# Table of Contents

1.0 PURPOSE OF THE PROJECT OPERATIONS MANUAL ................................................. 9

2.0 PROJECT DESCRIPTION ......................................................................................... 11
  2.1 PROJECT BACKGROUND ..................................................................................... 11
  2.2 PROJECT DEVELOPMENT OBJECTIVES ............................................................... 12
  2.3 PROJECT BENEFICIARIES .................................................................................. 13
  2.4 PROJECT COMPONENTS ...................................................................................... 15
  2.5 PROJECT COST AND FINANCING ...................................................................... 17
  2.6 ENVIRONMENTAL AND SOCIAL ISSUES INCLUDING SAFEGUARDS ................. 19
  2.7 PROJECT PERIOD ............................................................................................... 22
  2.8 INSTITUTIONAL IMPLEMENTATION ARRANGEMENTS ...................................... 22
  2.8.1 OVERALL USDP MANAGEMENT .................................................................. 22
  8.2 USDP STEERING COMMITTEE ........................................................................... 23
  2.9 IMPLEMENTATION ARRANGEMENTS BY COMPONENT .................................... 25
  2.10 ROLES AND RESPONSIBILITIES ..................................................................... 33
    2.10.1 Roles and responsibilities within the PCU1 and PCU2 ................................. 36

3.0 DETAILED PROJECT IMPLEMENTATION PROCEDURES BY COMPONENT .......... 51

4.0 GENERAL PRINCIPLES OF OPERATION ................................................................ 77
  4.1 EFFECTIVENESS AND EFFICIENCY .................................................................. 77
  4.2 TRANSPARENCY AND ACCOUNTABILITY ........................................................... 77
  4.3 ARM’S LENGTH PRINCIPLE ................................................................................ 78
  4.4 ACCESS TO INFORMATION ................................................................................ 78
  4.5 EXPEDIENCY ...................................................................................................... 78
  4.6 ACCOUNTABILITY ............................................................................................... 78
  4.7 DO NO HARM PRINCIPLES AND SAFEGUARD MEASURES ............................. 78

5.0 OPERATIONAL DETAILS OF SDF WINDOWS ......................................................... 82
  5.1 SKILLS DEVELOPMENT FACILITY – AN OVERVIEW ........................................ 82
  5.2 WINDOW 1: FORMAL SECTOR (MEDIUM AND LARGE ENTERPRISES) ............ 84
  5.3 WINDOW 2: INFORMAL SECTOR (MICRO ENTERPRISES) .................................. 87
  5.4 WINDOW 3: SUPPORT TO INNOVATIVE TRAINING ........................................ 90
  5.5 WINDOW 4: RECOGNITION OF PRIOR LEARNING ........................................... 91

6.0 GRANT APPROVAL PROCEDURE ............................................................................ 93
  6.1 THE GRANT CYCLE ............................................................................................. 93
  6.2 OUTREACH AND COMMUNICATION ................................................................ 95
  6.3 APPLICATION PROCEDURE .............................................................................. 95
  6.4 SUPPORT TO APPLICANTS .............................................................................. 96
  6.5 PRE-QUALIFICATION OF APPLICATIONS ......................................................... 97
  6.6 VERIFICATION AND CAPACITY ASSESSMENT .............................................. 98
  6.7 DUE DILIGENCE ................................................................................................. 98
  6.8 CAPACITY ASSESSMENT ................................................................................... 99
  6.9 APPRAISAL OF APPLICATIONS ......................................................................... 100
  6.10 FAST TRACKING OF SMALL GRANTS ............................................................... 102
6.11  DECISION BY THE GRANT COMMITTEE ........................................................................ 102
6.12  PROCEDURE FOR COMPLAINTS AND APPEALS ..................................................... 103
7.0  GRANT EXECUTION ..................................................................................................... 104
  7.1  LETTER OF GRANT AGREEMENT ............................................................................. 104
  7.2  ORIENTATION OF GRANTEES .................................................................................. 105
  7.3  GRANT DISBURSEMENT ............................................................................................ 105
  7.4  SUPERVISION AND COACHING ............................................................................. 107
  7.5  GRANTEE FINANCIAL OBLIGATIONS ...................................................................... 107
  7.6  GRANTEE REPORTING (AND TRIGGERS) .................................................................. 110
  7.7  AMENDMENT PROCEDURES .................................................................................... 111
  7.8  SUSPENSION AND TERMINATION OF GRANTS ....................................................... 112
  7.8.1 Grant suspension .................................................................................................... 112
  7.8.2 Grant Termination .................................................................................................. 112
  7.9  GRANT CLOSURE ..................................................................................................... 113
  7.10 MONITORING AND EVALUATION OF COMPONENT 3 ........................................... 114
8.0  FINANCIAL MANAGEMENT ......................................................................................... 118
  8.1  FINANCIAL MANAGEMENT PROCEDURES ............................................................ 118
  8.2  PLANNING AND BUDGETING .................................................................................. 119
  8.3  ACCOUNTING .......................................................................................................... 121
  8.4  FINANCIAL REPORTING ........................................................................................... 122
  8.5  DISBURSEMENT AND FUNDS FLOW ....................................................................... 123
9.0  PROCUREMENT MANAGEMENT .................................................................................. 139
  9.1  PROCUREMENT ARRANGEMENTS ............................................................................ 139
  9.2  PROCUREMENT RESPONSIBILITIES ........................................................................ 139
  9.3  PROCUREMENT PLANNING ...................................................................................... 144
  9.4  TYPES OF CONSULTING CONTRACTS .................................................................. 151
  9.5  PROCUREMENT METHODS FOR GOODS, WORKS AND NON-CONSULTING SERVICES ................................................................................................................................. 152
  9.5.1 Procurement Methods for Goods and Works .......................................................... 152
  9.6  TRAINING, WORKSHOPS AND CONFERENCES ....................................................... 158
  9.7  STRENGTHENING OF THE PROCUREMENT UNIT IN MOES .................................. 159
  9.8  PROCUREMENT MONITORING AGAINST PROCUREMENT PLANS ......................... 162
10.0  MONITORING AND EVALUATION ............................................................................. 163
  10.1 INSTITUTIONAL ARRANGEMENTS FOR RESULTS MONITORING ......................... 164
  10.2 REPORTING ............................................................................................................. 165
  10.3 COMMUNICATION STRATEGY .................................................................................. 167
11.0  ENVIRONMENT AND SOCIAL SAFEGUARDS ............................................................ 168
  11.1 WORLD BANK POLICIES ON ENVIRONMENT AND SOCIAL SAFEGUARDS IN RELATION TO THE USDP ................................................................................................................................. 168
  11.2 POTENTIAL SOCIO-ENVIRONMENTAL IMPACTS OF USDP AND MITIGATION MEASURES ................................................................................................................................. 169
  11.3 GENERAL SOCIO-ENVIRONMENTAL IMPACTS ...................................................... 170
  11.4 ENVIRONMENTAL IMPACT STUDY ......................................................................... 175

USDP –PROJECT OPERATIONS MANUAL
11.5 ENVIRONMENTAL AND SOCIAL MONITORING AND MANAGEMENT PLAN ........................................ 175

12 ANNEXES ........................................................................................................................................ 183
LIST OF TABLES

Table 2.2: Estimated Project Cost Allocation by Component ........................................... 17
Table 2.3 Eligible Expenditures by Component and Agency Responsible for Procurement 19
Table 3.1 Skill Specializations by UTC ............................................................................. 56
Table 6.1: Steps, Timeline and Responsible Entities in the Grant Cycle under Component 93
Table 6.2 Application Assessment Grid ............................................................................ 100
Table 6.3: Appraisal Grid ................................................................................................. 101
Table 8.1 Disbursement Category ................................................................................... 124
Table 9.1 Procurement Agencies under USDAP .............................................................. 139
<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AO</td>
<td>Administrative Officer</td>
</tr>
<tr>
<td>ARSDP</td>
<td>Albertine Region Sustainable Development Project</td>
</tr>
<tr>
<td>AWPB</td>
<td>Annual Work Plans and Budgets</td>
</tr>
<tr>
<td>BD</td>
<td>Bidding Documents</td>
</tr>
<tr>
<td>BTVET</td>
<td>Business, Technical and Vocational Educational Training</td>
</tr>
<tr>
<td>CBT</td>
<td>Competency-based Training</td>
</tr>
<tr>
<td>CEDP</td>
<td>Competitiveness and Enterprise Development Project</td>
</tr>
<tr>
<td>COEs</td>
<td>Centers of Excellence</td>
</tr>
<tr>
<td>CQS</td>
<td>Consultant’s Qualifications Selection</td>
</tr>
<tr>
<td>CS</td>
<td>Communication Specialist</td>
</tr>
<tr>
<td>CWE</td>
<td>Civil Works Engineer</td>
</tr>
<tr>
<td>DA</td>
<td>Designated Account</td>
</tr>
<tr>
<td>DIT</td>
<td>Directorate of Industrial Training</td>
</tr>
<tr>
<td>DPC</td>
<td>Deputy Project Coordinator</td>
</tr>
<tr>
<td>EAC</td>
<td>East African Community</td>
</tr>
<tr>
<td>EIS</td>
<td>Environmental Impact Study</td>
</tr>
<tr>
<td>EIR</td>
<td>Environmental Impact Review</td>
</tr>
<tr>
<td>EMIS</td>
<td>Education Management Information System</td>
</tr>
<tr>
<td>ESIA</td>
<td>Environmental and Social Impact Assessment</td>
</tr>
<tr>
<td>ESMF</td>
<td>Environmental and Social Management Framework</td>
</tr>
<tr>
<td>ESMP</td>
<td>Environmental and Social Management Plans</td>
</tr>
<tr>
<td>FA</td>
<td>Financial Agreement</td>
</tr>
<tr>
<td>FBS</td>
<td>Fixed Budget Selection</td>
</tr>
<tr>
<td>FMS</td>
<td>Financial Management Specialist</td>
</tr>
<tr>
<td>GC</td>
<td>Grant Committee</td>
</tr>
<tr>
<td>GL</td>
<td>General Ledger</td>
</tr>
<tr>
<td>GOU</td>
<td>Government of Uganda</td>
</tr>
<tr>
<td>GPN</td>
<td>General Procurement Notice</td>
</tr>
<tr>
<td>GRS</td>
<td>Grievance Redress Service</td>
</tr>
<tr>
<td>GS</td>
<td>Grant Specialist for a Specific Grant Window (GS1, GS2 and GS3)</td>
</tr>
<tr>
<td>ICB</td>
<td>International Competitive Bidding</td>
</tr>
<tr>
<td>ICS</td>
<td>Individual Consultants Selection</td>
</tr>
<tr>
<td>IDA</td>
<td>International Development Association</td>
</tr>
<tr>
<td>---------</td>
<td>----------------------------------------------</td>
</tr>
<tr>
<td>IDP</td>
<td>Institutional Development Plan</td>
</tr>
<tr>
<td>IFAC</td>
<td>International Federation of Accountants</td>
</tr>
<tr>
<td>IfB</td>
<td>Invitation for Bids</td>
</tr>
<tr>
<td>IFMS</td>
<td>Integrated Management Information System</td>
</tr>
<tr>
<td>IFR</td>
<td>Interim Financial Report</td>
</tr>
<tr>
<td>IMIS</td>
<td>Integrated Management Information System</td>
</tr>
<tr>
<td>IPSAS</td>
<td>International Public Sector Accounting Standard</td>
</tr>
<tr>
<td>ISA</td>
<td>International Standards on Auditing</td>
</tr>
<tr>
<td>ITC</td>
<td>Instructions to Consultants</td>
</tr>
<tr>
<td>LIB</td>
<td>Limited International Bidding</td>
</tr>
<tr>
<td>LMIS</td>
<td>Labour Market Information System</td>
</tr>
<tr>
<td>LoI</td>
<td>Letter of Invitation</td>
</tr>
<tr>
<td>MAAIF</td>
<td>Ministry of Agriculture, Animal Industries and Fisheries</td>
</tr>
<tr>
<td>MIS</td>
<td>Management Information System</td>
</tr>
<tr>
<td>ME</td>
<td>Micro Enterprises</td>
</tr>
<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
</tr>
<tr>
<td>MES</td>
<td>Monitoring and Evaluation Specialist</td>
</tr>
<tr>
<td>MoES</td>
<td>Ministry of Education, Science, Technology and Sports</td>
</tr>
<tr>
<td>MoFPED</td>
<td>Ministry of Finance, Planning and Economic Development</td>
</tr>
<tr>
<td>MoLHUD</td>
<td>Ministry of Land, Housing and Urban Development</td>
</tr>
<tr>
<td>MoTIC</td>
<td>Ministry of Trade, Industry and Cooperatives</td>
</tr>
<tr>
<td>MoU</td>
<td>Memorandum of Understanding</td>
</tr>
<tr>
<td>NCB</td>
<td>National Competitive Bidding</td>
</tr>
<tr>
<td>NEMA</td>
<td>National Environment Management Authority</td>
</tr>
<tr>
<td>NGO</td>
<td>Non-govermental organizations</td>
</tr>
<tr>
<td>NPA</td>
<td>National Planning Authority</td>
</tr>
<tr>
<td>OPM</td>
<td>Office of the Prime Minister</td>
</tr>
<tr>
<td>PA</td>
<td>Project Agreement</td>
</tr>
<tr>
<td>PAD</td>
<td>Project Appraisal Document</td>
</tr>
<tr>
<td>PAPs</td>
<td>Project Affected Persons</td>
</tr>
<tr>
<td>PC</td>
<td>Project Coordinator</td>
</tr>
<tr>
<td>PCU</td>
<td>Project Coordination Unit</td>
</tr>
<tr>
<td>Abbreviation</td>
<td>Full Form</td>
</tr>
<tr>
<td>--------------</td>
<td>-----------</td>
</tr>
<tr>
<td>PCU1</td>
<td>PCU under the MoES</td>
</tr>
<tr>
<td>PCU2</td>
<td>PCU under the PSFU</td>
</tr>
<tr>
<td>PDOs</td>
<td>Project Development Objectives</td>
</tr>
<tr>
<td>PDU</td>
<td>Procurement Disposal Unit</td>
</tr>
<tr>
<td>PM</td>
<td>Project Manager</td>
</tr>
<tr>
<td>POM</td>
<td>Project Operational Manual</td>
</tr>
<tr>
<td>PRS</td>
<td>Procurement Specialist</td>
</tr>
<tr>
<td>PS1</td>
<td>Permanent Secretary of the MoES</td>
</tr>
<tr>
<td>PS2</td>
<td>Permanent Secretary/Secretary to the Treasury of the MoFPED</td>
</tr>
<tr>
<td>PSFU</td>
<td>Private Sector Foundation Uganda</td>
</tr>
<tr>
<td>PPDA</td>
<td>Procurement and Disposal and Public Assets Authority</td>
</tr>
<tr>
<td>QBS</td>
<td>Quality Based Selection</td>
</tr>
<tr>
<td>QCBS</td>
<td>Quality and Cost-based Selection</td>
</tr>
<tr>
<td>RAP</td>
<td>Resettlement Action Plan</td>
</tr>
<tr>
<td>REoI</td>
<td>Request of Expression of Interest</td>
</tr>
<tr>
<td>RfP</td>
<td>Request for Proposal</td>
</tr>
<tr>
<td>RfQ</td>
<td>Request for Quotation</td>
</tr>
<tr>
<td>RIS</td>
<td>Return to Industry Scheme</td>
</tr>
<tr>
<td>RTF</td>
<td>Reform Task Force</td>
</tr>
<tr>
<td>RPF</td>
<td>Resettlement Policy Framework</td>
</tr>
<tr>
<td>RPL</td>
<td>Recognition of Prior Learning</td>
</tr>
<tr>
<td>SBD</td>
<td>Standard Bidding Document</td>
</tr>
<tr>
<td>SC</td>
<td>USDP Steering Committee</td>
</tr>
<tr>
<td>SDA</td>
<td>Skills Development Authority</td>
</tr>
<tr>
<td>SDF</td>
<td>Skills Development Facility</td>
</tr>
<tr>
<td>SOE</td>
<td>Statement of Expenditures</td>
</tr>
<tr>
<td>SPN</td>
<td>Specific Procurement Note</td>
</tr>
<tr>
<td>SS</td>
<td>Social and Environmental (Safeguard) Specialist</td>
</tr>
<tr>
<td>SSC</td>
<td>Sector Skills Council</td>
</tr>
<tr>
<td>SSS</td>
<td>Single Source Selection</td>
</tr>
<tr>
<td>SMC</td>
<td>School Management Committee</td>
</tr>
<tr>
<td>ST</td>
<td>Secretary to the Treasury of the MoFPED</td>
</tr>
<tr>
<td>TA</td>
<td>Technical Assistance</td>
</tr>
<tr>
<td>Acronym</td>
<td>Description</td>
</tr>
<tr>
<td>---------</td>
<td>-------------</td>
</tr>
<tr>
<td>ToRs</td>
<td>Terms of Reference</td>
</tr>
<tr>
<td>TVET</td>
<td>Technical and Vocational Educational Training</td>
</tr>
<tr>
<td>TVETS</td>
<td>TVET Specialist</td>
</tr>
<tr>
<td>UAHEB</td>
<td>Uganda Allied and Health Examination Board</td>
</tr>
<tr>
<td>UGAPRIVI</td>
<td>Uganda Association of Private Vocational Institutes</td>
</tr>
<tr>
<td>UBTEB</td>
<td>Uganda Business and Technical Examinations Board</td>
</tr>
<tr>
<td>UNDB</td>
<td>United Nations Development Business</td>
</tr>
<tr>
<td>UNMEB</td>
<td>Uganda Nurses and Midwives Examinations Board</td>
</tr>
<tr>
<td>UPPET</td>
<td>Uganda Post Primary Education Training Project</td>
</tr>
<tr>
<td>USDP</td>
<td>Uganda Skills Development Project</td>
</tr>
<tr>
<td>USSIA</td>
<td>Uganda Small Scale Industries Association</td>
</tr>
<tr>
<td>UTC</td>
<td>Uganda Technical College</td>
</tr>
<tr>
<td>UTSEP</td>
<td>Uganda Teacher and School Effectiveness Project</td>
</tr>
<tr>
<td>UVQF</td>
<td>Uganda Vocational Qualifications Framework</td>
</tr>
<tr>
<td>VI</td>
<td>Vocational Institutes</td>
</tr>
<tr>
<td>WA</td>
<td>Withdrawal Application</td>
</tr>
<tr>
<td>WB</td>
<td>World Bank</td>
</tr>
</tbody>
</table>
1.0 PURPOSE OF THE PROJECT OPERATIONS MANUAL

1. The Project Operational Manual (POM) for the Uganda Skills Development Project (USDP) is intended to be a dynamic document that could be updated in response to changes in the project’s operating environment and implementation realities but only if agreed to by both the Government of Uganda (GOU) and the World Bank (WB). Notwithstanding the above, it is recommended that this POM be revised and updated at least once every year based on the physical and financial implementation progress being observed.

2. The GOU has prepared the POM based on the Project Appraisal Document (PAD) for the USDP dated April 1, 2015, and the Credit Financing Agreement (FA) between the GOU and the WB acting as the trustee and manager/administrator for the International Development Association (IDA).

3. The POM describes the project including project components, project development objective, results framework, project cost and financing, arrangements for institutional administration, coordination and day-to-day execution of project activities, arrangements and policies and procedures for financial management, procurement management procedures, communication management, arrangements for environment and social safeguards, results monitoring and evaluation, and reporting requirements.

4. Use the POM in conjunction with the PAD, FA, the World Bank policies and procedures applicable to the project. These will include; financial management arrangements, financial reports and audits, Procurement Guidelines and Consultant Guidelines, Anti-Corruption Guidelines, Disbursement Guidelines, and Guidelines for environmental and social aspects of the project. Guidelines for environmental and social aspects include the Environmental and Social Management Framework (ESMF), the Resettlement Policy Framework (RPF), the relevant Environmental and Social Impact Assessments (ESIAs) or the Environmental and Social Management Plans (ESMPs), and stakeholder engagement framework/plan in place for this project.

5. The POM is a supporting document aiming at assist and facilitate the two GoU executing entities (i.e., the Ministry of Education and Sports - MoES and the Ministry of Finance, Planning and Economic Development - MoFPED) through the Private Sector Fund Uganda (PSFU), implement in an effective, efficient, timely, transparent and consistent manner all the activities financed by the USDP.

6. Accordingly, this POM establishes the rules and procedures of operations and management of the USDP. These include:
(i) The roles and articulation of the different implementing actors; 
(ii) implementation and accountability arrangements; 
(iii) staffing, functions, attributions and responsibilities of the different actors involved in the execution of all the activities financed by the USDP; and, 
(iv) The fiduciary responsibilities comprising procurement, disbursement, financial management and reporting, monitoring and evaluation in accordance with the PAD, the FA and the Project Agreement (PA)\(^1\).

7. The GoU, through its two executing entities must approve the POM, satisfactory to the WB. It includes detailed description of the guidelines for all the organizations, institutions, and individuals that would benefit and participate in the project implementation.

8. Due to the nature of the USDP, the POM is designed to be a “living” document that is subject to change due to further clarifications and/or improvements in the procedures described in this document. Therefore, at the completion of each WB Implementation Support Mission, the MoES and/or the MoFPED/PSFU and/or the WB could recommend adjustments/calibrations to the POM’s parameters and procedures based on the findings and recommendations agreed at the end of these missions, with the no-objection of the WB (as trustee and manager of the IDA funds).

\(^1\)The FA entered between the GoU through the MoFPED and the WB acting as the Trustee and Manager of the International Development Association (IDA) funds. 
The PA entered between the GoU through the PSFU and the WB acting as the Trustee and Manager of the IDA funds.
2.0 PROJECT DESCRIPTION

2.1 PROJECT BACKGROUND

9. Since the early 1990s, Uganda has embarked on a series of structural reform policies and investments designed to free up markets, stimulate private investment, and encourage competition. The rate of economic expansion, which averaged around 7.6 percent a year from 2006-2010, fell to 5.5 percent from 2011-2013. This slump in growth and the high rate of inflation (averaging 23.5 percent in 2012) were largely a result of the global economic turbulence, higher food and oil prices, together with slippages in fiscal and monetary policy (World Bank, 2013). Nonetheless, the expectation, in the medium-term scenario, is that the rate of growth will exceed the historical rate of 7 percent driven predominantly by oil production, along with productivity gains in agriculture and increased trade with the East African Community (EAC) through greater integration and harmonization (IMF 2013, the World Bank 2013).

10. Uganda’s labour force consists of 15 million individuals with agriculture accounting for 73% of the labour force employed in 2010. About 95 percent of the 11 million people working in agriculture are informal workers. Within the services sector, 80 percent of the jobs in were in the non-wage/informal sector jobs, mainly in low-productivity retail trade. Other sectors that employ relatively large numbers include the manufacturing sector (500,000 people) with about 60 percent of these in non-wage manufacturing. Construction accounts for 1.6 percent of the workforce (about 250,000 people). However, over 90 percent of workers are in wage employment sector. The challenge facing Uganda is to increase the number of jobs in the more productive sectors, shifting people out of agriculture into services and industry, while at the same time putting in place interventions, which will enhance productivity in agriculture.

11. Given these enormous challenges and the weakness of the Business, Technical and Vocational Educational Training (BTVET) system, a sector-specific approach to developing skills across a continuum from the informal sector to medium and large formal sector enterprises and targeting both new entrants to the labour force and existing employees, is appropriate. Such an approach will allow the Government to test out strategies and interventions to reform the public institutions and courses targeting particular sectors, involve the private sector in training and delivery and set up the system level mechanisms for responding to labour market needs and ensuring quality. If successful, the approach will be scaled up in the future to meet the demands of the growing economy through the provision of an adequately skilled and adaptable workforce.
12. Institution-based training in Uganda is within the BTVET sub-sector with about 131 public training providers and about 670 registered private training providers. Public training providers play an important role to responding to the demand of more costly skills, particularly at the college level (targeted towards technician level skills), though it falls short on the quality of training and a lack of connection with market needs. Public BTVET currently caters for only a small proportion of labour market entrants and there are concerns with gender and socio-economic equity in access. Compared to approximately 500,000 new labour market entrants per year, public BTVET institutions enrolled only 34,000 students in 2009.

13. The Project intends to support the implementation of the Skilling Uganda strategy. The scope of the proposed reforms within Skilling Uganda strategy is wide with an approximate price tag of USD 870 million over 10 years. Given the resource as well as capacity constraints in carrying out a comprehensive reform and investment program, this Project will focus on supporting the design of an initial set of reforms that will set the foundation for transforming skills development in the country, and targeting the investment program on meeting the skills needs of the selected sectors.

