Concept Environmental and Social Review Summary
Concept Stage
(ESRS Concept Stage)

Date Prepared/Updated: 01/07/2020 | Report No: ESRSC00865
### BASIC INFORMATION

**A. Basic Project Data**

<table>
<thead>
<tr>
<th>Country</th>
<th>Region</th>
<th>Project ID</th>
<th>Parent Project ID (if any)</th>
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<tbody>
<tr>
<td>Uganda</td>
<td>AFRICA</td>
<td>P170732</td>
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**Project Name**
Support to Institutional Capacity Enhancement for Urban Development and Management

**Practice Area (Lead)**
Urban, Resilience and Land

**Financing Instrument**
Investment Project Financing

**Estimated Appraisal Date**
10/31/2019

**Estimated Board Date**
10/31/2019

**Borrower(s)**
Ministry of Finance, Planning and Economic Development

**Implementing Agency(ies)**
National Planning Authority, Ministry of Lands, Housing and Urban Development

**Proposed Development Objective(s)**
To enhance institutional capacity of the selected Ministries, Departments and Agencies responsible for Urban development and management.

**Financing (in USD Million)**

<table>
<thead>
<tr>
<th>Total Project Cost</th>
<th>Amount</th>
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<td>2.87</td>
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**B. Is the project being prepared in a Situation of Urgent Need of Assistance or Capacity Constraints, as per Bank IPF Policy, para. 12?**
No

**C. Summary Description of Proposed Project [including overview of Country, Sectoral & Institutional Contexts and Relationship to CPF]**
The project focuses on enhancing the institutional capacity of the selected Ministries, Departments and Agencies for urban development and management. The project has four components. Component 1: focuses on enhancing the capacity of the Greater Kampala Metropolitan Area urban institutions in the areas of: (i) investment appraisal and preparation of project documents; (ii) infrastructure design, project costing and plan preparation; (iii) Public Private Partnerships (PPP) negotiation and report preparation; and, (iv) Local Economic Development (LED) initiatives. It will undertake feasibility study for the Greater Kampala Tourism Circuit project, with the participation of GKMA.
stakeholders. It will also support preparation of the land banking guidelines to operationalize the National Land Policy, National Urban Policy and the Land Acquisition, Resettlement and Rehabilitation Policy. The Land Acquisition Act, 1965 is undergoing revision. The draft Bill provides for establishment of a land fund and land banks for infrastructure investment projects. There is need for clear guidelines on how land banking and land fund can effectively be operationalized and managed.

Component 2: Focuses on developing the national spatial planning capacity for integrated development planning. This component will: (i) publicize and raise awareness of the Uganda spatial development initiative, (ii) develop and adopt the standards that will guide spatial data capture, storage, analysis and output, (iii) coordinate the spatial data use and sharing for consolidation, and integrated planning, and (iv) build institutional capacity in spatial data analysis and use. Spatial data underpins a number of national statistics and complements many other traditional data systems. More than two thirds of the SDG indicators can be visualized spatially, especially at the sub-national scale, because it can help decision-makers to visualize and understand data such as the visual overlay of multiple data sets. These can reveal relationships, patterns and trends that may not otherwise be perceived.

Component 3: This component will support development of the National Infrastructure shared corridors. The Component will: (i) define criteria for establishing the national shared infrastructure corridors, (ii) prepare guidelines for implementing the national shared infrastructure corridors, and (iii) undertake a survey of a section of the pilot corridor. There are currently uncoordinated efforts by different MDAs in acquiring land for different infrastructures, often in the same corridor or parallel to each other, using separate budgets. This leads to increased acquisition and maintenance costs, and sometimes double payment for the same land. Consequently, there is poor management of acquired corridors leading to arbitrary illegal remodelling of structures whose owners have been compensated and failure to reorganise settlements traversed by or in the immediate vicinity of such infrastructure corridors to take advantage of the public investment. There is therefore need for an agreed guidelines for establishment of shared infrastructure corridors: (i) for increased efficiency and effectiveness in the delivery of linear infrastructure, (ii) to increased value for money from well thought out and coordinated infrastructure investments, and (iii) to guarantee savings on previously wasted resources through double compensation of land owners & generally benefitting from planning way ahead of implementation of the various infrastructure projects.

