



**Republic of Uganda**

**SOROTI SWEETPOTATO PRODUCERS AND PROCESSORS ASSOCIATION (SOSPPA)**

**STRENGTHENING PRODUCTIVE CAPACITY AND RESILIENCE OF  
SMALLHOLDER SWEETPOTATO PRODUCER ORGANIZATIONS IN UGANDA  
PROJECT (P179537)**

**Environmental and Social Management Framework**

**August 2025**

## TABLE OF CONTENTS

|  |             |
|--|-------------|
| <b>Table of Contents</b>   | <b>ii</b>   |
| <b>Acronyms AND ABBREVIATIONS</b>  | <b>v</b>    |
| <b>glossary of terms</b>   | <b>viii</b> |
| <b>EXECUTIVE SUMMARY</b>   | <b>xi</b>   |
| <b>1.1 project background and context</b>  | <b>1</b>    |
| <b>1.2 proposed project development objective and key results</b>  | <b>2</b>    |
| <b>1.2.1 Proposed Project Development Objective (PDO)</b>  | <b>2</b>    |
| <b>1.2.2 PDO Level Result Indicators</b>   | <b>2</b>    |
| <b>1.2.3 Project Beneficiaries</b>   | <b>3</b>    |
| <b>1.3 Project Components and Activities</b>   | <b>3</b>    |
| <b>1.3.1 Component 1: Improve market access and farm incomes for SOSPPA farmers through OFSP marketing, processing, and value addition supported by effectively managed facilities and trainings.</b>                                  | <b>3</b>    |
| <b>1.3.2 Component 2: Increase productivity and production of sweet potato roots and vines, and other nutritious crops, amongst SOSPPA farmers with yield-enhancing inputs, and improved and climate smart agricultural practices.</b> | <b>5</b>    |
| <b>1.3.3 Component 3: Promote diversified utilization and consumption of OFSP amongst SOSPPA members and communities, and in current and new markets.</b>  | <b>7</b>    |
| <b>1.3.4 component 4: Strengthen SOSPPA’s governance and management capacities to deliver services to its members</b>  | <b>8</b>    |
| <b>2 Institutional and Coordination Arrangements</b>   | <b>9</b>    |
| <b>3 Policy, legal and regulatory framework</b>  | <b>10</b>   |
| <b>3.1 Policy Framework</b>  | <b>10</b>   |
| <b>3.1.1 The National Environment Management Policy 1994-NEMP</b>  | <b>10</b>   |
| <b>3.1.2 National Development Plan III</b>   | <b>10</b>   |
| <b>3.1.3 National Agricultural Policy (NAP) 2013</b>   | <b>10</b>   |
| <b>3.1.4 The National Gender Policy, 1997</b>  | <b>10</b>   |
| <b>3.1.5 National Policy on Elimination of Gender-Based violence, 2016</b>   | <b>10</b>   |
| <b>3.1.6 The Uganda food and nutrition Policy, 2003</b>  | <b>11</b>   |
| <b>3.1.7 The National Land Use Policy</b>  | <b>11</b>   |
| <b>3.1.8 The National climate change Policy, 2013</b>  | <b>11</b>   |
| <b>3.2 Legal Framework</b>   | <b>11</b>   |
| <b>3.2.1 The Constitution of the Republic of Uganda, 1995</b>  | <b>11</b>   |
| <b>3.2.2 The National Environment Act 2019</b>   | <b>11</b>   |
| <b>3.2.3 Local Governments Act, Cap 243</b>  | <b>12</b>   |
| <b>3.2.4 The Public Health Act Cap. 281</b>  | <b>12</b>   |
| <b>3.2.5 Occupational Safety and Health Act N<sup>o</sup>. 9, 2006</b>   | <b>12</b>   |
|  | <b>ii</b>   |

|           |   |           |
|-----------|---|-----------|
| 3.2.6     | The Employment Act, 2006  | 12        |
| 3.2.7     | The Workers Compensation Act, Cap 225   | 12        |
| 3.2.8     | Uganda National Bureau of Standards Act, Cap. 327                                     | 12        |
| 3.2.9     | The Food and drugs Act, 2003  | 13        |
| 3.2.10    | Regulations   | 13        |
| <b>4.</b> | <b>ESMF PROCEDURES AND KEY INSTRUMENTS TO ADDRESS ENVIRONMENTAL AND SOCIAL ISSUES</b> | <b>15</b> |
| 4.1       | Environmental and Social Screening and Risk Classification                            | 15        |
| 4.2       | Environmental and Social Assessment Process   | 15        |
| 4.2.1     | Step 1: Screening of Activities and Sites   | 16        |
| 4.2.2     | Step 2: Assigning the appropriate Environmental Categories                            | 16        |
| 4.2.3     | Step 3: Carrying out Environmental Assessment   | 16        |
| 4.2.4     | Step 4: Public Consultations and Disclosure   | 17        |
| 3.2.11    | Step 5: Review and Approval   | 17        |
| 4.2.6     | Step 6: Environmental and Social Monitoring   | 18        |
| 4.2.7     | Exclusions List   | 18        |
| 4.3       | World Bank Environmental and Social Framework 2018                                    | 19        |
| 4.3.1     | ESS1: Assessment and Management of Environmental and Social Risks and Impacts         | 19        |
| 4.3.2     | ESS2 Labour and Working Conditions  | 19        |
| 4.3.3     | ESS3 Resource Efficiency and Pollution Prevention and Management                      | 19        |
| 4.3.4     | ESS4 Community Health and Safety  | 20        |
| 4.3.5     | ESS5 Land acquisition, restrictions on land use and involuntary resettlement          | 20        |
| 4.3.6     | ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources | 21        |
| 4.3.7     | ESS8 Cultural Heritage  | 21        |
| 4.3.8     | ESS10 Stakeholder Engagement and Information Disclosure                               | 21        |
| <b>5.</b> | <b>PROJECT BASELINE DESCRIPTION</b>   | <b>23</b> |
| 5.1       | Project beneficiary districts   | 23        |
| 5.2       | Key environmental and social Characteristics in the TESO sub-region                   | 23        |
| 5.2.1     | Teso sub-region   | 23        |
| <b>6.</b> | <b>Potential Environmental and social risks and mitigation</b>                        | <b>27</b> |
| 6.1       | envisaged positive environmental and social impacts                                   | 27        |
| 6.2       | potential-generic NEGATive environmental and social IMPacts and mitigation measures   | 27        |
| 6.3       | Other Environmental and Social Risk Management Instruments prepared for the project   | 34        |
| 6.3.1     | Fertiliser and Pest Management Plan   | 35        |
| 6.3.2     | Labor Management Procedures   | 35        |
| 6.3.3     | Overall Project Grievance Redress Mechanism   | 35        |
| 6.3.4     | Managing Risks and Impacts of CORONA VIRUS DISEASE (COVID-19)                         | 38        |

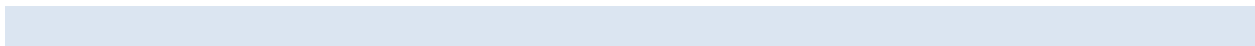
|                  |  |            |
|------------------|--|------------|
| <b>6.0</b>       | <b>Monitoring and Evaluation</b>   | <b>38</b>  |
| <b>7.0</b>       | <b>General Capacity Development for Management of Environmental and Social Risks and Impacts</b>                       | <b>41</b>  |
| <b>7.1</b>       | <b>Capacity Assessment Needs</b>   | <b>41</b>  |
|                  | <b>7.2 Training in Environmental and social safeguards implementation</b>  | <b>42</b>  |
| <b>7.3</b>       | <b>ESMF Disclosure</b>   | <b>43</b>  |
| <b>8</b>         | <b>ANNEXES</b>   | <b>45</b>  |
| <b>Annex 1:</b>  | <b>screening form for potential Environmental and Social issues</b>  | <b>45</b>  |
| <b>Annex 2:</b>  | <b>exclusion list</b>  | <b>50</b>  |
| <b>Annex 3:</b>  | <b>preparation of Project brief, esmp and monitoring plan</b>  | <b>51</b>  |
|                  | <b>ANNEX 4: SUBPROJECT ENVIRONMENT AND SOCIAL MANAGEMENT PLAN</b>  | <b>55</b>  |
| <b>annex 5:</b>  | <b>FERTILISER AND Pest Management Plan</b>   | <b>61</b>  |
|                  | <b>ANNEX 6: LABOUR MANAGEMENT PROCEDURES</b>   | <b>69</b>  |
|                  | <b>ANNEX 7: HEALTH AND SAFETY MANAGEMENT PLAN AND CODE OF CONDUCT FOR WORKERS</b>                                      | <b>73</b>  |
|                  | <b>ANNEX 8: CHANCE FINDS PROCEDURE</b>   | <b>77</b>  |
|                  | <b>ANNEX 9: Actions taken by GOU to Ensure Non-Discrimination</b>  | <b>78</b>  |
|                  | <b>ANNEX 10: Enhanced Implementation Support and Monitoring of Non-Discrimination</b>                                  | <b>90</b>  |
| <b>Annex 11:</b> | <b>GUIDELINES FOR IMPLEMENTING ADDITIONAL MITIGATION MEASURES</b>  | <b>95</b>  |
| <b>Annex 12:</b> | <b>VOLUNTARY LAND DONATION GUIDELINES/PROTOCOL</b>   | <b>101</b> |
|                  | <b>ANNEX 13: MINUTES OF SERERE DISTRICT LOCAL GOVERNMENT COUNCIL MEETING DURING WHICH LAND WAS ALLOCATED TO SOSPPA</b> | <b>107</b> |

## ACRONYMS AND ABBREVIATIONS

|        |  |
|--------|--|
| ACB    | Agricultural Chemicals Control Board           |
| ACCE   | Area Commodity Cooperative Enterprise          |
| ACDP   | Agricultural Cluster Development Project       |
| AHA    | Anti-Homosexuality Act, 2023                   |
| AWP&BS | Annual Work Plans and Budgets                  |
| BDS    | Business Development Services                  |
| CAO    | Chief Administrative Officer                   |
| CSA    | Climate Smart Agriculture                      |
| DA     | Designated Account                             |
| DPOs   | District Production Officers                   |
| EISM   | Enhanced Implementation Support and Monitoring |
| E&S    | Environmental and Social                       |
| ESCP   | Environmental and Social Commitment Plan       |
| ESMF   | Environmental and Social Management Framework  |
| ESMP   | Environmental and Social Management Plan       |
| ESSH   | Environmental, Social, Safety and Health       |
| FAO    | Food and Agriculture Organization              |
| FEWs   | Frontline Extension Workers                    |
| FFSs   | Farmer Field Schools                           |
| FM     | Financial Management                           |
| FMA    | Financial Management Assistant                 |
| FMIS   | Financial Management Information System        |
| FMS    | Financial Management Specialist                |
| GDP    | Gross Domestic Product                         |
| GRM    | Grievance Redress Mechanism                    |
| GoU    | Government of Uganda                           |
| HSE    | Health, Safety and Environmental               |
| IDA    | International Development Association          |

|         |  |
|---------|--|
| IGG     | Inspector General of Government                            |
| MAAIF   | Ministry of Agriculture, Animal Industry and Fisheries     |
| M&E     | Monitoring and Evaluation                                  |
| MIS     | Market Information System                                  |
| MoFPED  | Ministry of Finance, Planning and Economic Development     |
| MGLSD   | Ministry of Gender, Labour and Social Development          |
| MLG     | Ministry of Local Government                               |
| MoLHUD  | Ministry of Land, Housing and Urban Development            |
| MoU     | Memorandum of Understanding                                |
| MTIC    | Ministry of Trade, Industry and Cooperatives               |
| MWE     | Ministry of Water and Environment                          |
| NDP     | National Development Plan                                  |
| OHS     | Occupational Health and Safety                             |
| OFSP    | Orange Fresh Sweet Potato                                  |
| PA      | Producer Association                                       |
| PB      | Project Briefs   |
| PCU     | Project Coordination Unit                                  |
| PDO     | Project Development Objective                              |
| PDM     | Parish Development Model                                   |
| POM     | Project Operational Manual                                 |
| PMP     | Pest Management Plan                                       |
| PP      | Procurement Plan   |
| PPDA    | Public Procurement and Disposal of Public Assets Authority |
| PPSD    | Project Procurement Strategy for Development               |
| PS      | Permanent Secretary  |
| SEA/GBV | Sexual Exploitation and Abuse/ Gender-Based Violence       |
| SLM     | Sustainable Land Management                                |
| SOSPPA  | Soroti Sweet potato Producers and Processors Association   |
| SMSs    | Subject Matter Specialists                                 |
| STEP    | Systematic Tracking of Exchanges in Procurement            |
| SWC     | Soil and Water Conservation                                |

|      |                                     |
|------|-------------------------------------|
| ToRs | Terms of Reference                  |
| ToTs | Trainer of Trainers                 |
| UBoS | Uganda Bureau of Statistics         |
| UNBS | Uganda National Bureau of Standards |
| UNHS | Uganda National Household Survey    |



## GLOSSARY OF TERMS

- ❖ **Cumulative impacts/effects:** The total effects on the same aspect of the environment resulting from several activities or projects.
- ❖ **Developer/Proponent/Sponsor:** The entity – person/ company/ agency -proposing to develop/implement/install a new project/sub- project or expand an existing project.
- ❖ **Direct impacts:** An effect on the environment brought about directly by the project or subprojects.
- ❖ **Disclosure:** Information availability to all stakeholders at all stages of the development of projects. Includes disclosure of project documents.
- ❖ **Environment:** Physical, biological, and social components and processes that define our surroundings.
- ❖ **Environmental Impact Assessment (EIA):** A comprehensive analysis of the project and its effects (positive and negative) on the environment and a description of the mitigation actions that will be carried out to avoid or minimize these effects.
- ❖ **Environmental monitoring:** The process of examining a project on a regular basis to ensure that it complies with an Environmental Management Plan (EMP).
- ❖ **Food security:** Exists when all people, always have physical, social and economic access to sufficient, safe and nutritious food to meet their dietary needs and food preferences for an active and healthy life.
- ❖ **Gender-Based Violence (GBV):** An umbrella term for any harmful act that is perpetrated against a person’s will and that is based on socially ascribed (gender) differences between males and females.
- ❖ **Gender equality:** Means that all human beings, both men and women, are free to develop their personal abilities and make choices without the limitations set by stereotypes, rigid gender roles and prejudices. That the different behavior, aspirations and needs of women and men are considered, valued and favored equally. That their rights, responsibilities, and opportunities will not depend on whether they are born male or female.
- ❖ **Gender equity:** Fairness of treatment for women and men, according to their respective needs. This may include equal treatment or treatment that is different, but which is considered equivalent in terms of rights, benefits, obligations and opportunities. Equity is a means to gender equality.
- ❖ **Gender roles:** These are learned activities, tasks and responsibilities which people are conditioned to perceive as male or female. Gender roles can be categorized into three; i) productive gender roles, ii) reproductive gender roles, and iii) community management gender roles. Also known as the women’s triple role.
- ❖ **Grievance:** An issue, concern, problem, or claim related to the Project (perceived or actual) that an individual or community group wants a company or contractor to address or resolve.
- ❖ **Impact:** A positive or negative effect that a Project/an activity can have on an aspect of the environment.
- ❖ **Indirect impact:** A positive or negative effect that a project indirectly has on an aspect of the environment.
- ❖ **Involuntary resettlement:** The forceful loss of land resources resulting from a project activity that requires individuals, families and/or groups to move and resettle elsewhere.

- ❖ **Lead agency:** The agency with primary responsibility for the protection of the environment. For instance, the lead agency for environment matters in Uganda is Uganda Environment Management Authority (NEMA).
- ❖ **Mitigation measures:** The actions identified in an Environmental and Social Impact Assessment (ESIA) or EIA to negate or minimize the negative Environmental and Social (E&S) impacts that a Project may have on the environment.
- ❖ **World Bank Environmental and Social Standards (ESSs):** Set of 10 Standards that set out the requirements for Borrowers relating to the identification and assessment of E&S risks and impacts associated with projects supported by the Bank through Investment Project Financing.
- ❖ **Patriarchy:** The word ‘Patriarchy’ comes from Latin word Pater, which means Father; most often refers to political power and authority of males in society. Father rule, it is the structuring of society based on family units where fathers have primary responsibility for the welfare of and hence authority over their families.
- ❖ **Perpetrator:** A person, group or institution that inflicts, supports or condones violence or other abuse against a person or groups of persons.
- ❖ **Pests** – Commonly include harmful insects, mites, ticks, weeds, bacteria, fungi, rodents, birds, and others.
- ❖ **Pesticide** – From “pest” and “cide” (a Latin derivative meaning killer), a natural or synthetic chemical agent that kills or in some ways diminishes the action of pests. It is a general term that includes herbicides, insecticides, nematicides, fungicides, antibiotics, rodenticides, plant growth regulators, etc.
- ❖ **Pest management** – Any deliberative action to prevent or reduce the density or harmful effects of a pest population.
- ❖ **Pesticide management** – Deliberative actions to reduce the harmful effects of pesticides; includes legislation and regulations as well as safe application, storage, and disposal.
- ❖ **Pesticide resistance** – Genetic qualities of a pest population that enable individuals to resist the effects of certain types of pesticides that are toxic to other members of that species.
- ❖ **Pollution:** Contamination alters the state of purity (e.g., chemical effluent discharge into a surface water body).
- ❖ **Project Brief:** The initial document submitted to NEMA to initiate the process that will lead to the issuance of the EIA certificate of approval.
- ❖ **Scoping:** The initial stage in an environmental assessment that determines the likely major environmental parameters that will be affected and the aspects of the project that will bring upon these effects.
- ❖ **Screening:** An initial step when a project is being considered for environmental assessment. The screening is the determination of the level of assessment that will be conducted.
- ❖ **Sexual abuse:** Refers to the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. Therefore, Sexual Exploitation and Abuse (SEA) occurs against a beneficiary or vulnerable member of the community.

- ❖ **Sexual exploitation:** Consists of any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including but not limited to, profiting monetarily, socially, or politically from the sexual exploitation of another.
- ❖ **Sexual harassment:** Defines any behaviour of a sexual nature that affects the dignity of women and men, which is considered as unwanted, unacceptable, inappropriate and offensive to the recipient, and that creates an intimidating, hostile, unstable or offensive work environment.
- ❖ **Significant effect:** An important impact on an aspect of the environment.
- ❖ **Stakeholder:** Any person or group that has an interest in the Project or is likely to be affected by the Project.
- ❖ **Survivor:** A preferred term for a person who has lived through an incident of Gender-Based Violence and Violence-Against Children.
- ❖ **Suspect:** A person believed to be guilty of a specified offence or crime without proof.
- ❖ **Violence-Against Children (VAC):** Refers to “any act of violence that results in, or is likely to result in, physical, sexual and psychological harm to children, whether occurring in private or in public. Other harmful acts are included such as early marriages.

The proposed **Strengthening Productive Capacity and Resilience of Smallholder Sweet potato Producer Organizations in Uganda** Project is expected to provide strong market opportunities for expanding and diversifying production and value addition of sweet potato and other crops grown by its members. For sweet potato, Soroti Sweet potato Producers and Processors Association (SOSPPA) will utilize technologies and management practices developed by its partners, including the International Potato Center (CIP), to accelerate product development and marketing based on a solid understanding of market demand.

In March 2024, following the enactment of the Anti-Homosexuality Act, 2023 (AHA), this document and its annexes include specific measures to mitigate the risk of discrimination against or exclusion of any affected individuals and groups in providing benefits in World Bank–financed projects and programs in Uganda. These measures are described in various sections of this document including Section 4.2 and Annexes 8 and 9.

**The Project Development Objective (PDO)** is to increase production and consumption of sweet potato and build the resilience of the smallholder producers and processors for economic value addition in project areas.

The project will be implemented in six (6) districts of Teso sub-region namely Serere, Katakwi, Bukedea, Ngora, Soroti and Amuria with an expected total of 20,029 direct beneficiaries including farmers (comprising youth), Pregnant and Lactating Women (PLW) and under-2 children.

**The proposed Project comprises the following components:**

**Component 1:** Improve market access and farm incomes for SOSPPA farmers through Orange Fresh Sweet Potato (OFSP) marketing, processing, and value addition supported by effectively managed facilities and trainings (US\$ 0.680,641 million).

**Component 2:** Increase productivity and production of sweet potato roots and vines, and other nutritious crops, amongst SOSPPA farmers with yield-enhancing inputs, improved and climate smart agricultural practices (US\$ 0.597,706 million).

**Component 3:** Promote diversified utilization and consumption of OFSP products amongst SOSPPA members and in current and new markets (US\$ 0.616,320 million).

**Component 4:** Strengthen SOSPPA’s governance and management capacities to deliver services to its members (US\$ 0.438,666 million).

The Project is being prepared under the World Bank’s Environmental and Social Framework (ESF). As part of project appraisal process, this Environmental and Social Management Framework (ESMF) is prepared to provide guidance on how E&S aspects shall be identified, assessed and managed. The ESMF aims to (a) assess the potential E&S risks and impacts of the proposed Project and propose mitigation measures; (b) establish procedures for the E&S screening, review, approval, and implementation of activities; (c) specify appropriate roles and responsibilities, and outline the necessary reporting procedures, for managing and monitoring E&S issues related to the activities; (d) identify the staffing requirements, as well as the training and capacity building needed to successfully implement the provisions of this ESMF; (e) address mechanisms for public consultation and disclosure of project documents as well as redress of possible grievances; (f) provide guidelines for the mitigation of the potential negative impacts (including exclusion and discrimination of the vulnerable or marginalized individuals or groups and for monitoring compliance (with additional

guidance on enhancing implementation support and monitoring of measures towards inclusion and non-discrimination) with the relevant Environment and Social Standards (ESSs) of the ESF and (f) establish the budget requirements for implementation of the ESMF.

**Potential Project E&S risks and impacts** include; unsafe working tools, working without adequate protection may result into minor or major accidents or incidents and related risks of poor wages; unlevelled site posing a risk of increased soil erosion; poor disposal of sewer posing a risk of spread of communicable diseases; lack of traffic management procedures and transport safety measures resulting into road accidents; rapid spread of STDs/HIV at the construction site; poor food hygiene practices posing a risk of food contamination and public health notification; inadequate resources at household level posing a risk of child labor; exclusion of vulnerable groups from participation due to inadequate stakeholder engagement, increased instances of Gender Based Violence due to changes in income, poor liquid and solid waste management; noise pollution; and dust emissions among others. Additionally, there is a risk of discrimination against vulnerable or marginalized individuals or groups. Potential risk of discrimination: from employment in a project, the benefits of the project or due to age, gender, ethnicity, disability, etc.

**Proposed mitigation measures include** provision of emergency response procedures and systems; appropriate safety and health training; provision of emergency response services to include first Aid, fire response and management; provision of a fully stocked first aid box; trained and available emergency response team including first aiders, fire responders; proper electrical safety; provision of adequate ventilation; provision of adequate lighting system; provision of appropriate and adequate personal protective gears to workers; provision of wholesome water; provision of workers' change room separate for respective gender; provision of adequate and appropriate washrooms and toilet facilities; display of safety signage and procedures; proper land scaping and leveling; provision of appropriate drainage for smooth water flow; provision of rain water harvesting system; planting of grass; deployment of trained and competent drivers with valid driving permits; proper vehicle maintenance; sensitization on HIV/AIDS; maintain a functional Hazard Analysis Critical Control Point (HACCP) system and employing only certified food handlers among others.

The risk of exclusion or discrimination for individuals or groups who may be vulnerable or marginalized will be addressed through the provision of enhanced monitoring of the risk by the World Bank through Enhanced Implementation Support and Monitoring (EISM). This also follows GoU's guidance and action to ensure inclusion and non-discrimination in all World Bank funded projects in the country. In view of the above provision, service providers will also be recruited to provide capacity building on non-discrimination to all relevant stakeholders. The World Bank has hired an international firm, which is working with Ugandan CSOs on ongoing World Bank-financed projects to undertake an EISM and strengthen Project-level GRMs to ensure they include an effective, safe, ethical, and confidential mechanism to receive, manage, refer and monitor grievances related to exclusion and discrimination. The firm will also provide support for enhanced monitoring of the risk of exclusion or discrimination for individuals or groups who may be vulnerable or marginalized. The Strengthening Productive Capacity and Resilience of Smallholder Sweet potato Producer Organizations in Uganda Project has been designed to also benefit from the services of the EISM firm once the Project becomes operational. The Project Implementation Manual (PIM) will also detail the mitigation of the risk of exclusion and discrimination alongside with other assessed risks above. Further details of the GRM support and enhanced monitoring from the Firm can be found in Annexes 9 and 10.

## **Implementation arrangements**

This ESMF together with its accompanying instruments including the Stakeholder Engagement Plan (SEP) and the Environmental and Social Commitment Plan (ESCP) have been enhanced with documentation of the risk of exclusion and discrimination and its recommended mitigation measures. The entire ESMF and all the relevant instruments/documents/tools mentioned above have been enhanced to include the risk of exclusion and discrimination and recommended mitigation measures in accordance with EISM (Annex 9) and Guidelines for implementing additional mitigation measures (Annex 10).

This ESMF will be implemented alongside other instruments and plans prepared for the Project, including the SEP, the ESCP, Pesticides Management Plan and related Waste Management Plan, Technical Note COVID-19 Considerations in Construction/Civil Works Projects (Annex 6); Health and Safety Management Plan and Code of Conduct for Construction Workers (Annex 7); Labour Management Procedures (Annex 5), Voluntary Land Donation Protocol (VLD) (Annex 11), FAO/WHO General Principles of Food Hygiene, and site specific Environmental and Social Management Plans (ESMPs) and Monitoring templates (Annex 2).

Project implementation will involve several institutions notably SOSPPA, CIP, community, and schools and colleges. SOSPPA will be the lead implementing agency with the primary operational guidance and implementation functions. A Project Operations Manual (POM) will describe institutional relationships at both national and district levels; their roles and responsibilities; the development and approval of Action Plans and Annual Workplans and Budgets (AWP/B). Regarding EISM, as mentioned earlier, an international firm in collaboration with Ugandan CSOs (as service providers) have been procured to sensitize and provide capacity building on non-discrimination to all relevant stakeholders in accordance with the EISM.

### **Capacity Building**

As regards to the capacity on ESS, the Ministry of Agriculture, Animal Industry and Fisheries (MAAIF) through the completed Agriculture Cluster Development Project (ACDP) built capacity of Agriculture Extension Officers, District Agriculture officers, and District Production Officers within the participating project Local Governments (LGs). Capacity building trainings focused on identification, and implementation of ESSs in the Agricultural Sector will be undertaken. A Project Coordination Unit (PCU) shall be established within SOSPPA - headed by a Project Coordinator. The other key staff for the PCU shall include OFSP Puree Processing Manager, Silage Processing Manager, Marketing Manager, Agronomist, Environment Specialist, Social Specialist, Accountant, and M&E Specialist and shall be responsible for overall Project implementation and technical guidance. The project shall also procure short-term consultants to support capacity building on the ESF.

To effectively implement the ESMF and other E&S instruments prepared for the Project, participating District LGs, Sub-Counties, and participating Community Groups shall need to enhance their basic skills and understanding of general E&S dimensions and with specific reference to the World Bank ESF requirements under which this Project has been prepared. Additionally, the participating entities will also benefit from building their capacity through a training aimed at enhancing implementation support and monitoring to manage the risks associated with exclusion and discrimination of the vulnerable or marginalized individuals or groups in the Project area. The overall objective will be to build and strengthen the institutional capacity of the implementing agencies to better support the development and integration of E&S measures into the Project.

## **Grievance Redress Mechanism**

The World Bank will support the strengthening of the Grievance Redress Mechanism (GRM) to ensure it includes an effective, safe, ethical, and confidential mechanism to receive, manage, refer, and monitor grievances related to exclusion and discrimination. For vulnerable or marginalized individuals or groups, the management of grievances will be guided by EISM and its implementing entity, collaborating with NGOs/CSOs to enhance access to and monitoring of the grievance mechanism.

As may be found appropriate, separate consultations and/or outreach activities will be organized for vulnerable or marginalized individuals or groups. EISM GRM is an alternative to lodging complaints through a GOU led Project-level GRM. The EISM GRM shall ensure mitigation of the potential impacts to vulnerable or marginalised individuals or groups through the following:

- Enhance existing project-level GRMs to safely, ethically, and confidentially receive cases related to discrimination on World Bank/IFC financed operations and refer them to an appropriate grievance handling mechanism.
- Design and operate a mechanism for receiving grievances related to discrimination on World Bank-financed operations (including from project-level grievance mechanisms noted above).
- Establish a hotline or an alternative complaint mechanism, for individuals to lodge complaints of discrimination on World Bank-financed projects or voice their concerns without fear of reprisal. As indicated earlier, a hotline (0800 333125) hosted and operated by a local NGO on behalf of the EISM firm has been established for vulnerable or marginalized individuals or groups to lodge their complaints of discrimination. The guidelines on how the hotline will be used and cases managed are outlined in Annexes 9 and 10. This will also be embedded in the Project Operational Manual (POM). Further details of this support can be found in Annex 9.

**Budget:** Implementation of the ESMF will cost Ug Shs. 108,000,000 for the entire project duration.

## 1.1 PROJECT BACKGROUND AND CONTEXT

Following the World Bank Group's communication of its concerns with the enactment of the AHA, the Government of Uganda issued five Circulars (see Annex 8). Of particular importance is the Circular on Uganda's Social Safeguard Policies issued on September 21, 2023, by the Ministry of Finance Planning and Economic Development, to all Accounting Officers, Ministries, Departments and Agencies and Local Governments which states that:

- *“All World Bank-financed projects must be implemented in a manner consistent with the principles of non-discrimination as provided Article 21 of the Constitution of the Republic of Uganda. These projects should also be implemented in accordance with World Bank policies and applicable Legal Agreements.*
- *Under these projects, no one will be discriminated against or stigmatized, and the principles of non-discrimination and inclusion will be adhered to. Support should be provided to all project beneficiaries.*
- *All implementing entities of World Bank projects will implement specific mitigation measures to address non-discrimination.*
- *These mitigation measures will require enhancing project grievance redress mechanisms as well as strengthening existing project monitoring by implementing entities including third-party monitoring where applicable.*
- *Each project implementation entity shall develop comprehensive guidelines to address non-discrimination.”*

The E&S risk management documents including this ESMF identify the additional risks and describe mitigation measures to address these risks. They include the implementation, monitoring, and reporting arrangements, and roles and responsibilities to assess the efficacy of the additional mitigation measures being implemented as defined in Annexes 9 and 10. They also include the risks identified in the public consultations on these documents involving the Government of Uganda and Civil Society Organizations (CSOs).

Noteworthy is that the World Bank will provide support to the GoU (through the EISM including a Third-Party Entity to support its implementation and monitoring of this project), particularly its Project Coordination Units, to help them to implement the additional mitigation measures for this project.

Ugandan economy had achieved consistent progress in the last six decades, especially before COVID-19 with an average growth rate of 5.5 percent<sup>1</sup>.

**However, the country's Agriculture sector registered a turnover decline** due to a sharp reduction in volumes produced, which had been exacerbated by fewer distribution points due to COVID-19 related travel restrictions<sup>2</sup> as well as weekly and monthly market closures, difficulties in accessing agricultural inputs, and large fluctuations in food prices caused by the pandemic and the ongoing Russia-Ukraine war. COVID-19 also affected agricultural households' ability to sell their outputs due to the disruption in the respective value chains.

---

<sup>1</sup> <https://data.worldbank.org/indicator/NY.GDP.MKTP.KD.ZG?locations=UG>.

Ibid, 2014.

<sup>2</sup> Uganda COVID-19 Impact Monitoring Report of High Frequency Phone Survey on COVID – 19, UBOS, 2021.

**Persistent vulnerabilities and wide-regional disparities** have been evidenced in attaining the required poverty reduction targets with the proposed Project area (Teso sub-region) – registering the highest poverty levels (1.00 USD per day) at 53% compared to the previous NDPII target of 14.2%. Households in the six districts depend largely on crop agriculture as their biggest source of income and this circumstance highlights the urgent need for an industrialization strategy to add value to agricultural produce. At the same time, the mitigation of natural disasters caused by climate change and its negative effect on poverty reduction strategies needs to be integrated into future planning.

**Project Context.** The Teso sub-region (Project area) has a population of about 2.5 million people, 70 percent<sup>3</sup> of whom are youth (35 years or younger) with more than 50 percent of agricultural households experiencing food shortages. This sub-region is the largest producer of sweet potato, which is their staple food (UBOS, 2019). However, immediate, mid-term and long-term negative effects of COVID-19 on production and processing of foods, commodity prices, household incomes of farmers, and diet quality in the sub-region have been observed. These outcomes further compounded the pre-COVID-19 challenges for smallholder-based agricultural value chains in Uganda stemming from high input and transaction costs in addition to limited investments in infrastructure and services.

The Strengthening Productive Capacity and Resilience of Smallholder Sweet potato Producer Organizations in Uganda Project will be financed through a **grant amount of US\$2.33 million** from the **Global Agricultural and Food Security Program (GAFSP)**. The Project will be implemented by SOSPPA as the lead implementing agency with capacity building support from CIP in Uganda.

The proposed Project will respond to the impacts of COVID-19 to food, nutrition, and income security by supporting SOSPPA to increase its investment in production, processing, and value addition of biofortified OFSP products. This project will strengthen the organizational capacity and professional performance of SOSPPA to support their member farmers. The support will entail technical, business, and financial services to increase farm productivity and economic value of harvested crops which will significantly build the resilience of the rural economy and livelihoods in the Teso sub-region of Eastern Uganda to climate change shocks including COVID-19 impacts. It will also provide strong market opportunities for expanding and diversifying production and value addition of sweet potato and other crops grown by its members. For sweet potato, SOSPPA shall utilize technologies and management practices developed by its partners, including the CIP, to accelerate product development and marketing based on a solid understanding of market demand.

## 1.2 PROPOSED PROJECT DEVELOPMENT OBJECTIVE AND KEY RESULTS

### 1.2.1 PROPOSED PROJECT DEVELOPMENT OBJECTIVE (PDO)

To increase production and consumption of sweet potato and build the resilience of the smallholder producers and processors for economic value addition in project areas.

### 1.2.2 PDO LEVEL RESULT INDICATORS

The key indicators at the PDO level are:

---

<sup>3</sup> Akampumuza et al., 2020.

- (i) Percentage of beneficiary farmers reached and have adopted new OFSP technologies in the project areas.
- (ii) Percentage of vulnerable households (or, children 6-23 months) with minimum dietary diversity (Disaggregated by PLW and age); and
- (iii) Percentage of SOSPPA members participating in OFSP value-added activities in project areas.

### 1.2.3 PROJECT BENEFICIARIES

The project will be implemented in six districts of Serere, Katakwi, Bukedea, Ngora, Soroti and Amuria with an expected target of 20,029 direct beneficiaries including farmers (comprising youth), PLW and under-2 children. The Project will target 1,200 smallholder farmers in Serere district who are currently enrolled as members of SOSPPA comprising 50% women, 40% men, and 10% youth, and are organized in groups. In addition, 1,500 new beneficiary farmers in five new operation districts namely Katakwi, Bukedea, Ngora, Soroti, and Amuria will be enrolled in the Project following the current SOSPPA membership eligibility criteria<sup>4</sup>, and organized into groups through which they will be reached to the project interventions.

The project interventions will be implemented at group level by master trainers (e.g. Executive Committee/Operational staff. On average, 3,000 primary school and college students are currently benefiting from SOSPPA with fresh roots supplied and will continue to be targeted.