2.2 PROJECT DEVELOPMENT OBJECTIVES

14. The Board of the WB approved on 22nd April 2015 an IDA Credit to the amount of USD100 million equivalent to the GoU for the implementation of the Uganda Skills Development Project (USDP) – Credit No. 5612-UG – Project P145309. The WB, acting as the Trustee and Manager of the IDA funds entered: (i) a FA with the MoFPED of the GoU; and (ii) a PA with the Private Sector Foundation Uganda (PSFU) on 24th June 2016. The MoFPED and the PSFU on 24th June 2016 signed the FA and PA. The USDP Credit is expected to be effective on or about the 2nd quarter of 2016/17 Financial year.

15. The Project Development Objectives (PDO) are to enhance the capacity of institutions to deliver high quality, demand-driven training programs in target sectors. The target sectors are construction, manufacturing and Agriculture.

16. Key Performing Indicators (KPIs). Achievement towards the PDO is to be observed and measured by the following indicators:-

(a) a National Occupational Standards for relevant trades/occupations in the three target sectors developed;
(b) Increased number of new intakes in the targeted training programs;
(c) Improved proportion of female intakes in targeted programs;
(d) Improved proportion of student cohort that completes target training courses (short courses, certificate, diploma);
13

17. The Project’s results framework including the intermediate and final outcomes is included as Annex 1 to the POM.

2.3. PROJECT BENEFICIARIES

18. The project beneficiaries will include:

(a) The beneficiaries of Project will be both new entrants into the labor market and those who are already employed/self-employed. Training will be focused at the artisan/craftsmen and technician levels and will be delivered through Competency-Based Training programs with recognition of prior learning. The beneficiaries will be those who are working or will work in the target sectors, which are expected to be construction, manufacturing and agriculture;

(b) The Colleges selected to become Centers of Excellence (CoEs). Ensure regional equity, each region (North, West, Central and East) has a CoE selected that is economically relevant to the country. Even though there is a CoE in each region, students are recruited from across the country for the CoEs. Each CoE will be informally connected to a number of Vocational Training Institutions, both public and private, that are dispersed so that externalities from the CoE are felt across the country. For the Vocational Training Institutes, it is expected that most of the trainees will be recruited from the surrounding area;

(c) Individual beneficiaries will equal approximately 45,000 trainees across the targeted institutions during the life of the project, who will gain from a more market relevant menu of programs. This includes approximately 20,000 students at the CoEs and Vocational Training Institutions and 25,000 within enterprises. CoEs will have their capacity enhanced through a new and revised curriculum that matches priority occupations in key sectors, informed by the new Skills Development Authority (SDA) and Sector Skills Councils (SSCs), upgraded and new laboratories and workshops, and better trained faculty linked to relevant industries and with industry level experience; and

(d) In the short and medium-term, the project will benefit employers and employees of target sectors who will gain additional skills that improve competitiveness of respective firms. In the medium to long-term, it will benefit a larger pool of entrants to the labor market with demand-driven, Competency-Based Training programs. The GoU will benefit from a more efficient and streamlined system to manage skills development in the country.
19. The PDO-level results indicators are provided in Table 2.1

**Table 2.1: PDO-Level Key Performance Indicators**

<table>
<thead>
<tr>
<th>Performance Indicator</th>
<th>Latest available baseline</th>
<th>Project Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>National Occupation Standards for relevant trades/Occupations in the target sectors developed</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>1.1 Agriculture</strong></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td><strong>1.2 Construction</strong></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td><strong>1.3 Manufacturing</strong></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Increased number of new intakes in the targeted training programs (gender disaggregated)</td>
<td>435</td>
<td></td>
</tr>
<tr>
<td><strong>2.1 Agriculture</strong></td>
<td>146</td>
<td></td>
</tr>
<tr>
<td><strong>2.2 Construction</strong></td>
<td>237</td>
<td></td>
</tr>
<tr>
<td><strong>2.3 Manufacturing</strong></td>
<td>52</td>
<td></td>
</tr>
<tr>
<td>Improved proportion of female intakes in targeted training programs</td>
<td>15%</td>
<td></td>
</tr>
<tr>
<td><strong>3.1 Agriculture</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>3.2 Construction</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>3.3 Manufacturing</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Improved proportion of entrants who completed targeted training courses (gender disaggregated)</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>4.1 Agriculture</strong></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td><strong>4.2 Construction</strong></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td><strong>4.3 Manufacturing</strong></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Participation of employers in skills training programs</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Improved level of satisfaction of employers with the skills acquired by trainees in supported firms disaggregated by economic sectors and size</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>
2.4 PROJECT COMPONENTS

20. The Project Development Objective will be achieved through the following four components and seven sub-components.

Component 1: Institutionalizing systematic reforms in Skills Development

21. This component seeks to support the Reform Task Force (RTF) to implement critical reforms necessary for the effective functioning of the skills development system as well as supporting the establishment of the SDA in the medium term. This will be achieved through the implementation of the following 4 sub-components:

(a) Sub-component 1.1: Establishing SSCs and developing the foundations of a SDA;
(b) Sub-component 1.2: Alignment and strengthening of the assessment system;
(c) Sub-component 1.3: Establishing a Management Information System (MIS) for the BTVET; and
(d) Sub-component 1.4: Communication and Marketing for the BTET sub-sector.

Component 2: Improving Quality and Relevance of Skills Development

22. This component seeks to develop four colleges to eventually become CoEs. These colleges will offer high quality Competency-Based Training for artisans (low-level), artisans (medium-level) and technicians (higher-level) with intention to equip them with skills demanded by selected trades/occupations in the manufacturing, construction, and agro-processing sectors of the Ugandan economy. Annex 2 provides a description of the operational characteristics to be included in a CoE. In addition, at least 12 public Vocational Training Institutes are targeted to be supported by these CoEs (to provide relevant and high quality training for artisans and craftspersons), in order to increase access to training by the public. This component will achieve its stated objectives through the implementation of the following 3 sub-components:

(a) Sub-component 2.1: Establishment of the CoEs;
(b) Sub-component 2.2: Support to public VTIs; and
(c) Sub-component 2.3: Twining Arrangement for establishment of CoEs and networks.

Component 3: Employer-led short-term training and recognition of prior learning

23. This component will be implemented through a Skill Development Facility (SDF) mechanism that will be co-financed by the private sector through a matching grant contribution, and support training activities that lead to improved productivity and
competitiveness in the formal and informal sectors. These will be accessed in a competitive fashion against the following four windows:

(i) Window 1 addressing skills shortages in the formal sector through proposals submitted by partnerships of medium and large enterprises/employers from the formal sector and training providers accessing the SDF in a competitive fashion according to procedures established further in the POM;

(ii) Window 2 addressing training needs of the self-employed and workers in the informal (jua khali) sector, micro and small enterprises, master crafts-people and members of cooperatives to improve their practical, technical and business skills in order to enhance their competitiveness;

(iii) Window 3 supporting private training institutions interested in developing new innovative models for delivery of training, new training concepts and new training programs responding to identified needs; and

(iv) Window 4 financing initiatives by private sector/industry organizations interested in participating in the development of a system for certification of skills and competencies acquired through informal and non-formal means.

Component 4: Project Management, Monitoring and Evaluation

24. This component will finance:

(i) management of the project, which will include establishment of a Project Coordination Unit (PCU), within MoES, herein referred to as PCU1(to manage the project,) and Implementation Units within the respective CoEs, as well as strengthening of the existing PCU under the PSFU, herein referred to as PCU2;

(ii) Monitoring and Evaluation under the project including baseline studies, mid and end-term tracer studies, employer satisfaction surveys, mid-term management review, and annual performance audits, and,

(iii) Capacity building for implementing units. Monitoring reports will have gender-disaggregated data to reflect the proportions of male and female benefiting the project.
2.5 PROJECT COST AND FINANCING

25. The total project cost is US$100M. The project will be fully financed by the IDA. Table 2 below indicates the project estimated cost allocation by component.

Table 2.2: Estimated Project Cost Allocation by Component

<table>
<thead>
<tr>
<th>Sn</th>
<th>Component</th>
<th>Project Cost (USD $)</th>
<th>IDA USD $</th>
<th>GoU USD $</th>
<th>% Component allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1)</td>
<td><strong>Component 1</strong>: Institutionalizing systematic reforms in Skills Development</td>
<td>5,000,000</td>
<td>5,000,000</td>
<td>0</td>
<td>5%</td>
</tr>
<tr>
<td>2)</td>
<td><strong>Component 2</strong>: Improving Quality and Relevance of Skills Development</td>
<td>62,200,000</td>
<td>62,200,000</td>
<td>0</td>
<td>62.2%</td>
</tr>
<tr>
<td>3)</td>
<td><strong>Component 3</strong>: Employer-led short-term training and recognition of prior learning</td>
<td>18,000,000</td>
<td>18,000,000</td>
<td>0</td>
<td>18.0%</td>
</tr>
<tr>
<td>4)</td>
<td><strong>Component 4</strong>: Project Management, Monitoring and Evaluation</td>
<td>11,800,000</td>
<td>11,800,000</td>
<td>0</td>
<td>11.8%</td>
</tr>
<tr>
<td>5)</td>
<td>Contingency</td>
<td></td>
<td></td>
<td></td>
<td>3.0%</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td>100,000,000</td>
<td>100,000,000</td>
<td>0</td>
<td>100.00%</td>
</tr>
</tbody>
</table>

26. Eligible expenditures for each USDP component include:

a) Goods and Consumables, like: (i) information technology software and hardware required for the establishment of a MIS for the BTVET under sub-component 1.3; (ii) training and learning equipment and materials, workshops, and school furniture for CoEs and VIs under sub-components 2.2 and 2.3; (iii) office equipment and vehicles under component 4; and (iv) office and school workshop’s supplies and consumables;

b) Works required for the CoEs and VIs under sub-components 2.2 and 2.3 and, exceptionally, for some of the training providers under component 3;

c) Consultant contracts with individuals or firms to, for example: (i) carry out studies on training needs for the sectors under the SSC against sub-component 1.1; (ii) support the SSCs determine the appropriate mechanism/institution(s) to implement Competency-Based Training (CBT) assessment procedures (including assessment validated instruments) aligned with the corresponding occupational standards under sub-component 1.2; (iii) establish an MIS for the BTVET under sub-component 2.3; (iv) launch a marketing and dissemination campaign to rebrand the BTVET system; (v) develop the organizational plans, management systems and operational procedures for the SDA under sub-component 1.1; (vi) undertake twinning arrangements for the
establishment of the 4 CoEs under sub-component 2.3; (vii) set up the procedures and instruments to implement the 4 windows under component 3; (viii) strengthen the PCU1’s and PCU2’s capacities to implement the USDP under component 4; (ix) develop communication/dissemination campaigns; (x) carry out all the impact evaluation studies and institutional performance audits under component 4; and (xi) carry out the annual USDP audits;

d) Training required in various components like for example for: (i) the SSC members under sub-component 1.1; (ii) Instructors, principals and administrative staff under sub-components 2.2 and 2.3; and (iii) staff managing the activities under the 4 windows of component 3;

e) Grants under the 4 windows of component 3;

f) Non-consulting services like for example: (i) carrying out events for the exchange of experiences and sharing of best practices and development of standards under sub-component 1.1; (ii) provision of utility services; (iii) distribution and collection of surveys; and (iv) printing of surveys required in some assessment and impact evaluation studies; and

g) Incremental operating costs (as further defined in Chapter 6 of the POM) like for example to support the Project Management Teams in the PCU1 and PCU2 to manage and closely supervise the implementation of the USDP’s components and sub-components.

27. A summary of the eligible expenditures by component an agency responsible for procurement is shown in Table 2 below:
### Table 2.3 Eligible expenditures by component and agency responsible for procurement

<table>
<thead>
<tr>
<th>Component</th>
<th>Agency Responsible for procurement</th>
<th>Summary of Major procurements Expected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Component 1 – Institutionalizing systemic reforms in skills development</td>
<td>MoES</td>
<td>Technical Assistance to support establishment and operations of the SSC Establishment of an MIS for the BTI subsector Design and implementation of a communication and marketing program for the BTI subsector</td>
</tr>
<tr>
<td>Component 2 – Improving Quality and Relevance of Skills Development</td>
<td>MoES</td>
<td>Civil works in Refurbishment of the infrastructure in Vocational Training Institutes and Centers of Excellence Training Equipment and workshops for CoEs and Vocational Training Institutes Twinning partner institutes to provide technical assistance</td>
</tr>
<tr>
<td>Component 3: Employer-led short-term training and recognition of prior learning</td>
<td>Grantees</td>
<td>Providers of Skills training to grantees</td>
</tr>
<tr>
<td>Component 4 – Project Management</td>
<td>Ministry of Education and Sports (MoES) Private Sector Foundation of Uganda</td>
<td>Consultants to support project implementation Studies and Surveys Impact evaluation and monitoring of the grant program TA to conduct evaluation of grant applicants</td>
</tr>
</tbody>
</table>

#### 2.6. ENVIRONMENTAL AND SOCIAL ISSUES INCLUDING SAFEGUARDS

28. The USDP triggers the following four Operational Policies – OP/BP 4.01 Environmental Assessment, OP/BP 4.11 Physical Cultural Resources, OP 4.12 Involuntary Resettlement, and Pest Management OP 4.09 and whose further explanation including proposed mitigation measures is provided in Chapter 11 to the USDP POM.

(i) **OP/BP 4.01 on Environmental Safeguard Policies.** This is triggered because of the civil works under components 2 and, most likely under component 3, required for the establishment and upgrade of physical infrastructure. This include; renovation/refurbishment of infrastructure, construction of new infrastructure such as workshops, classrooms, libraries, administrative blocks), provision of water and sanitation facilities, augmenting provision of electricity and improvement of campus environment and low cost boundary walls for the CoEs and VTIs under sub-components 2.2.
To mitigate the triggering of OP/BP 4.01, the USDP prepared an ESMF through a consultative process with all stakeholders, implementing agencies, key government institutions, respective sector players such as key manufacturing, agricultural and construction companies, and communities in the neighborhood of the respective institutions/CoEs, and, this was disclosed by the GoU on February 4, 2015 and subsequently by the WB Info shop on February 6, 2015. The ESMF has identified environmental impacts generic to the project developments and an environmental and social screening process will be implemented. The ESMF has also provided a framework to facilitate identification of potential environmental and social impacts, determination of their significance and assignment of appropriate environmental category, proposal of environmental mitigation measures, and where required recommend undertaking of Environmental and Social Impact Assessment (ESIA).

Since at this stage of the drafting of the POM, only the target CoEs are known whereas the approximately 12 network VIs’ specific locations are not known, and based on the disclosed ESMF, subsequent ESIA and ESMPs will have to be developed on each VI site during implementation to guide site implementation of mitigations measures. The ESIA and ESMPs will require balancing both environmental and social assessment and mitigation plans respectively. All issues related to environmental and social management of the sites will be provided in the ESMPs.

(ii) **OP 4.12 on Involuntary Resettlement:** Although the project has proposed civil works will be implemented on existing tertiary institutions, there are potentials of acquiring land for the establishment and expansion of the required buildings for the targeted institutions under sub-components 2.2 and 2.3. In addition, where the proposed land for the government/institution’s is under use, consideration of livelihood and destruction of crops will be required. Should resettlement issues be identified, appropriate RAPs will be prepared in consultation with the affected individuals and communities to address specific impacts, proposed mitigation measures and compensation issues.

In addition, clear stakeholder engagement action plans will be developed to support all environmental and social concerns and risks including land acquisitions, safety and health of the workers force, labour/employment issues, HIV/AIDS prevention, regional and gender inclusion including development of gender action plans.

(e) **OP 4.11 Physical Cultural Resources:** This has been triggered due to the potential for the civil works to encounter chance finds of heritage value. This has been addressed through the development of a chance finds procedure in such instances as part of the ESMF to guide management of any physical cultural resources that may be
encountered during project implementation. The respective ESIAs to be undertaken (including compilation of Project Briefs and ESMPs) will include site-specific PCRs investigation, assessment and management.

(ii) **OP 4.09 Pest Management:** The training to be carried out at Bukalasa Agricultural College under Component 2 of USDP may involve the use of pesticides. To address this, basic guidance has been included in the ESMF covering aspects related to procurement, transportation, storage, and use and disposal of pesticides. In addition, the site specific ESIA (Project Brief or ESMP) will provide and draw from the ESMF, the mitigation measures to address this issue.

(iii) **Addressing OP 4.12, a RPF was prepared through a broad stakeholder consultative process with relevant GoU ministries, institutions including the catchment areas of the colleges to be upgraded to CoEs. The RPF specifies the processes for preparing, reviewing, approving and implementing subsequent site specific Resettlement Action Plans (RAPs) for the respective USDP Uganda Technical Colleges (UTCs) before the relevant civil works are initiated. The cleared RPF was disclosed by the GoU on February 4, 2015 and was subsequently disclosed by the WB at Info shop on February 6, 2015.**

To further mitigate the triggering of OP 4.12, the MoES with support from the PCU will prepare site specific (UTC specific) RAPs through a broad stakeholder consultative process with relevant GoU ministries, institutions including the catchment areas/communities of the colleges to be upgraded to CoEs. Clear stakeholder engagement action plans will be developed to support the entire social concerns and risks including land acquisitions. The Ministry will ensure that no civil works is initiated in all UTCs until land acquisitions issues are completed and where compensation is required, it is fully done.

29. Based on ESMF and RPF guidance, the MoES will put in place a functional and accessible project specific Grievance Redress mechanism including committees at the Ministry, UTCs linked with the proposed 12 network institutions. The grievance redress committees will handle potential complaints that may arise from the project implementation. The PCU/Ministry with support from the World Bank team will train committees in understanding its operations and functions/roles. The Ministry/PCU will develop clear terms of reference to guide operations of the committees. For proper coordination and leadership in handling complaints, the Ministry will assign staff from the Ministry/PCU and benefiting UTCs to handle complaints. This should be based on the guidance from ESMF and RPF. Every aggrieved person should be able to trigger the GRM mechanism as elaborated in the ESMF to quickly resolve his or her complaints.
30. WB Grievance Redress: communities and individuals who believe that they are adversely affected by a WB-supported USDP may submit complaints to existing project-level grievance redress mechanisms or the WB’s Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address USDP-related concerns.

31. USDP affected communities and individuals may submit their complaint to the WB’s independent Inspection Panel, which determines whether harm occurred, or could occur, because of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the WB’s attention, and WB Management has been given an opportunity to respond.

32. Information on how to submit complaints to the WB’s corporate GRS is provided in http://www.worldbank.org/GRS. Information on how to submit complaints to the WB Inspection Panel is provided in www.inspectionpanel.org.

33. More information on the communication aspects of the USDP are provided in Chapter 10 (Monitoring and Evaluation) to the POM.

2.7. PROJECT PERIOD

34. The project is to be implemented in a period of four years starting from 22\textsuperscript{nd} April 2016 to 31\textsuperscript{st} August 2020.

2.8. INSTITUTIONAL IMPLEMENTATION ARRANGEMENTS

2.8.1 OVERALL USDP MANAGEMENT

35. Given the multi-sectorial design of the USDP and the current governance structures of its key stakeholders, and that the SDA has not yet been established and the RTF is housed under the MoES, the USDP implementation over a five-year period will be entrusted to the following two GoU entities:

(a) The MoES will be responsible for the implementation of: (a) Component 1 through the SDA when established, and in the interim period, the RTF; and (b) Components 2 and 4 through a PCU1 accountable to the MoES, whose organization, staffing, attributions and responsibilities are fully described further down; and

(b) The MoFPED will be responsible for the implementation of Component 3 and 4 (under a shared responsibility with the PCU1 of the MoES) through the PSFU housed in the
MoFPED and supported by a PCU2, different to the PCU1, whose organization, staffing, attributions and responsibilities are fully described further down.

8.2 USDP STEERING COMMITTEE

36. In order to ensure appropriate coordination and accountability of the two implementing entities among themselves and with other USDP stakeholders like public and private training providers, workers and employers, a USDP Steering Committee (SC) will be established within the first 3 months after Credit effectiveness, expected by September 2016.

37. The Permanent Secretary (PS2)/Secretary to the Treasury (ST) of the MoFPED will chair the SC, while the representative of the MoES will act as the Secretariat of the SC.

38. The SC will be composed of the following members:
   (i) Permanent Secretary /Secretary to the Treasury/ MoFPED- Chairperson
   (ii) Permanent Secretary / Ministry of Agriculture Animal Industry and Fisheries
   (iii) Permanent Secretary Ministry of Education, Science, Technology and Sports
   (iv) Permanent Secretary / Ministry of Works and Transport
   (v) Permanent Secretary / Ministry of energy and Mineral Development
   (vi) Permanent Secretary Ministry of Labour and Social Development
   (vii) Executive Secretary/ Federation of Uganda Employers
   (viii) Chairperson Uganda Manufacturers Association
   (ix) Executive Director/National Planning Authority
   (x) Project Coordinator/ Uganda Skills Development Project/ MoES- Secretary

39. The PS2 will write nomination letters to the above members with ToRs for the SC. The SC will be sitting on a quarterly basis in the MoFPED.

40. MoFPED MoES Figure 1 below illustrates the overall implementation arrangement for the USDP, where the MoES in addition to reporting to the USDP SC will also report to the Office of the Prime Minister (OPM).
41. The USDP SC will serve as an advisory body meeting on an annual basis to discuss and, if necessary based on the physical and financial implementation progress, recommend changes in the general policies and directions of the USDP in a manner that guarantees the achievement of the PDOs.

42. The USDP SC will endorse the proposed annual USDP implementation and procurement plans and corresponding budget prepared by the PCU1 and PCU2 following the procedures set for in Chapters 8 (Financial Management) and 9 (Procurement) of the POM. The USDP SC will also clear amendments to the approved USDP POM, if required, when requested by the MoES or MoFPED/PSFU, satisfactory to the WB.

43. The USDP SC will meet quarterly at the onset of the USDP implementation cycle to provide support to the MoES and the MoFPED/PSFU to:

(a) Address any technical and implementation issues identified during the technical review and support missions carried out by the MoES, MoFPED/PSFU, NPA and/or the WB and discuss and identify appropriate solutions to problems that may occur during implementation, both at central or local levels;

(b) Follow up on the compliance by the MoES/PCU1, SDA/RTF and PSFU/PCU2 on prior implementation recommendations; and,

(c) Discuss the quarterly, half-yearly and final reports submitted by the PCU1 of the MoES and the PCU2 of the PSFU to the WB.
44. Once the physical and financial implementation progress of the USDP achieves a consistent satisfactory status, the frequency of the SC meetings could be modified to twice a year.

2.9 IMPLEMENTATION ARRANGEMENTS BY COMPONENT

45. Component 1. The Uganda SDA when legally established and fully functional (which is expected by late 2016 or early 2017), and by the ongoing Uganda RTF (currently housed with the MoES) during the transitional period after Credit Effectiveness, will be responsible for managing the day-to-day activities of Component 1. This component will be fully financed by IDA. Accordingly, the PCU1 under the MoES (described below) will support the SDA/RTF ensure the fiduciary and safeguards compliance associated to the implementation of this component.

46. Components 2. The MoES will be responsible for managing the day-to-day activities of Components 2 (including its 3 sub-components) through a Project Coordination Unit (PCU1) accountable to the Permanent Secretary of the MoES (PS1) or his/her designee, through the Commissioner of Planning within the MoES.

47. The MoES/PCU1 aims at supporting all education projects financed through IDA, including the Albertine Region Sustainable Development Project (ARSDP), the GPE-financed Teacher and School Effectiveness Project (UTSEP), the USDP and any other forthcoming IDA project.

48. The PCU1, as it concerns the USDP, will be responsible for ensuring fiduciary compliance of components 1, 2 and part of component 4 and with the day-to-day management and coordination of components 2 and part of component 4. The PCU1 will include:

(a) One Project Coordinator (PC), a senior officer seconded from the MoES under terms of reference satisfactory (ToRs) to IDA, in charge of the overall fiduciary, monitoring, reporting and communication operations of the PCU1 as they relate to the entire IDA-financed portfolio (ARSDP, UTSEP and USDP) and, with the support of the Deputy Project Coordinator (DPC), of the implementation of part of component 4;

(b) One DPC for the ARSDP and USDP (because their skills development similarities), accountable to the PC, will be responsible for the day-to-day coordination and management of Component 2 including its 3 sub-components and parts of component 4, and in close collaboration with the RTF Secretariat, on the fiduciary aspects of Component 1. The DPC has already been hired through the ARSDP.
49. The following will constitute the core-staff required to fill staff complement at USDP & ARSDP:
   1. One Financial Management Specialist (FMS);
   2. One Procurement Specialist (PRS);
   3. One Social (Safeguards) Specialist/Social Scientist
   4. One environmental (Safeguards) Specialist (SS);
   5. One TVET specialist (TVETS);
   6. One Civil Works Engineer (CWE);
   7. One Quantity Surveyor (QS);
   8. One Communications Specialist (CS); and
   10. Support staff to be fully financed by the GoU (Project secretary, Office attendant drivers and others as need arises).

