

TERMS OF REFERENCE FOR THE DESIGN AND DOCUMENTATION OF TWO REDD+ EMISSIONS REDUCTION PROGRAMS IN UGANDA

I.0 Introduction

Uganda has prepared its draft REDD+ Strategy and Implementation Plan, Strategic Environmental and Social Assessment (SESA), Environmental and Social Management Framework (ESMF), Benefits Sharing Arrangements (BSA), Feedback and Grievance Redress Mechanism (FGRM) and submitted its Forest Reference Emissions Level (FREL/FRLs) to the United Nations Framework Convention on Climate Change in January 2017. These documents were endorsed by the National Climate Change Advisory Committee on 2nd October 2017.

The process of preparing Uganda's REDD+ Strategy received financial and technical support from the FCPF through the World Bank, Austria Development Cooperation, UN-REDD Programme and Government of Uganda. The first REDD+ Readiness preparation support Grant amounting to USD3.634 million was received by Uganda in 2013 from the Forest Carbon Partnership Facility (FCPF). However, despite the substantial progress which Uganda has made in its REDD+ readiness process, including the endorsement of the draft Strategy, SESA, ESMF BSA and FGRM, elements of gender and forest dependent peoples (IPs) in the REDD+ strategy and these implementation frameworks are not complete to the required standards. The preparation of Safeguards information system is on-going and a draft expected to be completed in 2018. Uganda received additional funding from FCPF (FCPF-AF) amounting to US\$ 3.75 million to support completion of REDD Readiness process between July 2017 – December 2019.

Uganda's REDD+ Strategy and Implementation Plan¹ define various strategies and country appropriate options for reducing emissions from deforestation and forest degradation, sustainable management of forests, and conservation and enhancement of forest carbon stocks. The National REDD+ Strategy provides for preparation and implementation of sub-national Emissions Reduction Programs (ER Programs) to address drivers of deforestation and forest degradation in different landscapes in the country. In fact, The REDD+ Strategy implementation is a multiyear undertaking with long-term commitments to programs and investments at national and subnational levels, within and outside protected areas.

In this regard, Uganda intends to apply part of the FCPF additional funding to advance design and development of at least two ER Programs grounded in the REDD+ Strategy, within the Albertine Rift and Mt Elgon region, alongside landscape activities supported by the Forest Investment Program (FIP) and Pilot Program for Climate Resilience (PPCR). The Government intends to roll out REDD+ utilizing the watershed management zone approach, along Documents can be accessed either from Ministry of Water and Environment Website (www.mwe.org) or REDD

¹ Documents can be accessed either from Ministry of Water and Environment Website (www.mwe.go.ug) or Uganda National REDD+ Secretariat Website (www.redd-uganda.org)

Secretariat Website (www.redd-uganda.org) the boundaries (or within sub-zones with these boundaries) of the established Water Management Zones.

The ER Programs will be implemented as national REDD+ pilot programs for performance based payments system for REDD+ activities with the view of ensuring equitable benefits sharing and promoting large scale positive incentives for mitigation actions in the target landscapes.

The ER Programs will be designed and implemented in a transparent manner, involving stakeholders in the design (through consultations with stakeholders and ensuring community participation including Forest dependent indigenous people), implementation and information sharing. The design of the ER Programs, led by the Government of Uganda and supported by the Consultant, will be expected to conform to a range of possible funding sources including the criteria and indicators from the most recent version of the FCPF Carbon Fund Methodological Framework (2016), guidance from the UNFCCC, the terms of reference and accompanying scorecards of the Green Climate Fund pilot programme for REDD+ results-based payments and other funds. In addition, the ER Programs will strive to meet the World Bank Social and Environmental Safeguards and also promote UNFCCC/Cancun safeguards for REDD+, provide information on how these safeguards have been addressed and respected, including the application of appropriate FGRM. The ER Programs will include activities that sustain and enhance livelihoods of local communities and conserve biodiversity. Uganda's ER Programs will seek to contribute towards broader sustainable development agenda including, livelihoods, building effective forest governance structures, securing land tenure, maintaining biodiversity and other ecosystem goods and services.

Uganda does not have a committed buyer for the Emission Reductions (ERs) under these potential ER Programs and, therefore, development of short idea notes (ER Program Idea Notes (ER-PINs)) on the outline of the ER Programs will be a first step, to be followed by a complete ER program development, all being part of the same assignment. The objective is that the Government of Uganda will be able to use these ER-PINs early on to seek potential investors and buyers (including under the REDD+ financing window of the Green Climate Fund).