Primary schools will be used as the entry point for demand creation activities (e.g. setting up OFSP demonstration plots and school gardens) aimed at reaching schools and colleges in new operation districts to grow this market segment. Indirect beneficiaries will include consumers of processed micronutrient-rich products such as puree and pasta products to be sold in local markets.

All beneficiaries will be trained and sensitized in ensuring inclusiveness and non-discrimination of each other. Tailor-made training in respect of EISM will be planned and undertaken by a procured entity.

## 1.3 PROJECT COMPONENTS AND ACTIVITIES

The project components with their respective environmental and social risks are described below.

### 1.3.1 COMPONENT 1: IMPROVE MARKET ACCESS AND FARM INCOMES FOR SOSPPA FARMERS THROUGH OFSP MARKETING, PROCESSING, AND VALUE ADDITION SUPPORTED BY EFFECTIVELY MANAGED FACILITIES AND TRAININGS.

In this component, the project will focus on the following key activities.

- (i) *Sub-component 1.1. Upgrading OFSP value addition and processing into nutritious products for low, middle, and high-end markets.* In this subcomponent the project will: undertake a market assessment to identify most promising and profitable market segments through its designated market agents (these will be two agents per district). Currently SOSPPA has market agents in Soroti, Ngora/ Kumi, Mbale, and Serere districts although without any binding agreement or

<sup>4</sup> SOSPPA membership eligibility criteria: 1) a farmer (male or female) from the geographical area covered by the Association, 2) a cultivator of roots crops (cassava and sweet potato), and 3) a smallholder farmer with 1 acre of land or less.

contract that would guide their mode of operation. Through its linkage with existing research institutions such as Kawanda- National Agricultural Research Organisation (NARO), Makerere University Kampala (MUK) Food Science Laboratory (MoU expired) and Kenya Food and Nutrition Evaluation Laboratory, SOSPPA will develop and test commercial value added OFSP products including laboratory analysis to assess the nutritional composition of processed products; and in respect to OFSP value addition, SOSPPA will construct a processing facility focused on upgrading OFSP processing activities into profitable commercial business. This facility will be constructed on a half an acre of land that is under the ownership of SOSPPA as allocated by the Serere District LG (Annex 12 Serere District Council and Kyere Town Council documentation allocating land to SOSPPA). ESS screening will be taken to identify potential ESS risks and respective mitigation measures for integration into the ESMP. Site specific ESMP will be implemented by the contractor during construction. The subcomponent will also facilitate training of SOSPPA members on equipment use and good food manufacturing practices complying with the requisite food industry standards, including Hazard Analysis and Critical Control Points (HACCP) to obtain certification by the Uganda National Bureau of Standards.

*ii. Sub-component 1.2: Expanding the market for fresh roots and quality vines*

As a strategy of deepening markets access, the proposed project will continue strengthening institutional markets (currently focusing on primary schools and colleges in Serere district only) while exploring new market opportunities by: expanding to other districts (Katakwi, Ngora, Soroti, Amuria, and Bukedea); extending the list of institutional markets to include secondary and high schools, prisons, and hospitals; targeting the expanded institutional markets offering a wider portfolio of OFSP products; and promoting the use of nutritious OFSP puree in the low-end informal markets, especially the street vendors. SOSPPA will have delegated transport with licensed drivers to transport sweet potato roots to available markets as guided by the market agents while other Farmer Organizations (Fos) will be responsible for their own transportation.

*iii. Sub-component 1.3. Converting by-products of OFSP processing to nutrition animal feed (namely, silage)*

In this sub-component the project will process by-products (such as non-marketable roots and vines that contain 19-22% crude protein) into nutritious animal feed through silage processing thus creating a market for the wastes and income for farmers. Specifically, the project will: establish sweet potato “silage processing hub<sup>5</sup>” in each of the six project districts to provide market for vines and waste roots generated by SOSPPA group members in the district. Participating in farming will be required to identify and provide land within a respective farm where the hub will be located. SOSPPA will construct shelter, dig the silage processing pit, provide the equipment and train farmers or operators on use of the equipment. An MOU detailing mode of operation, technical and financial management and linkage to potential buyers such as animal keepers will be signed by SOSPPA and farmer organisations. The project will also train youth, women, and men farmers on silage production, management, utilization and animal feed diversification, and advocacy for improved and cost-effective livestock productivity and to lobby for a better business environment. Moreover, it will provide training to the hubs on silage marketing to make them sustainable businesses.

---

<sup>5</sup> Silage hub will be set up based on the model developed by CIP, and currently in successful use in central and eastern Uganda by a youth group (the Bavubuka Tweekembe Youth Group) providing employment and income to the youth.

### 1.3.2 COMPONENT 2: INCREASE PRODUCTIVITY AND PRODUCTION OF SWEET POTATO ROOTS AND VINES, AND OTHER NUTRITIOUS CROPS, AMONGST SOSPPA FARMERS WITH YIELD-ENHANCING INPUTS, AND IMPROVED AND CLIMATE SMART AGRICULTURAL PRACTICES.

A year-round supply of fresh roots and vines is important to ensure processing facilities receive a continuous supply of roots and operate at full capacity. Under this component, SOSPPA's group members (25-30 farmers in each group) will continue producing sweet potato roots and planting material while managing weather risks and boosting processing and value addition initiatives.

(i) Sub-Component 2.1. Strengthening capacity of vine multipliers to provide quality seeds/vines to farmers. This sub-component will increase farmers' access to quality foundation seed by strengthening capacity of the existing ten vine-multipliers in Serere district, and recruiting and training two multipliers (1 male, 1 female) in each of the five new districts of operation. The project will link the vine multipliers with source of foundation seed, and certification services. Vine multipliers will also have access to a weather-based crop insurance scheme, which is to be repaid through vine/crop sales at a pre-determined rate as incorporated in the guidelines on vine multiplication and sweet potato production. The scheme will encourage investment in foundation seed, irrigation, and other complementary inputs (fertilizer and pesticides), increased yields and thus ensure year-round supply of vines and less dependence on rains. The weather insurance will enable multipliers to hedge against risks of crop failure caused by inadequate rains.

(ii) Sub-component 2.2: Establishing a digital interlinked gender responsive credit scheme by strengthening the capacity of SOSPPA's existing Savings and Credit Cooperative Society (SACCO) to better serve farmers, particularly women and youth-led enterprises, who need credit to invest in quality seed, irrigation facilities and/or to hire land. This scheme will be open to vines, silage, root producers, and support farmers to establish sweet potato agro-based businesses focused on processing and utilization. At the micro-level, it will support production of sweet potato-based silage to reduce the costs of livestock feed and fish; encourage investments in pig, fish, and other livestock production enterprises; and use of puree for value-added baked products (for example, *rolex*, cakes, bread/scones, mandazi, doughnuts, etc.). SOSPPA has since established a digital (smartphone) monitoring system which tracks loan issuance and repayment, currently operational in three farmer groups. Building on the credit scheme currently operational in four districts (Ngora, Serere, Kumi, and Bukedea), the project will specifically expand the scheme to the remaining two project districts (namely Katakwi and Amuria) and use of the established digital system (currently operational in three farmers groups) to closely monitor loan disbursement and repayments.

iii. Sub-Component 2.3. Redesigning and strengthening the crop insurance scheme. Like the credit scheme, members of SOSPPA will have access to a weather-based insurance scheme to cushion farmers from weather shocks to include hailstorms, drought, floods that have affected the Teso sub-region for years. The insurance will be provided in partnership with a private provider and will be repaid through sales of roots and vines.

iv. Sub-Component 2.4. Program for provision of advisory/extension services. SOSPPA, with technical backstopping from CIP and MAAIF/government extension services, will recruit 9 technical field assistants (FTAs) to: 1) provide technical and advisory services on agronomic practices, pest, and disease management to farmers; 2) monitor and document crop outlook, root quality, credit and insurance loans repayment; 3) implement a traceability system and oversee the grading/sorting of roots at group level; and 4) provide technical support to the silage hub operations

and silage quality. To make them effective in their roles, the FTAs will undergo Training of Trainers (ToT) using a manual on “Everything You Ever Wanted to Know About Sweet potato”, and another TOT specifically focusing on silage production, management, utilization (livestock feed supplementation with silage), and marketing. They will then cascade down the training to individual groups and silage hubs to build capacity of the farmers. Linkage with MAAIF extension services will foster ownership of the project, hence ensure sustainability.

v. Sub-Component 2.5 Promoting crop rotation to sustain soil/plant health and cropping systems.

To reinforce the crop rotation system in the project areas, the project through its FTAs will work closely with the government extension services to incorporate innovative crop rotation tips/techniques in the agronomic training as part of an integrated soil and crop management program. The project will specifically roll out training and routine extension services/visits to project members focusing on crop rotation, Good Agricultural Practices (GAP), and methods for conserving sweet potato-planting material during dry season using guidelines developed by the MAAIF and other available resources developed by CIP. Jointly with government frontline extension workers, the project will convene regular “plant clinics” to train farmers on the diagnosis of plant pests and diseases and use the training events to reinforce the need for crop rotation.

**Box 3: Environmental Protection by Conservation of Local Trees/Crops**

The project training will include a module on environmental protection to address one of the key drivers of climate change, notably tree cutting usually for charcoal burning. The trees being cut in the project districts are mostly Tamarind (rich in Vitamins B2 and B3) and Lemon (rich in Vitamin C), which are a source of nutritious ingredients to prepare sweet potato-based composite porridge and a popular local stiff porridge known as “atapa”. The project will therefore sensitize communities and households through training on the nutritional benefits and conservation and replantation needs of these trees. Furthermore, the project will link with the NaSARRI-funded initiative to develop tamarind-sweet potato recipes and products and test their viability for home use and commercialization through consumer studies. Conservation of these trees, and promotion of local dishes made from them, will have the dual role of protecting the environment and promoting the consumption of local sweet potato dishes thus strengthening the market for fresh and processed sweet potato roots.

vi. Sub-Component 2.6 Promoting high-yielding, drought-tolerant, early maturing, disease-resistant dual-purpose processing varieties.

The project will promote best-performing OFSP varieties selected from a wide range of varieties produced by CIP and partners in Uganda that are prolific and specifically bred for high root production. It will supply the needed roots for processing while also producing large amounts of vines for silage making. The early maturity (hence drought-escaping), drought tolerance, and disease/pest resistance traits will reduce losses caused by rainfall shortage, disease and pests, thus increasing farmers’ incomes.

### 1.3.3 COMPONENT 3: PROMOTE DIVERSIFIED UTILIZATION AND CONSUMPTION OF OFSP AMONGST SOSPPA MEMBERS AND COMMUNITIES, AND IN CURRENT AND NEW MARKETS.

Commercialization of staple foods can divert food from households to markets when production becomes profitable for the market. This can have a negative impact on the household food security. Nutrition education and awareness creation targeting families and communities linked to commercialization can be effective in addressing such negative outcomes. To that end, in collaboration with LG public health and agriculture departments in the target districts, this project will support the following activities to promote diversified utilization and consumption of OFSP:

#### *Sub-component 3.1: Developing and promoting community-based nutrition initiatives focusing on maternal and young (6-23 months) child feeding practices, hygiene and sanitation, and childcare.*

This project will reach its beneficiary households and their communities through coordinated or commissioned nutrition interventions, and market segments that buy SOSPPA roots through broader education campaigns. It will use a food basket approach that encourages households about dietary diversity by using locally available foods from kitchen gardens cultivating OFSP, vegetables and other nutrient rich crops. It will also strengthen products diversification for existing markets and demand creation for OFSP in unreached market segments. Specifically, the project will: create awareness through training on OFSP handling, food preparation, and child feeding; scale out the use of healthy baby toolkit (HBT) (for example, bowl, slotted spoon) for improving young child feeding of OFSP puree and other nutritious porridge; analyze food safety risks in young child feeding and adapt guidelines for improved food utilization to these consumers; and undertake strategic research to bridge knowledge gaps on young child feeding and adolescent diets in project areas.

#### *Sub-component 3.2: Designing and implementing promotional campaign to create and/or grow and deepen new (and existing) markets for OFSP processed consumer products and silage.*

The project activities to expand demand and introduce nutritional benefits of OFSP include: a) **nutrition education/messaging** comprises of field demonstrations activities, cooking demonstrations, community radio/local FM talk shows, training for children’s caregivers, home-gardening, and establish demonstration gardens in selected schools for community outreach following UMFSNP model; and b) **specific campaign programs** aimed at launching the new OFSP processed products both into informal/low-end retail markets (for fresh roots, boiled roots, *chappati*, and *rolex*) and the formal retail market/supermarkets (for bread, buns, mandazi, cakes, pasta), of which promotional activities contain high-profile launch of the processed OFSP products, TV and local radio advertisement of the products, billboards in high-traffic areas, celebrity endorsements of OFSP products, and display/distribute information on nutritional benefits of OFSP products.

#### *Subcomponent 3.3: Leveraging opportunities for market linkages with established businesses*

The project will explore potential market opportunities by linking SOSPPA’s processing and market investment with other businesses/companies, which already have established market shares in processed products, located closer to major urban markets with better infrastructure, and can use OFSP puree as a raw ingredient for making a variety of products (for example, popular sauces, ketchup, spaghetti, cakes and baby food). Hence, partnering with such companies, SOSPPA will have a channel to utilize their capacity for greater return for its members/farmers by supplying OFSP puree.

*Subcomponent 3.4: Promoting post-harvest conservation* of fresh roots and dried sweet potato chips (for example, locally known as *amukeke*) to extend the shelf life of these products.

#### 1.3.4 COMPONENT 4: STRENGTHEN SOSPPA’S GOVERNANCE AND MANAGEMENT CAPACITIES TO DELIVER SERVICES TO ITS MEMBERS

Although SOSPPA is well rooted in the rural economy of Serere district and has insight and understanding of the sweet-potato supply chain, its Executive Committee (ExCom) and operational staffs need to strengthen their capacity to handle larger businesses. This project will therefore implement capacity building activities that include **governance**, **managerial competence** and **technical capacity**. Refresher trainings on good agricultural practices and compliance with industry standards (good manufacturing practices, hazard analysis and critical control points, Uganda National Bureau of Standards – UNBS) will be conducted.

#### **Box 4: Building Back Better**

To address COVID-19 and climate change impacts and contribute to recovery of agriculture and food sectors in a changing climate, the project will put emphasis on: i) **Resilience** – As a climate smart and early maturing crop, sweet potato production will foster household and community adaptation to climate change effects manifesting as frequent droughts, erratic rainfall, and unpredictable rainfall patterns. Supporting the youth and project members to invest in business opportunities linked to sweet potato processing and utilization and linking them to markets for fresh and nutritious processed products will strengthen household and community resilience to the frequent and recurring shocks. ii) **Recovery from COVID-19**– This project will rebuild productive capacity of its beneficiary households, farmers, youth (especially girls), and community by increasing incomes from sales of fresh roots/vines and processed chips; and access to nutritious (vitamin A-rich) foods, which will allow them to build back better from the disruptive effects of the pandemic and repeated droughts on their livelihoods, the markets, agro food systems, and household/community welfare. iii) **Empowerment** – sweet potato is often referred to as a “woman’s crop” owing to the disproportionately large participation of women in its production. The project interventions benefitting women and young girls with empowerment includes training on Good Agricultural Practices (GAPs); access to credit and quality seed for improving business literacy; gender trainings; and nutrition education and counseling and cooking demonstrations to improve nutritional status. These strategies will not only increase household purchasing power but will also result in economic empowerment of women farmers.

## 2 INSTITUTIONAL AND COORDINATION ARRANGEMENTS

The Project implementation will involve both government and private institutions notably SOSPPA, CIP, DLGs of Serere, Katakwi, Bukedea, Ngora, Soroti and Amuria, MAAIF, Ministry of Gender, Labour and Social Development (MoGLSD), National Environment Management Authority (NEMA), Makerere University, Uganda Bureau of Statistics (UBOS), private markets, target communities, schools and tertiary institutions. The POM will describe institutional relationships at both national and district levels; their roles and responsibilities; the development and approval of Action Plans and Annual Workplans and Budgets (AWP/B).

| <b>Institution</b> | <b>Relevance to the Project</b>  |
|--------------------|--|
| SOSPPA             | As the lead agency will oversee operation and implementation of project activities as described in the respective components   |
| MAAIF              | Department of Crop and Extension services will provide technical and policy guidance in sweet potato production and processing through its agriculture extension services and sweet potato inspectors.   |
| NEMA               | NEMA works with District Environment Officers (DEO) and or District Natural Resources Officers who will undertake inspection, monitoring and compliance enforcement on its behalf.   |
| MGLSD              | MGLSD works with District Labour Officers and District Community Development Officers who will undertake compliance supervision of issues pertaining to social, occupational health and safety, gender, labour and community aspects, as well as social protection are amicably addressed during Project implementation. |

A PCU shall be established within SOSPPA - headed by Project Coordinator. The other Key project staff at the PCU will include OFSP Puree Processing Manager, Silage Processing Manager, Marketing Manager, Agronomist, Environment Specialist, Social Specialist, Accountant, and M&E Specialist and these shall be responsible for overall Project implementation and technical guidance. The project shall also procure short-term consultants to support capacity building on the ESF.

Additionally, to effectively implement the ESMF and other E&S instruments prepared for the project, participating District LGs, Sub-Counties, and participating Community Groups shall need to enhance their basic skills and understanding of general E&S dimensions and with specific reference to the World Bank ESF requirements under which this Project shall be operated. The overall objective will be to build and strengthen the institutional capacity of the implementing agencies to better support the development and integration of social and environmental measures into the project.

### 3 POLICY, LEGAL AND REGULATORY FRAMEWORK

#### 3.1 POLICY FRAMEWORK

##### 3.1.1 THE NATIONAL ENVIRONMENT MANAGEMENT POLICY 1994-NEMP

The key policy objectives include the enhancement of the health and quality of life of Ugandans and promotion of long-term, sustainable socio-economic development through sound environmental and natural resource management and use; and optimizing resource use and achieving a sustainable level of resource consumption. ***The proposed project will implement environmentally sound interventions such as conversion of by-products of OFSP processing to nutrition animal feed (namely, silage); provision of a weather insurance scheme that encourages investment in foundation seed, irrigation, and other complementary inputs (fertilizer and pesticides) and promotion of high-yielding, drought-tolerant, early maturing, disease-resistant dual purpose processing varieties.***

##### 3.1.2 NATIONAL DEVELOPMENT PLAN III

The Third National Development Plan (NDPIII) which covers the period 2020/21 to 2024/25 will expire at the end of June 2025. Agriculture is one of the prioritized areas. The Agro-industrialization programme Area 1 seeks to increase commercialization and competitiveness of agricultural production and agro processing. ***The proposed project would thus contribute to the achievement of the NDPIII programme objectives by increasing production, value addition, strengthening access to financial and increasing market access and competitiveness of the sweet potato enterprise.***

##### 3.1.3 NATIONAL AGRICULTURAL POLICY (NAP) 2013

This policy is hinged on 5 objectives namely: ensure household and national food and nutrition security for all Ugandans; increase incomes of farming households from crops, livestock and all other agriculture related activities. ***The proposed project will make use of the Public Private Partnership and existing government extension services to implement the planned interventions such as promotion of innovative crop rotation tips/techniques as part of an integrated soil and crop management program and thus promote sustained benefits such as improved food security, and human health.***

##### 3.1.4 THE NATIONAL GENDER POLICY, 1997

The National Gender Policy of 1997 provided guidance to planning, resource allocation and implementation of development programs through a gender lens catering for all groups without any inequalities. The MAAIF has equitably adopted this policy through mainstreaming gender aspects in all its programmes and projects. ***In the similar vein, the proposed project will deliberately target the women, and youth groups to access project services such as digitalised credit financing, as a strategy of enhancing agricultural production and value addition.***

##### 3.1.5 NATIONAL POLICY ON ELIMINATION OF GENDER-BASED VIOLENCE, 2016

The policy emphasizes early intervention to prevent re-victimization of and long-term effects for girls, including interpersonal violence, sexual coercion, alcohol and drug abuse and mental health problems, reporting cases of violence against children immediately. ***The farmer group beneficiaries in collaboration with District community development officers will establish clear governance structures to aid in identifying and mitigating risks to GBV throughout the process of project implementation.***

### 3.1.6 THE UGANDA FOOD AND NUTRITION POLICY, 2003

The policy seeks to promote the nutritional status of the people of Uganda through multi-sectoral and coordinated interventions that focus on food security, improved nutrition and increased incomes. This can be achieved by ensuring availability, accessibility, affordability of food in the quantities and qualities sufficient to satisfy the dietary needs of individuals sustainably. ***It is expected that the Strengthening Productive Capacity and Resilience of Smallholder Sweet potato Producer Organizations in Uganda project will develop and promote community-based nutrition initiatives focusing on maternal and young (6-23 months) child feeding practices, hygiene and sanitation, and childcare. This will be through use a food basket approach that encourages households to learn about dietary diversity by using locally available foods from kitchen gardens cultivating OFSP, vegetables and other nutrient rich crops.***

### 3.1.7 THE NATIONAL LAND USE POLICY

The overall policy goal is to achieve sustainable and equitable socio-economic development through optimal land management and utilization in Uganda. The land policy addresses the contemporary land issues and conflicts facing the Country. ***In the planned project, women and youth are key beneficiaries in its activities and therefore, during project implementation, land aspects pertaining to access and ownership should be considered.***

### 3.1.8 THE NATIONAL CLIMATE CHANGE POLICY, 2013

The goal of the National Climate Change Policy (NCCP) is to ensure a harmonised and coordinated approach towards a climate-resilient and low-carbon development path for sustainable development in Uganda. The overarching objective of the policy is to ensure that all stakeholders address climate change impacts and their causes through appropriate measures while promoting sustainable development and a green economy. ***The proposed project will directly contribute to the objectives of the policy by undertaking activities that promote adaptation and mitigation. Overall, in its design, the project shall support the integration of climate change issues into planning, decision making and activities to be undertaken.***

## 3.2 LEGAL FRAMEWORK

### 3.2.1 THE CONSTITUTION OF THE REPUBLIC OF UGANDA, 1995

The right to a clean and healthy environment and the powers for parliament to enact laws governing a safe and healthy working environment are enshrined in Article 39 and Article 40 (a) of the Constitution of Uganda, 1995 respectively. Article 21 of the Ugandan Constitution guarantees equality before and under the law, prohibiting discrimination based on sex, race, colour, ethnicity, religion, political opinion, or disability, among other grounds. The Article generally prohibits gender discrimination and enshrines the principle of equality before the law, regardless of sex, race, colour, ethnicity, tribe, religion, political belief, or social or economic standing. ***To ensure compliance with the Constitutional obligations on sustainability, inclusion and non-discrimination, this ESMF outlines clear procedures to identify and mitigate environmental and social risks that may accrue from Project activities and thus prevent adverse negative impacts while sustaining positive impacts.***

### 3.2.2 THE NATIONAL ENVIRONMENT ACT 2019

Part X – Environmental and Social Assessment contains Sections that provide requirements for E&S Assessments, level of assessments, risk categorization, application of mitigation hierarchy and decommissioning of projects. Schedule 4 of the NEA-2019 lists projects (Moderate E&S Risks and Impacts) for which a Project Brief (equivalent of ESMP) and Screening is required (specifically under Part-1: Activities N<sup>o</sup>.7(e) any other small sized food and beverage processing facilities. ***In this project, the project beneficiaries will work closely with district environment***

*officer and district community development officer to undertake detailed Environment and Social Screening and thus develop a project brief bearing detailed Environment and Social Management Plan that will be submitted to NEMA for clearance.*

---

### 3.2.3 LOCAL GOVERNMENTS ACT, CAP 243

The Act creates a decentralized system of government based on the district as the main unit of administration. Administrative powers and functions are devolved from the central government to the LGs. The Act allocates responsibility for service delivery of several functions to LG councils (districts, cities, municipalities or town councils) and to lower LG councils (sub-counties/divisions). ***In conformity with this Act, the respective District LGs shall be involved in the implementation of this project.***

---

### 3.2.4 THE PUBLIC HEALTH ACT CAP. 281

The Act provides for preservation and protection of human health and prevention of disease. ***In respect to this project, all activities involving processing and value addition to sweet potato will be undertaken a safe and hygienically acceptable manner that eliminates any possible risks that may cause contamination.***

---

### 3.2.5 OCCUPATIONAL SAFETY AND HEALTH ACT N<sup>o</sup>. 9, 2006

The Act obliges the employer to ensure, as far as is reasonably practicable, that the working environment is kept free from any hazard due to pollution. It further states that where there is major handling of chemicals or any dangerous substances which are liable to be airborne or released into rivers, lakes or soil and are a danger to the animal and plant life, it shall be the duty of the employer to arrange for equipment and apparatus used to monitor the air, soil, and water pollution and arrange for actual monitoring of these mediums, with a view to rendering them safe from the dangerous undertaking. ***In conformity to this Act, all project activities will be undertaken in a manner that protects human health, promotes a safe and healthy working environment free of any agent that is likely to cause harm to human life, property and general environment.***

---

### 3.2.6 THE EMPLOYMENT ACT, 2006

This Act spells out general principles regarding fair employment, working hours, elimination of forced labour, discrimination in employment, sexual harassment and provisions to settle grievances. It further provides that, a child under the age of twelve years shall not be employed in any business, undertaking or workplace. ***No doubt, this law will oblige the project to ensure no employment of children below the age of 18 years in the project activities and provision of clearly documented contractual terms to all persons employed there under.***

---

### 3.2.7 THE WORKERS COMPENSATION ACT, CAP 225

This law provides for compensation to workers for injuries suffered in course of their employment. According to the Act, an employee is entitled to compensation for any personal injury from an accident or disease arising out of and during his or her employment even if the injury or disease didn't cause deformity. Under this Act, compensation will be as provided in the law especially in line with preconditions therein. The compensation is to be paid by the employer whether the worker was injured because of his or her own negligence, mistake, omission or commission. ***In reference to the project, any workers injured within the course of employment will be compensated as provided for by the Act***

---

### 3.2.8 UGANDA NATIONAL BUREAU OF STANDARDS ACT, CAP. 327

Section 21: The relevant provision of this Act prohibits any person to import, distribute, sell, manufacture or have in possession for sale or distribution any commodity for which a compulsory standard specification has been declared unless such a commodity conforms to the compulsory

standard or unless the commodity bears a distinctive mark which is key is procurement of pesticides for the control of pests. ***In conformity to this Act, the project will utilise certified foundation seed in vine multiplication and formalise attainment of the UNBS Q-mark for the OFSP processed products.***

---

### 3.2.9 THE FOOD AND DRUGS ACT, 2003

The Food and Drugs Act 2003 is the main law that makes provision for the prevention of adulteration of food and drugs and for matters incidental thereto and connected. Section 2 of the Act provides offences in connection with preparation and sale of injurious foods and adulterated drugs. ***This project will support the development and testing of commercially value added OFSP products including laboratory analysis to assess the nutritional composition of processed products. Capacity building sessions on equipment use and good food manufacturing practices will be undertaken for the project members to enable them to comply with the requisite food industry standards, including hazard analysis and critical control points needed in the process of obtaining certification by the Uganda National Bureau of Standards***

---

### 3.2.10 REGULATIONS

The following regulations are relevant during implementation of this project

#### **The National (Environmental and Social Assessment) Regulations, 2020**

Provisions of this regulation places the duty for development of project brief, E&S impact statement or an environmental risk assessment and ensuring its approval on the developer. The regulation also has punitive measures of offenders. It recognizes three levels of ESIA:

- a. An environment impact review/screening shall be required for small scale activities that may have low or negligible E&S risks and impacts.
- b. Environmental impact evaluation for activities that are likely to have moderate E&S risks and impacts; and
- c. Environmental impact study for activities that will have significant and high E&S risks and impacts.

**In respect to this project, SOSPPA will be develop and submit to NEMA, a project brief detailing the environmental, health and social-economic impacts of the project.**

#### **Employment (Sexual Harassment) Regulations 2012**

The Employment Sexual Harassment (SH) Regulations states that an employer with more than twenty-five employees shall adopt a written policy against SH which includes a notice to employees that SH is unlawful, a statement of consequences for employees who are found to have committed SH, and education and training programs on SH for all employees on a regular basis. **SOSPPA and or its contractors will put in place measures to address SH during execution of the project, and such measures shall include, creating a SH committee in which the committee receives and registers complaints of SH.**

### **National Environment (Waste Management) Regulations, 2020**

These Regulations apply to all categories of hazardous and non-hazardous waste and to the storage and disposal of hazardous waste and its movement into and out of Uganda. The regulations promote cleaner production methods and require a facility to minimize waste generation by eliminating use of toxic raw materials; reducing toxic emissions and wastes; and recovering and reuse of waste wherever possible. **In this project, SOSPPA will establish a proper waste management system that emphasises recycling or reuse of waste generated from sweet potatoes production by establishing silage processing hubs in respective districts. While waste generated from processing line is will handled appropriately.**

### **The National Environment (Noise Standards and Control) Regulations, 2003**

Part III Sec. (1) requires machinery operators to use the best practicable means to ensure that the emission of noise does not exceed the permissible levels. It is anticipated that during construction and operation of the processing facility and silage processing hub, emission of noise will be generated. **The project will ensure that appropriate noise control measures ranging from use of noise buffered machinery to periodic equipment maintenance are instituted.**

### **The Food and Drugs (Food Fortification) Regulation, 2005**

These regulations state that a person may manufacture, import, or sell foodstuffs identified as fortified food to supply nutrients, which are insufficient in the population. The foodstuffs referred to in this regulation shall be fortified at a specific stage of production to levels specified in national standards to ensure that the minimum level of the prescribed nutrients are maintained at the time of supply of the foodstuff to the consumer. ***In this project OFSP will be produce commercial value added OFSP products in accordance with the provisions of this regulation and national standards.***

## 4. ESMF PROCEDURES AND KEY INSTRUMENTS TO ADDRESS ENVIRONMENTAL AND SOCIAL ISSUES

This section defines steps, actions and responsibilities for screening potential E&S issues and classifying risk levels. The classification of each subproject under the appropriate environmental risk category will be based on the provisions of the World Bank ESF ESS1: Assessment and Management of E&S Risks and Impacts. The screening will also be cognizant of Uganda's National Environment Act N<sup>o</sup>.5 of 2019, especially Section 113 which provides for Projects Categorization and the National Environment (Environmental and Social Assessment) Regulations, 2020.

**Substantial ESRC (WB) requiring ESMP/Project Brief (Uganda's NEA 2019):** The Project may not be as complex as High-Risk Projects, its ES scale and impact may be smaller (large to medium) and the location may not be in such a highly sensitive area, and some risks and impacts may be significant. The potential risks are mostly temporary, predictable and/or reversible. **Among the project intervention is the construction and operation of processing and value addition facilities will require project briefs detailing Environment and Social Management Plan.**

### 4.1 ENVIRONMENTAL AND SOCIAL SCREENING AND RISK CLASSIFICATION

Environmental and social screening is undertaken to anticipate the likely risks, and it facilitates early identification of potential impacts and consequently guide on the needed level and form of assessment that is commensurate with importance of possible impacts.

**Environmental and Social Risk Rating:** The Strengthening Productive Capacity and Resilience of smallholder sweet potato Producer Organizations in Uganda Project has been assigned overall Substantial Environmental and Social Risk Classification: Overall, the E&S impacts are expected to be minimal and not adverse, site specific, reversible, can be well identified and readily avoided, minimized, and readily mitigated/ manageable. These will be managed through in-depth stakeholder engagement during site specific assessments and development of ESMPs for civil works, Capacity building to strengthen farmer organisation will also help to reduce risks. However, with the enactment of the law, the proposed Project activities are anticipated to pose substantial social risks of discrimination and exclusion of vulnerable or marginalized individuals and groups from being provided or receiving Project benefits.

### 4.2 ENVIRONMENTAL AND SOCIAL ASSESSMENT PROCESS

The key regulations for E&S assessment in Uganda include the National Environment Act (NEA) 2019, and the National Environment (E&S Assessment) Regulations, 2020. The Regulations apply to: (a) a project or activity for which (i) a project brief is required to be undertaken in accordance with Section 112 and Schedule 4 of the Act.

The section below illustrates the steps involved during E&S assessment and management process as per Ugandan regulations that will lead to the review and approval of subprojects.

---

#### **4.2.1 STEP 1: SCREENING OF ACTIVITIES AND SITES**

SOSPPA working closely with District Environment Officers and District Community Development Officers will carry out screening of the sub-projects using the E&S Screening Form (ESSF) in Annex 1. The ESSF requires information that determines the characteristics of the prevailing local bio-physical and social environment with the aim of assessing the potential project impacts on it. The ESSF also shall be used to identify the potential socio-economic aspects that will require assessment. However, the project shall not involve physical resettlement in any way and subprojects with such requirements shall be excluded from the project (in line with the Exclusion List under Section 4.2.7 and ESSF Part C).

---

#### **4.2.2 STEP 2: ASSIGNING THE APPROPRIATE ENVIRONMENTAL CATEGORIES**

SOSPPA will assign the appropriate environmental category to the subproject based on the information contained in the ESSF and the national criteria for categorization. At this stage, the proposed Project is classified as Substantial risk based on World Bank's ESF, the potential risk of exclusion and discrimination and the Uganda's NEA 2019, explained under Section 5.1 above. Under WB and GoU requirements, an ESMP/Project Brief will be developed for construction of processing facility.

---

#### **4.2.3 STEP 3: CARRYING OUT ENVIRONMENTAL ASSESSMENT**

- a. In respect of this project, applicable ESMPs/ Project Briefs will be prepared during Implementation by SOSPPA or his or her representative. This Project Brief will not require preparation of ToRs, but their approval is done by the NEMA, issuing a certificate of approval of E&S impact assessment in accordance with Part IV of the ESIA Regulations. According to the National Environment Act, "project brief" means a summary statement of the likely environmental effects of a proposed development referred to in section 112. Unlike the ESIA, a project brief does not require a scoping report and neither submission of terms of reference for approval by NEMA. The Project Brief will for each potential impact include mitigation measures, monitoring indicators, implementing and monitoring agencies, frequency of monitoring, cost of implementation, and necessary capacity-building as elaborated below. The nature of the project in accordance with the categories identified in the Fourth Schedule of the Act.
- b. the projected area of land, air and water that may be located and affected, including a map and coordinates.
- c. the activities that shall be undertaken during and after the development of the project.
- d. the design of the project, activities to be undertaken, including evaluation of alternatives.
- e. the materials that the project shall use, including both construction materials and inputs.
- f. the possible products and by-products, including waste generation of the project.
- g. the of the workforce and the economic and social benefits to the local community and the nation in general.
- h. description of alternative resettlement areas for the Project Affected Person/s (PAPs), if any, their associated E&S impacts, and plans for compensation to PAPs.
- i. plan for stakeholder engagement throughout the proposed project or activity development, including details on how to address potential related grievances, and evidence of stakeholder consultation undertaken.
  - a. paying attention to assessment and engagement of the vulnerable or marginalised individuals or groups and defining appropriate mitigation measures

- j. the environmental effects of the materials, methods, products and by-products of the project, and how they will be eliminated or mitigated.
- k. an environmental and management and monitoring plan developed in accordance with regulation 46, incorporating climate adaptation and mitigation plan.
  - a. Specific attention should be paid to the defining detailed measures to respond to risks relating to exclusion and discrimination concerns at all levels of the project
- l. Any other matter which may be required by the Authority.

In addition to the above, it is currently a practice and requirement by NEMA to include details of stakeholder consultations in Project Briefs.