50. Each one of the above-mentioned specialists will be a qualified consultant selected according to ToRs satisfactory to IDA following the selection procedures set for in the FA, the PA and the POM and the criteria included in the approved initial procurement plan.

51. MoES has already appointed the PC with the no-objection of the WB. In August 2015; the WB provided its no-objection to the ToRs for the selection of the DPC, FMS, PRS, TVETS, CWE MES and the Quantity Surveyor. Recruitment of the core-staff is expected to be completed by the end of the summer 2016.

52. In addition, to ensure a timely response by these fiduciary specialists within the PCU1, they will be assisted by qualified staff, whose exact number and workload per project would be determined by the real fiduciary requirements generated during the implementation of the above-mentioned IDA-financed operations. This allocation of staff to projects would mitigate the risk of skewing the fiduciary response in favor of some operations against the remaining ones creating in turn operational bottlenecks. This additional staff will also be selected according to ToRs satisfactory to IDA following the selection procedures set for in the FA, the PA and the POM and the criteria included in the approved initial procurement plan.

53. **Sub-Component 2.1**: This sub-component will be implemented by the four (4) selected public training Institutionsto be transformed into CoEs. These institutions include; Elgon, Lira, Bushenyi and Bukalasa. They will work under a close coordination and monitoring of the PC and the DPC within the PCU1 and with the intensive technical support of qualified international Competency-Based Training, providers selected and retained under a twinning partnership arrangement attuned to ToRs satisfactory to IDA (see Annex 15-18).

54. **Sub-component 2.2**: This sub-component will be implement by the 12 VTIs, which will be selected through a competitive fashion following selection criteria and procedures set for
in the USDP POM. They will be coordinated by the PC in conjunction with the DPC and supported by the PCU1.

55. **Sub-component 2.3:** This sub-component will be implemented by reputable and technically qualified institutions, which will be selected according to ToRs satisfactory, to the WB (a sample is included as Annex 3 to the POM) and through an international competitive selection process following the procedures set for in FA and the POM. These consulting institutions will act as twining partners responsible for providing all necessary support/help to the training colleges under sub-component 2.1 to grow into “CoEs” with the operational characteristics listed in the PAD and enable each CoE perform its critical functions. They will be coordinated by the PC in conjunction with the DPC and supported by the PCU1.

56. The partner institutions will also be responsible for providing support and capacity buildup to the VTIs under sub-component 2.2. This is to enable these VTIs to appropriately and timely respond to the needs and opportunities of the labor market, (including delivery of short-term training courses), and improve the quality of the training being offered.

57. The partner institutions (twinning institutions) will prepare a time-bound detailed capacity building action plan with clear intermediate and final deliverables for establishment and functioning of the four (4) CoEs and the 12 strengthened VTIs. Once approved by the MoES and the IDA, the MoES will ensure that the partners do not face procedural bottlenecks in implementing the approved work plan.

58. In order to facilitate the coordination and monitoring of the implementation of Component 2, the DPC in the PCU1 will be supported by the TVETS within the PCU1.

59. **Component 4:** the overall management, monitoring and evaluation of the USDP will be a shared coordination and management responsibility between the PCU1 and PCU2 depending on the specific activities under this component. Figure 2 below depicts the implementation arrangements for components 1, 2 and part of 4.

---

**Figure 2 Implementation Arrangements for Components 1, 2, 4**
1. Chairman of the RTF Board reports to the Office of the Prime Minister;
2. RTF Executive Secretary reports to USDP Steering Committee

60. **Component 3:** The MoFPED/PSFU, with the support of the PCU2 and a private sector dominated Grant Committee (GC), will be responsible for the overall management and coordination of Component 3 including its fiduciary and safeguard aspects.

61. **The PSFU** will be the legal entity for signing SDF-related contracts under the four (4) windows included in Component 3.

62. **The GC:** will be appointed by the PS2/ST of the MoFPED, and will oversee the CBT facility by providing the required oversight of the implementation of all the activities under this Component. Accordingly, the GC will ensure that the CBT Facility under Component 3 becomes an efficient and acknowledged instrument for strengthening the
skills and competence base of the Ugandan labor force, hereby making the Uganda private sector more competitive and improving access to gainful employment.

63. The specific functions of the GC are to:

(i) Establish a detailed policy and plan for dissemination of information regarding the procedures and operation of the CBT Facility, ensuring that all potential target audiences have access to the required information;
(ii) Establish and approve eligibility criteria to fund proposals in each one of the 4 windows;
(iii) Establish detailed procedures for screening and approving applications to the CBT Facility;
(iv) Establish basic quality assurance procedures for skills development initiatives supported by the Facility;
(v) Endorse the recommendations of the reviewing process of proposals under the 4 windows;
(vi) Oversee the progress of the CBT Facility’s operations within the 4 windows;
(vii) Monitor and regularly evaluate the relevance and quality of the skills training supported by the CBT Facility;
(viii) Recommend to the MoFPED and to the USDP SC possible changes of the scope and operation of the CBT Facility; and
(ix) Investigate and act on complaints received from learners, parents/guardians, employers and other stakeholders regarding the quality of training, assessment and the award of qualifications of training initiatives supported by the CBT Facility.

64. The GC will consist of:

(a) The chairperson, an industry practitioner with considerable knowledge of private sector TVET issues;
(b) One senior official of the MoFPED;
(c) One senior official of the MoES;
(d) One senior official of the Ministry of Trade, Industry and Cooperatives (MoTIC);
(e) One senior official of the Ministry of Agriculture, Animal Industries and Fisheries (MAAIF);
(f) One Senior officer of Ministry of Gender Labour and Social Development
(g) One person nominated by an association representing micro and small enterprises;
(h) One person nominated by an association representing the large companies;
(i) One person nominated by an association representing private training providers;
(j) One person nominated by an association representing farmers;
(k) One member of the RTF;
(l) The PSFU Executive Director or his/her designee (in a non-voting capacity); and
(m) One person designated by the contributing development partners.

65. The nominated persons must have proven commitment, knowledge and experience relevant to skills and technology development. The PS2/MoFPED will appoint the chairperson of the GC and approve the nominated members.

66. The GC will meet at least once every three months. The general rules and procedures of PSFU apply to tenure of office for the members of the Committee, disclosure of interests, allowances etc. The GC will report to the PS2/MoFPED. The Head of the PCU2 will designate an officer of the unit to act as secretary to the GC.

67. The GC, the PFSU management and the Ministry of MoFPED will conduct an annual joint meeting to discuss issues of common interest such as the Facility’s achievements and focus areas calling for special attention.

68. The PCU2, accountable to the PS2/ST of the MoFPED through the Executive Director of the PSFU, established in early 2015 under the IDA-financed Competitiveness and Enterprise Development Project (CEDP) II project, will be the operation arm of the MoFPED/PSFU and the GC to implement and manage the day-to-day activities of Component 3 and 4 (as applicable to the activities under component 3 and in a shared arrangement with the PCU1) and ensure fiduciary compliance.

69. The PCU2, under the PSFU’s technical and fiduciary oversight, aims to serve as the operational base of the Facility, the GC and other related bodies. The PCU2 will be kept lean and contract necessary expertise for effective and efficient implementation. External qualified specialists (consulting firms) will be contracted to undertake specialized assignments such as information campaigns, assistance with preparation of applications, evaluation and peer review of projects submitted for funding and on-site monitoring of proposals under implementation.

70. Accordingly, the PCU2 will consist of the following technical staff:
(a) A Head of Unit – herewith known as a Project Manager (PM) - accountable to the Executive Director of the PSFU and who shall report, through the Executive Director, to PS2/MoFPED and the GC for purposes of the project;
(b) Three grant specialists (GS1, GS2 and GS3) dealing with assessment of the relevance and quality of proposals for each one of the 4 windows as well as for the on-site monitoring of the implementation of the approved grants;
(c) A project accountant, dealing with disbursement, accounting, financial reporting and auditing;
(d) An administrative officer (AO) responsible for compliance and grant support services.
(e) Procurement officer, providing support for timely implementation for the procurement process;
(f) Clients relations officer, responsible for maintaining high quality customer relationships; and,
(g) Accounts assistant, responsible for supporting the Accounts Department

71. The PCU2 will draw on the technical staff of the PSFU, for instance in the field of communication, outreach and procurement.

72. In addition, and as mentioned before, the PCU2 will enter framework contracts with selected eligible consultancy companies or organizations to be identified through public tendering, under ToRs satisfactory to IDA, following the selection procedures set for in the FA, in the PA and in the POM and the criteria included in the initial approved procurement plan, to assist with:

(a) Specific services related to technical reviews/evaluations of proposals received for funding, including due diligence of the applicants; and
(b) Physical monitoring (verification) and financial control (auditing) of grants during the course of their implementation.

73. The PCU2 will also conduct all impact-related monitoring and provide guidance to the grantees during implementation. Weak applicants may be offered the assistance of individual service providers accredited by the PCU2. For successful applications, the Facility will cover the cost of this service.

74. The specific operational characteristics of the grant scheme of Component 3 are fully described in Chapter 4 of the POM. Figure 3 below depicts the implementation arrangements for Component 3.
Figure 2: Implementation Arrangements for Components 3

75. Figure 4 below illustrates the overall flow of financial resources and collection of supportive expenditure documentation and other reports attesting to the physical and financial implementation progress of the USDP.
Figure 3: Overall Financial Flows and Collection of Supporting Expenditure Documentation and other Relevant Physical and Financial Implementation Reports

2.10 ROLES AND RESPONSIBILITIES

76. The USDP SC constituted by a representative from: (i) the MoFPED/NPA; (ii) the MoES; (iii) MAAIF; and (iv) the RTF, will, as already stated in Chapter 3 to the POM:

(a) Act an advisory body meeting on an annual basis to discuss and, if necessary based on the physical and financial implementation progress, recommend changes in the general policies and directions of the USDP in a manner that guarantees the achievement of the PDOs;
a) Clear amendments to the approved USDP POM, if required, when requested by the MoES or MoFPED/PSFU, satisfactory to the WB;

b) Review and endorse the proposed annual USDP implementation and procurement plans and corresponding budget prepared jointly by the PCU1 and PCU2 following the procedures set for in Chapters 6 and 7 to the POM;

c) Meet quarterly at the onset of the USDP implementation cycle to provide support to the MoES and the MoFPED to:

(i) Address any technical and implementation issues identified during the technical review and support missions carried out by the MoES, MoFPED, NPA and/or the WB and discuss and identify appropriate solutions to problems that may occur during implementation, both at central or local levels;

(ii) Follow up on the compliance by the MoES/PCU1, SDA/RTF and PSFU/PCU2 on prior implementation recommendations; and

(iii) Discuss the quarterly, half-yearly and final reports submitted by the PCU1 of the MoES and the PCU2 of the PSFU to World Bank.

77. Once the physical and financial implementation progress of the USDP achieves a consistent satisfactory status, the frequency of the SC meetings could be modified to twice a year. The PS/ST of the MoFPED (PS2) will chair the SC.

78. The representative of the MoES will act as the Secretariat of the SC, in charge of: (i) drafting the Minutes of each SC meeting; (ii) ensuring minutes are signed by all members of the SC; and (iii) circulating the Minutes downstream to all the key managing actors of the USDP.

79. **Permanent Secretary of the MoES (PS1):** accountable to the Minister of the MoES, will be the highest authority within the MoES responsible for the overall leadership and management of the USDP as it pertains to the implementation of Components 2 and part of 4 and for the fiduciary and safeguard aspects of components 1, 2 and part of 4.

80. The PS1 will sign on behalf of the MoES the Memorandum of Understanding (MoU) with the selected VIs receiving a grant under sub-component 2.2 of the USDP.

81. Other specific roles of the PS1 are further detailed in Chapter 5 to the POM by component and sub-component.

82. The PS1 will carry out its envisaged USDP leadership and management through a PCU1 headed by a PC through the Commissioner of Planning within the MoES. In matters of the USDP, the PS1 will report to the Chair of the USDP SC.
83. **Commissioner of Planning of the MoES**: The communication between the PS1 and the PCU1 in charge of the day-to-day management of component 2 and part of 4 including their fiduciary and safeguard aspects as well as those for component 1 will be through the Commissioner of Planning who heads all the IDA-financed operations within the education sector/MoES.

84. **Permanent Secretary of the MoFPED (PS2)**: accountable to the Minister of the MoFPED, will be the highest authority within the MoFPED responsible for the overall leadership and management of the USDP as it pertains to the implementation and compliance of the fiduciary and safeguard requirements of Components 3 and part of 4.

85. The PS2/MoFPED will appoint the chairperson of the GC and approve the nominated members.

86. Other specific roles of the PS2 are further detailed in Chapter 5 to the POM by component and sub-component. In matters of the USDP, the PS2 will report to the Chair of the USDP SC.

87. The PS2 will carry out its envisaged USDP leadership and management through a PCU2 headed by a Project Manager (PM) housed within the PSFU headed by an Executive Director.

88. **The PSFU Executive Director**, accountable to the PSFU Board comprised by 15 members elected as per the Memorandum and Articles of Association guide PSFU’s governance and management, is the signatory, on behalf of the GoU’s, of the USDP PA entered with the WB on 24 June 2016.

89. The Executive Director will be responsible for:
   
   a) The overall implementation of Component 3 and part of component 4 as per the details described Chapter 4 to the POM;
   
   b) Ensuring full compliance with the USDP financial management requirements for component 3 and part of 4 as fully detailed in Chapter 6 to the POM;
   
   c) Ensuring that the PS of the PSFU manages all the procurement of goods, consulting and non-consulting services and those under the operating expenditures as fully described in Chapter 7 to the POM;
   
   d) Ensuring the required monitoring, carrying out of tailored-made studies and reporting as fully detailed in Chapter 10.0 to the POM; and,
   
   e) Ensuring the required compliance with the USDP-related WB environmental and social issues including safeguards as detailed in Chapter 11.0 to the POM.

90. The PSFU Executive Director will review and approve the recommendation of approval of grantees/window under Component 3 upon presentation of the Minutes of the Reviewing Process as fully detailed in Chapter 4 to the POM.
91. The PSFU Executive Director will sign, on behalf of the MoFPED/PSFU, all the contracts with approved grantees under the competitive scheme of Component 3 fully detailed in Chapter 4 to the POM.

92. The PSFU Executive Director will, on the recommendation of the PM of the PCU2, approve the partial or full cancellation of grants contingent on the presentation of sufficient documented evidence supporting this action.

93. The PSFU Executive Director will carry out its envisaged USDP leadership and management through a PCU2 headed by a PM.

94. In matters of the USDP, the PSI will report to both the PS2 as well as to the Chair of the USDP SC.

95. **The GC**, comprised by the members fully described in Chapter 3 to the POM will be responsible for the tasks also described in Chapters 3 and 4 to the POM.

2.10.1 Roles and responsibilities within the PCU1 and PCU2

96. **The PC in the PCU1**, identified under ToRs satisfactory to the WB and following the selection procedures set for in the USDP FA and the POM, will be accountable to the PS1 of the MoES through the Commissioner of Planning of the MoES and will be responsible for the following overall management tasks:

(a) Guiding, coordinating and managing the overall work of the PCU1 in areas of procurement, financial management, monitoring, reporting and evaluation as they correspond to all the IDA-financed portfolio within the MoES;

(b) Ensuring the DPC of the PCU1 carries out its envisaged tasks as detailed below in a timely, efficient and effective manner;

(c) Assisting the DPC in its reporting and communication with the PS1 through the Commissioner of Planning of the MoES;

(d) Ensuring the undertaking of regular meetings with the PS1 and the Commissioner of Planning of the MoES to inform him/her of the USDP physical and financial implementation progress;

(e) Raising any critical issues (including non-compliance to environmental and social risks) that may impede project implementation to the PS1 and the Commissioner of Planning of the MoES on a timely manner, and follow on agreed actions;

(f) Keeping records of the meetings with the PS1 and the Commissioner of Planning of the MoES and following up on recommendation made and agreed upon with them and/or WB implementation support supervision missions;
(g) Ensuring that appropriate reports and documents are timely ready to be presented to the PS1, the Commissioner of Planning of the MoES, the USDP SC, other USDP-related GoU authorities and the WB implementation support supervision missions;

(h) Advising, with the support of the DPC of the PCU1, the PS1 and/or the Commissioner of Planning of the MoES on all matters pertaining to the implementation and management of the USDP;

(i) Reviewing and endorsing the ToRs drafted by the DPC for local and international consultants to be selected under the USDP, prior to the request for no-objection by the WB, if required;

(j) Evaluating the performance of the DPC on regular yearly basis to ensure that the DPC’s tasks and actions are in line with the its working annual plan and TORs; and

(k) Endorse the dismissal of PCU1 staff or any other local or international consultant that consistently fails their performance evaluation and submit the request for dismissal to the PSI through the Commissioner of Planning.

97. The DPC in the PCU1, identified under ToRs satisfactory to the WB and following the selection procedures set for in the USDP FA and the POM, will be accountable to the PC of the PCU1 and under the supervision of the PS1 of the MoES through the Commissioner of Planning of the MoES. The DPC will be responsible for the following day-to-day management, planning and reporting tasks corresponding to the implementation of component 2 and part of 4 as well as the fiduciary and safeguard compliance of components 1, 2 and part of 4:

(a) General Management of the Project:

(i) Guiding, coordinating and managing the day-to-day work of the PCU1 in areas of procurement, financial management, environment and social risks, monitoring, reporting and evaluation;

(ii) Ensuring a financial and physical implementation progress of the USDP attuned to the approved annual implementation and procurement plans and budget including agreed targets and implementing, with the endorsement of the PC, appropriate mitigation measures in case there are operational and other issues hindering a satisfactory implementation progress and significantly negatively deviating from the agreed intermediate and final targets;

(iii) Monitoring and ensuring and effective utilization of the USDP Credit funds provided by the WB;

(iv) Assist the different implementing entities within the MoES in the overall management and implementation of all USDP activities, as applicable to the PCU1;

(v) Making day-to-day decisions to ensure the implementation of the USDP’s approved annual implementation and procurement plans and budget and the achievement of the USDP’s results and objectives;
(vi) Ensuring the coordination and articulation of all USDP components and sub-components as applicable to the PCU1;

(vii) Coordinating the work of the consultants who will provide technical assistance to the USDP as applicable to the PCU1;

(viii) Ensuring the environmental and social risks and impacts are fully addressed following the guidance laid in the ESMF and RPF as well as report in all the relevant project reports. In addition, prompting the team to assess and address all emerging environment and social issues.

(ix) With support of the PCU1’s MES and in collaboration with the relevant implementing entities as applicable to the PCU1, ensuring proper monitoring of the USDP performance, and providing guidance and assistance to ensure conformance of actual results to planned results;

(x) Ensuring the undertaking of regular meetings with the PC, and from time-to-time, with the Commissioner of Planning of the MoES and/or the PS1 of the MoES, to inform him/her of the implementation progress;

(xi) Ensuring and supporting regular communication with the heads of all the implementing entities within the MoES for the effective, efficient and timely implementation of USDP activities;

(xii) Raising any critical issues that may impede USDP implementation to the PC, Commissioner of Planning of the MoES, the PS1 and to the WB supervision team on timely manner, and follow on agreed actions;

(xiii) Keeping records of the meetings with the PC or any other authority and following up on recommendation made and agreed upon with the PC and/or WB implementation support supervision missions;

(xiv) Ensuring the appointment of auditors on time as required by the FA;

(xv) Ensuring that appropriate reports and documents are timely ready to be presented to the PC, other USDP-related GoU authorities and the WB implementation support supervision missions;

(xvi) Advising the PC on all matters pertaining to the implementation and management of the USDP; and,

(xvii) Based on the evidence concerning the USDP’s implementation progress, proposing, if required, changes and/or calibrations to the POM to be approved by the USDP SC through the PS1, contingent on the prior no-objection by the WB.
(b) **Planning:**

(i) In consultation with relevant departments in the MoES, the DPC will be responsible for developing and maintaining of an integrated implementation plan (*the annual implementation and procurement plan as further described in Chapters 6 & 7 to the POM*), as it relates to the different components and sub-components of the USDP;

(ii) incorporating the lessons learned from the implementation of previous USDP’s approved overall implementation plan, annual implementation & procurement plans (hereby attached as Annex 2 and 3 respectively);

(iii) Presenting the proposed annual work and procurement plan to the USDP SC through the PS1 via the PC of the PCU1 endorsed by the USDP SC, obtaining the no-object from the WB;

(iv) Communicating the approved annual implementation and procurement plans and budget to all relevant key implementing actors within the MoES participating in the implementation of the USDP as well to other USDP stakeholder and authorities of the GoU; and,

(v) Analyzing the implementation of the annual implementation and procurement plans and budget quarterly and revising as needed in accordance to the implementation progress.

(c) **Reporting:**

(i) Coordinate reporting inputs from project components, PCU1 team members, and the RFT/SDA, and be responsible for the analysis and interpretation of these inputs in the preparation of consolidated USDP progress reports to be submitted on timely manner to the PS1, and if required to the USDP SC, via the PC of the PCU1 through the Commissioner of Planning of the MoES, as per the reporting requirements indicated in the FA and in Chapter 8 to the POM;

(ii) Reviewing and ensuring, through the MES and the CS of the PCU1, of the quality and consistency of all internal and external reports prepared during the implementation of the USDP; and,

(iii) Ensuring that internal and external reports are prepared and filed as required to satisfy WB and GoU regulations, and auditing requirements.
(d) **Staff Management:**

(i) Drafting and proposing the ToRs for local and international consultants to be selected under the USDP to the PC, and, if required, requesting the no-objection of the WB;

(ii) Identifying and selecting, through the PRS of the PCU1, local and international consultants as per approved ToRs following the procedures set for in the FA and Chapter 7 to the POM;

(iii) Managing and coordinating the work of the PCU1 staff;

(iv) Evaluating the performance of the PCU1 staff on regular basis to ensure that their tasks and actions are in line with the plan and their TORs;

(v) Motivating personnel teamwork spirit, discipline and commitment;

(vi) Propose to the PC of the PCU1, the dismissal of PCU1 staff or any other local or international consultant that consistently fails their performance evaluation, contingent on the available supportive documentation supporting the case for dismissal; and

(vii) Supporting PCU1 staff to undertake their required domestic on-site field monitoring related traveling to supervise the implementation of the USDP as per approved per-diems and travel regulations and procedures.

98. **The PM in the PCU2.** The PM in the PCU2, accountable to the Executive Director of the PSFU, will have the same day-to-day management, planning and reporting responsibilities as the ones described for the DPC of the PCU1 above as they apply to component 3 and parts of 4 corresponding to the PCU2. In addition, the PM of the PCU2 acts as Secretary to the GC.

