hazardous chemicals shall be stored at construction sites on a sealed and/or bonded area in order to contain potential spillage. All waste containers, litter and any other waste generated during the construction shall be collected and disposed of at designated disposal sites in line with applicable Ugandan National waste management regulations.
11) All drainage and effluent from storage areas, workshops, housing quarters and generally from camp sites shall be captured and treated before being discharged into the drainage or natural environment system in line with applicable government water pollution control regulations.
12) Used oil from maintenance shall be collected, properly stored in sealed containers, and either disposed of appropriately at designated sites or be re- cycled.
13) Entry of runoff into construction sites, staging areas, camp sites, shall be restricted by constructing diversion channels or holding structures such as berms, drains, dams, etc. to reduce the potential of soil erosion and water pollution.
14) Construction waste shall not be left in stockpiles along the road, but removed and reused or disposed of on a daily basis.
15) Where temporary dump sites for clean excavated material are necessary, they shall be located in areas, approved by the Client's supervisor, where they will not result in supplemental erosion. Any compensation related with the use of such sites shall be settled prior to their use.

16) Areas for temporary storage of hazardous materials such as contaminated liquid and solid materials shall be approved by the supervisor and appropriate local and/or relevant national or local authorities before the commencement of work. Disposal of such waste shall be in existing, approved sites.

**Quarries and Borrow Areas**

17) The Contractor shall obtain appropriate licenses/permits from relevant authorities to operate quarries or borrow areas. The location of quarries and borrow areas shall be subject to review and approval by relevant local and national authorities.
18) New extraction sites:
    (i) Shall not be located less than 200 m from settlement areas, archaeological areas, cultural sites – including churches and cemeteries, wetlands or any other valued ecosystem component, or on high or steep ground.
    (ii) Shall not be located in water bodies, or adjacent to them, as well as to springs, wells, well fields.
    (iii) Shall not be located in or near forest reserves, natural habitats or national parks.
    (iv) Shall be designed and operated in the perspective of an easy and effective rehabilitation. Areas with minimal vegetation cover such as flat and bare ground, or areas covered with grass only or covered with shrubs less than 1.5m in height, are preferred.
    (v) Shall have clearly demarcated and marked boundaries to minimize vegetation clearing and safety hazards for third parties.
19) Vegetation clearing shall be restricted to the area required for safe operation of construction work. Vegetation clearing shall not be done more than two months in advance of operations.
20) Stockpile areas shall be located in areas where trees or other natural obstacles can act as buffers to prevent dust pollution, and generally at a distance from human settlements. Wind shall be taken into consideration when sitting stockpile areas. Perimeter drains shall be built around stockpile areas.
21) The Contractor shall deposit any excess material in accordance with the principles of these guidelines, and any applicable ESMP, in areas approved by local authorities and/or the supervisor.

**Rehabilitation of Work and Camp Sites**

22) Topsoil shall be stripped, removed and stored for subsequent rehabilitation. Soils shall not be stripped when they are wet. Topsoil shall not be stored in large or high heaps. Low mounds of no more than 1 to 2 m high are recommended.
23) Generally, rehabilitation of work and camp sites shall follow the following principles
    (i) To the extent practicable, reinstate natural drainage patterns where they have been altered or impaired.
    (ii) Removal of toxic materials and dispose of them in designated sites. Backfill excavated areas with soils or overburden that is free of foreign material that could pollute groundwater and soil.
    (iii) Ensure reshaped land is formed so as to be stable, adequately drained and suitable for the desired long-term land use, and allow natural regeneration of vegetation.
    (iv) Minimize erosion by wind and water both during and after the process of reinstatement.
    (v) Compacted surfaces shall be deep ripped to relieve compaction unless subsurface conditions dictate otherwise.

**Management of Water Needed for Construction Purposes**

24) The Contractor shall at all costs avoid conflicting with water needs of local communities. To this effect, any temporary water abstraction for construction needs from either ground or surface water shall be submitted to the following community consultation process:
    (i) Identification of water uses that may be affected by the planned water abstraction,
    (ii) Consultation with all identified groups of users about the planned water abstraction
    (iii) In the event that a potential conflict is identified, report to the supervising authority
    (iv) This consultation process shall be documented by the Contractor (minutes of meeting) for review and eventual authorization of the water withdrawal by the Client's supervisor.
25) Abstraction of both surface and underground water shall only be done with the consultation of the local community as mentioned and after obtaining a permit from the relevant authority.