#### **4.2.4 STEP 4: PUBLIC CONSULTATIONS AND DISCLOSURE**

Public consultation will be initiated and incorporated into the project brief during preparation. Public consultation is also an integral part of the process throughout the planning and execution of the Project. For this purpose, public awareness meeting will be organized by implementing entity in close collaboration with respective district/subcounty technical staff. Information pertaining to the E&S impacts associated with project interventions will be disclosed. The opinion/suggestions made by the community/affected groups shall be incorporated in the respective ESMPs. After clearance, PBs/ESMPs will be disclosed both in Uganda by SOSPPA.

##### **4.2.4.1 JANUARY 2024: ADDITIONAL CONSULTATIONS ON NON-DISCRIMINATION**

In January 2024, additional consultations were undertaken on the Project to specifically discuss the vulnerability of some individuals or groups to discrimination.

During the consultations key issues raised included:

- (i) The risk of vulnerable or marginalized individuals or groups being excluded from project benefits and activities.
- (ii) The risk of vulnerable or marginalized individuals or groups declining to access project services for fear of rejection, or retaliation. For example, feeling unsafe to register or participate in trainings.
- (iii) The need to ensure that project staff are adequately trained on inclusion and non-discrimination; and
- (iv) The possibility of hostility toward and stigmatization of vulnerable or marginalized individuals or groups.

A summary of these additional consultations is posted on the World Bank website under Uganda Consultations on Non-discrimination and Inclusion.

See: <https://www.worldbank.org/en/country/uganda/brief/consultations>.

#### **3.2.11 STEP 5: REVIEW AND APPROVAL**

The PB/ESMP will be reviewed by the SOSPPA and shared with the Bank for clearance. Upon WB's clearance, the PB/ESMP will be forwarded to NEMA for final review and decision (approval or disapproval). If the Executive Director is satisfied that the subproject will have no significant impact on the environment, or that Project Brief/ESMP) discloses sufficient mitigation measures to cope with the anticipated impacts, he or she may approve the project. Implementation of subprojects cannot commence until the E&S aspects have been reviewed, and appropriate mitigation measures have been adopted. As possibilities of social impacts regarding land

acquisition, where necessary, the implementation of subprojects cannot proceed until the resettlement and/or compensation plans or proof of transfer of ownership of land have been prepared and cleared by respective Local Government and Ministry of Lands, Housing and Urban Development (MoLHUD).

---

#### **4.2.6 STEP 6: ENVIRONMENTAL AND SOCIAL MONITORING**

Environmental and social monitoring aims at checking the effectiveness and relevance of the implementation of the proposed mitigation measures. Monitoring exercises should be undertaken in sequences and frequencies stipulated in the PBs/ESMPs. Local Government leaders, District Environment Officers, Community Development Officers, extension officers as well as NGOs and CBOs will undertake monitoring exercises as required by the National Environmental Act. The Environmental and Social Monitoring Report (ESMR) is a management tool that shall be developed by SOSPPA during the construction and operation stages of the project, to follow up and monitor the implementation of the E&S measures identified in the ESMPs. The development of the ESMP will also be guided by the EISM (Annex 9), which will be facilitated by an international entity hired by WB/IFC to offer enhanced third-party implementation support and performance monitoring working with NGO/CSOs and country-based development partners. The entity will also support the WB in monitoring the efficacy of the agreed measures to mitigate the impacts on WB/IFC financed operations. Furthermore, the ESMP will consider the provided [Guidelines for implementing additional mitigation measures \(Annex 10\)](#)

The ESMR contains basic information about the periodic field visits, the persons who visited the project, the E&S aspects observed during the site visit, and recommendations for the contractor. Contractor-related E&S plans shall be prepared by the respective Contractors, building upon ESMP/s prepared for each subproject as part of respective designs that shall be drawn for implementation.

---

#### **4.2.7 EXCLUSIONS LIST**

Throughout project implementation and as part of the assessment process conducted under Sections 5.3.7 & 5.3.8 , SOSPPA shall EXCLUDE the types of activities listed under Annex 2 as ineligible for financing under the Project in accordance with the Project Environmental and Social Commitment Plan (ESCP):

## 4.3 WORLD BANK ENVIRONMENTAL AND SOCIAL FRAMEWORK 2018

The World Bank ESF is an elaborate systematic approach to guaranteeing sustainable development. The ESF sets out the Bank's vision for sustainable development, the Environment and Social policy for Investment Project Financing (IPF) and ten ESS that guide borrowers during project preparation and implementation. The following ESSs are relevant and will apply to the proposed project:

### 4.3.1 ESS1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS

ESS1 is relevant to the project. This ESS requires project implementers through the existing institutional framework to conduct comprehensive assessment and monitoring of E&S risks and impacts that are anticipated to arise in the project during implementation phases.

**Relevance:** *In order to systematically manage the likely E&S risks and impacts, the project has developed an ESMF which includes among others the following: Labour Management Procedures; Pest Management Plan (PMP); "Chance Finds" Procedure and a template for preparing Environmental and Social Management Plans (ESMPs) or Project Briefs (PB) as defined in the national legislation, as necessary for managing risks and impacts related to any civil works. All subprojects such as construction of processing and value addition facilities and construction of silage processing hub in project districts will be subjected to E&S screening and where necessary develop and implement an ESMP that will be reviewed and approved by the Bank before the start of implementation. To ensure implementation of the ESF requirements listed above, SOSPPA shall develop and agree with the World Bank an ESCP. The ESCP will set out measures and actions required for the project to achieve compliance with the ESSs over a specified timeframe. The ESCP will form part of the project Legal Agreement and will be disclosed before Project Appraisal.*

### 4.3.2 ESS2 LABOUR AND WORKING CONDITIONS

ESS2 is relevant to the project since the project is expected to have workers both contract and directly employed; engaged to undertake various activities and provides clarity on workers' rights, benefits and other general work conditions.

**Relevance:** *As part of this ESMF, Labor Management Procedures (LMPs) (ANNEX 5) have been developed to manage risks to occupational health and safety and working conditions in line with the requirements of ESS2 and ESS4. In line with ESS2 and the national laws the project will institute measures to prohibit child labour, use of forced labour, sexual exploitation, gender-based violence and appropriate procedures for Grievance resolution.*

### 4.3.3 ESS3 RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT

ESS3 is relevant to the project as it contains guidance and requirements for use and management of pesticides, pollution control and efficient resource utilisation. This standard requires the Project implementers to consider ambient conditions and apply technically and financially feasible resource efficiency and pollution prevention measures in accordance with the mitigation hierarchy. These measures should be proportionate to the risks and impacts associated with the project and consistent with Good International Industry Practice (GIIP)

**Relevance:** *In Component 1, the project will construct a processing facility focused on OFSP-based commercial consumer products and managed by SOSPPA. The project will thus procure processing equipment with inbuilt emission control, vibration and noise control mechanism. The project will also set up one silage processing hub in each of the six project districts to process waste vines and roots into animal feed. Additionally, in component 2, the project intends to strengthen capacity of vine multipliers by enabling them to access a weather-based crop insurance scheme, which is to be repaid through vine/crop sales. The scheme will encourage investment in foundation seed, irrigation, and other complementary inputs (fertilizer and pesticides), increased yields and thus ensure year-round supply of vines and less dependence on rains.*

*ESS3 requires a Stand-alone Pest and Fertiliser Management Plan to be prepared for project activities that entail use of substantial amounts of pesticides. Though the project has less dependency on pesticide use, a PMP has been prepared as part of the ESMF (ANNEX 4). The ESMF (PMP) have adopted use of FAO guidelines on Safety and environmental precautions, the World Bank Group General EHS Guidelines and applicable national legislation and regulations on pesticide control products.*

#### 4.3.4 ESS4 COMMUNITY HEALTH AND SAFETY

ESS4 is relevant to the project. ESS4 focuses on health, security and safety issues of project affected communities.

**Relevance:** *Project interventions will pose risks to community health and safety specifically during construction and operation of processing and value addition facilities and silage hubs. These risks include residual impact of pesticides, traffic accidents, chronic diseases, pollution of water sources, reduced accessibility to social services, noise nuisance, dust nuisance, community conflicts, non-payment for community services offered and spread of communicable diseases, including COVID-19, Hepatitis B and HIV/AIDS. In line with ESS4, the project implementers will evaluate the risks and impacts of the project on the health and safety of the affected communities during the project life cycle, including those who, because of their circumstances, may be vulnerable. Appropriate mitigation measures will be implemented in accordance with the mitigation hierarchy. Host Communities and SOSPPA members shall be mobilized and trained on health and safety aspects and requirements of all project activities, including the management and the safety of hazardous materials from the pesticides in accordance with Standard Operating Procedures.*

#### 4.3.5 ESS5 LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT

ESS5 is relevant because the project may involve Voluntary Land Donations (VLDs) for the construction of processing and value addition facilities and silage processing hubs in the project districts.

**Relevance:** *SOSPPA has prepared a Voluntary Land Donation (VLD) Protocol as part of this ESMF to provide guidelines on addressing any potential land acquisition impacts through VLD. This has provided a Voluntary Land Donation Procedure/Land Donation Consent Form, if participating farmers are required to donate their land to host project activities. Based on the current description of the components, there will be minimal land-take requirements and restricted to material construction sites.*

---

#### 4.3.6 ESS6 BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES

ESS6 is relevant and anchors the conservation of biodiversity and sustainable management of living natural resources. Biodiversity loss during project implementation will likely impact on ecosystem services valued by humans. In addition to compromising utilitarian values, biodiversity carries inherent intrinsic value hence the protection of habitats is justified along these grounds.

**Relevance:** *Project activities involving construction of processing and value addition facilities, establishing silage processing hub, irrigation services, improving market access and increasing production of sweet potato may result in risks to biophysical environment. To systematically manage the likely E&S risks and impacts, the project has developed an ESMF and during implementation E&S management plans bearing appropriate mitigation measures will be documented.*

---

#### 4.3.7 ESS8 CULTURAL HERITAGE

ESS8 is relevant to the project, since it entails civil works excavations, movement of earth or other changes in the physical environment which may have a direct interaction and/or impact on Cultural Heritage. This ESS has the main objectives to protect tangible and intangible cultural heritage from adverse impacts of project activities and support its preservation.

**Relevance:** *Under component 1 and 2 of the project, during construction activities, there could be possible impact on known and unknown physical and cultural resources though it is likely to be minimal. Thus, a chance Finds Procedure has been prepared as part of the project ESMF, and this will be followed if previously unknown cultural heritage is encountered during project activities. It will be included in all contracts relating to construction of the project, including excavations, demolition, movement of earth, flooding or other changes in the physical environment. The procedure has included a requirement to notify relevant authorities of found objects or sites by cultural heritage experts; to fence-off the area of finds or sites to avoid further disturbance; to assess found objects or sites by cultural heritage experts; to identify and implement actions consistent with the requirements of this ESS and national law; and to train project personnel and project workers on chance find procedures.*

---

#### 4.3.8 ESS10 STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE

ESS10 recognizes the importance of open and transparent engagement with project stakeholders. Success of any project is hinged on the level and quality of stakeholder engagement which is an inclusive process expected to occur throughout the project life cycle.

**Relevance:** *A Project Stakeholder Engagement Plan (SEP) has been prepared and shall be disclosed before Project Appraisal. Subsequently SEPs detailing procedures of establishing a functional GRM and appropriate means for engagement such as radios, newspapers to spread information will be implemented across project activities. Detailed Community consultations and engagement were undertaken during project design and will continue throughout project implementation to disclose and mobilize the communities. The project community consultations will focus on awareness raising regarding farmer group operations, environmental conservation, participation of vulnerable groups, preservation of natural resources, market access challenges,*

*access to water, access to pasture, health and safety aspects relating to use of agro-chemicals, general roles, and responsibilities of communities in relation to overall project set up and design.*

### **The World Bank Group Environmental, Health and Safety (EHS) Guidelines**

The Environmental, Health, and Safety (EHS) Guidelines<sup>6</sup> are technical reference documents with general and industry specific examples of Good International Industry Practice (GIIP). When one or more members of the World Bank Group are involved in a project, these EHS Guidelines are applied as required by their respective policies and standards. The General EHS Guidelines contain information on cross-cutting environmental, health, and safety issues potentially applicable to all industry sectors.

---

<sup>6</sup>[http://www.ifc.org/wps/wcm/connect/topics\\_ext\\_content/ifc\\_external\\_corporate\\_site/ifc+sustainability/our+approach/risk+management/ehsguidelines](http://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/our+approach/risk+management/ehsguidelines). OR [Environmental, Health, and Safety Guidelines \(ifc.org\)](http://www.ifc.org)

## 5. PROJECT BASELINE DESCRIPTION

### 5.1 PROJECT BENEFICIARY DISTRICTS

The project will be implemented in six districts of Serere, Katakwi, Bukedea, Ngora, Soroti and Amuria with the direct beneficiaries expected to total to 20,029 direct beneficiaries including farmers (including youth), pregnant, lactating women, People Living With HIV/AIDS and under-2 children. This project will target 1,200 smallholder farmers in Serere district who are currently enrolled as members of SOSPPA comprise 50% women, 40% men, and 10% youth, and are organized in groups. In addition, 1,500 new beneficiary farmers in five new districts namely Katakwi, Bukedea, Ngora, Soroti, and Amuria will be enrolled in this project following the current SOSPPA membership eligibility criteria<sup>7</sup>, and organized into groups through which they will be reached to the project interventions.

The project interventions will be implemented at group level by master trainers (e.g., Executive Committee/Operational staff/FTA). On average, 3,000 primary school and college students are benefited now by SOSPPA with fresh roots supplied and will continue to be targeted.

Primary schools will be used as the entry point for demand creation activities (e.g., setting up OFSP demonstration plots and school gardens) aimed at reaching schools and colleges in new districts to grow this market segment. Indirect beneficiaries will include consumers of processed micronutrient-rich products such as puree and pasta products to be sold in local markets.

### 5.2 KEY ENVIRONMENTAL AND SOCIAL CHARACTERISTICS IN THE TESO SUB-REGION

#### 5.2.1 TESO SUB-REGION

The sub-region under the project will be implemented in the districts of Bukedea, Serere, Ngora, Katakwi, Soroti and Amuria, with key interventions focusing on processing and value addition and the promotion of profitable and sustainable sweet potato-based innovations and linkages to markets, financing, and weather insurance. The project sub-region is bordered in the north and east by the semi-arid region of Karamoja, to the west by Lango and to the south by Bukedi **Error! Reference source not found.** According to the 2014 national population and housing census, 1.8 million people are living in Teso, 80% of whom are the Iteso who speak Ateso (Byaruhanga C., *et al.*, 2014).

##### 5.2.1.1 CLIMATE

The region has bimodal rainfall regime, supporting two cropping seasons favourable for the sweet potato production. The major cropping season normally starts in March and runs until mid to late June/July when the dry season sets in. While the minor rains are often received between August and early December when second season harvests begin.

##### 5.2.1.2 HYDROLOGY AND DRAINAGE

Based on observation and on available flow data the hydrology and drainage in the region can be generalized as shown in figure 2. In the Teso Sub Region, heavy rainfall causes high surface runoff which

---

<sup>7</sup> SOSPPA membership eligibility criteria: 1) a farmer (male or female) from the geographical area covered by the Association, 2) a cultivator of roots crops (cassava and sweet potato), and 3) a smallholder farmer with 1 acre of land or less.

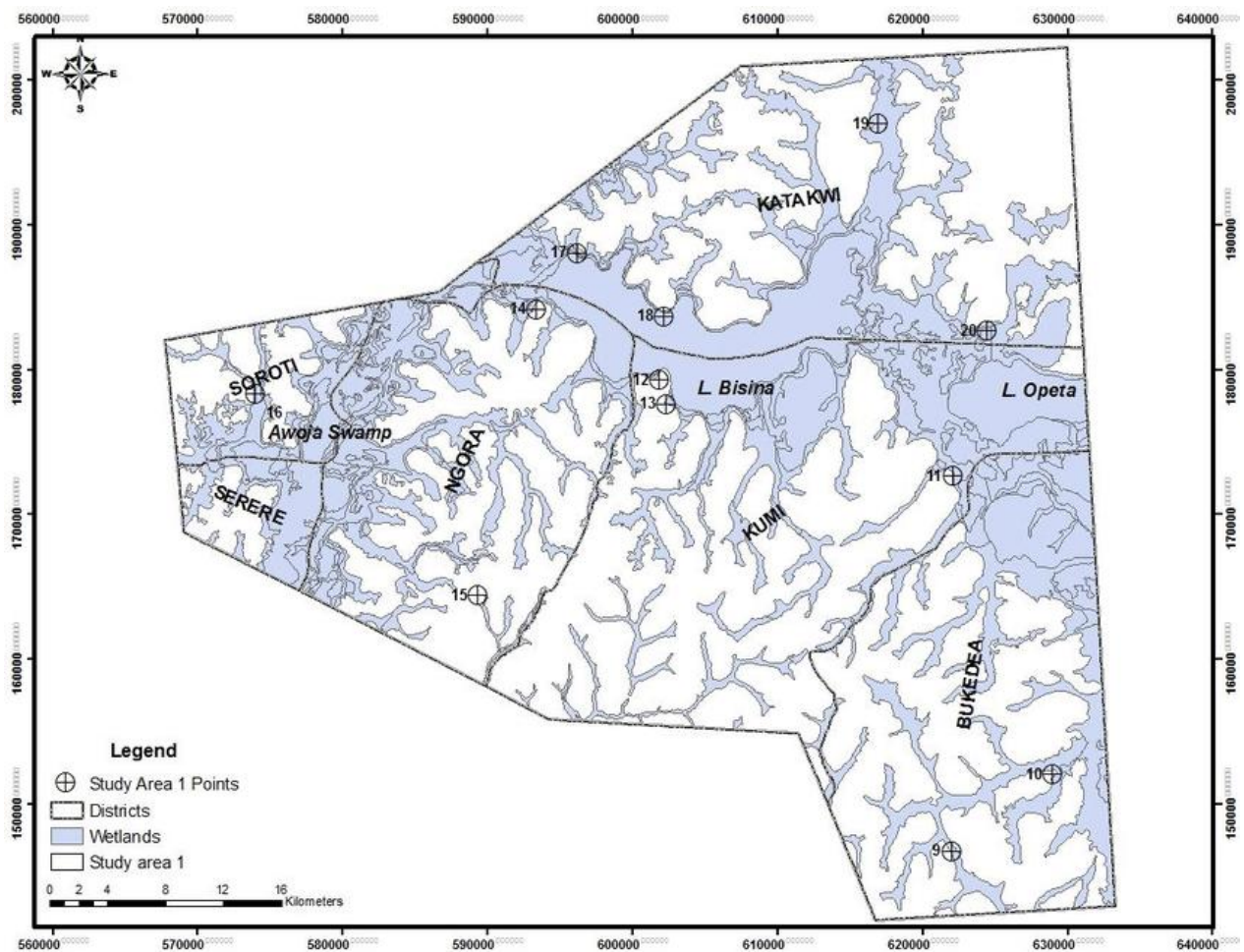
ends one or two days after rainfall has ceased. In the head waters, river flows commence soon after rainfall starts with peak flows occurring in the afternoon or evening. River flows across the plains in the region occur from around April to August with flow in later months being fed by shallow groundwater flow from adjacent areas. There is a time lag of about a month for upland flows to reach the dams downstream in Teso-Karamoja border which flow from May to October again supported by shallow groundwater flow long after the main rains have ceased.

### 5.2.1.3 GEOLOGY AND SOILS

Most of the project area is underlain by rocks of the basement complex Precambrian age that include granites, migmatites, gneiss, schists and quartzites. The soils fall mainly under four major units; Serere and Amuria catena; Metu complex and Usuk type series. These are mainly of sandy sediments and sandy loams. They are well drained and friable. Bottomlands contain widespread deposits of alluvium

### 5.2.1.4 WETLAND COVER

The region is partly in the Lake Opeta wetland system and the surrounding marsh from Lake Bisina. This wetland system classified as a Ramsar site, covers an area of 123,141ha and is shared by the districts of Kumi, Katakwi, Soroti, Bukedea, Nakapiripiriti and Sironko. It is one of Uganda's Important Bird Areas (IBA's) especially for the Shoebill and the White-backed Duck that contributes to the region's tourism and cultural heritage.



*Fig. 1 shows Awoja Swamp and Lake Opeta - Lake Bisina wetland system*

---

#### 5.2.1.5 VEGETATION AND LAND USE

The subregion is characterised by savannah low grasslands with mainly sandy loam soils with a well-drained light and medium texture favourable for sweet potato growth. The region is the leading producer of sweet potatoes in the country in addition to other crops often grown such as cassava, sorghum, finger millet, peas, groundnuts and rice. The Iteso ethnic groups are cultivators as well as cattle keepers from the old times. In addition to the traditional livelihood strategies, several off-farm activities have evolved including *boda-boda* cycling, black smiths, fishing, charcoal burning, local brew (*ajono*) trade, brick making, stone and sand quarrying among others.

---

#### 5.2.1.6 LAND TENURE

The mode of land ownership is mainly customary system, with clan elders having the responsibility for administering land, including the right over any sales transactions. As a way of maintaining the land throughout the different generations, a family head is given the responsibility of managing the land particularly on ensuring fair utilisation by family members. The average farm size is about 3ha. Mixed agriculture (crops and livestock) is practiced; cultivation by oxen is the main agricultural technology.

---

#### 5.2.1.7 GENDER DIMENSION

Communities in this region continue to be patriarchal in nature with the men as the traditional heads of the family play a dominant role in decision making, control over and access to resources. These resources mainly include productive assets like land, capital and finances. While the women continue to play the reproduction and production roles in their families.

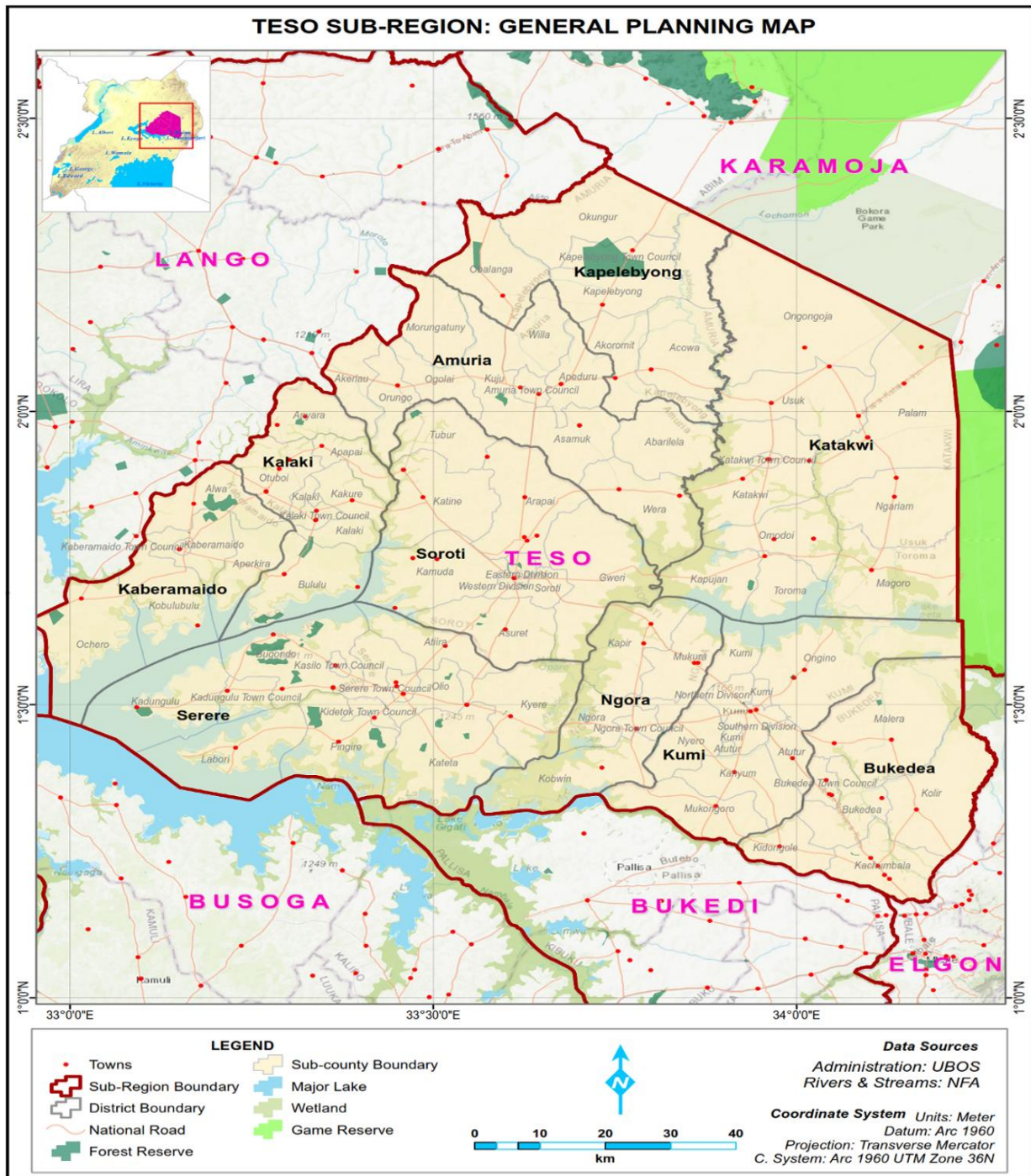


Figure 2 Teso Sub-region map (Source: JBN GIS Unit 2022).

## 6. POTENTIAL ENVIRONMENTAL AND SOCIAL RISKS AND MITIGATION

### 6.1 ENVISAGED POSITIVE ENVIRONMENTAL AND SOCIAL IMPACTS

- a. ***Improved nutrition amongst the population:*** Uganda continues to face challenges in food security and nutrition. According to the latest Demographic and Health Survey (DHS) (UBOS and ICF<sup>8</sup> 2018), 2.2 million children under 5 years (remains at 29 percent) suffer from stunting which is still high and becomes a significant concern for the policy makers in Uganda and necessitates investment in nutrition support for malnourished children as well as multisectoral collaborations and partnerships for nutrition. This project seeks to increase OFSP production, processing and value addition **into nutritious products for low, middle, and high-end markets** that will target a critical part of the population that is affected by nutrition challenges such as pregnant women, lactating mothers, People Living with HIV (PLWHIV), and Children under 2 years
- b. ***The use of resource efficient and climate smart agricultural practices will result in improved quality of OFSP.*** Specific project interventions include conversion of OFSP by-products into animal feed, access to weather insurance scheme that can be utilized by farmers to access fast maturing foundation seed, irrigation, and other complementary inputs (fertilizer and pesticides), promotion of good agronomic practices such as crop rotation, promotion of early maturity (hence drought-escaping), drought tolerance, and disease/pest resistance traits OFSP varieties which will increase the farmer's household income. Other environmental conversation interventions include planting of Tamarind (rich in Vitamins B2 and B3) and Lemon (rich in Vitamin C) trees, and post-harvest conservation of the vines to increase its self-life among others.
- c. ***Good agronomic practices and Sustainable Land Management (SLM) structures will be promoted:*** Land degradation, including environmental degradation, through poor farming practices continues to impact negatively on agricultural productivity and negating any efforts to improve productivity through increased use of purchased agro inputs. The project will promote SLM practices such as soil erosion control, trenching, planting of sweet potatoes on lines, planting of rhizobia or spear grass on boundaries of gardens to boost soil nutrients, minimum use of fertiliser and pesticides, intercropping and cover crop planting amongst others) to can prevent, reduce or restore degraded lands by reducing soil erosion, improving water storage and increasing soil quality, and thereby increase productivity;
- d. ***Promotion of women and youth empowerment in agriculture:*** Though the agriculture sector is mainly dominated by women, they continue to face inequitable access to, and utilisation of resources accrued from OFSP production in the project area. This project will thus have deliberate interventions that will promote empowerment of the women and youth through access to high quality OFSP varieties, access to financial resources, access to processing and value addition facilities and capacity building in better agricultural practices among others.

### 6.2 POTENTIAL-GENERIC NEGATIVE ENVIRONMENTAL AND SOCIAL IMPACTS AND MITIGATION MEASURES

The management measures to mitigate the E&S risks and impacts shall include among other measures to minimize potential negative risks and impacts on communities, ecologically and agronomically sensitive areas, here summarized below.

---

<sup>8</sup> International Classification of Functioning (ICF)

| Impacts   | Mitigation  |
|---|---|
| <p><i>Soils, Run-off and Flooding</i></p> <ul style="list-style-type: none"> <li>• Loss, damage or disruption of soil from construction, excavation and ground clearance during development or introduction of related infrastructure and on-farm production</li> <li>• farms</li> </ul>                                    | <ul style="list-style-type: none"> <li>• Provision of drainage channels during construction and promotion of sustainable land management practices such as trenching and parallel or contour method of preparation of sweet potatoes heaps that permit holding of water runoff.</li> <li>• Planting of rhizobia grass along the boundaries of sweet potato farms to hold and retain water runoff.</li> <li>• Early installation and regular maintenance of drainage around agricultural land and construction areas, silt traps, etc; outlets to discharge into vegetated areas if possible; vegetation along watercourses and drainage lines to be retained if possible.</li> <li>• Careful consideration of timing of works (overall duration and seasonality), and design to reduce sedimentation and facilitate maintenance. Revegetation of cleared areas as soon as feasible with native species</li> </ul> |
| <p><i>Pollution of Soils and Water</i></p> <ul style="list-style-type: none"> <li>• Release of hazardous substances during construction or maintenance activities (e.g. accidental spills and leaks) and during operation (e.g. fertilisers, pesticides,) leading to soil, surface or groundwater contamination.</li> </ul> | <ul style="list-style-type: none"> <li>• Implementation of standard good wastewater management procedures, including appropriate treatment and monitoring quality of receiving waters and soils.</li> <li>• Conserve vegetation along water bodies/sources and near wetlands, especially at wastewater discharge points.</li> <li>• Materials handling and control procedures, use of storage and containment equipment meeting international standards.</li> </ul>   |
| <p><i>Air Quality</i></p> <ul style="list-style-type: none"> <li>• Dust and emissions from construction and operation of processing facility could affect human health, vegetation and wildlife.</li> </ul>   | <ul style="list-style-type: none"> <li>• Sensitive site selection and siting of project components.</li> <li>• Use of modern equipment meeting appropriate emissions standards, and regular preventative maintenance.</li> <li>• Provision of adequate and appropriate ventilation system include mechanical fans and dust extractors.</li> <li>• Provision of dust collection shelter with dust extractor fitted to processing equipment.</li> <li>• Provision of appropriate PPE</li> <li>• Dust control and suppression measures such as sprinkling water, dampening, use of vegetation hedges etc.</li> <li>• Use of enclosed hygienically maintained puree processing line</li> </ul>  |
| <p><i>Noise and Vibration</i></p> <ul style="list-style-type: none"> <li>• Noise and vibration from construction, traffic movement and operation of processing facility, may disturb sensitive noise receptors (human, fauna).</li> </ul>   | <ul style="list-style-type: none"> <li>• Use of modern, well-maintained equipment fitted with abatement devices (e.g. mufflers, noise enclosures).</li> <li>• Processing facility (floor and walls) should be constructed of appropriate construction materials to absorb noise and vibration</li> <li>• Observance of seasonal sensitivities (e.g. breeding seasons), and alteration of activity to reduce noise levels at that time.</li> </ul>   |
| <p><i>Resources and Waste</i></p> <ul style="list-style-type: none"> <li>• Inefficient resource use and waste management during sweet potato production, construction, operation and maintenance of</li> </ul>  | <ul style="list-style-type: none"> <li>• Any abstraction to take place with approval of relevant authorities at all locations.</li> <li>• Regular preventative maintenance to ensure that water wastage is as far as possible limited.</li> </ul>   |

| Impacts  | Mitigation   |
|--|--|
| <p>pure processing facility, may result in generation of wastes/emissions, pollution of soils and water.</p>   | <ul style="list-style-type: none"> <li>● Install rainwater harvesting system with sufficient water storage at the processing facility</li> <li>● Preparation of Waste Management Plan following the waste hierarchy, supported by staff training.</li> <li>● Promote use of water retention or holding trenches during preparation for sweet potato farms</li> <li>● Use of authorised contractors for hazardous and any other wastes which the project cannot dispose of safely.</li> </ul>   |
| <p><i>Direct Impacts on Flora and Fauna</i></p> <ul style="list-style-type: none"> <li>● Earthworks and clearance during land opening may lead to loss of plant and animal species or direct disturbance during construction and operation (e.g. from noise, general human presence).</li> </ul> | <ul style="list-style-type: none"> <li>● Careful planning of phasing and timing of construction activities.</li> <li>● Demarcation and avoidance of areas of conservation interest (high value species, feeding or breeding sites, migration routes, etc.)</li> <li>● Also see measures under Soils, Run-off and Flooding, Pollution of Soils and Water, Noise /Vibration and Induced Access above.</li> </ul>   |
| <p><i>Economic Development and Employment</i></p> <ul style="list-style-type: none"> <li>● Potential for adverse effects if expectations not met and community relations are not well managed.</li> </ul>  | <ul style="list-style-type: none"> <li>● Implement requirements of LMP.</li> <li>● Transparent and culturally appropriate communication with communities regarding employment opportunities.</li> <li>● Fair and transparent hiring and staff management procedures.</li> <li>● Local capacity building to foster community resilience.</li> </ul>   |
| <p><i>Cultural Heritage</i></p> <ul style="list-style-type: none"> <li>● Displacement or damage to cultural heritage sites by construction activities, harm to local setting, amenity value, etc.</li> <li>● Loss and Disturbance of Tangible and Intangible cultural heritage</li> </ul>        | <ul style="list-style-type: none"> <li>● Careful site selection and siting of all project components, taking account of community consultation.</li> <li>● Alternative alignment or special measures to preserve cultural sites of importance to attached persons/communities.</li> <li>● Special measures such as relocating cultural sites in consultation with community.</li> <li>● Community Development Officer to train workers regarding cultural norms of the surrounding communities so that they are aware of the local traditions and ensure that no disrespect of local traditions occurs.</li> <li>● Training workers on their general CoC that would be developed specifically for this project, in addition to the general CoC that any visitor to project sites must be trained on.</li> <li>● Installing signs where cultural heritage sites are located to increase awareness for their protection.</li> <li>● Chance Find Procedure provided in this ESMF will be customized and adopted to each applicable subproject (with earthworks/excavations) and workers will be trained on its protocol, so that any potential artefacts or findings during the construction works can be protected and archaeological sites</li> <li>● Implementation of a “Chance Finds” procedure during construction.</li> </ul> <p><i>See also Guidance Note on Cultural Heritage.</i></p> |
| <p>Labour and Working Conditions</p> <ul style="list-style-type: none"> <li>● Poor management of occupational health and safety</li> </ul>   | <ul style="list-style-type: none"> <li>● Employment practices and working conditions should conform to International Labour Organisation (ILO) Standards and national regulations.</li> </ul>  |