99. **The FMSs in the PCU1 and PCU2,** accountable, the former to the DPC of the PCU1 and the latter to the PM of the PCU2 will:

(i) Provide an oversight to the overall USDP’s financial management functions including recording, reporting, budgeting, accounting and banking and treasury activities ensuring full compliance with the FA, the PA (for the PCU2 only) and chapter 6 to the POM;

(ii) Elaborate, with the collaboration of the heads of the different implementing entities, the annual USDP financial plans and budgets and submit for approval and further endorsement of the SC through their corresponding channels to the either the DPC in the PCU1 or the PM in the PCU2 as applicable;

(iii) Support all the USDP implementing entities within either the MoES or the PSFU as applicable throughout the process of the USDP financial transactions ensuring compliance with the FA, the PA and the POM;

(iv) Monitor the USDP budgets, expenditures and costs and ensure control over project funds use;
(v) Provide guidance to either the PCU1 or PCU2 as applicable, if required, on the financial sections of bidding documents, contracts, other financial arrangements and purchase orders, supervision of their conformity to project implementation requirements and budgets as per Chapter 7 to the POM and the approved USDP annual implementation and procurement plans and budget;

(vi) Support the PRS in the PCU1 or in the PSDU as applicable, in the preparation of contracts with approved/selected suppliers/consultants, including the implementation of the supply of goods, works, consulting and non-consulting services in compliance with the schedule;

(vii) Provide the rules for payment of invoices, contingent on the approval by either the DPC or the PM as applicable;

(viii) Provide the financial reporting on the regular basis following the established procedure to either the PS1 (via the PC and then the Commissioner of Planning of the MoES) or to the Executive Director of the PSDU and the PS2 (via the Executive Director of the PSFU) and the WB, as well as to GoU’s relevant financial and tax authorities;

(ix) Keep expenditure records and documentation on all goods, works, consulting and non-consulting services and conducted training;

(x) Prepare and submit to the authorized signatory the withdrawal applications and financial and accounting reports for submission to the MoES, MoFPED and the WB as fully detailed in Chapter 6 to the POM;

(xi) Ensure a timely completion of project audits through a qualified auditor satisfactory to the WB, including preparation of ToRs and submission of the same to the WB for its no-objection, preparation and timely submission of required information by the external auditors and supporting any other task required by the external auditors to perform their assigned auditing tasks efficiently, effectively and timely (this paragraph is only applicable to the FMS of the PCU1 as he/she will coordinate this activity);

(xii) Ensure proper signing authorizations for withdrawal applications and for the designated account, in case a revised disbursement letter entails such changes;

(xiii) Maintain financial management and accounting policies and procedures attuned to the FA, the PA and the POM including adequate internal controls to ensure safeguarding of the projects assets and funds;

(xiv) Ensure that the financial management and accounting policies are adequately implemented and react to any non-compliance issues identified;

(xv) Guide and support the decision making process with respect to resources allocation;

(xvi) Discuss the budget with the requesting MoES, PSFU and RTF/SDA relevant units/departments and assess its reasonableness;

(xvii) Prepare periodic Cash Flow Forecasts estimating the costs to be incurred in respect of each item set out in the USDP Budget;

(xviii) Consolidate the reports received from the different implementing entities and issue overall financial reports with appropriate presentation and content to support decision making;

(xix) Analyze the variances between actual and budgets and report on them;
Ensure that all contracts and other commitments are promptly entered in a commitment control record so that the uncommitted/unspent balance on each activity and line item is readily known at any point of time;

Negotiate with banks the terms and charges for banking services;

Monitor the banks cash positions to ensure timely awareness of the bank balances;

Ensure sufficient balances are always available to meet short term cash needs;

To oversee the withdrawal of cash from USDP’s bank account and oversee cash payments;

Submit banking transfer documents to the commercial bank for execution;

Prepare, manage, and control banking transfer documents;

Conduct accounting of the USDP in accordance with national and international standards;

Record USDP’s accounting transactions and enter appropriate data using the 1.C software agreed with the WB;

Ensure that the USDP financial management system is aligned to the Integrated Management Information System (IMIS) put in place by the GoU through MoFPED;

Maintain records and process payments for all project transactions up to the end of the four months disbursement grace period following the project closure;

Provide guidance, if requested, to the different implementing entities of the USDP on financial requirements to USDP implementation and planning;

Explain the Guidelines for business travel expenses (approval, type of expenditure, billing, etc.) to either the PCU1 and PCU2 staff as applicable, and employees of all the implementing entities within the MoES, PSFU/PCU2 and RTF/SDA as applicable;

Safe-keep financial documents of the USDP; and

Perform other relevant duties as required by either the DPC in the PCU1 or the PM in the PCU2 as applicable, provided that they do not contradict the conditions of the FA, the PA and/or the POM.

The PRSs in the PCU1 and the PSFU, accountable, the former to the DPC of the PCU1 and the latter to the Executive Director of the PSFU will:

In consultation with either the DPC of the PCU1 or the PM of the PCU2 as applicable, define and implement a procurement strategy aiming at economic and efficient procurement of goods, works and consulting and non-consulting services required for the USDP, optimum use of resources available and consistent with the USDP annual implementation and procurement plans, schedules and budget;

Establish and update regularly a USDP Procurement Plan in the format agreed with the WB and request timely required no objections from the WB for occasional modifications to the same;
(iii) Conduct and ensure USDP’s procurements activities attuned to the approved annual Procurement Plan in accordance with methods and schedules confirmed in the FA, the PA and the POM;

(iv) Ensure adequate publicity to business opportunities through the preparation and publication, and periodic updating when applicable, of the General Procurement Notice (GPN), Specific Procurement Notices (SPN) and invitations for Requests of Expressions of Interest (REoI) in the format and timing acceptable to the WB;

(v) Prepare complete Bidding Documents (BD) for goods and/or works and/or non-consulting services and Requests for Proposals (RfP) for consultants services based on WB applicable Standard Bidding Document (SBD) and in compliance with the provisions of the FA, the PA and of the POM;

(vi) In consultation with either the DPC in the PCU1 or the PM in the PCU2 as applicable, and in coordination with other technical staff of the MoES/PCU1 or the PSDU/PCU2 as applicable, ensure the completeness of the BD in every section and the consistency of the technical provisions (ToRs, technical specifications, plans etc.) with the commercial provisions of the BD or RfP;

(vii) Initiate and manage the complete procurement process for goods, works, consultancies, training provision and non-consulting services included in the USDP components and sub-components to be centrally executed by either the PCU1 or the PCU2 as applicable, while ensuring its compliance with the provisions of the FA, the PA, the WB Guidelines and the POM;

(viii) Manage and/or assist in the preparation of draft and final Bid Evaluation Reports and contracts for goods, works, consultancies, training provision and non-consulting services procured under the USDP and of contract variations and or amendments when required;

(ix) Advise either the DPC in the PCU1 or the PM in the PCU2 as applicable, other staff within the PCU1 or PCU2 and the RTF/SDA and to the members of the two sets of Tender and Evaluation Committees as applicable, on the application of the WB procurement rules as established in the FA, the PA and the POM;

(x) Assist in the management and follow up of contracts under execution, including preparation of documentation required to certify progress, conclusion or acceptance of goods, works, consulting and non-consulting services and training;

(xi) Organize acceptance of the goods’ customs clearance, and secure delivery of the goods to the appropriate final destinations;

(xii) Ensure the timely submission of procurement documentation, reports and procurement decisions to the WB for no objection in all cases of mandatory prior review;

(xiii) Establish and maintain complete and accurate procurement records including all actions and documents for review by the WB’s supervision missions. This includes advertisement, preparation of bids, invitation to bid, record of bid submissions, bid opening, evaluation of bids, contract award and performance of the contracts;
(xiv) Work with the PCU1, PCU2 and RTF/SDA members and the technical staff of the different implementing entities within the MoES/PCU1 or the PSFU/PCU2 as applicable, to monitor and update the schedule of procurement and the Procurement Plan in timely manner, as per the USDP’s specific needs;

(xv) Provide necessary information to the Financing, Accounting and Reporting Departments of the MoES, the MoFPED, the PSFU and the RTF as applicable and required, as well as to the WB;

(xvi) Safe-keep procurement documents and records;

(xvii) Facilitate post-review and procurement audits on a random basis by the WB;

(xviii) Maintain close communication with the Procurement unit of the WB’s office in Kampala; and

(xix) Perform other relevant duties as required by either the DPC in the PCU1 or the PM in the PCU2 as applicable, if they do not contradict the conditions of the FA, the PA and/or the POM.

101. The MES in the PCU1 accountable to the DPC of the PCU1 will:

a) Plan, monitor, administer and manage all aspects of monitoring and evaluation activities supported by the USDP, including data collection (baseline, mid-implementation data and end data), analysis, reporting and dissemination of findings, in close coordination with the heads of the different implementing entities, as appropriate;

b) In close collaboration with the heads of the different implementing entities, analyze and prepare detailed quarterly, or any other agreed periodicity, progress reports concerning the physical and financial progress of the USDP including the updating of the output and outcome indicators of the USDP’s Results Framework as well as other USDP-related reports as described in Chapter 8 to the POM;

c) Draft the ToRs for the selection of qualified consultants selected and hired to carry out the evaluation/assessment studies and surveys under Component 4 and further described in Chapters 7 and 8 to the POM;

d) Conduct regular on-site oversight in the locations where USDP-related monitoring and evaluation activities are being conducted including following up on the activities of the consultants hired for such purpose;

e) Before the arrival of each WB implementation support mission, or at any other frequency agreed with the MoFPED, provide updated information to the WB on all the intermediate outcome and output indicators appearing in the results framework in Annex 1 to the POM;

f) Support the preparation of all reports required for the Project’s mid-term review;

g) Provide inputs for the USDP Completion Report at the request of the WB, likely towards the end of the implementation cycle;

h) Provide support to the CS of the PCU1 for the effective and timely carrying out of dissemination information/communication strategy (as further detailed in Chapter 10.0 to
the POM about the USDP’s outcomes and organize publication of results through Mass Media as per indications of the DPC of the PCU1 or the PM in the PCU2; and

i) Perform other relevant duties as required by the DPC in the PCU1 provided that they do not contradict the conditions of the FA, the PA and/or the POM.

102. The **CWE in the PCU1** accountable to the DPC of the PCU1 will undertake the following:

(a) **Contracting tendering tasks in the key areas of civil works:**

(i) Preparing all documentation (tendering and contract) related to procurement of works and services contracts like supervision of works financed by the USDP in process;

(ii) Facilitating, administering and managing the process of contract tendering, recommendations and awarding contracts in coordination with the PRSs of the PCU1, and if required, of the PSFU; and

(iii) Keeping electronic and hard copies of all documents pertaining project.

(b) **Contract management tasks:**

(i) Managing all construction contracts in close coordination with the corresponding construction firms contracted to undertake the construction/refurbishing activities under the USDP;

(ii) Conducting regular on-site visits to the construction sites;

(iii) Conducting required measurements and preparing payments for accomplishments on contracted works as per the conditions of contract entered into between the contractor and the USDP and providing recommendations for payment;

(iv) In close collaboration with the contracted construction companies’ field engineers at construction sites, analyzing and preparing detailed weekly, monthly and quarterly progress reports containing physical and financial recordings of accomplishments and sharing these reports with the DPC of the PCU1, and if required, with the PM of the PCU2 (in case some of the grants under any of the windows of Component 3 finances works);

(v) Analyzing and providing technical recommendations on problems encountered at the construction sites; and

(vi) Overseeing all services and procurement of works contract entered into by the USDP with Local Contractors/Suppliers, especially in the area of third party qualified work supervision.

(c) **Construction Management and Monitoring Tasks:**

(i) Conducting comprehensive technical analysis on the designs and Bills of Quantities of the construction/refurbishing sites;

(ii) Of the already constructed/started constructions/refurbishing, conducting inspections on sites and suggesting correction measures to the contractors if needed;
Planning, monitoring, administering and managing all aspects of construction activities supported by the USDP in close coordination with the engineers of the contracted construction firms;

Reviewing and analyzing documentation of communications, reports (financial and logistical) in relation to the various aspects of the construction activities, i.e. procurements, delivery, distribution; and

Documenting and recording all site meetings and preparing reports and sharing with the DPC of the PCU1, and if required, with the PM of the PCU2 (in case some of the grants under any of the windows of Component 3 finances works).

**Reporting and Administration Tasks:**

(i) Providing regular briefs on construction activities to bring the PC and DPC of the PCU1, the PS1 and the Commissioner of Planning within the MoES, and if required, the PM of the PCU2, the Executive Director of the PSFU and the PS2 of the MoFPED, up to date on activities implemented, accomplishments, problems encountered and solutions executed;

(ii) Participating in the WB supervision missions; and,

(iii) In collaboration with the MES of the PCU1, preparing Monthly Progress Reports on physical and financial components of the various construction sites.

**Capacity Building and Technical Support Tasks:**

(i) Providing technical advice and support in planning and budgeting of construction activities, if required;

(ii) Assisting in the selection of the construction and supervising firms to be financed by the USDP to undertake the required works under the USDP and providing technical guidance and ideas on construction issues; including overseeing the training and technical guidance of target communities in construction of water and sanitation facilities; and

(iii) Performing other relevant duties as required by the DPC in the PCU1 provided that they do not contradict the conditions of the FA, the PA and/or the POM.

103. **The Quantity Surveyor in the PCU1 accountable to the DPC of the PCU1 will undertake the following:**

(iv) Participation in preparation of tender document, tender evaluations and preparation of tender reports.

(v) Conducting comprehensive technical analysis on the designs and Bills of Quantities of the construction/refurbishing sites

(vi) Coordination and review of financial matters related to the construction works under the project.
Work hand in hand with the Assistant Commissioner (AC)/Construction Management Unit to develop Project Activities scheduling, cost parameters for the project, and use it to track the project’s progress against costs.

Monitoring of post contract services performed by the contractors and supervision consultants.

Undertake regular site visits, participate in monthly site meetings, and provide detailed reporting.

Prepare the monthly or periodic certificates for contractors and ensure that they have been processed and necessary payment requests produced and review and verification of works certificates submitted by the consultants.

Assisting the Procurement specialist of the PCU1 in preparation of annual works plans and progress reports.

Liase with the design team in respect to staying within project budget.

Preparation of annual disbursement schedules for construction works and share them with the DPC of the PCU1.

104. The TVETS in the of the PCU1, accountable to the DPC in the PCU1, will, on behalf of the PCU2, and based on the twinning arrangements entered between the MoES/PCU1 and the qualified international consulting firms:

a) Manage, on behalf of the PCU1, all the twining arrangements contracts entered with the international qualified consulting firms;

b) Verify the eligibility criteria of proposals submitted by interested VIs under sub-component 2.2;

c) Conduct regular on-site visits to the 4 CoEs and to the 12 VIs which are clustered to these CoEs and assess the physical and financial implementation progress as per the expected time-schedule and plan and intermediate and final targets included in the contracts with these international consulting firms;

d) Based on the findings on the ground, recommend further payments to these consulting firms if the implementation progress shown is aligned to the expected time-schedule and intermediate and final targets included in their contracts. Otherwise, if inconsistencies are found, agree with the consulting firms and the recipients of these consulting services on concrete next steps to address these inconsistencies and on evidence to be presented to the PCU1 to support their next payment;

e) In close collaboration with the consulting firms and with the FMS of the PCU1, prepare quarterly progress reports on the financial and physical implementation of the twinning arrangements;

f) Review and analyze documentation of communications, reports (financial and logistical) in relation to the various aspects of the twinning arrangement activities;
g) Document and record all monthly progress meetings and prepare reports and share with the DPC of the PCU1, and if required, with the PS1 and the Commissioner of Planning of the MoES;

h) Provide regular briefs on the twinning arrangement activities to bring the PC and DPC of the PCU1, the PS1 and the Commissioner of Planning within the MoES, up to date on activities implemented, accomplishments, problems encountered and solutions executed, with respect to component 2;

i) Participate in the WB supervision missions;

j) In collaboration with the MES of the PCU1, prepare quarterly progress reports on physical and the financial implementation of component 2; and

k) Performing other relevant duties as required by the DPC in the PCU1 if they do not contradict the conditions of the FA, the PA and/or the POM.

105. The SS in the PCU1, accountable to the DPC in the PCU1 will:

a) With the support of the SS in the WB’s Office in Kampala, design and deliver the training module to be provided to participating CoEs and VIs under Component 2 and grantees under Component 3 in the respective required induction/guidance workshops described in Chapter 4 of the POM

b) Carry out periodic on-site monitoring visits to the CoE, VIs and a random sample of grantees to ensure that the USDP safeguards as described in the FA, the PA and the POM, are being complied by the USDP recipients of funds;

c) Provide necessary information to the PC and DPC of the PCU1, and if required to the Executive Director of the PSFU and the PM of the PCU2, as to the compliance of the USDP safeguards by the recipients of USDP funds as described in the FA, the PA and the POM,

d) Support recipient of USDP funds not fully complying with the USDP safeguards, implement a time-action plan, satisfactory to the WB, to address this issue; and

e) Perform other relevant duties as required by the DPC in the PCU1 provided that they do not contradict the conditions of the FA, the PA and/or the POM.

106. The CS in the PCU1, accountable to the DPC in the PCU1, will support the PCU1, the PSFU/PCU2 and the RTF/SDA carry out, in conjunction with the contracted consulting firms or individuals, the tasks required in the social marketing and external dissemination activities related to the implementation of the USDP and achievement of its intermediate outputs and final outcomes. In this capacity CS will:

a) Develop and communicate a clear dissemination campaign of the achievements and implementation status of the USDP taking into account the characteristics of the intended audience;

b) Develop an annual time-action plan for the implementation of the USDP-related social marketing, communication and dissemination activities;
c) Ensure appropriate maintenance of all the public USDP-related awareness and information activities, especially with employers and workers of the economic sectors benefiting from the USDP and other key USDP stakeholders. and

d) Perform other functions in the PCU1 at the request of the DPC of the PCU1 provided that they do not contradict the conditions of the FA, the PA and/or the POM.

107. The 3 Grants Specialists (GS) in the PCU22, accountable to the PM of the PCU2 will:

a) Ensure that the competitive scheme for each window under component 3 as further detailed in Chapter 4 to the POM is implemented on a timely efficient and effective manner;

b) Manage, on behalf of the PCU2, all the contracts with: (i) the two consulting firms that will participate in the review and selection of proposals under windows 1, 3 and 4 in each one of the 4 expected four call of proposals; (ii) the two consulting firms that will carry the required and periodic on-site monitoring of all the grants under implementation; (iii) the consulting firm or individual that will design and support the launching of the social marketing campaign prior to the start of call to proposals; and (iv) the consulting individual that will design the user-friendly Grant Manual for recipients;

c) Review the proposals under window 2 attuned to the procedures set for in Chapter 4 to the POM and recommend grants to be approved

d) Conduct regular on-site visits to a random sample of grantees/window to assess the physical and financial implementation progress as per the expected time-schedule and plan and intermediate and final targets included in their contracts and contrast with the reports submitted by the two qualified consulting firms contracted to carry out on-site monitoring;

e) Based on the findings on the ground recommend further payments to these consulting firms if their reports are consistent with the findings on the ground by the GSs. Otherwise, if inconsistencies are found, agree with the consulting firms on concrete next steps to address these inconsistencies and on evidence to be presented to the PCU2 to support their next payment;

f) In close collaboration with the consulting firms and with the FMS of the PCU2, prepare quarterly progress reports on the financial and physical implementation of component 3;

g) Review and analyze documentation of communications, reports (financial and logistical) in relation to the various aspects of component 3;

h) Document and record meetings with the consulting firms under component 3;

i) Provide regular briefs on the progress shown in component 3 to bring the PM of the PCU1, the PM of the PSFU, the PS2 of the MoFPED and the USDP SC, up to date on activities implemented, accomplishments, problems encountered and solutions executed, with respect to component 3;

j) Participate in the WB supervision missions;

2 GS1 will be in charge of window 1; GS2 will be in charge of window 2 and SG3 will be in charge of windows 3 and 4.
k) In collaboration with the MES of the PCU1, prepare quarterly progress reports on physical and the financial implementation of component 3; and
l) Perform other relevant duties as required by the PM in the PCU2 provided that they do not contradict the conditions of the FA, the PA and/or the POM.

108. **The AO in the PCU2**, accountable to the PM of the PCU2 will:

a) Support the administrative operations required in the day-to-day management of the PCU2 within the PSFU by supervising staff, planning, organizing and implementing the required administrative systems;
b) Support the carrying out of the required two-day induction workshop to grantees;
c) Provide, in conjunction with the PRS in the PSFU, the required office space, goods and supplies including printed materials, furniture and equipment needed for the day-to-day operation of the PCU2, following the procurement procedures set for in the FA, the PA and in the POM and the criteria included in the approved procurement plan;
d) Maintain in the PCU2 an updated filing and retrieval system including the financial information of the PCU2 operational eligible expenditures;
e) Register and maintain incoming and outgoing USDP PCU2-related communication;
f) Arrange meetings, seminars, workshops and other related events to component 3;
g) Assist the PM of the PCU2 in addressing administrative and operational issues, necessary to facilitate the functioning of Component 3; and
h) Perform other functions in the PCU2 at the request of the PM of the PCU2 provided that they do not contradict the conditions of the FA, the PA and/or the POM

---

3 There is already an AO in the PCU1 being financed by the GoU with similar functions.
3.0 DETAILED PROJECT IMPLEMENTATION PROCEDURES BY COMPONENT

COMPONENT 1: INSTITUTIONALIZING SYSTEMIC REFORMS IN SKILLS DEVELOPMENT

109. This component seeks to support the implementation of critical reforms necessary for the effective functioning of the skills development system as well as supporting the establishment of the SDA in the medium term. The component is composed of four (4) sub components which include:

SUB COMPONENT 1.1 ESTABLISHING SECTOR SKILLS COUNCILS (SSCS) AND DEVELOPING THE FOUNDATION OF A SKILLS DEVELOPMENT AUTHORITY (SDA).

110. SSC’s are National Partnership Organizations that bring together all the stakeholders – Industry, Labour and the Training providers, for the common purpose of skills and workforce development of particular industry sectors. They provide labour market information that assists in long-term business planning, establish occupational standards, and help ensure that training programmes remain up to date with requirements in the labour market.

111. The measurable outputs, as indicated in the results framework, include:

i) Three (3) SSCs established (Agriculture, Manufacturing and Construction);
ii) Identified skills training requirements and standards for the three (3) sectors;
iii) Developed industry skills strategies and training programs;
iv) Established occupational and competency standards and qualifications;
v) Evaluated performance in skills development;
vii) Developed regulations for public and private skill training providers in the three sectors;
viii) Promotion of enterprise based training; and,
ix) Developed framework in raising and allocating funds for skills development.

112. Composition of the SSCs. The SSCs will comprise representatives of employers and workers of the agriculture, construction and manufacturing sectors as well as of the MoFPED, MoES, MAAIF and MoTIC. Each SSC would be comprised of a 2/3 employer majority and membership would be limited from between 7-15 members. A representative of the employers will chair each SSC.

113. The Council Members will be formally contracted and engaged. The general procedures of RTF /SDA will apply to the tenure of office for the members of the committee, disclosure of interest and allowance. The SSC shall have a secretariat to support council activities.
114. **Functions of the Sector Skills Councils**

The SSCs will perform the following functions:

(i) Determine the skills needs and skills standards for its respective sectors;
(ii) Identify and analyze skill requirements in the economic sector;
(iii) Develop industry skills strategies and training plans to achieve priority goals in the sector;
(iv) Establish occupational and competency standards and qualifications as part of the Uganda Vocational Qualifications Framework (UVQF);
(v) Evaluate performance in skills development;
(vi) Regulate public and private sector training providers;
(vii) Promote enterprise based training in the sector; and,
(viii) Play a role of raising and allocating funds for Skills Development in its sector.

115. The project will support the operationalization of the SSCs and facilitate the evaluation of performance in Skills Development during project implementation and at the end of the project. In order for this to be achieved, a baseline will be taken against which progress can be measured.

(a) **Identify Skills training requirements and Standards for the three sectors**

116. A qualified Firm hereby referred to as CF1 will be procured under ToRs satisfactory to the WB and should follow the procedures set for in the FA, the POM and the criteria included in the approved procurement plan (QCBS) to:-

(i) Carry out the capacity Needs Assessment/Analysis,
(ii) develop industry skills strategies and training plans to achieve the priority goals in the various sectors and;
(iii) Identify the occupation international standards for in each sector.

117. Contracts will be signed with the selected accredited bodies to assess and certify the four Centers of Excellence to be supported under USDP. Support will also be provided to facilitate the collaborations between the twinning partners and the Directorate of Industrial Training and international accreditation agencies to develop occupational standards as part of the UVQF. A Memorandum of Understanding (MoU) will be developed and signed between the international setting bodies and the MoES.
(b) Developing the foundation for SDA

118. A SDA is a semi-autonomous body, which involves key stakeholders, especially employers, in the direction and evaluation of the Skills development system. It will also broaden the scope of attention to all forms of skills development and all types of providers, i.e. not just pre-employment training in public institutions, but enterprise-based training in the modern sector and in the informal sector.

119. The SDA will provide greater transparency and consistency across the entire BTVET system as it provides a common framework and tools for the system as a whole to improve, monitor and evaluate the management, provision and outcomes of BTVET (accountability).

120. The most important role for the SDA is the development of the UVQF. The SDA is the national Authority for Vocational Qualifications. The body will thus be responsible for administration of the National Register of Vocational Qualifications, the coordination and control of the occupational standards development and advancement of methodologies for standards development.

121. In addition, the SDA will be charged with the administration of the National Vocational Training Providers Register, coordination and control of the training providers, and act as an advisory for training regulations. Other tasks include;

(i) Methodological coordination of the SSCs;
(ii) Coordination and control of the competencies’ assessment centres. This includes administration of the databases with occupational standards and assessment centres; and,
(iii) Fund collection and disbursement.

(c) Functions of the SDA

122. The SDA will lead to the development of national policy, goals and objectives for Skills Development; as well as promotion, coordination, regulation, monitoring and evaluation, funding and research for the subsector. The SDA shall create an integrated Skills Development system that is demand-driven, competency based, modular, comprehensive, accessible and flexible. It will also manage the Skills Development Facility (SDF). The SDA shall ensure effective and efficient skills development in Uganda.