26) Abstraction of water from wetlands is prohibited.
27) Temporary damming of streams and rivers shall be subject to approval by the appropriate water regulatory authority – The Directorate of Water Resources Management. It shall be done in such a way as to avoid disrupting water supplies to communities downstream, and to maintain the ecological balance of the river system.
28) No construction water containing spoils or site effluent, especially cement and oil, shall be allowed to flow into natural water drainage courses. Similarly, wash water from washing out of equipment shall not be discharged into water courses or road drains.
29) Site spoils and temporary stockpiles shall be located away from the drainage system, and surface run off shall be directed away from stockpiles to prevent erosion and pollution.

**Traffic Management and Community Safety**

30) Location of temporary access roads shall be done in consultation with the local community and based on the screening results, especially in important or sensitive environments. Temporary access roads shall not traverse wetland areas or other ecologically sensitive areas. The construction of any access roads shall be submitted to a prior consultation process with potentially affected communities that will have to be documented (minutes of meetings) for review and approval by the appropriate Local Government entity.
31) Upon the completion of civil works, all temporary access roads shall be ripped and rehabilitated.
32) Measures shall be taken to suppress dust emissions generated by Project traffic.
33) Maximum speed limits for any traffic related with construction at Project sites shall conform to Ugandan regulations or any others put in place for the purposes of execution of works in a safe environment.

**Salvaging and Disposal of Obsolete Components Found by Rehabilitation Works**

34) Obsolete materials and construction elements such as electro-mechanical equipment, pipes, accessories and demolished structures shall be salvaged and disposed of in a manner approved by the supervisor and in conformity with the disposal regulations in force. The Contractor will agree with the supervisor which elements are to be surrendered to the Client's premises, which will be recycled or reused, and which will be disposed of through approved disposal processes or landfill sites.
35) Any asbestos cement material that might be uncovered when performing rehabilitation works will be considered as hazardous material and disposed of at a designated facility.

**Compensation of Damage to Property**

36) Compensation of land acquired permanently for Project purposes will be handled under Client responsibility based on the provisions of the RPF. However, in the event that the Contractor, deliberately or accidentally, damages property, he shall repair the property to the owner's satisfaction and at his own cost. For each repair, the Contractor shall obtain from the owner/user a certificate that the damage has been made good satisfactorily in order to indemnify the Client from subsequent claims.
37) In any case where compensation for inconveniences, damage of crops etc. are claimed by the owner, the Client has to be informed by the Contractor through the supervisor.

**Contractor's Health, Safety and Environment Management Plan (HSE-MP)**

38) Within 6 weeks of signing the Contract, the Contractor shall prepare an HSE- MP to ensure the adequate management of the health, safety, environmental and social aspects of the works, including implementation of the requirements of these general conditions and any specific requirements of an ESMP for the works. The Contractor's EHS-MP will serve two main purposes:
39) The Contractor's HSE-MP shall provide at least
    (i) a description of procedures and methods for complying with these general environmental management conditions, and any specific conditions specified in an ESMP;
    (ii) a description of specific mitigation measures that will be implemented in order to minimize adverse impacts;
    (iii) a description of all planned monitoring activities and the reporting thereof; and
    (iv) the internal organizational, management and reporting mechanisms put in place for such.

40) The Contractor's HSE-MP will be reviewed and approved by the Client before start of the works. This review should demonstrate if the Contractor's HSE-MP covers all of the identified impacts, and has defined appropriate measures to counteract any potential impacts.

**HSE Reporting**

41) The Contractor shall prepare bi-monthly progress reports to the Client on compliance with these general conditions, the sub-project ESMP if any, and his own HSE-MP. The Contractor's reports will include information on:
    (i) HSE management actions/measures taken, including approvals sought from local or national authorities;
    (ii) Problems encountered in relation to HSE aspects (incidents, including delays, cost consequences, etc. as a result thereof);
    (iii) Non-compliance with contract requirements on the part of the Contractor;
    (iv) Changes of assumptions, conditions, measures, designs and actual works in relation to HSE aspects; and
    (v) Observations, concerns raised and/or decisions taken with regard to HSE management during site meetings.
42) The reporting of any significant HSE incidents shall be done as soon as practicable. Such incident reporting shall therefore be done individually. The Contractor should keep his own records on health, safety and welfare of persons, and damage to property. It is advisable to include such records, as well as copies of incident reports, as appendixes to the bi-monthly reports. Details of HSE performance will be reported to the Client.