| Impacts  | Mitigation  |
|--|---|
| <p>leading to accidents, injuries and illnesses among workers</p> <ul style="list-style-type: none"> <li>•Differences in nationality, ethnicity, religion, etc. particularly for vulnerable or marginalized individuals or groups may lead to discrimination, exclusion and harassment, and differences (perceived or real) in working conditions between workers may lead to resentment.</li> </ul>   | <ul style="list-style-type: none"> <li>•Rest and recreational facilities and time should be provided, and rules on alcohol and drugs defined and clearly communicated to workers.</li> <li>•The basis for differences in the standard of accommodation should be non-discriminatory; it should be documented and communicated transparently to the workforce.</li> <li>•Clear and comprehensive health and safety reporting and grievance procedure system should be established and be freely available to the entire workforce.</li> <li>•Training on mobilization of communities and non-discrimination for project staff, workers, contractors, and sub-contractors).</li> </ul> <p><i>See also Employment and Economic Development.</i></p>  |
| <p><i>Community Health, Safety and Security</i></p> <ul style="list-style-type: none"> <li>•Poor construction management practices may lead to adverse effects on safety, human health and wellbeing.</li> <li>•Interaction between workforce and local communities may increase occurrence of communicable diseases, including HIV/AIDS and sexually transmitted diseases (STDs).</li> <li>•Changes in water quality due to contamination from runoff from sweet potato farms sprayed with pesticides and fertilisers may result in exposure to water-related diseases</li> </ul> | <ul style="list-style-type: none"> <li>•Good construction site “housekeeping” and management procedures (including site access).</li> <li>•Risk assessments and emergency response planning to consider impacts on local communities.</li> <li>•Implementation of a health management system for workforce, to ensure it is fit for work and that it will not introduce disease into local communities.</li> <li>•Training and awareness raising for workforce and their dependents on HIV/AIDS and other STDs, and communicable diseases including malaria; health awareness raising campaigns for communities on similar topics.</li> <li>•Provide information, education and communication about safe uses of water and hygienic behaviour.</li> <li>•Implement environmental management measures for vector control: e.g., monitoring for key vectors; focal insecticide and molluscicide application.</li> <li>•Establish regular controls and maintenance activities to protect quality of local water supply (e.g., through education and training, measures to limit contamination with wastewater).</li> <li>•Facilitate programmes/measures to ensure appropriate sanitary and medical facilities are available.</li> </ul> |
| <p><i>Workforce-Community Interactions</i></p> <ul style="list-style-type: none"> <li>•Presence of workforce with additional income may result in boost of economic livelihoods as way of accessing this income. Such activities may include provision of meals, accommodation, leisure activities at irregular prices.</li> </ul>   | <ul style="list-style-type: none"> <li>•Adoption of a SEP, as a guideline for early and ongoing community consultation.</li> <li>•Implementation of a Grievance Procedure (see Grievance Procedure and Redress Mechanisms guidance note).</li> <li>•Works procedures, defining a Code of Appropriate Conduct for all workers, including acceptable behaviour with respect to community interactions.</li> </ul>   |
| <p>Occupational Health and Safety Impacts<br/>During construction activities undertaken in an outdoor environment and value addition</p>   | <ul style="list-style-type: none"> <li>• Train staff in occupational health and safety risk management and emergency response, administer all requisite PPE and display appropriate safety and health signage.</li> <li>• Conduct regular hazard analysis to determine the correct PPE needed and require PPE use.</li> </ul>   |

| Impacts   | Mitigation   |
|---|--|
| <p>processing, workers will be exposed varying and extreme weather conditions. These may either be too hot or too cold which may result in body exhaustion and fatigue</p> <p>Potential exposure to noise, dust and fumes during construction and operation of processing facility.</p> | <ul style="list-style-type: none"> <li>• For construction sites, include safety signage to remind workers regarding safety measures, etc.</li> <li>• Development of a Site Emergency Preparedness and Response Plan (EPRP) to define procedure for fire response, rapid clean-up in the event of accidental spills or leaks, to protect soil and groundwater.</li> <li>• Install fire protection, prevention and occupant safety system that includes proper waste management, proper storage of flammable materials, installation of fire extinguishers, water hydrant points, provision of emergency exits, designation of emergency assembly point.</li> <li>• Good Practice for OHS Management <ul style="list-style-type: none"> <li>○ Create a culture of positive reinforcement; don't just react to things that have gone wrong. Share safety information across organizational boundaries through activities such as occasional interdivisional toolbox sessions.</li> <li>○ Balance formal and informal safety training requirements (i.e., certified trainers vs. local experts who are not yet certified to train).</li> <li>○ Help workers know their physical limitations and emphasize the role fitness plays in safety.</li> <li>○ Encourage managers to support safe work practices.</li> <li>○ Daily toolbox should be given to workers to share any information about OHS.</li> </ul> </li> <li>• Strict adherence to PPE policy and adoption of penalty system.</li> <li>• Sufficient number of OHS supervisors should be assigned in order to minimize the breaching of OHS requirements.</li> <li>• Training <ul style="list-style-type: none"> <li>○ Conduct safe lifting training</li> <li>○ Train workers on the benefits, limitations, use, and care of PPE.</li> <li>○ Train all workers on first aid kit usage and designate first aiders whose contacts should be displayed.</li> <li>○ Train all workers on virus infection management (COVID 19).</li> <li>○ Training on hazardous works such as work at heights, work in confined spaces like excavation works, trenching processes, electrical &amp; welding works, etc.</li> <li>○ Institute a permit to work for high-risk work tasks e.g. working at height, or working in confined spaces with limited oxygen flow</li> </ul> </li> <li>• Ensure adequate measures in place to limit spread of infections and viruses.</li> <li>• Provide health insurance for workers and basic first aid amenities.</li> <li>• Sensitize workforce to HIV/AIDS prevention and treatment.</li> <li>• Ensure hygienic and safe environments for workers, and adequate sanitation facilities.</li> </ul> |

| Impacts  | Mitigation  |
|--|---|
|  | <ul style="list-style-type: none"> <li>• Provide adequate and appropriate washrooms, change rooms and toilets facilities</li> <li>• Provide adequate electrical safety measures e.g. properly insulated electrical wiring and appliances, proper electrical grounding, install lightening arrestors and regular maintenance of all electricals</li> </ul>   |
| <p>Health, Accidents and Security Impacts<br/> These may occur during transportation of construction materials, or construction works on site, or operation of processing equipment. Underlying causes could be over speeding, noise or poorly serviced equipment and non-compliance to work procedures among others</p> | <ul style="list-style-type: none"> <li>• Ensure adequate information-sharing and collaboration with the local authorities.</li> <li>• SOSPPA should take responsibility for handling of grievances triggered by the project in the community.</li> <li>• Development and implementation of a Traffic Management Plan (including routes and alternative routes, truck movements, transport of workers, and short-term closure of roads).</li> <li>• SOSPPA together with the local authorities should plan for the provision of communal sanitation facilities to take care of the job seekers and camp followers.</li> <li>• SOSPPA should ensure that the SEP is adequately adopted and implemented.</li> <li>• SOP Fire Management Plans to be enforced and contractor workers to be made aware of their procedures.</li> <li>• Adequate waste management mitigation measures as mentioned previously.</li> <li>• Adequate pollution prevention as mentioned previously.</li> <li>• The mitigation measures identified under the sections on noise, air quality, waste management and traffic deviation, will all minimize the potential negative impacts for communities.</li> </ul> |
| <p>Child Labour</p>  | <ul style="list-style-type: none"> <li>• Prohibit hiring of children, always Engage District Labour Officers to guide on hiring of labour and monitor compliance with the National Laws on Child Labour.</li> </ul>   |
| <p>Poor stakeholder engagement leading to exclusion of vulnerable groups, lack of social license to operate.</p>   | <ul style="list-style-type: none"> <li>• Implement the project SEP</li> <li>• Proper stakeholder mapping and analysis of project stakeholders</li> <li>• Appropriately choose the right channels of communication to the project stakeholders</li> </ul>  |
| <p>Discrimination of Vulnerable or Marginalized Individuals or Groups.</p>   | <ul style="list-style-type: none"> <li>• Assess and review contracts, CoCs, whistle-blower protocols, etc. to ensure that they include appropriate principles of non-discrimination.</li> <li>• Enhance the GRM through the establishment of safe, ethical and confidential means to lodge complaints.</li> <li>• SOSPPA must ensure non- discrimination in job allocation to construction workers whereby women and other vulnerable or marginalized individuals or groups are given responsibility for tasks that are well-suited to the individual’s capabilities, based on their potential.</li> <li>• Monitoring of the implementation of all appropriate measures.</li> </ul>   |

| Impacts | Mitigation  |
|---------|---|
|         | <ul style="list-style-type: none"> <li>• Workplace environment, including the ergonomics of tools and equipment should be gender and disability friendly.</li> <li>• Training/sensitization on inclusion and non-discrimination for community members, contractors and all relevant stakeholders through NGOs/CSOs.</li> <li>• Enhance consultations with stakeholders, including NGOs/CSOs to ensure inclusion and non-discrimination and access to GRMs.</li> </ul> |

**Risk of exclusion of vulnerable and marginalized individuals or groups from project benefits.**

*This refers to all vulnerable individuals or groups who by virtue, for example, of their age, gender, ethnicity, religion, physical, mental or other disability, social, civic or health status, economic hardships, and/or dependence on unique natural resources, may be more likely to be adversely affected by the project impacts and/or more limited than others in their ability to take advantage of a project’s benefits. Such an individual/group is also more likely to be excluded from/unable to participate fully in the mainstream consultation process and as such may require specific measures and/or assistance to do so.*

**The following section refers to vulnerable or marginalized individuals or groups.**

The GoU notes that discrimination of any person contravenes Article 21 of the Ugandan Constitution. The Republic of Uganda (the “Recipient”) has committed to uphold the Bank’s policy requirements for non-discrimination on all World Bank-financed projects. The measures outlined below are intended to ensure that mechanisms exist to identify potential discrimination and to promptly remediate its impacts. Specifically, these mitigation measures will ensure that:

- An individual or group with concerns or grievances would be afforded appropriate avenues to submit their grievances or concerns including through the grievance mechanism corresponding to World Bank financed project.
- The implementors of the referred mechanisms, the World Bank and the GoU, will do what is required of them to ensure that such concerns or grievances are addressed promptly and effectively.

**Risks**

These risks were identified through a process of stakeholder engagement conducted from March 2023 to January 2024 with CSOs, donors, and other interested parties. Stakeholder engagement on the mitigation measures and updating of instruments took place between June 12 and June 23, 2023, as well as between August 28 and September 22, 2023. This engagement was led by the World Bank and included meetings with GoU representatives, other Development Partners and NGOs/CSOs. In addition, in January 2024, the GoU led consultations on the whole World Bank portfolio with key community stakeholders.

**Identified risks include:**

- (v) The risk of vulnerable or marginalized individuals or groups being excluded from project benefits and activities.

- (vi) The risk of vulnerable or marginalized individuals or groups declining to access project services for fear of rejection, retaliation, or being reported to the police as part of project processes. For example, feeling unsafe to register an enterprise or participate in trainings.
- (vii) The possibility that the project may not be able to adequately address health, safety and security risks for vulnerable or marginalized individuals or groups.
- (viii) The need to ensure that project staff are adequately trained on assessing and addressing discrimination.
- (ix) The need to ensure the safe participation of vulnerable or marginalized individuals or groups in consultations; and
- (x) The possibility of hostility toward and stigmatization of vulnerable or marginalized individuals or groups.

### **Mitigation Measures**

The following mitigation measures are proposed to manage the risks of exclusion and discrimination.

These mitigations will be implemented by the PCU with the support of an EISM firm that has been hired by the World Bank and IFC with a strong track record of providing implementation support and monitoring project performance and knowledge of the Ugandan context. This entity is expected to work with NGO/CSOs and country-based development partners in implementing these mitigation measures.

Specifically, the firm will:

Assist project teams to enhance existing project-level grievance mechanisms and develop and operate an independent mechanism that would identify, manage, and monitor cases of discrimination.

- Assist the WB in strengthening the capacity of PCUs, workers, and contractors, subcontractors, and service providers.
- Ensure contracts, codes of conduct, hiring procedures, whistle-blower protection protocols, and other measures, as needed, are in place to require remediation of cases of discrimination.

Develop a strong data management system and process that secures personal data and information in a manner that is safe, ethical, and confidential.

- Where cases of discrimination are reported through the above mechanism, the EISM will report the grievances to the Bank, propose appropriate remediation, and follow up on agreed actions to resolve the case.
- Support the WB/IFC to monitor the efficacy of the agreed measures to mitigate the impacts on WB/IFC financed operations.

A more detailed explanation of the enhanced implementation supports this organisation will provide is found at Annex 9.

## **6.3 OTHER ENVIRONMENTAL AND SOCIAL RISK MANAGEMENT INSTRUMENTS PREPARED FOR THE PROJECT**

Environmental and social risks associated with the project will be managed by SOSPPA as elaborated in this ESMF which contains among others the following instruments: Fertiliser and Pest Management Plan (FPMP) which also includes waste management measures (Annex 4), Stakeholder Engagement Plan

(standalone), and Labor Management Procedures (LMP) (Annex 5), and as appropriate for the project and Uganda country circumstances..

---

### 6.3.1 FERTILISER AND PEST MANAGEMENT PLAN

Though the project will have minimum use of agrochemicals such as fertilisers and pesticides to boost crop production a Fertiliser and Pest Management Plan has been developed to ensure a guided acquisition, storage, handling and application of pesticides and other agrochemicals. The plan includes development of comprehensive strategies for handling, transportation, application and disposal of pesticides in compliance with national and international requirements relating to different agrochemicals. This Plan is in accordance with the national legislation (The Uganda Agriculture Chemicals (Control) Act 2006), guidelines, the World Bank’s Environment and Social Framework and Food and Agricultural Organization (FAO) Guidelines, International Code of Conduct on the Distribution and Use of Pesticides Guidelines on Management Options for Empty Pesticide Containers, WHO & FAO May 2008, and Good Management Practice Guide and Pesticide Management Measures contained in Annex 3.

---

### 6.3.2 LABOR MANAGEMENT PROCEDURES

The Labor Management Procedures (LMP) have been developed to set the way in which workers will be managed in accordance with the requirements of Uganda Labor and Employment Laws and World Bank’s Environmental and Social Standard 2 (ESS2) –Labor and Working Conditions. The LMP apply to project workers including full-time contracted /skilled workers and community workers, part-time, temporary, migrant workers, etc. The LMP is applicable, per ESS2 to the project in the following manner:

- a. people employed or engaged directly in the project (*direct workers*).
- b. People employed or engaged through third parties to perform work related to core functions of the project, regardless of location (*contracted workers*). ‘Third parties may include contractors, sub-contractors, brokers, agents or intermediaries.
- c. People employed or engaged to provide community labour (*community workers*) most likely farmers and employees already working on the farms people employed or engaged by Government’s primary suppliers (*primary supply workers*) – are those suppliers who, on an ongoing basis, provide directly to the project goods or materials essential for the core functions of the project identified in paragraphs 39-42 of ESS2.

The LMP has linkages with the Fertiliser ***Pest Management Plan (FPMP)*** which takes care of the safety and health of the workforce before, during and after application of pesticides. The FPMP provides measures for workers and community safety, including emergency procedures. Both documents form part of this ESMF and should therefore be used in cross-reference. It is recommended that the key aspects of LMP including those of other E&S instruments, shall be incorporated in the bidding documents and contracts for implementation. Details of LMP are in Annex 5 herein.

---

### 6.3.3 OVERALL PROJECT GRIEVANCE REDRESS MECHANISM

Grievance redress mechanisms provide a way to provide an effective avenue for expressing concerns and achieving remedies for communities, promote a mutually constructive relationship and enhance the achievement of project development objectives. It provides a platform for communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level GRMs or the WB’s Grievance Redress Service (GRS). Grievance redress mechanisms serve to prevent and address community concerns, reduce risk, and assist larger processes that create positive social change. It has been learned from many years of experience that open dialogue and collaborative grievance resolution simply represent good business practice both in managing for social and environmental risk and in furthering project and community development objectives. The project will therefore be served by three grievance mechanisms; (i) Bank based GRS (ii) Project Based GRM and EISM GRM, briefly explained here below.

## **WORLD BANK BASED GRIEVANCE REDRESS SERVICE**

The World Bank Grievance Redress Service (GRS) ensures that complaints received are promptly reviewed to address project-related concerns. Project affected communities and individuals may submit their complaint to the Bank's independent Accountability Mechanism (AM). The AM houses the Inspection Panel, which determines whether harm occurred, or could occur, as a result of Bank non-compliance with its policies and procedures, and the Dispute Resolution Service, which provides communities and borrowers with the opportunity to address complaints through dispute resolution. Complaints may be submitted to the AM at any time after concerns have been brought directly to the attention of Bank Management and after Management has been given an opportunity to respond. For information on how to submit complaints to the Bank's Grievance Redress Service (GRS), visit <http://www.worldbank.org/GRS>. For information on how to submit complaints to the Bank's Accountability Mechanism, visit <https://accountability.worldbank.org>.

## **PROJECT LEVEL GRIEVANCE MECHANISM**

When local people present a grievance, they generally expect to receive one or more of the following: acknowledgment of their problem, honest response to questions about project activities, apology, compensation, modification of the conduct that caused the grievance and some other fair remedy. In voicing their concerns, they also expect to be heard and taken seriously. The project level grievance mechanism shall be outlined in the following instruments: ESMF, SEP, and ESMPs.

The World Bank will support the strengthening of the GRM to ensure it includes an effective, safe, ethical, and confidential mechanism to receive, manage, refer, and monitor grievances related to exclusion and discrimination.

## **PROCEDURES AND TIME FRAMES**

There is no ideal model or one-size-fits-all approach to grievance resolution. The best solutions to conflicts are generally achieved through localized mechanisms that take account of the specific issues, cultural context, local customs, and project conditions and scale. In its simplest form, a grievance mechanism can be broken down into the following primary components:

- a. Receive and register a complaint.
- b. Screen and validate the complaint.
- c. Formulate a response.
- d. Select a resolution approach, based on consultation with affected person/group.
- e. Implement the approach.
- f. Settle the issues.
- g. Track and evaluate results.
- h. Learn from the experience and communicate back to all parties involved.

**Level 1:** Farmer Organisation grievance redress committees (FOGRC) will be initiated at the village level to record grievances and help in mediation. This committee will comprise the LC I Chairperson, a trusted village elder, a religious representative, an elected PAP representative, representative of Farmer Group and specific vulnerable group representatives of relevance to the village i.e. women, youth and the disabled. Disputes will be resolved at the village level as much as possible. The project will prioritize use of existing Grievance Redress Structures/ Committees as opposed to forming new ones. In such cases, the project will be introduced to the existing GRCs and taken through the project specific GRM requirements.

### **Level 2: The Grievance Redress Committee at the Sub County level**

This will be established at sub county level to deal with grievances unsettled at the community or farmer groups level. It will comprise of approximately 5 members.

1. The Sub County Chief, Chairperson to the committee
2. The Community Development Officer, Secretary to the committee
3. Secretary for Production, as member

4. A representative of vulnerable groups (women etc.), as member
5. Agriculture extension officer, as member

The grievance mechanism implementation process is as follows for the project:

- a. The Farmer Organisation Grievance Redress Committee (FOGRC) will interrogate the PAP/Complainant in the local language and complete a Grievance Form which will be signed by the leader of the FOGRC and the PAP/complainant. This will then be lodged in the Grievance Log/Register provided by the Grievance focal Officer to be nominated from within the FOGRC
- b. The PAP should expect a response from the FOGRC within seven days of filing the complaint. If the issue is not resolved, the FOGRC will forward the complaint to the GRC at the Sub County and accordingly inform the Complainant.
- c. The GRC at the Sub County will be given a fourteen-day notice to hold a meeting. Two days after the meeting, the Sub County GRC will call the PAP and FOGRC for discussions, feedback, and resolution. The resolution will be presented to the PAP in written form within the same day of the meeting. If there is no resolution to the grievance, the GRC at the Sub County and the PAP shall then refer the matter to the GRC at the Implementing entity.
- d. If there is no resolution of the grievance, the GRC at the subcounty level and the PAP shall then refer the matter to the Implementing entity for resolution; and

**Appeal to Court** - The Ugandan laws allow any aggrieved person the right to access to Court of law. If the complainant remains dissatisfied with the Implementing entity, the complainant has the option to pursue appropriate recourse via judicial process in Uganda. Courts of law will be a “last resort” option, in view of the above mechanism.

### **Management of grievances**

There are ways to proactively solve issues before they even become grievances, and this is in tandem with the E&S mitigation hierarchy. Implementers should be aware and accept that grievances do occur, that dealing with them is part of the work, and that they should be considered in a work plan. Project Implementers should do the following:

- a. **Provide sufficient and timely information to communities.** Many grievances arise because of misunderstandings; lack of information; or delays, inconsistency, or insufficient information. Accurate and adequate information about a project and its activities, plus an approximate implementation schedule, should be documented in the SEP and communicated to the communities, especially PAPs, regularly. Appropriate communication channels and means of communication should be used.
- b. **Conduct meaningful community consultations.** SOSPPA will continue undertaking community consultations and dialogue throughout the implementation of the project. Sharing information, reporting on project progress, providing community members with an opportunity to express their concerns, clarifying, and responding to their issues, eliciting communities’ views, and receiving feedback on interventions will benefit the communities and the project management; and
- c. **Build capacity for project staff.** All project staff will be provided with adequate information on the project such as project design, activities, implementation schedules, and institutional arrangements as well as enhanced skills in effective communication, understanding community dynamics and processes, negotiation and conflict resolution, and empathizing with communities and their needs. Building trust and maintaining good rapport with the communities by providing relevant information on the project and responding effectively to the needs and concerns of the community members will help solve issues before they even become grievances. It is also important that project staff provide regular feedback on their interactions with the communities at the higher levels of the implementing agencies as will be in both the POM and the project SEP.

## EISM GRIEVANCE REDRESS MECHANISM

The EISM GRM is an alternative to lodging complaints through a GOU led Project-level GRM. The EISM GRM shall ensure mitigation of the potential impacts to vulnerable or marginalised individuals or groups through several means including a hotline (0800 333125) for vulnerable or marginalized individuals or groups to lodge their complaints of discrimination. Refer to Annexes 9 and 10 for the details on the EISM GRM and guidelines on how the hotline will be used and cases managed.

### 6.3.4 MANAGING RISKS AND IMPACTS OF CORONA VIRUS DISEASE (COVID-19)

During implementation of the project, there is need to be cognizant of COVID-19 pandemic and its associated risks of infection, if the required measures are not followed.

Though WHO declared that the prevalence of Covid 19 is under control with low cases registered, it is imperative that COVID 19 Standard Operating Procedures (SOPs) continue to be implemented throughout project activities and operations. The following measures shall be followed by the project implementers.

- a. The COVID-19 SOPs for managing the spread of COVID-19 shall be included in the POM.
- b. The following prevention measures shall be ensured: observance of 2 meters social distance as guided by MoH, non-shaking of hands, regular use of hand-sanitizers and washing hands with soap, wearing of face masks while in public, use of temperature guns to screen project participants during project events that bring participants together, reporting protocol of any likely infection of persons, regular training of communities and leaders on COVID-19 control measures; etc.
- c. Provision of appropriate Personal Protective Equipment (PPE) to all project workers and visitors.
- d. Adopting electronic means of consulting stakeholders, whenever possible. At community Level stakeholders, telephone communication and local FM Radio Stations is encouraged.
- e. Upon guidance by MoH, the project shall adopt rapid testing of workers for covid-19 on a regular basis.

## 6.0 MONITORING AND EVALUATION

**Component 4 on Strengthening SOSPPA's governance and management capacities to deliver services to its members** will support the operational expenditures related to the management and the monitoring and evaluation of the project. It will strengthen the planning and coordination of activities supported by the project, as well as the monitoring of their implementation, including E&S aspects.

Monitoring and Evaluation system will be coordinated by CIP. A full time M&E specialist will be hired to monitor and track progress and effectiveness in implementation of project interventions. M&E specialist will ensure that environment and social indicators are integrated, implemented satisfactorily and reported on in all project interventions. These indicators should be aligned to the ESS project instruments. The project will be preparing monthly and quarterly reports to maintain due diligence and prepare bi-annual progress report to submit to the World Bank.

All project results indicators will be disaggregated by gender to monitor women's participation in the project interventions. The project will also enhance capturing this E&S in a disaggregated manner data gender where applicable.

ESHS monitoring activities should be based on direct or indirect indicators of emissions, effluents, and resource use applicable to the sub project. The Contractor will be required to prepare C-ESMPs. This will include the requirement for monitoring of ESHS in the sub-projects. Monitoring frequency should be sufficient to provide representative data for the parameter being monitored. The monitoring should be conducted by trained individuals, following monitoring and record-keeping procedures, and using properly calibrated and maintained equipment. The monitoring data should be analysed and reviewed at regular intervals and compared with the operating standards so that any necessary corrective actions can be taken. In addition, E&S monitoring should address all possible effects that the specific subprojects could have on

the environment. The monitoring, therefore, should encompass vegetation loss, effects on natural terrestrial and aquatic habitats, erosion, air and water quality, as well as social surveys, traffic safety and health, and other occupational health and safety issues. A set of monitoring indicators will be determined during ESMP implementation and will be guided by the indicators contained in this ESMF and the Project Paper (PAD). Appropriate monitoring formats will be prepared for monitoring and reporting requirements.

The PCU will develop terms of reference and cost and include M&E for any additional surveys or assessments proposed prior to conduct of an ESMP.

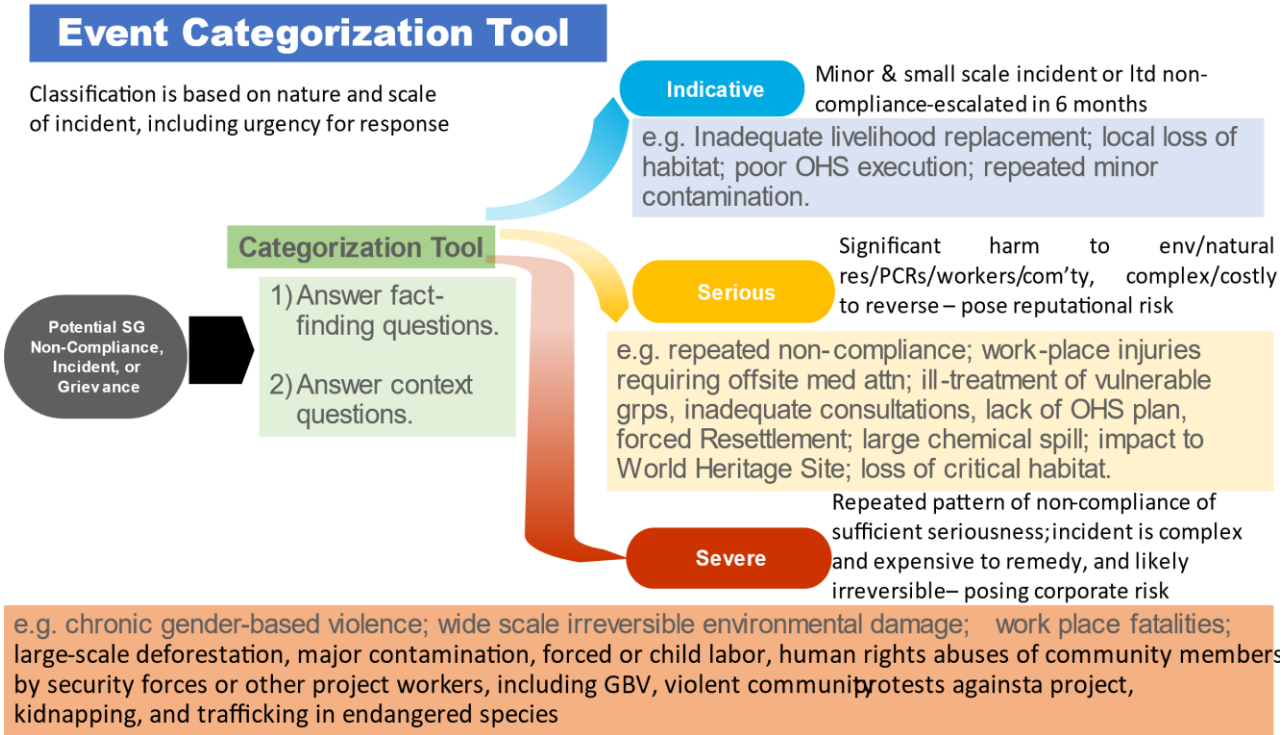
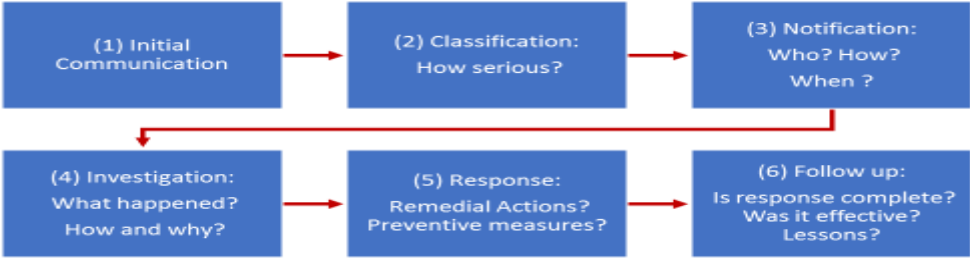
**The following Table shall be used to monitor implementation of the ESMF:**

**Table 1: Annual Budget Estimates for Monitoring the Implementation of the ESMF.**

| Item   | Annual Budget estimates (UG SHS “000”) |           |           |           |           |         |
|--|--|-----------|-----------|-----------|-----------|---------|
|  | Year 2025                              | Year 2026 | Year 2027 | Year 2028 | Year 2029 |         |
| Implementation of General Capacity Development Plan for Management of E&S Risks and Impacts in the project (Chapter 7.4).  | 5,000                                  | 4000      | 3,000     |           |           |         |
| Projects (Environmental, Social, Safety and Health (ESSH) supervision SOSPPA   | 2,000                                  | 4,000     | 4,000     | 3,000     | 2,000     |         |
| ESSH compliance supervision by District ESS team   | 1,000                                  | 4,000     | 4,000     | 4,000     | 4,000     |         |
| stakeholder engagements, preparation and implementation of site-specific instruments and tools including mainstreaming of ESHS aspects in other project activities | 2000                                   | 2,000     | 2,000     | 1,000     | 1,000     |         |
| Strengthening GRM structures,  | 2000                                   | 2000      | 2000      | 2000      | 2000      |         |
| Enhancing acquisition of ESSH safeguards statutory permits and certificates in respect of project components   | 8,000                                  | 2,000     | 2,000     | 2,000     | 2,000     |         |
| Strengthening stakeholders, institutional participation, and mindset change including protection of vulnerable groups  | 2,000                                  | 2,000     | 2,000     | 2,000     | 2,000     |         |
| Project Closure E&S Audit.   |  |           |           |           | 20,000    |         |
|  |  |           |           |           |           |         |
| <b>Total Annual Budget</b>   | <b>22,000</b>                          | 20,000    | 19,000    | 14,000    | 33,000    |         |
| <b>GRAND TOTAL BUDGET FOR MGT OF E&amp;S RISKS</b>   |  |           |           |           |           | 108,000 |

**Reporting of Incidents, Accidents and Complaints:** SOSPPA shall within 48 hours of occurrence promptly notify the World Bank of any ESHS incident or accident or complaint related to the Project which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the public or workers *including* those resulting in death or significant injury to workers or the public; acts of violence, discrimination or protest; unforeseen impacts to cultural heritage or biodiversity resources; pollution of the environment; forced or child labor; displacement without due process (forced eviction); allegations of sexual exploitation or abuse (SEA), or sexual harassment (SH) and any incidents or complaints related to the discrimination of vulnerable or marginalized individuals or groups; or disease outbreaks. Provide sufficient detail regarding the incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor and supervising entity, as appropriate. Within ten days after the incident/accident/complaint, in consultation with the World Bank, SOSPPA shall undertake a Root-Cause Analysis (RCA) and develop a Safeguards Corrective Action Plan to be shared with the World Bank, and this will include measures to prevent its recurrence, including actions, responsibilities and timelines for implementation, and monitoring program. Existing country regulatory framework e.g. police investigations should be referenced commensurately as part of the RCA but do not replace the SOSPPA’s investigation.

**Handling and reporting of Incidents/ Accidents shall be undertaken in the following order/process:**



**Initial Communication within 2 hrs of incident should contain the following information:**

- What was the incident? What happened? To what or to whom?
- Where and when did the incident occur?
- What is the information source? How did you find out about it?
- Are the basic facts of the event clear and uncontested, or are there conflicting versions?
- What were the conditions or circumstances under which the incident occurred?
- Is the event still ongoing or is it contained?
- Is loss of life or severe harm involved?
- What measures have been or are being implemented? By who?
- Has the Government been informed? What is their response (if any yet)?

*Further details and guidance in reporting incidents can be found in the World Bank’s Environmental and Social Incidents Reporting Tool Kit.*

**Closure Environmental and OHS Audit:** Though the current project activities do not fall under Schedule 5 and 10 of the NEA, 2019 that require an environmental and social compliance Audit to be undertaken. In case it is warranted by the Authority or funder in the interest of protection of human health and the environment, an Environmental and Social Audit shall be undertaken before closure of the project implementation (six months to closure). SOSPPA shall commission an independent E&S Audit with a view of identifying any residual issues which will require to be addressed and/or followed up before and after project implementation.

## **7.0 GENERAL CAPACITY DEVELOPMENT FOR MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS**

### **7.1 CAPACITY ASSESSMENT NEEDS**

At sub-regional level, the project (PCU<sup>9</sup>) will closely work with NEMA and MoGLSD. Capacity needs for the PCU shall be identified and capacity strengthening initiatives devised to address them through training, sensitisation among others. The participating Districts shall ensure participation of the following staff as part of the District Implementation Support Teams: Natural Resources Staff (District Natural Resources Officer and District Environment Officer), and Community-Based Services Department (District Community Development Officers, District Labour Officers, District Gender Officers, and District Probation officers). The full structure for project coordination including roles and responsibilities will be clearly outlined in a

---

<sup>9</sup> The PCU shall include a Project Coordinator (Head), Environment Specialist, Social Specialist, an Orange Flesh Sweet Potato (OFSP) Puree Processing Manager, Silage Processing Manager, Marketing Manager, Agronomist, Accountant, and M&E Specialist.

POM that will be prepared by the project team before commencement of project activities as indicated in the Grant Agreement.

To effectively implement the ESMF and other E&S instruments prepared for the SOSPPA project, the line agencies, participating District LGS, Sub-Counties, and participating Farmer Groups will need to be trained so as to enhance their basic skills and understanding of general E&S dimensions and with specific reference to the national and World Bank ESF requirements. Specific attention will be given to enhancing the implementation support and monitoring of mitigation measures defined for potential exclusion and discrimination of vulnerable or marginalized individuals or groups as defined in the EISM. The overall objective will be to build and strengthen the institutional capacity of the implementing agencies to better support the development and integration of social and environmental measures into the project. The institutional capacity building strategy will seek to:

- a. Develop organizational mechanisms to ensure that E&S requirements of the World Bank and Uganda are followed throughout project implementation.
- b. Assist SOSPPA and the respective farmer organisations in strengthening their capacity to deal with E&S issues in a sustainable and safe manner.
- c. Ensure effective coordination with implementing districts.
- d. Identify and assess overall needs for environmental education, information, awareness building and training.

## **7.2 TRAINING IN ENVIRONMENTAL AND SOCIAL SAFEGUARDS IMPLEMENTATION**

The training modules below are proposed to form part of the training program to ensure awareness of how to effectively implement the ESMF. Each Module will be delivered in one day.

### **7.2.1 MODULE 1**

- a. Introduction to Basic concepts on environment and social issues.
- b. Their relevance and significance in project implementation.
- c. Overview of environment and social management requirements in Uganda.
- d. Project identified risks and impacts and their mitigation measures including EISM.
- e. World Bank ESF, summary of the 10 ESSs, and their requirements.
- f. Introduction of ESF Instruments and their implementation requirements (ESMF, ESCP, SEP, FPMP, LMP, and GRM).