2.0 Relationship between ERP and Uganda's REDD processes

Uganda has prepared a Draft REDD+ Strategy and implementation frameworks that provide sufficient basis and guidance for kick-starting the ER Programs' preparation and implementation.

To-date, most on-going carbon and REDD+ initiatives in Uganda are mainly the small non-state actor led projects such as those implemented by Environmental Conservation Trust of Uganda (ECOTRUST), Wildlife Conservation Trust (WCS) and World Wildlife Fund (WWF), the National Forestry Authority, and Uganda Carbon Bureau (UCB) in the Albertine Region and Mt. Elgon Ecosystem, among others.

The ER Programs shall, at the very minimum, include provisions for performance-based payment system for Emission Reductions generated from REDD+ activities, ensuring equitable benefit sharing and promotion of large scale positive incentives for REDD+. In addition, ER Programs shall include provisions for transforming Uganda to a low emission sustainable development pathway for the forest sector either through slowed or halted or reversed forest cover and forest carbon loss, and/or through actual reduced emissions from land use, deforestation, forest degradation, and sustainable management of forests and conservation and enhancement of forest carbon stocks.

3.0 Objectives of the Consultancy

The overall objective of the consultancy is to support the Government of Uganda to design and develop at least two Emissions Reduction Programs (ER Programs) in (i) Albertine and (ii) Mt. Elgon Regions as grounded in the National REDD+ Strategy.

4.0 Detailed Scope and Tasks of the assignment

The consultant shall carry out the following tasks:

A: Consult on and design two sub-national REDD+ programs

- a. Use the Draft REDD+ Strategy and Action Plan and Implementation frameworks to identify the appropriate areas to be included in each program that cover the Albertine and Mt. Elgon regions respectively. The identified areas shall meet the requirements of the Green Climate Fund which would also meet the FCPF requirements; namely an area that is of significant scale, one political or ecosystem level down from national scale and defined by the country (e.g. states, provinces, biomes, etc.).
- b. Analyze the draft REDD+ Strategy and Action Plan and elaborate, in participatory manner with key stakeholders including forest dependent indigenous people, the appropriate activities to be included in each program and develop a shared design/vision ER jurisdiction area. The design of each program shall describe the type of activities and interventions expected under each jurisdictional program and explain how they will contribute to the National REDD+ Strategy and Action Plan by demonstrating at large scale, the potential of full implementation of a variety of interventions of national REDD+ Strategy at scale of a landscape, including approaches that include a mix of policies and investments, integration with national development strategies, use of innovative financial structures and, application of multi-stakeholders' approaches.
- c. Based on the overall design/vision for the jurisdictional area, develop a draft action plan for each ER program identifying:
 - i. Priority interventions to be implemented in the short and medium terms based on the benefits the priority interventions are expected to generate (e.g., number of

people whose livelihoods will benefit from the investments, impact on reducing deforestation and forest degradation including potential to generate emission reductions, what key sectors will be influenced, etc.).

- ii. Stakeholder expected to implement the identified priority interventions (forest dependent indigenous people, government, private sector etc.) and structures needed to coordinate actions.
- iii. The options to finance the required initial investments and activities through (i) activities already supported in the target landscapes; (ii) identifying new sources of finance; (iii) redirecting existing finance flows, both public and private; and (iv) the use of proceeds from possible result-based payments.
- iv. The extent of reduced deforestation that the ER Programs should seek to achieve and the expected tCO₂e and non-carbon benefits.
- v. Technical challenges or risks related to the priority interventions within the program areas (for example: the presence of other projects aiming to issue carbon credits that could lead to significant challenges over double counting, potential leakage to neighbouring jurisdictions etc.).
- vi. Remaining gaps in terms of technical assistance needs in the jurisdiction, implementation arrangements, strategies or REDD+ mechanisms.
- vii. Long terms activities needed to expand and sustain the priority actions and support a low emission sustainable development pathway for the forest sector in the targeted areas.

