



REPUBLIC OF UGANDA

# **Great Lakes Trade Facilitation (GLTF) Project for Uganda**

**Environmental and Social Management Framework for  
Border Post/Market Projects**

**Final Report**

**May 2015**

## Acronyms

AIDS	Acquired Immune Deficiency Syndrome
CBD	Central business district
CBT	Cross Border Trade
CDO	Community Development Officer
COMESA	Common Market for Eastern and Southern Africa
CWMP	Construction Waste Management Plan
DCO	District Commercial Officer
DEO	District Environmental Officer
DRC	Democratic Republic of Congo
EIA	Environmental Impact Assessment (or Environmental & Social Impact Assessment)
EIS	Environmental Impact Statement
EMP	Environmental Management Plan (or Environmental & Social Management Plan)
ESIA	Environmental & Social Impact Assessment
ESMF	Environmental and Social Management Framework
GLTF	Great Lakes Trade Facilitation
GoU	Government of Uganda
HIV	Human Immunodeficiency Virus
HSE	Health, Safety and Environment
HSE-MP	Health, Safety and Environment Management Plan
IDA	International Development Association
MAAIF	Ministry of Agriculture Animal Industry and Fisheries
MGLSD	Ministry of Gender, Labour and Social Development
MLHUD	Ministry of Lands, Housing & Urban Development
MoFPED	Ministry of Finance, Planning and Economic Development
MOH	Occupational Health and Safety
MoLHUD	Ministry of Lands Housing & Urban Development
MTIC	Ministry of Trade, Industry and Cooperatives
NEAP	National Environmental Action Plan
NEMA	National Environment Management Authority
NWSC	National Water & Sewerage Corporation
OHS	Occupational Health and Safety
PBM	Performance-based Management
RPF	Resettlement Policy Framework
STR	Simplified Trade Regime
UBOS	Uganda Bureau of Statistics
UNBS	Uganda National Bureau of Standards
UNRA	Uganda National Roads Authority
URA	Uganda Revenue Authority
WB	World Bank

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## **EXECUTIVE SUMMARY**

The Ministry of Trade Industry and Cooperatives (MTIC) in collaboration with other Government agencies intends to implement a Great Lakes Trade Facilitation (GLTF) project focusing on improving regional infrastructure and in particular remove both at and behind the border constraints to regional trade. The project will support efforts for reducing nontariff barriers to intraregional trade, by improving regional environments for business and by supporting regional measures to improve governance. In addition the project is designed to address underlying sources of conflict as well as poverty and under-development at the Ugandan border with Democratic Republic of Congo (DRC), as well as contributing to the attainment of key regional commitments on Peace and Security. Cross-border trade will be used as a tool for stimulating and facilitating agricultural trade and increasing resilience and social cohesion

### **Project Description**

The Project Development Objective (PDO) of GLTFP is to facilitate cross-border trade by increasing the capacity for commerce and reducing the costs faced by traders, especially small-scale and women traders, at targeted locations in the borderlands.

The GLTFP consists of 4 Components: (1) Improving core trade infrastructure and facilities in the border areas, (2) Implementation of Policy and Procedural Reforms and Capacity Building to Facilitate Cross Border Trade in Goods and Services (3) Performance Based Management in Cross Border Administration and (4) Implementation support, Communication, Monitoring and Evaluation. Of the total of US\$ 79 million of the World Bank, the allocation to the Government of Uganda will be US\$ 10 million. The counterpart funding from the Government of Uganda is US \$3 million.

The Government of Uganda will implement the project with funding from World Bank and targeting three border crossing points to the Democratic Republic of Congo-namely, Bunagana, Mpondwe and Goli. Interventions under the project will include improving core infrastructure and facilities at the border posts, undertaking procedural reforms to facilitating cross border trade, promoting performance based border management in cross border trade administration and ensuring effective communication, monitoring and evaluation. Of these, the major allocation will be in Mpondwe, whereas investments / sub-projects in Goli and Bunagana will be minor.

The Border post/ market infrastructure is the largest component of the Project and is planned to cost about 70% of the total budget. The component seeks to improve existing customs offices, border crossing roads and road junctions, drainage systems including sanitation facilities and green spaces through landscaping. Improvements to core infrastructure and facilities will be implemented under two subcomponents, one on improving border infrastructure and facilities and the second on establishing Border Markets. In the first phase the border market aspects will be limited to analytics undertaking feasibility and impact studies, assessing product value chains and establishing mechanisms for enhancing the system, development of Master Plans and implementation of the enterprise development and value addition component of the program. Construction of the physical border markets will be covered in the second phase.

### **Project environmental category.**

In accordance with the Bank's safeguard policies and procedures, including OP/BP/GP 4.01 Environmental Assessment, the project category is B. As during appraisal it is not possible to identify which sub-project or grant will be financed, it is necessary to prepare an Environmental & Social Management Framework (ESMF), which would specify all rules and procedures for the sub-projects EIA.

### **About Environmental and Social Management Framework (ESMF)**

This Environmental and Social Management Framework (ESMF) is intended for the border posts/ market component of the GLTF project. It describes the proposed GLTF components, identifies likely social and environmental impacts and proposes management measures to control socio-environmental effects during project implementation. More to this, the ESMF provides management measures as guidelines for carrying out environmental screening and assessments including initial examinations, Environmental Impact Assessment (EIA), and preparation of the Environmental Management Plan (EMP) to mitigate project induced negative environmental impact and to enhance positive environmental and social impacts.

Potential socio-environmental impacts likely to arise from project implementation have been predicted and mitigation actions proposed. The ESMF provides also some information on the expected encumbrances on the sites to be developed, procedures to be followed in acquiring land for the site, institutions that will be responsible for mitigating social and environmental impacts including their capacity gaps, mechanism for addressing grievances emanating from implementation of the project and mechanism for managing and monitoring acquisition of the land and relocations that may take place. However, a separate Resettlement Policy Framework has been prepared that will guide the development of a Resettlement Action Plan for those instances where land has to be acquired for the project, or people will have to be temporarily or permanently moved.

In preparing the document, relevant environment and social safeguard practices and compliance of the World Bank were reviewed.

The ESMF specifies that no Category A investments / sub-projects will be supported under the project. Under institutional arrangements, the project will also support training and capacity building of investments / sub-project beneficiaries and their consultants / contractors. Lastly, the ESMF specifies the rules and procedures for the EA documents' disclosure, grievance management and public consultation.

## **Potential Socio-Environmental Impacts of the Border Post/Market infrastructure Component of the GLTF Project**

Potential impacts (beneficial and negative) of proposed GLTF project are broadly discussed in section 7 and show that actual impacts and their significance may be site-specific and dependent

on type of infrastructure under development. A summary of positive social impacts of GLTF projects are provided in table below.

**Table 1: Social benefits of proposed projects**

	<b>Project component</b>	<b>Benefit/ impact</b>
1 a	Improvement of border post infrastructure at Bunagana, Mpondwe and Goli	Enhanced cross border trade traffic flow and security, movement towards coordinated one stop border, improved revenue collection, improved border transport infrastructure and facilities, reduced travel time and cost, improved drainage in and around the border posts, enhanced public health of the communities, and generally improved environment for people to live and work
1 b	Establishment of Border Markets	Enhanced exports due to increased border market infrastructure, increased incomes and employment opportunities for border communities including the disadvantaged groups
2.	Policy Reforms to Facilitate Cross Border Trade	Improved border crossing regulatory framework, movement towards coordinated one stop border posts, and enhanced cooperation to facilitate trade in services especially logistics, financial and key professional services.
3	Capacity Building to Facilitate Cross Border Trade	Enhanced institutional capacity, approved approach to cross border trade management, and enhanced regional coordination of STR programs.

Table below outlines a summary of negative environmental impacts proposed GLTF border infrastructure development from construction to post- construction phase.

**Table 2: Socio-environmental impacts of proposed GLTF projects**

<p><b>a) IMPACT ON WETLANDS</b></p> <p><b>Loss of wetland cover:</b> Road upgrade may impair sections of wetlands (for example at Mpondwe and Goli) and pose a risk of localized ponding thereby impacting on public health. Mitigations measures will include road designs that ensure adequate drainage as per national road design standards, marking construction boundaries to avoid wetland destruction and clearance outside of the project footprint, erecting of erosion protection measures by the contractor, ensuring that waste or overburden is not dumped in the wetlands during construction and including on the contractor(s) team an environmental officer to guide construction activities.</p> <p><b>Improper management of cut to spoil during construction:</b> Site preparation and road construction may generate considerable quantities of cut to spoil and constitute a major disposal challenges. <b>As an impact mitigation measure</b>, the contractor shall implement a construction Waste Management Plan and avoid direct or in direct dumping of spoil in wetlands.</p>
<p><b>2. IMPACT ON HUMAN HEALTH</b></p> <p><b>Improper construction waste management:</b> Overburden and waste bitumen if dumped in undesigned places e.g. wetlands, can cause aesthetic impacts, contamination of road-side spring wells, drainage impairment, environmental contamination and public health risk. A mitigation measure will include a requirement to the contractor to implement a Construction Waste Management Plan (CWMP) for proper waste management and avoid or minimize impacts on local environment.</p>

**Dust plumes from construction operations:** Excavation, grading, shaping, haulage and dumping of soil do generate excessive dust and degrade local air quality during construction. The Contractor shall be required to implement measures to suppress dust and progressively strip short site sections under construction to avoid generation of unnecessary dust.

**Contamination at contractors' equipment yards:** Equipment yards used for storage of materials and equipment during construction of roads can generate hazardous waste (waste oil), which pollutes, contaminates local environmental resources (soil, water) and thus, pose a public health risk. As a mitigation measure, and a contractual obligation, the Contractor shall develop a construction waste management plan (CWMP) indicating likely sources and type of waste, a record of all disposal locations that require approval of the Supervising Engineer, remediation measures of the yard site after construction, and an undertaking to sensitize workers about potential for environmental contamination due to improper waste management practices. A waste disposal license shall be granted by NEMA.

**Accident risk to general public:** Construction activities may pose accident risk to the public (motorists, school children, women, elderly people, people with disabilities) which may be due to poor designs, substandard construction works, and increased or faster traffic flow in case of a road. Ramming into heaps of boulders can also cause grave accidents to road users. The Contractor shall provide safety signs to warn road users, position traffic guides at high risk points and establish speed control measures. Appropriate designs will be adopted for the safety of motorists and pedestrians putting into consideration the period during construction and at the operational phase.

**Occupational health & safety impacts:** Construction activities do pose occupational health and safety risks with potential to cause serious injuries to workers in form of burns, electrocution; and, noise and body vibration from equipment. Lack of safe water and mobile toilet facilities at work sites could also pose considerable inconvenience and health risk to workers or local communities traversed). The need for such facilities will also become apparent once the infrastructure and service delivery has been improved and operationalized considering the resultant increase in the flow of traffic of traders and other business operations at the border posts/markets. During and after construction, there can be two main sources of litter, building material washed away during a storm and deposited into waterways, and rubbish thrown away by construction workers or communities utilizing the facility at the operational stage. The contractor will be required to **a)** maintain a high quality of housekeeping and ensure that materials are not left where they can be washed or blown away to become litter **b)** provide bins for construction workers and staff at locations where they consume food, and **c)** conduct ongoing awareness with staff of the need to avoid littering. These same measures shall be applied by the authorities during the operational phase.

In line with Occupational Safety & Health Act (2006) and Employment Act, 2006, the Contractor shall be required to provide hearing protection to workers exposed to a noise level greater than 85 dB(A) for a duration of more than 8 hours per day shall be provided wear. The Contractor shall be required to provide all workers with requisite protective gear, onsite toilet and washing water for workers and signage reminding workers of use of PPE at appropriate locations in the project area



including ancillary work sites.

**Increase in health risks:** Construction tends to involve migrant workers who are especially vulnerable to HIV infection. Migrant workers on contract generally ignore or are ignorant of the consequences of casual sexual relationships. Tackling discrimination towards workers with HIV and helping prevent the spread of HIV are also priorities. However, the nature and scale of construction activities under this project is not so large that this will result in a significant increase in the health risks. At the operational phase, improved facilities and services could attract more businesses and unguided settlements around the sites which could also heighten the spread of HIV. The areas around or in the new sites will also be targeted as part of the country's strategy to minimize the spread of HIV especially in the areas where vulnerability is very high.

### 3. IMPACTS RELATED TO SOURCING OF MATERIALS

**Opening and use of quarries and borrow sites:** Constructions will require materials such as earth fill, stabilized gravel base, crushed aggregate, culverts, bitumen, asphalt concrete, steel and composites for road signs which may cause accidents, dust, scenic blight, tainting of sites/resources of heritage or cultural site and public health impacts to the local communities their surrounding biodiversity. As mitigation measure, the Contractors will be required to utilise existing sites rather than open new borrow and quarry sites. Any new stone quarry sites will be subjected to a standalone EIA by the Contractor while borrow pits will undertake a "Project Brief", as required by Third Schedule of *National Environment Act, Cap 299*.

As part of the contractual arrangement, the Contractor shall integrate quarry restoration plans to be undertaken concurrently as construction progresses or after, scarify and re-vegetate access roads to the quarries if not needed by the local communities, secure license for rock blasting and all explosives to be handled, warn local communities before a scheduled blasts and afterwards, assess any property damage in neighbouring communities and commit to effecting equitable compensation.

**Staining of dwellings and trade goods in roadside shops by dust from haulage:** Haulage of construction materials will necessitate transportation of materials from sources to worksites. The transportation of these materials, if not properly handled, can stain dwellings and trade goods in the surrounding shops by dust, damage roads, cause traffic accidents and noise.

The Contractor shall implement measures to suppress dust, erect temporary signs at the sites and along routes used by haulage, deploy traffic guides warning signs, provide temporary and permanent speed reducing devices, prohibit haulage activities at night to avoid accidents, station traffic guides at potentially high accident risk locations and refrain from establishing temporary speed reduction features (humps) adjacent to schools or healthcare centres so as to avoid associated noise.

**Land-acquisition prior to construction:** There will be no need for new but large land for border post/market infrastructure component. However, where new land acquisition is required, compensation shall be made by MOWT in close collaboration with MTIC. Compensation will

also be provided for any damage to private property during project implementation. Compensation would be effected through a Resettlement Action Plan developed in accordance with the Resettlement Policy Framework (RPF) that has been prepared for the project.

**Traffic flow impacts during construction:** Traffic flow impairment is expected during road and drainage upgrade, and also due to diversions or detours with potentially significant impacts during morning and afternoon rush hours. Advance notice shall be provided to local communities about the schedule of construction activities; and traffic guidelines including warning signs, temporary traffic lights or traffic controls associated with construction shall be provided.

#### **4. IMPACT ON LOCAL WATERCOURSES AND HYDROLOGY**

**Soil erosion and drainage impacts:** During construction of drainage and roadworks soil erosion is most likely to occur due to excavation, dredging and cutting and filling and this would deposit silt in drains leading or exacerbating blockage. As a mitigation measure, the Contractor shall be required to apply good construction practices and erosion control measures, the Contractor will ensure that construction practices do not impair local drainage and unnecessary vegetation clearance will be avoided. For civil works undertaken during rainy periods, silt traps and interceptor drains shall be provided on site. Overburden or other construction materials shall not be stored or dumped near marshes.

**Damage to water sources around the construction sites:** Water sources (springs) close to the road if damaged by construction activities, would pose a social impact on communities that depend on them. Where community sensitivity to this impact is high the Contractor shall provide alternative water sources (boreholes, protected springs, boreholes) wherever and existing one is damaged during construction. The Contractor shall take all due care to avoid damage to public water sources.

#### **5. NOISE AND VIBRATIONS DURING ROAD CONSTRUCTION AND USE**

Construction activities will generate noise and vibrations that may affect site roadside dwellings, commercial establishments, institutions (schools, healthcare facilities, etc). Vibrations may damage roadside buildings and higher vehicle increased traffic volume due to roads upgrade will increase noise baseline levels during road use. Construction activities at night will be limited to avoid sleep disruption.

#### **6. IMPACT ON LOCAL AIR QUALITY DURING ROAD USE**

Heavier traffic volume plying the upgraded roads might lead to deterioration of local airshed especially on rising gradients of the carriageways. Exhaust emissions at these locations might elevate local levels of exhaust particulates (soot), oxides of sulphur (Sox), oxides of nitrogen (NOX), ground level ozone and volatile organic carbons (VOCs), all of which can exacerbate various respiratory ailments especially in elderly people and children. Government controls on the age of used vehicles will continue to reduce polluting automobiles on national roads. This impact cannot be controlled by implementing agencies.

#### **7. CLIMATE CHANGE IMPACTS**

Embodied carbon associated with construction of proposed infrastructure would also to some extent have climate change effect in form of increased extreme heat, induced luxuriant vegetation

growth and heavy storms and flooding leading to soil erosion and landslides infrastructure damage / failure, and transport disruptions. Roads and drainage design should consider anticipated change in rainfalls due to climate change. Where possible, existing material sources should be used and land landscaping done by planting around or along the site trees for carbon sequestration. The planting of trees will also promoted even after construction has been undertaken.

#### **8. IMPACT ON CULTURAL HERITAGE SITES**

There are no known heritage sites at or around the border posts that may directly or indirectly be affected by the proposed road projects although, the border posts are gateways to and from a number of heritage sites in the neighbouring villages that may indirectly be affected by the proposed project especially component one.

The contractors shall be aware of cultural heritage sites and avoid or minimise impact during project implementation.

#### **9. VISUAL BLIGHT AND CONTAMINATION DUE TO IMPROPER DECOMMISSIONING**

Improper decommissioning of project sites upon completion of construction activities would lead to scenic blight and remnant contamination in some project areas such as equipment yards. Such contamination may be due to waste oil spills, waste left on site, unused asphalt or discarded bitumen. Leaving disused equipment on site could also pose contamination and visual impact. Undertaking improper or no restoration of vegetation on sites would leave them prone to soil erosion.

Mitigation: The Contractor will commence proper restoration of all project sites not later than 3 months after completion of construction.

#### **10. GENDER AND DISABILITY RELATED IMPACTS**

Temporary severance of access to property, institutions (schools, health clinics, shops, etc.) may have inordinately large impacts on women and on the disabled.. In addition there may be some post-construction impacts that may be gender-specific including compromised privacy of women on foot bridges, too high foot bridges for women and the elderly and in some cases inaccessible to people with disabilities e to climb steps, cannot use the foot bridges.

These attributes contribute to an increased risk of accidents as a large number of people cross roads at carriageway level rather than using footbridges. People with disabilities, children and women should be considered in designing and development. Footbridges will be designed to provide necessary privacy to women. Ramps will be provided to enable for disabled access; and, the design will be considerate to those with a fear of heights, so that a sense of safety during the utilization stage is created among the concerned users.

#### **11. ECONOMIC IMPACTS**

The construction phase may have impacts inform of temporary severance of access to business premises, displacement of taxi stages and commuter cyclists, temporary relocation/ displacement of roadside markets, dust tainting merchandise in roadside shops, markets, kiosks leading to considerable loss of value or revenue.

As a mitigation measure, the Contractor shall ensure fast construction speed to minimise economic loss due to severance, where possible, alternative locations for temporary relocation of

roadside businesses should be provided by the contractor in collaboration with the implementing agencies and the Contract should provide temporary provisions (e.g. culverts) to enable access to roadside property. The contractor should suppress dust by watering dust surfaces regularly.

## **12. AESTHETIC IMPACTS**

Construction may temporarily impair visual amenity of the city in sites where projects are undertaken due to dust emissions, destruction of landscaping and impaired drainage during construction leading to blocked stormwater drains, localised flooding and muddy stormwater that deposits silt which turns to dust upon drying. The contractor shall be required to ensure good construction practices, due diligence to avoid undue damage to existing landscaping and where there is any such damage, it should be promptly rectified.