123. To ensure coherence and effective management, the SDA, through its specialized organs and occupational advisory committees (Sector Skills Councils), has the responsibility to develop national vocational qualification frameworks and proficiency levels as well as
standards for validation of training, certification and accreditation of training institutions. In addition, the SDA will lead to the:

- development of national policy, goals and objectives for Skills Development;
- promotion, coordination, regulation, monitoring and evaluation, funding and research for the subsector;
- creation of an integrated Skills Development system that is demand-driven, competency based, modular, comprehensive, accessible and flexible;
- Managing of the Skills Development Facility (SDF); and,
- Ensuring of effective and efficient skills development in Uganda.

124. The costs associated with the setting up of the SDA will be facilitated by the project to provide the necessary support and equipment in order for the SDA to become operational.

**SUB COMPONENT 1.2 ALIGNMENT AND STRENGTHENING OF THE ASSESSMENT SYSTEM**

125. **Alignment** of assessment systems refers to reforms that are intended to bring greater coherence and efficiency.

126. **Assessment** refers to the wide variety of methods or tools used to evaluate, measure, and document the academic readiness, learning progress, skill acquisition, or educational needs of trainees.

127. This sub-component will support existing institutions such as the DIT and UBTEB to coordinate with the private sector in order to align and strengthen standards for assessment and certification with the needs of the industry. It will support MoES to develop a harmonized qualification and certification system that would allow for recognition of prior learning and horizontal and vertical mobility of workers both internationally and within the region. Technical Assistance will be provided to carry out a study to inform the alignment of assessment and certification system.

**SUB COMPONENT 1.3: ESTABLISHING A MANAGEMENT INFORMATION SYSTEM (MIS) FOR BTVE**

128. The project through this subcomponent will provide Technical Assistance to develop a BTVE MIS that will be linked to the EMIS under MoES. The system will provide a process that facilitates an effective, efficient, timely and sustainable information and data collection from all different BTVE Institutions and Training Providers in Uganda. The system will be made accessible to all the stakeholders of BTVE including the Public. It will be affordable, sustainable, reproductive, scalable and flexible.
129. The BTVET Education Management Information System will:

(a) Capture information on programs, completion and instructors by institution
(b) Provide timely information on results such as examination performance
(c) Provide information on normative financing per student
(d) Provide valid information of trainees enrolled, their performance and progression within and after the training
(e) Provide information on industrial attachments, resource planning and library functions
(f) Provide online applications
(g) Provide linkages with the Labour Management Information System
(h) Allow for gradual upgrading and expansion
(i) Define the reporting and data transfer structures between the levels of the BTVET system; and
(j) Define the WAN requirements taking into account the e-government strategies in collaboration with other ministries

130. Technical Assistance of a firm or individual (herewith referred to as CF2), with proven international experience will be sought under ToRs satisfactory to the WB and should follow the procedures set for in the FA, the POM and the criteria included in the approved procurement plan (QCBS). The firm/individual will develop a MIS for BTVET sub-sector and it will be linked to the EMIS under MoES.

**SUB-COMPONENT 1.4: COMMUNICATION AND MARKETING FOR THE BTVET SUB-SECTOR**

131. Through the Project, MoES will support Communication and Marketing of BTVET. A consultancy firm with relevant experience (herewith referred to as CF3), will be procured, under the TORs satisfactory to WB following the procedures set for in the FA, the POM and the criteria included in the approved procurement plan (QCBS) to provide technical assistance to rebrand the BTVET sub-sector. This will be achieved through enhanced media communication and direct engagement with key stakeholders.

**COMPONENT 2: IMPROVING QUALITY AND RELEVANCE OF SKILLS DEVELOPMENT**

132. This component will support MoES to establish the CoEs offering Competency-Based Training of high quality for artisans (low-level), craftsmen (medium-level) and technicians (higher-level) to equip them with skills demanded by selected trades/occupations in the manufacturing, construction, and agriculture sectors of the Ugandan economy. This component will be operationalized through three sub-components:-
(i) Establishment of Centers of Excellence;
(ii) support to public VTIs and
(iii) Twinning arrangements for establishment of CoEs and VTIs).

133. The selected Technical and Agriculture Colleges identified the areas of skill to be established into CoEs and these include the following as reflected in Table 3.1 below:

Table 3.1 Skill Specializations by UTC

<table>
<thead>
<tr>
<th>Sn</th>
<th>Name of the College</th>
<th>District</th>
<th>Region</th>
<th>Target Sector</th>
<th>Skill of Specialization</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Uganda Technical College, Elgon</td>
<td>Mbale</td>
<td>Eastern</td>
<td>Construction</td>
<td>Building/Civil Construction</td>
</tr>
<tr>
<td>2.</td>
<td>Uganda Technical College, Lira</td>
<td>Lira</td>
<td>Northern</td>
<td>Construction</td>
<td>Road Construction</td>
</tr>
<tr>
<td>3.</td>
<td>Uganda Technical College, Bushenyi</td>
<td>Bushenyi</td>
<td>South-Western</td>
<td>Manufacturing</td>
<td>Agro-processing (Steel manufacturing)</td>
</tr>
<tr>
<td>4.</td>
<td>Bukalasa Agricultural College</td>
<td>Luwero</td>
<td>Central</td>
<td>Agriculture</td>
<td>Crop and Animal Agriculture</td>
</tr>
</tbody>
</table>

SUB COMPONENT 2.1: ESTABLISHMENT OF CENTERS OF EXCELLENCE

134. The Principals of the CoEs along with their respective supporting team drafted their Institutional Development Plans (IDPs). In association with the Twinning Institution (when in place), they will revise and complete the IDPs. The final IDPs will serve as an institutional framework for better interaction with the international twinning arrangement procured under sub-component 2.3. The UTC and CF4 will:-

(i) Ensure that the required modifications to the governance structure and functional arrangements of the UTC’s Governing Councils are effected so that:

- at least 50 percent of their members as well as the chair are represented by employers once the change in the law has been confirmed;
- a significant number of functions are delegated to the UTC and,
- the UTC can enter into partnership with other institutions like VTIs. The PCU1 will support and manage infrastructure development within resources allocated to the CoE;

(ii) Put in place a gender equity strategy, including: mobilization of parents and potential candidates to enter the target programs, making the institution gender friendly with access to clean water and gender sensitive sanitation; and, ensuring security and dormitory facilities for women and special counseling and placement support to
increase girls’ enrollment from the current level to at least 30 percent of total enrollment in the UTC;

(iii) Design and adapt demand driven CBT curriculum (including soft/transversal and skill specific modules) in line with the standards defined by the SSCs, and assessment system to be administered and attuned to international standards for the training provided in the targeted trades for craftsmen, artisan and technician in the UTC;

(iv) Provide the required training for faculty and staff of the UTC and develop the training and learning materials under a Return to Industry Scheme (RIS);

(v) Upgrade and refurbish the existing physical infrastructure of the UTC based on the draft technical specifications prepared by an Engineering Design and Supervision Firm in consultation with CWE and the PRS of the PCU1;

(vi) Design, implement and maintain a monitoring mechanism in order to effectively track trainees once they have completed training. By tracking these students, a CoE would be in the position to send a signal to the market that its students are indeed being employed in their fields of training and that the return on the training investment is worthwhile; and

(vii) Implement Continued Professional Development programs for the management and staff of the CoEs and affiliated VTIs in the cluster.

SUB COMPONENT 2.2 SUPPORT TO PUBLIC VTIs

135. This financing aims at strengthening the capacity of the selected VTIs to respond to the needs and opportunities of the labour market, including delivery of short-term training courses, and improve the quality of the training being offered.

136. The implementation of the competitive support to VTIs under sub-component 2.2 will be phased in to allow the PCU1 to closely monitor the implementation process and make required adjustments to the grants scheme, if required. In addition, due to the synergy between sub-components 2.1 and 2.2, the activities of sub-component 2.2 will be sequenced to reflect the progress of the support to CoE. Accordingly, there will be only two calls for proposals during the entire implementation cycle of the USDP.

137. The first batch of 6 to 8 winning VTIs’ proposals will be expected to be implemented starting in the fourth quarter of 2016/17. These VTIs will:- (i) Identify the trade areas within the USDP for which competency-based training will be provided; and, (ii) Request the procurement, through the PCU1, of the required civil works as well as of the training and learning materials equipment (following the procedures set for in the POM).
138. Full-scale implementation, (including adaptation of curricula and learning material, training of trainers, completion of civil works and of the purchase and installation of equipment, will only start during the second year on or about the fourth quarter of 2017/18). It is expected that the first batch of VTIs will be able to offer the new, competency-based courses from 2018 onwards (the last 3 years of the USDP implementation cycle).

139. The second batch (4-6) of VTIs included in the second call for proposals will be selected during the second half of year 2 of the project (during the third quarter of 2017/18).

140. A committee has been established and approved by the Permanent Secretary of MoES and started its duties on 1st March, 2016. The objective of the Committee is to select the 12 VIsto benefit from the sub component in a transparent manner.

(a) Selection of VTIs

141. As soon as the USDP Credit becomes effective (which is expected to be in October 2016), the DPC of the PCU1 will send written invitations to all public VTIs in the country currently offering training artisans and craftsmen in occupations included in the three USDP economic sectors (to present proposals to compete for financing under this sub-component).

142. The selected VTIs (through the competitive Selection process explained below) will be assisted to introduce new short and long CBT courses within one sector (occupational area), e.g. construction, manufacturing or agriculture. The support will include:

(i) adaptation of curricula provided by MoES,
(ii) training of trainers and assessors,
(iii) basic civil works, selected trade-relevant equipment, machinery and tools, training-learning resources both for students and teachers,
(iv) training consumables; and,
(v) Development of students counseling, placement, and tracing routines.

143. Each VTI supported under this competitive scheme will function according to an agreed and signed MoU including annual tailored-made, time-bound action plan and schedule setting the operational rules and financial and implementation arrangement for services to be provided. The VTIs will need to be open to monitoring, evaluation, and reporting requirements of the project as described in the POM.

144. The selected VTIs will be partnered with one of the CoEs supported under sub-component 2.1, according to the trade of specialization. The partner CoE, with the support
of the corresponding international twinning arrangement referred here as CF5 - will assist with adaptation of curricula, training of trainers/instructors and assessors as well as guide on the equipment to be purchased as per an implementation plan and time-schedule agreed between the VI and the CoE/CF5 satisfactory to the PCU1.

145. The supported VTIs will facilitate information sharing and coordination of implementation in order to optimize the efficiency of the support. The PCU1 will facilitate creation of networks and the functioning of these. MoES will be the executing agency for the sub-component.

146. **Selection of beneficiary VTI.** The VTI selection committee with support of the DPC of the PCU1, PRS, TVETS and CS within the PCU1, will draft the: (i) proposal preparation guidelines and template; (ii) reviewing, scoring and selection criteria and process; and (iii) on-site monitoring instrument.

147. **Preparation of proposals.** The interested VTIs will be provided with a copy of the preparation guidelines prepared by the VTI selection Committee including a preparation template.

148. The interested VTIs will prepare a short proposal as per the template included as Annex (12) to the POM. The key elements to be included in the proposal serving as the basis for the eligibility criteria and scoring process are:

(a) Longevity of the VTI with at least 3 years of operation
(b) Training courses offered, even if they are not competency-based, include trades in any one of the 3 USDP economic sectors (manufacturing, construction and agriculture
(c) A proxy of installed idle capacity, either in the form of active training courses with few or not students and/or under-utilized teaching staff and/or training physical space
(d) The enrollment of the last 3 school-years by training course and by gender
(e) Evidence of the lineage of the VTI with the private sector within the trades for which the training is being provided
(f) Evidence of linkages with UTCs
(g) Evidence of following up on their graduates
(h) Identification of key strengths and weaknesses

149. Proposals will be assessed against the following selection criteria:

(a) Applicant’s manangement capacity (including organizational set-up, competence and qualification levels of management personnel)
(b) Employment-relevance of training and linkages with employers
(c) Potential impact of the proposal, result orientations, gender considerations, technical capacity, financial sustainability, facilities and equipment
150. The actual implementation plan and schedule that will show how the VTI will provide the quality CBT for the trades included in the MoU during the last three years of the USDP implementation cycle, will only be developed when the VTI are being clustered/paired to one of the four USDP UTCs migrating to become CoE, and the corresponding international twining arrangement – CF5 – is in place. The preparation of proposals by eligible interested VTIs would take not more than 4 weeks and the Proposals should be submitted to the PCU1

**ASSESSMENT GRID FOR VTI**

**Criteria 1:** Applicants Management (Including organization set up) (MAX. 50)

<table>
<thead>
<tr>
<th>SN</th>
<th>Vocational Institute (Applicant):</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The skills area in which the VI seeks support:</td>
</tr>
<tr>
<td></td>
<td>FINAL SCORE (MAX. 100)</td>
</tr>
<tr>
<td>1</td>
<td>Applicants Management (Including, location organization set up) (MAX. 50)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Maximum Score</th>
<th>Marks scored</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Vocational Institute’s location</td>
<td>a) VTI is within the same region with the UTC but not in the same district - 5 Points</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td></td>
<td>b) VTI has a distance of less than 100km from the CoE but not in the same district with CoE - 5 Points</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>c) VTI has a distance between 100km and 500km from the CoE - 3 Points</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>d) VTI with a distance above 501km from the CoE - 2 Point</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2 Ownership of the Institution</td>
<td>a) Government aided institute - 5points</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td></td>
<td>b) Private Institute - 0 points</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.3 Longevity of the VI institution (existence as a training institution)</td>
<td>a) Evidence of 5 years and above in operation - 5 points</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td></td>
<td>b) Evidence of 4 to 5 years in operation – 3 points and</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| 1.4 | Land area of the institution | a) evidence of 10 acres and above of land - 5 points  
     b) evidence of 6 to 9 acres of land – 3 Points  
     c) 1 to 5 acres- 0 point | 5 |
| 1.5 | Governance and accountability of the Management | a) Clear organization chart, with flow of commands in place- 2 Points  
     b) Board of Governors established and list availed – 1 Points  
     c) Evidence of Board of Governors meeting quarterly for the last academic year (2015)- 1 Points  
     d) Dully signed minutes of the previous meeting held in the last Academic year 2015 -1 Points | 5 |
| 1.6 | Existence of Management staff | a) a substantive Principal/Head of the institutions in place - 2 Points  
     b) Financial manager/ Bursar in place 1 Points  
     c) Existence of substantive Deputy Principal- 1 points  
     Existence of relations officer- 1 points | 5 |
| 1.7 | Average total Enrolment for Academic Year (2013,2014 and 2015) | a) Average Enrolment above 300 students - 5 points;  
     b) Average Enrolment above 100 and less or equal to 300 students - 3 points; and  
     c) Enrollment equal to100 students - 1 point | 5 |
| 1.8 | Gender equity | a) At least 20 percent of enrolment are female over a three year period- 5 points;  
     b) Female enrollment represents less than 20 percent of total | 5 |
enrollment but more than 10 percent over a three year period – 3 points; and

<table>
<thead>
<tr>
<th>1.9</th>
<th>Idle Capacity at the Institute</th>
</tr>
</thead>
<tbody>
<tr>
<td>a)</td>
<td>Less than 5% of vacancies for courses at artisan level are idle (vacant)- 5points</td>
</tr>
<tr>
<td>b)</td>
<td>5% of vacancies for courses at artisan level are idle (vacant)- 2Points</td>
</tr>
<tr>
<td>c)</td>
<td>More than 5% of vacancies for courses at artisan level are idle (Vacant) -0point</td>
</tr>
<tr>
<td>Total</td>
<td>50</td>
</tr>
</tbody>
</table>

5 points

5 points
## Criteria 2: Employment Relevance of Training and linkages with Employers (max 25)

<table>
<thead>
<tr>
<th>SN</th>
<th>Vocational Institute (Applicant):</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The skills area in which the VI seeks support:</td>
</tr>
</tbody>
</table>

### 2 Criteria 2 Employment Relevance of Training and linkages with Employers (max 25)

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Maximum Score</th>
<th>Marks scored</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 Linkages with employers, implementation of training in cooperation with industry/enterprises</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Existence of Dual training Program 2points</td>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b) Existence of lecturers from the industry/companies teaching at the institute - 2 Points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c) Existence of appropriate surrounding environment in line with the selected specialized area -1 point</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2 Composition of the Board of Governors</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) More than 20% of the Board of Governors are from the employers associations - 5 Points</td>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b) More than 10% but less than 20% of the Governing Councils are from employers associations - 3 Points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c) 10% of the Board of Governors are from employers association - 2 Point</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.3 Levels of training courses</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) above 70% of the training courses are at artisan level. 5 Points</td>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b) 49% to 69% of the courses are at artisan level. 3 Points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c) less or equal to 49% of the courses are at artisan level. 2Points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.4 Availability and Implementation of follow up measures on graduates</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Evidence of existence of industrial training function at the VTI to guide the students in finding internship and employment - 4 Points</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b) Existence of a system to trace the graduates - 3 Points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c) Existence of the feedback and a follow up reports from employers on the graduates - 3 Points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>25</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Criteria 3: Adequate Personnel, infrastructure and equipments (MAX 25)

<table>
<thead>
<tr>
<th>SN</th>
<th>Vocational Institute (Applicant):</th>
<th>The skills area in which the VI seeks support:</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Criteria 3 Adequate Personnel, infrastructure and equipments</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Indicators</th>
<th>Maximum Score</th>
<th>Marks scored</th>
<th>Remark</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.2 Staffing at the training institute</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) More than 50% of the staff in post are paid by the institution – 5 points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b) More than 30% and less than 50% of the staff in post are paid by the Institution- 3 points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c) More than 10% but less than 5% of the staff in post are paid by the institution - 2 points</td>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3 Qualification/competencies of the training staff</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) More than 50% of the institution teaching staff have at least a Diploma in Pedagogy – 5points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b) More than 30% but less than 50% of institution teaching staff have at least a Diploma in Pedagogy level- 3points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c) More than 10% but less than 30% of the institution teaching staff have at least Diploma in Pedagogy level- 2 points</td>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.4 Existing competencies of training staff</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) More than 10%of the staff have industrial experience in the selected sector 3 Points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b) Existence of capacity building program for the staff- 2points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c) Existence of Staff Motivation framework-1 Points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.5 Existence of sufficient Utilities at the institute</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Availability of electricity and connections to power grid at the institution- 3 Points</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b) Availability of a water source at the institution- 2Points</td>
<td>5</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
151. In case in a particular competitive cycle two or more proposals have equal scores and there is no increase in the number of winning proposals for this cycle, those proposals will need to be re-assessed by the RSC until the equal scoring issue is solved by breaking the tie.

152. For every reviewing and selection process of a given competitive cycle, members of the RSC will be subjected to a one-day simulation of a reviewing and selection process using the criteria and scoring listed in the assessment grid above to ensure that every RSC member is fully familiarize with the procedures and tie braking measures. The one-day simulation will facilitate by the DPC with the support of CF4 and the TVETS of the PCU1.

153. Once the RSC has completed the reviewing and selection process, the Secretary of the RSC will prepare the Minutes of the RSC meeting, including a detailed description of the process, the findings and the recommendations, for the signing of all the members of the RSC. The chair of the RSC will deliver the Minutes to the PC of the PCU1 through the DPC.

154. **Signing MoUs:** The PC with the support of the DPC of the PCU1 will discuss and review the findings and recommendations of the RSC as described in the Signed Minutes. If in agreement, with the recommendation of the RSC, then she will submit it to the PS1 of the MoE through the Commissioner Education Planning for approval to finance the winning proposals against the USDP proceeds allocated in sub-component 2.2.

155. With the approval of the PS1, the DPC, on behalf of the PC, will notify the winning VIs through an “Award Letter” inviting the principal of the VIs and the chair of the VI’s Governing Council (somebody else from the VI like the administrator of the VI) to attend the MoU signing at a specified date, venue and time.

156. In case the PC does not agree with the recommendations of the RSC, further clarification would be requested from the RSC. This will *not necessitate a reopening of the review process* as this is the result of the utilization of criteria and scoring (that have been made transparent and publicly available) by five independent readers conforming the RSC.
157. At the request of the PC of the PCU1, the DPC will send to each winning VTIs a “Letter of Award” at most 10 working days after the completion of the reviewing and selection process. Contingent on the acceptance of the award by the winning VTIs, a MoU will be entered into between the legal representative of the VTIs and the PS1 of the MoES or designee within 10 working days after receipt of the acceptance. A standard MoU cleared by the legal department of the MoES, satisfactory to the WB, would be used.

158. The non-winning VTIs would receive from the DPC of the PCU1 a notification on how to improve their proposal in case the VTIs would like to resubmit a revised proposal for a subsequent competitive cycle.

159. **Provision of basic financial management and environmental procedures to the selected VTIs:** Notwithstanding that, the procurement of training and learning goods and civil works will be undertaken by the PCU1 in a centralized fashion, winning VTIs will be provided with an operating budget of about US$155,000 per VTIs to finance the maintenance, and acquisition of training workshop supplies & consumables. Accordingly, immediately after the signing of the MoU, all the selected VTIs will be subjected to a mandatory one-day induction training in:

(i) basic financial management and reporting (according to the FA and the financial management procedures set for in the POM);

(ii) procurement; and

(iii) Compliance with environmental safeguards in case the VI will incur in eligible minor civil works.

160. For this purpose, the FMS, the PRS, the CWE, the MES and the SS of the PCU1 will design and offer a one-day tailored-made user-friendly training including the financial reporting templates each selected VTIs is required to submit to the PCU1 on a quarterly basis as well as other appropriate supporting materials. The FMS, the PRS and SS of the WB Office in Kampala will support and review the initial training modules and financial templates as well as the environmental safeguard material.

161. The PCU1 will organize and deliver this one-day mandatory training. Accordingly, the PRS of the PCU1 will select and hire the required non-consulting services for the organization and carrying out of this workshop following the procedures set for in the FA, the POM and the criteria included in the initial approved procurement plan.
162. Full attendance to the one-day induction workshop will be a requirement of eligibility to receive the first payment. Selected VTIs that do not fully attend this mandatory one-day training will be removed from the corresponding USDP financing under this sub-component. VTIs that have been removed could compete in the subsequent and final competitive cycle.

163. **Processing initial payment to selected VTIs:** After the completion of the basic induction-training workshop, the DPC will submit to the PC of the PCU1 the written request of first payment to the VTI along the signed MoU and evidence that the representatives of the VTI attended the one-day training.

164. The PC will review the written request for the initial payment along the corresponding supportive documentation (the signed MoU) within 5 working days.

165. If the supportive documentation complies with the requirements of the FA and the POM, the PC will approve in writing the corresponding payment and request the DPC to process this payment through the FMS of the PCU1. The FMS will then transfer the corresponding amount from the USDP’s PCU1 Designated Account (DA1) to the commercial bank account of the VTI following the procedures set for in the Financial Management Chapter 8 of the POM. The PC of the PCU1 should carry out this payment process within 10 working days from the receipt of such written request.

166. In case these supportive documentation does not comply with the requirements of the FA and the POM, the PC of the PCU1 will request further clarification from the DPC, or if required, from the selected VTI.

167. **Implementation of proposals:** Selected VTIs will open a designated proposal-related bank account in a commercial bank in Uganda acceptable to the PCU1 so that the proceeds of the USDP could not merge with other funds allocated to the VTI. The MoU will specify who are the authorized VTI signatories of this designated bank account.

168. The VTI will be paired to one of the four UTCs migrating to become CoE and with the corresponding international twinning arrangement technical assistance (CF5). Once the pairing is completed, the VI with the support of the corresponding CF5 (if required) will develop the implementation plan and time-schedule of their proposal under the MoU and submit this plan to the PCU1 for approval through the TVETS of the PCU1.

169. Once the first payment is deposited to the commercial bank account of the VTI, the selected VTI is ready to start the implementation of its proposal contingent on: (i) having completed their pairing to one of the four USDP UTC as indicated in their MoU; (ii) the corresponding international twinning arrangement – CF5- being in place; and (iii) the VTI,
with the support of the CF5 (if required), having developed an implementation plan and time-schedule satisfactory to the PCU1 through the DPC and the TVETS.

170. The monitoring team within the PCU1 composed by the MES, the FMS, the CWE, QS and the TVETS, will carry out quarterly on-site monitoring of the implementation of proposals by selected VTIs to verify the physical and financial implementation progress of the proposal. This verification aims at assessing the consistency and reliability of the supportive physical and financial implementation progress documentation sent by the VTIs along their request for subsequent semester payment.