### **7.2.2 MODULE 2**

- a. Introduction to Project Components, Implementation requirements and coordination/ management arrangements, responsibilities of various stakeholders and communities, including formation and coordination of various project Committees.
- b. Environmental and social considerations of each project component.
- c. Mobilization and consultation of communities taking into consideration vulnerable or marginalized individuals or groups.
- d. Non-discrimination of vulnerable or marginalized individuals or groups.
- e. Screening using the E&S Screening Form.
- f. Development of and ESMP, its implementation, monitoring and reporting.
- g. Training on supervision of ESMP and associated implementation plans. This would address how to ensure appropriate ESHS conditions included in project contracts, how to perform site visits to supervise/check works/activities, how to review project E&S monitoring reports (e.g., from

contractors) and how to prepare E&S reports and notifications, how to develop actions (plans) to resolve issues or non-compliances, etc.

---

### **7.2.3 MODULE 3**

These will include:

- a. Introduction of the project components and E&S requirements
- b. Training all project workers on key provisions of project Code of Conduct.
- c. Management of Occupational and Community Health and Safety aspects including emergency response.
- d. Establishing and operationalizing Grievance Redress Committees, including their Training, Grievance Log maintenance and resolution of grievances.
- e. Reporting Serious and Severe Incidents and Accidents relating to project operations, in compliance with World Bank's Operational Procedures.
- f. Training project team on handling of Sexual Exploitation and Abuse cases; and.
- g. Labour and Working Conditions, and Compliance with National Labour Laws
- h. SGBV, child labour and protection issues
- i. Training project teams in the region and PCU in EISM in the mitigation of potential exclusion and discrimination of all vulnerable or marginalized individuals or groups.

### **7.3 ESMF DISCLOSURE**

This ESMF will be disclosed in compliance with relevant Ugandan regulations and the World Bank Environment and Social Framework. It will be disclosed by SOSPPA, and copies provided to all participating Districts and render the ESMF accessible to the Farmer Organizations. Subsequently it will also be disclosed on the World Bank external website and will also be available to any interested people.

## REFERENCES

1. African and Latin American Resilience to Climate Change (ARCC), 2013: **Uganda Climate Change Vulnerability Assessment Report**. Accessed at: <http://community.eldis.org/.5b9bfce3/ARCC-Uganda%20VA-Report.pdf>
2. Coffey (2016): Girls Empowerment in Karamoja Region
3. Environmental and Social Management Framework (ESMF) for Agricultural Cluster Development Project (ACDP), MAIIF-2014.
4. Environmental and Social Management Framework (ESMF) for Regional Pastoral Livelihoods Resilience Project, MAIIF 2013.
5. Concept Environmental and Social Review Summary (ESRS) of Uganda Climate Smart Agricultural Transformation Project, World Bank, June 2021.
6. Project Concept Note (PCN) for Uganda Climate Smart Agricultural Transformation Project, World Bank, May 2021.
7. FAO, 2008: **Climate-Related Trans-Boundary Pests and Diseases. Technical Background Document from the Expert Consultation Held on 25 to 27 February 2008**. Accessed at <ftp://ftp.fao.org/docrep/fao/meeting/013/ai785e.pdf>
8. Kyamanywa, S. “**Current Status of IPM in Uganda**.” Proceedings of the IPM Networking in Sub-Saharan Africa Workshop, 14-16 October 1996. IPM Networking in Sub-Saharan Africa. Gebrekidan B, Amirault J.P, Abate T. Eds. pp 28-36. Virginia Tech, 1996
9. Margaret A. Rugadya and Herbert Kamusiime (2013), Tenure in Mystery: The Status of Land Under Wildlife, Forestry and Mining Concessions in Karamoja Region, Uganda. *Nomadic Peoples* Vol. 17 Issue 1 2013 33-65.
10. Government of Uganda (GoU), 2007: Climate Change: **Uganda National Adaptation Programmes of Action**. Accessed at: <http://unfccc.int/resource/docs/napa/uga01.pdf>
11. Hepworth, N D, 2010: **Climate change vulnerability and adaptation preparedness in Uganda**.
12. Ministry of Finance, Planning and Economic Development (MoFPED) 2008: **Gender Analysis of the Uganda National Household Survey 2005/06**. <http://www.mglsd.go.ug/wp-content/uploads/2010/04/gender%20analysis%20of%20the%20UNHS%20final%202008.pdf>
13. The Land Use Policy, 2004, MoLHUD.
14. National Environment Act 2019.
15. National Environment (Environmental and Social Assessment) Regulations, 2020.
16. National Environment (Waste Management) Regulations 1999.
17. National Environment (Audit) Regulations, 2006.
18. National Environmental Management Authority (NEMA), (2009): **Health and Environment Analysis Report in the Sound Management of Chemicals in Uganda**.
19. NEMA 2002: **National Profile to Assess the Chemicals Management Infrastructure in Uganda**. [http://www2.unitar.org/cwm/publications/cw/np/np\\_pdf/Uganda\\_National\\_Profile.pdf](http://www2.unitar.org/cwm/publications/cw/np/np_pdf/Uganda_National_Profile.pdf)
20. MAAIF (2013): **Crop Diseases and Pests Control**. <http://www.agriculture.go.ug/index.php?page=projects&id=26>
21. Pest Management Plan of Agriculture Cluster Project (ACDP), MAAIF 2014.
22. The Constitution of the Republic of Uganda 1995, Ministry of Justice and Constitutional Affairs.
23. World Health Organization (WHO) 2006: **Safer Access to Pesticides: Community Interventions**. [http://www.who.int/mental\\_health/prevention/suicide/pesticides\\_safer\\_access.pdf](http://www.who.int/mental_health/prevention/suicide/pesticides_safer_access.pdf)

## 8 ANNEXES

### **ANNEX 1: SCREENING FORM FOR POTENTIAL ENVIRONMENTAL AND SOCIAL ISSUES**

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 110 of the National Environment Act, 2019.

|  |  |
|--|--|
| a. Component   |  |
| b. Name of Subproject  |  |
| c. Sub-Project Objective   |  |
| d. Expected Commencement Date  |  |
| e. Location (District, Parish, Village)  |  |
| f. Proposed Main Project Activities  |  |
| g. Potential E&S risks (including exclusion and discrimination of vulnerable or marginalized individuals or groups)                                |  |
| h. Approximate size of land area available for the subproject and Ownership Status / Evidence (Land Title, Agreement, Community Contribution, etc) |  |
| i. Estimated Sub-project cost UG.Shs   |  |
| j. Name, Title and Contact (Email & Tel) of Evaluator  |  |

#### **BRIEF DESCRIPTION OF THE PROPOSED PROJECT**

-----  
 -----

#### **EMPLOYEES AND LABOURERS**

| Number of people to be employed: Employees and Laborers | During Construction | During Routine Operation |
|---|---------------------|--------------------------|
| Full-time   |                     |                          |
| Part-time   |                     |                          |

#### **DESCRIPTION OF PROCESS THAT COULD BE IMPLEMENTED**

Briefly describe the type and nature or type of the project at the site.-----  
 -----

List the type and quantity of raw materials to be used in the project and highlight their sources.

| Material | Quantity | Source |
|----------|----------|--------|
|          |          |        |

## POTENTIAL ENVIRONMENTAL IMPACTS

Please indicate environmental impacts that may occur as a result of the proposed project.

### A. The Biological Environment

#### The Natural Environment

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

- a. Will the project directly or indirectly affect: Natural Forest types? swamps? Wetlands (i.e., lakes, rivers, swamps, seasonally inundated areas)? Natural critical habitats (parks, protected areas)?
- b. Other habitats of threatened species that require protection under Ugandan laws and/or international agreements? YES \_\_\_\_\_ NO \_
- c. Involve drainage of wetlands or other permanently flooded areas? YES \_\_\_\_\_ NO \_\_\_\_\_
- d. Reduce the quantity of water for the downstream users? YES \_\_\_\_\_ NO \_\_\_\_\_
- e. Result in the lowering of groundwater level or depletion of groundwater? YES \_\_\_\_\_ NO \_\_\_\_\_
- f. Are there according to background research/observations any threatened/ endemic species in the project area that could be affected by the project? YES \_\_\_\_\_ NO \_\_\_\_\_
- g. Will vegetation be cleared? If yes, please state the distance/length/ha of affected area YES \_\_\_\_\_ NO \_\_\_\_\_
- h. Will there be any potential risk of habitat fragmentation due to the clearing activities? YES \_\_\_\_\_ NO \_\_\_\_\_
- i. Will the project lead to a change in access, leading to an increase in the risk of depleting biodiversity resources? YES \_\_\_\_\_ NO \_\_\_\_\_
- j. Will the project Divert the water resource from its natural course/location? YES \_\_\_\_\_ NO \_\_\_\_\_

Provide an additional description for “yes” answers:

#### Protected Areas

Does the subproject area or do subproject activities:

- a. Occur within or adjacent to any designated protected areas? YES \_\_\_\_\_ NO \_\_\_\_\_
- b. Affect any protected area downstream of the project? YES \_\_\_\_\_ NO \_\_\_\_\_
- c. 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:

#### Invasive Species

- a. Introduce exotic plants or animals? YES \_\_\_\_\_ NO \_\_\_\_\_
- b. Is the sub-project likely to result in the dispersion of or increase in the population of invasive? plants or animals (e.g., along distribution lines)? YES \_\_\_\_\_ NO \_\_\_\_\_

Provide an additional description for a “yes” answer:

### B. The Physical Environment

#### Geology/Soils

Will slope or soil stability be affected by the project? YES \_\_\_\_\_ NO \_\_\_\_\_

Will the subproject cause physical changes in the project area (e.g., changes to the topography)? YES \_\_\_\_\_ NO \_\_\_\_\_

Will local resources, such as rocks, wood, sand, gravel be used? YES \_\_\_\_\_ NO \_\_\_\_\_

Could the subproject potentially cause an increase in soil salinity in or downstream the project area? YES \_\_\_\_\_ NO \_\_\_\_\_

Could the soil exposed due to the project potentially lead to an increase in lixiviation of metals, clay sediments, or organic materials? YES \_\_\_\_\_ NO \_\_\_\_\_

### **Landscape / Aesthetics**

Is there a possibility that the sub-project will adversely affect the aesthetics of the landscape? YES \_\_\_\_\_ NO \_\_\_\_\_

### **Pollution**

Will the sub-project use or store dangerous substances (e.g., large quantities of hydrocarbons)?

YES \_\_\_\_\_ NO \_\_\_\_\_

Cause pollution of aquatic ecosystems by sedimentation and agro-chemicals, oil spillage, effluents, etc.?

YES \_\_\_\_\_ NO \_\_\_\_\_

Will the subproject produce harmful substances, or Create waste that could adversely affect local soils, vegetation, rivers and streams or groundwater? YES \_\_\_\_\_ NO \_\_\_\_\_

Will the subproject produce solid or liquid wastes? YES \_\_\_\_\_ NO \_\_\_\_\_

Will the subproject cause air pollution? YES \_\_\_\_\_ NO \_\_\_\_\_

Will the subproject generate noise? YES \_\_\_\_\_ NO \_\_\_\_\_

Will the subproject generate electromagnetic emissions? YES \_\_\_\_\_ NO \_\_\_\_\_

Will the subproject release pollutants into the environment? YES \_\_\_\_\_ NO \_\_\_\_\_

## **C. The Social Environment**

### **Land Use, Resettlement, and/or Land Acquisition**

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

- a. Are there any land use plans on or near the sub-project location, which will be negatively affected by subproject implementation? YES \_\_\_\_\_ NO \_\_\_\_\_
- b. Are there any areas on or near the subproject location, which are densely populated which could be affected by the sub-project? YES \_\_\_\_\_ NO \_\_\_\_\_
- c. Are there sensitive land uses near the project area (e.g., hospitals, schools)? YES \_\_\_\_\_ NO \_\_\_\_\_
- d. Will there be a loss of livelihoods among the population? YES \_\_\_\_\_ NO \_\_\_\_\_
- e. Will the sub-project affect any resources that local people take from the natural environment? YES \_\_\_\_\_ NO \_\_\_\_\_
- f. Will there be additional demands on local water supplies or other local resources? YES \_\_\_\_\_ NO \_\_\_\_\_
- g. Will the sub-project restrict people's access to land or natural resources? YES \_\_\_\_\_ NO \_\_\_\_\_
- h. Will the project require resettlement and/or compensation of any residents, including squatters? YES \_\_\_\_\_ NO \_\_\_\_\_ *(Please note that Subprojects with physical resettlement requirement/s are excluded from the project)*
- i. Will the subproject 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 \_\_\_\_\_
- j. Who is/are the present owner(s)/users of resources/infrastructures the subproject area?

**Loss of Crops, Fruit Trees, and Household Infrastructure** Will the subproject result in the permanent or temporary loss of: Crops?

Fruit trees / coconut palms? Household infrastructure? Any other assets/resources?

### **Occupational Health and Safety, Health, Welfare, Employment, and Gender**

- a. Is the sub-project likely to safeguard worker's health and safety and public safety (e.g., occupational health and safety issues, COVID-19 risks)? YES \_\_\_\_\_ NO \_\_\_\_\_
- b. Will the project Cause poor water drainage and increase the risk of water related diseases such as malaria? YES \_\_\_\_\_ NO \_\_\_\_\_

- c. How will the project minimize risk of HIV/AIDS?
- d. How will the project minimize risks of COVID-19 infection and spread?
- e. How will the sub-project minimize the risk of accidents? How will accidents be managed, when they do occur?
- f. Is the project likely to provide local employment opportunities, including employment opportunities for women? YES \_\_\_\_\_ NO \_\_\_\_\_
- g. Provide an additional description for “yes” answers:

**Historical, Archaeological, or Cultural Heritage Sites**

Based on available sources, consultation with local authorities, local knowledge and/or observations, could the sub-project alter:

Historical heritage site(s) or require excavation near the same? YES \_\_\_ NO \_\_\_

Archaeological heritage site(s) or require excavation near the same? YES \_\_\_ NO \_\_\_\_\_

Cultural heritage site(s) or require excavation near the same? YES \_\_\_\_\_ NO \_\_\_\_\_

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.

**Note:** *At the bear minimum, if the answers to any of the above is ‘yes’, please include an ESMP with sub-project application.*

**RECOMMENDATIONS**

**Environmental category: (tick where applicable)**

| Category (In line with ESF & Ug-NEA)   | Justification |
|--|---------------|
| <b>Exempt:</b><br>Does not require further environmental or social (Sections 113 (3) & 182 (2) & Schedule 11 of NEA) – Projects exempted from ESAs studies                     |               |
| <b>Low/ Moderate Risk:</b><br>Requires submission of only a Project Brief or ESMP (Section 112 & Schedule 4 of NEA)  |               |
| <b>Substantial/ High Risk:</b><br>Requires a full/Mandatory ESIA to be submitted on date (Sections 49 (1&2), 113, 126(2), 176(1), 177(1) & 181(2) & Schedules 5, 6, 10 of NEA) |               |
| Requires a RAP to be submitted on date   |               |
| Requires an Indigenous Peoples Plan (IPP)  |               |
| Requires a Physical Cultural Resources Plan  |               |
| Requires a Pest Management Plan  |               |
| Requires a Security Management Plan  |               |

**CERTIFICATION BY THE SUB-COUNTY EXTENSION STAFF**

**(Agricultural/Fisheries/Environmental Focal Officer & Community Development Officer)**

We certify that we have thoroughly examined all the potential adverse effects of this subproject and recommended appropriate Risk Categorization and E&S Instrument to be prepared/used.

Reviewer

Title:

.....  
 .....

Name and Contact (EM + TEL):

.....  
.....

Signature:

.....  
.....

Date:

.....  
.....

**CERTIFICATION BY THE DISTRICT  
(District Environment Officer & District Community Development Officer)**

We certify that we have thoroughly examined all the potential adverse effects of this subproject and recommended appropriate Risk Categorization and E&S Instrument to be prepared/used.

Reviewer Title:

.....  
.....

Name and Contact (EM + TEL):

.....  
.....

Signature:

.....  
.....

Date:

.....  
.....

**CERTIFICATION BY THE SOSPA PCU**

We certify that we have thoroughly examined all the potential adverse effects of this subproject and recommended appropriate Risk Categorization and E&S Instrument to be prepared/used.

Reviewer Title:

.....  
.....

Name and Contact (EM + TEL):

.....  
.....

Signature:

.....  
.....

Date:

.....  
.....

## **ANNEX 2: EXCLUSION LIST**

- a. Activities that may cause long term, permanent and/or irreversible (e.g. loss of major natural habitat) impacts or significant conversion of critical habitat as defined in ESS6.
- b. Activities that have a high probability of causing serious adverse effects to human health and/or the environment, other than associated with use of pesticides.
- c. Activities that may have significant adverse social impacts and/ or may give rise to significant social conflict.
- d. Activities that may involve exclusion and discrimination of people especially the vulnerable or marginalized individuals or groups as well as the disadvantaged groups.
- e. Activities that may affect lands or rights of Indigenous Peoples or other vulnerable minorities.
- f. Activities that may involve involuntary resettlement or land acquisition (other than voluntary land donation) or impacts on cultural heritage.

### **ANNEX 3: PREPARATION OF PROJECT BRIEF, ESMP AND MONITORING PLAN**

The National Environment (Environmental and Social Assessment) Regulations 2020, Sub-section 6 (5) provides that, the project brief shall contain the following information, in a concise manner:

- a. A description of the proposed project, including the name, purpose and nature of the project in accordance with the categories in Schedule 4 of the Act.
- b. The proposed location and physical boundaries, including a map and coordinates of the project clearly showing the projected area of land or air that may be affected by the project activities, or, if it is:
  - i. A linear activity, a description of the route of the activity and an alternative route, if any; or
  - ii. An activity on a water body, the coordinates within which the activity is to be undertaken.
- c. An evaluation of project alternatives, including a zero or no-project alternative in terms of project location, project design or technologies to be used, and a justification for selecting the chosen option.
- d. The design of the project and any other project related components and associated facilities, including the activities that shall be undertaken and a description of the major material inputs to be used during construction or development and operation of the project.
- e. The estimated cost of the project evidenced by a certificate of valuation of the capital investment of the project, issued by a qualified and registered valuer.
- f. The size of the workforce.
- g. A description of the way the proposed project and its location conform to existing laws, standards and international agreements governing the projects, including reference to relevant plans required under the Physical Planning Act, 2010 and Building Control Act, 2013.
- h. An indication of permits, licenses or other approvals that may be required for the project.
- i. Baseline conditions of the physical, biological and socio- economic environment of the project area, including results of relevant studies and other geophysical and geotechnical studies.
- j. A description of potential direct, indirect, induced, cumulative, transboundary, temporary and permanent environmental, health, social, economic and cultural impacts of the project and their severity, and the proposed mitigation measures to be taken during the planning, design, pre-construction, construction, operational and decommissioning phases of the project.
- k. proposed mitigation and preparedness measures for potential undesirable impacts that may arise at project implementation but were not contemplated at the time of undertaking the project brief.
- l. A description of climate-related impacts associated with the project, including potential climate benefits and carbon footprints of the proposed project, as well as the potential vulnerability of the proposed project or activity to climate change, and the proposed adaptation and mitigation measures;
- m. A description of alternative resettlement areas for project affected persons, if any, their associated E&S impacts, and or any plans for compensation to project affected persons;
- n. An environmental management and monitoring plan developed in accordance with Regulation 46, incorporating climate adaptation and mitigation plan;
- o. Plan for stakeholder engagement throughout the proposed project or activity development, including details on how to address potential related grievances or requests for information, and evidence of stakeholder consultation; and
- p. Any other information required by the Authority or lead agency.

In addition to the above, the Environmental and Social Management Plan (ESMP) will contain assessment of the social risks relating to potential exclusion and discrimination against vulnerable or marginalized individuals or groups from equally accessing benefits and opportunities of the project. It will also contain provisions on the management of potential exclusion and discrimination of vulnerable or marginalized individuals or groups. These provisions are consistent with recent actions taken by the GOU that are highlighted and included in Annex 9

The purpose and objective of these provisions is to ensure: (i) that project impacts do not fall disproportionately on individuals and groups who, because of their particular circumstances, may be disadvantaged or vulnerable; (ii) there is no prejudice or discrimination toward individuals or groups in providing access to development resources and project benefits, particularly in the case of those who may be disadvantaged or vulnerable; (iii) Bank financed operations are implemented through their respective life cycles in a manner that is aligned with the inclusion and non-discrimination principles embedded in applicable Bank requirements including the

ESSs in line with World Bank (WB) Policy paragraph 4 (b) ESF paragraph 28 (b) of ESS1 on Assessment and Management Environment and Social Risk and Impacts.

The guidelines on the implementation of these provisions have been developed and shared widely. The WB in consultation with the Recipient have designed EISM (Annex 10) and guidelines for implementing additional mitigation measures (Annex 11). The POM will also provide guidelines to facilitate the implementation of these provisions.

If the Executive Director is satisfied that the project will have no significant impact on the environment, or that the Project Brief discloses sufficient mitigation measures to cope with the anticipated impacts he may approve project. The Executive Director of NEMA or his delegated official shall then issue a Certificate of Approval for the project. However, if the Executive Director finds that the project will have significant impacts of the environment and that, the Project Brief does not disclose sufficient mitigation measures to cope with the anticipated negative impacts, he shall require that, the developer undertakes an ESIA for the planned project.

### **Summary Guidelines/ Steps for Preparation of ESMPs/ PBs as described above**

**Introduction:** Drafting of the Project Brief involves the identification and development of measures aimed at eliminating, offsetting and/or reducing E&S impacts to levels that are acceptable during implementation and operation of the projects. As an integral part of project brief is the ESMP which provides an essential link between the impacts predicted and mitigation measures. SOSPPA shall prepare standard ESMP in a format suitable for inclusion as technical specifications in the contract documents. ESMPs should be prepared after considering comments and clearance conditions from both the relevant agency providing environmental clearance and WB. Given below are the important elements that constitute an ESMP.

**Description of Mitigation Measures:** Feasible and cost-effective measures to minimize adverse impacts to acceptable levels should be specified with reference to each impact identified. Further, the ESMP should provide details on the conditions under which the mitigation measure should be implemented. The ESMP should also distinguish between the type of solution proposed (structural and non-structural) and the phase in which it should become operable (design, construction and/or operation). Efforts should also be made to mainstream E&S aspects (including risks of exclusion and discrimination of vulnerable or marginalized individuals or groups) wherever possible.

**Monitoring Programme:** To ensure that the proposed mitigation measures have the intended results and comply with national standards and World Bank requirements (including ensuring inclusivity and non-discrimination of vulnerable or marginalized individuals or groups, an environmental performance monitoring program should be included in the ESMP. The Project will consider and integrate the EISM guidelines in enhancing the monitoring and reporting on the mitigation measures for potential exclusion and discrimination as defined in the assessment and planned in the ESMP. The EISM will support the WB to monitor the efficacy of the agreed measures to mitigate the impacts on Strengthening Productive Capacity and Resilience of Smallholder Sweet potato Producer Organizations in Uganda Project.

The monitoring program should give details of the following:

- Monitoring indicators to be measured for evaluating the performance of each mitigation measure (for example: national standards, engineering structures, extent of area replanted, etc).
- Monitoring mechanisms and methodologies
- Monitoring frequency (including number of complaints reported on and relating to exclusion and discrimination of vulnerable or marginalized individuals or groups)
- Monitory locations.

**Institutional Arrangements:** Institutions/parties responsible for implementing mitigation measures and for monitoring their performance should be clearly identified. Where necessary, mechanisms for institutional coordination should be identified, as often, monitoring tends to involve more than one institution. The monitoring of Strengthening Productive Capacity and Resilience of Smallholder Sweet potato Producer Organizations in Uganda Project, will be supported by the guidelines enshrined in EISM (Annex 10).

**Implementation Schedules:** Timing, frequency and duration of mitigation measures with links to the overall implementation schedule of the project should be specified. These should also be improved by the guidance that are defined in the EISM (Annex 10).

**Reporting Procedures:** Feedback mechanisms to inform the relevant parties on the progress and effectiveness of the mitigation measures and monitoring itself should be specified. Guidelines on the type of information wanted and the presentation of feedback information should also be highlighted.

**Cost estimates and sources of funds:** Implementation of mitigation measures mentioned in the ESMP will involve an initial investment cost as well as recurrent costs. The ESMP should include cost estimates into the sub-project design, bidding and contract documents to ensure that the contractors will comply with the mitigation measures. The costs for implementing the ESMP will be included in the sub-project designs.

### **Environmental and Social Management Plan-ESMP**

The ESMP is intended to ensure efficient management of E&S issues in subprojects. The ESMP consists of:

- a. The relevant project activities.
- b. The potential negative E&S impacts.
- c. The proposed mitigating measures.
- d. The institutions responsible for implementing mitigation measures.
- e. The institutions responsible for monitoring the implementation of the mitigation measures and the frequency of the afore mentioned measures.
- f. Capacity building needs; and
- g. The cost estimates for these activities.

In cases the sub-projects are small in nature without significant environmental impacts, an ESMP will be prepared and will outline specific actions to mitigate these impacts and conforming to the obligations stipulated in the screening exercises, and all legal instruments in force. At the time of the implementation of the sub-projects, the potential E&S impacts must be clearly identified and a management plan formulated, implemented and the plan's performance monitored during and after execution of sub-project activities. The impacts must be avoided or neutralized where possible or mitigated in conformity with Uganda's and the World Bank's prescriptions for sound environmental management.

### **Environmental Management and Monitoring Plan**

Monitoring is the continuous and systematic collection of data to assess whether the environmental objectives of the project have been achieved. It provides information on the occurrence of impacts. It helps identify how well mitigation measures are working, and where better mitigation may be needed. The monitoring program should identify what information will be collected, how, where and how often. It should also indicate at what level of effect there will be a need for further mitigation.

How environmental impacts are monitored is discussed below.

- a. Responsibilities in terms of the people, groups, or organizations that will carry out the monitoring activities be defined, as well as to whom they report amongst others. In some instances, there may be a need to train people to carry out these responsibilities, and to provide them with equipment and supplies.
- b. Implementation schedule covers the timing, frequency and duration of monitoring are specified in an implementation schedule and linked to the overall sub project schedule.
- c. Cost Estimates and sources of resources for monitoring need to be specified in the monitoring plan.
- d. Monitoring methods need to be as simple as possible, consistent with collecting useful information, so that the sub project implementer can apply them.
- e. The data collected during monitoring is analyzed with the aim of:
  - f. Assessing any changes in baseline conditions.
  - b. Assessing whether recommended mitigation measures have been successfully implemented.
    - a. Determining reasons for unsuccessful mitigation.
    - b. Developing and recommending alternative mitigation measures or plans to replace unsatisfactory ones; and
    - c. Identifying and explaining trends in environment improvement or degradation.

### **Recommended Format (to be modified as applicable to each sub-project)**

|                                   |
|-----------------------------------|
| Relevant environmental authority: |
|-----------------------------------|

| Reporting Dates:                             |   |                |                             |                       |                               |                                  |                |
|--|---|----------------|-----------------------------|-----------------------|-------------------------------|----------------------------------|----------------|
| Project District:                            |   |                |                             |                       |                               |                                  |                |
| Sub-Project/s:                               |   |                |                             |                       |                               |                                  |                |
| Subproject title                             | Activities                                    | Project phase  | Environmental l. Risks      | ESMP Completed?       | Environmental Permit granted? | Effectiveness of ESMP            | Issues         |
| name, location, title or reference (example) | New construction, rehabilitation, maintenance | See note below | Severe, Serious, Indicative | Yes, No or N/A        | Yes, No or N/A                | Good, poor, or needs improvement | See note below |
| <b>Sub-projects rejected:</b>                |   |                |                             |                       |                               |                                  |                |
| Subproject title                             |   | Activities     |                             | Reasons for rejection |                               | Remarks                          |                |

**NB: Subproject phase** will be one of the following: (a) under project preparation or appraisal, (b) appraised, or (c) implementation and **(d) Issues:** accidents, litigation, complaints or fines are to be listed e.g. if an environmental permit was not granted, explain why?

In addition, the World Bank will help with Enhanced Implementation Support and Monitoring (EISM) of the risk of exclusion discrimination for vulnerable or marginalized individuals or groups. Further details of this support are found in Annexes 10 and 11 which must be considered in the development of all ESMPs.

### Public Consultation

The environmental impacts or effects of a project will often differ depending on the area in which it is located. Such impacts may directly or indirectly affect different categories of social groups, agencies, communities and individuals. These are collectively referred to as project stakeholders or the public. It is crucial that during the project brief drafting process, appropriate mechanisms for ensuring the fullest participation and involvement of the public are taken by the developer to minimize social and environmental impacts and enhance stakeholder acceptance. An effective consultation process should generally ensure that:

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

## ANNEX 4: SUBPROJECT ENVIRONMENT AND SOCIAL MANAGEMENT PLAN

### 1. Subproject Information

|                               |   |
|-------------------------------|---|
| <b>Subproject Title:</b>      | Soroti Sweet potato Producers and Processors Association (SOSPPA) Puree Processing Facility |
| <b>Estimated Cost:</b>        | Total cost \$181,200 (Construction \$48,000 and Processing equipment cost \$133,200)        |
| <b>Start/Completion Date:</b> | 30 <sup>th</sup> August 2023 to 28 <sup>th</sup> February 2024                              |

### 2. Site/Location Description

A processing facility focused on upgrading OFSP processing activities into profitable commercial business will be constructed on Plot 24, Block D, Apungia Road. This land was leased to SOSPPA by Serere District Local Government as minuted in Kyere Subcounty Local Council Meeting of Dec 2019, Minute No: 17/KCM/12/2019N. This land is in Omorio village, Kyere ward, Kyere subcounty, Serere Municipality, and Serere District. This plot is located on a well leveled ground and serviced by an existing road network, piped water and electrical line. It is surrounded by community farming land and a few homesteads.

### 3. Description and Activities

Architectural and Structural designs for the Puree Processing facility will be developed by SOSPPA and approved by Serere Municipal Council. These will be developed in construction with UNBS. Key safeguard variables to be considered in the design shall include.

- Safe and Easy to clean surfaces (walls, impervious floor finishing floors, ceiling)
  - Good ventilation with emphasis on clear air circulation (the steamer will heat up the room significantly making the place humid if the air circulation is not good)
  - Good drainage systems where needed
  - Adequate power supply points for all equipment
- A good layout (materials move in one direction to minimize contamination) with enough space for workers to operate safely and clean equipment when needed.

The Puree Processing line will be fully automated and will comprise of equipment to include peeling section, chipper section, drier, a milling section, packaging and silting section. Additional facilities to be constructed will include storage room, toilet facilities, parking yard, offices and staff accommodation. It is anticipated that the facility will run two working shifts, particularly day and night shift employing competent community members. Cleaner production system will be utilized following Hazard Analysis Critical Control Point procedures.

A contractor will be procured following SOSPPA procurement procedures and contract for construction of puree processing facility will be signed by both parties. This contract will be bound by national legislation and WB ESS standards. Contractor will be required to implement his/her ESMP as aligned to the Project ESS instruments. Upon completion and as part of the end of contractor report, the contractor will be required to submit an operation and maintenance manual for the facility.

The processing line shall utilize clean running water that has been tested and certified for use in OFSP production. SOSPPA members will undergo training on equipment use and good food manufacturing practices complying with the requisite food industry standards, including hazard analysis and critical control points to obtain certification by the Uganda National Bureau of Standards.