**Training of Contractor's Personnel**

43) The Contractor shall provide sufficient training to its own personnel to ensure that they are all aware of the relevant aspects of these general conditions, any project ESMP, and its own HSE-MP, and are able to fulfil their expected roles and functions. Specific training will be provided to those employees that have particular responsibilities associated with the implementation of the HSE-MP. Training activities will be documented for potential review by the Client.
44) Amongst other issues, training will include an awareness session for all employees on HIV-AIDS addressing the following topics:

- What is HIV/AIDS?
- How is HIV/AIDS contracted?
- HIV/AIDS prevention.

## Annex 5: Protocol to Manage Chance Finds

Construction operations may encounter cultural and archaeological resources or chance finds. Construction can also reveal these buried resources, necessitating "salvage archaeology" for their recovery and protection. Once first stages of earthworks show signs of likely presence of archaeological resources, salvage entails quick excavation to remove artifacts or other traces of human settlement before extensive earth-moving continues. As a general construction principle, any archaeological “chance finds” should be handed to the Department of Museums and Monuments in the Ministry of Tourism, Trade & Industry (MITI).

A protocol for managing chance finds developed based on *The Historical Monuments Act, 1967* is provided in Box A7.1 below.

Box A7.1: Suggested protocol to manage “chance finds”

a) The contractor shall not perform excavation, demolition, alteration or any works that may harm resources of cultural importance without authorization of the Engineering Assistant or officials from the Department responsible for museums and monuments.

b) In case of chance finds, the Contractor shall mark, cordon and secure the subject site(s) to avoid damage in the course of road construction and immediately notify the Department responsible for museums and monuments.

c) Opening of a new borrow or quarry site shall be witnessed and inspected by official(s) from the Department responsible for museums and monuments for the first 2 days of site opening. The official(s) shall maintain watching briefs during works, with clear procedures for protection and documentation of any “chance finds” encountered (cost of this has been provided in the ESMP, Chapter 8).

d) The contractor is obliged to provide for and ensure archaeological intervention in case they come across new finds. This involves immediate discontinuation of works and notifying the Department responsible for museums and monuments about any discoveries.

e) “Chance finds” encountered in presence of official(s) from the Department of Museums and Monuments shall be handed to them for transfer to the national museum.

f) “Chance finds” encountered in absence of these official shall be handed over to supervising Engineering Assistant, Environmental Officer or District Engineer who would immediately notify officials of the Department of Museums and Monuments.

g) The Contractor, and supervising engineer shall maintain contact details of the Department of Museums and Monuments to quickly notify it in case chance finds are encountered.