171. This on-site monitoring by the monitoring team of the PCU1 will mainly focus on: (i) the progress made against the intermediate (quarterly) and final outcomes as included in the proposal/MoU; (ii) the progress made on the implementation of key activities as per the time-implementation schedule included in the proposal; (iii) the financial implementation progress as per the amount spent and documented by the VTI as compared to the amount disbursed to them by the USDP; and (iv) the compliance with the covenants included in the MoU.

172. If the findings of this on-site monitoring confirm that the supporting documentation is consistent and reliable with the findings on the ground and the information included in the proposal, then the monitoring team within the PCU1 will recommend in writing to the DPC of the PCU1 to proceed with the corresponding payment. Otherwise, if the findings of this on-site monitoring detects significant gaps between the supportive documentation sent by the VTI with the reality on the ground, the monitoring team will recommend the DPC to request in writing to the VTI further clarification and/or an action plan to address the detected issues before a new payment could be made.

173. **Processing of subsequent payments:** Subsequent semester payments will be processed by the PCU1 through the DPC/FMS following the same procedures as the first payment. VTIs will request their payment one month before the end of the ongoing semester or when the VTI has spent about 70 to 80 percent of the previous allocation tranche, whatever happens first. The on-site monitoring carried out by the monitoring team of the PCU1 will, based on their assessment on the physical and financial implementation progress of the proposal, recommend what percentage of the subsequent payment needs to be allocated to the VTI (either full payment for the subsequent semester or partial payment) or if the payment should not proceed until the VTI satisfactorily addresses the detected inconsistencies and implementation gaps. Additionally, routine internal audit by section of MoES will be undertaken to provide assurance services on the expenditure return from the VTIs.
174. **Cancelation of a MoU.** The DPC of the PCU1 will recommend the PS1 of the MoESt through the PC to cancel the financial support to a participating VTI if the VTI:

a. Fails to attend the one-day mandatory basic induction training workshop to be provided immediately after the signing of the contract;
b. Fails to comply with the provision set forth in the MoU;
c. Fails to comply with the provisions set forth in the POM, like for example, providing content-based training instead of the required competency-based training for the given occupation(s) included in the VTI’s MoU;
d. Utilizes the USDP proceeds for non-eligible expenditures;
e. Lacks supportive documentation of expenses against the USDP proceeds;
f. The VTI ceases to operate as a public institution.
g. Engagement in fraud and corruption

175. In case of cancelation, the DPC will notify the recipient VTI of such action and demand the return of unspent non-committed funds and non-eligible expenditures within 15 working days upon receipt of the cancelation notification.

176. **Completion Act.** The DPC of the PCU1 will provide the participating VTI a written notification (Completion Act) upon satisfactory completion of the physical and financial implementation of their proposal. In case there exists unspent non-committed funds in possession of the VTI, the Completion Act will include a statement alluding to the obligation of the VI to return these funds to the PCU1 via the DPC within 15 working days upon receipt of the Completion Act.

177. **Expected outputs at the VTIs will include:**

(i) At least 10% increment in girl’s enrollment of each college;
(ii) Curriculum and assessment systems adapted to international standards;
(iii) Internationally accredited skilled and motivated trained Instructors;
(iv) Developed internationally accredited training and learning materials for both instructors and trainees;
(v) Constructed, equipped and upgraded gender and equity responsive physical infrastructures including sports facilities to international standards;
178. Qualified institutions will be selected through an international competitive process to act as twinning partners responsible for providing all necessary support to help selected Colleges grow into “Centers of Excellence” (CoEs). The partner institutions will also be responsible for providing support to the network institutions in order to improve quality of training. The partner institutions will prepare a time-bound detailed plan of action with clear deliverables. Once approved by the MoES and IDA, the MoES will ensure that the partners do not face procedural bottlenecks in implementing the approved work plan.

179. Broadly, the partner institutions will be responsible for, but not limited to:
(a) training and support for management reform;
(b) designing, with industry inputs, competency-based training curricula for craftsman, artisan and technician courses in the selected sectors;
(c) supporting the CoEs and network VIs adopting the new curricula;
(d) training the faculty and staff of the CoEs and network institutes on the new curricula;
(e) helping the CoEs and network VIs design training workshops with equipment, machinery and tools with appropriate specifications in accordance with the curricula and the norms of national and international accreditation;
(f) advising the CoEs and VIs on training-learning materials for students and teachers; and,
(g) Assisting CoEs with employer engagement, student counseling, placement and tracing, student internship with industries. The partnership is expected to last for about 4 years for each CoE and twinning institution.

180. Twinning Institution's activity is expected to last until there is evidence that their corresponding UTC displays some of the initial characteristics of a CoE (as further explained in the POM) or the completion of the USDP, whatever happens first.

181. The expected deliverables under this sub-component include:
(i) Final Institutional Development Plans for the five UTCs;
(ii) Curriculum and assessment systems designed, approved to international standards and adapted by the colleges and VTIs;
(iii) Trained faculty staff of CoEs and Network Institutions (VIs) on the how to impart skills to the learners;
(iv) Internationally upgraded and accredited physical and sports infrastructures at CoEs and network institutes;
(v) Training and learning materials for both learners and instructors developed; and
(vi) Increased employer participation in the CoEs and Networks planning, students counseling, placement and tracing, learners internship with industries.

COMPONENT3: EMPLOYER-LED SHORT-TERM TRAINING AND RECOGNITION OF PRIOR LEARNING

182. This component aims at supporting training activities that lead to improved productivity and competitiveness in the formal and informal sectors hereby creating income opportunities and better quality products for the customers.

183. Enterprise-based training is an important component in the supply of skills. It is largely self-financing, self-regulating and cost-effective. The economic benefits of this type of training have proved to be substantial in terms of wage growth and value added per worker.

184. MoFPED together with the PSFU, and with the support of the SDF Team and a private sector dominated Grant Committee, will be responsible for the overall management and coordination of Component 3 – the SDF - including its fiduciary and safeguard aspects. The PSFU will be the legal entity for signing fund-related contracts under the 4 windows included in the SDF.

185. This Component will be implemented through a Grant Facility mechanism that will be co-financed by the private sector through a matching grant contribution, and support training activities that lead to improved productivity and competitiveness in the formal and informal sectors. This will require strategic partnerships between firms, service providers and industry associations. The Skills Development Matching Grant will primarily finance, on a cost-sharing basis, the improvement of the quality and relevance of existing skills systems and, if relevant, the expansion of these. In addition, the Facility will give priority to innovative new approaches to skills development and employment creation, especially in micro and small enterprises. Piloting of private sector led mechanisms for recognition of prior learning will be supported under the Facility. Skills training initiatives to be supported will be selected through a competitive process based on the merit and labor market relevance of the initiative. The applicant will need to demonstrate relevance by conducting an estimate of the demand for training and the expected impact.
186. The performance of Component 3 will be measured against four indicators:
   a) Improved participation of employers in skills training programs;
   b) Satisfaction with skills by trainees in supported firm disaggregated by economic sectors and size;
   c) Number of collaboration agreements between enterprises and training providers; and,
   d) Employers’ rating of competency of trained employees.

187. **Definitions.** As regards the different categories of enterprises eligible for support under the four windows of SDF, the following definitions, attuned to the Uganda Investment Authority, will apply:-

   a) *Micro enterprises*: Up to 4 employees (excluding the owner) and an annual turnover not exceeding UGX 12 million;
   b) *Small enterprises*: Between 5 and 50 employees. Annual turnover or total assets up to UGX 360 million;
   c) *Medium enterprises*: Between 50 and 100 employees. Annual turnover or assets between UGX 360 million and UGX 30 billion; and
   d) *Large enterprises*: More than 100 employees and an annual turnover or assets exceeding UGX 30 billion.

188. **Role and mandate of the SDF Grant Committee.** The Grant Committee, to be appointed by the PS/ST of the MoFPED, will oversee the SDF by providing the required oversight of the implementation of all the activities under Component 3 of the USDP. Accordingly, the Grant Committee will ensure that the Facility under Component 3 becomes an efficient and acknowledged instrument for strengthening the skills and competence base of the Ugandan labor force, hereby making the Uganda private sector more competitive and improving access to gainful employment. The members of the Committee are supposed to undertake their responsibility with due care and integrity.

189. The specific functions of the Grant Committee are to:

   (a) Approve plans and arrangements for dissemination of information regarding the procedures and operation of the Skills Development Facility, ensuring that all potential target audiences have access to the required information;
   (b) Approve eligibility criteria to fund proposals in each one of the 4 windows;
   (c) Approve the procedures for pre-qualification and approval of applications to the Skills Development Facility;
(d) Endorse the quality assurance procedures for skills development initiatives supported by the Skills Development Facility;
(e) Oversee the progress of the Facility’s operations;
(f) Regularly evaluate the relevance and quality of the skills training supported by the Skills Development Facility;
(g) Recommend to the MoFPED possible changes of the scope and operation of the Skills Development Facility; and
(h) Investigate and act on complaints received from learners, parents/guardians, employers and other stakeholders regarding the quality of training, assessment and the award of qualifications of training initiatives supported by the Skills Development Facility.

190. The Grant Committee will consist of:

(i) The chairperson, an industry practitioner with considerable; knowledge of private sector TVET issues;
(ii) One senior official of the MoFPED;
(iii) One senior official of the MoES;
(iv) One senior official of the Ministry of Trade, Industry and Cooperatives;
(v) One senior official of the Ministry of Agriculture, Animal Industries & Fisheries;
(vi) One person nominated by an association representing micro and small enterprises;
(vii) One person nominated by an association representing the large companies;
(viii) One person nominated by an association representing private sector training providers;
(ix) One person nominated by an association representing farmers;
(x) One member of the RTF;
(xi) The PSFU Executive Director or his/her designee (in a non-voting capacity); and
(xii) One person designated by the contributing development partners.

191. The nominated persons must have proven commitment, knowledge and experience relevant to skills and technology development. The PS/ST (MoFPED) will appoint the chairperson of the Grant Committee and approve the nominated members.

192. The Grant Committee will meet at least once every three months. The general rules and procedures of PSFU apply to tenure of office for the members of the Committee, disclosure of interests, allowances etc. The Grant Committee will report to the PS/ST (MoFPED).
193. The SDF Manager will appoint a staff to serve as the secretary to the Grant Committee.

194. The Grant Committee, the PFSU management and the MoFPED will conduct an annual joint meeting to discuss issues of common interest such as the SDF’s achievements and focus areas calling for special attention.

195. Members of the Committee will be paid allowances according to the PSFU guidelines.

(a) Management structure of the Skills Development Facility

Project Coordination Unit 2 (PCU2).

196. The SDF Team of PSFU, accountable to the PS/ST of the MoFPED through the Executive Director of the PSFU, will be the operation arm of the MoFPED/PSFU and the Grant Committee to implement and manage the day-to-day activities of Component 3 and the part of Component 4 of the USDP applicable to the SDF and ensure fiduciary compliance. The SDF will share certain resources (see below), with the PCU of the IDA-financed Competitiveness and Enterprise Development Project (CEDP) II established in early 2015. Remuneration of PSFU for the services related to management of the SDF will be based on a Performance Agreement between MFPED and PSFU.

197. The SDF Team, under the PSFU’s technical and fiduciary oversight, aims to serve as the operational base of the Skills Development Facility, the Grant Committee and other related bodies. The SDF Team will be kept lean and contract necessary expertise for effective and efficient implementation. External qualified specialists (consulting firms) will be contracted to undertake specialized assignments such as information campaigns, assistance with preparation of applications, evaluation and peer review of projects submitted for funding and on-site monitoring of proposals under implementation.

198. Accordingly, the SDF Team will consist of the following technical staff:

(i) A Head of Unit – herewith known as a Project Manager (PM) - accountable to the Executive Director of the PSFU and who shall report, through the Executive Director, to PS/ST of the MoFPED and the Grant Committee for purposes of the project;
(ii) Three grant specialists (GS1, GS2 and GS3) dealing with assessment of the relevance and quality of proposals for each one of the 4 windows from the agreed sectors as well as for the on-site monitoring of the implementation of the approved grants (GS3 will be responsible for windows 3 and 4);
(iii) A Project Accountant, dealing with disbursement, accounting and financial reporting;
(iv) An Administrative Officer responsible for compliance and grant support services;
(v) A Procurement Officer;
(vi) Accounts Assistant; and
(vii) Client Relations Officer.

199. The SDF Team will draw on the technical staff of the CEDP and the PSFU, for instance in as regards Financial Management Specialist, Procurement Specialist, and Safeguard Specialist. Expertise in the fields of communication and ICT will be made available through short-term contracts.

200. In addition, the PSFU will enter framework contracts with selected eligible consultancy companies or organizations to be identified through public tendering, under ToRs satisfactory to IDA, following the selection procedures set for in the Financial Agreement, in the Project Agreement and in the USDP Operations Manual and the criteria included in the initial approved procurement plan, to assist with:

a. Specific services related to technical reviews/evaluations of proposals received for funding, including due diligence and capacity assessment of the applicants (see draft ToRs in Annex 4 to the POM); and

b. Physical monitoring/verification (see draft ToRs in Annex 5 to the POM) and financial control (auditing) of grants during the course of their implementation and measurement of the results/impact of the grants in accordance with the USDP results framework.

201. Based on the information received by the external Activity Monitoring & Results Measurement consultant (see draft ToRs in Annex 6 to the POM), the PSFU will assess progress of the SDF vis-à-vis the results indicators stated in the Project Appraisal Document for the USDP.

202. The SDF Team will also provide guidance to the grantees during implementation. Furthermore, weak applicants under Window 2 may be offered the assistance of individual service providers recognized by the PSFU at the expense of the SDF.

203. The specific operational characteristics of the grant scheme of Component 3 from launching the request of proposals for each of the four windows to the implementation and completion of approved proposals, including the guidance for the preparation of proposals, the review and selection of proposals, the entering of contracts with winning proposals, the on-site monitoring of the implementation of proposals and the closing acts of proposals that have achieved their intended final targets, are fully described in the USDP Operation Manual.
(b) Responsibility of PSFU

204. The PSFU Executive Director will be responsible for:

   a. The overall implementation of Component 3 and part of Component 4 of the USDP as per the details described in the USDP Operations Manual and the USDP PAD;

   b. Ensuring full compliance with the USDP financial management requirements for Component 3 and part of Component 4 as fully detailed in the USDP Operations Manual;

   c. Ensuring that the Financial Management Specialist, the Procurement Specialist and the Safeguard Specialist of the CEDP/PSFU manages all the procurement of goods, consulting and non-consulting services and those under the operating expenditures as fully described in the USDP Operations Manual; and

   d. Ensuring the required monitoring, carrying out of tailored-made studies and reporting as fully detailed in the USDP Operations Manual.

205. The PSFU Executive Director will sign, on behalf of the MoFPED/PSFU, all the contracts with approved grantees under the competitive scheme of Component 3 fully detailed in the USDP Operations Manual.

206. The Grant Committee will, on the recommendation of the SDF Manager, approve the partial or full cancellation of grants contingent on the presentation of sufficient documented evidence supporting this action.

207. The PSFU Executive Director will carry out its envisaged USDP leadership and management through a SDF Team headed by the SDF Manager.

208. In matters of the USDP, the PSFU Executive Director report to the PS/ST who doubles as the Chair of the USDP Steering Committee.

(c) PSFU/SDF operational tasks

209. The SDF Team of the PSFU is the unit responsible for all administration, supervision, logistic and safeguard measures required to operate the Skills Development Facility and secure the implementation in line with the main principles laid down in this manual, the Financial Agreement, the Project Agreement, the Subsidiary Agreement and the USDP Operations Manual.

210. The Project Manager will report formally to the USDP Steering Committee through the PSFU Executive Director. The Project Manager will be responsible for the effective operation and management of all aspects of the SDF. He/she will be responsible for ensuring
that the program is run in strict accordance with the terms of this manual and the USDP Operations Manual. The staff of the SDF Team will report to the SDF Manager for the whole period of the program.

211. All SDF staff will be on individual contracts, renewable after two years. The intention is that staff members will stay in place for the full term of the project. However, staff members will be clearly on notice that they must perform, year by year, or they will be replaced. Each year, the performance of individual staff members and the SDF Team itself will be evaluated. In most years, this will be based on the activity targets agreed within the Annual Activity Plans. At the times of the mid-term review and the Implementation Completion Report, it will be possible also to evaluate the unit in terms of the achievement of the impact indicators set for the program.

4.0 GENERAL PRINCIPLES OF OPERATION

4.1 Effectiveness and Efficiency

212. The SDF will ensure that most value is achieved from the resources available. In order to maintain this principle, all applications will be assessed against the expected economic impact. Indicative unit costs for different types of training will be established during the inception phase as a means to guide prospective applicants, and an important task for the Activity Monitoring & Results Measurement consultant will be to continuously assess whether there is a reasonable balance between project costs and the effects of the individual grants. Furthermore, the administrative set-up of the SDF will be kept lean and the synergy potential with other PSFU activities utilized to the extent possible.

4.2 Transparency and Accountability

213. The Skills Development Facility’s resources will be managed in an open and transparent manner that provides for checks and balances. For instance, relevant information about the Grant Committee’s decisions that do not compromise applicant confidentiality will be made available on the Skills Development Facility website.

214. A member of the Grant Committee who has an interest in a matter for consideration by the Committee must disclose this upon the opening of the Committee’s meetings and will be disqualified from participating in the deliberations of the Committee in respect of that matter. A member who contravenes this ceases to be a member of the Committee.
4.3 Arm’s length principle

215. The arm’s length principle refers to the rule that all parties to a transaction should be on an equal footing without preferential treatment of any of the involved parties.

4.4 Access to information

216. In order to facilitate transparency, all relevant decisions by the Grant Committee will be made available at the Skills Development Facility’s website. This includes information on approved applications, including size of the grant and its intended use, and on rejected applications and the reason for the rejection.

4.5 Expediency

217. The PSFU will ensure that the approval and settlement of financial amounts is within as short a time as possible, without compromising accountability or prudence. This is particularly important not only for outputs to be delivered as per the planned schedule but also for the building of trust of both recipients and the Facility’s sponsors. The Grant Committee should inform grantees about the decision within 4 weeks of the Committee’s meeting.

4.6 Accountability

218. The PSFU will apply accurate and timely reporting to all relevant stakeholders in line with an approved reporting format and plan. The reporting will include both progress of the implementation of supported activities as well as financial statements. This includes the findings by the external Activity and Results Measurements consultant. The MoFPED and the World Bank/IDA will receive audited reports in respect of the disbursement of the funds and be entitled to information to verify compliance with the conditions for funding.

4.7 Do no harm principles and safeguard measures

219. Do no harm principles

*All supported activities must be:*
- transparent and in compliance with general principles of fairness;
- not increase divisions, conflict or tension in the community or entity;
- be politically neutral;
- be culturally acceptable; and
- Be environmentally acceptable and neutral.
220. **Environmental Safeguard Measures** (as further explained in chapter 11.0 of the POM), World Bank support to the Component 3 of the Uganda Skills Development Project has triggered the Bank’s procedures for environmental impact assessment as the Skills Development Matching Grant Facility may attract proposals for sub-projects requiring minor construction activities (such as equipment of training facilities for new innovative training). However, it is expected that those works will take place in existing facilities and that the SDF will not finance any sub-projects resulting in the involuntary acquisition of land, loss of physical and economic assets, and/or loss of livelihoods.

221. Hence, there may be some minor refurbishment of existing buildings and installation of laboratory equipment, work that will be guided by applicable local and national laws and regulations. The project may also finance training equipment, technology and consulting services. The Skills Development Facility is not expected to fund construction of new infrastructure. To ensure proper assessment and mitigation of the potential adverse environmental and social impacts of activities co-funded under the Facility, and the procedures of the National Environment Management Authority (NEMA) for environmental screening will be applied.

222. Additionally, PSFU will make an environmental/social specialist available on request to provide support to the SDF Team to conduct environmental and social screening of pertinent applications and to ensure that decisions taken adequately consider any environmental and social safeguard issues.

223. The PS/ST of MoFPED, accountable to the Minister of the MoFPED, will be the highest authority responsible for the overall leadership and management of the Uganda Skills Development Project as it pertains to the implementation and compliance of the fiduciary and safeguard requirements of Components 3.

224. **Gender Equity Policy:** It is a priority of USDP to enhance gender equity. There is evidence from Uganda to show that mentoring support to females engaged in non-traditional trades help them stay in the institution, complete the course and transit to work. In line with this experience, the Skills Development Facility will encourage applications, especially under Window 3, introducing young women and adolescent girls to training in non-traditional growth-oriented trades.

225. All applications will be gender screened and the SDF will make a special effort to reach enterprises with a large share of female workers. It will furthermore be considered to give priority to applicants with a high share of female employees. Under Window 3, priority will be given to development of training courses that are relevant for women.
226. **Decent work considerations:** All support projects must comply with the ILO Decent Work agenda and the Global Compact principles. The Decent Work agenda involves opportunities for work that is productive and delivers a fair income, security in the workplace and social protection for families, better prospects for personal development and social integration, freedom for people to express their concerns, organize and participate in the decisions that affect their lives and equality of opportunity and treatment for all women and men. The UN Global Compact principles relevant for the SDF are especially the principles related to ‘the freedom of association and the effective recognition of the right to collective bargaining’, ‘the elimination of all forms of forced and compulsory labor’, ‘the effective abolition of child labor’, ‘the elimination of discrimination and sexual exploitation in employment and occupation’, ‘the development and diffusion of environmentally friendly technologies’ and the importance of working ‘against corruption in all its forms, including extortion and bribery.

227. In connection with the due diligence, applicants violating these principles will be excluded from support. This includes applicants that have a record of accomplishment of having violated the principles, for instance denying workers the right to collective bargaining.

228. **Communication Strategy:** The main communication goal of the SDF is to create awareness and knowledge of the role and functions of the Facility and its services.

229. In order for the SDF to be used effectively and contribute to demand driven training activities, it is important that relevant information is distributed to the stakeholders and that effective and regular communication among the stakeholders are facilitated. Thus, there is a need for information and communication initiatives on a large scale from the overall information on the role and functions of the SDF to information and communication on opportunities provided by the Facility, criteria for support, application procedures, guidance on how to apply, etc. In addition, there is a need for establishment of communication platforms between representatives of the formal and informal industries and public and private training providers. At a later stage, there is also a need to share lessons learned, for instance in the form of success stories, among the target groups of the SDF.

230. The SDF communication interventions will only be effective if they are target oriented, i.e. all public information must be clearly targeted to the different audiences that the Facility will be serving, clearly differentiating the different funding windows, and eligibility criteria. It is important to find out, and not to assume, what target groups themselves feel about needs for training, in terms of resistance and interest to change for the better in terms of increased productivity. Further, the media habits and communication patterns of the target groups must be known.
231. Prior to every call for proposals, the SDF will launch a sensitization campaign in order to make all potential beneficiaries aware of the funding opportunities provided by the Facility. The campaign is supposed to combine various different outreach strategies including adverts in the printed media, radio and TV spots, road shows and dissemination of information through associations and other relevant channels.

232. An effective communication strategy would observe the following quality checks for each event or activity and the overall program:

(a) **Proper timing:** Preferably, implementation should take place on a continuous basis. Regularity is more effective than just a few high profile events with too much silence in between. As a principle, all tangible achievements should be communicated internally and, sometimes, at the public level.

(b) Completion of major milestones (such as the launch of the SDF) should mark the beginning of high profile events and publicity. Other suitable milestones could be the signing of the first contract for training. However, it is strongly advised to postpone high profile campaigns until the SDF organization can deliver its services.

(c) **Means of communication:** A combination of face-to-face communication and relevant media produces the best results in general. Each mode of communication has different benefits, and the choice will depend on the communication and media habits of the target groups.

(d) Face-to-face communication is very effective but also the most expensive mode of communication in terms of price per contact. Face-to-face has a high participatory potential and is normally used to create a deeper understanding of an issue.

(e) Mass media such as posters, newsletters, radio/television/newspapers, billboards, etc. can reach a much larger amount of audiences, but are less participatory and are normally used for creating awareness on specific issues or providing information. Other media, e.g. theatre, road shows, mobile phones, the internet are both interactive and cheap and should be considered as part of a media mix.

(f) **Communication formats:** For SDF campaigns and learning materials, it must be ensured that the text is easily understandable by the intended target group. This may require involvement of professional text writers. Occasionally, it may even be relevant to arrange for pre-tests with representative sample persons of intended readers/users.
(g) **Realistic content:** The contents of disseminated messages and presentations should avoid promises and long-term solutions. Key target groups are only responsive to information, which is technically valid, which relates to recognizable problems and offers interesting solutions.