**Flooding, Pollution and Low flows in streams and rivers:** Drainage channels convey water far more quickly than natural processes and this could lead to downstream flooding if flows burst channel banks. Silt, oil and other contaminants may pollute surface water run-off, when discharged to streams, and lake, can cause water contamination contaminate water sources. Channelled drainage prevents natural percolation of rainfall into groundwater resources and can also lead to the concentration of nitrates and phosphates in rivers and wetlands, causing an increase in algal blooms and reducing amenity value and reduction of water available downstream. Principles of “sustainable drainage” shall be adopted to avoid related impacts.

## **Implementation arrangements for the project and ESMF**

The lead agency responsible for the implementation is the Ministry of Trade, Industry & Cooperatives (MTIC). For the investments / sub-projects to be implemented under Component 1.1, the Ministry of Works & Transport (MoWT) will be responsible in entirety. For the initiatives on all other components, they shall be implemented by MTIC, the lead institution, supported by the following agencies - Immigration, Uganda Revenue Authority, Agriculture and Uganda Bureau of Statistics will be involved. For the ESMF implementation, the PMU within the MTIC will be responsible for the day-to-day management. The PMU will include a Safeguards-In-charge, who will coordinate all the safeguards functions, across the entire project. In the MoWT, a project team will be responsible for the day-to-day management. An engineer will be assigned as the safeguards-in-charge to coordinate both the MTIC and with the contractors and consultants associated with the investments / sub-projects. Direct environmental and social impacts are only envisaged in Component 1, and hence safeguards capacity has been planned. For the remaining components, there are no direct environmental and social impacts and no specific capacity additions are required. Representatives of Ministries, consultants and contractors will be trained on this ESMF, World Bank Policies, NEMA requirements, ESIA and ESMP.

## **Budget Estimates for the GLTF Project**

GLTF Project is estimated to cost US \$ 13 million, and will be implemented over a period of 5 years from 2015 to 2020. The project will also provide funds for institutional development by building the capacity for lead agencies to enable effectively implement, manage and monitor the project.

A specific budget estimate for compensations and implementation of other environmental mitigations that will be involved has not been made because the size and area scope of operation on some sites are not yet known.

### **Public Consultation and Disclosure**

Preparation of the ESMF followed undertaking field visits and consultations with key stakeholders both public and private sectors players including, border agencies, Local Government Authorities, cross border traders, local communities and the main implementing agencies such as NEMA, MOWT, UNRA, MFPED and MTIC, among others. Consultations provided understanding and enabled identification of environmental concerns. These consultations include both field-level consultations and with the agencies at the national level.

During the EIA review, the public will be given additional opportunity for ensuring that their views and concerns have been adequately addressed in the EIA. Any earlier omissions or oversight about the project effects will be raised at this stage. ESMF report will be disclosed for a minimum period of 60 days to allow for the public to raise any other concerns before the project approval process can proceed.

## **1.0 BACKGROUND**

### **1.1.1 Introduction**

The Ministry of Trade Industry and Cooperatives (MTIC) in collaboration with other Government agencies intends to implement a Great Lakes Trade Facilitation (GLTF) project focusing on improving regional infrastructure and in particular remove both at and behind the border constraints to regional trade. The project will support efforts for reducing nontariff barriers to intraregional trade, by improving regional environments for business and by supporting regional measures to improve governance of cross border trade.

The project is also designed to address underlying sources of conflict as well as poverty and under-development, and is thus a key pillar for helping achieve the outcomes of the Bank's Great Lakes Strategy, as well as key regional commitments on Peace and Security. Cross-border trade will be used as a toll for stimulating and facilitating agricultural trade and increasing resilience and social cohesion on both sides of the border between the Republic of Uganda and the Democratic Republic of Congo.

### **1.1.2 General overview of Cross Border Trade**

Cross border trade contributes significantly to the development of Uganda's economy. Cross-border trade enables the movement of produce across borders from surplus to deficit areas. It is therefore significant not only in providing employment and livelihood to border communities but also in promoting food security.

The Background to the Budget 2013/14 indicates that informal exports amounted to US\$ 364.9 million in the 12 months ending March 2014, compared to US\$ 433.0 million in the same period ending March 2013. Informal exports accounted for 15.7% and 12.9% of Uganda's total export earnings in the respective 12 months period. In addition, the Survey report of Uganda Bureau of Statistics, 2012, shows that the share of informal exports to Uganda's total exports stood at 14.2 percent in 2011 while informal imports accounted for 0.9% in the same period.

Despite its significant contribution to the economy, scale cross-border trade remains largely an informal sector and the voices of the traders are seldom heard. Statistics on this subsector are still estimated and there are no clear and targeted programs to formalize and enhance competitiveness of the sub-sector so as to enable traders take advantage of the benefits of regional integration. Traders have not even been able to take advantage of the simplified customs processes and procedures available for them at the border under the Simplified Trade Regimes (STR) established by both the East African Community (EAC) and the Common Market for Eastern and Southern African (COMESA).

Based on the above and in an effort to improve the performance of the export sector, a number of studies have been undertaken by the Ministry, UBOS and other international organisations

including COMESA, African Union and World Bank. The studies revealed numerous challenges in cross border trade including lack of awareness on trade policies; high taxes and charges; lengthy bureaucracy; poor relationships with border officials; language barriers; inappropriate laws; low value added exports; lack of capital; conflicting trade policies in the region; lack of storage facilities; exchange rate fluctuations; inadequate capacity of border trade facilitating institutions, harassment of traders and low levels of literacy among traders, among others.

The studies have also proposed measures to address the above challenges. The Ministry with support from COMESA has undertaken a number of interventions to address some of the cross border trade challenges. Although a number of achievements were recorded under the CBT work program, cross border trade challenges as highlighted by the needs assessment study remain largely undressed.

There is enormous potential for trade to drive growth and poverty reduction in the region. For conflict affected households in the region there are considerable opportunities to benefit from cross-border and regional trade in a range of goods and services. For many communities, key markets are situated across a border. While the instability and insecurity over the last decade has caused serious disruption to cross-border trade, substantial flows of people and goods continued to traverse the borders between the two countries every day. Now that a degree of stability is returning, trade flows are again increasing. Trade can contribute to food security, to increasing employment throughout the region and the return of internally displaced persons. Trade across borders is essential to improve access and lower prices for critical inputs into economic activities including the exports of other goods and services.

Facilitating trade across borders will be an important mechanism to improve access of consumers to basic food products and to increase the returns to farmers. There are also considerable opportunities to increase trade in services, including professional services, logistics services, construction services and financial services. Many professionals are already crossing borders to work in other countries in the region and demand for certain financial services in the DRC is being met by movement of consumers to providers across the border.

Informal cross-border trade plays the main role in linking producers to markets in the Great Lakes region of Africa and is typically dominated by women. Small cross-border trade fosters shared economic growth and interdependence between populations with a history of division and mistrust, and is thus important for peace building in the Great Lakes region. Official statistics vastly understate the amount of trade that crosses borders in the region. For example, the number of trucks crossing the border is a tiny fraction of the tens of thousands of people who cross official borders from Uganda to DRC every day for commercial purposes. This informal trade is not illegal trade but is unorganized small scale trade which does not appear in the customs record.

Cross-border exchange provides the main source of income for a large number of informal traders who are predominantly poor women carrying agricultural products and hence there is an important gender dimension to this issue. However, lack of governance at the border has led to a situation in which these traders are often subject to extortion and physical harassment including rape.

Cross-Border Traders on the border between Uganda and the DRC and other neighboring countries is dominated by women and provides an essential source of income to many households in the region. A recent survey of traders at four border posts in the region identified the following key features of cross-border trade: the majority of traders are women (85 percent of the respondents); most of the officials who regulate the border are men (82 percent); for almost two-thirds of the respondents, income from cross-border trade is the main source of income, and most (77 percent) report that household income is heavily dependent on their trading activity. Cross-border traders regularly have to pay bribes and suffer harassment. The responses from the survey paint a dark picture of the conditions experienced by poor women cross border traders.

There is a pressing need to improve physical conditions at the border between Uganda and DRC. This is of particular importance for small traders; most of whom are women. The very poor quality and condition of the infrastructure at the border, allows some of the worst types of harassment and violence. Both the transport infrastructure and poor quality and inappropriate design of buildings used by officials need to be rehabilitated, including the provision of basic facilities such as electricity and water. Work is immediately required to minimize the risks to safety and security that arise from dilapidated infrastructure and to provide an open and transparent area for officials and traders.

Infrastructure improvements at the border need to be accompanied by better border management and governance and better trained officials and support to traders associations. Providing a safe, transparent and well regulated border is a fundamental step towards stability and encouraging a movement away from the 'survival economy'. It is also an issue in which countries clearly have a common interest to ensure effective control of borders and to facilitate trade.

Facilitating trade is in the common interest of all countries in the EAC and COMESA region and will enhance the effectiveness of national development policies. There would be very large economic pay-offs from interventions that facilitate freer movement of goods and people across the border. In the short-term this pay-off would be in the form of greater security and increased incomes for poor mainly women traders whose trading activities are crucial to the welfare of their households and hence to poverty reduction in communities along the border

## **1.2 GLTF Project Description**

The project development objective to facilitate cross-border trade by increasing the capacity for commerce and reducing the costs faced by traders, especially small-scale and women traders, at targeted locations in the borderlands.

GLTF Project is USD\$13 Trade Facilitation Project to be implemented with funding of \$10 million funding from the World Bank and counterpart funding of \$3 million by the Government of Uganda.

The GLTF will be implemented at three Borders; Bunagana, Mpondwe and Goli. The Project will be implemented through four components; (1) Improvements to core border infrastructure and facilities, (2) Procedural Reforms to facilitating Cross Border Trade (3) Performance Based



Management in administration of cross border trade and (4) Communication, Monitoring and Evaluation.

***Component 1: Improvements to core infrastructure and facilities*** in the border areas

The project will finance improvements to core trade infrastructure and facilities at the selected border crossing points which are considered to be of strategic importance to Uganda in the context of trade development and regional peace and security. In addition, the project will finance the development of facilities to facilitate cross-border market exchanges. The infrastructure improvements will be supported under three main sub-components:

**Sub-component 1 A):** Construction of border infrastructure and facilities: The project will finance improvements to infrastructure and facilities at the selected border posts.

1. Establishing infrastructure that responds to the needs of the border institutions and the traders by;
2. Addressing the security of the traffic of people crossing the border
3. Upgrading customs related offices targeting to developing them into one stop border posts
4. Opening the entry and existing points that separates the flow of people of different categories
5. Establishing Warehouses & storage facilities for customs purposes
6. Providing for Parking space
7. Supporting provision of equipment for customs related clearances
8. providing basic facilities such as safe water and electricity

**Sub-component 1 B):** Implementation of the Border Market Program: The focus will be on addressing post-harvest losses and to engage more in cross border trade without having to travel over long distances into the country. This project is expected to finance development of border markets at a few strategic locations linked to the border posts to be improved by the project.

In the first phase implementation will focusing on undertaking feasibility and impact studies, assessing product value chains and establishing mechanisms for enhancing the system, development of Master Plans and implementation of the enterprise development and value addition component of the program. Construction of the physical border markets will be covered in the second phase. The feasibility studies will necessarily include environmental and social part of the technical studies.

***Component 2: Implementation of Policy and Procedural Reforms and Capacity Building to Facilitate Cross Border Trade in Goods and Services***

Support will be focused on two sub components, that is, implementation of the Simplified Trade Regime and streamlining procedures on cross border trade development.

**Sub Component 2a: Support for implementation of the Traders Charter and the COMESA Simplified Trade Regime (STR) -**

STR is an arrangement adopted by the COMESA and EAC and currently being implemented by Member States to formalize and improve the performance of the small scale cross border traders in order to enable them benefit from the regional preferential treatment when importing or exporting goods within the region. Planned STR activities include;

- Establishing toll free number on market issues- requires complaints
- Involvement of civil society in the promotion of cross border trade
- Enhancing trade in services involved in facilitating cross border trade
- Development of a common list through bilateral engagements with DRC
- Training of CBTA Members on sustainability of association and business development skills
- Establishing and strengthening of Joint Border Trade Committees
- Establishing and enhancing a cross border traders association
- Creating awareness to Members of the CBTAs on trade development policies and tools available to facilitate cross border trade
- Establishment and enhancement of trade information desks
- Bilateral arrangements

**Sub Component 2b: Training and capacity building for traders and officials to support greater integrity and ethical behavior in trade processes**

The project will support the simplification of immigration, agricultural, health other related cross border trade procedures. Specifically implementation will focus on reviewing the laws, regulations and procedures that govern the movement of goods and people involved in small scale trade across the borders. Capacity building will be an integral part of this component and will include training for border agencies as well as regional and joint training for peer learning of border procedures, among and between the officials and the traders.

***Component 3: Performance Based Management in Cross border Trade Administration***

Component 3 will support strengthening technical and management capacity of the border agencies and improve their performance to increase the quality of the services. The component will improve governance in cross-border administration and address political economy resistance to change. Following a functional review of the border agencies to assess the existing organizational functions and staff skills and identify functional and skills' gaps, the project will provide hands-on coaching and extensive training by a coach on the ground and strengthen the existing Performance Based Management (PBM) systems to improve the application of rules and regulations and create a secure environment for traders crossing borders. PBM will be accompanied by appropriate incentive mechanisms as well as effective evaluation methods and feedback mechanisms.

**Sub-component 3.1: Professionalization and Change management in the border agencies**

This sub-component will first conduct a functional review of institutional effectiveness and efficiency at the Customs and Immigration offices in each of the three countries. It will assess the existing organizational functions and staff skills and identify any functional and skills' gap to

meet defined institutional targets. The results will support senior management to develop strategic organizational functions and staffing plans at the border posts.

Building on the functional review, the project will propose appropriate changes in staffing planning and human resource management system, and elaborate the training program that will be financed under the Component 2.2.

In addition to the strengthening of technical capacities (Component 2.2), change management will be key to success in improving border management. Adaptive challenges must be seen alongside technical challenges, especially when introducing the new procedures and innovative changes in border management. Such changes can lead to resistance which can be mitigated through strengthened coordination and communication among stakeholders. An absence of discipline in the organization of work and management has been identified as one of the fundamental problems that leads to an insecure environment at the border, for instance, the presence of a large number and range of officials at the border. Therefore, this sub-component will provide a hands-on coaching program with a change management approach based on the principles of empowerment, integrity, collaboration among various stakeholders and discipline.

### **Sub-component 3.2: Performance Based Management and Incentive Mechanism**

The project will support the use of Performance-Based Management (PBM) as a mechanism for enforcing the application of border management rules and regulations. The ultimate goal of PBM is to provide improved services, a secure trade environment and ultimately increase fiscal revenues through greater flows of trade. All three countries have been introducing and piloting the PBM at their customs offices. Building on this experience, the project will provide technical and hands-on support to enhance performance at customs and immigration offices and to include the key performance indicators related to improvement of the cross border environment for small scale traders. Those indicators will measure both technical aspects such as crossing and clearing time and collection of fees, and behavioral changes such as integrity, courtesy, and respect of ethics etc.

The project will support feedback mechanisms through the development of an appropriate evaluation method and introducing a third party monitoring mechanism using IT tools. The current performance evaluation system in each of three countries varies but generally uses the traditional approach of annual evaluation by the immediate supervisors and managers of the officials. In order to make the PBM evaluation more meaningful, the project will introduce a simple IT tool to monitor traders' satisfaction and service performance at the borders and regularly provide feedback to the officials. The reporting would encourage and motivate border agents in achieving their objectives and improving their work in day-to-day operations. In addition, a perception survey by traders on an annual basis will be conducted by using mobile phone technology to provide more accurate feedback on the performance of agencies and agents and the quality of services provided. This will be complemented by the hotline by which traders can report harassment, to be financed under Component 2, which will capture the number of complaints and provide the basis to deal with them in real-time.

Building on international experiences, the project will develop a program for improved PBM with an appropriate incentive mechanisms. As a way of motivating staff, the project will provide technical assistance to develop appropriate incentive mechanisms. The project will support in-

kind compensation and other types of rewards for the best performers. In addition, considering the extremely low level of remuneration, especially in DRC, which is one of the fundamental factors for persistent corruption and extortion of goods and money from traders, the project would support the government to develop a financial incentive mechanism if considered appropriate.

#### ***Component 4: Implementation support, Communication, Monitoring and Evaluation***

##### **Sub-component 4.1: Implementation Support & Communications**

Sub-component 4.1 includes support for building the implementation capacity of government agencies and COMESA and communication activities. A common challenge of multi-sectoral projects is having in place effective mechanisms to coordinate project implementation across sectors and between countries. The capacity of agencies, especially in the DRC, may be insufficient to: (i) coordinate and implement multi-sectoral activities; (ii) channel funds to other institutions; and (iii) monitor progress in the eastern provinces as well as procure specialized equipment and services. In addition, the ability to deliver quality services in highly volatile environments and/or remote areas will be challenging.

The project will therefore provide financial support for recruiting international and local technical experts in project management, financial management, procurement, accountancy among other critical functions for effective implementation at the central and provincial governments to the regional organization, COMESA. In addition, the project will provide support to prepare the operational manual and finance related operational training to project teams, audit for the financial management, the accounting system, office equipment (vehicles, PC, printers, office furniture etc), and running cost throughout the project life.

The project will put particular importance on communications strategies as part of the implementation arrangements. For instance, the project will finance a dissemination plan that includes short documentaries/videos, other media programs, websites and use of social media to raise awareness of the conditions that cross border traders face and to familiarize all relevant stakeholders with the Traders Charter and related policy reforms.

##### **Sub-component 4.2: Project M&E and Systems for Monitoring Small-Scale Cross-Border Trade**

The development of a robust system of project monitoring and evaluation is essential. The project will develop a system, and build capacity of government agencies, to capture progress in improving conditions for cross-border trade, including, inter alia, the efficiency of cross-border operations, the relationships between border officials and cross-border traders, and the broader impact on conflict affected communities. The joint border committees, which will be supported under the Component 2, will also play a key role in M&E and as a platform supervising activities on the ground. Furthermore, the project will develop a set of socio-economic indicators that not only measure the changing trade patterns but also measure the improved perceptions between traders and state officials; and give an (indirect) measure of whether socio-economic resilience at the community level has increased as a result of the project. These indicators will be developed with support from the Great Lakes Conflict Facility. Finally, citizen engagement with Civil

Societies Organizations (CSO) and traders associations is critical to get direct feedback on conditions and quality of services delivered at the border. The project will attempt to use innovative techniques to obtain some of the data for M&E such as crowdsourcing based on mobile phone surveys.

The project will support systems for collecting data on cross-border trade flows which will provide an essential input into policy making and planning of border operations. The project will support coordinated information gathering on small-scale cross border trade at the priority border posts in the project. Both Rwanda and Uganda have existing programs for surveying small-scale goods traders. The project will support the pilot of a new small-scale cross border trade monitoring program at specified border points in DRC. In each country, the project will support the use of advanced IT collection systems and platforms (including tablets/PDAs) in the project countries to improve the efficiency, accuracy, standardization, and sustainability of the programs. COMESA will play an important role developing standardized data collection methodologies and best-practices, providing peer to peer learning and capacity building on measuring, analyzing and reporting on small-scale cross-border trade, and developing a platform and website for the dissemination of this information.

A number of the above components especially component 1 on border post/ market infrastructure development may have socio-environmental impacts (beneficial and adverse), hence the relevance of this ESMF.