B: Develop two ER-PINs, one for each program, using the ER-PIN template of the FCPF Carbon Fund and two complete sets of ER Programs' documentation covering implementation, financing and safeguards aspects. Specifically,

- i. Liaise with the National Forest Authority (NFA) and other agencies to complete the carbon accounting sections of the ER-PIN and ER Programs. The Consultant will access and utilize the available data from NFA and other agencies. Building on this data, the consultant will establish carbon accounting for the jurisdictional areas for each ER-PIN and ER Program. The consultant will be expected to work with mandated institutions and their staff, including in the landscape. All data will be produced and provided by the mandated institutions; the consultant will be responsible for turning this data into the format required by the templates (ER PIN, ER PD, etc.)
- ii. Based on the information on carbon accounting above and the draft action plans prepared under A, the consultant shall draft two ER-PINs, one for each identified jurisdiction, and two complete ER Programs in accordance with template of the FCPF's Carbon Funds, Green Climate Fund or another format as shall be determined in consultations with stakeholders.
- iii. Cost the implementation of the designed two ER idea notes (ER-PINs) and two complete ER Programs, including upfront technical and activity costs for getting ER

- Programs off the ground and for generating the targeted amount of emission reductions and non-carbon benefits.
- iv. Support national consultations and international peer reviews on the two ER idea notes (ER-PINs) and two complete ER Programs.
- v. Incorporate the views and opinions from both national consultations and international peer review processes and prepare two final ER idea notes (ER-PINs) and two Complete ER Program Documents for at least two landscapes in Uganda.
- vi. Support processes for securing endorsements of the final two ER idea notes (ER-PINs) and two complete ER Programs at landscape and national levels.
- vii. Support the submission of the final two ER idea notes (ER-PINs) and two complete ER Programs documents to the FCPF Carbon Fund or other funding mechanisms, as appropriate.

For the purpose of preparing a proposal, the consultant can assume that the complete documentation will be similar to the ER Program Document (ER-PD) template of the FCPF Carbon Fund in terms of required information and amount of detail. The process and steps shall be similar to those of developing the ER-PINs and ER Program Document (ER-PD) so this means the consultant will liaise with others for obtaining the information needed to complete the carbon accounting sections and the documents will go through a process of national consultations and validation and international peer review.

5.0 Reporting requirements specific reports and time schedules

The Consultancy will be undertaken in 18 calendar months, effective early 2018.

In order to accomplish the assignment, it is the responsibility of the Consultant to establish a detailed work program within the above time frame, taking into consideration the estimated man-month requirements. This should be guided by Consultant's professional judgment of the assignment's requirements and knowledge of the local conditions and needs.

Reporting to the National REDD+ Focal Point, the consultant shall deliver outputs described below and shall submit them in written (in English) and electronic copies at each stage for review and / or approval in accordance with the schedule of reporting indicated (Table I).

The MWE/National REDD+ Focal Point shall convene meetings of REDD+ Steering Committee, National Technical Committee and Policy Taskforce as well as introduce the consultant to the respective regional / local and national counterparts, as appropriate. The Government will lead the engagement with all actors in the landscape whose action will be required for generating ERs; the Consultant will be required to prepare background information/ documentation for the meetings, facilitate meeting discussions and produce meeting reports.

Table I: Detailed schedule for the required reporting

Version: 12.12.2017

ITEM	REPORT/ DOCUMENT TITLE	TIMING AFTER COMMENC- EMENT	CONTENT	NO. OF COPIES
A.1	Draft Inception report	3 weeks	<p>The consultant shall submit an inception report before the end of <u>3 weeks after commencement of the assignment</u>. The employer will be given <u>2 weeks</u> for review and approval. The consultant(s) may be invited by the employer to present the inception report to the National Technical Committee, SESA/Safeguards and Methodological/Policy Taskforces and and/or other stakeholders. This draft inception report shall contain the following content:</p> <ul style="list-style-type: none"> a. Outline of the Consultant’s mobilization, the work plan, strategy, methodology, and detailed timetable for deliverables. b. Technical description of the ER Programs demonstrating the understanding of the setting up and implementing ER Programs and how it can be applied in Uganda. c. Analysis of national policy, legal, institutional, economic and social and other contexts in relation to ER Program design and implementation. d. Analysis of relevant lessons and experiences of on-going/past REDD/carbon projects and programs in Uganda and within eastern Africa Region. e. Detailed proposals of the approach (es) to the assignment and methods for each or category of tasks. f. Detailed plan for implementing the tasks. 	6 to the FSSD
	Final Inception report	6 weeks	<p>The consultant shall submit a final inception report before the end of the <u>6weeks after commencement of the assignment</u>. The employer will be given <u>2 weeks</u> for review and approval. The consultant(s) may be invited by the employer to present the inception report to the National Technical Committee, Taskforce representatives and and/or other stakeholders. This final inception report shall contain the following content:</p> <ul style="list-style-type: none"> a. All the content agreed upon in the draft inception report but revised to reflect the comments of the employer, National Technical Committee, Taskforce 	6 to the FSSD