**4. ESMP Matrix: Risk and Impacts, Mitigation, Monitoring.** This project has been categorized as a low to Moderate risk project and the table below provides details of the Environment and Social risk, its impact, mitigation measures to be undertaken and cost estimates.

| Anticipated E&S Risk and Impacts   | Risk Mitigation and Management measures   | Parameter to be monitored  | Implementing Agency           | Monitoring Agency     | Time frame                                      | Estimated Cost (Ug shs “000”) |
|--|---|--|-------------------------------|-----------------------|---|-------------------------------|
| <p>Unsafe working tools, working without adequate protection result in minor or major accidents or incidents</p> | <ul style="list-style-type: none"> <li>• Emergency response procedures and systems available</li> <li>• Appropriate safety and health training</li> <li>• Provision of emergency response services to include first Aid, fire response and management</li> <li>• Fully stocked first aid box available and accessible</li> <li>• Trained and available emergency response team including first aiders, fire responders</li> <li>• Provision of appropriate and adequate protective gears to workers.</li> </ul> | <ul style="list-style-type: none"> <li>• Emergency response procedures displayed</li> <li>• Emergency assembly point marked</li> <li>• Records of safety and health trainings undertaken</li> <li>• Presence of fully stocked and accessible first aid box</li> <li>• Records of accidents/incidents</li> <li>• Display of names and contacts of designated emergency response team including first aiders, fire responders</li> <li>• Workers wearing appropriate PPE</li> <li>• Records of PPE issued</li> </ul> | <p>SOSPPA<br/>Contractors</p> | <p>DLG<br/>SOSPPA</p> | <p>During construction and operation phases</p> | <p>1,000</p>                  |
| <p>Unleveled site posing a risk of increased Soil erosion</p>  | <ul style="list-style-type: none"> <li>• Proper landscaping and leveling</li> <li>• Provision of appropriate drainage for smooth water flow</li> <li>• Planting of grass</li> <li>• Trees planted at the boundaries of the project site</li> </ul>  | <ul style="list-style-type: none"> <li>• Landscaped and levelled compound</li> <li>• Presence of appropriate drainage and splash apron</li> <li>• Grass and trees planted</li> </ul>   | <p>SOSPPA<br/>Contractors</p> | <p>DLG<br/>SOSPAA</p> | <p>During construction phase</p>                | <p>500</p>                    |

|  |   |  |   |                       |   |              |
|--|---|--|---|-----------------------|---|--------------|
| <p>Poor disposal of sewer posing a risk of spread of communicable diseases</p>                           | <ul style="list-style-type: none"> <li>• Provision of clean, clearly labelled toilets separate for male and female</li> <li>• Regular cleaning of toilets</li> <li>• Provision of handwashing facilities with clean water</li> </ul>  | <ul style="list-style-type: none"> <li>• Clean, clearly labelled toilets separate for male and female</li> <li>• Presence of handwashing facilities with clean water</li> <li>• Records of training on proper hygiene</li> </ul>   | <p>SOSPPA<br/>Contractors</p>                       | <p>DLG<br/>SOSPPA</p> | <p>During construction and operation phases</p> | <p>8,000</p> |
| <p>Lack of traffic management procedures and transport safety measures resulting into road accidents</p> | <ul style="list-style-type: none"> <li>• Deployment of trained and competent drivers with valid driving permits</li> <li>• Proper vehicle maintenance</li> <li>• Provision of road safety signage</li> <li>• Community engagement meetings on traffic management</li> <li>• Installation of speed regulators or controllers at potential accident points such as schools, trading centers, health centers,</li> </ul> | <ul style="list-style-type: none"> <li>• Fleet of competent drivers with valid driving permits</li> <li>• Operational vehicle maintenance schedule</li> <li>• Road safety signage displayed</li> <li>• Records and minutes of Community engagement meetings on traffic management</li> <li>• Presence of speed regulators or controllers at potential accident points e.g humps</li> </ul> | <p>SOSPPA<br/>Contractors<br/>Community leaders</p> | <p>DLG<br/>SOSPAA</p> | <p>During construction and operation phase</p>  | <p>700,</p>  |
| <p>Rapid spread of STDs/HIV at the site</p>  | <ul style="list-style-type: none"> <li>• Workers sensitized on HIV/AIDS</li> <li>• Community awareness on these infectious diseases.</li> <li>• Provision of Condoms</li> <li>• Talking compounds with messages teaching about HIV /AIDS displayed</li> </ul>   | <ul style="list-style-type: none"> <li>• Records of trainings undertaken</li> <li>• Minutes of Community awareness sessions undertaken</li> <li>• Number of condoms issued</li> <li>• Display of HIV/AIDS prevention and management messages</li> </ul>  | <p>SOSPPA<br/>Contractors<br/>Community leaders</p> | <p>DLG<br/>SOSPPA</p> | <p>During construction and operation phase</p>  | <p>400,</p>  |

|  |  |   |  |               |  |       |
|--|--|---|--|---------------|--|-------|
| Poor food hygiene practices posing a risk of food contamination and public health notification | <ul style="list-style-type: none"> <li>• Train workers on food safety and hygiene</li> <li>• Maintain a functional hazard analysis critical control system</li> <li>• Employ only certified food handlers</li> </ul>                                       | <ul style="list-style-type: none"> <li>• Records of workers trained on food safety and hygiene</li> <li>• Functional hazard analysis critical control system</li> <li>• Records of valid certificates of food handlers</li> </ul>   | SOSPPA                                     | DLG<br>SOSPPA | During operation phase                   | 3,000 |
| Inadequate resources at household level posing a risk of Child labor                           | <ul style="list-style-type: none"> <li>• Community engagement on prevention of child labour</li> <li>• Display of Child labour prohibition policy</li> <li>• Maintain workers registers with details of sex, age, location, and tasks performed</li> </ul> | <ul style="list-style-type: none"> <li>• Records of Community engagement on prevention of child labour undertaken</li> <li>• Display of Child labour prohibition policy conspicuously displayed</li> <li>• Signed Contracts and code of conduct with Child labour prohibition clauses</li> <li>• Updated Workers registers with details of sex, age, location, and tasks performed</li> </ul> | SOSPPA<br>Contractors<br>Community leaders | DLG<br>SOSPPA | During construction phase                | 400,  |
| Poor liquid and solid waste management   | <ul style="list-style-type: none"> <li>• Efficient recycling and reuse of solid waste generated as animal feed</li> <li>• Provision of appropriate waste collection bins</li> <li>• Display of safety messages</li> </ul>                                  | <ul style="list-style-type: none"> <li>• Records of amounts of solid waste recycled/reused</li> <li>• Presence of appropriate waste collection bins</li> <li>• safety messages displayed</li> </ul>   | SOSPPA<br>Contractors                      | DLG<br>SOSPPA | During construction and operation phases | 800,  |
| Noise Pollution from the machine.  | <ul style="list-style-type: none"> <li>• Operational equipment maintenance schedule</li> <li>• Noise buffered equipment's installed</li> </ul>   | <ul style="list-style-type: none"> <li>• Records of number of times and level equipment maintenance works undertaken</li> <li>• Records of noise below permissible levels maintained</li> </ul>   | SOSPPA<br>Contractors                      | DLG<br>SOSPPA | During construction and operation phases | 2,000 |

|   |  |   |                       |               |  |        |
|---|--|---|-----------------------|---------------|--|--------|
| Dust Emissions<br>Risks: pollution, spread of diseases, loss of lives | <ul style="list-style-type: none"> <li>• Use of nose masks during work hours</li> <li>• Sprinkling water at the construction site using water bowser</li> <li>• Training of the workers on health and safety benefits</li> </ul> | <ul style="list-style-type: none"> <li>• Provision of appropriate and adequate nasa masks</li> <li>• No of times water is sprinkled per day</li> <li>• Records of safety and health trainings undertaken</li> </ul> | SOSPPA<br>Contractors | DLG<br>SOSPPA | During construction and operation phases | 800,   |
| Estimated cost  | •  | •   |                       |               |  | 17,600 |

## 5. Capacity Development & Training

SOSPPA doesn't have designated Environment and Social Safeguards officers. The project will recruit a Social Specialist, and an Environment Specialist on the PCU to oversee the implementation of the project ESS instruments. All project staff will be taken through scheduled ESS trainings. The Project will collaborate with the respective District Natural Resource Officer, Environment Officers, District Community Development Officers, Labour Officers, Health Inspectors and District Environmental Health Officers to undertake some tailored trainings focusing on food safety and hygiene, National Employment and Occupational Safety and Health legislations. The project will undertake these tailor-made training courses listed below.

### 1. Equipment installation, operation, and maintenance

During installation by the equipment supplier/ manufacturer, Proteo (Antonio), project Equipment operators will undergo training on equipment operation and maintenance

The supplier will also provide user friendly operation manual and contacts in case there is a need for spare parts of further service. CIP will participate in this initial training and then continue to provide internal support to the food processing factory when needed.

Trainings will also include running full production processes from sample reception to final packaged products

### 2. Food safety and hygiene training

This will include training on good manufacturing practices (GMP) and hygiene practices as listed below;

- i. 1-2-day theoretical sessions to ensure that the staff fully understand the need to follow the guidelines and risks associated with non-compliance on handling raw materials, In-process materials, Packaging materials and Finished products;
- ii. Practical sessions in the production plant related to personal hygiene, prevention of cross- contamination, etc;
- iii. Refresher training twice a year or as needed

3. Pursue HACCP certification (necessary for any commercial product to have the UNBS stamp)

- Development of an internal food processing management system;
- Follow guidelines provided by Uganda National Bureau of Standards (UNBS) for attainment of UNBS certification mark for the processed puree

4. Training in practical application on EISM in mitigating the risk of exclusion and discrimination of vulnerable or marginalized individuals or groups as assessed in the project risks.

**IV. Review & Approval**

|   |  |
|---|--|
| <b>Prepared By:</b> ..... (Signature):.....<br>Position: ..... Date .....     |  |
| <b>Reviewed By:</b><br>.....(Signature):.....<br>Position: .....Date<br>..... | <b>Approved By:</b><br>.....(Signature):.....<br>Position: ..... Date<br>..... |

## **ANNEX 5: FERTILISER AND PEST MANAGEMENT PLAN**

Since ESS3 Resource Efficiency and Pollution Prevention and Management is relevant to this project mainly due to the likelihood of use of agrochemicals (pesticides, fertilizers, herbicides, etc) to boost crop production. A Fertiliser and Pest Management Plan (FPMP) has been prepared as part of this ESMF to provide specific guidance on FPMP practices. However, the use of pesticides and fertilisers will be limited/moderate since the project will promote the use of integrated approaches to management of pests. Therefore, the overall likely environmental impact will be of moderate magnitude and intensity, site specific at specific farmer sites. A stand-alone FPMP was therefore deemed not necessary. The simplified FPMP guides acquisition, storage, handling and application of fertilisers and pesticides.

### **Procurement of Pesticides**

The following criteria will apply to the selection and use of fertilisers and pesticides in activities:

- a. All agrochemicals financed under the project should be manufactured, packaged, labeled, handled, stored, disposed of, and applied according to standards that, at a minimum, comply with the FAO's guidelines on pesticides.
- b. Consistent with World Bank ESS3, project financing will not be used for formulated products that fall in WHO classes IA and IB, or formulations of products in Class II, if (a) the country lacks restrictions on their distribution and use; or (b) they are likely to be used by, or be accessible to, lay personnel, farmers, or others without training, equipment, and facilities to handle, store, and apply these products properly.
- c. Project financing will not be used for any fertilizer and pesticide product which contains active ingredients that are listed on Annex III of the Rotterdam Convention (on Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade), unless the Country has taken explicit legal or administrative measures to consent to import and use of that active ingredient.
- d. Project financing will not be used on any fertilizer and pesticide products which contain active ingredients that are listed on Annex A & B of the Stockholm Convention on Persistent Organic Pollutants, unless for an acceptable purpose as defined by the Convention, or if an exemption has been obtained by the Country under this Convention.

### **Procurement Challenges by Farmers**

Challenges associated with direct procurement of pesticides by smallholder farmers in Uganda include the proliferation of illegal imports by unscrupulous private companies and the presence of unlicensed dealers. There are many fake or adulterated pesticides on the market. However, SOSPPA will be responsible for procurement and distribution of fertilisers and pesticides from accredited and certified agro-chemical dealers as advised by the respective District Agricultural Officer.

***Distribution downstream*** - To help facilitate the accounting of specific stock of fertiliser, pesticides and other logistics, record for each type of stock (i.e., pesticides, gloves – number and date bought, number and date dispersed to each Parish, number and date returned at end of spray cycle, etc.) will be maintained. This will ensure good accountability and record keeping of fertilisers and pesticides. SOSPPA will have to count out and document the required number of sachets or bottles to be distributed to the Farmers/ Spray Leaders, who in turn will count out and document the sachets and bottles allocated to each Farmer/ Group. At the end of the day, the process will be repeated, and the used and unused sachets or bottles will be collected and recorded. These will be reconciled into the project status report that is submitted to the World Bank annually.

In cases where farmers undertake direct purchase of the fertilisers and pesticides in the open (guided) market with the guidance of the respective Sub-County Extension Staff, all farmers/groups shall be encouraged to keep records as appropriate and guided on the use and disposal of arising waste, through periodic project trainings and capacity development programme throughout project implementation.

**Pesticide Use Issues** –Farmer Groups are likely to misuse fertilisers or pesticides in at least six different ways:

- a. Spraying too close to harvest, thus contaminating the crops after harvest.
- b. Applying the wrong dosage, often over-applying.
- c. Applying fertilizers or pesticides intended for cash crops to grow food crops.
- d. Spraying fertilizers or pesticides intended for growing crops on stored crops.
- e. Using obsolete or expired fertilizers or pesticides.
- f. Improper disposal of empty fertilizers or pesticides containers and packaging.
- g. Mixing different chemical fertilizers or pesticides together.
- h. Inadequate or non-use of required PPE in handling and applying fertilizers or pesticides.
- i. Insufficient or lack of knowledge on fertilizers or pesticides use and management by most farmers; and
- j. No use of PPE.

## **RULES AND PROCEDURES FOR SAFE APPLICATION OF FERTILIZERS AND PESTICIDES**

All farmers shall be trained in the safe and responsible use of fertilizers or pesticides by Extension Officers, Community Development Officers, and District Environment Officers.

**Safety and Protection:** There are certain measures which should always be undertaken by fertilizers or pesticide operators to help protect against contamination during the handling and application of fertilizers or pesticides. These measures should always be followed.

**Reading and understanding labels-** The first principle is to always read and follow the label recommendations on the fertilizers or pesticide containers. If the label information cannot be read or understood for any reason, then the operator should find someone who can explain the instructions to him. Apart from the written instructions, the operator should also look for pictorial information on the label which will indicate the degree of hazard presented by the fertilizers or pesticide formulation. Similarly warning symbols, such as skull and crossbones, give information on the type of chemical hazard.

**Avoiding contamination** - Direct exposure of the skin, nose, mouth, or eyes should be avoided or minimized when working with fertilizers or pesticide products to reduce the chances of personal contamination. When pouring and mixing the concentrated product, every effort should be made to avoid splashing or spilling onto skin or clothing. If any product falls on the skin, or into the eyes, then this should be washed off as soon as possible. The likelihood of contamination can be greatly reduced by using suitable equipment for measuring out and transferring the product. The hands must never be used as scoops, nor should the hands or arms be used to stir liquids.

**Personal hygiene** - Another basic principle of personal protection is good hygiene when working with fertilizers or pesticides. This is to ensure that if any contamination occurs then it is removed in good time. In addition, personal habits will help avoid direct contamination.

**Safety gear-**For the effective safety and protection of the workers handling agro-chemicals, the provision of the following is deemed necessary.

- Helmet or cloth cap.
- Safety spectacles, goggles or face shield (attached to helmet)
- Dust or light fume masks.
- Emergency vapor masks or half-face respirators with organic vapor cartridges
- Nitrile rubber or neoprene gloves or gauntlets
- Overalls
- Nitrile rubber or neoprene aprons
- Strong rubber or neoprene boots

## **Use, Handling, storage, transportation and disposal of fertilizers and pesticides**

- Personal protective equipment (PPE) is the last line of defence against fertilizer or pesticide exposure.
- The correct PPE must be used for the type of fertilizer or pesticide, and it must be fitted and maintained properly.
- Pest control businesses should consider having a PPE program as part of their risk management strategy.
- Read the entire label before purchasing or using a fertilizer or pesticide, even if you have used the fertilizer or pesticide before.
- Do not rely on your memory for the very specific safety and use information provided on labels.
- Identify the specific pest to determine the proper treatment.
- If you absolutely need to use a pesticide, buy the least toxic fertilizer or pesticide recommended for your specific pest.
- The signal word on fertilizer or pesticide labels indicates the level of toxicity.
- Use only the amount needed to control the specific pest at that time.
- Make sure the fertilizer or pesticide is designated for use on the specific pest you are trying to control.
- Follow label directions carefully for preparation and application.
- When mixing or applying, wear clothing that covers the skin, unlined heavy rubber gloves, rubber footwear, hat and chemical splash goggles.
- An air-purifying respirator may also be required if an inhalation hazard exists.
- Safety equipment should be cleaned and dried after each use and stored separately from fertilizer or pesticides.
- Mix only the amount you need. Mix or dilute fertilizers or pesticides outdoors or in a well-ventilated area.
- Do not spray outdoors on a windy day.
- When spraying outdoors, close the windows to your home.
- Do not water fertilizers or pesticide-treated areas immediately after application unless directed to do so by label directions.
- Pregnant women should avoid exposure to fertilizers or pesticides.
- Do not use fertilizers or pesticides near children or pets.
- Any clothing contaminated with fertilizers or pesticides should be washed separately from other laundry.
- First, rinse clothing outdoors with a hose or in a washing machine pre-soak.
- Use hot water (140 degrees Fahrenheit) to launder, a full water level setting, and the normal wash cycle.
- Heavily contaminated clothing should be discarded.
- Disposable protective clothing is available through safety equipment suppliers.

### **Safe storage**

- To reduce storage problems, buy only enough fertilizers or pesticide for one season's use.
- Keep pesticides in their original containers with the labels intact.
- Store in a separate, locked, or other secure structure, away from children and pets.
- Do not store fertilizers or pesticides near food, medical supplies or cleaning products.
- Do not store fertilizers or pesticides near water supplies.
- Flammable pesticides should be stored away from sources of heat, flame, or spark and fuel station.
- Store fertilizers or pesticides in a dry area to prevent the deterioration of containers.
- Inspect pesticide containers frequently for damage.
- Protect the label. Store substances in their original containers.

- If an item is not in its original container, clearly label the current container with the product's name and expiry date.
- Place the word DANGER on the container.
- If the product is in a rusting metal or a breakable container, this container should be placed within a larger, plastic container.
- The plastic container should be over-packed with a non-flammable absorbent, such as clay-based kitty litter, to help contain any possible leaks.
- Warning: Using flammable materials such as non-clay kitty litter or newspapers for overpacking may lead to spontaneous combustion (fire)
- Clearly label the outside container with the contents and date.
- Unless the fertilizer or pesticide is banned or restricted, it should be completely used up according to label directions.
- Empty containers should be transported back to SOSPPA Project offices for final disposal.
- To triple rinse, fill the container 1/4 full of water, close it tightly, and shake.

### **Safe transportation**

- Take maximum care when:
  - choosing vehicles for transporting fertilizers or pesticides
  - loading fertilizers or pesticides (use pickup vehicles or big track with non-porous beds)
  - unloading fertilizers or pesticides (never leave pesticides unattended, inspect vehicles for leakage...)
- Never transport fertilizers or pesticides with food, feed, animals, poultry, seeds, grains, consumer goods...
- Always carry “a spill kit” which contains shovel, PPE, sorbent pads and absorbent materials.
- In case of spill ups, control, contain and cleanup the spillage thoroughly.
- Keep the cleaned spillage with a plastic container for proper disposal.

## **MANAGEMENT OF WASTE**

Waste management shall be undertaken in line with Uganda’s Waste Management Regulations, National Environment Act 2019, World Bank’s ESF (ESS-3 Resource Efficiency), FAO guidelines on Safety and environmental precautions, and the World Bank Group General EHS Guidelines.

### **Waste Streams**

Generation of solid waste is anticipated by project activities. The following waste streams are expected:

- Empty pesticide containers, after emptying storage containers. Improper handling of packaging materials for the inputs may lead to littering and solid waste nuisance and pollution of the surrounding environment. In addition, care should be taken as packaging of fertilizers or pesticides is deemed hazardous waste.
- Obsolete/ expired fertilizers or pesticides, if fertilizers or pesticides with short shelf-life are procured and or get expired while in store.
- Excess fertilizers or pesticides, because of procurement of more than required quantities.
- Fertilizers or Pesticides contaminate materials, arising from handling and application, and such waste may stray into communities, requiring communities to be taught to manage, report, handle and dispose of solid waste originating from spraying operations.
- Accidental spillages and disposal while in storage, transportation and/or application.

- vi. Other possible wastes include the construction related waste from the construction or establishment of storage areas, though such works are not expected to be intensive.

**Waste Management Measures to be implemented by SOSPPA**

- Management and control of pesticides shall be undertaken by extension workers at the grassroots (Agricultural Officers, Community Development Officers, Water Officers, District Natural Resources Officers, District Environment Officers) to avoid people getting poisoned in the process. This shall be supervised by the Agronomist at SOSPPA.
- Relevant aspects of waste avoidance and minimization shall be implemented, and these include the following measures: (i) management of stocks in an effective, efficient, and transparent way (ii), adequate design of pesticide storage, handling, and management facilities - storage facilities shall have provision for containment of spillages.
- Inbuild in the procurement process and contracts arrangements to return excess fertilizers or pesticides to point of origin/ source, for final disposal.
- SOSPPA will ensure that pesticides procured by farmers, or the project are manufactured, formulated, packaged, and labelled as FAO guidelines and/or WBG General EHS guidelines.
- SOSPPA shall designate temporal waste holding areas before disposal in an environmentally sound manner (e.g. packaging containers) and these should be fenced to control and avoid unauthorized access.
- SOSPPA to ensure disposal of generated waste following Uganda’s Environmental Agency’s guidance and at designated facilities.
- The location of the store will include proper siting and design of the facility and providing equipment and facilities for containing possible spillage, protecting the fertilizers or pesticides from direct sunlight/rains, and having checklist/form to manage stock movement in and out of the stores.
- SOSPPA will adopt WHO/FAO guidelines on management options for empty containers. The project will ensure that empty containers/drums are disposed safely through systematic rinsing and crushing on site and are not given to members of the community for their use. Any unintended risks of pesticide spraying should be communicated to communities in appropriate language, form and via media to avoid adverse health effects on the community.
- Waste shall be segregated to separate hazardous from non-hazardous wastes.
- Waste disposal by burning should not be permitted and signage should be erected. No disposal / dumping of waste shall be undertaken in fragile ecosystems such as wetlands, forests, etc. Waste shall be disposed of at designated areas, with approval of local authorities and NEMA.
- SOSPPA will implement emergency preparedness measures in case of significant waste spills or other health and safety related incidents.
- Trainings for the project staff, including District Local Government should incorporate the aspects of waste collection, handling, transport, treatment, and final disposal; and
- The project should conduct regular sensitization and awareness sessions at the local communities and schools to ensure they know how to recognize and report the waste generated by project activities to District Local Government Authorities.

**Instructions on the use of PPEs**

Wear protective equipment as described in Table 10-1 below:

**Table 8-1: Summary on correct usage of PPEs**

| <b>Equipment</b> | <b>Protection</b>  | <b>How to wear it</b>   |
|------------------|--|---|
| Coveralls        | There are two types of coveralls: disposable and reusable. | Button (or zip) right up to the neck. Loose coveralls around the neck will suck and blow pesticide in and out |

| <b>Equipment</b> | <b>Protection</b>   | <b>How to wear it</b>   |
|------------------|---|---|
|                  | Disposable coveralls are lightweight and comfortable on warm days. They can be worn for mixing and applying pesticides and then discarded at the day's end. If they become contaminated, they should be discarded at once. The second type of coverall is made of washable fabric and may be reused many times. These fabric coveralls are adequate for use with all but the most highly toxic and concentrated pesticides. | of the interior of the coveralls as you bend and move. Wear coveralls over a long-sleeved shirt and pants.  |
| Aprons           | When pouring or otherwise handling concentrated pesticides, it makes good sense to wear protection in the form of an apron. The apron protects the front of your body from spills or splashes of concentration. The apron should be made of rubber or synthetic liquid-proof material that will resist the solvents used in formulating the pesticide.  | Make sure the apron covers your body from your chest to your boots.   |
| Gloves           | Protect your hands by wearing chemical-resistant gloves. Neoprene gloves provide the best protection. Natural rubber gloves may be used when handling organo-phosphorus or carbamate pesticides. Be sure that they are designed for use with solvents and pesticides. Never use lined gloves, gloves with wristbands or leather gloves.   | Put gloves on and roll up the first inch or two of the cuffs. That way when you lift your hands, any liquid on the gloves won't drip down your arms.  |
| Hats             | Use a chemical-resistant hat, preferably made of washable plastic. The hat may be a hard hat or made of flexible plastic. In either case, it should have a plastic sweatband. Wash and dry the entire hat after each use and before storing. Ordinary baseball caps with cloth sweatbands are dangerous as they absorb pesticide and re-contaminate the forehead each time you wear them.                                   | Even small amounts of moderately or slightly toxic pesticides may cause severe skin irritation or other illness if exposure continues for several days. Please always wear the hat (complete gear) however little there is to spray/ apply. |
| Boots            | Wear chemical-resistant, unlined boots. These boots are available in a variety of styles and materials. Neoprene boots are the best. Knee-length boots offer greater protection because they extend above the lower end of the apron. Avoid leather or fabric boots and shoes because these will absorb pesticides and cannot be cleaned effectively.   | Wear your trousers outside the top of your boots. This will prevent spills and splashes from running into the boot and onto your leg.   |
| Goggles          | Chemical-resistant goggles keep your eyes safe from both splashing and, if using dry formulations, dusts or granules. Don't use goggles with cloth or elastic headbands as these will absorb pesticides.  | Wear goggles snugly on your face so that the sides of your head are protected from splashes. If you wear glasses, make sure you purchase goggles that fit snugly over them. Never wear contact lenses when working around pesticides.       |
| Respirators      | Only approved respirators should be used. Do not exchange parts of different respirators. (For example, do not use a cartridge produced by Company "A" with a respirator produced by Company "B" as the combination   | When carrying out operations, change filters each day. The cartridge should be replaced when  |

| Equipment    | Protection   | How to wear it   |
|--------------|--|--|
|              | <p>may not provide adequate protection to the user). Dust masks are ineffective in protecting against herbicide vapors.</p> <p>Similarly, the filters on tractor cabs are intended to remove dust and are not designed to protect against herbicide vapors or mists. Chemical cartridge respirators are recommended for outdoor use when mixing and applying herbicides.</p> | <p>chemical odor becomes apparent or when breathing becomes difficult. New cartridges should always be installed at the beginning of the spray season.</p> <p>Prior to commencing work, check the face seal while the respirator is on the wearer's face. Regardless of design, respirators cannot be worn securely by people wearing beards, moustaches or sideburns.</p> |
| Face Shields | <p>Goggles offer some protection, but frequently full-face protection is advised or required according to the pesticide label.</p> <p>It is especially important to protect your eyes and face when pouring or mixing liquid concentrates.</p> <p>Effective face shields are made of clear plastic.</p>  | <p>Since the shield attaches to the hard hat, you can raise or lower it as needed.</p>   |

Note: The key danger times are during mixing and when walking through the spray path. Eye and feet protection are the greatest priority. Goggles, long pants, and rubber boots are most needed. Due to the use of knapsack sprayers by small-scale farmers and being unaccustomed to wearing protective equipment, only pesticides which meet World Bank standards of minimum mammalian toxicity (“least toxic”), yet still effective, will be recommended for use under the project.

### Records Keeping

All records will have to be documented as soon as possible but no later than 14 days following completion of each pesticide application in a treatment area. On or before the 14th day after any pesticide application, a copy of the below information will need to be on file with the Extension Workers. Information for each treatment area to which fertilizers or pesticides are discharged as follows:

- a. Surveillance methods used, dates of surveillance, and findings of surveillance.
- b. Target pest(s) and explanation of the need for pest control
- c. site-specific action thresholds prior to pesticide application
- d. Description of management measures implemented prior to the first application.
- e. Company name and contact information for applicants.
- f. Dates and time of day of application
- g. Description of treatment area, including location and size of treatment area and identification of any waters
- h. The name of each product used to include ACB registration number.
- i. Quantity applied.
- j. Concentration (%) of active ingredients

- k. Effective concentration of active ingredients
- l. Any unusual or unexpected effects identified to non-target organisms.
- m. Was a visual assessment conducted? Was it done during or post application, if not explanation why not?
- n. Assessment of environmental conditions relating to proper use

## **ANNEX 6: LABOUR MANAGEMENT PROCEDURES**

Labor Management Procedures (LMP) set out procedures that should be taken in management of labour risks and prevention of associated impacts that may arise during the implementation of the Project on Strengthening Productive Capacity and Resilience of Smallholder Sweet potato Producer Organizations in Uganda.” These Procedures apply to any project component where labour management aspects need consideration and will be applied in accordance with the requirements of Uganda Labor and Employment Laws and World Bank’s ESS2 – Labor and Working Conditions. For consistency, key aspects of LMP including those of other E&S instruments, should be incorporated in the bidding documents and contracts for implementation.

The LMP further has linkages with the Fertilizers and Pest Management Plan (PMP) which takes care of the safety and health of the workforce before, during and after application of pesticides. The LMP and FPMP should be implemented concurrently with the ESMF.

The LMP apply to project workers including full-time, part-time, temporary, migrant workers, and specifically as listed under ESS2, the following: Direct workers, Contracted workers, Community workers, and Primary supply workers. The LMP is applicable, as per ESS2 to the project in the following manner:

- a. People employed or engaged directly by the Government (including the project proponent/MAAIF and the project implementing agencies) to work specifically in relation to the project (Direct workers);
- b. People employed or engaged through third parties to perform work related to core functions of the project, regardless of location (Contracted workers). ‘Third parties may include contractors, sub-contractors, brokers, agents or intermediaries.
- c. People employed or engaged to provide community labour (Community workers) as that term is identified in paragraphs 34-38 of ESS2; and
- d. people employed or engaged by Government’s primary suppliers (Primary supply workers) – are those suppliers who, on an ongoing basis, provide directly to the project goods or materials essential for the core functions of the project identified in paragraphs 39-42 of ESS2.

### **Overview of Labour Use in the Project**

The characteristics of Project workers in terms of types, numbers and timing of the individual requirements cannot be provided at this point but guiding projections can be provided to serve as a basis to guide project implementation. Timing of Labor Requirements will correspond to timing of implementation of each operation/ project component and/or activity.

**Workforce requirement:** the requirement of the work force at different levels and labour type will be determined by the scope of work to be undertaken under different project components. SOSPPA and participating FO will ensure that the employment Contracts of all types of workers are in line with Uganda’s Employment Act, Workers Compensation Act, National Social Security Fund (NSSF) Act, and OSH Act, as well as the provisions of ESS2, the provisions relating to terms and conditions of employment, non-discrimination and equal opportunity, occupational health and safety, and prohibitions on forced and child labour. Their requirements, including those specified under ESS2 shall be incorporated as appropriate and enforced.

### **Assessment of Key Potential Labour Risks**

This project intends to establish cottage-based processing of fresh roots into dry chips and assortment of fried products. This will be achieved through construction of a processing facility focused on OFSP-based commercial consumer products to upgrade processing activities into profitable commercial business. The project will also establish sweet potato-based silage processing facilities in each of the six project districts with the aim of processing by-products into nutritious animal feed.

The key labour risks that may be envisaged include occupational health and safety exposure to pesticides, risks to workplace accidents/ injuries from the infrastructure related activities and traffic movement, GBV/SEA. Managing these risks will require adequate training and supervision for direct, contracted, community workers, and Government employees involved in project implementation. Safe procurement, transportation, storage, application, and disposal of resultant wastes shall be undertaken in line with the FPMP guidance provided under Section 5.4.1 of the ESMF.

All contracts shall be required to have a code of conduct for all workers, which will among others include aspects and clauses against SEA. The likely risk of employment discrimination against women and members of vulnerable groups has been addressed in the project design which will deliberately target at least 50% female beneficiaries and prioritise participation of the vulnerable groups including the youth and elderly. In accordance with ESS2 and the Ugandan Labour Laws, the project will not recruit any labour of under 18 years of age (applicable also to community workers), due to the hazardous nature of the work that involves handling and management of pesticides, and neither rely on forced labour. In addition, the project will not employ forced labour, and all workers shall be required to have working contract/ appointment letter before assuming work. Where Community/ Voluntary workers are engaged, the project shall ensure use of a Community Agreement, containing agreed terms of engagement. Finally, the project will be implemented following the COVID-19 SOPs, as indicated under Section 5.4.5.

### **Overview of Labour Legislation: Terms and Conditions**

Terms and conditions of employment of workers under the project shall be according to Uganda's Employment Act, 2006, Workers Compensation Act 2000 and FIDIC; in consistence with the requirements of ESS2. Key aspects to pay attention to are:

Clear contracts will be entered into with workers; stipulating their rights according to the Employment Act, 2006 mentioned above.

Method of payments to workers, clear procedures on any deductions of their wages and clear procedures of rests, leaves and holidays, are to be provided to the workers according to Parts V and VI of the Employment Act, 2006 mentioned above.

Procedures of termination of employment, shall be clear and understandable.

### **Overview of Labour Legislation: Occupational Health and Safety**

Managing occupational health and safety procedures will be based on Uganda's Occupational Safety and Health Act, 2006

#### **Key OHS measures are as follows:**

- a. Procedures to ensure establishing and maintaining safe working conditions.
- b. Reporting channels for workers to report work situations that they see are not safe or healthy.
- c. Compliance to requirements of the OHS Act by employers (contractor and sub-contractors).
- d. A system for continual review of OHS performance and conditions in workplace environment.

## **2. Institutional Framework**

The following are some of the key institutions in the implementation of Labor Management in Uganda, and specifically for this project. They are:

- a. Soroti Sweet potato Producers and Processors Association (SOSPPA) represented by the PCU will oversee overall implementation of the project and ensuring labour and employment requirements are implemented as per the Uganda laws and ESS2.
- b. MGLSD; - following their Statutory Mandate, will be in charge of enforcing OSH aspects and ensuring implementation of labour-employment requirements at workplaces, covering the whole country; MGLSD shall be assisted by the District Labour Officers on a day to day basis since they are at the grassroot and interface with the project on a daily basis in line with their responsibilities at that level. The District Environment Officers will monitor and enforce project activities to ensure proper storage and application of pesticides to minimize likely impacts on

the communities and workers and will also monitor implementation and enforcement of labour requirements in the project.

c. Ministry of Local Governments (MoLG); - in charge of decentralized governance in Uganda, will directly supervise the District Local Governments to ensure they implement the project in line with Uganda's Local Governments Act that provides for decentralized functions, and implementation of labour laws and ESS 2 requirements, among others.

d. District LGs: - have various technical officers ranging from District labour officers charged with enforcement of labour working conditions and resolving labour related complaints; and

e. National Organization of Trade Unions (NOTU); - will monitor labour and working conditions of the project.

### **Policies and Procedures**

Measures that should be followed during project implementation to address labour risks are provided below:

- a. All employers on this project shall develop and implement procedures to establish and maintain safe workplaces.
- b. All parties involved in employing or engaging project workers shall make sure to provide full information to workers and conduct training for them about OHS requirements.
- c. Personal protective equipment should be provided to workers without expense to them.
- d. Clear processes and procedures shall be available to workers to enable them to report work situations that they believe are not safe or healthy and accordingly remove themselves.
- e. Facilities appropriate to the circumstances of the works will be provided to the project workers.
- f. A system of regular review of OHS performance and the working environment will be put on place.
- g. A safety Plan shall be provided before the beginning of these works in the project.
- h. Insurance of project workers, equipment, and machinery.

### **3. Forced Labour, Child Labour, and Age of Employment**

i) Forced labour which consists of any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty, will not be used in connection with the project. No trafficked persons shall be employed in connection with the project.

ii) Persons under the age of 18 will not be employed or engaged in connection with this project.

iii) Age of workers will be verified from their national identity documents.

iv) If an underage worker is found on the project, the contractor who employed such workers shall be stopped from working and be given a notification to change such workers.

### **Terms and Conditions**

- Wages shall be paid to the project workers by the contractors according to Ugandan laws.
- Maximum number of hours that can be worked on the project is 8 hours a day.
- All other terms and conditions specified in the Ugandan labour law, and World Bank OHS requirements apply to the project.

### **Workers' Grievances Management Committees and Structure**

In line with the provisions of ESS2 and ESS10, SOSPPA will establish an accessible and functional Worker Grievance Mechanism for all categories of workers described in this LMP. All workers will have liberty to communicate their grievances to the employer, or World Bank. Grievances shall be communicated by complainants verbally or using telephone, email, by letter to either or all the entities. The various laws listed in the above paragraph provide employers and workers or their respective associations with opportunities to use social dialogue to prevent and resolve labour disputes amicably. SOSPPA will form the National Grievance Redress Committee while each participating District will establish a Grievance Redress Committee at that FO level chaired by the District Labour

Officer. The workers GRM will be constituted among the workers and some representation from the project beneficiary community, and the contractor. It should be emphasized that this GRM is not a substitution to legal system for receiving and handling grievances. However, this is formed to mediate and seek appropriate solutions to labour related grievances, without escalating to legal redress. Legal redress is noted as the last resort mechanism to resolve labour disputes.

The Community Health and Safety Standard recognizes that project activities, equipment, and infrastructure can increase community exposure to risks and impacts. Potential negative impacts affecting health and safety may arise from project supported activities which in this case may include management impacts from infrastructure activities, safe disposal of obsolete pesticides and associated packaging amongst others. It is therefore important that, the project strictly observes the need to avoid or minimize the risks and impacts to community health, safety and security that may arise from its particular attention given to the health and safety of the communities. Therefore, it is important to ensure that, the project avoid or minimize the potential for community exposure to health risks (e.g., accidents, pollution, contaminated areas/resources) and diseases that could result from or be exacerbated by vector-borne diseases, and communicable diseases, injuries, mental health, and well-being.

## **ANNEX 7: HEALTH AND SAFETY MANAGEMENT PLAN AND CODE OF CONDUCT FOR WORKERS**

### **Part 1: Health and Safety Management**

#### **MANAGING RISKS WITH CONSTRUCTION WORK**

The first step in risk management is to identify the hazards associated with construction work. Examples of hazards include:

- a. collapse of trenches
- b. falling objects, for example tools, debris and equipment
- c. hazardous manual tasks
- d. structural collapse
- e. the construction workplace itself, including its location, layout, condition and accessibility
- f. the interface with other works or trade activities
- g. the physical working environment, for example the potential for immersion or engulfment, slips, trips and falls, people being struck by moving plant, exposure to noise, heat, cold, vibration, radiation (including solar UV radiation),
- h. the use of ladders, incorrectly erected equipment, unguarded holes, penetrations and voids, unguarded excavations, trenches, shafts and lift wells, unstable structures
- i. COVID and other infectious disease risks that may be present in the host community.