### **1.3 Implementation Mechanism**

The project shall be managed through a Steering Committee chaired by MTIC and comprised of representatives of trade facilitating institutions as indicated under the table 11.

A Technical Working Group will provide oversight, guidance and advisory functions to the Project implementation Units. The TWC will TORS, review reports and provide guidelines and way forward on the outputs and reports developed under the GLTF Project. The composition of the TWC is indicated in table 12

Other implementation arrangement will include;

1. Project implementation Unit composed of internal staff will be established in MTIC
2. Resources shall be channeled to the beneficiary institutions through MFPED
3. MFPED shall disburse funds to the Project Account under MTIC for all other components and under MOWT for sub component 1.1
4. Resources for Border market and other components of the project will be managed through MTIC which also be the overall lead institution of the Project
5. A procurement plan shall be developed and threshold established on where no objections will be required. Details on procurement procedures will be discussed further with the Bank.
6. Policy change & accommodation would need to be undertaken in order to implement the one stop border post concept with DRC

## **2.0 BASELINE CONDITIONS IN PROJECT DISTRICTS**

Social-environmental conditions are important for understanding potential socio-economic impacts of GLTF such as its effect on existing social services, availability of local labour and induced changes in population dynamics. The social economic baseline provides a background against which to judge how border communities might perceive the project and how different socio-economic conditions may change during and after the proposed project. Climatic conditions (rain, winds or temperature) will not only influence impacts associated with road works and drainage projects but some (e.g. rain storms) may also have bearing on implementation schedules or design and capacity of drainage infrastructure. Impacts such as road dust will be more prevalent during dry seasons. Soils and geology correlate with ground conditions in which roadworks will be implemented.

Construction bears potential risk on physical, biological, social and cultural environment of any area. Generally, the environmental and social risks triggered by construction works include erosion and slope instability; biodiversity and agricultural land; effect to water sources due to sedimentation, water logging and drainage congestion, displacement/damage of permanent assets and loss of land. These problems are apparent not only during construction but also during operation phase as the target communities utilize the infrastructure. So, proper consideration of all environmental and social factors during design and implementation is of utmost concern

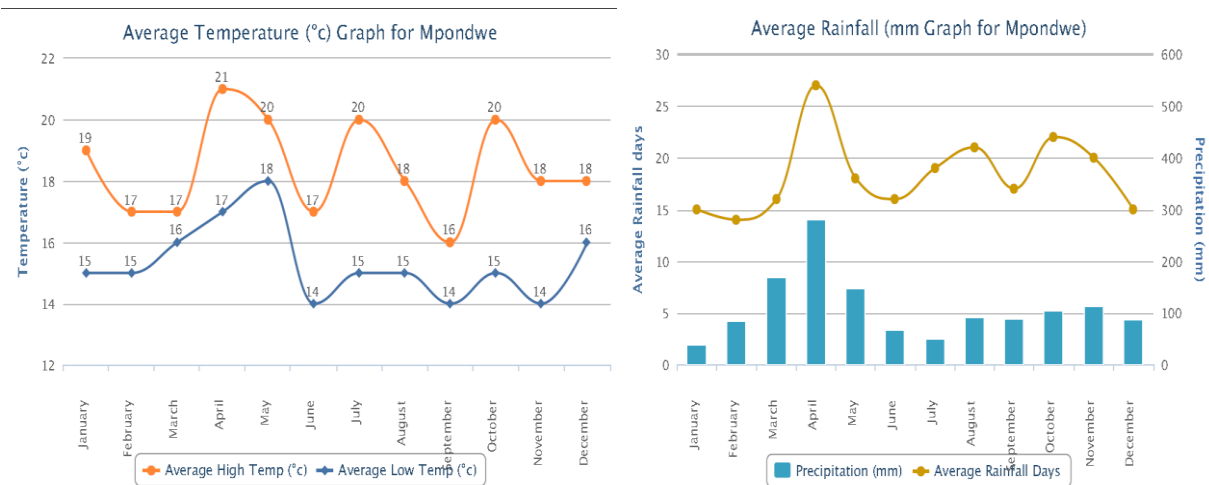
The project will be implemented at the three border posts of Bunagana, Mpondwe and Goli. Graph 1 below shows location of three Border posts. General baseline environmental and socio-economic conditions at the border areas are discussed in sections below and will provide a basis for predicting impacts of the GLTFP.

### **2.1 Climate**

Mpondwe's climate is classified as tropical. Most months of the year are marked by significant rainfall. The short dry season has little impact. This climate is considered to be Am according to the Köppen-Geiger climate classification. The border is generally at a low altitude with an average temperature of 22 °C with relative humidity of about 53% to 89%. Mpondwe has two pick wet seasons. There is a long rainy season from August to December peaks to an average of 140mm in October and a shorter one between February and June and peaking at an average of 138mm in April. On average Mpondwe receives Annual rainfall of 87.8mm. Graphs below show climate of Mpondwe.

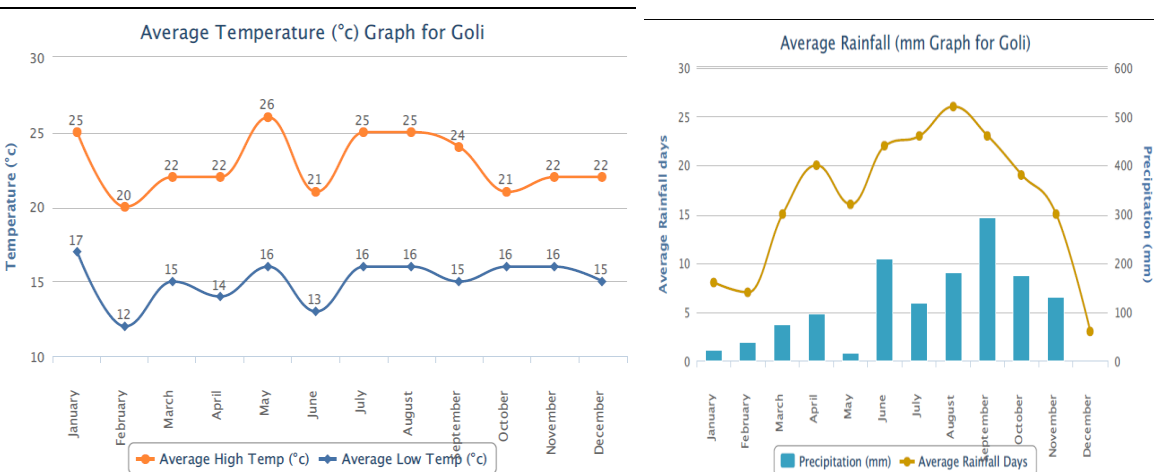
Climate of Mpondwe

**Graph 1**



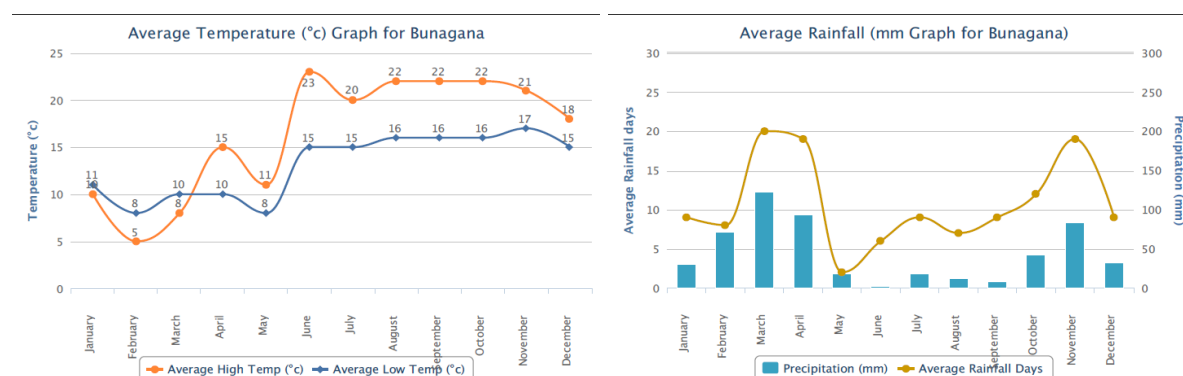
Goli features a tropical wet and dry climate. Most months of the year are marked by significant rainfall. The short dry season has little impact. The border is generally at a low altitude with an average temperature of 22°C high and 15°C low with relative humidity of about 88%. Goli has two pick wet seasons. There is a long rainy season from August to December peaks to an average of 500mm in August and a shorter one between February and June and peaking at an average of 400mm in April. The graphs below show climate of Goli.

**Graph 2**



Bunagana features a tropical wet and dry climate. Most months of the year are marked by significant rainfall. The short dry season has little impact. The border is generally at a low altitude with average temperatures of 16°C high and 13°C low with relative humidity of about 53 to 89%. Bunagana has two pick wet seasons. There is a long rainy season from August to December peaks to an average of 200mm in November and a shorter one between February and June and peaking at an average of 200mm in March. The graphs below show climate of Bunagana.

**Graph 3**



## 2.2 Topography

Mpondwe is located 3,904' (1,190 m) above sea level and at the foothills of the Rwenzori Mountains with an undulating slope ending into broad valleys dissected by perennial stream right at the border between Uganda and DRC. Goli is at an elevation of 1,400 m (4,600 ft) above sea level. Bunagana is at an altitude of 1,920 metres (6,300 ft), above sea level and under the peaks of the Mufumbiro Mountains.

## 2.3 Geology and soils

Mpondwe is covered by Cainozoic rocks and being in the western rift valley its geology comprises of inter bedded sands and clays. The area is generally thinly covered with loamy topsoil, organic, ferrosols, podsols/eutrophic, and hydromorphic soils. The soil at Bunagana is high in andosols (an) is composed of volcanic materials, usually dark colored. The soil at Goli is high in nitosols, andosols (nt), soil with deep, clay-enriched lower horizon with shiny ped surfaces.

## 2.5 Location of the Targeted Border Points

Mpondwe is located in Western Uganda, Bukonjo/Rwenzori sub region in Kasese district at *coordinates*: 0° 02' 24.00"N, 29° 43' 30.00"E (Latitude:0.0400; Longitude:29.7250). Goli is situated in North Western Uganda, West Nile region in Nebi District at coordinates 02 23 12N, 31 01 48E (Latitude:2.3867; Longitude:31.0300). Bunagana is located in the South western Uganda, Kisoro district at coordinates 1° 18' 0.00"S, 29° 36' 0.00"E (Latitude:-1.3000; Longitude:29.6000).



Figure 4 Border Post Locations - Bunagana, Goli and Mpondwe



## 2.5 Vegetation

The land area of Mpondwe is mostly covered with natural vegetation with open needleleaved deciduous or tropical evergreen forest. The land area of Bunagana is mostly covered with natural vegetation and with closed broadleaved deciduous forest. The land area of Goli is mostly covered with natural with mosaic vegetation/croplands, Medium Grassland and subtropical dry forest biozone.

## **2.6 Watercourses**

It is expected that improvement of the border infrastructure will encounter swamp crossings in low-lying area at Mpondwe. The unreclaimed swamp at Mpondwe is covered by both grasses and sedges. The most common species are papyrus including, *Miscanthidium violeceum*, *Phragmites maurtianus*, *Cyperus latifolius* and *Typha australis*. The other borders Goli and Bunagana do not have an immediate wetland to be affected by infrastructure development.

## **2.7 Land use and settlement pattern Demographics**

According to the 2014 national census figures, Mpondwe had a population of 51,018 and 51% of whom are women. Mpondwe's population is not estimated separately but is part of the four parish level villages of Muramba Subcounty whose population was estimated at 36,355 of which over 55% are women. Similarly, Goli's population is not estimated separately but is part of the villages of Nebbi Subcounty whose population was estimated at 24,197 of which over 51% are women. The 14-35 age group constitutes a significant number of the population at the three borders indicating both the scale and the impact of in-migration of young adults in pursuit economic benefits associated with the border posts.

## **2.8 Land use and settlement pattern**

The principle land use at the three borders is dominated by residential use and small-scale agriculture. Small-scale agriculture is widely distributed in exiting land around the area as well the periphery areas which are not yet transformed into other uses. The border posts area of Mpondwe is characterized by substandard building structures which the communities are using for residential and business purposes. Specific structures which stand out at Mpondwe include the offices of Uganda Revenue Authority, Mpondwe Central Market and offices of Mpondwe-Bwera Town Council.

Similar characteristics of Mpondwe apply to Bunagana. However the actual border post area is extended a few meters away from the main the town of Bunagana. The Customs offices at Bunagana are immediate to the international border crossing and are on both sides of the road to DRC. There are no others land users on the customs land at the border.



Goli has also similar characteristics. The small towns at these borders have characteristics of slums which are developing around all the three borders because of the lack properly planned infrastructure. The Land surrounding the Customs/Government owned land at all the three borders is privately owned and largely dedicated to agricultural activities at small scale house level.

## **2.9 Health**

The three border posts have a significant high concentration of poor households with limited capacity to access or afford quality medical treatment. Mpondwe border is served by Bwera Hospital, a Government health facility in the area. Kisoro District Hospital which is situated at about 14 kms from the border is the main facility that provides health services to Bunagana communities. The community in Goli is served by a Government District hospital in Nebbi which is about 15 km away from the border. The area is also serviced by a rural health facility run by a missionary nurse.

## **2.10 Water and sanitation**

Currently, Mpondwe does not have piped water, boreholes and protected springs are which the considered safe water sources. The piped water which was tapped from the mountains of Rwenzori on River Lhubiriha with support from Water Aid Danida dried out in 2005. The communities on both sides of the border are relying on River lhubiriha and another small water flow stream called River Kyabilho flowing through the Uganda boarder town. These community households rely on unsafe water collected from the two water streams for drinking, commercial and domestic use. However, recently, Government through the Town Council launched a new initiative called Amaizi marungi and the process of laying pipe lines is underway.

Some parts of Bunagana town have access to piped water by National Water and Sewerage cooperation (NWSC) and in 2014 NWSC launched installation of Water mains extension to Bunagana from Mubuga in order to increase the supply. Most of the communities however depend on streams and small rivers in and around Bunagana to access water.

Goli does not have any supply of safe piped water. The nearest main source of water is river Nile. . Most of the communities however depend on streams and small rivers in and around Goli to access water.

## **2.11 Education**

Schools will be one category of impact receptors during implementation of the proposed project with effects including potential accident risk to school children, severance access and exposure to noise and dust emissions.

Mpondwe has a number of primary schools which include Kathero Model Primary School, Moshi Memorial Primary School and Unity Bridge Nurser & Primary School. Secondary schools include Mpondwe Moslem Vocational and Mpondwe Lhubiriha Secondary School. Bunagana Primary schools include Bunagana Primary School and Muramba Primary School. Secondary schools include Bunagana Pride Senior Secondary School and Muramba Seed Sec. School. Goli has in place Goli mixed primary school and Uringi Secondary School Goli

## **2.12 Heritage sites**

Mpondwe, Goli and Bunagana have no heritage sites at the specific border posts. However the borders are located at the entry points to major tourist destinations of Uganda.

Mpondwe is located in the area that boasts of a number of heritages sites that include, Rwenzori Mountains, Rwenzori National Park, Queen Elizabeth National Park, Kasese Airport, Lake Edward, Lake George and Kazinga Channel. Mpondwe is therefore a gateway for travellers from and to DRC visiting Rwenzori National Park which encompasses Rewnzori Mountains with its ice-capped peaks higher than the Alps and the highest being Margherita Peak.

Bunagana is located in a wonderful setting under the peaks of the Mufumbiro Mountains which are part of the Virunga chain of volcanoes and home to the rare Mountain Gorilla. There are a number of sites of traveler's interest that lie within the limits of Bunagana or close to the edges of the town, that is, Kisoro Airport, Mgahinga Gorilla National Park, Mt. Muhavura, Mt. Gahinga, Mt. Sabinyo, Bwindi Impenetrable National Park and Lake Mutanda.

Goli is located in West Nile sub-region, in Northern Uganda is near Murchison Falls National Park which lies at the northern end of the Albertine Rift Valley, where the sweeping Bunyoro escarpment tumbles into vast, palm-dotted savanna. Other important sites near Goli include lake Albert and River Nile.

## **2.13 Economic activities**

The main source of income to the communities on the three borders is trading in non-agricultural products and agricultural produce across the borders. Other communities at these borders generate incomes through employment. The major currencies used at the border are Ugandan shillings, Congolese Francs and United States Dollar.

Mpondwe has an established structure market where informal traders, most of whom being women operate their businesses. The market is an important outlet for local farmers to sell their produce (livestock, cassava and beans) and purchase other food commodities (sugar, cooking oil) and other non-food items. The market operates daily but with some days commonly known as border market days. Wholesaling of fish is done on Mondays and Thursdays, while the bulk of trade in all commodities is done on Tuesdays and Fridays. The table below show a list of products traded through Mpondwe border.

**Table 3: List of products traded through Mpondwe border**

<b>Product</b>	<b>Unit Measure</b>	<b>Estimated Quantity of goods traded in the market 2014</b>				
		<b>Jan</b>	<b>Feb</b>	<b>March</b>	<b>April</b>	<b>May</b>
Fish	Kg	2,900	17,000	15,525	20,520	34,516
yellow Bananas	Bunch	100	90	80	91	190
Ovacados	Sack	9	7	10	5	13
Silver fish	Sack	40	60	40	35	55
Chicken	Pcs	300	200	350	259	653
Ducks	Pcs	10	10	20	15	24
Turkeys	Pcs	4	10	12	10	19
Tomatoes	Crate	800	1,300	1,026	900	170
Matooke	Bunch	30				
Salt	Kg	10,070	5,511	5,559	8,007	35,116
Goats	Pcs	40				
Sheep	Pcs	0				
Onions	Bag		8	8	5	11
Cabbages	Pcs	0				
Beans	Sack					100

**Source:** Extract of data reports produced by Mpondwe trade information Desk

Other non-agricultural products involved in cross border trade at Mpondwe include; Beer, Soft drinks (soda, mineral water), Textiles (mainly boutiques from DRC), Plastic utensils, Dry batteries, Salt, Soap, Cosmetics and Timber. Most of the products are sold through small scale shops and stores at the border.

The traders are a mix of women, men, children, able bodied and handicapped. The children and handicapped are largely involved in facilitating the movement of goods across the border mainly because they are given preferential treatment in terms of tax and other regulatory requirements on the DRC side of the border. This makes it easier for them to carry merchandise across the border with less bother. Traders thus employ them to carry goods on their behalf and transact their businesses without having to pay the required taxes and without going through the customs checks.

Bunagana also has cross border markets which operate on Mondays and Tuesdays on the Uganda side while on the DRC side on Tuesdays and Fridays. Although these markets do not have

formal infrastructure, they provide an avenue for the commodities and for people to transact their goods with their counterparts across the border.

**Table 4: Estimates of cross Border Trade (Uganda exports) at Bunagana January-June 2014**

<b>Item</b>	<b>Unit of Measurement</b>	<b>Quantity</b>
Sorghum	Kg	55,800
Beans	Kg	23,400
Sugarcanes	Pieces	1278
Avocado	Pcs	32,400
local alcohol	Jericans	2,220
Irish potatoes	Bags	3,780
local juice	Litres	3,600
second hand clothes	Pieces	1,890
second hand shoes	Paires	2,688
Bananas	Bunches	954
Maize	Kg	12,000
Cassava flour	Kgs	1,320
Yams	Kgs	3,600
Coffee	Kgs	6,000

**Source:** Extract of data reports produced by Bunaganda Trade Information Desk

Goli communities are engaged in cross border trade of mainly agricultural and nonagricultural products. Most of the products are trade through Goli Central Market and the small shops and store at the border town.