## Annex 6: World Bank Operational Policies

| Operational Policy | Summary attributes |
|---|---|
| OP 4.01 Environmental Assessment | The objective of the policy is to ensure the projects financed by the Bank are sound and sustainable, and decision making can be improved through an appropriate analysis of actions and of their potential environmental impacts. This policy is triggered if a project is likely to have environmental risks and impacts (adverse) on its area of influence. OP 4.01 covers the environmental impacts (nature air, water and land); human health and security; physical cultural resources; as well as trans-boundary and global environmental problems. |
| OP 4.04 Natural Habitats | This policy recognizes that the conservation of natural habitats is essential for long-term sustainable development. The Bank, therefore, supports the protection, maintenance, and rehabilitation of natural habitats in its project financing, as well as policy dialogue and analytical work. The Bank supports, and expects the Borrowers to apply, a precautionary approach to natural resource management to ensure opportunities for environmentally. |
| OP 4.36 Forests | The objective of this policy is to help borrowers exploit the potential of forests in order to curb poverty in a sustainable manner, efficiently integrate forests in sustainable economic development and protect vital local and global environmental services and forest values. Where forest restoration and plantations are needed in order to achieve these objectives, the Bank helps borrowers in forest restoration activities in order to maintain or develop biodiversity and the operation of ecosystems. The Bank helps borrowers in the creation of forest plantations appropriate from the environmental viewpoint and socially beneficial and economically sound in order to help meet the growing forests' needs and services. |
| OP 4.09 Pest Management | The objective of this policy is to promote the use of biological or environmental control methods and reduce reliance on synthetic chemical pesticides. In Bank financed agricultural operations, pest populations are normally controlled through Integrated Pest Management (IPM) approaches. In Bank-financed public health projects, the Bank supports controlling pests primarily through environmental methods. The policy further ensures that health and environmental hazards associated with pesticides are minimized. The procurement of pesticides in a Bank financed project is contingent on an assessment of the nature and degree of associated risk, taking into account the proposed use and the intended user. |
| OP 4.11 Physical Cultural Resources | The objective of this policy is the help countries avoid or reduce the adverse impacts of development projects on physical cultural resources. In order to implement such policy, the words "physical cultural resources" mean movable and unmovable objects, sites, structures, natural's aspects of landscapes that have an importance form the archeological, paleontological, historic, architectural, religious, aesthetic or other. Physical cultural resources could be found in urban or rural areas, as well as both in the open air, under the ground and in the sea. |
| OP 4.10 Indigenous Populations | The objective of the policy is (i): ensure that the development process encourages full respect of dignity, human rights and cultural features of indigenous people; (ii) ensure they do not suffer from the detrimental effects during the development process; and ensure indigenous people reap economic and social advantages compatible with their culture. |
| OP 4.12 Involuntary Resettlement | The objective of this policy is to avoid or minimize involuntary resettlement where feasible, exploring all viable alternative project designs. Furthermore, it intends to assist displaced persons in improving their former living standards; it encourages community participation in planning and implementing resettlement; and to provide assistance to affected people, regardless of the legality of title of land. |
| OP 4.37 Dams Security | The objectives of this policy are established as follows: For new dams, ensure the design and supervision are done by experienced and competent professionals; for existing ones, ensure that any dam that can influence the project performance is identified, an assessment of the dam security conducted, and the other required safety measures and corrective measures implemented. |
| OP 7.50 Projects on International Waterways | The objective of this policy is to operate in such a way as the projects financed by the Bank affecting the international watercourses do not affect: (i) the relationships between the Bank and its borrowers and between States (members or non-members of the Bank); and (ii) the international watercourses are used and efficiently protected. The policy applies to the following project types: (a) hydro-electric, irrigation, flood control, drainage, water collection, industrial and other projects involving use or potential pollution of international watercourses, and (b) detailed studies for project design including those carried out by the World Bank. |
| OP 7.60 Projects in Disputed Areas | The objective of this policy is to operate in such a way that problems experienced by projects in contentious areas are tackled as early as possible so that: (a) the relationships between the Bank and member countries are not affected; (b) the relationships between the borrower and neighbors are not affected; and either the |

| | |
|---|---|
| | Bank or concerned countries do not suffer any damage because of this situation. |

## Annex 7: List of consulted entities and emerging issues

Below is the list of people consulted during this process by entity as well as sample evidence of these consultations.

| | Name | Designation / institution | Date |
|---|---|---|---|
| | **Education and Sports and Line Sectors** | | |
| 1 | Dr Kamanda Bataringaya | Minister of State, Primary Education | May15, 2013 |
| 2 | Ms. Doreen Katusiime | Under Secretary, Ministry of Education and Sports | May 15, 2013 |
| 3 | Mr. Lubwama M.J | Ass. Commissioner, Directorate of Education Standards | May 15, 2013 |
| 4 | Dr. Yusuf Nsubuga | Director, Basic Education | May 17, 2013 |
| 5 | Dr. Daniel Nkaada | Commissioner, Pre-primary and primary | May 17, 2013 |
| 6 | Mr. Sebukyu Edward | Ass. Commissioner, Private Education Unit | May 17, 2013 |
| 7 | Mr. Mayoka James | Principal Economist, | May 21, 2013 |
| 8 | Mr. Dorothy Sekimpi | Economist | May 21, 2013 |
| 9 | Ms. Margaret Kasiiko | Gender Advisor | May 23, 2013 |
| 10 | Ms. Doreen Lwanga Matovu | Acting Commissioner Construction Management Unit, Ministry of Education & Sports | 27 May 2013 |
| 11 | Eng.Thaddeus Lugolobi | Civil Engineer, Construction management Unit, Ministry of Education & Sports | 30 May 2013. |
| 12 | Mr. Joseph Eilor | Assistant Commissioner / Division Head, Statistics, Monitoring & Evaluation (Education Planning & Policy Analysis Department, Ministry of Education & Sports. | 27 May 2013 |
| 13 | Ms Savia Mugwanya | Ass. Commissioner, MoPS | 13 May 2013 |
| 14 | Mr Wamai David | Economist/Focal Point for Education | 13 May 2013 |
| | **School level consultations** | | |
| 1 | Arejo Arkanjelo | Deputy head teacher, Biina Primary School | 28 May 2013 |
| 2 | Olive Kyohere | Head teacher, Luziira Primary School | 29 May 2013 |
| 3 | Omigo John | Deputy head teacher, Luzira Primary School | 29 May2013 |
| 4 | Muyingo Martin | Head teacher, Wampewo PrimarySchool | 30 May 2013 |
| 5 | Musaazi William | Head teacher Nakasero Primary School | 30 May 2013 |
| | **Local Education Group** | | |
| 1 | Innocent Mulindwa | Senior Education Specialist, World Bank (Uganda Country Office) | 27 May 2013 |
| 2 | Rosemary Rwanyange | Education Specialist, UNICEF | |
| 3 | Margo O'Sullivan | Chief of Education, UNICEF | |
| 4 | Diana Sekagya | Education Advisor, Irish Aid | |
| 5 | Nekesa C. Ouma | Social Development Specialist (AFTCS), World Bank (Uganda Country Office) | 27 May 2013 |
| 6 | Herbert Oule | Environmental Specialist, World Bank (Uganda Country Office) | May-July 2013 |