Component 4 will translate the urban physical planning into reality through an orderly and sustainable development planning. The component will: (i) update or prepare accurate detailed plans of selected neighborhoods from participating Urban Councils, (ii) identify, mobilize and engage land owners and other key stakeholders in project activities, (iii) identify and mark road reserves and other areas earmarked for other public facilities with support of the stakeholders, and (iv) establish road and other public utility committees to ensure sustainability. Physical development plans in most urban centres exist on paper but not shown on the ground. This leads to inefficient land use, environmental degradation, inadequate access to basic infrastructure and social services, and poor transport/mobility all contributing to poor quality housing conditions. There is currently an increased need from stakeholders for the urban areas to identify, physically demarcate (indicate) and preserve road reserves and other areas earmarked for other public facilities to guide urban development. This component will rely on agreement reached with the stakeholders as a basis for demarcation and preservation of the said areas.

D. Environmental and Social Overview

D.1. Project location(s) and salient characteristics relevant to the ES assessment [geographic, environmental, social]

The project focuses on enhancing the institutional capacity of the National Planning Authority (NPA), the Ministry of Lands, Housing and Urban Development (MoLHUD), The Ministry of Local Government (MoLG), the Kampala Capital
City Authority (KCCA), 3 Local Governments and 5 Municipalities. It will primarily be implemented in the Greater Kampala Metropolitan Area and across a handful of Municipalities and Town Councils. No civil works are expected to be undertaken under the project (with exception of subcomponent 2.2 (iii), which after securing consent from the stakeholders, entails surveying and physically marking road reserves and lands earmarked for other public facilities either using natural markers or as agreed, with the intention of guiding development. Overall, the project will have the following main activities: Hiring of consultants, procurement of equipment, preparation of a communication and engagement strategy, developing standards and guidelines, stakeholder engagement, checking and verification of data sets, training and dissemination of information, development of the manual and publication, developing and maintaining web portal, report writing. In terms of salient characteristics relevant to Environmental assessment, there are no immediate impacts expected. In undertaking the various trainings and development of guidelines or plans, the respective activities TORs shall include consideration of ESF aspects.

D. 2. Borrower’s Institutional Capacity
The focal borrower institution is the Ministry of Finance Planning and Economic Development with the National Planning Authority (NPA) and the Ministry of Lands, Housing and Urban Development (MoLHUD) as the implementing institutions and working closely with the Ministry of Gender, Labor and Social Development (MoGLSD), Kampala Capital City Authority (KCCA), 3 Local Governments and 5 Municipalities. With exception of NPA, all the other institutions have adequate inhouse safeguards capacity built overtime in projects supported and/or financed by the World Bank. Nonetheless, the project intends to strengthen these Ministries, Departments and Agencies’ capacity to manage issues that have relevance to the ESF.

II. SCREENING OF POTENTIAL ENVIRONMENTAL AND SOCIAL (ES) RISKS AND IMPACTS

A. Environmental and Social Risk Classification (ESRC)

| Environmental Risk Rating | Substantial |

The project entails capacity building and knowledge transfer through technical assistance and advisory services and does not plan to get involved in actual physical investments, except subcomponent 2.2 (iii), which entails surveying and physically marking road reserves and lands earmarked for other public facilities either using natural markers or as agreed, with the intention of guiding development, after securing consent of the landowners. Overall, the project will have the following main activities: Hiring of consultants, procurement of equipment, preparation of a communication and engagement strategy, developing standards and guidelines, stakeholder engagement, checking and verification of data sets, training and dissemination of information, development of the manual and publication, developing and maintaining web portal, report writing. In terms of salient characteristics relevant to Environmental assessment, there are no immediate impacts expected. In undertaking the various trainings and development of guidelines or plans, the respective activities TORs shall include consideration of Environmental, Health and Safety (EHS) aspects based on requirements of ESF (ESS-Standards). The demarcation criteria and planning guidelines shall include and take into consideration environmental aspects. The TORs developed for various TA sub-activities shall incorporate criteria for considering applicable environmental aspects, aligned with ESF requirements. Since the TA is focused on capacity building, developing guidelines and knowledge transfer; with no feasibility studies, no physical activities/implementation, and thus no contextual risks with effects on E&S performance; the Environmental Risk Rating would have been Moderate but because of “potential downstream E&S implications that may arise when and if the TA leads to future infrastructure investments”, the overall Environmental risk rating is considered Substantial.
Social Risk Rating

The project entails capacity building and knowledge transfer through technical assistance and advisory services and does not plan to get involved in actual physical investments except subcomponent 2.2 which may entail the marking of Road reserves but only after securing consent from the stakeholders. Details related to the process of actual implementation of these activities are yet to be available but the potential for negative impacts on land use and assets from the proposed activities (not only demarcation) are noted. In addition, the project could have some indirect social risk, if the projects are eventually undertaken by government to open up the planned urban roads. These could include inadequate planning for universal access, gender considerations, but also stakeholder engagement, and identification of potential conflicts and opportunities. Overall, because of the potential downstream social implications that may arise when and if the TA leads to future infrastructure investment, social rating is currently at substantial.