## **2.14 Border services**

A number of border related services are provided at the three borders by the relevant Government institutions. The relevant services provided at the border include customs, Border Security, immigration and inspections relating to Human drugs, Phytosanitary, Veterinary, and Standards.

Uganda Revenue Authority is the lead institutions on the provision of customs services which include collection and accounting for import or export related revenues, ensuring compliance to payment of duties and enforcing restrictions and prohibitions on goods imported/exported, facilitation of legitimate trade; and protection of society from illegal entry and exit of prohibited goods.

Security services are provided at the three borders by a number of related agencies. The services provided relating to defending and protecting the sovereignty and territorial integrity of the country, facilitating enforcement of the law including curbing smuggling and protecting the joint border from entry of illegal substances and immigrants. Uganda Police and Uganda People's

Defence Forces and its agencies are the main institutions involved in the provision of border security services.

Other specific services provided at the border relate to protection of animal and plant health and cultural heritage. The Ministry of Agriculture Animal Industry and Fisheries (MAAIF) is the lead institution on inspections relating to plant and plant products imported into or in transit through Uganda to prevent the introduction and spreading of organisms harmful to plants and plant products. MAAIF is also responsible for veterinary border inspection services. Services relating to inspection and enforcement of standards for the protection of the public against harmful ingredients, dangerous components, shoddy material and poor performance are spearheaded by Uganda National Bureau of Standards. National Drugs Authority spearheads inspections and controls relating to importation, exportation of pharmaceuticals.

### **3.0 OBJECTIVES AND METHODOLOGY**

#### **3.1 Objective of this ESMF for the GLTF Project**

Key objectives of this ESMF are to:

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

#### **3.2 Methodology used to prepare the ESMF**

The ESMF was prepared based on the following methodology

- a) Review of project documents
- b) Regulatory review (Uganda)
- c) Review of World Bank Safeguard Policies d) Visit to selected project sites
- e) Key stakeholder consultations

Key stakeholder issues on the proposed project are shown in table below.

**Table 5: Key environmental issues made by stakeholders**

	<b>Stakeholder</b>	<b>Interest during project implementation</b>	<b>Mitigation Measure</b>
1	UMEME	Underground/ above ground power infrastructure	Contractor to ensure protection of power infrastructure around the site

2	Telecom companies	Underground telecommunication infrastructure	Contractor to ensure protection of telecommunication infrastructure around the site
3	NEMA	General environmental considerations	General addressed through this ESMF
4	NWSC	Water transmission and distribution infrastructure	Contractor to ensure protection of the water infrastructure around the site
5	UNRA	Impacts related to interconnection of roads with highways/ trunk roads	Specifically addressed under sections 4 on Policy, Legal and Institutional Framework and 7 on Environmental and Social Impacts and Management Measures
6	Ministry of Lands, Housing & Urban Development	General physical planning considerations and the aspects relating to acquisition of land and compensations and resettlements	
8	Wetlands Management Department	Impact on wetlands as drainage sinks	
9	OHS Department in MGLSD	Occupational health & safety during road construction	
10	Traders	Impact on businesses and trade during road works	
11	Public transport operators (taxi, buses, commuter cycles)	Impact of transport operations	
12	Uganda Police (Traffic Department)	Road safety and traffic flow impacts	
13	Property owners	Protection of their property from damage/ compensation for any damage	
14	Public and private institutions along roads/ drains reconstructed	There should not be severance of access to them during project construction activities.	

Additional stakeholders consulted refer to table 4 on the list of the TWC Members

## 4.0 POLICY, LEGAL AND INSTITUTIONAL FRAMEWORK

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

### 4.1 Policy Framework

#### 4.1.1 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:

- (i) Review the architecture of government service delivery system to act as a unit, harness synergies and deliver public services efficiently and effectively.
- (ii) Government will invest directly in strategic areas to stimulate the economy and facilitate private sector growth.
- (iii) 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.
- (iv) Government will front-load investments in infrastructure targeting areas of maximal opportunities with focus on oil, energy, transport and ICT.
- (v) Accelerate industrialization through upgrading and diversification to effectively harness the local resources, off shoring industries and developing industrial clusters along the value chain.
- (vi) Invest heavily in integrated state of the art transport infrastructure connecting to all major border points.
- (vii) To develop and nurture a national value system by actualizing a national service programme to change mind sets and promote patriotism and national identity.
- (viii) The vision will be implemented in accordance with existing and future agreements, standards and protocols within the framework of regional integration.

All the strategic aspirations of Vision 2040 (i) to (viii) above are applicable to the border post/market infrastructure sub component of the GLTF project especially as it relates to enhancing interconnecting regional transport infrastructure, enhancing trade facilitation services, improving private sector competitiveness and deepening regional integration.

#### **4.1.2 Uganda’s National Environmental Action Plan (NEAP)**

Uganda’s National Environmental Action Plan seeks to promote and implement sound environmental policy. The NEAP 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:

- a. The development of a National Consensus on the NEAP,
- b. The setting up of the National Environment Management Council,
- c. The establishment of the NEMA,
- d. The enactment of the legislation of the National Environment Act,
- e. 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:

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

NEAP puts emphasis on environmental management, pollution and nuisances, and the necessity to safeguard the well-being of the population. The sub component on the development of border post/market infrastructure of the ESMF has environmental considerations related to NEPA. The ESMF report seeks to incorporate NEAP sectoral plans and other environmental strategies in the implementation of the sub component.

#### **4.1.3 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 ESMF points out cross-sectoral guiding principles and strategies to achieve sustainable socio-economic development. The policy sets a guiding principle that Environmental Impact Assessment (EIA) should be required for any activities which cause significant impact on the environment. Other relevant policies to be considered in the implementation of GLTF 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.

The border post/market infrastructure sub component of the GLTF Project will have environmental considerations related to this policy. Pursuant to the guidelines set out in the NEM

Policy and the related policies, the ESMF report emphasizes the need to fulfill requirement by undertaking the EIA for activities of the subcomponent which may cause significant impact on the environment.

#### **4.1.4 National Development Plan 2010/11 – 2014/15**

In April, 2010, Uganda adopted the five-year National Development Plan (NDP) (2010/11 – 2014/15). Under the NDP, Government undertakes to;

- (i) promote effective positioning of Uganda's products and services in international markets by strengthening trade-related institutions and establishing the export development zones.
- (ii) Improving the 'doing business' environment by strengthening and simplifying the policy, legal and regulatory frameworks.
- (iii) Increase market access for Uganda's products and services in regional and international markets.
- (iv) Improve the stock and quality of trade infrastructure
- (v) Enhance the sustainable use of wetlands in order to achieve the optimum, ecological value and socio-economic benefits for development.
- (vi) ensure environmental protection and management;

The NDP places more emphasis on economic growth and upholding economic growth as the main pillar for national development. The Border Post/ Market sub component of the GLTF project will be in line with the aspirations of the NDP especially as they relate to the improvement of stock and quality of trade infrastructure, enhancing sustainable use of wetlands and generally ensuring environmental protection and management, among others.

#### **4.1.5 National Trade Policy, 2008**

Uganda has in place a National Trade Policy which aims at creating a dynamic and competitive Uganda where the trade sector stimulates the productive sectors; and a country that is trading out of poverty, into wealth and prosperity. The overall Policy objective is to develop and nurture private sector competitiveness, and support trade productive sectors both domestic and international levels, so as to create wealth, employment, enhance social welfare and attain sustainable economic development. Under the Policy, Government undertakes to achieve its objectives by, among others;

- (i) Creating opportunities for equal participation
- (ii) Addressing development aspects in a holistic and sustainable manner
- (iii) Addressing the negative social and economic effects that might come with growth in trade, and ensure that mitigating measures and policies are put in place
- (iv) Facilitating the smooth flow of trade, while ensuring conformity to trade laws and regulations
- (v) Mitigating any adverse effects of trade practices by the trading partners
- (vi) Boosting trade capacities for institutions and individuals including that of the disadvantaged groups
- (vii) Providing trade development information

The National Trade Policy will apply to the project objectives and in the context of the border post/market infrastructure subcomponent. It will also provide guidelines to interventions aimed at mitigating social and environmental impacts in line with (i) to (vii) above.

#### **4.1.6 The National Water Policy, 1999**

The objective of the policy is to provide guidance on development and management of the water resources of Uganda in an integrated and sustainable manner, so as to secure and provide water of adequate quantity and quality for all social and economic needs, with full participation of all stakeholders and mindful of the needs of future generations. Water use by the Project shall be governed by this policy.

This policy provides guidance on management of the water resources, conservation of water catchments and safeguarding the ecosystem in an integrated and sustainable manner so as to secure water for all social and economic needs with full participation of all stakeholders and mindful of the needs of future generations.

This policy will apply to border post/market infrastructure subcomponent because of its likely effect on established water catchment areas and water supply systems.

#### **4.1.7 National Land Policy, 2013**

The Policy recognizes the provision of Uganda's Constitution which empower the Central Government or a Local Government to acquire land in public interest provided the acquisition is necessary for public use or is in the interest of defense, public safety, public order, public morality or public health and is subject to prompt payment of a fair and adequate compensation, prior to the taking of possession or acquisition of the property.

Implement a framework to regulate, manage and mitigate the negative consequences and maximize the positive impacts of cross-border population movements and jointly implement with neighboring countries, measures for effective border management, control and supervision

Implement measures on restitution of land, housing and property or adequate compensation or resettlement; and put in place mechanisms and structures for claiming restitution, compensation or resettlement.

This policy will guide on acquisition of land that may be required for implementation of the border post/market infrastructure subcomponent. It will also guide on the mechanisms and structures for claiming restitution, compensation or resettlement relating to housing and property.

## **4.2 Legal Framework**

### **4.2.1 The Constitution of the Republic of Uganda**

This is the supreme law of the land. On matters pertaining to management of land, the Constitution provides for, inter alia:

### **The environment (XXVII on objectives of the Constitution)**

- The State shall promote sustainable development and public awareness of the need to manage land, air and water resources in a balanced and sustainable manner for the present and future generations.
- The utilization of the natural resources of Uganda shall be managed in such a way as to meet the development and environmental needs of present and future generations of Ugandans; and, in particular, the State shall take all possible measures to prevent or minimize damage and destruction to land, air and water resources resulting from pollution or other causes
- The State, including local governments, shall—
- create and develop parks, reserves and recreation areas and ensure the conservation of natural resources;
- promote the rational use of natural resources so as to safeguard and
- protect the biodiversity of Uganda

### **Protection from deprivation of property (Article 26)**

- Every person has a right to own property either individually or in association with others.
  - No person shall be compulsorily deprived of property or any interest in or right over property of any description except where the following conditions are satisfied—
- (a) the taking of possession or acquisition is necessary for public use or in the interest of defence, public safety, public order, public morality or public health; and
- (b) (b) the compulsory taking of possession or acquisition of property is made under a law which makes provision for—
- (i) prompt payment of fair and adequate compensation, prior to the taking of possession or acquisition of the property; and
  - (ii) a right of access to a court of law by any person who has an interest or right over the property.

### **Land ownership (Article 237)**

- Land in Uganda belongs to the citizens of Uganda and that Government shall vest in them in accordance with the land tenure systems provided for in this Constitution Government or a local government may, subject to article 26, acquire land in the public interest.
- 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.

The Constitution of Uganda is the supreme law of the land and therefore it will be the first point of reference in the process of implementing the border post/market infrastructure subcomponent on matters pertaining to management of land acquisitions and protection of natural resources.

#### **4.2.2 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.

#### **4.2.3 Other laws applicable to proposed GLTF projects**

The following laws also directly relevant and will be important during implementation of border post/market infrastructure component of the GLTF project:

1. The National Environment Impact Assessment Regulations S.I. No. 13/1998
2. The National Environment (Wetlands, River Banks and Lake Shores Management) Regulations, 2000
3. The National Environment (Noise Standard and Control) Regulations (2002)
4. The National Environment (Waste Management) Regulations 1999
5. The National Environment (Standards for Discharge of effluent into Water or on Land) Regulations, 1999.
6. The Water Act Cap 15
7. The Water Resources Regulations 1998
8. The Land Act 1998: This will
9. The Public Health Act, Cap 281
10. Employment Act, 2006
11. Occupational Health and Safety (OHS) Act, 2006
12. Draft National Air Quality Standards, 2006
13. The Physical Planning Act, 2010
14. Road Act, Cap 358
15. Local Governments Act, Cap 243
16. Access to Roads Act, Cap 350
17. Historical Monuments, Cap 46
18. Petroleum Supply Act, 2003
19. Workers Compensation Act, Cap 225

#### **4.2.4 The ESIA process in Uganda**

The ESIA guidelines (NEMA 1997) and the ESIA regulations (NEMA 1998) recognize the following stages in an ESIA process: Project Brief formulation; Screening; Environmental

impacts study; and Decision making. In addition public consultation is required throughout the ESIA process. The EIA process in Uganda is described and initiated by the submission of a project brief –a document that contains the same sorts of information that are in the ESSF and a format for which is contained in the EIA guidelines. A detailed ESIA process in Uganda is included as annex 5

## 5.0 OVERVIEW OF THE WORLD BANK'S SAFEGUARD POLICIES

### 5.1 Key Safeguard Policies

The World Bank's ten safeguard policies are designed to help ensure that projects 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 are indicated:

**Table 6: World Bank policies to be triggered by the project**

	Safeguard Policies	Triggered?		Reason
		Yes	No	
1	OP 4.01 Environmental Assessment	x		<p>OP/BP 4.01 is triggered because the border post/market infrastructure component of the GLTF project will have potential adverse environmental and social impacts associated construction works and their operation</p> <p>This ESMF has been prepared to guide implementation of environmental and social aspects of the border post/market infrastructure component of the GLTF project. Guidelines for mainstreaming environmental aspects into the component have been incorporated in this ESMF (See Table 7). Respective ESIA's and ESMPs will be prepared in a consultative manner and disclosed both in-country and at World Bank Infoshop before project implementation commences for the identified roads and drainage channels.</p>
2	OP 4.04 Natural Habitats	x		The project may affect wetland areas especially at Mpondwe and Goli. The construction impacts in wetland areas shall be identified in ESIA's of specific border,

				but generic guidance has been provided in this ESMF under subsections 2.12 and 7.2.9.
3	OP 4.09 Pest Management		x	The border post/market infrastructure subcomponent of the project will not involve use of pesticides.
4	OP 4.11 Physical Cultural Resources		x	The border post/market infrastructure subcomponent will not be implemented in areas where civil works activities may potentially affect unknown Physical Cultural Resources (PCR). The known heritage sites near the targeted borders have been identified and listed in the ESMF but they are not as close and thus they shall not be damaged by the project and a framework for management of chance finds has been provided in the ESMF in annex 3
5	OP 4.12 Involuntary Resettlement	X		Under Component 1, the civil works are expected to involve in construction of customs offices, widening of roads and drainage channels at the borders. This may lead to displacement of people and change of land uses especially at Mpondwe and Goli where there are business communities and agricultural activities in and around the border posts. A resettlement policy framework (RPF) has been developed and it describes land tenure arrangements and any social impacts that could affect access to resources and livelihoods as a result of the project.
6	OP 4.10 Indigenous People		x	The project will not be implemented in IPs areas. In fact there are no indigenous peoples at the proposed borders.
7	OP 4.36 Forests		x	The project is not expected to affect management of forests and neither will it support forest nor logging operations.
8	OP 4.37 Safety of Dams		x	The project is not related to development of dams.
9	OP 7.50 Projects on International Waterways		x	No impact on international waterways is envisaged.
10	OP 7.60 Projects in Disputed Areas.		X	There are no disputed areas at the three borders.



The World Bank policy OP 4.01 makes a distinction between Category A and Category B subprojects/activities.

A subproject is considered “Category A” if it is likely to have significant adverse environmental impacts that are sensitive, diverse, or unprecedented. These impacts may affect an area broader than the sites or facilities subject to physical works. A proposed subproject is classified as “Category B” if its potential adverse environmental impacts on human populations or environmentally important areas—including wetlands, forests, grasslands, and other natural habitats—are less adverse than those of Category A projects. These impacts are site-specific; few if any of them are irreversible; and in most cases mitigatory measures can be designed more readily.

In general the border post/market infrastructure subcomponent of the GLTF is classified as category B because it will not have significant adverse environmental impacts that are sensitive, diverse, or unprecedented. In fact, the impacts are expected to be site specific and in most cases mitigatory measures will be designed since most the impacts are less adverse and only just a few may be irreversible. In places like Mpondwe and Goli, there will be some impact relating to wetlands and involuntary resettlement in relation to, among others, acquisition of land, displacements and management of natural resources.

This ESMF will serve as a guide to the EA process. This will provide guidance on the following: (a) the national and World Bank EA rules and procedures; (b) potential environmental and social impacts associated with the proposed investments; (c) guidelines on conducting EIA for sub-projects / investments including mitigation measures and monitoring activities for different types of activities; roles and responsibilities in EA process and in supervision and reporting; (d) EIA and/or EMP and EMP Checklist to be applied within the EA process; and (e) capacity building activities to ensure an efficient EMF implementation. Based on the ESMF, EIAs and/or ESMPs will be prepared for each investment sub-project. This will be disclosed and consulted with the public / stakeholders and also obtain approval from the World Bank and the NEMA. Before appraisal is completed, the ESMF will be disclosed and consulted in the country, both at MTIC and MoWT.

## 5.2 World Bank Public Consultation and Disclosure requirements

For all Category A & B projects proposed for WB financing, during the EA process, the borrower consults all involved parties, including project-affected groups and local nongovernmental organizations (NGOs) about the project's environmental aspects and takes their views into account. The borrower initiates such consultations as early as possible.

For Category A projects, the borrower consults these groups at least twice: (a) shortly after environmental screening and before the terms of reference for the EA are finalized; and (b) once a draft EA report is prepared. In addition, the borrower consults with such groups throughout project implementation as necessary to address EA-related issues that affect them. For meaningful consultations between the borrower and project-affected groups and local NGOs, the borrower provides relevant material in a timely manner prior to consultation and in a form and language that are understandable and accessible to the groups being consulted. For a Category A project, the borrower provides for the initial consultation a summary of the proposed project's objectives, description, and potential impacts; for consultation after the draft EA report is

prepared, the borrower provides a summary of the EA's conclusions. In addition, for a Category A project, the borrower makes the draft EA report available at a public place accessible to project-affected groups and local NGOs.

Any Category B, EA report, including EIA and/or EMPs for a project proposed for WB financing is made available to and consulted with the project-affected groups and local NGOs. Public availability of the consulted EA document in the borrowing country and official receipt by the Bank of Category A reports for projects proposed for WB financing, and of any Category B EA report for projects proposed for WB funding, are prerequisites to Bank appraisal of these projects. In this case, being a Category B project, as the specific sub-projects to be funded under the GLTF Project are yet to be exactly identified, the ESMF will be the EA report that will be made available.

## **6.0 ENVIRONMENTAL AND SOCIAL SCREENING PROCESS**

### **6.1 Environmental and Social Screening Process**

Sections below illustrate stages (steps 1-7) of the environmental and social screening process leading to the review and approval of the GLTF 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.

### **6.2 The Screening Steps**

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

#### **Step 1: Screening of the GLTF components**

Project screening will be based on a project brief prepared by the MTIC in conjunction with the MOWT and Environment Management Authority (NEMA). However, this requirement is in line with the EIA process of Uganda.