#### **SAFE WORK METHOD STATEMENTS (SWMS)**

All persons involved in construction work must develop and implement arrangements to ensure the work is carried out. This necessitates a SWMS, which is a written document that details high risk construction work activities to be undertaken, hazards or risks arising from those activities and measures to control the risks. All workers who will be involved in substantial risk construction work must be provided with information and instruction so they:

- a. knows what to do if the work is not being conducted in accordance with the Safe Work Method Statements (SWMS).
- b. Understand and implement the risk controls in a SWMS
- c. Understand the hazards and risks arising from the work

This information and instruction may be provided during general construction induction training, workplace-specific training or during a toolbox talk by the principal contractor, contractor or subcontractor.

#### **OCCUPATIONAL HEALTH AND SAFETY (OHS) MANAGEMENT PLANS FOR CONSTRUCTION PROJECTS**

An OHS management plan is a written plan that sets out the arrangements for managing some site health and safety matters. The intention of an OHS management plan is to ensure the required processes are in place to manage the risks associated with project, as there are usually many contractors and subcontractors involved, and circumstances can change quickly from day to day. An OHS management plan must be in writing and must be prepared by the principal contractor before a project commences. It should be easily understood by workers (including contractors and subcontractors). It may not be necessary to communicate the entire OHS management plan to all workers; however, they must be made aware of the parts that are applicable to the work they are carrying out. The OHS Management Plan must contain:

- a. arrangements for consultation, cooperation, and coordination
- b. arrangements for managing incidents

- c. arrangements to collect and assess, monitor, and review SWMS.
- d. names of persons at the workplace whose positions or roles involve specific health and safety responsibilities, for example site supervisors, project managers, first aid officers
- e. site-specific health and safety rules and how people will be informed of the rules

While OHS management plan is required for every construction project, a principal contractor may prepare a generic OHS management plan that applies to several construction projects, if the arrangements to manage work health and safety are the same for each construction project. However, the principal contractor must review and revise the plan to ensure it addresses the risks of the actual workplace.

### **INFORMATION, TRAINING, INSTRUCTION AND SUPERVISION**

All contractors and subcontractors must provide relevant information, training, instruction, and supervision to protect all persons from risks to their health and safety arising from construction work carried out. In addition, workers should be sensitized of potential OHS risks (including in COVID-19) and worker rights associated with these risks.

A range of activities can assist in ensuring people have the necessary knowledge and skills to complete the work safely, including general construction induction training and other training that may be specific to the workplace or the task the person is performing. Information that might be provided includes workplace health and safety arrangements and procedures, such as for emergency evacuations. Information can be provided in various forms, including written formats or verbally, for example during workplace-specific training, pre-start meetings or toolbox talks. General construction induction training provides basic knowledge of construction work, the work health and safety laws that apply, common hazards likely to be encountered in construction work, and how the associated risks can be controlled. Any person who is to carry out construction work must successfully complete general construction induction training, for example project managers and engineers, foreman, supervisors, surveyors, and labourers.

### **GENERAL WORKPLACE MANAGEMENT ARRANGEMENTS**

The principal contractor must put in place arrangements for ensuring compliance with the following duties:

- providing a safe working environment
- Zero tolerance to Child Labour
- providing and maintaining adequate and accessible facilities
- providing first aid
- preparing, maintaining and implementing emergency plans
- providing workers with PPE, if PPE is to be used to minimise a risk to health and safety.
- managing risks associated with airborne contaminants.
- storage of flammable and combustible substances, and
- managing risks associated with excavation works.

The principal contractors may put in place arrangements for ensuring compliance with the above requirements through contractual arrangements, but they cannot rely only on these arrangements to ensure compliance. The principal contractor may also coordinate with other subcontractors, and check compliance whenever the principal contractor attends the construction site.

## **Part II: Workers Code of Conduct**

### **Introduction**

This code of conduct provides guidance to workers conduct as they undertake their work tasks.

All workers must always:

- take reasonable care for their own health and safety.
- take reasonable care that their acts or omissions do not adversely affect the health and safety of other persons (as well as exclude and discriminate others due their vulnerability circumstances), and

- Comply with any reasonable instruction and cooperate with any reasonable policy or procedure relating to health and safety at the workplace.

This Code should also accommodate provisions for grievance redress for workers (ensuring inclusion and non-discrimination of all the workers including the potentially vulnerable or marginalized individuals or groups) in case of any complaint from direct or indirect workers.

**Guidance note:** This Code conforms to World Bank’s ESS2 and aims to address any other sub-project and project-specific social aspects. It also should be used in conjunction with robust Labor Management Procedures (LMP). The application of the Code of Conduct will be enhanced through the process of EISM which has been instituted to respond to the potential risk of exclusion and marginalization.

Just like ESS2, the Code applies to project workers including fulltime, part-time/ temporary workers as follows:

- Direct workers (refer to paragraphs 9 to 30 of ESS2).
- Contracted workers (refer to paragraphs 9 to 33 of ESS2)
- Community workers (refer to paragraphs 34 to 38 of ESS2)
- Primary supply workers (refer to paragraph 39 to 42 of ESS 2)

Note: ESS2 will not apply to such government civil servants, except for the provisions of paragraphs 17 to 20 (Protecting the Work Force) and paragraphs 24 to 30 (Occupational Health and Safety).

Each employee including trainee or volunteer of a Contractor who interact with the project must sign this “Code of Conduct.” In this Code, "Contractor" shall mean and apply to the contractor, its employees, sub-contractor, officers, agents, representative or those contracted through the Contractor to perform services authorized by the contract.

The contractor agrees to adhere to this Code of Conduct when providing services to this project. The Code of Conduct is in addition to all other contract requirements, policies, rules and regulations governing delivery of services. The purpose of the code is to protect vulnerable people from abuse, neglect, maltreatment and exploitation. It clarifies expectation of conduct of the parties and their employees, which includes administrative staff, care staff, support services staff and any others when interacting with the project.

Equally important to realize is that this Code also protects any person under the age of 18 years and any person 18 years of age or older who is physically or mentally handicapped or impaired due of mental illness, mental deficiency, physical illness or disability, or other temporary or permanent cause, to the extent that he is unable to care for his own personal safety.

Abuse shall include the following, but is not limited to:

- a. Harm or threatened harm, meaning damage or threatened damage to physical or emotional health and welfare of any person.
- b. Unlawful confinement.
- c. Deprivation of life-sustaining treatment.
- d. Physical injury including, but not limited to, any contusion of the skin, laceration, malnutrition, burn, fracture of any bone, subdural hematoma, injury to any internal organ, any injury causing bleeding, or any physical condition which imperils a person’s health or welfare.
- e. Any type of physical hitting or corporal punishment inflicted in any manner upon the body.

Sexual misdemeanour will include, but not be limited to:

- a. Engaging in exploitive or manipulative sexual intercourse with any person. There will be zero tolerance to sexual misdemeanour including rape, defilement of minors/ sexual child abuse, sexual harassment and elopement.
- b. Taking indecent liberties with a person or causing an individual to take indecent liberties with a person, with the intent to arouse or gratify sexual desire of any person.

- c. Employing, using, persuading, inducing, enticing, or coercing a person to pose in the nude.
- d. Employing, using, persuading, inducing, enticing or coercing a person to engage in any sexual or simulated sexual conduct for the purpose of photographing, filming, recording, or displaying in any way the sexual or simulated sexual conduct. This includes displaying, distributing, possessing for the purpose of distribution, or selling material depicting nudity, or engaging in sexual or simulated sexual conduct.
- e. Use of profanities and obscene language in communities or when instructing others.

Neglect may include but is not limited to:

- a. Denial of sufficient nutrition to any person.
- b. Denial of sufficient sleep to any person.
- c. Denial of sufficient protective gear to any person.
- d. Failure to provide adequate supervision; leading to drug use in workplaces, accidents and impairment of employees.
- e. Failure to arrange for medical care and/or medical treatment for any person in an emergency.
- f. Failure to drive courteously, leading to accidents.
- g. Failure to avoid damage to public property.
- h. Neglecting public and employee complaints.

Drug abuse may include but is not limited to:

- a. Smoke in public or smoking in undesignated areas
- b. Consumption of alcohol while on duty/at work
- c. Use and trading in narcotics

Illegal trade activities without necessary licenses:

- a. Trade in protected fauna or flora species
- b. Trade in ivory or similar regulated wildlife products including game meat
- c. Trade in processed, semi-processed minerals and their ores

Financial exploitation will include, but is not limited to:

Utilizing labor of without paying for it, or at a non-commensurate financial rate/ wage.

Mistreatment will include, but is not limited to:

- a. Physical exercises, such as running laps or performing push-ups,
- b. Unauthorized chemical, mechanical or physical restraints except,
- c. Assignment of unduly physically strenuous or harsh work.
- d. Failure to behave in a polite and courteous manner to the public
- e. Requiring or forcing the individual to take an uncomfortable position, such as squatting or bending, or forcing people to repeat physical movements when used solely as a means of punishment.
- f. Group punishments for misbehaviour of individuals except in accordance with the written policy.
- g. Verbal abuse: engaging in language whose intent or result is demeaning
- h. Denial of any essential service solely for disciplinary purposes
- i. Denial of visiting or communication privileges with family or significant others
- j. Requiring the individual to remain silent for long periods of time solely for the purpose of punishment.

Contractor agrees to document and report abuse, sexual abuse and sexual exploitation, neglect, maltreatment and exploitation as outlined in this Code and cooperate fully in any resulting investigation. Contractor shall prominently display a poster, notifying contractor employees of their responsibilities and to report violations and giving appropriate phone numbers.

|  |                    |
|--|--------------------|
| Contractor/ Employee/ Volunteer/ subcontractor<br>Signed: .....<br>Name: ..... | Date (dd/mm/yyyy): |
|--|--------------------|

## **ANNEX 8: CHANCE FINDS PROCEDURE**

A Chance Finds Procedure to guide management of any accidental discoveries of histo-cultural resources in the process of implementing the RRF. The procedure will be as follows:

- a. Stop the construction activities around the chance find.
- b. Delineate the discovered site or area.
- c. Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be present until the responsible local authorities and the Directorate of Museums and Monuments take-over.
- d. Notify the supervisory Engineer who in turn will notify the responsible local authorities and the Directorate of Museums and Monuments under the Ministry of Tourism, Wildlife and Antiquities (within 24-48 hrs or less);
- e. The Directorate of Museums and Monuments would oversee protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed by the archaeologists of the Directorate of Museums and Monuments (within 24 hours). The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; those include the aesthetic, historic, scientific or research, social and economic values.
- f. Decisions on how to handle the finding shall be taken by the Directorate of Museums and Monuments. This could include changes in the layout (such as when finding an irremovable remain of cultural or archaeological importance) conservation, preservation, restoration and salvage.
- g. Implementation for the authority decision concerning the management of the finding shall be communicated in writing by the Directorate of Museums and Monuments; and
- h. Construction work could resume only after permission is given from the responsible local authorities and the Directorate of Museums and Monuments concerning safeguard of the heritage.
- i. These procedures must be referred to as standard provisions in construction contracts, when applicable. During project supervision, the Site Engineer shall monitor the above regulations relating to the treatment of any chance find encountered are observed.
- j. Construction work will resume only after authorization is given by the responsible local authorities and the National Museum concerning the safeguard of the heritage; and
- k. Relevant findings will be recorded in World Bank Implementation Supervision Reports (ISRs), and Implementation Completion Reports (ICRs) will assess the overall effectiveness of the project's cultural property mitigation, management, and activities, as appropriate.

## **ANNEX 9: ACTIONS TAKEN BY GOU TO ENSURE NON-DISCRIMINATION**

This annex highlights recent actions taken by the GOU to ensure non-discrimination. It also includes transcripts of relevant Guidelines and Circulars issued by the GOU.

The AHA was passed on May 26, 2023. The government has continued to ensure non-discrimination in all its projects and consistently with this, the government has taken the following measures:

- **Letter of Assurance** (Sept 21, 2023) to all Ministries, Agencies, and local governments to implement mitigation measures on non-discrimination in WB-financed operations.
- **Budget execution circular** (July 10, 2023) to all public servants to ensure that projects are in line with Ugandan Constitution which emphasizes equality of all persons without prejudice or discrimination.
- **Circular on provision of health services** (June 5, 2023) that includes measures not to discriminate or stigmatize any individuals who seek health care for any reason including sexual orientation.
- **Circular on provision of education services** (August 18, 2023) to all people without discrimination in the delivery of education services, programs, and projects.
- **Circular issued by the Director of Public Prosecutions** (August 25, 2023) stating that prosecutors should seek guidance from ODPP before decision is made to charge persons.

Of particular importance is the Letter of Assurance of September 21, 2023, from the Permanent Secretary/Secretary to the Treasury on Uganda's Social Safeguard Policies following excerpts:

*“Following the World Bank Group’s concern with Uganda’s enactment of the Anti-Homosexuality Act, 2023 and as communicated in the budget Execution Circular 2023 of FY 2023/2024 on 18<sup>th</sup> July 2023, we guide:*

- *All World Bank-financed projects [in Uganda] must be implemented in a manner consistent with the principles of non-discrimination as provided under Article 21 of the Constitution of the Republic of Uganda. These projects should also be implemented in accordance with World Bank policies and applicable Legal Agreement*
- *Under these projects, no person will be discriminated against or stigmatized, and the principles of non-discrimination will be adhered to. Support should be provided to all project beneficiaries.*
- *All implementing entities of World Bank-[financed] projects should agree and implement specific mitigation measures to address non-discrimination.*
- *These mitigation measures will require enhancing project grievance redress mechanisms as well as strengthening existing project monitoring by implementing entities including third-party monitoring where applicable.*
- *Each project implementing entity shall develop comprehensive guidelines to address non-discrimination.”*

The following transcripts of relevant Guidelines and Circular issued by the GOU are included this annex: Letter of Assurance; Circular on provision of health services; Circular on provision of education; Circular issued by the Director of Public Prosecutions, and relevant excerpts from the Circular on Budget Execution.

Telephone: 256 414707000/232095  
Fax : 256 41 4233524  
Email : [finance@finance.go.ug](mailto:finance@finance.go.ug)  
[treasury@finance.go.ug](mailto:treasury@finance.go.ug)  
Website : [www.finance.go.ug](http://www.finance.go.ug)  
Plot No. 2-8 Apollo Kaggwa Road  
In any correspondence on  
This subject please quote No.



Ministry of Finance, Planning &  
Economic Development,  
P.O. Box 8147  
Kampala, Uganda

ALD 141/259/01 TC

21<sup>st</sup> September 2023

All Accounting Officers  
All Ministries, Departments and Agencies  
All Local Governments



### **UGANDA'S SOCIAL SAFEGUARD POLICIES**

I am writing in reference to the above subject. Further reference is made to the Anti-Homosexuality Act, 2023 (AHA) that came into force on 30<sup>th</sup> May 2023.

Following the World Bank Group's concern with Uganda's enactment of the Anti-Homosexuality Act, 2023 and as communicated in the Budget Execution Circular of FY 2023/2024 on 18<sup>th</sup> July 2023, we guide that;

- All World Bank-financed projects must be implemented in a manner consistent with the principles of non-discrimination as provided under Article 21 of the Constitution of the Republic of Uganda. These projects should also be implemented in accordance with World Bank policies and applicable Legal Agreements.
- Under these projects, no person will be discriminated against or stigmatized and the principles of non-discrimination and inclusion will be adhered to. Support should be provided to all project beneficiaries.
- All implementing entities of World Bank projects will implement specific mitigation measures to address non-discrimination.
- These mitigation measures will require enhancing project grievance redress mechanisms as well as strengthening existing project monitoring by implementing entities including third-party monitoring where applicable.
- Each project implementing entity shall develop comprehensive guidelines to address non-discrimination.

*Mission*

*"To formulate sound economic policies, maximize revenue mobilization, ensure efficient allocation and accountability for public resources so as to achieve the most rapid and sustainable economic growth and development"*

## **Specific Measures for High Risk Sectors**

### **Health**

- The Ministry of Health issued a circular on August 8, 2023 that guarantees access to health care services for all and prohibits the discrimination or stigmatization of any individual who seeks health care services on any grounds.
- The Ministry of Health will widely disseminate and socialize health sector guidelines for the effective implementation of the circular.
- Implementating entities should strengthen grievance redress mechanisms, and third-party monitoring systems in collaboration with national and international partners.

### **Education**

- The Permanent Secretary in the Ministry of Education and Sports on 18<sup>th</sup> August 2023 issued a circular stating that the Ministry of Education and Sports does not permit any form of discrimination against any persons in the delivery of education services, programs and projects.
- In light of that circular, the Ministry should ensure that there is no discrimination (including any form of bullying) against teachers and students on any grounds.
- The Ministry of Education and Sports will prepare project specific guidelines to address non-discrimination.
- Implementating entities should strengthen grievance redress mechanisms, including an independent hotline and third-party monitoring systems where necessary.



Ramathan Ggoobi

**PERMANENT SECRETARY/SECRETARY TO THE TREASURY**

Rt. Hon. Prime Minister, Office of the Prime Minister

Attorney General, Ministry of Justice and Constitutional Affairs

Hon. Minister of Finance, Planning and Economic Development

Hon. Minister of Education and Sports

Hon. Minister of Health

Hon. Minister of Gender, Labour and Social Development

Hon. Minister of Energy and Mineral Development

The Principal Private Secretary to H.E. the President

The Solicitor General, Ministry of Justice and Constitutional Affairs

The Permanent Secretary, Ministry of Health

The Permanent Secretary, Ministry of Education and Sports

The Permanent Secretary, Ministry of Gender, Labour and Social Development

The Director of Public Prosecutions

Telephone: 256 41 4707000/221895  
Fax : 256 41 433924  
Email : [finance@finance.go.ug](mailto:finance@finance.go.ug)  
[treasury@finance.go.ug](mailto:treasury@finance.go.ug)  
Website : [www.finance.go.ug](http://www.finance.go.ug)  
Plot No. 2-8 Apollo Kiggwa Road  
In any correspondence on  
This subject please quote No.



Ministry of Finance, Planning &  
Economic Development,  
P.O. Box 8147  
Kampala, Uganda

BPD 86/179/01

10<sup>th</sup> July, 2023

All Accounting Officers (Central Government, Missions Abroad, and Local Governments)

All Chief Executive Officers of State-Owned Enterprises and Public Corporations

## THE BUDGET EXECUTION CIRCULAR (BEC) FOR FINANCIAL YEAR 2023/2024

### A. INTRODUCTION

1. This Circular is issued in fulfilment of Article 155 (1) of the Constitution, and Sections 13 (5) and 14 (1) of the Public Finance Management Act, 2015 (Amended).
2. The theme for the FY 2023/2024 Budget has been retained as: ***Full Monetization of the Ugandan Economy through Commercial Agriculture, Industrialization, Expanding and Broadening Services, Digital Transformation and Market Access***. The Budget for FY 2023/2024 was approved to address the strategic mission of facilitating more Ugandans to join the money economy.
3. The purpose of this Circular is to communicate the following:
  - i. The FY 2023/2024 Annual Cash Flow Plan (**Annex 1**);
  - ii. The Policy, Operational and Administrative Guidelines for execution of the Budget in FY 2023/2024.
4. As you execute the Budget for FY 2023/2024, I urge all Accounting Officers to ensure that all program activities contribute towards addressing the following objectives:
  - i. Completion of public investments with higher multiplier effects on attainment of NDPIII and the NRM 2021-2026 Manifesto;
  - ii. Full-scale implementation of the Parish Development Model (PDM);
  - iii. Enhanced revenue mobilization and collection; and

  
Minister

*"To formulate sound economic policies, maximize revenue mobilization, ensure efficient allocation and accountability for public resources as to be achieve the most rapid and sustainable economic growth and development"*

- iv. Ensuring efficiency and effectiveness of Government through rationalization of public expenditure.
5. The key priorities to achieve the above objectives are detailed in the approved Budget for FY 2023/2024. For ease of reference, please follow the link <https://www.budget.finance.go.ug> to access the following key documents, among others:
  - i. The Budget Speech for FY 2023/2024;
  - ii. Approved Estimates of Revenue and Expenditure Volume I (Central Government Votes and Missions Abroad);
  - iii. Approved Estimates of Revenue and Expenditure Volume II (Local Governments); and
  - iv. Approved Estimates of Revenue and Expenditure Volume III for the State-Owned Enterprises and Public Corporations.

#### **B. THE ANNUAL CASH FLOW PLAN FOR FY 2023/2024**

6. In accordance with Section 36 (b) of the PFM Act 2015 (Amended), the Annual Cash Flow Plan for FY 2023/2024 has been generated off the Program Budgeting System (PBS) based on the quarterly projections in your respective Vote work plans for FY 2023/2024.
7. The purpose of the Cash Flow Plan is to guide and ensure that Government maintains sufficient liquidity to be able to sustain and make timely payments to meet service delivery requirements by aligning Vote cash inflows and outflows to your respective Program Implementation Action Plans (PIAPs).
8. In view of the above, and in line with Sections 15 and 21 (i) of the PFM Act, 2015 (Amended), all Accounting Officers are urged NOT to overcommit the vote budgets beyond the Annual Cash Flow Plan issued in this Circular. Furthermore, you should submit expenditure commitments, in line with the PIAPs, indicating the actual forecast commitments and the cash position of your respective Votes as per Section 16 (i) of the PFMA, 2015 (Amended) to inform decision-making on the subsequent quarterly expenditure releases.



**C. POLICY DIRECTIVES, ADMINISTRATIVE AND OPERATIONAL GUIDELINES FOR IMPLEMENTATION OF THE BUDGET FOR FY 2023/2024**

***Policy Directives***

- 9.** The FY 2023/2024 Budget allocations directed resources to program areas meant for enhanced socio-economic transformation for all Ugandans through job and wealth creation, and increasing household incomes, by targeting the 39% of Ugandans still in the non-money economy. All Accounting Officers are urged to adhere to the following policy directives that guided the preparation of the Budget for FY 2023/24:
- i. Fund key Government priorities to increase the momentum in socio-economic transformation, for example: the standard-gauge railway, the meter-gauge railway, solar-powered irrigation, PDM, *Emyooga*, road maintenance, coffee value addition, vaccines and pharmaceutical manufacturing etc.;
  - ii. Support development initiatives that drive private sector growth;
  - iii. Implement only ongoing projects and other multi-year commitments as approved in the Budget;
  - iv. Halt new non-concessional projects, except those already provided for in the fiscal framework, or those with no direct or indirect claim on the Consolidated Fund;
  - v. Hold back any recruitment plans in FY 2023/2024 except on a replacement basis where the resources are already available;
  - vi. No travel abroad, except for critical positions of the Executive, Legislature, Judiciary, security, diplomatic relations and resource mobilization; and
  - vii. **NO** purchase of new vehicles except hospital ambulances, tailored vehicles for medical supplies/distribution, and for agricultural extension services, security and revenue mobilization.

***Non-Discrimination***

- 10.** Accounting Officers should ensure that all projects (whether Government of Uganda or externally funded) are implemented within the provisions of Article 21 (1) and (2) of the Constitution and Section 13 (11) (e) (i-ii) of the Public Finance Management Act, 2015 (Amended). This emphasizes equality of all persons in access to all opportunities and benefits presented by the above projects, without prejudice and discrimination on the ground of sex, race,



color, ethnic origin, tribe, birth, creed or religion, social or economic standing, political opinion or disability.

*Advertising by Ministries, Agencies and Local Governments*

11. In his letter of Ref. No. PO/3 dated 6<sup>th</sup> March 2023, H.E. The President directed that in FY 2023/2024, **“all Government advertising must be through the Uganda Broadcasting Corporation. Any Accounting Officer who deviates from this will be sanctioned including dismissal”**. Print media advertising should be done through the New Vision. I therefore urge all Accounting Officers to strictly adhere to this directive.

*Contracting in Ugandan Shillings versus Foreign Currencies*

12. I have received numerous requests from a number of Ministries, Departments and Agencies (MDAs) to undertake contracts in foreign currency, especially in United States Dollars and Euros. In line with the fiscal and monetary policies agreed with Bank of Uganda, I wish to reiterate this Ministry's position that no procurements should be undertaken in foreign currency as previously communicated in FY 2016/17, FY 2017/18 and FY 2018/19. Contracting in the local currency, is meant to preserve the sanctity and value of the Shilling since the budget is appropriated in the local currency which is easily convertible.
13. Therefore, this is to guide all Accounting Officers as follows:
  - i. That all contracts for works, goods and services shall be awarded in Ugandan Shillings to hedge against cost overruns due to global forex rates fluctuations that impact on the stability of the Shilling; and
  - ii. All contracts, including those that follow international competitive bidding procedures, shall be quoted in Ugandan Shillings. The only exemption will be where it is clearly expressed in the financing agreements with Development Partners to use other currencies in the bidding process, if necessary. This should be strictly the exception and not the norm. I request the Honorable Attorney General's chambers to take note and enforce this guideline while approving agreements.



Telephone: General Lines: 256 - 417-712260  
Permanent Secretary's Office: 256 -417- 712221  
Toll Free 0800100066

E-mail : [ps@health.go.ug](mailto:ps@health.go.ug)  
Website: [www.health.go.ug](http://www.health.go.ug)

IN ANY CORRESPONDENCE ON



Ministry of Health  
P. O. Box 7272  
Plot 6, Lourdel Road  
KAMPALA  
UGANDA

THIS SUBJECT PLEASE QUOTE NO. **ADM:180/01**

THE REPUBLIC OF UGANDA

5<sup>th</sup> June 2023

### Circular

All Hospital Directors, National and Regional Referral Hospitals  
All District Health Officers  
All Medical Superintendents  
All Health Facility In-charges  
Executive Directors of Implementing Partners  
Executive Directors of Faith Based Medical Bureaus  
The Executive Director Uganda Healthcare Federation

### PROVISION OF SERVICES TO ALL PEOPLE WITHOUT DISCRIMINATION

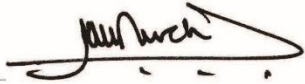
The constitution of the republic of Uganda recognises that health is a fundamental right and guarantees access to health care services for all. The Ministry of Health is mandated to provide Preventive, Promotive, Curative and Rehabilitative Health Services to all people in Uganda in their diversity **without any form of discrimination**. Furthermore, all services should be provided in a manner that ensures **Safety, Privacy and Confidentiality to all clients that seek health services in all facilities, both Public and Private**.

The Ministry of Health therefore reminds all health care workers and stakeholders about the above National commitments, and reiterates the following;

- **Not to deny services to ANY client who present themselves for services.**
- **Not to discriminate or stigmatize any individual who seeks health care services, for any reason – gender, religion, tribe, economic status, social status or sexual orientation.**
- **Patient rights and ethical values – Confidentiality, Privacy, Patient Safety as stipulated in the Patient's Charter should be upheld each time a patient seeks health care services at your facility**

Your cooperation in this matter is of great importance to improving access to service delivery for all our people.

A handwritten signature in black ink, appearing to read 'M. N. N.', with a long horizontal line extending to the right.



Dr. Henry G. Mwebesa  
**DIRECTOR GENERAL HEALTH SERVICES**

- cc. Hon. Minister of Health  
Hon. Minister of State for Health (GD)  
Hon. Minister of State for Health (PHC)  
Permanent Secretary, Ministry of Health  
All UN Agencies  
PEPFAR Coordinator  
Head Country Team Global Fund, Geneva  
Country Manager, World Bank  
Country Director – CDC, USAID, DOD  
Director General, Uganda AIDS Commission  
Directors, Ministry of Health  
All Chief Administrative Officers  
Registrars, Health Professional Councils

**Telegram:** "EDUCATION"  
**Telephone:** +256-41-7893602  
**Fax:** +56-41-4230437

In any correspondence on  
this subject please quote: EPD 191/336/03



Ministry of Education and Sports  
Embassy House  
P.O. Box 7063  
E-Mail: [permasec@education.go.ug](mailto:permasec@education.go.ug)  
Website: [www.education.go.ug](http://www.education.go.ug)  
Kampala, Uganda

18<sup>th</sup> August 2023

All Heads of Education Institutions

### **PROVISION OF EDUCATION SERVICES TO ALL PEOPLE WITHOUT DISCRIMINATION**

The Government of Uganda recognizes the Constitutional social objective to ensure all Ugandans enjoy rights, opportunities and access to education. Under our education objectives, the State is obligated to promote free and compulsory basic education, afford every citizen equal opportunity to attain the highest educational standard possible, and facilitate individuals, religious bodies and other non-governmental organizations to found and operate educational institutions if they comply with the general educational policy of the country and maintain national standards.

The Ministry is implementing the Gender in Education Policy which provides for equitable access to education for all without discrimination. To operationalize the Policy a number of policy strategies and guidelines exist including the National Strategy of Elimination of Violence Against Children, the Life Skills Toolkit, manuals on growth and sexual maturation. In addition, the Ministry has incorporated Sexuality Education into the curriculum to ensure age-appropriate information to enable young people to maneuver through the different challenges of life.

The purpose of this Circular, therefore, is to reiterate Article 21 (1) of our constitution with states that "All persons are equal before and under the law in all spheres of political, economic, social and cultural life and in every other respect and shall enjoy equal protection of the law". The Ministry does not condone any forms of discrimination and exclusion of any persons, in delivery of education services, programs and projects.

You are, therefore, called upon to observe and ensure the above standards in the delivery of education services, programmes and projects.

**Ketty Lamaro**  
**PERMANENT SECRETARY**

Cc: First Lady and Hon Minister of Education and Sports  
Ministers of State, Education and Sports

Tel: Director +256-0414-332504.  
General +256-414-332500  
+256-414-332501  
Toll Free: 0800112300



Office of The Director of Public Prosecutions,  
Workers House, 12<sup>th</sup> & 11<sup>th</sup> Floor  
Plot 1, Pilkington Road,  
P.O. Box 1550,  
Kampala (Uganda)  
[admin@dpp.go.ug](mailto:admin@dpp.go.ug)  
[www.dpp.go.ug](http://www.dpp.go.ug)

Our Ref: ADM 12/01  
Your Ref:

Date: 25<sup>th</sup> August, 2023

### CIRCULAR NO.18/2023

All Prosecutors,  
Office of the Director of Public Prosecutions.

**RE: MANAGEMENT OF CASES WITH CHARGES PREFERRED UNDER THE ANTI-HOMOSEXUALITY ACT 2023.**

The Anti-Homosexuality Act (AHA) came into force on 30<sup>th</sup> May 2023. It has come to the attention of management that a number of charges of Homosexuality and Aggravated Homosexuality are now being preferred by some officers without internalizing some crucial aspects of the act.

It is important to note that the AHA only criminalises offences where a sexual act has been performed. The term "*sexual act*" is defined under Section 1 of the Act.

It is also important to note that Sections 2 (5) and 3 (5) of the AHA provide that "*for the avoidance of doubt, a person who is alleged or suspected of being a homosexual, who has not committed a sexual act with another person of the same sex, does not commit the offence of homosexuality under this section*".

Officers are therefore advised to peruse files with offences under the AHA cautiously while taking into account the abovementioned provisions.

You are hereby directed to ensure that all files with charges preferred under the AHA should first be submitted to Headquarters with a written legal opinion for further guidance before a decision to charge is made.

Management will soon organize sensitization meetings for all officers on the key aspects of the AHA.

Handwritten signature of Jane Frances Abodo in black ink.

Jane Frances ABODO  
DIRECTOR OF PUBLIC PROSECUTIONS

## **ANNEX 10: ENHANCED IMPLEMENTATION SUPPORT AND MONITORING OF NON-DISCRIMINATION**

The World Bank and IFC have hired an international and credible entity (firm, agency) with a strong knowledge of the Ugandan context and a track record of enhanced third-party implementation support and performance monitoring to undertake the tasks described in this section for all projects presently being implemented in the Uganda portfolio. The entity works in collaboration with NGO/CSOs and country-based development partners.

The Enhanced Implementation Support and Monitoring (EISM) will primarily focus on supporting project teams to implement mitigation measures to address grievances and concerns from beneficiaries, communities, and workers relating to discrimination from project benefits.

The objectives of the Enhanced Implementation Support and Monitoring include:

- Assisting project teams to enhance existing project-level grievance mechanisms and develop and operate an independent mechanism that would identify, manage, and monitor cases of discrimination.
- Assisting the WB in strengthening the capacity of Project Implementation Units (PIUs), workers, and contractors, subcontractors, and service providers.
- Ensuring contracts, codes of conduct, hiring procedures, whistle-blower protection protocols, and other measures, as needed, are in place to allow remediation of cases of discrimination.
- Develop a strong data management system and process that secures personal data and information in a manner that is safe, ethical, and confidential.
- Where cases of discrimination are reported through the above mechanism, the EISM will report the grievances to the Bank, propose appropriate remediation, and follow up on agreed actions to resolve the case.
- Support the WB/IFC to monitor the efficacy of the agreed measures to mitigate the impacts on WB/IFC financed operations.

Table 10-2 below illustrates the enhanced implementation support and monitoring steps. Figure 10-1 contains the enhanced implementation support and monitoring process. Figure 10-2 contains the Complaint Management for Vulnerable or Marginalized Individuals or Groups.

### **1 Scope of Work and Activities**

To provide enhanced implementation and monitoring support to the World Bank/IFC operations in Uganda the EISM will:

2.1 Establish an effective and confidential mechanism to receive, manage, refer, and monitor grievances related to discrimination across the WB/IFC portfolio.

To do so the EISM will:

- **Enhance existing project-level grievance redress mechanisms** to safely, ethically, and confidentially receive cases related to discrimination on World Bank/IFC financed operations and refer them to an appropriate grievance handling mechanism.
- **Design and operate a mechanism for receiving grievances** related to discrimination on WB/IFC financed operations (including from project level grievance mechanisms noted above).

- **Establish a hotline or an alternative complaint mechanism**, for individuals to lodge complaints of discrimination on WB/IFC financed projects or voice their concerns without fear of reprisal. The EISM is an alternative to lodging complaints through a GoU-led project-level GRMs.

**Table 10-2: Enhanced Implementation Support and Monitoring Steps**

| <b>Enhanced Implementation Support and Monitoring Steps</b>                    |   |
|--|---|
| <b>Act as a key first step in the referral process from project-level GRMs</b> | <b>Designed specifically to handle complaints restricted to WB/IFC projects</b>   |
| Step 1   | Receives and document complaints of discrimination in accessing WB/IFC projects' benefits, services, and opportunities,   |
| Step 2   | Develops specific security protocols to ensure that communications are safe, ethical, and confidential.   |
| Step 3   | Establishes a data management system on an international server guaranteed by the provider as safe and secure encryption and privacy.   |
| Step 4   | Implements a data privacy and protection policy to include confidentiality clauses to be signed by all personnel entrusted with managing referrals or referral-related information. |
| Step 5   | Handles complaints in a confidential, anonymous, and non-judgmental manner which is sensitive to local context and in local languages   |
| Step 6   | Provides detailed monthly reports of complaints received to the WB/IFC  |
| Step 7   | Provides ad hoc incident reports of all allegations to WB/IFC within 48 hours of receipt  |
| Step 8   | Reports grievances to the WB/IFC, proposes appropriate remediation, and follows up on agreed actions to resolve the case.   |
| Step 9   | Maps available services for vulnerable or marginalized individuals and groups including counselling, legal services, protection, and other services,                                |
| Step 10  | Refers individuals to the appropriate local services or organizations as needed   |
| Step 11  | Reports grievances to the WB/IFC, proposes appropriate remediation, and follows up on agreed actions to resolve the case.   |
| Step 12  | Regularly evaluates the effectiveness of mitigation measures to determine whether and how well the mitigation measures are functioning.   |
| Step 13  | Recommends and supports the implementation of adjustments to mitigation measures based on regular evaluations and their impact.   |

## **2.2 Outreach and sensitization to project beneficiaries and communities involved with the World Bank/IFC Portfolios**

Activities related to Outreach and sensitization to project beneficiaries and communities include:

- **Assist the WB/IFC to prepare and implement a plan to disseminate information** about the support provided by the entity including support for existent GRMs.
- **Prepare community/beneficiary information materials** on their rights within the Constitution of Uganda and World Bank/IFC policies informed by various official circulars issued by the GoU on non-discrimination and World Bank/IFC policies.