As a mitigation measure, the preparation process will include a review of potential impacts on land use that will identify the risks and impacts of the development plans and therefore further fine-tune the capacity building and awareness raising efforts, and particular attention will be given to potential impacts on vulnerable land users/owners. For this reason, the Social Risk Rating is considered Substantial.

B. Environment and Social Standards (ESSs) that Apply to the Activities Being Considered

B.1. General Assessment

ESS1 Assessment and Management of Environmental and Social Risks and Impacts

Overview of the relevance of the Standard for the Project:

The project entails capacity building and knowledge transfer through technical assistance and advisory services and does not plan to get involved in actual physical investments, except subcomponent 2.2 (iii) which entails surveying and physically marking road reserves and lands earmarked for other public facilities either using natural markers or as agreed, with the intention of guiding development, after securing consent of the landowners. The marking structures may range from concrete pillars/beacons to Natural Plants such as Sisal locally used for boundary marking. In addition, the infrastructure corridors may fall within ecosystems such as wetlands, forests or wildlife areas, and thus need for the demarcation criteria and guidelines to take such aspects into consideration in line with . Also overall downstream impacts of the Technical Assistance in cases where the projects are eventually undertaken by the government and as noted in the Social Risk rating, are to be considered. These risks will be mitigated by ensuring that terms of reference, work plans and other documents outlining the scope of the activities are drafted so that advice is consistent with the ESS-1 and any other applicable Environment and Social Standards. Moreover, as part of the preparation process a review of potential impacts on land use will identify the risks and impacts of the development plans and therefore further fine-tune the capacity building and awareness raising efforts.

Areas where “Use of Borrower Framework” is being considered:

None.

ESS10 Stakeholder Engagement and Information Disclosure
Under subcomponent 1.2, the project intends to "publicize and raise awareness of the Uganda spatial development initiative" and under subcomponent 2.2, it intends to (i) update or prepare accurate detailed plans of selected neighborhoods from participating Urban Councils, (ii) identify, mobilize and engage land owners and other key stakeholders in project activities, (iii) identify and mark road reserves and other areas earmarked for other public facilities with participation of the stakeholders, and (iv) establish road and other public utility committees to ensure sustainability." All of which will involve Stakeholder Engagement and Information Disclosure. The basic principles of ESS10 shall guide the stakeholder engagement process. A draft of the SEP targeting the currently known stakeholders (staff from the different selected Ministries, Departments and Agencies (MDAs) of Government – OPM, MoFPED, NPA, KCCA, MoLHUD, MoLG, MEMD, DLGs, MCs,), Communities, Consultants, etc.) will be drafted and disclosed by project appraisal and further developed during implementation as the specificities on the pilots plans become clearer.

B.2. Specific Risks and Impacts

A brief description of the potential environmental and social risks and impacts relevant to the Project.

ESS2 Labor and Working Conditions
The activities undertaken will be consistent with ESS2. Project activities that will entail hiring of labour, shall observe Labour Management Procedures, and take into account requirements of ESS2. It is worth noting that the level of labor to be recruited under the project is unknown at this stage but that it is likely to be composed of consultants who will work with community members to plant trees or poles. Their numbers and locations is not known yet as selection of corridors has not been made. Once selected, civil works contractors will prepare contractors' labor management procedures (C-LMP) to meet the ESS2 requirement. Labor camps are not anticipated and no instances of child or forced labor are likely to happen under the Project as requirements for age verification of workers by the contractors will be included in bid documents.

ESS3 Resource Efficiency and Pollution Prevention and Management
The planning and regulation of development corridors will take into account the emissions, waste generation and management and resource demand impacts that certain activities might have on their surroundings, as applicable.