Screening will be carried out by the relevant departments in MTIC, MOWT and NEMA. Where applicable, experts from other relevant agencies of Government shall be included on the team involved in the screening process. Project Coordinators appointed the respective Permanent Secretaries of MTIC and MOWT will lead the process. The screening process will involve experts who are trained and experienced in environmental management and EIA procedures. The agencies spearheaded by MTIC will be expected to 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 filled by the Head Department of Environment Monitoring and Compliance-NEMA. It should be noted that project activities judged to have potential significant adverse impacts that cannot be addressed through simple mitigation measures will not be funded.

## **Step 3: Carrying out Environmental Assessment**

After analyzing data contained in the environmental and social screening form and after having identified the right environmental category hence scope of the environmental assessment required, a Committee of Experts (see below) will make a recommendation to the MTIC or MOWT, as the case may be, 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).

In case of activities under (a) and (b) above, GLTF 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 MOWT (in cases of border infrastructure) or MTIC (in case of the Border Market) and an EMP developed (as shown in Section 10). In case of GLTF activities falling under (c) above, and Environmental Impact Assessment (EIA) will be carried out to provide for environmental and social due diligence. MTIC or MOWT, as the case may be, will source for an EIA practitioner approved by NEMA to undertake the EIA study. The EIA will be a part of the technical studies to be done, and the terms of reference will be approved by the World Bank prior to the commencement of the studies.

The EIA will identify and assess the potential environmental impacts for the planned GLTF 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-project. The preparation of the EIA and EMP will be done in consultation with all relevant stakeholders, including the people likely to be affected by the sub-project.

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 and this ESMF. In the case of any discrepancies between the national requirements and those provided by WB OP 4.01 the latter will prevail. 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.

#### **Step 4: Review and Approval**

Review: A committee of experts from MTIC, NEMA, MOWT and UNRA will review environmental and social screening forms and make recommendations to the Technical Working Group as to whether an EIA is necessary or not. In case an EIA needs to be undertaken, the ToR's for the study will be prepared by MOWT for border infrastructure or MTIC for border markets and reviewed by the committee 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 lead implementing agency (MTIC or MOWT) for comments and to the World Bank for prior approval.

The comments from the lead implementing agency will be considered by NEMA in making a final decision on project implementation. If the EIA is found satisfactory by the World Bank and approved by NEMA, NEMA issues an environmental permit that confirms the EIA has been satisfactorily completed and implementation of proposed sub-program may.

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

MOWT and MTIC working closely with other implementing agencies will carry out public consultations and these should take place during environmental and social assessment process, to ensure that input from public consultations will be reflected in the design of mitigation and monitoring measures.

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 project beneficiaries. Public consultations that Ministries should participate in include:

1. One or several meetings for presentation of project programs with a gathering of local authorities, the people in project communities and civic organizations;
2. The opening of a register available to everybody where appreciations, remarks and suggestions formulated on the program.

World Bank requires disclosure of ESMF both in-country and at World Bank Infoshop.

#### **Step 6: Environmental Monitoring**

Environmental monitoring will aim at checking effectiveness of mitigation measures during project implementation. Lead agencies- MOWT for border infrastructure and MTIC for Border markets and other components of the GLTF project will monitor implementation of environment mitigation measures based on the Contractor's work plan on quarterly basis. On an annual basis the lead institutions and in collaboration with NEMA will carry out an assessment of GLTF performance in environment management using indicators mentioned in Step 7.

## **Step 7: Monitoring indicators**

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

- a. Loss of vegetation
- b. Land degradation
- c. Soil and water contamination
- d. Dust levels occasioned by construction activities
- e. Compliance with legislations

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

## **Step 8: Integrating the ESMP in the Bid/Contract Documents**

A detailed Environmental and Social Management Plan (ESMP) will be prepared. Following the approval, the mitigation and monitoring measures included in the ESMP will be included in the bidding documents and will be part of the contractor's scope of works/services.

### **6.3 Negative lists**

The following criteria will be used to determine what will NOT be supported under the GLTFP:

It is projected that border post and border market sub-project will not include category A elements and therefore will not have significant environmental impacts. However a related checklist highlighted below will be followed in the implementation process.

- i.) In terms of type and scale of the investments / sub-projects, implementation of the border post and market infrastructure sub-project shall consider whether the following aspects have "significant" impacts and or can respectively qualify as category A project,
  - (a) significantly affect human populations or alter environmentally important areas, including wetlands, native forests, grasslands, and other major natural habitats;
  - (b) "significant" potential impacts might be also considered the following: direct pollutant discharges that are large enough to cause degradation of air, water or soil;
  - (c) large-scale physical disturbance of the site and/or surroundings;
  - (c) extraction, consumption, or conversion of substantial amounts of forest and other natural resources;
  - (d) measurable modification of hydrologic cycle; and
  - (e) hazardous materials in more than incidental quantities.

**ii.)** In terms of location, consideration will be made on issues, such as;

(a) in or near sensitive and valuable ecosystems — wetlands, wild lands, and habitat of endangered species;

(b) in or near areas with archaeological and/or historical sites or existing cultural and social institutions;

(c) in densely populated areas, where resettlement may be required or potential pollution impact and other disturbances may significantly affect communities;

(d) in regions subject to heavy development activities or where there are conflicts in natural resource allocation; along watercourses, in aquifer recharge areas or in reservoir catchments used for potable water supply; and on lands or waters containing valuable resources (such as fisheries, minerals, medicinal plants, prime agricultural soils) where there is potential for contamination of sensitive ground or surface water.

Similarly as above, the GLTP will not support any sub-projects located in the proximity of mentioned areas.

**iii.)** In terms of sensitivity: This is in the case when the sub-project might involve activities or environmental features that are always of particular concern including : conversion of wetlands, potential adverse effects on protected areas or sites, - impacts on international waterways, and toxic waste disposal. The GLTFP will not support such sub-projects.

**iv.)** In terms of magnitude: A number of ways will used to measure magnitude, such as the absolute amount of a resource or ecosystem affected, the amount affected relative to the existing stock of the resource or ecosystem, the intensity of the impact and its timing and duration. In addition, the probability of occurrence for a specific impact and the cumulative impact of the proposed action and other planned or ongoing actions will be considered where appropriate.

Overall and considering the scale of the proposed subprojects, it is expected the magnitude of their environmental impacts will be also quite low and thus they usually will be considered as category B projects. Otherwise, these will not be funded under the GLTFP.

## 6.5 Management measures

The management measures will be undertaken as a part of the sub-project implementation process to mitigate potential impacts from construction activities and those during the operational phase.

The primary adverse impacts from the sub-projects are largely associated with small-scale civil works for infrastructure improvements. These impacts are very localized, limited in their scope, short in duration and can be addressed through management measures.

The approach to management measures included in the project is as follows:

- Conduct of the ESIA (including the preparation of an ESMP) and approval of the same by the World Bank as well as NEMA prior to start of the works on the particular sub-project.
- Preparation of ESMPs that necessarily include both the generic and specific mitigation measures that are relevant to the investments / sub-projects; The previous Chapter on Environmental and Social Impacts includes a consolidated table of activities their impacts and mitigation measures. All of these will be necessarily considered.
- These ESMPs will include generic provisions on health and safety measures to minimize accidents during the construction.
- These ESMPs will be included as a part of the bid documents as special conditions to the contract at the tendering stage.
- The contractor will implement the management measures, and the PMC / supervision consultants and PMU of MTIC & the MoWT Project Team will oversee their conduct and effectiveness.
- The different agencies responsible for the sub-projects, e.g. border posts, particularly the URA and the district representative of the MTIC, shall ensure that appropriate management measures are planned for and will be taken during the operational phase. In the border posts, there is already careful vigil on the trade pertaining to banned cosmetics (containing hazardous chemicals), wildlife, fish as it is identified as a natural resource that needs to be conserved and timber as per the regulations. The operational and maintenance aspects such as ensuring water quality, sewage treatment and solid waste management and community health and safety will be managed by the agencies responsible for these facilities.

## 6.6 Monitoring requirements

Once the sub-projects commence implementation, the PMU at MTIC and the Project Team of MoWT will monitor the ESMP implementation along with the support from the construction supervision consultants. On a semi-annual basis, reports on the safeguards performance will be presented to the Project Steering Committee and to the World Bank. The contractor will implement the various ESMP activities. Being an integral part of the contract documents, the contractor will be contractually bound to implement the ESMP activities. In the operational phase, the respective agencies responsible for the assets – whether it is border posts or border markets – will also ensure that the environmental and social management measures are being appropriately monitored and implemented.

The World Bank staff will conduct Implementation Support Missions periodically. During these missions, the World Bank staff will visit randomly selected sub-projects and contribute to the monitoring of safeguard compliance.

## 6.7 Roles and responsibilities

Construction Contractors appointed by the Implementing Agency will be bound through their contractual obligations to implement the ESMP. They will ensure that environmental safeguard compliance is maintained throughout the construction period.

Project Management or Supervision Consultants (PMCs or SCs) are employed by MoWT to supervise the construction works on site. These Consultants will be informed about the ESMP so that they can ensure that the construction contractors adhere to the same. If there are deviations in ESMP implementation, these Consultants will bring it to the notice of MoWT who will inform the PMU of the MTIC and then the World Bank.

The MTIC and MoWT hold the responsibility for ensuring that the ESMP implementation is being effectively done and environmental safeguard compliance is ensured.

The different agencies responsible for the sub-project – for instance, URA for the border posts – will also be responsible for the environmental and social management measures during the operational phase.

## **7.0 ENVIRONMENTAL AND SOCIAL IMPACTS AND MANGEMENT MEASURES OF THE BORDER POST/MARKET INFRASTRUCTURE COMPONENT OF THE GLTF PROJECT**

Potential impacts (beneficial and negative) of proposed GLTF project are broadly discussed in sections recognizing that actual impacts and their significance may be site-specific and dependent on type of infrastructure under development.

### **7.1 Socio-economic benefits of proposed GLTF projects**

Positive social impacts of GLTF projects are provided in table below. Table 8: Social benefits of proposed projects

**Table 8: Social Benefits of the Proposed Project**

	<b>Project component</b>	<b>Benefit/ impact</b>
<b>1a</b>	Improvement of border post infrastructure at Bunagana, Mpondwe and Goli	<ol style="list-style-type: none"> <li>1. Improving border post infrastructure including upgrading the existing customs offices, border crossing roads and road junctions, drainage systems will have positive impacts below:</li> <li>2. Improved border crossing traffic flow arising from better roads signaled border crossing points</li> <li>3. movement towards coordinated one stop border processing for both formal large scale consignments and small scale traders;</li> <li>4. improved official control and revenue collection at key border</li> </ol>



		<p>crossings;</p> <ol style="list-style-type: none"> <li>5. Improved environment for handling and processing goods and people through the provision of basic amenities such as water, sanitation and electricity and essential facilities such warehousing,</li> <li>6. improved transport infrastructure and facilities for passengers at the border crossing points ;</li> <li>7. Improved security of the traffic of people crossing the border</li> <li>8. Established Warehouses &amp; storage facilities for customs purposes</li> <li>9. Improved Parking space</li> <li>10. Reduced travel time and cost, benefiting the motoring public</li> <li>11. Improved border crossing channels for motorists and pedestrians including the disadvantaged groups</li> <li>12. Reduced accident risk on improved roads</li> <li>13. Benefits to materials suppliers</li> <li>14. Jobs and contracts to implementation contractors</li> <li>15. Improved drainage will lead to elimination of flood risk and damage to border office structures, road infrastructure and private property and in turn enhance public health in project communities by reducing malaria and water borne diseases.</li> <li>16. Improved drainage will have secondary benefits which include improved water quality due to reduced sediment and contaminants from runoffs, creation of visually attractive green (vegetated and landscaped) at the border posts, improved infiltration of water into the ground and recharging of underground aquifers and an improved environment for people to live and work</li> </ol>
<b>1b</b>	<b>Establishment of Border Markets</b>	<p>Border market infrastructure will enhance exports of value added products into the regional markets and reduce the need to traverse the country in such of such products.</p> <p>Border market infrastructure will help in avoid the effect of trade barriers encountered when exporting into the regional markets</p> <p>The infrastructure will provide employment opportunities for border communities including the disadvantaged groups</p>
<b>2</b>	<b>Policy Reforms to Facilitate Cross Border Trade</b>	<ol style="list-style-type: none"> <li>1. improved border crossing conditions through application of transparent and consistent customs procedures.</li> <li>2. the rationalization and coordination of border procedures by agencies at the border, and especially those that have a particular importance in the control of agricultural products: Ministries of Agricultural and Heath and Standards Bureau's;</li> <li>3. movement towards coordinated one stop border processing for both formal large scale consignments and small scale traders; support for regulatory cooperation to facilitate trade in services, especially logistics, financial and key professional services.</li> </ol>
<b>3</b>	<b>Capacity Building to Facilitate Cross</b>	<ol style="list-style-type: none"> <li>1. Enhanced capacity for customs officers and traders on customs procedures and processes</li> </ol>

	<b>Border Trade</b>	2. Approved approach to management and administration of cross border trade 3. Enhanced institutional capacity in providing cross border trade facilitation services 4. Enhance regional coordination of STR programs 1.
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## 7.2 Socio-Environmental Adverse Impacts of Border Post/Market Infrastructure Component of the GLTF Project

Table 11 below provides guidelines to developing the ESMP and outlines measures to mitigate the likely negative environmental impacts of the border post/market infrastructure component of the GLTF project from pre- construction to post-construction phase.

**Table 9: Guidelines to Developing the ESMP to Mitigate Negative Environmental Impacts Proposed GLTF Project**

Improvement of border post infrastructure at Bunagana, Mpondwe and Goli	<b>7.2.1 IMPACT ON WETLANDS</b>
	<b>7.2.1.1 Loss of wetland cover</b> Some of the infrastructure (roads, drainage systems and buildings) to be upgraded will traverse or be close sections of wetlands and construction activities may lead to drainage impairment of some wetland sections along sites under construction. Siltation of wetlands poses a risk of localised ponding that has public health impacts. This impact is most likely to happen at Mpondwe where there's a wetland right after the international border crossing point.  <i><b>Impact Classification: Construction phase</b></i>  <i><b>Impact receptors:</b></i> Wetland stretches along roads  <i><b>Mitigation:</b></i>  i) Construction design will ensure adequate drainage as per national building, road and drainage design standards. ii) Marking the boundary of the construction area will mean that the Contractor will avoid wetland destruction and clearance outside of the project footprint. iii) Contractor should erect erosion protection measures e.g. scour checks, lining of drains and stepped drains in areas of steep gradient. iv) No waste or overburden should be dumped in the wetlands during construction. v) Contractor(s) should have an environmental officer to guide