ITEM	REPORT/ DOCUMENT TITLE	TIMING AFTER COMMENC- EMENT	CONTENT	NO. OF COPIES
			<p>representatives, the World Bank and and/or other stakeholders.</p> <p>b. Comments matrix indicating how the comments of the employer, National Technical Committee, Taskforce representatives and and/or other stakeholders were addressed.</p>	
A.2	First draft of action plan for each ER program	16 weeks	The consultant shall submit a first draft action plan for each ER program containing the information specified under A above. The action plans would be the result of consultations with stakeholders and analysis of the situation in the particular program areas.	6 to the FSSD
	Final action plan for each ER program	20 weeks	Based on any comments received through the National REDD+ Focal Point on the first draft, the consultant shall submit the final action plan for each ER program containing the information specified under A above.	6 to the FSSD
BI	Draft ER PINs	28 weeks	The consultant shall submit the draft ER PINs before the end of the <u>28 weeks after commencement of the assignment</u> . The employer will be given <u>2 weeks</u> for review and approval. The consultant(s) shall be invited by the employer to present the report to the National Technical Committee, Taskforce representatives and and/or other stakeholders.	6 to the FSSD
	Final ER PINs	32 weeks	The consultant shall submit final ER PINs. The final Document shall contain the following. <ul style="list-style-type: none"> a. All the content agreed upon in the draft ER PINs but revised to reflect the comments of the employer, National Technical Committee, Taskforce representatives, the World Bank and and/or other stakeholders. b. Comments matrix indicating how the comments of the employer, National Technical Committee, Taskforce representatives and and/or other stakeholders were addressed. 	6 to the FSSD
B2	Draft ERP Documents	56 weeks	The consultant shall submit draft ER Program Documents before the end of <u>56 weeks after extensively covering all aspects of the scope and tasks of the assignment</u> . The employer will be given	6 to the FSSD

ITEM	REPORT/ DOCUMENT TITLE	TIMING AFTER COMMENC- EMENT	CONTENT	NO. OF COPIES
			4 <u>weeks</u> for review and approval. The consultant(s) shall be invited by the employer to present the report to the National Technical Committee, Taskforce representatives and and/or other stakeholders.	
	Final ER Program Documents	70 weeks	The consultant shall submit the final ER Program Documents before the end of 70 <u>weeks</u> after extensively covering all aspects of the scope and tasks of the assignment. The employer will be given 2 <u>weeks</u> for review and approval. The final Document shall contain the following. a.All the content agreed upon in the draft ER Program Documents but revised to reflect the comments of the employer, National Technical Committee, Taskforce representatives, the World Bank (and the FCPF's FMT) and and/or other stakeholders. b.Comments matrix indicating how the comments of the employer, National Technical Committee, Taskforce representatives and and/or other stakeholders were addressed.	6 to the FSSD

The consultant is encouraged to assess the appropriateness of the suggested milestones and comment upon realistic expectations, especially with regard to the allocated time frames for the activities in the comments to ToRs.

All reports have to be submitted in both soft (*unlocked MS Word, PDF*) and hard copy. The hard copies will be prepared in DIN A4 format, except for plans and drawings which should be prepared in DIN A3 format. The reports should be clearly labelled i.e. title of the study indicated, for easy identification and documentation purposes. All reports shall be prepared in English language. The Client will provide comments on each as indicated for each report (below) and clearance, and the consultant will only proceed with submission of the next deliverable thereafter.

6.0 Deliverables

The consultant shall submit the following deliverables:

- a. Inception Report.
- b. Action plans for each program.

Version: 12.12.2017

- c. Final ER PINs.
- d. Final ER Program Documents.

7.0 Data, Services, Personnel and facilities to be provided by the Client

The MWE/REDD+ Secretariat will provide documents about REDD+, FIP and PPCR in addition to designating focal personnel to support this task.

8.0 Qualifications

The targeted qualifying institution/firm will be required to demonstrate past experience in designing and or implementing ER programs in Sub-Saharan Africa and its readiness and capability to provide a team of experts of international level quality with expertise in: Designing ER Programs (including stakeholder engagement and identifying actions that would generate ERs and analysing financing options), National Forest Monitoring/MRV, National Forest Information System, FGRM, safeguards, benefit sharing, and legal expertise. The Consultant is expected to provide other staff as necessary to execute the assignment successfully.