ESS4 Community Health and Safety
ESS4 is relevant to the project since the entails surveying and physically marking road reserves and lands earmarked for other public facilities either using natural markers or as agreed, with the intention of guiding development, after securing consent of the landowners. Movement of vehicles can lead to accidents, dust emission, noise, increased generation of solid waste, etc. Potential threats to people and communities may be posed by uncovered or barricaded or not signage spots such as excavated sites, trenches, open holes, etc. The project will ensure safety of all affected persons by identifying and adopting adequate OHS protocols following WBG EHS Guidelines. Those will be reflected in site specific environmental due diligence documents. Given a small-scale nature of physical works, risk on community’s health and safety is expected to be minor and manageable. No risk with labor influx, gender based violence (GBV) or security forces are expected under the project activities because the scale of civil works is very
small and most workers will be hired locally. Nonetheless, all these factors will be considered in all Terms of Reference for Studies and/or Consultancies.

ESS5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

The activities undertaken will be consistent with ESS5, specifically with activities under component 2, which will support preparation of the land banking guidelines to operationalize the National Land Policy, National Urban Policy and the Land Acquisition, Resettlement and Rehabilitation Policy and under component 3, which will: (i) define criteria for establishing the national shared infrastructure corridors, (ii) prepare guidelines for implementing the national shared infrastructure corridors, and (iii) undertake a survey of a section of the pilot corridor and Component 4 which may entail demarcation of the pilot infrastructure corridors. Terms of reference, work plans and other documents outlining the scope of the activities are drafted so that advice is consistent with the ESF. Moreover, as part of the preparation process a review of potential impacts on land use will identify the risks and impacts of the development plans and therefore further fine-tune the capacity building and awareness raising efforts.

ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources

Among others, the project will support development of the National Infrastructure shared corridors. The Component will: (i) define criteria for establishing the national shared infrastructure corridors, (ii) prepare guidelines for implementing the national shared infrastructure corridors, and (iii) undertake a survey of a section of the pilot corridor using a spatial approach. The project will also support identification and marking of road reserves and other areas earmarked for other public facilities. While undertaking these activities, the project will ensure mainstreaming of ESS6 requirements, including but not limited to criteria and guidelines for establishing and implementing the infrastructure corridors.

ESS7 Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities

Currently identified Town councils and Municipalities are not known to host any indigenous peoples

ESS8 Cultural Heritage

The activities undertaken will be consistent with ESS8. Similar to ESS6, project activities shall be screened to determine presence or absence of Cultural heritage. Where encountered, ESS8 requirements shall apply.

ESS9 Financial Intermediaries

Not Currently Relevant.

C. Legal Operational Policies that Apply

OP 7.50 Projects on International Waterways

No
III. WORLD BANK ENVIRONMENTAL AND SOCIAL DUE DILIGENCE

A. Is a common approach being considered? No

Financing Partners
N/A

B. Proposed Measures, Actions and Timing (Borrower’s commitments)

Actions to be completed prior to Bank Board Approval:
The advice provided under the TA will be consistent with the Environment and Social Framework of the World Bank as will be specified in the Terms of Reference. TORs for hiring Consultants shall be prepared and reviewed before Grant approval and shall contain requirements for capacity to mainstream Environmental and Social aspects. These will include considerations for universal access, SEA risk assessment, tenure security (displacement risk), and inclusive pro-poor planning and marking of road reserves for public utilities.
In addition, a review of potential impacts mentioned under ESS1 and ESS5 with particular attention to potential vulnerable land users/owners will be carried out prior to Board Approval.

Possible issues to be addressed in the Borrower Environmental and Social Commitment Plan (ESCP):
TORs for hiring Consultants shall be prepared by the Client before Grant approval and shall contain requirements for capacity to mainstream Environmental and Social aspects into the criteria and guidelines for establishment and implementation of infrastructure corridors. The study products will need to be consistent with the ESF. Also, the preparation of SESA during implementation will be required.

C. Timing

Tentative target date for preparing the Appraisal Stage ESRS 31-Jan-2020

IV. CONTACT POINTS

World Bank

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<th>Contact</th>
<th>Title</th>
<th>Telephone No</th>
<th>Email</th>
</tr>
</thead>
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Borrower/Client/Recipient
Borrower: Ministry of Finance, Planning and Economic Development

Implementing Agency(ies)
Implementing Agency: National Planning Authority
Implementing Agency: Ministry of Lands, Housing and Urban Development

V. FOR MORE INFORMATION CONTACT
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VI. APPROVAL
Task Team Leader(s): Martin Onyach-Olaa, John Stephen Ajalu
Practice Manager (ENR/Social) Robin Mearns Recommended on 07-Jan-2020 at 10:27:34 EST