	<p>construction activities.</p> <p><b>7.2.1.2 Improper management of cut to spoil during construction</b></p> <p>Earthworks associated with site preparation may generate considerable quantities of cut to spoil. Management of cut to spoil can constitute a major disposal challenge when improperly planned. Illegal dumping of spoil in wetlands has been reported in some past construction projects, and this should be avoided in GLTF projects.</p> <p><b>Impact Classification:</b> Construction phase</p> <p><b>Impact receptors:</b> Watercourses and communities where spoil is improperly dumped.</p> <p><b>Impact mitigation:</b> As a priority, cut to spoil materials shall be used in restoration of quarry and burrow sites. The Contractor shall implement a Construction Waste Management Plan to ensure correct handling and management of spoil. Under no circumstances must the Contractor accept request from persons who wish to use cut-to spoil (stripped overburden) to illegally reclaim wetlands.</p> <p><b>7.2.3 IMPACT ON HUMAN HEALTH</b></p> <p>Impacts on human health are considered to be ones arising from:</p> <ul style="list-style-type: none"> <li>a) Public health and safety effects of road and other construction, and operation of constructed facilities</li> <li>,</li> <li>b) Occupational health and safety (OHS) effects.</li> </ul> <p><b>7.2.3.1 Improper construction waste management</b></p> <p>There is potential for construction waste such as overburden and waste bitumen to be dumped in undesignated places e.g. wetlands, causing aesthetic impacts, environmental contamination and public health risk. Additionally, dumping waste in watercourses would cause drainage impairment and localised flooding, creating breeding grounds for disease vectors.</p> <p><b>Impact Classification:</b> Both Construction and Post Construction phases</p> <p><b>Impact receptors:</b> Settlements along the roads and around the border posts.</p> <p><b>Mitigation:</b> The Contractor will implement a Construction Waste</p>
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	<p>Management Plan (CWMP) for proper waste management.</p> <p><b>7.2.3.2 Contamination of surrounding spring wells</b></p> <p>Construction waste and overburden dumped in surrounding spring wells pose public health risks to communities. Contamination of spring wells poses a risk of causing water scarcity and public health impacts in communities without alternative water sources.</p> <p><b>Impact Classification:</b> Both Construction and Post Construction phases</p> <p><b>Impact receptors:</b> Settlements around borders, which depend on spring wells for domestic water.</p> <p><b>Mitigation:</b> The Contractor will follow good construction practices to avoid impact on local water sources.</p> <p><b>7.2.3.3 Dust plumes from construction operations</b></p> <p>Commonly, earthworks (excavation, grading, shaping), haulage and dumping of soil have always generated excessive dust during roadworks. Dust will degrade local air quality in the city and suburbs and possibly lead to short-term respiratory health effects.</p> <p><b>Impact Classification:</b> Construction phases</p> <p><b>Impact receptors:</b> Settlements close to roads.</p> <p><b>Mitigation:</b></p> <ul style="list-style-type: none"> <li>a) The Contractor will make reasonable effort to suppress dust by continually watering dusty construction areas with a water bowser.</li> <li>b) Ideally the contractor should progressively strip short road sections that can be quickly worked on to avoid leaving long unfinished stretches that generate dust.</li> </ul> <p><b>7.2.3.4 Contamination at contractors' equipment yards</b></p> <p>Equipment yards will be necessary for storage of materials and equipment during constructions. Their operation will generate small quantities of hazardous waste (waste oil) which if improperly managed will contaminated local environmental resources (soil, water) and pose public health risks. Other potential impacts from equipment yard include light pollution due to offsite illumination.</p>
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	<p><b>Impact Classification:</b> Both Construction and Post Construction phases</p> <p><b>Impact receptors:</b></p> <ul style="list-style-type: none"> <li>a) Landowner(s) of yard site left contaminated.</li> <li>b) Soil and wetlands near equipment yard.</li> <li>c) c) Communities near yard.</li> </ul> <p><b>Mitigation:</b> The Contractor shall develop a construction waste management plan (CWMP) as a contractual obligation.</p> <p>The CWMP should present likely sources of waste, their type (liquid, solid, domestic etc) and quantity estimates based on the proposed equipment and workers. Record of all disposal locations and potential disposal locations which require approval of the Supervising Engineer are to be presented. These should necessarily include details of:</p> <ul style="list-style-type: none"> <li>a) Disposal of cut-to-spoil indicating quantity generated, disposal and disposal locations / potential locations with photographs;</li> <li>b) Trees cut during the progress of clearing and grubbing or other activities should be presented;</li> <li>c) Waste concrete, bitumen, lime and lime bags indicating quantity expected to be generated and disposed;</li> <li>d) Waste oils from service bay and oil spills as well as oil from cleaning of service bay;</li> <li>e) Oil and grease from vehicle washing bays; and,</li> <li>f) Sanitary waste management.</li> </ul> <p>The Contractor shall sensitize workers about potential for environmental contamination due to improper waste management practices.</p> <p>At end of the road construction period, the yard site shall be remediated and all waste carried away for disposal by NEMA-licensed entities.</p> <p><b>7.2.3.5 Accident risk to general public</b></p> <p>Construction activities may pose accident risk to the public if proper controls are not instituted. There may also be accident risks inherent to facilities design, such as deep roadside drains, falling construction materials or equipment that are a safety risk to pedestrians and motorists.</p> <p>High speeds on newly improved roads can raise accident risk on these roads after project implementation</p> <p><b>Impact Classification:</b> Both Construction and Post Construction phases</p>
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	<p><b>Impact receptors:</b> motorists, school children, women, elderly people, people with disabilities.</p> <p><b>Impact mitigation:</b></p> <ul style="list-style-type: none"> <li>a) The Contractor shall provide safety signs to warn road users</li> <li>b) Stretches or sites under construction should have guides (and police officers if necessary)</li> <li>c) Speed control measures such as road signs and speed humps should be placed where required</li> <li>d) Safe designs should be adopted, for example deep roadside drains should be covered for safety of motorists and pedestrians.</li> </ul> <p><b>7.2.3.6 Occupational health &amp; safety impacts</b></p> <p>Construction activities will have the following occupational health and safety risks with potential to cause serious injuries to workers:</p> <ul style="list-style-type: none"> <li>a) Burns (handling hot bitumen);</li> <li>b) Electrocution; and,</li> <li>c) Noise and body vibration from equipment.</li> </ul> <p>Construction noise is a major source of environmental noise pollution and a cluster of equipment at a construction site can produce a steady roar throughout the day.</p> <p>Lack of hand wash water and mobile toilet facilities at work sites could also pose considerable inconvenience and health risk to workers (or local communities traversed).</p> <p>Ugandan regulations require that workers exposed to a noise level greater than 85 dB(A) for a duration of more than 8 hours per day wear hearing protection. Related OHS safeguards are comprised in (Uganda's) Occupational Safety &amp; Health Act (2006) and Employment Act, 2006.</p> <p><b>Impact Classification:</b> Both Construction and Post Construction phases</p> <p><b>Impact receptors:</b> Construction workers</p> <p><b>Impact mitigation</b></p> <ul style="list-style-type: none"> <li>a) The Contractor shall provide all workers with requisite protective gear</li> <li>b) The Contractor shall provide onsite toilet and washing water for workers.</li> <li>c) The Contractor shall provide signage reminding workers of use of PPE at</li> </ul>
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	<p>appropriate locations in the project area including ancillary work sites.</p> <p><b>7.2.3.7 Increase in communicable diseases:</b> Construction tends to involve migrant workers who are especially vulnerable to HIV infection. Migrant workers on contract generally ignore or are ignorant of the consequences of casual sexual relationships. Tackling discrimination towards workers with HIV and helping prevent the spread of HIV are also priorities. However, the nature and scale of construction activities under this project is not so large that this will result in a significant increase in the health risks. Nevertheless, at the operational phase, improved facilities and services could attract more businesses and unguided settlements around the sites which could also heighten the spread of HIV.</p> <p><b>Impact classification:</b> during construction and post construction phase.</p> <p><b>Impact receptors:</b> construction workers, traders, the local population (in particular women)</p> <p><b>Mitigation:</b> The areas around or in the new sites will also be targeted as part of the country's strategy to minimize the spread of HIV especially in the areas where vulnerability is very high. Contractor shall sensitize and caution construction workers.</p> <p><b>7.2.4 IMPACTS RELATED TO SOURCING OF MATERIALS</b></p> <p><b>7.2.4.1 Opening and use of quarries and borrow sites</b></p> <p>Construction works will require materials such as earth fill, stabilized gravel base, crushed aggregate, culverts, bitumen, asphalt concrete, steel and composites for road signs.</p> <p>Potential impacts of material acquisition include:</p> <ul style="list-style-type: none"> <li>a) Accident risks and road dust from haulage traffic;</li> <li>b) Quarry and borrow sites are also associated with scenic blight, and public health impacts if not properly restored;</li> <li>c) Dust from material haulage has potential to taint sites/ resources of heritage or cultural significance.</li> </ul> <p><b>Impact Classification:</b> Pre-Construction, Construction and Post-Construction phases</p>
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	<p><b><i>Impact receptors:</i></b></p> <ul style="list-style-type: none"> <li>a) Local community (and their structures, crops, livestock, health and safety);</li> <li>b) Property owners,</li> <li>c) Cultural heritage resources.</li> </ul> <p><b><i>Mitigation:</i></b></p> <p>As a first option and where applicable the contractors will utilise existing sites rather than open new borrow and quarry sites. Where a new stone quarry site is required, it will be subjected to a standalone EIA by the Contractor while borrow pits will undertake a “Project Brief”, as required by Third Schedule of National Environment Act, Cap 299. It should be a contractual requirement for the Contractor to integrate quarry restoration plans in the general project implementation. Hence, the Contractor shall ensure:</p> <ul style="list-style-type: none"> <li>i) That site restoration is undertaken concurrently as construction progresses so that cut to spoil is used to fill up quarry sites.</li> <li>ii) Access roads to quarries if not needed by local community shall be scarified and re- vegetated.</li> <li>iii) Rock blasting shall utilize licensed blasters and all explosives handled as per national security requirements. Local communities should be warned before scheduled blasts by using sirens or drive-by announcements.</li> <li>iv) After a day’s blasting operations, the quarry operator shall assess any property damage in neighbouring communities and commit to effecting equitable compensation.</li> </ul> <p><b>7.2.4.2 Haulage of construction materials</b></p> <p>Construction works will necessitate transportation of materials from sources to worksites. Haulage of construction materials including bricks, cement, timber, gravel (murrum) and crushed stone (aggregate) from sources to road construction work site will be associated with the following impacts:</p> <ul style="list-style-type: none"> <li>1. Staining of dwellings and trade goods in roadside shops by dust,</li> <li>2. Traffic accidents,</li> <li>3. Traffic noise.</li> </ul> <p>Heavy loads associated with material haulage traffic have in some occasions damaged local roads. Spillage of gravel or aggregate on paved roads often leads to localized road dust effects. Flying stones from aggregate spilt on paved roads pose risk of road accidents to motorcyclists and can shatter windscreens of other vehicles.</p>
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	<p><b><i>Impact Classification:</i></b> Construction phases</p> <p><b><i>Impact receptors:</i></b> Local communities along haulage routes and other road users.</p> <p><b><i>Mitigation:</i></b></p> <ol style="list-style-type: none"> <li>1. The Contractor shall suppress dust by watering wherever necessary.</li> <li>2. The Contractor shall provide temporary signage during construction and ensure that constructors and drivers observe the required limits.</li> <li>3. The Contractor shall deploy traffic guides, warning signs where necessary, such as at the construction sites, storage or source points of the materials.</li> <li>4. The Contractor shall provide temporary and permanent speed reducing devices e.g. humps.</li> <li>5. The Contractor shall prohibit haulage activities at night to avoid accidents in high population settled areas and trading centres.</li> <li>6. The Contractor shall erect temporary signs along routes used by haulage trucks.</li> <li>7. The Contractor shall station traffic guides at potentially high accident risk locations to warn/ guide motorists and pedestrians.</li> <li>8. To avoid excessive haulage traffic noise at sensitive facilities, the Contractor shall not install temporary speed reduction features (humps) adjacent to schools or healthcare centres. This would avoid noise associated with high speed deceleration towards and acceleration from humps.</li> </ol> <p><b>7.2.4.3 Social impacts of materials procurement</b></p> <p>Procurement of construction materials will provide revenue to suppliers, a positive but short-term impact.</p> <p><b><i>Impact Classification:</i></b> Construction phases</p> <p><b><i>Impact receptors:</i></b> Materials suppliers.</p> <p><b>7.2.4.4 Land-acquisition prior to construction</b></p> <p>It is expected that the proposed construction works and drainage infrastructure will be within existing road reserves and Government land. Therefore no new land acquisition is anticipated. However, for any new land acquisition required, compensation shall be made by the Government of Uganda through the MFPED. Compensation will also be provided for any damage to private property during project implementation. Furthermore if there are instances</p>
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	<p>where people have constructed or are using land within the existing road reserves or on Government land, and they have to make way for the project, compensation and/or resettlement assistance may also have to be provided consistent with the World Bank policy on involuntary resettlement (OP 4.12). Compensation and assistance would be effected through a Resettlement Action Plan as guided by the Resettlement Policy Framework (RPF). This may apply at Mpondwe where the lower side of the road is occupied by private business community.</p> <p><b>Impact Classification:</b> Pre-Construction and Construction phases</p> <p><b>Impact receptors:</b> Any property owner.</p> <p><b>Mitigation:</b></p> <ul style="list-style-type: none"> <li>a) All construction activities will remain within existing road corridor</li> <li>b) Compensation will be paid to all affected property owners.</li> </ul> <p><b>7.2.4.5 Traffic flow impacts during construction</b></p> <p>Traffic flow impairment is expected during construction (upgrades of roads, drainage systems and building infrastructure) with potentially significant impacts to border communities and cross border traders. Temporary traffic flow impairment may also occur due to diversions or detours.</p> <p><b>Impact Classification:</b> Construction phases</p> <p><b>Impact receptors:</b> Local communities, cross border traders and other road users.</p> <p><b>Mitigation:</b></p> <p>Advance notice shall be provided to local communities about the schedule of construction activities;</p> <ul style="list-style-type: none"> <li>a) Traffic guidelines such as speed limits shall be instituted throughout the construction phase; and,</li> <li>b) Traffic warning signs, temporary traffic lights or traffic control personnel where construction and associated traffic has created significant impacts.</li> </ul> <p><b>7.2.5 IMPACT ON LOCAL WATERCOURSES AND HYDROLOGY</b></p> <p><b>7.2.5.1 Soil erosion and drainage impacts</b></p> <p>During construction works for upgrading the customs officers, drainage and roads, soil erosion is most likely to occur due to excavation, dredging and cutting and filling. Soil would deposit silt in drains leading or acerbating blockage. Soil erosion is likely to occur at Mpondwe because of the steep</p>
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	<p>slope at the border post area.</p> <p><b><i>Impact Classification:</i></b> Construction and Post Construction phases</p> <p><b><i>Impact receptors:</i></b> Local communities, agricultural activities and wetlands</p> <p><b><i>Mitigation:</i></b></p> <ul style="list-style-type: none"> <li>a. Through good construction practices and erosion control measures, the Contractor will ensure that construction practices do not impair local drainage;</li> <li>b. Unnecessary vegetation clearance will be avoided;</li> <li>c. For civil works undertaken during rainy periods, silt traps and interceptor drains shall be provided on site;</li> <li>d. Overburden or other construction materials shall not be stored or dumped near marshes.</li> </ul> <p><b>7.2.5.2 Damage to construction site water sources</b></p> <p>Water sources (springs) close to the sites if damaged by construction activities, would pose a social impact on communities that depend on them. Community sensitivity to this impact may be high unless the contractor provides alternative sources.</p> <p><b><i>Impact Classification:</i></b> Construction and Post Construction phases</p> <p><b><i>Impact receptors:</i></b> Communities that depend on roadside water resources.</p> <p><b><i>Mitigation</i></b></p> <ul style="list-style-type: none"> <li>a) The Contractor shall immediately provide alternative water sources (boreholes, protected springs, boreholes) wherever and existing one is damaged during construction.</li> <li>b) The Contractor shall take all due care to avoid damage to public water sources.</li> </ul> <p><b>7.2.6 NOISE AND VIBRATIONS DURING CONSTRUCTION AND USE</b></p> <p>Construction works will generate noise and vibrations that may affect site dwellings, commercial establishments, institutions (schools, healthcare facilities, etc). Vibrations may damage roadside buildings.</p> <p>It is anticipated that during the border infrastructure upgrade, higher vehicle speeds and construction equipment will increase noise baseline levels.</p>
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	<p>Factors that lead to increased noise levels include but are not limited to:</p> <ul style="list-style-type: none"> <li>a) Increase in traffic of vehicles passing and other delivering and taking off materials</li> <li>b) Increase in the percentage of heavy vehicles as a fraction of the total number of vehicles passing per day; and,</li> </ul> <p><b>Impact Classification:</b> Construction phase</p> <p><b>Impact receptors:</b> Roadside businesses and dwellings, schools and healthcare facilities.</p> <p><b>Mitigation:</b> Construction activities at night will be limited to avoid sleep disruption.</p> <p><b>7.2.7 IMPACT ON LOCAL AIR QUALITY DURING CONSTRUCTION USE</b></p> <p>Construction works may impact air quality which may be reflected in form of increased dust and airborne particulates caused by grading, filling, removals and other construction activities, and may also result from emissions from construction equipment and possibly from traffic stopped at intersecting roadways or on potential detour routes. These impacts are expected to be minimal and of short duration. Heavier traffic volume plying the upgraded roads might lead to deterioration of local airshed especially on rising gradients of the carriageways. Exhaust emissions at these locations might elevate local levels of exhaust particulates (soot), oxides of sulphur (Sox), oxides of nitrogen (NOX), ground level ozone and volatile organic carbons (VOCs), all of which can exacerbate various respiratory ailments especially in elderly people and children.</p> <p><b>Impact Classification:</b> Construction and Post Construction phases</p> <p><b>Impact receptors:</b> Businesses around the construction sites and dwellings, schools and healthcare facilities.</p> <p><b>Mitigation:</b> It is expected that government controls on the load and age of used vehicles will continue to reduce polluting automobiles on national roads. The contractor will be required to implement appropriate, mitigation measures to reduce air pollution to acceptable levels</p> <p><b>7.2.8 CLIMATE CHANGE IMPACTS</b></p> <p>Embodied carbon associated with construction of proposed infrastructure will to some extent have climate change effect. Embodied carbon refers to energy consumed and resultant carbon emissions associated with production of</p>
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	<p>materials used in construction of infrastructure, including extraction and transport of materials. Climate change risks associated with the proposed project are outlined below:</p> <ul style="list-style-type: none"> <li>i) Heavy storms may increase the risk of road damage in sections through wetlands including both temporary and permanent flooding of the carriageway.</li> <li>ii) Flooding from increasingly intense downpours may increase the risk of disruptions and delays in road transportation, and damage in some areas.</li> <li>ii) Increase in extreme heat may cause pavement damage.</li> <li>iii) Increased intensity of strong rains might wash away shoulders or carriageway causing infrastructure damage / failure, and transport disruptions.</li> <li>iv) Strong rains may also increase embankment erosion leading to landslides onto carriageway or increase maintenance cost.</li> <li>v) Luxuriant vegetation: Climate Change may result in an increased need and higher cost for vegetation management (slashing) along roads due to increased rains/ water that induce luxuriant vegetation growth.</li> </ul> <p><b>Impact Classification:</b> Construction and Post Construction phases</p> <p><b>Impact receptors:</b> Local Communities and their agricultural activities, vegetation and developed infrastructure.</p> <p><b>Mitigation:</b></p> <ul style="list-style-type: none"> <li>a) Construction designs should consider anticipated change in rainfalls due to climate change.</li> <li>b) Use of existing material sources rather than opening new sites will reduce embodied carbon associated with sourcing and processing aggregates.</li> <li>c) Landscaping along the roads</li> </ul> <p>Another mitigation measure recommended for the operational phase of the constructions is landscaping by planting trees along them for carbon sequestration.</p> <p>Trees and shrub planted should be species of local provenance that will be suitable for the local climate and not susceptible to impacts from vehicle emissions and that require little maintenance.</p> <p><b>7.2.9 IMPACT ON NATURAL OR CULTURAL HERITAGE SITES</b></p> <p>There are no known heritage sites close to the targeted border posts that may</p>
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	<p>directly or indirectly be affected by the proposed projects.</p> <p><b>Mitigation:</b> However, the construction contractors should be mindful of cultural heritage sites in case one is brought forward by the local communities and ensure their protection during project implementation.</p> <p><b>Impact Classification:</b> Pre-Construction and Construction phases</p> <p><b>7.2.10 VISUAL BLIGHT AND CONTAMINATION DUE TO IMPROPER DECOMMISSIONING</b></p> <p>Improper decommissioning of project sites upon completion of construction activities would lead to scenic blight and remnant contamination in some project areas such as equipment yards. Such contamination may be due to waste oil spills, waste left on site, unused asphalt or discarded bitumen. Leaving disused equipment on site could also pose contamination and visual impact. Undertaking improper or no restoration of vegetation on sites would leave them prone to soil erosion.</p> <p><b>Impact Classification:</b> Post Construction phases</p> <p><b>Impact Receptors:</b> Local communities, crops and the general environment</p> <p><b>Mitigation:</b> The Contractor will commence proper restoration of all project sites not later than 3 months after completion of construction.</p> <p><b>7.2.11 GENDER AND DISABILITY RELATED IMPACTS</b></p> <p>A significant impact that can result from the infrastructure development on persons with disabilities is inadequate access to buildings, transportation and information. These barriers contribute to poorer health outcomes, lower educational achievements, less economic participation, higher rates of poverty, increased dependency and reduced societal participation.</p> <p>In addition, trenches opened or piles of boulders left on sites during the construction process will be difficult to be jumped over, especially by women, children and person with disabilities. Trenches may cause temporary severance of access to property, institutions (schools, health clinics, shops, etc) while ramming into heaps of boulders would cause grave accidents to road users. Furthermore, pathways, obstructions, signage, street furniture, curb ramps, pedestrian crossings and parking areas to be established at the border posts need to be responsive to the movement abilities of women, children and person with disabilities.</p> <p>There may be some post-construction impacts that are gender-specific as</p>
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illustrated below:

- a) Women have often avoided using foot bridges to cross carriageways because men standing beneath them look up at women walking along them. Women cross as road level, exposing themselves to road accident risk.
- b) Elderly men and women with a phobia for height fear to cross roads using foot bridges.
- c) There is no disability access for the existing footbridges so people unable to climb steps, cannot use the foot bridges.

These attributes contribute to an increased risk of accidents which the designs and the contractors must address in advance.

***Impact Classification:*** Construction and Post Construction phases

***Impact receptors:*** Pedestrian, cyclists and particularly children, women, the elderly and people with disabilities

***Mitigation:***

- a) Footbridges will be designed to provide necessary privacy to women;
- b) Ramps will be provided to enable for disabled access; and,
- c) The design will be considerate to those with a fear of heights, so that a sense of safety is created.
- d) People with disabilities, children and women should be considered in designing and development of the proposed infrastructure components of project. For example, border crossing roads, customs offices should be designed and built with consideration for universal design standards which should also be integrated into the project cycle. Crossings and walkways should be available and safe all categories of road users.
- e) Design should provide for safety of intended all users including persons with disabilities.