## Ministry of Education & Sports

### Stakeholder consultation record:

| | | | | | |
|---|---|---|---|---|---|
| **Name of agency/stakeholder/community:** | Ministry of Education & Sports | | | | |
| **Purpose of consultation (*tick appropriate box*):** | **Scoping:** | | | **ESIA:** | |
| | **Sensitisation:** | | | **RAP:** | |
| | **Environmental Audit:** | | | **Other (specify):** | X |
| **Date:** | 2/7/2013 | | | | |
| **Project name:** | UGPEP ESMF development | | | | |
| **Proponent:** | | | | | |

| Name of person/ official met: | Designation | Contact (Tel/email) | Sign/ Initial |
|---|---|---|---|
| Grace Nankabinga | Economist | 0713-503209 gnankabinga@gmail.com | NKB |
| Dorothy Ssekimpi | S/Economist | dorothyssekimpi@yahoo.com | Dmds |
| Kevin Balaba | A/C Planning & Budgeting | 0772468164 | K.B |
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## St. James Primary School, Biina, Nakawa Division, Kampala (A typical peri-urban primary school on small landholding)

UGPEP ESMF stakeholder consultation record

| | | | | |
|---|---|---|---|---|
| **Name of agency/stakeholder/community:** Ministry of Education & Sports , ST JAMES PRIMARY SCHOOL BIINA | | | | |
| **Purpose of consultation** (*tick appropriate box*): | **Scoping:** | | **ESIA:** | |
| | **Sensitisation:** | | **RAP:** | |
| | **Environmental Audit:** | | **Other (specify):** To understand lessons learnt from UPPET and integrate it into UGPEP. | |
| **Date:** 28 May 2013 | | | | |
| **Project name:** Environmental and Social Management Framework (ESMF) for Uganda Global Partnership for Education Project (UGPEP). | | | | |
| **Proponent:** | | | | |

| Name of person/ official met: | Designation | Contact (Tel/email) | Sign/ initial |
|---|---|---|---|
| 1. EREJO ARKANJELO | DEPUTY HEADTEACHER | 0772447014 / 0772487085 | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |
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| 10. | | | |
| 11. | | | |
| 12. | | | |

Stand. Doc No. ir/lk/moe-2

## Luzira Secondary School (UPPET beneficiary)

UGPEP ESMF stakeholder consultation record

| | | | | |
|---|---|---|---|---|
| **Name of agency/stakeholder/community:** Ministry of Education & Sports, LUZIRA SECONDARY SCHOOL | | | | |
| **Purpose of consultation** (*tick appropriate box*): 30 | **Scoping:** | ☐ | **ESIA:** | ☐ |
| | **Sensitisation:** | ☐ | **RAP:** | ☐ |
| | **Environmental Audit:** | ☐ | **Other (specify):** To understand lessons learnt from UPPET and integrate it into UGPEP. | |
| **Date:** ~~28~~ May 2013 | | | | |
| **Project name:** Environmental and Social Management Framework (ESMF) for Uganda Global Partnership for Education Project (UGPEP). | | | | |
| **Proponent:** | | | | |

| Name of person/ official met: | Designation | Contact (Tel/email) | Sign/ initial |
|---|---|---|---|
| 1. OLIVE KYOHERE | HEAD TEACHER | 0774224884 kyohereo@yahoo.com 0701630840 | |
| 2. OMINGO JOHN CHARLS | DEPUTY H/TEACHER | 0783751016 Omingocharles@yahoo.com | |
| 3. | | | |
| 4. | | | |
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| 12. | | | |

Stand. Doc No. ir/lk/moe-2

## Wampeewo Ntake Secondary School (UPPET beneficiary)

UGPEP ESMF stakeholder consultation record

**Name of agency/stakeholder/community:** Ministry of Education & Sports, Wampeewo Ntake SSS

| **Purpose of consultation** (*tick appropriate box*): | | | | |
|---|---|---|---|---|
| | **Scoping:** | | **ESIA:** | |
| | **Sensitisation:** | | **RAP:** | |
| | **Environmental Audit:** | | **Other (specify):** To understand lessons learnt from UPPET and integrate it into UGPEP. | |

**Date:** ~~28~~ 30 May 2013

**Project name:** Environmental and Social Management Framework (ESMF) for Uganda Global Partnership for Education Project (UGPEP).