(h) **Style:** Per event, serious thought should be given to the style and tone of communications. There are many options to choose from and the choice should be made consciously for each event. In speeches, narrations, textbooks and courseware it is possible to select a coercive approach, warning style, intimidating, convincing, informative, selling, negotiating, facilitating etc.

(i) The selected style should match with the best assumption one can make on why enterprises should start to change and sustain expected staff development practices. This assumption will be somewhere on the scale from submission of applications to finalization of the contract, which is best served with a more informative and facilitating style in communications. Communication styling should be consistent with the results of those training sessions devoted to the pros and cons of specific management styles.

### 5.0 OPERATIONAL DETAILS OF SDF WINDOWS

#### 5.1 Skills Development Facility – An overview

233. The Skills Development Facility is a facility for support to employer-led short-term training and recognition of prior learning as well as increased access to internships for TVET students. The economic benefit of this type of training has proved to be substantial in terms of wage growth and labor productivity. The training, which will be co-financed by the private sector through a matching grant contribution, will stimulate partnerships between firms, industry associations and training institutions. It will also increase the mobility of the labor force by strengthening of the mechanisms for recognition of skills acquired through non-formal and informal skills training.

234. The Facility will co-finance the improvement of existing skills training systems and, if relevant, the expansion of these. In addition, the Facility will provide funding, on a cost-sharing basis, to innovative new approaches to skills development and employment creation, with special attention to micro and small enterprises. Skills training initiatives to be supported will be selected through a competitive process based on the merit and labor market relevance of the initiative. The applicant will need to demonstrate relevance by conducting an estimate of the demand for training and the expected impact.
235. The focus will be on short-term, practical and technical training of employees (including business skills for the informal sector) ranging from few days to not more than six months. The actual executing of the training must not exceed one year. The Skills Development Facility will mainly finance costs associated with development and delivery of the supported training activities. Acquisition of equipment will only be financed in rare cases where this is vital for the implementation of the approved activities. The Facility will initially focus on three sectors; Agriculture, Construction and Manufacturing, but other sectors may also be eligible for support. The Grants committee may consider other sectors for inclusion for funding after the first call for proposals have been received and potential grantees awarded.

236. The SDF will have the following four windows:

a) **Window 1**: Skills shortages in the formal sector with focus on medium and large firms\(^4\), including increased access to internships;

b) **Window 2**: Skills shortages experienced by self-employed, workers and apprentices in the informal (jua khali) sector, master craftsmen, micro and small enterprises and members of cooperatives;

c) **Window 3**: Support to development of new innovative skills training programs; and

d) **Window 4**: Support to systems for certification of skills and competencies acquired through informal and non-formal training.

237. Tentatively the following matching grant budget will be available for each of the four windows:

<table>
<thead>
<tr>
<th>Window 1 – Formal sector</th>
<th>US$ 9 million</th>
</tr>
</thead>
<tbody>
<tr>
<td>Window 2 – MSEs, jua khali</td>
<td>US$ 5 million</td>
</tr>
<tr>
<td>Window 3 – Innovative training</td>
<td>US$ 2 million</td>
</tr>
<tr>
<td>Window 4 – Recognition of Prior Learning</td>
<td>US$ 2 million</td>
</tr>
</tbody>
</table>

238. The Facility does not support the following types of activities:

a) Seminars and conferences designed to stimulate discussions and/or keep participants abreast of the latest trends in skills upgrading;

b) Introduction/orientation programs;

c) Absentee payment of staff attending training programs;

d) Training for spiritual, cultural and social enhancement, e.g. religious studies and appreciation of music;

\(^4\)See Section 1.3 for a definition of the different categories of enterprises.
5.2 Window 1: Formal sector (Medium and Large Enterprises)

(a) Target Group

239. Funding will be provided to co-operation activities between, on the one side, medium and large firms from the formal sector and, on the other training providers. Training can be provided to a single employer with a sufficient number of trainees or to a number of employers with identical training needs. The enterprise is expected to be in the lead position to define the content and duration of the training. The trainees will be employees of the enterprise, somebody the applicant intends to employ, or a group of sub-contractors supplying goods or services to the company/companies, e.g. farmers.

247. The applicant(s) must demonstrate how the proposed skills training will benefit the company and how it will lead to increased productivity and competitiveness for the firm. The firm may also indicate whether it intends to continue the training activities on its own upon completion of the SDF co-funded training.

248. Precedence will be given to firms in the three priority sectors, agriculture, manufacturing and construction, but firms in other sectors may also be eligible for support.

(b) Capacity of the Training Provider

249. The skills training may relate to low or higher level skills, and be provided by public or private training institutions. The applying firm will identify the training provider(s) to provide the training. If required, the SDF will assist the applicant to identify an adequate training provider. The training providers will be those that have a demonstrable capacity (knowledge, skill, practical experience, training facilities, and necessary state-of-the-art equipment/tools) to provide the training requested by the company. The training provider must be a legally registered organization, and accredited by MoES or another recognized body. The contract will be a tripartite agreement between the beneficiary (company or group of companies), the training provider and SDF/PSFU. The training provider will be paid by the SDF/PSFU once the beneficiary has confirmed that the training has been completed to its satisfaction. The SDF may ask for documentation, e.g. attendance sheets, confirming that the training has taken place as indicated.
(c) Activities Eligible for Support

250. Priority will be given to short and medium-term, skills upgrading initiatives aiming to increase the competitiveness of applying enterprises. Preference will be given to training courses accredited by MoES, but this is not a precondition for support. The trainee must be a permanent employee of the applying company or the company must have notified the trainee that it intends to employ him or her on a permanent basis. Both skilled and semi-skilled workers are eligible for attending SDF sponsored skill upgrading courses.

251. In addition, supervisory staff are eligible for support under Window 1. The training of this staff will usually be different from that of the workers, and may be in the form of short tailor-made training programs.

252. Training activities sponsored through Window 1 will primarily focus on the practical skills of the trainee, but relevant theoretical training may be sponsored as well. It is expected that the training usually be provided a training institution, but also in-company can support training provided the instructor (trainer) has the required professional qualifications and adequate facilities are available.

253. Preference will be given to applicants indicating willingness to take on interns from training institutions support under Component 2 of the Uganda Skills Development Project (and possibly apprentices, once the national apprentice scheme has been developed). The basic costs associated with this are eligible for reimbursement under the SDF.

254. In instances where the required expertise is not available in Uganda, the cost of bringing training experts from other countries will be co-funded. In addition, in few instances where no relevant training programs are available in Uganda or can be established at a reasonable cost, the SDF will sponsor training taking place outside of the country.

(d) Voucher Scheme for the Industries with high Mobility

255. For industries such as construction and related industries, where the mobility of workers is very high due to the extensive use of casual workers, the SDF will fund a system based on vouchers. The vouchers will be issued to workers selected by a company, an association/cluster organization or trade union for purchase of short-term skill upgrading.

256. The scheme will initially be piloted in the construction/building industry in selected regions of the country. In addition, industries associated with the construction/building industry such as production of building materials and maintenance of construction equipment, will be eligible for support. If the result is successful, it will be introduced in other parts of Uganda. In collaboration with MoES, the SDF will appoint up to five training centers.
in the regions, which will be accredited to offer short-term training for workers in the construction/building industry. The training center will be identified through an open tender arranged by PSFU. The PSFU will sign MoUs with the appointed institutions specifying the conditions of their involvement in the voucher scheme. The content of the training will be defined in collaboration with construction/building industry representatives. The training is supposed to be modularized and offered as both evening and weekend courses, if there is an identified need for this.

257. For each course, fixed unit costs will be negotiated between the SDF and the participating training institutions. The SDF Team will rigorously monitor that the issued vouchers are used for the intended purpose. Attention will especially be given to the issue of the trainee’s attendance of the agreed training course. For instance, institution providing the training will only be paid in accordance with the actual attendance by the trainees.

258. The SDF will finance the costs of developing the curricula for the short courses, the training of trainers and minor equipment. Furthermore, the SDF finance 90 percent of the costs of the training. The trainee – or preferably the employer, the association or the trade union – will cover the cost of transport and feeding, representing an estimated 10 percent of the cost.

259. The voucher system may be coordinated with the Workers’ PAS project. In its present form, the Worker’s PAS system is overseen by DIT while actual implementation is outsourced to the Uganda Small Scale Industries Association (USSIA) and the Uganda Association of Private Vocational Institutes (UGAPRIVI). USSIA organizes the assessment process, while UGAPRIVI conducts the actual test on behalf of DIT. Workers’ Pas are available in 7 trades, of which several are related to the construction and building industry. Worker’s PAS can be acquired at 4 different levels of complexity, all with emphasis on the practical aspects of the trade.

260. An expert will assist SDF/PSFU with development of the voucher scheme. Voucher schemes are presently being implemented in a number of countries, including Ghana and Kenya.

(e) Support to Internships (and possibly apprenticeships)

262. Window 1 will also provide subsidies to private companies willing to take on interns to provide complementary short-term practical training. The SDF can support internship with the duration of up to 6 months.
263. An intern is here defined as a temporary position with an emphasis on-the-job training rather than merely employment, and it can be paid or unpaid.
264. The target group for this initiative is youth undergoing training at an education institution such as vocational institutes, technical colleges or polytechnics. Also, youth participating in non-formal vocational training programs do qualify. Students and degree-holders from higher education institutions are not eligible for support.
265. It is the responsibility of the company taking on the interns to ensure that these are properly supervised and have an opportunity to obtain the intended practice experience. Abuse of the interns as cheap labor will result in immediate suspension of the support.
266. The SDF will compensate up to 100 percent of documented expenses related to the cost of transportation and feeding of the intern, learning and demonstration material, and insurance of the intern. The SDF will not pay for the cost of equipment and machinery. The stipend for each intern/apprentice cannot exceed USD 200 per month (includes insurance).
267. At present, the GoU has no officially recognized apprenticeship system. However, DIT is planning to launch the process of developing such a system. Once the apprentice system is ready to be rolled out, the SDF will consider providing subsidies to apprentices under this sub-window along the lines of the support to interns.
268. Applications under this sub-window for supporting interns, and with applications below US$ 10,000, will not follow the usual call for proposals sequence, and will be subject to the SDF fast-track approval procedure.

(f) Cost-sharing Modalities

269. Applications will have a ceiling of US$ 250,000 with a maximum grant element of 80 percent through the Facility. For large enterprises (see definition above), the grant element cannot exceed 50 percent of the project costs. However, for the voucher scheme the SDF will cover up to 90% of the costs of piloting the scheme. For the internships initiative, the Facility will cover up to 100 percent of the costs.

5.3 Window 2: Informal sector (micro enterprises)

(a) Target group

270. Window 2 will assist self-employed, workers and apprentices in the informal (jua khali) sector, micro enterprises (MEs) as defined above, master crafts-people and members of cooperatives to improve their practical, technical, business and foundational skills in order to enhance their competitiveness. Due to the fragmented nature of these activities, it is expected that intermediary institutions such as trade associations of informal sector
enterprises, cluster associations, registered co-operatives and non-governmental organizations (NGOs) will be in the lead position to define the content and duration of the training on as thus to apply on behalf of the members. The applicant may also be a national umbrella organization, applying on behalf of a number of chapters of the organization.

271. Associations and business organizations seeking support from the Skills Development Facility under this window will be required to satisfy the following criteria:

a) The organization/association must have been in existence for at least 1 year;
b) The main beneficiaries of the training are self-employed ME operators or master crafts persons, or employees or apprentices of these MEs;
c) The training must be responsive to the training needs of existing growth-oriented MEs;
d) The training must support the acquisition of skills which lead to increased employment and sustainability in MEs;
e) The training of the master craftsmen must include pedagogical issues and medium-to-high-level skills upgrading for increased productivity and competitiveness;
f) The applicant must show how the training will lead to increased productivity and competitiveness; and
g) The support must strengthen the capacity of associations to cater for the interests of their members.

(b) Capacity of the Training Provider

272. The applying association/organization is expected to identify the training provider(s) to deliver the skills upgrading. If necessary, the PSFU will help to identify an adequate training provider. The training provider may be a private or public vocational training institution, but also NGOs, business support agencies and advisory centers as well as rural technology facilities with the capacity to provide relevant training are eligible to deliver the training provided the instructor (trainer) has adequate professional qualifications. The trainer must have a demonstrable capacity (knowledge, skill, practical experience, training facilities, and necessary machines/tools, the most current technology) to provide the training requested by the applicant. The training provider must have a proven track record for implementation of training programs toward the specified target group. The selected training provider will be subject to a quality check in connection with the evaluation of the grant application.

273. Upon completion of the training, the trainee will be provided with a certificate of attendance. In instances where the training is completed with an assessment, the certificate may be in the form of a Worker’s PAS (see above), or a certificate from another recognized institution.
274. While the grant agreement usually will be a tripartite agreement between the PSFU, the beneficiary entity (the association or organization requesting the training), and the training provider, the training provider will be paid directly by the PSFU upon documentation that the training has taken place as agreed.

275. In order to diminish the risk of corruption, the applying association/cooperative may be requested for the quotation of three eligible training providers for review by the PSFU and the Grant Committee.

(c) Activities eligible for support

276. Priority will be given to short and medium-term, skills upgrading initiatives that increase the competitiveness of the members of the applying organization/association. Only members of the applying organization/association and their employees and apprentices are eligible for participation in the SDF sponsored skill upgrading courses.

277. Training activities sponsored through Window 2 will primarily focus on the practical skills of the trainee, but relevant theoretical training may be sponsored as well. Furthermore, the SDF will provide support to short basic entrepreneurship, management and IT training. For master craftsmen and the staff of associations, training in teaching skills is eligible for support as well.

278. The Skills Development Facility will be able to finance equipment for public institutions where it is important for training purposes. Upon completion of the training, the equipment becomes the property of the association/cooperative or may be handed over to a relevant public technical college or vocational institutions. The SDF will not provide funding for further development of the business of the members of the association, who have attended the training, but it would seek collaboration with projects that can offer such follow-up services upon completion of the training.

(d) Cost-Sharing Modalities

279. Applications will have a ceiling of US$ 50,000 with a maximum grant element of 90 percent, which in this case can be made in-kind. The national umbrella organizations applying on behalf of a number of affiliated chapters, the amount may exceed US$ 50,000 but not more than US$ 100,000. Up to 10% of the grant can be spent on equipment.
5.4 Window 3: Support to Innovative Training

(a) Target activities

280. Window 3 deals with innovative skills training. Private and ‘autonomous’ public training institutions interested in developing new innovative models for delivery of training, new training concepts and new training programs responding to an identified need will be eligible for support under the window. Partnerships between training providers and private companies will be encouraged. Training programs or training concepts can be innovative in several ways. They may either cater for groups that have not been catered for before, the mode of training may be new in a Ugandan context, it may be based on new models in financing, e.g. through income-generation or partnerships between the training provider and a company, or the actual content of the training may be novel and be aligned to technological advancement of a product. Applicants will have to provide proof on the expected demand in the form of a demand assessment and the prospects for financing the innovative training program upon completion of the support.

(b) Eligibility criteria

281. While the applicant must make probable that a demand for the proposed training program exists, it is not a precondition for support under Window 3 that the proposal has been developed in collaboration with a potential employer of the prospective graduates.

282. The applicant must have a track record of delivery of labor market relevant quality skills training. The applicant must also have conducted an estimate of the expected demand for the training program to be introduced and of its sustainability prospects. Furthermore, the applicant must indicate planned follow-up activities intended to ease the trainees’ entry into the labor market and provide the methodology for post-training monitoring and evaluation to ascertain the effectiveness or otherwise of the training provided. The applying training institution must have been in existence for at least two years.

(c) Activities eligible for support

283. Priority will be given to short and medium-term training programs that intend to introduce new subjects or modes of training not yet available in Uganda. Priority will be given to training programs that are intended to be accredited by MoES or another relevant body, but this is not a precondition for support. Provided the content, target group or mode of delivery is innovative, pre-employment training is eligible for support by the SDF.
284. The applicant may enter into partnership with a foreign training institution in order to benefit from the experience and resources of this institution. The SDF will co-fund the cost of such a partnership, provided the eligibility criteria are met.

285. All development costs are eligible for funding except for major infrastructural facilities. This includes curriculum development, development of learning and assessment material, teachers training, and equipment, tools and instruction materials.

(e) Cost-sharing modalities

286. Applications will have a ceiling of US$350,000 with a maximum grant element of 75 percent.

5.5 Window 4: Recognition of Prior Learning

(a) Target activities

287. Window 4 will fund initiatives by private sector/industry organizations and trade unions interested in participating in the development of a system for certification of skills and competencies acquired through informal and non-formal means. It is expected that the system will be developed in collaboration with MoES or other bodies with the expertise and facilities required for testing the theoretical and practical knowledge and skills of the worker, i.e. Recognition of Prior Learning (RPL).

288. This will give workers portable certificates that signal their market values both in Uganda and abroad. At the same time, the certification will also make it easier for workers to have career pathways and give them access to the formal higher-level skills training programs.

289. The applicants who would like to provide certification to workers should be focused around the construction (mainly building industry) and manufacturing (mainly welding) sectors.

(b) Certifications of Workers

290. Applicants eligible for support under Window 4 are private sector organizations (associations), informal sector (jua khali) associations, trade unions and training institutions that see an advantage in developing a system for increased transferability of skills and increasing the availability of skilled labor through such a certification system.
291. This window is open to applicants who want to increase the pool of certified workers to acquire recognized standards in the construction and manufacturing sectors. This could include for example, assessment of workers to City and Guilds in Construction, Carpentry & Joinery, Electrical Installation, Plumbing, Electrical and Electronic Engineering and Welding Skills. These are standards set by the oil and gas sector and the purpose would be to test and certify those workers with the required competencies, and further train those that do not meet the required standards.

292. The same can be done for welding courses with standards bodies such as the American Petroleum Institute’s STD 1104 ‘Welding of Pipelines and Related Facilities’, which has been recognized by the oil and gas industry in Uganda, to test and certify workers with internationally recognized welding standards.

(c) Activities eligible for support

293. Under Window 4 the following activities are eligible for funding: selection of test centers for accreditation, training of assessors and supervisors, training of (selected) trainers, development of test material, development of curricula and learning material, and equipment for testing purposes for accredited test centers. The test centers must have been in existence for at least two years and have a demonstrable capacity (knowledge, skill, practical experience, training facilities, and necessary machines/tools, the most current technology) to provide the services required to undertake this function.

(c) Implementation modalities

294. Call for proposals under Window 4 will not follow the SDF calendar, but may be launched at any adequate time. Applications will have a ceiling of US$ 300,000 with a maximum grant element of 90%.
6.0 GRANT APPROVAL PROCEDURE

6.1 The Grant Cycle

295. The project cycle is the same for all four windows, but the length of each step and the activities involved may vary especially with regard to Windows 3 and 4. Table 6.1 below reflects the steps, timeline and responsible entities included in the grant cycle under component 3 of the USDP.

Table 6.1: Steps, Timeline and Responsible Entities in the Grant Cycle under Component

<table>
<thead>
<tr>
<th>TIMELINE</th>
<th>STEPS/ACTIVITIES/ISSUES</th>
<th>RESPONSIBLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>At least three months before the deadline</td>
<td>Sensitization and preparation of applications</td>
<td>PSFU</td>
</tr>
<tr>
<td></td>
<td>- Outreach campaign</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Orientation meetings</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Adverts in newspapers</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Update of PSFU/SDF website</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Support to weak applicants</td>
<td></td>
</tr>
<tr>
<td>At least 2 months prior to the deadline</td>
<td>Advertisement of call</td>
<td>PSFU</td>
</tr>
<tr>
<td>Deadline</td>
<td>Deadline for submission of applications</td>
<td>Applicants/PSFU</td>
</tr>
<tr>
<td></td>
<td>Applications must apply SDF formats and must provide basic information on</td>
<td></td>
</tr>
<tr>
<td></td>
<td>the application and the project to be funded.</td>
<td></td>
</tr>
<tr>
<td>Approval process</td>
<td>Pre-qualification of applications</td>
<td>PSFU</td>
</tr>
<tr>
<td></td>
<td>Assessment of whether the applications are within the target groups of</td>
<td></td>
</tr>
<tr>
<td></td>
<td>the SDF and the proposed project/activities is eligible for support, and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(ii) the applicant seems to have the required capacity to undertake the</td>
<td></td>
</tr>
<tr>
<td></td>
<td>proposed activity.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>The assessment will also determine under the window under which the</td>
<td></td>
</tr>
<tr>
<td></td>
<td>proposed project is eligible for support.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Applications may be asked to provide additional information if</td>
<td></td>
</tr>
<tr>
<td></td>
<td>potentially eligible for support.</td>
<td></td>
</tr>
<tr>
<td>Verification and capacity assessment</td>
<td>The purpose of this step is to conduct a due diligence of the applicant</td>
<td>PSFU</td>
</tr>
<tr>
<td>process</td>
<td>and the proposed collaboration partner(s). This includes verification of</td>
<td></td>
</tr>
<tr>
<td></td>
<td>the de facto existence, experience and capacity to implement the</td>
<td></td>
</tr>
<tr>
<td></td>
<td>proposed project.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>For projects up to US$10,000, the SDF Team may conduct this and the</td>
<td></td>
</tr>
<tr>
<td></td>
<td>next step, while the Due Diligence/Technical Evaluation/Due Diligence</td>
<td>Technical Evaluation/Due Diligence consultant</td>
</tr>
<tr>
<td>TIMELINE</td>
<td>STEPS/ACTIVITIES/ISSUES</td>
<td>RESPONSIBLE</td>
</tr>
<tr>
<td>----------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-------------</td>
</tr>
<tr>
<td></td>
<td>Evaluation consultant will conduct the two steps for all projects exceeding this ceiling.</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Appraisal</strong></td>
<td></td>
</tr>
</tbody>
</table>
|          | Within 3 months after the deadline for applications  
Assessment of whether the proposed activities are likely to achieve the intended results, the sustainability prospects, the value-for-money aspects and whether the investment can be justified from a broader socio-economic development perspective. | PSFU  
Technical Evaluation/Due Diligence consultant |
|          | **Submission to Grant Committee**                                                                                                                                                                                       |             |
|          | Within 3½ months after the deadline for applications  
Based on the appraisal the SDF Team will prepare a ‘package’ for consideration by the Grant Committee for applications considered eligible for support. The package will contain the assessment by the SDF Team and/or the Due Diligence/Technical Evaluation consultant and justified recommendation by the SDF Team. All relevant documents should be attached to the package. | PSFU |
|          | **Decision on applications**                                                                                                                                                                                             |             |
|          | Within 4 months after the deadline for applications  
On basis of the recommendations by the SDF Team, the Grant Committee will approve/reject the individual applications. The Committee may ask for further evidence or reassessment of an application. | Grant Committee |
|          | **Execution Process**                                                                                                                                                                                                   |             |
|          | Not later than 10 working days after the decision  
Inform applicants of the Grant Committee’s decision  
The SDF Team about the Grant Committee’s decision will inform all applicants. Applicants whose proposal has been rejected will be informed about why the application was rejected and the procedures for complaints. | PSFU |
|          | **Orientation/training of grantees**                                                                                                                                                                                     |             |
|          | Not later than 1 week after the decision  
Prior to signing the grant agreement all grantees must attend a mandatory day orientation and training program on the rules and procedures applying to the SDF, including their obligations, reporting requirements, rules for procurement etc. | PSFU |
|          | **Signing of grant agreement**                                                                                                                                                                                           |             |
|          | Not later than 1 month after the decision  
Based on the approved proposal, a grant agreement will be presented to the applicants. The agreement will specify all legal, managerial and financial details concerning the implementation of the proposed activity. | PSFU  
PSFU Executive Director |
|          | To be specified in the grant agreement  
Implementation of project as per SDF guidelines and procedures                                                                                                                        | Grantee |
|          | **Activity monitoring and supervision of planned activities**                                                                                                                                                           |             |
### TIMELINE

<table>
<thead>
<tr>
<th>TIMELINE</th>
<th>STEPS/ACTIVITIES/ISSUES</th>
<th>RESPONSIBLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continuously</td>
<td>The Activity Monitoring &amp; Results Measurement Consultant will pay frequent visits to all grantees, while SDF Team will conduct spot checks and support visits.</td>
<td>PSFU/Activity Monitoring &amp; Results Measurement consultant</td>
</tr>
<tr>
<td>Completion report</td>
<td>The completion report must be based on SDF’s format, will provide information on the implementation, and achieved results.</td>
<td>Grantee/Activity Monitoring &amp; Results Measurement consultant</td>
</tr>
<tr>
<td>Grant closure</td>
<td>To be based on the procedures outlined in SDF Operations Manual.</td>
<td>PSFU</td>
</tr>
<tr>
<td>Mid-year and end of project</td>
<td>Results and Impact Assessment</td>
<td>PSFU/Activity Monitoring &amp; Results Measurement consultant</td>
</tr>
</tbody>
</table>

### 6.2 Outreach and Communication

296. As mentioned above, the PSFU will conduct a comprehensive outreach campaign prior to the launch of the first call for proposals. This includes media campaigns, road shows, information meetings and TV spots. The SDF Team will take advantage of the PSFU network of affiliated organizations to reach the potential beneficiaries of the SDF, but the outreach should not be limited to PSFU membership organizations. It is vital for the success of the SDF that it reaches all segments of the private sector, both organized and non-organized business operators.