#### **7.2.12 ECONOMIC IMPACTS**

The construction phase may have the following impacts to local businesses, taxi operators, commuter cyclists (boda-bodas) and roadside border markets and shops:

- a) Temporary severance of access to business premises. Duration of this severance can be long if construction pace is slow.
- b) Displacement of taxi stages and commuter cyclists
- c) Temporary relocation/ displacement of roadside markets
- d) Dust tainting merchandise in roadside shops, markets, kiosks leading to

	<p>considerable loss of value or revenue.</p> <p><b>Impact Classification:</b> Construction phases</p> <p><b>Impact Receptors:</b> Local businesses, motorists, cyclists and local communities</p> <p><b>Mitigation:</b></p> <ul style="list-style-type: none"> <li>a) Contractors should ensure fast construction speed to minimize economic loss due to severance;</li> <li>b) Where possible, alternative locations for temporary relocation of roadside businesses should be provided by Central Government on close collaboration with the concerned Local Government</li> <li>c) Contractors should provide temporary provisions (e.g. culverts) to enable access to roadside property.</li> <li>d) Contracts should suppress dust by watering dust surfaces regularly.</li> </ul> <p><b>7.2.13 AESTHETIC IMPACTS</b></p> <p>Construction may temporarily impair visual amenity of the border sites where projects are undertaken. This may be because of dust emissions, destruction of landscaping (already planted greenery) and impaired drainage during construction (leading to blocked storm water drains, localize flooding and muddy storm water that deposits silt which turns to dust upon drying.</p> <p><b>Impact Classification:</b> Construction phase</p> <p><b>Impact receptors:</b> <i>Local Communities, vegetation and crops</i></p> <p><b>Mitigation:</b> The contractor should ensure good construction practices, due diligence to avoid undue damage to existing landscaping. Any such damage should be promptly rectified.</p>
Specific impacts of drainage facilities	<p><b>Flooding</b> – Drainage channels convey water far more quickly than natural processes and this could lead to downstream flooding if flows burst channel banks.</p> <p><b>Pollution</b> – Surface water run-off is often polluted with silt, oil and other contaminants which, when discharged to streams, and lake, can cause water contamination of water sources.</p> <p><b>Low flows in streams and rivers</b> – Channeled drainage prevents natural percolation of rainfall into groundwater resources. It can lead to the concentration of nitrates and phosphates in rivers and wetlands, causing an increase in algal blooms and reducing amenity value and reduction of water</p>



	<p>available downstream.</p> <p><b>Impact Classification:</b> Construction and Post Construction phases</p> <p><b>Impact receptors:</b> <i>Local Communities, wetlands, rivers, vegetation and crops</i></p> <p><b>Mitigation:</b> Above impacts can be avoided if drainage design adopts principles of “sustainable drainage”.</p>
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## 8.0 PROJECT IMPLEMENTATION ARRANGEMENTS AND CAPACITY NEEDS

### 8.1 Implementation Arrangements

Implementation of the GLTF projects will be a responsibility of MTIC as overall lead institution together with MOWT (lead institution on the sub component –border infrastructure development) and other implementing agencies including MAAIF, MOH, UNRA, URA, Police, immigration Department, NUBS and UBOS, among others. Technical oversight will be provided by MOWT on border infrastructure subcomponent and MTIC on all other components while environmental performance will be supervised and monitored by the Head Construction and Quality Management in MOWT and the head of the Division of Technology-MTIC. *MOWT and External Trade Department in MTIC* will be responsible for property for coordinating compensations and ensuring that infrastructure developed conforms to the border infrastructure requirements.

The Ministry of Lands, Housing and Urban Development (MoLHUD) will also provide inputs in implementation of this project. The Office of the Chief Government Valuer is responsible for compensation for the project affected people. Appropriate Zonal Land Office under the MoLHUD whose operations are under the commissioner of land registration will be important for land take during implementation of the proposed project.

The overall responsibility will be with the Project Steering Committee, which will comprise representatives from various Ministries, URA and Internal Affairs. The Ministry of Trade, Industry and Cooperatives (MTIC) will be responsible for the overall coordination of the project and will chair the Steering Committee comprising other key ministries (i.e. Ministry of Finance, Uganda, Revenue Authority, Immigration, Agriculture).

**Table 10: Proposed Steering Committee Members**

<b>Institutions</b>	<b>Policy Mandate</b>	<b>Responsibility in project implementation process</b>	<b>Membership position on the Steering Committee</b>
Ministry of Trade and Industry	Formulate and oversee implement	Overall lead implementing	Chair

Cooperatives	policies and programs aimed at promoting trade facilitation, harmonization product standards and elimination of unnecessary procedures that mutate as NTBs.	institution	
Ministry of Finance Planning and Economic Development	Mobilization and allocation of resources of Government and overseeing how these resources are accounted for in achieving its targeted objectives.	Coordinating financing arrangement between the World Bank and the Government of Uganda	Member
Ministry of Works and Transport	Responsible for to planning, developing, and maintaining transport infrastructure and engineering works in the country.	Monitoring and providing oversight function on implementation of the one stop border posts and transport infrastructure	Vice Chair
Ministry of Internal Affairs-	Regulating and facilitating the travel in and out of the country for both Ugandans and foreigners.	Coordination of immigration issues at the border	Member
Ministry of Agriculture Animal Industry and Fisheries	Initiating laws, regulations standards, enforcing and carrying out inspections on veterinary and Phytosanitary, measures	Ensuring that products involved in cross border trade conform to crop, plant and veterinary measures	Member

A technical Working Group will provide oversight, guidance and advisory functions to the Project implementation Units. The TWC will TORS, review reports and provide guidelines and way forward on the outputs and reports developed under the GLTF Project. The table below shows the composition of the TWC

**Table 11: Composition of the Technical Working Committee**

	<b>Policy Mandate</b>	<b>Responsibility</b>	<b>in</b>	<b>Membership</b>
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<b>Institutions</b>		<b>project implementation process</b>	<b>position on the Steering Committee</b>
Ministry of Trade Industry and Cooperatives	Formulate oversee and implement policies and programs aimed at promoting trade facilitation, harmonization product standards and elimination of unnecessary procedures that mutate as NTBs.	Overall lead implementing institution	Chair
Ministry of Finance Planning and Economic Development	Mobilization and allocation of resources of Government and overseeing how these resources are accounted for in achieving its targeted objectives.	Coordinating financing arrangement between the World Bank and the Government of Uganda	Member
Ministry of Works and Transport	Responsible for to planning, developing, and maintaining transport infrastructure and engineering works in the country.	Monitoring and providing oversight function on implementation of the one stop border posts and transport infrastructure	Vice Chair
Ministry of Lands housing and urban planning	Responsible for providing policy direction, national standards and coordination of all matters concerning lands, housing and urban development.	Coordinating aspects land access, utilization and management of displacements	Member
Uganda Revenue Authority	Assessing, collecting tax revenues, and enforcing taxation laws in the country	Lead institution on improvement of customs management performance	Member
Uganda National Roads Authority	Developing and maintaining national roads network	Lead institution on development and construction of border infrastructure	Member
Ministry of Internal	Regulating and	Coordination of	Member

Affairs-Directorate of Citizenship and Immigration Control	facilitating the travel in and out of the country for both Ugandans and foreigners.	immigration issues at the border	
District Local Government	Coordinate, oversee and Monitor implementation of the Government policies in a district;	Coordinating provision land, facilitating management of the targeted communities and any displacements that may occur	Member
Ministry of Agriculture Animal Industry and Fisheries	Initiating laws, regulations standards, enforcing and carrying out inspections on veterinary and Phytosanitary, measures	Ensuring that products involved in cross border trade conform to crop, plant and veterinary measures	Member
Uganda National Chamber of Commerce and Industry	Umbrella private sector Organization that promotes interests of the business community	Provide overall private sector inputs to project implementation processes	Member
Uganda National Cross Border Traders Association	Umbrella Association that promotes interests of the members	Provide specific inputs the cross border traders to project implementation processes	Member
National Environment Management Authority	Principal agency charged with the responsibility of coordinating, monitoring, regulating and supervising environmental management in the country.	Coordination environmental impact assessments and management	Member

Ministry of Works & Transport (MoWT) will be responsible for the implementation and management of Sub Component 1.1 that involves building border and trade infrastructure assets. MoWT has already implemented border infrastructure improvement projects financed by the Bank and other development agencies. The Ministry of Trade, Industry and Cooperatives

(MTIC) will coordinate day-to-day activities and implement activities under all other components

The Ministry of Trade, Industry & Co-operation (MTIC) will be responsible for the Components 2, 3 and 4, which deals with procedural reform and implementation support.

The environmental and social impacts pertain largely to the investments that fall under Component 1. Hence this ESMF will have implementation arrangements in the MTIC and MoWT, the lead agency for the implementation of the border infrastructure development.

Environmental and social performance pertaining to the investments will be supervised and monitored by a Safeguards Incharge in the Project Management Unit of the MTIC. He / She will coordinate the day-to-day activities related to the ESMF. The Safeguards Incharge will also monitor and report compliance of the GLTFP investments to meet the ESMF requirements. In MoWT, there will be a Project Team and this team will include an Engineer, who will have a part-time responsibility for safeguards implementation. This MoWT engineer-in-charge of safeguards will work closely with the MTIC Safeguards Incharge in ensuring effective ESMF implementation.

## 8.2 Roles & Responsibilities

### Safeguards Incharge, MTIC

The role is to implement the policies and procedures of this ESMF, to respond to environmental safeguard issues of the various investments that are financed and also be proactive in identifying likely safeguard issues that could be relevant in the context of all GLTFP activities.

The following are the responsibilities relevant to the Safeguards Incharge:

- Maintain and keep up-to-date the ESMF (screening, procedures and others) —on a day-to-day basis.
- Monitor the investments financed by GLTFP, prepare status reports on a periodic basis both in the construction and operational phases, and work with the different agencies in ensuring safeguard compliance.
- Engage in training and capacity-building initiatives to build awareness, knowledge and skills pertaining to safeguards management of the different sub-project beneficiaries, their consultants and contractors.
- Provide the required information to the World Bank based on their requirements.

### Engineer-in-charge, Safeguards, MoWT

The following are the responsibilities relevant to the Engineer-in-charge, Safeguards in MoWT:

- Ensure that the design consultants, project management / supervision consultants and the contractor meet the ESMF requirements in the context of their respective investments / sub-projects.
- Monitor the investments / sub-projects, prepare status reports on a periodic basis both in the construction and operational phases, and work with the different agencies in ensuring safeguard compliance.
- Support MTIC in training and capacity-building initiatives to build awareness, knowledge and skills pertaining to safeguards management of the different sub-project beneficiaries, their consultants and contractors.

- Provide the required information to the PMU of the MTIC for the periodic progress reporting to the Project Steering Committee and the World Bank.

#### Design Consultants

The roles & responsibilities of the investment design consultants are to ensure that the environmental & social impact assessments (ESIAs) and ESMPs are done in line with the national and the World Bank requirements, which are included in this ESMF. These consultants will also ensure that the management and action plans are to be integrated with the bid/contract documents.

#### Construction Contractors

The roles & responsibilities of the construction contractors are to ensure that the outputs of the safeguards assessments, particularly the ESMPs are complied with. These contractors are the critical link as they'll have to ensure that the construction-related environmental impacts are mitigated in line with the ESMPs prepared for the sub-project.

#### Project Management or Supervision Consultants (PMCs or SCs)

The roles & responsibilities of the project management or supervision consultants pertaining to the various investments are to ensure that the outputs of the safeguards assessments (ESIAs, ESMPs) are complied by the contractor during the construction phase of the project.

## 8.2 Capacity Needs

Directorates below will require training in social and environmental aspects to enhance compliance to national requirements and those of the World Bank.

### e) **Public Health & Environment**

Project supervisors in MTIC and MOWT should be trained in EIA process in Uganda (screening, project briefs, detailed social-environmental assessment and monitoring) and World Bank Safeguard policies.

### f) **Gender, Community Services and Production (GCP)**

MTIC has in place officers who have been oriented on mainstreaming gender in trade development. However, the Ministry has no specialized unit to handle gender and community issues and capacity enhancement of the officers involved in the project will be required to ensure effective implementation of the project including management of resettlement action plan (RAP). The following recommendations are made in relation to this subject:

Specific personnel in table below should be involved in the training.

**Table 12: Personnel to be trained**

<b>Entity</b>	<b>Personnel to be trained</b>	
Office of Deputy Director Gender Welfare & Community Services	<b>Department: Welfare &amp; Community Service</b>	<b>Department: Gender Youth &amp; Children</b>
	Supervisors, Community Development	Supervisor- Orphan & Vulnerable Children
	Community Development Officers	Officers
	Community Development Assistants	
District Local Government	Community Development Officers (CDOs)	

### 8.3 Grievance management

If any grievances arise during implementation of GLTF project they should be addressed through a systematic and documentable grievance mechanism involving local leaders, District Local Government Administration and Government agencies involved in the project.

Key objectives of the grievance process are supposed to be:

- a) Provide affected people with avenues for making a complaint or resolving any dispute that may arise during project implementation;
- b) Ensure that appropriate and acceptable corrective actions are identified and implemented to address complaints;
- c) Verify that complainants are satisfied with outcomes of corrective actions;
- d) Avoid the need to resort to judicial (legal court) proceedings, unless all non-judicial avenues fail.

Grievance management will aim to provide a two-way channel for the project to receive and respond to grievances from project affected persons (PAPs), stakeholders or other interested parties. Grievances will be managed by a seven-member committee of composition indicated in table below.

**Table 13:Proposed grievance committee**

<b>Entity</b>	<b>Department</b>	<b>Responsible person</b>
	Head Bilateral and Regional Trade	Department of Trade of External Trade-MTIC
	Head Construction and Quality	Directorate of Engineering and

	Management	Works MOWT
	Head Social Issues Unit Services	Directorate of Project Planning-UNRA
	Directorate of Physical Planning	Director
Local Governments	District Political Head	LCV Chair Person
	LC 3 Political head	LC3 Chairperson
	Head Commercial Services	District Commercial officer
	Public Health & Environment	District Environmental Officer
	Gender & Community Welfare	Community Development Officer, CDO
Representative of PAPs from district		To be elected by PAPs

Grievances will be resolved in a 5-step process as outlined below:

**Step 1:** Any aggrieved party will lodge their complaint with either the District Community Development Officer (CDO) or District Environmental Officer (DEO) at the District Local Government Office.

**Step 2:** The grievance will be recorded in a log but discussed and if redress can be made by the Local Government Team led by the CDO and including the District Commercial Officer (DCO) and DEO, the complaint will be closed at that stage and upon satisfaction, the complainant will sign against their grievance to indicate closure.

The grievance log will be designed such that besides capturing the general complaint and detail of the aggrieved party, it will also record the core cause of the complaint to enable the Grievance Committee understand origin and patterns of complaints so that a solution can be found for their cause and avoid recurrence.

A grievance database will be maintained at the Divisions for recording and keeping track of grievances and how they were resolved. The database will be a „living“ document, updated weekly.

**Step 3:** If a solution cannot be found in Step 2, the complaint will be referred to a Grievance Committee meeting held which must convene within one week after the complaint is recorded. The committee will discuss the complaint and notify the complainant of a solution within 2 days after the meeting.

**Step 4:** If the aggrieved entity is satisfied with the solution, they will sign a closure statement but if not, then the complainant will be invited to attend the next Grievance Committee meeting to discuss the outstanding query in their presence.

**Step 5:** If agreement is secured in Step 4, the aggrieved party will sign a closure statement but if not, they are entitled to seek redress in courts of law.



## 9.0 Conducting the ESIA and Preparing the ESIA Report and ESMP

An Environmental and Social Management Plan (ESMP) for GLTF is intended to ensure efficient environmental and social management of its activities. The ESMP translates recommended mitigation and monitoring measures into specific actions that will be carried out by the proponent. The main components of an ESMP are described in the Table 17 below, which reflects practice at the World Bank. Ideally the ESMP should contain the following:

- a. Summary of the potential impacts of the proposal;
- b. Description of the recommended mitigation measures;
- c. Statement of their compliance with relevant standards;
- d. Allocation of resources and responsibilities for plan implementation;
- e. Schedule of the actions to be taken;
- f. Programme for surveillance, monitoring and auditing; and
- g. 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 basis for a legal contract that prescribes 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 14: Components of ESMP

<b>Components of ESMP</b>	
<b>EMP Component</b>	<b>How to address</b>
<b>Summary of impacts</b>	The predicted adverse environmental and social impacts for which mitigation is required should be identified and briefly summarized. Cross referencing to the EA report or other documentation is recommended.
<b>Description of mitigation measures</b>	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.
<b>Description of monitoring programme</b>	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.
<b>Institutional arrangements</b>	Responsibilities for mitigation and monitoring should be clearly defined, including arrangements for co-ordination between the various actors responsible for mitigation.
<b>Implementation schedule and</b>	The timing, frequency and duration of mitigation measure should be specified in an implementation schedule, showing links with overall project

<b>reporting procedures</b>	implementation. Procedures to provide information on the progress and results of mitigation and monitoring measures should also be clearly specified.
<b>Cost estimates and sources of funds</b>	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*

## 10.0 KEY ISSUES FROM STAKEHOLDER CONSULTATION

Key views of stakeholders consulted are presented in table below.

**Table 15: Key views from stakeholders**

<b>Cross Border Traders Association</b>	<ul style="list-style-type: none"> <li>✚ Businesses and persons likely to be affected by the project should be identified, informed and mitigation measures implemented from them in a timely manner. On completion and during the infrastructure development business persons operating at the target borders should not be disadvantaged in the process.</li> <li>✚ There should be a plan to ensure that excavations at the borders are done once and common utility ducts shared by all utility companies.</li> <li>✚ Excavations during road works could damage forecourts and verandahs private and commercial property at the border post areas. Sometimes this damage takes long to be remedied which forces property owners to eventually reconstruct such damage at their cost and this is, an undue cost to the business / property owners.</li> <li>✚ The speed of construction should bear in mind economic impact of dust emissions to roadside businesses and commercial premises. Contractors should consider working on short stretches they can manage to complete quickly before opening up new ones. This reduces exposed surfaces that would generate dust. Businesses often lose a lot of merchandise and hence revenue due to dust emissions.</li> <li>✚ To avoid disruption to businesses, construction at the border posts should be undertaken at night.</li> <li>✚ Traffic flow improvements to result from proposed infrastructure development of the GLTF projects are commendable. However, there should be linkage with general traffic in the hinterland trade infrastructure and service of the two countries because reducing traffic congestion at the border without similar intervention on the main highways leading to either side of the borders may not yield the desired benefits. When traffic on the highways is slow, business consignment would still be delayed before reaching and crossing the</li> </ul>
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	<p>border point.</p> <ul style="list-style-type: none"> <li>The EIA Committee of Experts will put into consideration concerns raised by cross border traders in developing recommendations on the issues to be addressed regarding establishment of common service duct for utilities and limiting destruction and or disruption of the businesses and properties. The review shall also put into consideration as related mitigation measures in proposed in this document and come up with recommendations on the specific to be addressed with the available funds allocated for the project.</li> </ul>
<b>Bus and taxi operators</b>	<p>The business community should be notified in time of planned GLTF project activities and schedules because these may affect operations and financing arrangements that business entities might have with banks. For instance delays in completion of road projects could affect bus operations and this would impact cash flows and loan obligations public transport companies may have with financiers.</p> <p>MTIC and MOWT will utilize social media and other channels to publicize the project and ensure as many stakeholders as possible are informed and aware of proposed developments.</p>
<b>Ministry of Lands Housing &amp; Urban Development</b>	<p>It is good to have in place a “<i>common services duct</i>” that can be shared by all utility companies to avoid repeated excavations along and around the border posts.</p> <p>The EIA assessment will provide highlights on this matter and MTIC and MOWT shall engage with utility companies on the way forward in cases where it is evident that a common utility duct is required to avoid destruction or repeated excavations.</p>
<b>National Water &amp; Sewerage Corporation, NWSC</b>	<p>Contractors hired for implementation of proposed GLTF project should have the discipline to control environmental pollution, especially dust emissions. For instance instead of opening long stretches of roads that cannot be quickly completed and left to generate dust for prolonged periods, contractors should progressively work on short sections that can be quickly completed before working on the next.</p> <p>The border post sub-project (component 1.1) will not have long stretches of roads under construction. In any event, the contractor will be required to implement measures that minimize dust emission.</p>
<b>Wetlands Management Department, WMD</b>	<p>Without proper controls, construction activities of proposed projects could have negative environmental effects. Therefore recommendations below are proposed:</p> <ol style="list-style-type: none"> <li>1. Construction waste should not be dumped in wetlands</li> <li>2. Designs should ensure culverts of right capacities are installed to avoid hydraulic severance of wetlands at water crossings.</li> </ol>