**Proponent:**

| Name of person/ official met: | Designation | Contact (Tel/email) | Sign/ initial |
|---|---|---|---|
| 1. MUYINGO MARTIN | HEADTEACHER | 0700670544 | |
| 2. | | | |
| 3. | | | |
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Stand. Doc No. ir/k/moe-2

**Key issues from stakeholders:**

1. Construction noise may disrupt leaning in schools and contractors should either minimise this or schedule noisy activities outside class hours.
2. There may be a risk of accidents to school children if construction sites are not fenced off.
3. Contractors should ensure proper disposal of construction waste and for this, they should seek guidance of local environment officers. Dumping waste in swamps and streams used for domestic water by local communities should be avoided.
4. All construction materials should be obtained from approved sources to avoid environmental damage.
5. There should be a mechanism to ensure that teachers trained by the project add value to schools rather than resigning to move to private higher-paying ones. This will defeat objective of the project.
6. When feasible, local people should be considered for construction labour, this way the project will seem to benefit local communities.

**Many of the schools to be supported may be in rural areas without centralised sewerage systems. Therefore disposal of septage from latrines when they fill up may be a challenge entailing considerable haulage cost by transporters. There may be also a risk of dumping this waste in streams which would contaminate local water sources**

**Annex 8: Example of ESMP**

| Environmental issue | Mitigation measures taken or to be taken | Agency in charge of implementing measures | Indicators to be monitored | Agency in charge of monitoring | Frequency of Monitoring |
|---|---|---|---|---|---|
| 1. **Land take prior to construction** | -Mandatory regulatory notice to be given to affected persons before commencing project activities<br>-Compensation / resettlement will be undertaken for land owners before project commencement. | School | Number of land owners not compensated | Chief Government Valuer (CGV) | Monthly |
| 2. **Sediment deposition into wetlands** | Sediment traps to be provided when working near rivers/ swamps. | Contractor | Muddy color in water | District Wetlands Office, | Monthly |
| 3. **Opening and use of quarries and borrow sites** | -Prepare project briefs for all borrow sites as required by NEMA.<br>-Restore borrow pits, and return them to original owners without visual blight or residual contamination. | Contractor | -Number of land owners compensated<br><br>-Number of borrow pits and quarries. Restored. | NEMA (through DEOs) | Upon project commencement and at sites closure (at end of project) |

## Annex 9: List of Third Schedule Projects according to *The National Environment Act, Cap 153*

**The National Environment Act**
**Third schedule**
**Projects to be considered for environmental impact assessment**.

1. **General –**
   a) An activity out of character with its surroundings;
   b) Any structure of a scale not in keeping with its surrounding;
   c) Major changes in land use.
2. **Urban development, including –**
   a) Designation of new townships;
   b) Establishment of industrial estates;
   c) Establishment or expansion of recreational areas;
   d) Establishment or expansion of recreational townships in mountain areas, national parks and game reserves;
   e) Shopping centres and complexes.
3. **Transportation, including-;**
   a) All major roads;
   b) All roads in scenic, wooded or mountainous areas;
   c) Railway lines;
   d) Airports and airfields;
   e) Pipelines;
   f) Water transport.
4. **Dams, rivers and water resources, including-**
   a) Storage dams, barrages and weirs;
   b) River diversions and water transfers between catchments;
   c) Flood-control schemes;
   d) Drilling for the purpose of utilizing ground water resources, including geothermal energy.
5. **Aerial spraying**
6. **Mining, including quarrying and open-cast extraction of-**
   a) Precious metals;
   b) Diamonds;
   c) Metalliferous ores;
   d) Coal;
   e) Phosphates;
   f) Limestone and dolomite;
   g) Stone and slate;
   h) Aggregates, sand and gravel;
   i) Clay;
   j) Exploration for the production of petroleum in any form.
7. **Forestry-related activities, including-**
   a) Timber harvesting;
   b) Clearance of forest areas;
   c) Reforestation and afforestation.
8. **Agriculture, including-**
   a) Large scale agriculture;
   b) Use of new pesticides;
   c) Introduction of new crops and animals;
   d) Use of fertilizers.
9. **Processing and manufacturing industries, including-**
   a) Mineral processing, reduction of ores and minerals;
   b) Smelting and refining of ores and minerals;
   c) Foundaries;