- **Develop and implement a methodology to conduct periodic outreach to beneficiaries/communities** to hold consultations on non-discrimination to identify issues and risks in a safe, ethical, and confidential manner.

### 2.3 Capacity strengthening and technical support.

Activities related to capacity strengthening and technical support include:

- **Support to the WB/IFC on training** government staff and private sector consultants/clients, workers, and contractors on non-discrimination by developing training materials, identifying venues, providing trainers, etc.
- **Support to the WB/IFC with training project level GRMs** on non-discrimination in World Bank and IFC financed Projects by developing training materials, identifying venues, providing trainers, etc.
- **Preparing training modules for call center operators, data management personnel, and community outreach personnel** on appropriate handling of sensitive information.
- **Providing technical support to the GoU for the development of Guidelines** on Non-discrimination of Workers.

### 2.4 Monitoring and Evaluation

Activities related to monitoring and evaluation include:

- **Developing a system to regularly monitor WB/IFC projects** for 1) implementation of agreed GoU actions to mitigate the risk of discrimination on WB/ IFC projects, 2) incidents of discrimination on World WB/IFC financed projects.
- **Regularly evaluating the effectiveness of mitigation measures** to determine whether and how well the mitigation measures are functioning to improve WB/IFC awareness of incidents of discrimination on WB/IFC financed operations.
- **Recommending and supporting the implementation of adjustments to mitigation measures** based on regular evaluations and their impact.

### 3. Roles and Responsibilities

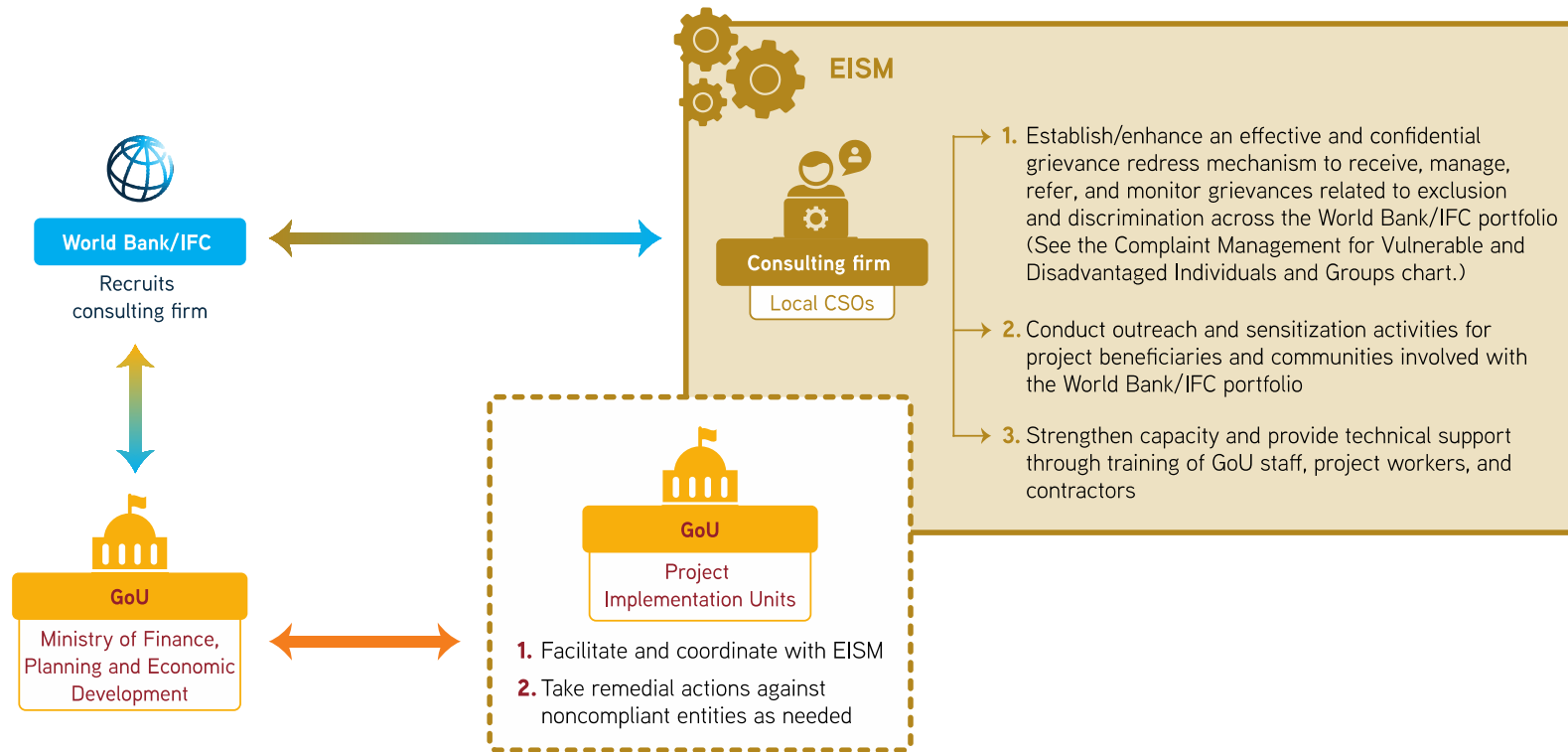
The GOU and its PCUs remain responsible for the implementation of all project activities including mitigation measures supported by EISM. The enhanced implementation and monitoring support mandate is specifically focused on:

- 1) supporting the WB/IFC to ensure the agreed measures on non-discrimination in the portfolio are implemented fully, ethically, safely, and to an appropriate standard of quality; and
- 2) to support the WB/IFC to enhance our awareness of cases of discrimination across the WB/IFC portfolio.

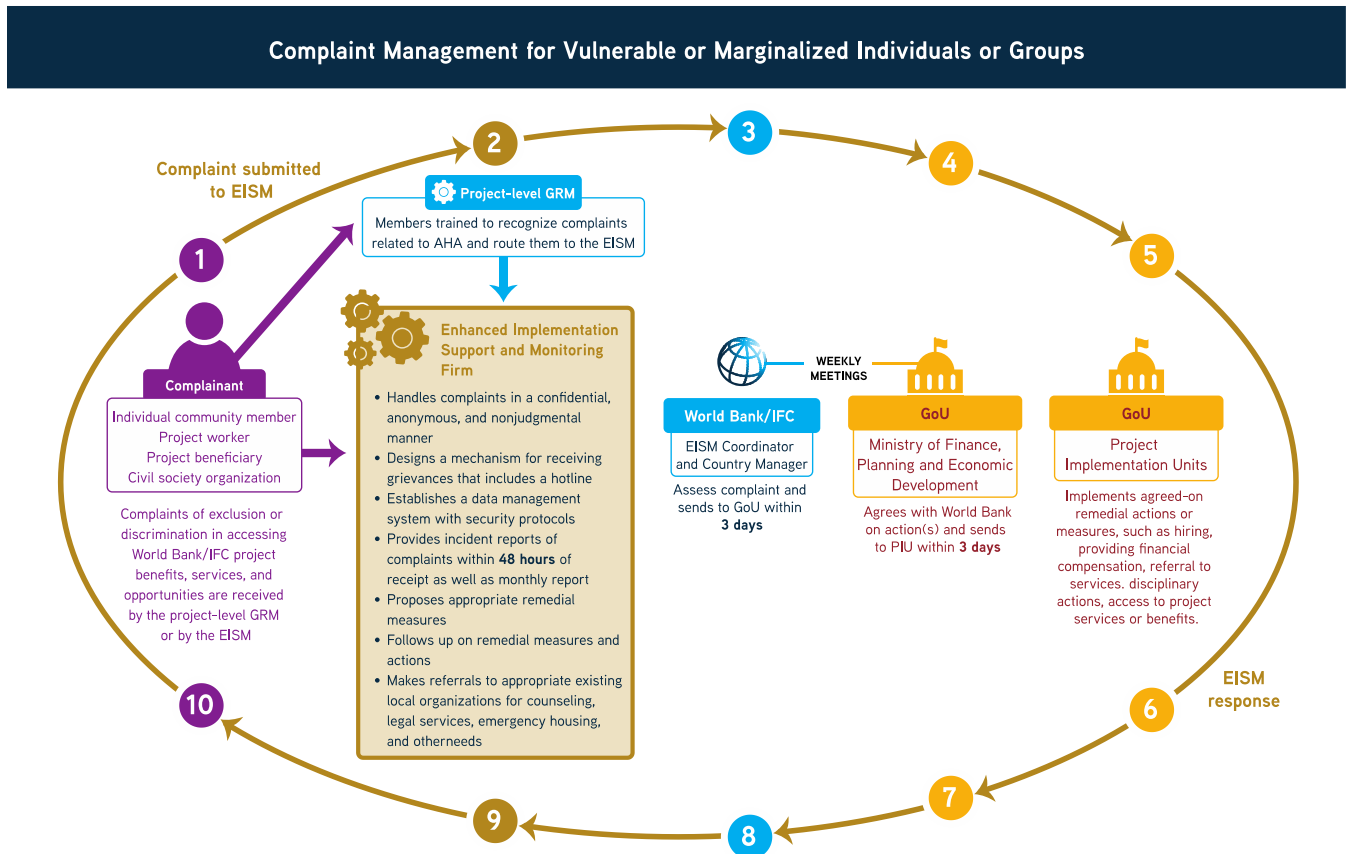
The GOU will facilitate the work of the entity and collaborate as needed on all activities requiring their direct involvement, such as outreach and sensitization activities, capacity strengthening and technical support as well as the monitoring and evaluation of mitigation measures. The GoU will also ensure that the work under the EISM can be undertaken safely in accordance with existing circulars and their dissemination.

**Figure 10-1 Description of Enhanced Implementation Support and Monitoring (EISM) Process**

**Description of Enhanced Implementation Support and Monitoring (EISM) Process**



**Figure 10-2: Complaint Management for Vulnerable or Marginalized Individuals or Groups**



*Note:* For the IFC, the complaint management process is similar, but instead of government, it is done through private sector borrowers.

## **Annex 11: GUIDELINES FOR IMPLEMENTING ADDITIONAL MITIGATION MEASURES**

In July 2024, following the enactment of the Anti-Homosexuality Act (AHA) of 2023, the E&S documentation and its annexes including ESMF, SEPs, PIMS etc. for all ongoing projects in the Ugandan portfolio were updated to include specific measures to mitigate the risk of discrimination against or exclusion of any affected individuals and groups in providing or receiving benefits in World Bank-financed projects and programs in Uganda. This ESMF for SOSPPA's Project includes such mitigation measures in various sections as appropriate.

The measures involve ensuring access to a project-level Grievance Redress Mechanism (GRM), establishing a dedicated hotline for receiving complaints, requiring contract clauses and codes of conduct on nondiscrimination, and training project workers and contractors and community outreach activities on Inclusion and Nondiscrimination (IND).

Through a competitive process, the World Bank and International Finance Corporation (IFC) have contracted an international firm SREO Consulting Ltd. (SREO) to support the implementation of the mitigation measures. SREO will partner with local CSOs and/or individuals with expertise and experience in inclusion and nondiscrimination in Uganda.

The World Bank will support the Ugandan government in the rollout of the mitigation measures through Enhanced Implementation Support and Monitoring (EISM), targeting PIUs including the PCU for SOSPPA, contractors, subcontractors, frontline service providers, and local stakeholders, as required and set out in the E&S documentation.

This annex presents guidelines on how to implement the mitigation measures, including main steps and the roles and responsibilities of task teams, the Ugandan government, PIUs/PCUs, the World Bank, CSOs, SREO, and other stakeholders.

### **Steps for Implementing Mitigation Measures**

Depending on the status of a particular project, the following steps may or may not be followed sequentially. One or more of the steps might not be relevant to a project, or it might be possible to accomplish two or more steps at the same time.

SREO and the relevant World Bank task team leader, social development specialist, and PIU/PCU should discuss and agree on the relevance and sequence of steps prior to their implementation.

#### **1. Assess the Status of the Project**

The approach, type, and level of effort will vary depending on a project's implementation status:

- **Ongoing projects.** Ongoing projects require retrofitting to include mitigation measures. Such projects should be considered high priority for monitoring because of the existing risk of discrimination.

- **Early-stage projects.** Projects at an early stage of implementation require retrofitting to include mitigation measures, but the need for monitoring is not as urgent as for ongoing projects. The priority level for early-stage projects will depend on the status of activities on the ground and whether or not a PIU/PCU and service providers are in place.
- **Closing and closed projects.** Projects that have closed after May 2023 or that will be closing in the next six months require a due diligence review to assess if there are any outstanding complaints or issues related to the discrimination of vulnerable or marginalized individuals or groups and if any remedial measures are needed.

The results of the due diligence should be incorporated into the standard E&S closure review unless it has been completed already. No further action is needed.

- **Pipeline projects.** A project that has not yet begun implementation provides the opportunity to integrate additional mitigation measures and monitoring into its design.

NUSAF IV as a pipeline project has presented such an opportunity to integrate these mitigation measures and monitoring into its design.

## **2. Enhance Existing Project-Level GRMs and Establish a Hotline**

SREO will distribute a questionnaire to World Bank and PIU/PCU social development specialists to assess existing project-level GRMs. Based on a review of responses, it will recommend actions that the PIU/PCU or service providers can take to improve the GRMs.

With the support of SREO, the PIU/PCU and the social development specialist will revise the project GRMs to include effective, safe, ethical, and confidential referral pathways, ensuring that individuals or groups feel secure reporting incidents and that grievances are addressed quickly, efficiently, and appropriately.

SREO will provide training to GRM staff so they can recognize exclusion or discrimination complaints and route them to the EISM. The enhanced process will enable the PIU/PCU to identify complaints of exclusion or discrimination sent to the GRM and forward them to SREO within 48 hours of receipt.

### **Hotline on Discrimination and Exclusion**

SREO has designed and operates a hotline (0800 333125) as an alternative way to receive complaints about the exclusion or discrimination of vulnerable or marginalized individuals or groups related to accessing benefits, services, or opportunities in World Bank/IFC operations. The design of the hotline will allow it to:

- Receive complaints in a confidential, anonymous, and nonjudgmental manner that is sensitive to local context and available in local languages.
- Compile detailed monthly reports of complaints.
- Advise complainants on remedial actions.

- Map available services for vulnerable or marginalized individuals or groups, including counseling, legal services, and protection.
- Refer individuals to appropriate local services or organizations.
- Implement a data privacy and protection policy that includes confidentiality clauses which must be signed by all personnel handling referrals
- Establish a data management system that guarantees safety through secure encryption and privacy protocols.
- Develop specific security protocols to ensure communications are safe, ethical, and confidential.
- Ensure all grievance mechanisms have appropriate whistle-blower protection protocols in place that enable safe reporting.

**World Bank’s Grievance Redress Service.** In addition to the enhanced project-level GRM and the dedicated hotline, the World Bank has developed a specific window under its existing Grievance Redress Service (GRS) to manage complaints related to any World Bank project globally. A protocol has been developed to process all complaints related to exclusion or discrimination in the Uganda portfolio.

### **3. Conduct Outreach and Sensitization Activities**

The World Bank team, PIUs/PCUs, and service providers should contact SREO to assist with:

- The preparation and implementation of a plan to disseminate information about existing GRMs and the dedicated hotline.
- The development and implementation of outreach activities on nondiscrimination delivered to beneficiaries and communities in a safe, ethical, and confidential manner.

### **4. Strengthen Capacity and Deliver Technical Support**

The World Bank team, PIUs/PCUs, and service providers should contact SREO to assist with:

- Training workers, contractors, and project-level GRM staff on nondiscrimination and inclusion, including developing training materials, identifying venues, and hiring trainers.
- Delivering any other needed technical support related to the implementation of the mitigation measures.

SREO will prepare training modules for call center operators, data management personnel, and community outreach personnel on the appropriate handling of sensitive information given the potential exclusion and discriminatory context.

### **5. Conduct Monitoring and Evaluation**

Task team leaders, social development specialists, PIUs/PCUs, and service providers should contact SREO to:

- Support the monthly and quarterly monitoring and evaluation of the implementation of agreed measures and actions to mitigate the risk of exclusion and discrimination and to reduce incidents of discrimination or exclusion.
- Provide comments on regular evaluations of the effectiveness of mitigation measures.
- Offer feedback on recommendations and support the implementation of adjustments to mitigation measures based on their effectiveness.

## **6. Take Remedial Action**

When a discrimination or exclusion complaint is reported to the dedicated hotline, the following process should be followed:

- SREO will report the grievance to the World Bank, propose appropriate remedial actions, and follow up on agreed actions to resolve the case.
- The World Bank’s EISM coordinator and country manager will assess the complaint and then forward it to the Ministry of Finance, Planning and Economic Development. If the Ministry does not object to the World Bank’s recommendations, they will be forwarded to the PIU/PCU.
- The PIU/PCUs is responsible for implementing the agreed measures, which might include training and retraining, hiring, offering financial compensation, providing service referrals, taking disciplinary actions, and providing access to project services and benefits.

### **Roles and responsibilities for the Implementation of Mitigation Measures**

i) The different steps presented are guidance on the how to do and the sequencing for the implementation of the mitigation measures bearing in mind that the sequencing can vary from one project to another, and activities done in parallel in some instances. Each Step identifies the roles and responsibilities of the GOU, PIU/PCUs, WBG, CSOs and SREO. The roles and responsibilities are summarized in this section in Figure 10-1.

ii)

This section also provides more specific information on roles and responsibilities to implement the mitigation measures of the EISM firm RSEO and the PIUs/PCUs. The mitigations measures identified in the Projects’ environment and social instruments will be implemented by the GOU through the PIU/PCUs with the support of the EISM firm SREO hired by the World Bank with NGO/CSOs and country-based development partners in implementing these mitigation measures. SREO’s specific responsibilities include:

- Helping project teams improve existing project-level GRMs, and developing and operate an independent mechanism to identify, manage, and monitor cases of discrimination.

- Developing a robust data management system and process that secure personal data and information safely, ethically, and confidentially.
- Working with the World Bank to strengthen the capacity of PIUs/PCUs, workers, contractors, subcontractors, and service providers.
- Ensuring that contracts, codes of conduct, hiring procedures, whistle-blower protections, and all other needed protocols are in place to remediate cases of discrimination.
- Supporting the World Bank in monitoring the efficacy of the agreed mitigation measures.
- Reporting complaints of discrimination to the World Bank, proposing appropriate remedial actions, and following up on agreed actions to resolve cases.

With the support of SREO, PIUs/PCUs are responsible for implementing mitigation measures as described in the E&S instruments, including:

- Developing training, sensitization, information, educational, and communication materials on the principle of nondiscrimination of individuals or groups who are vulnerable or marginalized.
- Conducting consultations on nondiscrimination with targeted external stakeholders, including NGOs, CSOs, local governments, and other stakeholders, as appropriate.
- Integrating clauses on nondiscrimination and codes of conduct on nondiscrimination into all project contracts, which must be signed by all contractors, subcontractors, and service provider staff.
- Reviewing all relevant policy and protocol documents, including those for human resources and whistle-blower protections.
- Facilitating the monitoring of all measures to ensure their implementation, that all reported incidents are shared with the World Bank, and that they are addressed promptly.

### **Figure 10-3: Roles & Responsibilities for the Implementation of Mitigation Measures**

#### ***Government of Uganda (GoU)***

- Facilitating the implementation of mitigation measures under the leadership of the Ministry of Finance, Planning and Economic Development and through PIUs/PCUs.
- Following up on reported cases of discrimination in coordination with the World Bank EISM coordinator and country manager.
- Achieving agreement with the World Bank on remedial actions and forwarding recommendations to PIUs/PCUs.

#### ***Project Implementation Units/Project Implementation Support Teams***

- Reviewing and enhancing project-level GRMs.
- Ensuring the implementation of mitigation measures.
- Facilitating capacity strengthening and community outreach efforts.
- Implementing agreed-on remedial actions and measures.

#### ***World Bank (task team leaders, social development specialists, and the EISM coordinator)***

- Supporting capacity strengthening and training sessions.
- Facilitating communication between SREO and the Ugandan government, SREO and task team leaders, and SREO and PIUs/PCUs.
- Overseeing the remediation of reported cases, makes recommendations, and follows up to ensure their resolution.

#### ***Civil Society Organizations (CSOs)***

- Hired by the EISM firm (SREO) to coordinate the monitoring of activities in Uganda.
- Participate in capacity-building and outreach activities to disseminate information about the hotline and the GRS to relevant populations.
- Receive and manage referrals for issues outside EISM's scope.

#### ***SREO Consulting, Ltd.***

- Establishes a dedicated hotline and assists PIUs/PCUs in improving existing GRMs.
- Conducts outreach and sensitization activities.
- Provides capacity-strengthening and technical support to PIUs/PCUs.
- Monitors and evaluates discrimination complaints.

## Annex 12: VOLUNTARY LAND DONATION GUIDELINES/PROTOCOL

**1. Introduction:** Voluntary Land Donation (VLD) is a process whereby individuals or communities willingly and without any form of coercion or duress offer their land for development projects. This is done with informed consent, meaning the land donors fully understand the implications of their donation, the benefits of the project, and the alternatives available to them. The land donors must have the power of choice, ensuring that they can freely decide whether to donate their land or not.

**2. Subcomponents that trigger VLD.** The Soroti Sweet Potato Producers and Processors Association (SOSPPA) shall be implementing a Project entitled *Strengthening Productive Capacity and Resilience of Smallholder Sweet potato Producer Organizations in Uganda Project* (P179537). Sub-component 1.1 will support upgrading Orange Flesh Sweet Potato (OFSP) value addition and processing into nutritious products for low, middle, and high-end markets. In respect to OFSP value addition, SOSPPA will construct a processing facility focused on upgrading OFSP processing activities into profitable commercial business. Therefore, land will be required on which the facility will be constructed, expected to be on half an acre of land. The land has been donated or allocated to SOSPPA for this purpose by the Serere District Local Government as per the Serere Council Meeting Minutes allocating the land to SOSPPA. Due diligence on the land shall be undertaken to ensure any potential E&S risks & impacts are identified and their respective mitigation measures integrated into the sub-project ESMP.

Sub-component 1.3. Converting by-products of OFSP processing to nutrition animal feed (namely, silage) will, among other things, support processing of by-products (such as non-marketable roots and vines that contain 19-22% crude protein) into nutritious animal feed through silage processing thus creating a market for the wastes and income for farmers. Specifically, the project will: establish sweet potato “silage processing hubs” in each of the six project districts to provide market for vines and waste roots generated by SOSPPA group members in the districts. Therefore, participating farmers will be required to identify and provide land within a respective farm, where the hub will be located. SOSPPA will construct the shelter, dig the silage processing pit, provide the equipment and train farmers or operators on use of the equipment. As a result, land will be required thus impacting the land holdings of individual farmers, community members, and other property owners.

As a precautionary measure, the VLD Protocol or procedures will be implemented to encourage and manage the donation of land by community members for the establishment of silage processing hubs. These procedures will ensure that land donations are voluntary, transparent, and beneficial to the community, while minimizing any negative impacts on participating farmers. Land for the establishment of silage processing hubs will strictly be acquired through VLD procedures - land voluntarily donated for project investments without monetary conditions attached. Voluntary offers must be regularized and properly documented using “Standard Land Offer Forms” below. with sufficiently binding clauses (guided by a lawyer). The “Standard Land Offer Form” will be fully signed by all key parties, including the land donor/spouse/persons above 18 years, respective project beneficiaries represented by the respective Chairperson/s, and witnessed as well as authenticated by the area land committee plus local leaders.

**3. Procedures for Voluntary Land Donation:** Following collection of information regarding land and assets that will be impacted by the Project, a land survey map will be prepared by responsible officials. The procedure below shall be followed:

- *Extensive Sensitization:* - shall be undertaken to mobilize community contribution and raise awareness that the project does not compensate for land and assets.
- *Participatory Land Identification:* - shall be with the active involvement of the affected community/individual and other relevant stakeholders guided by the principle “Free, Prior, Informed Consent (FPIC)”.
- *Public Consultations and disclosure:* - public meetings shall be conducted to explain the VLD process, its benefits, get feedback and address any community concerns. Donating land must be based on a full

understanding of the sub-projects for which the land is donated and its consequences. The affected parties (the owners and users of the land) must be provided with accurate and accessible information about the purpose of the land, for how long it will be needed, and the impact of the donation to the affected parties. Prior written notification indicating the location and size of land that is needed and the intended use for the sub-project shall be provided and disclosed.

- *Informed Consent*: - shall be based on full understanding of the impacts of proposed activities on the donated land to the donor, the size of land required, and a copy of the “Standard Land Offer Form” shall be shared.
- *Confirmation*: - that the affected parties agree to donate land/asset should be obtained in-person meeting and stakeholder’s consultation.
- *Right of Refusal*: - shall be made known to the potential donor as an option and that the right of refusal is specified in the donation document the donor will sign. The act of donation is undertaken without coercion, manipulation, or any form of pressure from public or traditional authorities.
- *Livelihood Considerations*: - The proportion of donated land may not exceed the area required to maintain the donor’s livelihood or household. Land donation shall not occur if it requires any household relocation or poses adverse impacts on resources and assets.
- *Community and Collective Land*: - donation can only occur with the consent of all individuals using or occupying the land.
- *Verification*: - from each person donating land (either through proper documentation or through confirmation by at least two witnesses) shall be obtained. The area land committee and local leaders (LC1 and LC3) must confirm land ownership and authenticate the land offer form.
- *Free of Encumbrance*: - the land to be donated shall be free from any encumbrances or encroachment and the donated land shall be registered in an official land registry upon acquisition.
- *Due Diligence*: - shall be undertaken carefully to: (i) identify the right that is being transferred (an ownership right, a user right, a right of way, etc.); and (ii) confirm whether the transferee has that right; to avoid conflict in the future. The transferee will have documentary evidence of such a right in the absence of which due diligence can establish these rights by consulting local community officials and leaders as well as neighbors.
- *Legal Agreements*: - shall organize a meeting to discuss and agree to the land donation and properly minute the resolution with suitable witnesses or ex-officials in attendance. Draft legal agreements, such as Memorandums of Understanding (MOUs), formalize the land donation and should include the specific land being donated, and the terms and conditions of the donation.
- *Land Offer Form*: - The minutes will be used as a trigger to officially fill the “Project Standard Land Offer Form”, a copy of which will remain at the subproject level, a copy kept at the district level, and an electronic copy uploaded into the Project MIS at the Implementing Agency.
- *Return of Unused Land*: - any unused land for its agreed purpose shall be returned to the donor.
- *Grievance Redress Mechanism (GRM)*: - a clear and accessible GRM shall be established and operationalized to address any concerns that may arise during the donation process and ensure its visibility and how affected parties can use it.
- *Documentation*: - SOSPPA PCU should ensure that: the consultation has taken place; the terms of the transfer are set out; the decision to transfer was freely made; an accurate map of the land being transferred (boundaries, coordinates) is attached; the period the land user rights will last is set out; all necessary parties sign the documents, including obtaining consent from spouses and ‘children’ over 18yrs; the transfer and title is registered or recorded; the land remaining following the donation is properly titled, registered or recorded; and there is no disputed ownership and any claims by renters, users, squatters, or encroachers.
- *Monitoring and Evaluation*: Ensure that SOSPPA/PCU implements the Project in accordance with the agreed-upon plans and timelines, monitors the progress of the project and the impact of the land donations, and engages with the community regularly to provide updates and gather feedback. OPM shall conduct an evaluation of the subprojects to assess their outcomes and the effectiveness of the VLD process, including preparing reports to document the process, lessons learned, and recommendations for future projects.

The Table below illustrates confirmation of land donation and verification of ownership for the different land ownership categories under the proposed Project.

**Table 11-1:** confirmation of land donation and verification of ownership

| No | Category of ownership | Endorsement/confirmation and donation                           | Ownership verification                              |
|----|-----------------------|---|---|
| 1. | Private Owner/HH      | Original legitimate owner, Spouse and Children above 18 years   | Area land committee and local leaders (LC1 and LC3) |
| 2. | Public Institution    | Institution's management committee                              | Area land committee and local leaders (LC1 and LC3) |
| 3. | Public land           | Communal users and local leaders                                | Area land committee and local leaders (LC1 and LC3) |
| 4. | Communal land         | Communal users/managers in trustee/custodians and local leaders | Area land committee and local leaders (LC1 and LC3) |

**ANNEX 12.1: Standard Land Offer form**

**STRENGTHENING PRODUCTIVE CAPACITY AND RESILIENCE OF SMALLHOLDER SWEET POTATO PRODUCER ORGANIZATIONS IN UGANDA PROJECT**

**Consent Form: Voluntary Land Contribution**

|                                      |   |                                      |
|--------------------------------------|---|--------------------------------------|
| Name(s) of Landowner(s)              | 1.  | 2.                                   |
| Village:                             |   |                                      |
| Sub-County:                          |   |                                      |
| District:                            |   |                                      |
| Location of Land:                    |   |                                      |
| Village:                             |   |                                      |
| Sub-County:                          |   |                                      |
| District:                            |   |                                      |
| Land Tenure System<br>(Please tick): | Leasehold   | Public Customary Freehold Mailo land |
| Land Holding Size (ha):              |   |                                      |
| Confirmation of Land Ownership       | <p>I certify that this land legally or traditionally belongs to the following:</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>of Village ....., Parish.....Sub-County.....in.....District</p> <p>.....</p> |                                      |



**ANNEX 12.2: Community Land Resolution Form and Agreement on Land Allocation / Use for the Project**

TERMS OF LAND USE AGREEMENT

1. This land use agreement is between ..... As beneficiary (ies) of a development project titled Strengthening Productive Capacity and Resilience of Smallholder Sweet potato Producer Organizations in Uganda Project (Recipient) and .....As the landlord (Offeror)
2. We/I the beneficiaries(ry) of ..... discussed and agreed that ..... shall be site of the proposed .....
3. That we/I the beneficiaries are aware that the land belongs to..... (The said landlord) and there are no alternative claims on the land.
4. That the 2 (Two) parties have agreed to the investment as described below.
5. That landlord has agreed to transfer land user rights to the beneficiary(ies) for the period of project implementation (.....)
6. That we the beneficiaries have agreed to use the land only for the agreed purpose as described above.
7. That we the beneficiaries have agreed to form a committee/association to manage the investment.
8. That we the beneficiaries will allow key Project stakeholders including Community Structures, District Officials and SOSPPA/PCU Project teams to access the site for official purposes such as monitoring, supervision etc.
9. That we beneficiaries shall strive to peacefully resolve any conflicts with other communities concerning the investment and that we would strive to peacefully co-exist and resolve any conflict arising out of the investment facility following due process provided by the laws of Uganda.
10. That we the beneficiaries (in case of a group) would share the benefits of the project investments amongst ourselves equally, fairly and peacefully.
11. Any misunderstanding or complaint that may arise during execution of the agreement will be resolved amicably between the two parties or where necessary mediation by a suitable jointly agreed external party (preferably within the context of the Project structure).
12. This agreement is subject to renewal upon mutual understanding and agreement between the two parties.

Additional understanding and agreement between the two parties will include as follows.

1. ....
2. ....
3. ....
4. ....
5. ....

Signed:  
Landlord /owner(s) –Offeror.

| S/No. | Name | Location/Address | Signature |
|-------|------|------------------|-----------|
|-------|------|------------------|-----------|

|    |  |  |  |
|----|--|--|--|
| 1. |  |  |  |
| 2. |  |  |  |
| 3. |  |  |  |
| 4. |  |  |  |
| 5. |  |  |  |

Signed by:

Beneficiary(ies)-Land users or authorised agents/representatives.

| S/No. | Name | Location/Address | Signature |
|-------|------|------------------|-----------|
| 6.    |      |                  |           |
| 7.    |      |                  |           |
| 8.    |      |                  |           |
| 9.    |      |                  |           |
| 10.   |      |                  |           |

Witnessed on this ..... Day of ..... in the Year.....: by:

1. LC1 Chairperson

| Name | Signature & R/Stamp |
|------|---------------------|
|      |                     |

2. LC3 Chairperson

| Name | Signature & R/Stamp |
|------|---------------------|
|      |                     |

Any other witnesses deemed appropriate.

Names / Designations.

Signatures

**ANNEX 13: MINUTES OF SERERE DISTRICT LOCAL GOVERNMENT COUNCIL MEETING DURING WHICH LAND WAS ALLOCATED TO SOSPPA**

Our Ref: CR/1206/1

Your Ref:



THE REPUBLIC OF UGANDA

Office of the  
Chief Administrative Officer  
Serere District Local Government  
P.O. BOX 93, SERERE

Date: 21<sup>st</sup> June, 2022

The Secretary District Land Board  
Serere District Local Government

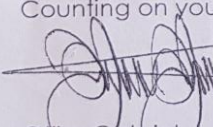
**ALLOCATION OF LAND 100ft x 150ft TO SOROTI SWEET POTATOES PRODUCERS AND PROCESSORS ASSOCIATION (SOSPPA)**

The above subject matter refers.

This letter therefore, is twofold:

1. To inform you that the District Council in her sitting of 30<sup>th</sup> September, 2021 under **Min. 21/2DC/09/2021 (Motion 10)** approved the allocation of land to the above association.
2. To request you handle all the processes that are necessary to enable the association get the land title.

Counting on your usual cooperation.

  
Ofira Gabriel

**FOR. CHIEF ADMINISTRATIVE OFFICER**

For: Chief Administrative Officer  
Serere District Local Government  
P. O. Box 93, Serere - Uganda

- Copy to:**
- The District Chairperson, Serere
  - " The Resident District Commissioner, Serere
  - " The Chairperson District Land Board, Serere
  - " The District Land Officer, Serere
  - " ✓ Chairperson SOSPPA



**Office of the Town Clerk**

Kyere Town Council,  
Serere District Local Gov't

**THE REPUBLIC OF UGANDA**

P.O Box 93, **SERERE**

Our Ref: KTC/1200/3  
Your Ref:.....

23<sup>rd</sup> September, 2021

The Chief Administrative Officer

**Serere District Local Government.**

**RE: REQUEST FOR LAND ALLOCATION**

I am in receipt of a request for land from Soroti Sweet Potato Producers and Processors Association (SOSPPA) a Community Based Organisation located in Kyere Town Council, Serere District that is promoting processing of cassava and sweet potato in the Teso Region. The request is attached.

They are one of the beneficiaries of the Matching Grant from the Ministry of Agriculture Animal Industry and Fisheries under Agricultural Cluster Development Program (ACDP) and also expect to benefit from World Bank on the expansion of the project and to construct a hey.hub for animal feeds.

Sir, the purpose of this Communication is to seek guidance on this matter since it regards to government land.

Thank you

Okwang Moses

**TOWN CLERK**  
**KYERE TOWN COUNCIL**  
SERERE DISTRICT LOCAL  
GOVERNMENT  
P.O. BOX 93, SERERE.  
DATE: 28/9/2021

**Ag. TOWN CLERK/ KYERE TOWN COUNCIL.**

CC: The District Land Officer

The Chairperson LC III Kyere Town Council

SERERE DISTRICT LOCAL GOVT  
P O. Box 93, Serere.  
21 SEP  
RECEIVED