	<p>3. Contractor(s) should have an environmental officer to guide construction activities.</p> <p>The above recommendation shall be considered for inclusion as contractual obligations of the contractor involved the border post sub project 1.1.</p>
<b>Telecom Companies</b> <b>MTN, Orange, Uganda Telecom Limited, UTL</b>	<p>The ideal situation is where there is a common services ducts so as to avoid multiple disruptive excavations at the border post as a result of each telecom company trying to dig up its own trench.</p> <p>GLTF project implementation schedule should be publicized early among stakeholders so that utility companies can plan accordingly.</p> <p>Any damage caused by project contractors to utility infrastructure should be promptly remedied to avoid disruption of service to customers/consumers and financial loss.</p> <p>Telecommunication infrastructure (e.g. fibre optic cables) if disinterred (unburied) by contractors, should be protected from risk of vandalism by minimizing time they are left exposed.</p> <p>An obligation shall be included for the contractor to avoid destruction of utility infrastructure and where it is accidentally damaged, the contractor will be required to provide an immediate remedy and to secure it from vandalism.</p>
<b>MTIC, MOWT, UNRA, URA, IMMIGRATION, POLICIE, MAAIF, MOH</b>	<ul style="list-style-type: none"> <li>✚ People with disabilities, children and women should be considered in designing and development of the proposed infrastructure at the border posts. For example, crossings should be available and safe for these categories of road users. Road design should provide for pedestrian safety since walking is the commonest and easiest way of moving around in this city. Signaled pedestrian crossings that are usable by even the blind should be considered in project design.</li> <li>✚ Construction works should consider possible impacts to schools and health care facilities in the surrounding areas of the sites and adjoining roads noting that construction trucks which often move at high speeds through communities can be an accident risk to public road users.</li> <li>✚ Border speed limits must be applied given that high motor speeds on newly improved roads can be accident risk and control measures such as road signs and speed humps should be placed where required.</li> <li>✚ Deep roadside and construction site stormwater drains are a risk to road users. Thus they should be covered for safety of motorists and pedestrians.</li> <li>✚ Roadside and border post based businesses should be considered during project implementation to avoid economic losses.</li> <li>✚ Engaging and garnering support from political leadership is important.</li> <li>✚ Project ownership reflected in participatory design and implementation</li> </ul>

	<p>arrangements that integrate with core functions will be key to program/project success. It is important to ensure full participation by stakeholders including the public, traders and local leaders.</p> <ul style="list-style-type: none"> <li>✚ Strong inter-agency relationships between MTIC, MOWT and other entities such as NEMA, UNRA, URA and other stakeholders are essential for effective and smooth implementation of the project.</li> <li>✚ Continued training and capacity strengthening of the personnel in the lead implementing agencies and other key institutions is essential and crucial for implementation of the project.</li> <li>✚ Bidding documents on implementation of the GLTF should include socio-environmental guidelines for Contractors. However evaluating their inclusion in bids and monitoring effectiveness of the execution during actual project implementation requires that staff of lead implementing institutions understand these concepts and their relevance to project activities.</li> </ul> <p>MTIC and MOWT will undertake public awareness/mobilization activities and utilize social media and other channels to publicize the project and ensure ownership by the stakeholders. Obligations shall be included for the contractor to address some of the construction related concerns raised above.</p>
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A record of stakeholders consulted is presented in Annex 4.

## 10.2 Disclosure

The MTIC has disseminated the draft summary ESMF and has been posted on April 13, 2015 on their website for its access to wide public. In March 2015, the MTIC organized a consultation on the draft ESMF (Refer Annex 7 for the outcome of the consultation meeting). After the consultation, draft document will be revised considering inputs from consulted parties. The final ESMF will be posted on the website of the MTIC and disclosed in the World Bank Infoshop.

## 11.0 BUDGET FOR ENVIRONMENTAL MANAGEMENT COSTS

The partial budget for implementing the ESMF including the hiring consultants to develop the ESIAs and the ESMPs for three Border Posts/markets will be USD 1,592,102. This does not include costs for resettlements, compensations and implementation of other environmental mitigations for reasons that the related estimates have not been made because the size and area scope of operation on some sites are not yet known.

To implement this ESMF, a budget will be required to fund associated support activities outlined below:

- i. Undertaking of ESIAs and development of the ESMPs
- ii. Stakeholder engagement with the key players will require meeting
- iii. Providing the general public with information about project activities, schedules and information related to grievance management, use of print and electronic media will be necessary on a fairly regular basis. Therefore a budget has been provided for stakeholder meetings and information dissemination through mass media.
- iv. Monitoring of social aspects and environmental compliance will be essential throughout the construction project. This budget line will support lead implementing institutions to undertake inspections at construction sites and through supervising consultants, institute corrective measures
- v. Grievance management will necessitate regular meetings at Divisions and a cost has been provided in table below.
- vi. Resettlements, compensations and implementation of other environmental mitigation measures

Budget below is proposed for this ESMF.

**Table 16: Estimated ESMF budget over the GLTF implementation period**

<b>Category</b>	<b>Estimated cost (USD)</b>
3 training sessions of staff in the lead implementing institutions and local government technical and environmental officers (in the three districts) in Social and Environmental Safeguards requirements and EIA process in Uganda.(USD 30000 each training session)	90,000
Hiring a Consultant to Prepare ESIAs and ESMPs in line with the ESMF for development Infrastructure (USD 244,218 for each of the 3 Border Posts)	732,654
Hiring a Consultant to prepare ESIAs and ESMPs in line with the ESMF for market Infrastructure (USD 199,816 for each of 3 borders)	599,448
Monitoring project procurement, design and social-environmental compliance activities. This also includes facilitation of environment officers to monitor project activities (USD 45,000 for each border post/market project)	135,000
Grievances management Committee meetings (5 meetings, each at USD 7000)	35,000
<b>TOTAL</b>	<b>1,592,102</b>

## References

1. *The Constitution of the Republic of Uganda*
2. *National Environment Act CAP 153*
3. *Uganda's Vision 2040*
4. *Uganda's National Environmental Action Plan (NEAP)*
5. *The National Environment Management Policy*
6. *National Development Plan 2010/11 – 2014/15*
7. *The National Water Policy, 1999*
8. *National Land Policy, 2013*
9. *Uganda Export promotion Board (UEPB) 2004: Increasing Incomes Through Exports: Market analysis and entry strategy for Uganda.*
10. *National Trade Policy, 2007.*
11. *The Land Act 1998*
12. *UBOS 2012 Statistical Abstract*
13. *The National Environment Act, Cap 153.*
14. *The Public Health Act, Cap 281*
15. *The State of Uganda Population Census Report 2014, UBOS.*
16. *The Water Act Cap 152*
17. *The Water Resources Regulations 1999*
18. *World Bank Operational Manual*
19. Swilling, M., 2006: "Sustainability And Infrastructure Planning in South Africa: a Cape Town Case Study," in *Environment & Urbanization*, April 2006, Volume 18 Number 1, pp 23–50.

## **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.

-----

-----

-----

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.

-----

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

Type(s) Source	Method of Disposal and 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)?

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. 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 GLTF border post/market Infrastructure**

Will the sub-program result in the permanent or temporary loss of:

15.1 Crops?

15.2 Fruit trees / coconut palms?

15.3 GLTF 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.

## **SECTION 7. 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: AUTHENTICATION**

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



## Annex 2: ESIA Study TasksMeasures Checklist


### EIA study tasks

The consultant should realize the following:

- a) Describe the project characteristics, including extent, land requirement, material requirements, construction works, and the beneficiary community;
- b) 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 project operations;
- c) Assess the potential environmental and social impacts related to project activities and recommend adequate mitigation measures, including costs estimation.
- d) Review alternative more cost-effective and environmentally and socially friendlier options for achieving the same objectives,
- e) 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,
- f) Identify responsibilities and actors for the implementation of proposed mitigation measures,
- g) Assess the capacity available to implement the proposed mitigation measures, and suggest recommendations in terms of training and capacity building and estimate their costs,
- h) 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**

- a) Cover page
- b) Table of contents
- c) List of acronyms
- d) Executive summary
- e) Introduction
- f) Description of project activities
- g) Description of environment in the project area
- h) Description of policy, legal and institutional framework
- i) Presentation of results of public consultations and disclosure, and proposed social action by the developer;
- j) Description of methodology and techniques used in the assessment and analyses of project impacts,
- k) Description of environmental and social impacts of project activities,
- l) 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
- m) Recommendations
- n) References
- o) List of persons / institutions met

### **Consultant team**

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



### **Annex 3: 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 artefacts 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, Wildlife and Antiquities.

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

#### **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.
- 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 4: Format for stakeholder consultation on ESIA related activities**

The format in the table below shall be followed in undertaking consultations relating to the development of the ESIA, RAP and creating related awareness activates

Name of Agency/stakeholder/Community						
Purpose of the Consultation (tick appropriate box):	Scoping:			ESIA:		
	Sensitisation:			RAP:		
	Environmental Audit:			Other (specify):		
Date:						
Project Name:						
Proponent:						
Name of Person/Official met:	Description			Contact(Tel/em ail)	Sign/Initial	

## **Annex 5: Detailed ESIA process in Uganda**

The ESIA guidelines (NEMA 1997) and the ESIA regulations (NEMA 1998) recognize the following stages in an ESIA process: Project Brief formulation; Screening; Environmental impacts study; and Decision making. In addition public consultation is required throughout the ESIA process.

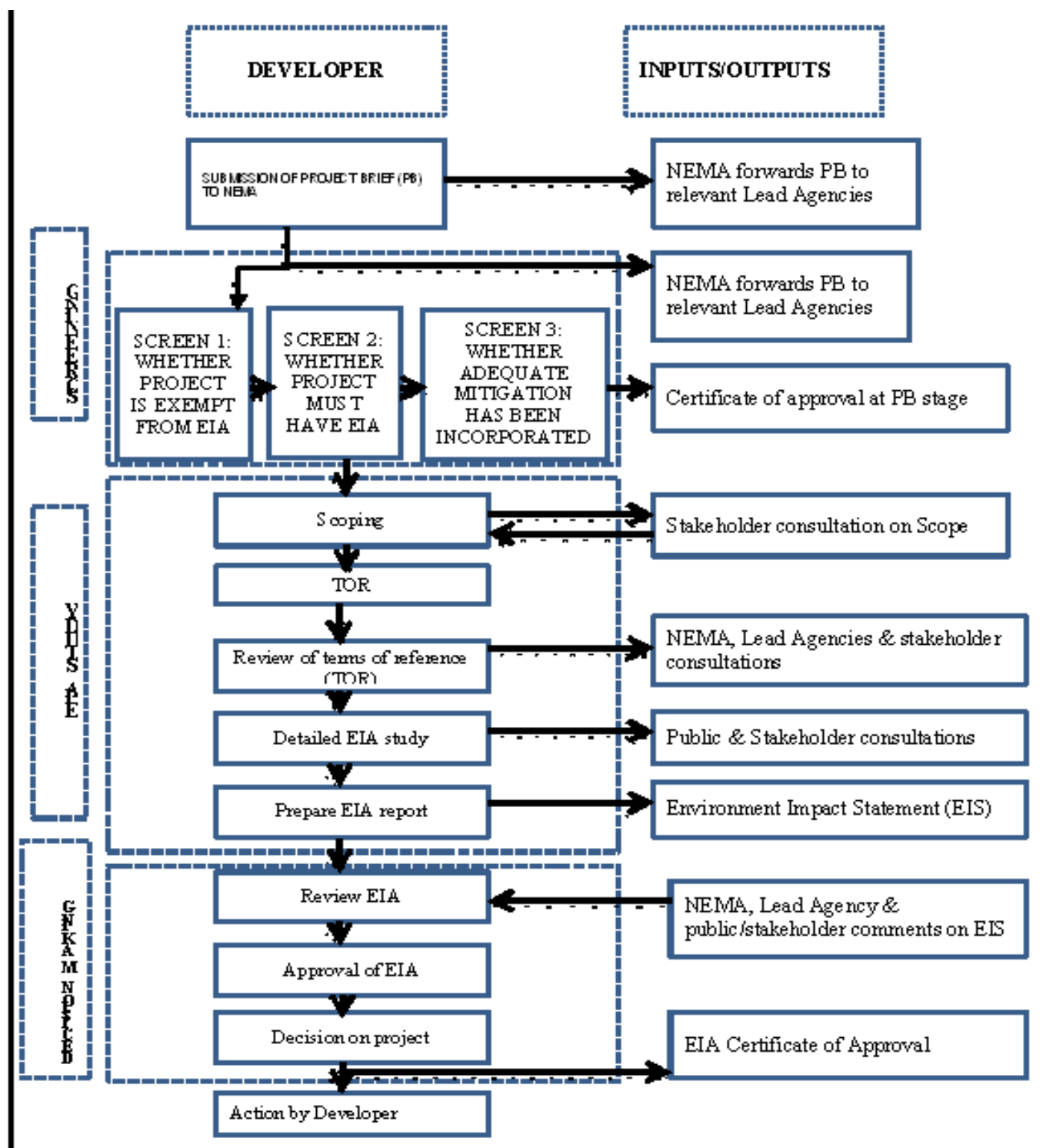
The EIA process in Uganda is described and initiated by the submission of a project brief –a document that contains the same sorts of information that are in the ESSF and a format for which is contained in the EIA guidelines.

In the course of implementing the project, the process presented in figure below will be followed where a full ESIA is required.

1. Project brief preparation (for projects that may not require full/ detailed EIA) ;
2. Screening;
3. Detailed environmental impact study;
4. Decision making by NEMA (and lead agencies).

These are discussed in sections below.

Figure 1: Summary of EIA process in Uganda



### 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.

Preparation of these briefs will be the responsibility of lead agencies MTIC and MOWT.

### **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:

2. Size or location of project;
3. Type of project;
4. Potential socio-economic and biophysical impacts compared against set thresholds and standards, and
5. 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 activities that do not require an EIA.
- Screen II: Projects activities that require mandatory EIA are directly subjected to a detailed Environmental Impact Statement (EIS).
- Screen III: Projects activities 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 activities, 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.

## **Environmental Impact Study**

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

- a) Scoping and ToR;
- b) Preparation of the EIS;
- c) Review of EIS and Decision on project; and
- d) Environmental Monitoring.

## **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.

## **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??.

## **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.

### **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 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.

## **Public Consultation**

The environmental impacts or effects of the project may differ from border to border. 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. As part of the consultation process, meetings will be held at border involving local leaders, Technical Personnel to identify issues before the start of the intervention and receive feedback during the implementation period.

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

2. The public has a clear understanding of the proposed project; and
3. 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:

1. Public consultation before the commissioning of the EIS;
2. Public consultation during the EIS; and
3. 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 consider, among others:

1. The stakeholders to be involved;
2. Matching of stakeholders with approaches and techniques of involvement;
3. Traditional authority structures and political decision-making processes;
4. approaches and techniques for stakeholder involvement;
5. Mechanisms to collect, synthesize, analyze and, most importantly, present the results

6. To the EIS team and key decision-makers;
7. Measures to ensure timely and adequate feedback to the stakeholders;
8. Budgetary / time opportunities and constraints; and
9. Public Consultations during the EIS.

#### **b) Public 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) Public 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

## **Annex 6: Environmental Guidelines for Construction Work**

- 1) These general environmental guidelines on construction work to be undertaken shall apply to the construction activities under the border post/market component of the GLTF Project in Uganda. For each site 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 comply with any specific ESMP for the works.
- 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:
  - (b) 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.
  - (c) 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.

- (d) 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.
- (e) 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.
- (f) Avoid or minimize the occurrence of standing water in holes, trenches, borrow areas, etc
- (g) 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.
- (h) 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, World Life and Antiquities may be expeditiously contacted for fulfillment of the measures aimed at protecting such historical or archaeological resources.
- (i) 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, World Life and Antiquities and the Authority of Research and Conservation of Cultural Heritage.
- (j) 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 Contractors vehicles. Prohibit the transport of firearms in Project-related vehicles. Prohibit the transport of third parties in Project-related vehicles.
- (k) Implement soil erosion control measures in order to avoid surface run off and prevent siltation, etc.
- (l) Ensure that waste management, sanitation and drinking water facilities are provided in construction workers camps.

- (m) Ensure that, in as much as possible, local materials are used to avoid importation of foreign material and long distance transportation.
  - (n) 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.
  - (o) Ensure that any trench, pit, excavation, hole or other hazardous feature is appropriately demarcated and signposted as safety measures.
  - (p) Ensure that casual workers are hired from neighboring communities.
  - (q) 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) 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 fulfill 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:

- a) What is HIV/AIDS?
- b) How is HIV/AIDS contracted?
- c) HIV/AIDS prevention.

## Annex 7: Public consultations on the ESMF

Consultations were held with stakeholders through field engagements with the local administration and communities in February and a final national consultation meeting on 7<sup>th</sup> March 2015 providing an overall description of the Project, the purpose of the ESMF and RPF, potential outcomes of the frameworks and to obtain feedback on ways to improve implementation of the frameworks. The key stakeholders institutions consulted include the local authorities and communities within the project area; the Uganda National Cross Border Traders Association, Ministry of Trade Industry and Cooperatives, Ministry of Finance Planning and Economic Development, Ministry of Works and Transport, Ministry of Lands Housing and Urban Development, Uganda Revenue Authority, Uganda National Roads Authority, Ministry of Internal Affairs-Directorate of Citizenship and Immigration Control , Police/Security , District Local Governments, Ministry of Agriculture Animal Industry and Fisheries, National Environment Management Authority, Uganda National Chamber of Commerce and Industry, and other related agencies,. More broadly, the stakeholders include the cross border traders who are the direct beneficiaries of the project.

A validation meeting of the ESMF report was held on 7<sup>th</sup> March 2015 in MTIC Boardroom.

No	NAME	ORGANIZATION	TELEPHONE	E-MAIL
1.	Kiwanuka Ben	MAAIF	0772354200	<a href="mailto:kiwaben2000@yahoo.com">kiwaben2000@yahoo.com</a>
2.	Opio Robert	MLHUD	0751914846	<a href="mailto:robertopio@mlhud.go.ug">robertopio@mlhud.go.ug</a>
3.	Byamugisha Benon	MAAIF	0772558794	<a href="mailto:benbyamu@yahoo.co.uk">benbyamu@yahoo.co.uk</a>
4.	Kiiza David	MTIC	0772612590	<a href="mailto:dkiiza@gmail.com">dkiiza@gmail.com</a>
5.	Cleopas Ndorere	MTIC	0775958300	<a href="mailto:cndorere@mtic.go.ug">cndorere@mtic.go.ug</a>
6.	Karyn Aneno	MTIC	0705210543	<a href="mailto:kaneno@mtic.go.ug">kaneno@mtic.go.ug</a>
7.	W. Ngonde	Immigration Department (MOIA)	0772485623	<a href="mailto:n_wilberforce@yahoo.co.uk">n_wilberforce@yahoo.co.uk</a>
8.	Patrick Okilangole	MTIC	071203206	<a href="mailto:pokilangole@mtic.go.ug">pokilangole@mtic.go.ug</a>
9.	Katusiime Zaharah	MFPED	0773736529	<a href="mailto:Zahra.katusiime@gmail.com">Zahra.katusiime@gmail.com</a>
10.	Geoffrey Turyamuhika	MFPED		<a href="mailto:geoffrey.turyamuhika@finance.go.ug">geoffrey.turyamuhika@finance.go.ug</a>
11.	Ogwang Geoffrey	MOWT	0772684078	<a href="mailto:ogwangobia@gmail.com">ogwangobia@gmail.com</a>
12.	Oundo Godfrey	National Cross Border Traders Association	0772684078	<a href="mailto:Godfreyncbta2012@gmail.com">Godfreyncbta2012@gmail.com</a>
13.	Steven Kamukama	MTIC	0772524846	<a href="mailto:skamukama@gmail.com">skamukama@gmail.com</a>