d) Brick and earthenware manufacture;
e) Cement works and lime processing;
f) Glass works;
g) Fertilizer manufacturing or processing;
h) Explosives plants;
i) Oil refineries and petrochemical works;
j) Tanning and dressing of hides and skins;
k) Abattoirs and meat-processing plants;
l) Chemical works and process plants;
m) Brewing and malting;
n) Bulk grain processing plants;
o) Fish processing plants;
p) Pulp and paper mills;
q) Food processing plants;
r) Plants for the manufacture or assembly of motor vehicles;
s) Plants for the construction or repair of aircraft or railway equipment;
t) Plants for the manufacturing or processing of rubber;
u) Plants for the manufacturing of tanks, reservoirs and sheet-metal containers;
v) Plants for the manufacturing of coal briquettes.

**10. Electrical infrastructure, including-**
a) Electricity generation stations;
b) Electrical transmission lines;
c) Electrical substations;
d) Pumped-storage schemes.

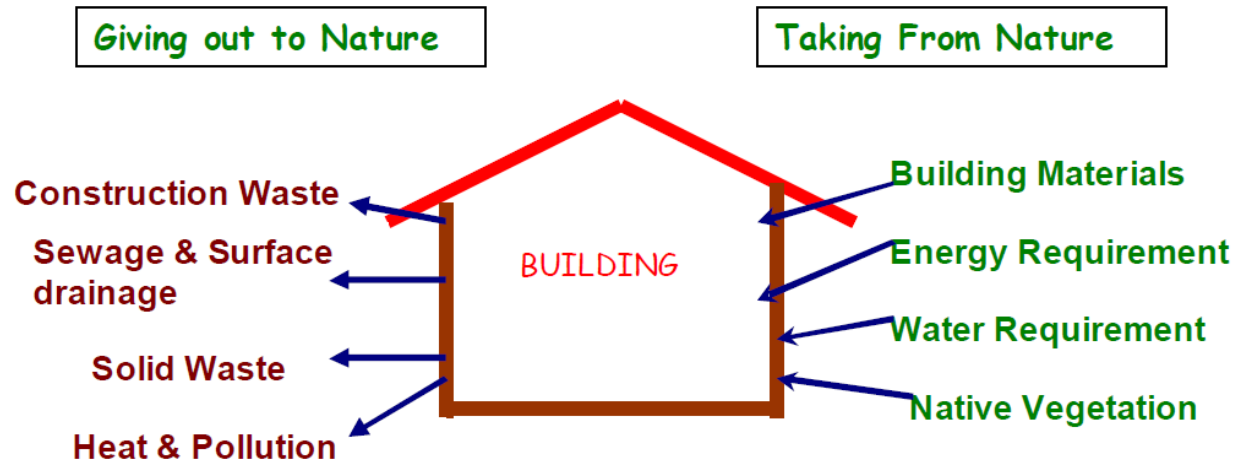
**11. Management of hydrocarbons, including the storage of natural gas and combustible or explosive fuels**

**12. Waste disposal, including-**
a) Sites for solid waste disposal;
b) Sites for hazardous waste disposal;
c) Sewage disposal works;
d) Major atmospheric emissions;
e) Offensive odours.

**13. Natural conservation areas, including-**
a) Creation of national parks, game reserves and buffer zones;
b) Establishment of wilderness areas;
c) Formulation or modification of forest management policies;
d) Formulation or modification of water catchment management policies;
e) Policies for management of ecosystems especially by use of fire;
f) Commercial exploitation of natural fauna and flora;
g) Introduction of alien species of fauna and flora into ecosystems.

**Annex 10: Typical construction impacts**

Typically impacts of construction projects arise from sourcing materials and what is generated after they are used (construction waste) as illustrated below.




Typical impacts are outlined in table below.

| | Action | Impact | Mitigation |
|---|---|---|---|
| 1 | Change of Landuse. | ▪ Direct Impact – On the plot of land<br>▪ Indirect Impact – On neighbouring plots.<br>▪ Cumulative Impact – On the surrounding area which will gradually change. | ▪ Restrict development to school land.<br>▪ Ensure development is permitted by local physical planning office. |
| 2 | Clearing of vegetation. | ▪ Soil erosion<br>▪ Dust emissions | ▪ Minimise vegetation clearing by restring activity to building footprint, as much as possible.<br>▪ Revegetate cleared areas as quickly as practicable.<br>▪ Ensure proper site drainage |
| 3 | Material transportation. | ▪ Accidents risk to school children.<br>▪ Road dust.<br>▪ Traffic noise at school campus. | Schedule this to be before or after school hours. |
| 4 | Building activities. | Construction noise. | Schedule noisy activities to be outside school hours. |
| 5 | Risk of falling debris to children. | Accident to children. | Fence off construction site to avoid access by children. |
| 6 | Waste management | Illegal dumping of waste in unauthorized places leading to contamination or grievances by property owners. | ▪ Ensure waste disposal is done with guidance of local environment officer's guidance |

| | | | |
|---|---|---|---|
| | | | and authorization.<br>▪ Stripped soil (overburden) should be used for site restoration/ landscaping, rather than being dumped offsite.<br>▪ Workers should not liter school campus with litter (plastic bags, water bottles, etc).<br>▪ Reusable waste (e.g. timber planks, paper bags, etc) should be given to local people if requested.<br>▪ Pit latrines should be lined with masonry brickwork to enable their emptying with a honey sucker when full. |
| 7 | Working at heights or depths | ▪ Risk of falls when workers at height (e.g. roofs) do not use safety latches.<br>▪ Risk of workers being interred by collapsing earth walls when digging pit latrines. | ▪ All workers should have appropriate safety gear<br>▪ Latrines should be safely dug on firm ground, carefully watching out for signs of possible wall failure. |
| 8 | Material acquisition | ▪ Leaving borrow sites unrestored after project completion. | ▪ Obtain material from already existing borrow sites and stone quarries. |
| 9 | Employment | ▪ Local people benefitting from construction projects | ▪ Contractors should hire atleast 5 people from the local community at anyone project. |
| 10 | Occupational safety | ▪ Workers getting buried by collapsing earth walls when digging pit latrines | ▪ Pits must never be dug in unstable soils<br>▪ All workers must have necessary safety gear |

## Annex 11: Format of an Environmental Report

A EIA report should include the following items (not necessarily in the order shown):

(a) *Executive summary*. Concisely discusses significant findings and recommended actions.

(b) *Policy, legal, and administrative framework*. Discusses the policy, legal, and administrative framework within which the EA is carried out.

(c) *Project description*. Concisely describes the proposed project and its geographic, ecological, social, and temporal context, including any offsite investments that may be required (e.g., dedicated pipelines, access roads, power plants, water supply, housing, and raw material and product storage facilities). Indicates the need for any resettlement plan or indigenous peoples development plan.

(d) *Baseline data*. Assesses the dimensions of the study area and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences. Also takes into account current and proposed development activities within the project area but not directly connected to the project. Data should be relevant to decisions about project location, design, operation, or mitigatory measures. The section indicates the accuracy, reliability, and sources of the data.

(e) *Environmental impacts*. Predicts and assesses the project's likely positive and negative impacts, in quantitative terms to the extent possible. Identifies mitigation measures and any residual negative impacts that cannot be mitigated. Explores opportunities for environmental enhancement. Identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions, and specifies topics that do not require further attention.

(f) *Analysis of alternatives*. Systematically compares feasible alternatives to the proposed project site, technology, design, and operation--including the "without project" situation--in terms of their potential environmental impacts; the feasibility of mitigating these impacts; their capital and recurrent costs; their suitability under local conditions; and their institutional, training, and monitoring requirements. For each of the alternatives, quantifies the environmental impacts to the extent possible, and attaches economic values where feasible. States the basis for selecting the particular project design proposed and justifies recommended emission levels and approaches to pollution prevention and abatement.

(g) *Environmental management plan (EMP)*. Covers mitigation measures, monitoring, and institutional strengthening.

(h) *Appendixes*

(i) List of EA report preparers--individuals and organizations.

(ii) References--written materials both published and unpublished, used in study preparation.

(iii) Record of interagency and consultation meetings, including consultations for obtaining the informed views of the affected people and local nongovernmental organizations (NGOs). The record specifies any means other than consultations (e.g., surveys) that were used to obtain the views of affected groups and local NGOs.

(iv) Tables presenting the relevant data referred to or summarized in the main text.

(v) List of associated reports (e.g., resettlement plan or indigenous peoples development plan).