### 6.3 Application Procedure

297. The call for proposals under the four windows of the SDF will be advertised in all major newspapers in Uganda and on the SDF website. Detailed information regarding each window will be made available on the website and through leaflets to be circulated through relevant organizations and associations. The call will be advertised at least 2 months prior to the deadline for submission of proposals. All applications must use the template provided by the SDF. The applicant may provide additional information in annexes to the application. A standard format for project applications can be found in Annex7 to the POM.
298. Tentatively there will be five calls for proposals under Component 3 during the life of USDP. The first one is likely to take place approximately 6 months after loan effectiveness, while two are scheduled for the second year of implementation, and one for each of the following years. No calls are foreseen in the last year, as the SDF Team will need time to implement and wind-up the last call.

299. The PSFU will make available on the SDF website detailed guidelines on how to prepare project proposals. Specific requirements will apply to specific funding windows.

300. Different ways of submission of the applications apply:
(i) As hardcopy or soft copy (on a CD ROM) to the PSFU/SDF office in Kampala;
(ii) As hardcopy or soft copy (on a CD ROM) to designated PSFU affiliates; or
(iii) As soft copy to be uploaded to the SDF website.

301. Upon receipt of the proposal, the PSFU will issue a signed and dated letter acknowledging receipt through the post or on delivery of the documents.

302. To be eligible for funding, it is essential that the application consists of:
   a) A detailed project description in accordance with the SDF guidelines;
   b) All other documents or attachments relevant to the proposal; and
   c) The value of the proposed project exceeds US$ 5,000.

6.4 Support to Applicants

303. Not all potential beneficiaries of the SDF have the capacity to complete an application meeting the requirements to a quality project proposal. This is supposed to be the case especially for applicants to Window 2. However, the need for assistance depends on the complexity of the planned project and the experience of the applicant. Applicants under Window 2 will be offered the assistance of an approved application consultant (service provider), fully paid by the SDF. For Windows 1 and 3, such assistance will also be made available upon the request of the applicant, but the cost of this will have to be covered by the applicant. All application consultants must be approved by PSFU and will undergo training by the SDF Team.

304. The PSFU will inform about this opportunity as part of the outreach activities. A SDF grant specialist will, in consultation with the prospective applicant, decide the number of days of assistance to be assigned to the prospective applicant under Window 2. It is at the discretion of the PSFU to select the application consultant to be assigned to assist the prospective applicant. The assistance will vary from 1 to 5 days. The value of this assistance cannot exceed US$ 200 for each application.
305. Application consultants are service providers accredited and selected by the SDF. No formal educational qualifications apply to the application consultants, but they must have a good understanding of the Ugandan labor market, the demand for skills, and the dynamic nature of the private sector. Furthermore, they must have experience in designing projects and be able to guide the applicant on organizational, technical and budgetary issues related to the application. Finally, the application consultants must possess good communication and writing skills.

306. The application consultants will be competitively selected by the PSFU through a public advert. The consultants will be invited to participate in a mandatory course introducing them to the procedures and processes of the SDF. Participants who complete the course to the satisfaction of the PSFU will undergo a reference check. If successful, the consultant will receive a certificate of accreditation. Names of these service providers will be published on the PSFU website. The PSFU will aim to accredit service providers from all parts of the country in order to reduce the cost of intermediation and to ensure widest coverage. Service providers will be paid a unified standard fee for their service.

307. The accreditation will have to be renewed every year based on the performance during the previous year. As part of the quality control of intermediaries, the PSFU will solicit the opinion of applicants concerning their satisfaction with the assistance received.

308. The accredited consultant may confer with Grant Specialists during project development and design activities to obtain design advice and input in order to assure SDF standards and best practices are being followed. The service provider is expected to share all information with the PSFU that may influence the assessment of the capability of the prospective applicant to implement the planned project.

6.5 Pre-qualification of Applications

309. The first step upon receipt of the application by PSFU is entering the basic information concerning the applicant and application into the SDF database.

310. Once this is done, the SDF Team will initiate a pre-qualification of the applications received. The pre-qualification will give attention to the following aspects:

a. Does the application contain the required information?

b. Does the proposed project fall within the priority sectors of SDF?

c. Does the budget allow a realistic assessment of the likely results of the proposed activities?

d. Has a training provider been selected?
e. Do the applicant and the proposed training provider (for Window 1 and 2) meet the legal requirements of SDF in terms of registration, accreditation etc.
f. Is the application above US$ 5,000?

311. Applications that are assessed to meet the SDF objectives and have a likelihood of success, but where some information is missing, may be returned to the applicant for clarification and subsequent resubmission.

312. Based on the assessment by Grant Specialists, the SDF Manager will decide whether the application should proceed to the next step of the grant approval process. The PSFU Executive Director and the Chairman of the Grant Committee will be informed about rejected applications and the reason for this.

313. Annex 8 to the POM includes a pre-qualification matrix (instrument) to be used under component 3.

6.6 Verification and Capacity Assessment

314. The purpose of the verification is to confirm the information provided in the application and assess the capacity of the involved organizations. The verification process comprises two steps, (i) a due diligence of the applicants and, where relevant, the proposed training provider, and (ii) an in-depth assessment of the capacity of the involved organizations. For projects with a proposed budget of less than US$ 10,000, the SDF Team may conduct the verification, while for projects with a proposed budget exceeding US$ 10,000 the Due Diligence/Technical Evaluation consultant will undertake the verification. A site visit will be conducted to all applicants that pass the pre-qualification stage.

6.7 Due Diligence

315. The purpose of the due diligence is to ensure that the information upon which the decision regarding a grant application is accurate, that all physical facts relevant to the funding decision have been revealed, and that the organizations to which it awards grants are honest, reliable, and fully capable of executing their responsibilities under the grant agreements.

316. Due Diligence is a fiduciary activity carried out to verify, validate, and assess the quality, integrity, and completeness of the key information required to make a well informed grant funding decision and avoid waste, fraud, and abuse. The point of departure for the due diligence is the information submitted in the project application form.
317. A Due Diligence File is established for each potential project applicant where a decision is made to undertake a site visit. The file will contain all documents relating to the due diligence assessment, and include a coversheet, listing all the documents in the file, the source of each document, the date received and the reviewer’s name.

318. The SDF Manager is responsible for ensuring that due diligence assessments are thorough and accurate for each project proposal brought forward for funding consideration. PSFU expects project applicants to operate in an open and transparent manner and comply with SDF’s information requests.

319. Annex 4 to the POM includes a draft ToR for the selection of a qualified consulting firm or individual to carry out the due diligence and technical evaluation required in the review and selection process of beneficiaries to be supported under the 4 windows of Component 3.

6.8 Capacity Assessment

320. The purpose of the capacity assessment, which is an integrated part of the verification process, is to ensure that the applicant, and not least, the organization(s) supposed to deliver the skills training possess the required facilities, expertise and experience. For jua khali associations, this includes for instance assessment of their capacity to share the acquired skills and knowledge among the members, while for training providers and applicants under Window 3 relate to issues such as conditions of existing facilities, competences of teaching staff, availability of learning material, management capacity etc. For all windows, the capacity assessment should look into the sustainability prospects of the proposed activity, i.e. the likeliness of applicant being able to continue the supported activity beyond the time of the support.

321. At this stage, it will also be assessed if the project has any environmental and social implications triggering any safeguard policies. The PSFU Social and Environmental safeguard specialists (SS) will conduct the environment and social screening or assessment. For projects triggering further environment and social assessment, the required expertise will be consulted in dialogue with the applicants.

322. The Due Diligence/Technical Evaluation consultant will submit its findings regarding each received proposal to the SDF Manager not least than 3 weeks after it has received it from PSFU.
6.9 Appraisal of Applications

323. For all applications that have successfully passed the pre-qualification and verification stage, the PSFU and the Due Diligence consultant will conduct an appraisal of the applications before forwarding their recommendations to the Grant Committee.

324. The SDF Manager and the Due Diligence consultant are responsible for coordination of the appraisal of project proposals and for preparing the recommendations to the Grant Committee. Taking the outcome of the verification process into consideration, the appraisal will address issues such as:-

a. Does the project have a high likelihood of success?

b. Does the project incorporate lessons learned, apply industry best practices, and meets relevant industry sector benchmarks?

c. Does the proposed project offer value for money, e.g. can the estimated unit cost of the proposed training be justified - for Windows 1 and 2, and is there a reasonable balance between the proposed investment and the number of beneficiaries, for Window 3?

d. What are the prospects that the applicant will be able to continue the supported activities without external funding?

e. Are there any risks associated with the project?

325. Annex 9 to the POM includes an appraisal matrix (instrument) to guide the carrying out of this reviewing process. Table 6.2 below summarizes the application assessment grid.

Table 6.2 Application Assessment Grid

<table>
<thead>
<tr>
<th>#</th>
<th>Criterion</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Is the proposed training relevant in relation to objective of SDF?</td>
</tr>
<tr>
<td>2</td>
<td>Is the proposed training responding to the identified skills shortages?</td>
</tr>
<tr>
<td>3</td>
<td>Is the proposed training activity based on a training needs assessment?</td>
</tr>
<tr>
<td>4</td>
<td>Is the proposed training likely to have an impact on the labor productivity (competitiveness) of the company?</td>
</tr>
<tr>
<td>5</td>
<td>Are the proposed activities appropriate, practical and consistent with the objectives of the training and expected results?</td>
</tr>
<tr>
<td>6</td>
<td>Is the implementation plan and budget for the training time bound and doable?</td>
</tr>
<tr>
<td>7</td>
<td>Is the plan for the training/technological innovation clear and feasible?</td>
</tr>
<tr>
<td>8</td>
<td>Are the staffing and logistical arrangements relevant and efficient?</td>
</tr>
<tr>
<td>9</td>
<td>Will it be possible to monitor the progress, results and impact of the training?</td>
</tr>
<tr>
<td>10</td>
<td>Is the action likely to have a sustainable impact on its beneficiaries?</td>
</tr>
<tr>
<td>11</td>
<td>Are the expected results and impacts sustainable and have potential multiplier effects or replication and extension of outcomes of the project?</td>
</tr>
<tr>
<td>12</td>
<td>Is each proposed expense necessary and sufficient for the implementation of the training/technological innovation?</td>
</tr>
<tr>
<td>13</td>
<td>Are the ratios estimated cost/expected results and estimated cost/expected results satisfactory?</td>
</tr>
</tbody>
</table>
14 Is the contribution of SDF cost-effective (in terms of cost sharing with other potential sources of support)?

15 Does the proposed training provider have sufficient competences of training, technological innovation and financial management? Is there evidence of experience of similar assignments?

16 Does the proposed training provider have sufficient technical expertise?

17 Does the proposed training provider have sufficient capacity in terms of availability and workload of staff, equipment, etc.?

18 Does the applicant have stable and sufficient sources of finance?

326. On the basis of the questions in the assessment grid reflected in the table above, the SDF Team will score applications under Window 1 and 2 against the criteria shown in the table 6.3 below (no standard assessment criteria will apply to Windows 3 and 4) before they are presented to the Grant Committee:

**Table 6.3: Appraisal Grid**

<table>
<thead>
<tr>
<th>S/N</th>
<th>Criterion</th>
<th>Max. Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Is the proposed training activity relevant for the constraints faced by the applicants?</td>
<td>20</td>
</tr>
<tr>
<td>2</td>
<td>Does the application build on lessons learned/best practice in the field?</td>
<td>5</td>
</tr>
<tr>
<td>3</td>
<td>Will there be a demand for the services of the proposed training provider after the project has ended?</td>
<td>10</td>
</tr>
<tr>
<td>4</td>
<td>Does a relevant authority recognize the curriculum?</td>
<td>5</td>
</tr>
<tr>
<td>5</td>
<td>Does the project offer value for money (can the unit cost be justified)?</td>
<td>20</td>
</tr>
<tr>
<td>6</td>
<td>Is the implementation schedule realistic?</td>
<td>10</td>
</tr>
<tr>
<td>7</td>
<td>Do the proposed training activities have a potential demonstration effect that may inspire other companies/training institutions?</td>
<td>10</td>
</tr>
<tr>
<td>8</td>
<td>What are the prospects that the applicant will be able to continue the supported activities without external funding?</td>
<td>10</td>
</tr>
<tr>
<td>9</td>
<td>Willingness of applicant to take on interns</td>
<td>5</td>
</tr>
<tr>
<td>10</td>
<td>Minimum share of female beneficiaries</td>
<td>5</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

327. For applications that pass a threshold of 70 points, the SDF Team will prepare a ‘package’ for the Grant Committee comprising their reasoned recommendations together with all relevant documentation from the different stage of the evaluations process. The SDF Team will also provide the Grant Committee with a list of the applications that did not pass the 70 points threshold and the reason for this. For proposal that are complex in nature and use the Grants, committee on the minimum threshold could waive new innovative models of delivery.
6.10 Fast tracking of Small Grants

328. Projects with a grant amount not exceeding US$ 10,000 may be fast-tracked by the SDF Team, if the Project Manager judges that this does not jeopardize the transparency and safeguard principles of the SDF.

329. Fast tracking implies that a Grant Specialist or the SDF Manager conducts the verification and appraisal without the involvement of an external expertise. The Grant Committee Chairman makes the final decision on whether to pass or reject the application. The Grant Committee should be provided with a list of fast-tracked grants on a quarterly basis.

330. It is expected that fast tracking will primarily be relevant for applications related to internships and vouchers under Window 1 and minor projects under Window 2.

6.11 Decision by the Grant Committee

331. The Grant Committee is the body responsible for approving proposals submitted for funding consideration. According to the Project Agreement, the PSFU Executive Director signs the grantee agreement on behalf of the SDF once passed by the Committee. The Committee takes its decision based on the recommendations made by the SDF Manager and the information provided in the documentation received concerning the application. Any member of the Committee can at any time request a copy of the complete project file, if he/she finds the provided documentation does not provide sufficient information concerning the proposed project.

332. Prior to the first call for proposals, the Grant Committee is supposed to convene and agree on the procedure for consideration of the applications and criteria these have to meet in order to get the Committee’s consent. The criteria should be made available to prospective applications on the SDF website.

333. Applicants will be informed within 10 days of the Grant Committee’s approval/rejection of the application. Unsuccessful applicants would receive a notification from the SDF Manager on how to improve their proposal in case the applicant would like to resubmit a revised proposal for a subsequent competitive cycle as well as the procedures for filing complaints.

334. It is vital that all participants in the project evaluation and approval process are objective and transparent. Any real or apparent conflict of interest must be avoided. To help ensure this, a Grant Committee member will notify the rest of the Committee when:
a. An application is received from an organization in which a relative, or current or former business associate of the Committee member, or
b. A proposed project would directly benefit a relative, or current or former business associate of the Committee member.

6.12 Procedure for Complaints and Appeals

335. Although the PSFU will do whatever possible to make transparent and fair decisions, the risk always exist that a potential beneficiary finds that injustice has been made to his/her application. Therefore, formal procedures for complaints and grievances will be established.

336. Complaints should be submitted to the SDF either by mail or through the website. The PSFU Executive Director, who will conclude whether the grievance is warranted and possible consequences of the complaint, will deal with complaints concerning the outcome of the verification process. PSFU should maintain a register of complaints received and how these have been addressed.

337. Complaints concerning the outcome of the appraisal and decisions by the Grant Committee should be addressed to the PSFU Executive Director, who will forward the compliant to the PS/ST of MoFPED. The PS/ST will conclude whether the grievance is warranted and possible consequences of the complaint. The PSFU will make all relevant documentation available for the PS/ST of MoFPED.

338. Dissatisfaction with the decision by the above bodies should be referred to the legal system and will be dealt with according to the laws of Uganda.
7.0 GRANT EXECUTION

7.1 Letter of Grant Agreement

339. The Executive Director of the PSFU will through the SDF Team send successful applicants a “Grant Agreement” at most 10 working days after the decision by the Grant Committee. The legal representative of the grantee is supposed to return a signed copy of the Grant Agreement not later than 10 working days after receipt of the Grant Agreement. A standard Contract to be cleared by the legal departments of the PSFU/MoFPED, satisfactory to the WB, would be used. A draft Client Agreement to be used under Component 3 is included in Annex10 to this POM.

340. Grantee Agreements will be made as a three-party contract to be signed by both the beneficiary of the training, the training provider and the PSFU. For windows1,2 and 4, payment will usually be made directly to the training provider upon satisfactory completion of the agreed training activities.

341. The Grant Agreement will define the contractual obligations, financial commitment and rights of the three parties. This agreement will bind the grantee to present defined deliverables for reviewing by the PSFU, to provide information to the SDF on progress and improved performance, and to collaborate in results surveys. It further binds the grantee to comply with the World Bank Guidelines on preventing and combating fraud and corruption.

342. The Grant Agreement will oblige the recipient to substantiate all claims for grant reimbursement for eligible expenditures with receipted invoices/vouchers and, when adequate, a bank statement for all fees and incidental expenses covered, certified by a legal representative of the grantee, to enable the PSFU to verify that the expenditures have indeed been made. Auditors or Bank supervision missions must retain this documentation, plus the agreed deliverables for later inspection for seven years after receipt of grant or in accordance with achieving policy of GoU. The Grant Agreement will also bind the grantee to insist, within his/her contract agreement with his/her supplier, that the supplier in turn must allow SDF auditors access to his records. Each grantee will be obliged to complete, after completion of each supported activity, a brief ‘feedback form’, indicating the level of client satisfaction achieved by the service supplier.

343. The Grantee Agreement will specify the principles of transparency, accountability, including issues of confidentiality, and good corporate practice applied by the SDF.
7.2 Orientation of Grantees

344. Given that the grantees will manage USDP funds and will carry out procurement of goods, civil works (on exceptional basis) and services (consulting and non-consulting), immediately after the signing of the contract, all the selected grantees/window will be subjected to a mandatory induction training in: (i) general contractual obligations; (ii) basic financial management and reporting; (iii) procurement; and (iv) compliance with environmental and social safeguards.

345. For this purpose, the Financial Management Specialist of SDF and the Procurement Specialist under PSFU/CEDP will design and offer a tailored-made user-friendly training including the financial reporting templates each selected grantee is required to submit to the PSFU on a monthly or bi-monthly basis as well as other appropriate supporting procurement and safeguard materials. The Financial Management Specialist, the Procurement Specialist and the Safeguard Specialist of the WB Office in Kampala will support and review the initial training modules and financial templates as well as the environmental safeguard material.

346. The PSFU will organize and deliver this mandatory training. Accordingly, the SDF Team will either conduct the orientation in-house or hire the required non-consulting services for the organization and carrying out of this workshop following the procedures set for in the Financing Agreement, the Project Agreement, the Subsidiary Agreement, the USDP Operations Manual and the criteria included in the initial approved procurement plan.

347. Full attendance to the induction workshop is a requirement of eligibility to receive the first payment. Selected grantees that do not fully attend this mandatory induction training will be removed from the corresponding USDP financing under this sub-component. Grantees that have been removed could compete in the subsequent competitive cycle.

7.3 Grant Disbursement

348. Most recipients of SDF grants do not have the necessary financial resources to carry out the projects described in their grant agreements and await subsequent reimbursement by the Facility. Therefore, SDF may disburse funds to grantees (enterprise, training provider or training institution, according to the specific project) in advance in sufficient amounts as per grant agreement to allow that the activities are carried out on a timely basis. The grants will normally be released in three tranches. For most grants, the SDF will disburse 30% of the grant amount in advance. In some cases, for administrative convenience or program necessity, the Facility may choose to disburse funds to cover a longer period.
349. The second tranche, also usually covering 30% of the grant amount, will be released upon satisfactory submission of information concerning the use of the first tranche. The SDF may withhold disbursements from grantees that do not comply with the terms of their grant agreements. The Facility may also suspend disbursements temporarily or disburse only limited amounts when it is judged necessary to protect government funds from loss.

350. The last tranche of 40% will be released and paid upon completion of the planned activities.

351. Grantees must establish a designated bank account to receive SDF funds. For organizations with existing bank accounts and the capacity to account for SDF funds separately from other funds (using sub-accounts), the Project Manager may waive the requirement for a separate bank account. When relevant, the PSFU may, with the consent of the grantee, pay suppliers directly in order to reduce transaction costs.

352. To help ensure that SDF-provided funds are used and accounted for responsibly, the Facility will assess the financial and procurement management capacity of each grantee and provide training, prior to the first disbursement of funds under a grant. Where the need for funds on a timely basis is critical to the success of the project and to provide a basis to facilitate training, SDF may make limited disbursements prior to the completion of training. Otherwise, SDF will not disburse funds when the grantee does not have the capacity to use and account for the funds properly.

353. Before preparing the disbursement request memorandum, the SDF Accountant will enter the data concerning the disbursement into the disbursement database. The PSFU Financial Manager will issue specific instructions on the database in order to ensure compliance with the PSFU financial management system. Direct payment to the supplier upon clearance by the grantee will be the preferred mode of payment.

354. Funds will usually be disbursed in Uganda shillings. When justified, the PSFU may make the disbursement in a foreign currency.

355. On completion of the approved activity, the grantee shall submit evidence as proof of undertaking the activity upon which the Unit will disburse the final part of the grant contribution. The evidence, such as copies of training materials and attendance records, shall be clearly defined in the letter of agreement and its annexes. Satisfactory submission of the above evidence is a precondition for release of the last tranche.
356. If a grantee that does not commence implementation of the planned activities within three months of signing the grant agreement, the SDF Manager at his/her discretion may cancel the approval and use the allocated funds for other eligible applicants unless prior consent of the PSFU has been secured. The PSFU Executive Director and the Grant Committee will be informed about the cancellation.

### 7.4 Supervision and Coaching

355. All grantees will be followed closely by the PSFU. In addition to the frequent monitoring visits by the Activity Monitoring & Results Measurement consultant, the staff of the PSFU will pay occasional visits to randomly selected grantees as well as to grantees that are encountering difficulties in one way or another.

356. On-site monitoring and reporting on the physical and financial implementation progress of all grants allocated through the 4 windows under component 3 will be carried out by a qualified consulting firm or individual selected according to ToRs appearing in Annex 6 to the POM. This consulting firm or individual will carry out its envisaged tasks in closed coordination with the Activity Monitoring and Results Measurement consultant selected.

357. As regards the random visits, the purpose of these is two-fold: i) for the SDF staff to learn about how various categories of grants are being implemented as an input into the continuous improvement of the operational details of the SDF; and ii) to conduct spot-checks of selected grantees as part of the USDP safeguard measures.

358. An important part of the PSFU’s responsibilities is to assist grantees having trouble during implementation. Regardless of whether the difficulties are caused by unforeseen circumstances or weak implementation capacity, it is in the interest of the grantees as well as the SDF to keep the number of unsuccessful grants at a minimum. Either the PSFU may learn about the implementation challenges from the Activity Monitoring & Results Measurement consultant, or the grantee may have approached the PSFU. If the staff of the SDF Team does not have the required expertise or resources to help the grantee to overcome the problems, the PSFU will call upon external expertise with the require expertise to assist the grantee.

### 7.5 Grantee Financial Obligations

359. The Component 3 Project Agreement provides the PSFU with the authority to incur obligations on behalf of the GoU through the award of matching grants to any Ugandan business operator, business association, or training institution engaged in activities within
the scope of the USDP. Pursuant to agreements with the World Bank, such obligations may not exceed amount as set-up for the different windows.

360. An 'obligation' is an action by the GoU, which obligates it to make payments in the same or future period without the need for further action. A grant is an obligation in that it entitles the grantee to receive payment from the Government by simply carrying out the terms of the grant agreement (i.e. carrying out the project, making the required reports and following the rules outlined in the grant agreement).

361. Obligations must be supported by documentary evidence. A grant agreement entered into for a legally authorized purpose constitutes such documentary evidence. To become legally binding, a grant agreement, like a contract, must be agreed to by the parties. In the case of SDF grants, the parties are PSFU and the grantee.

361. For purposes of entering into the agreement, the Executive Director of PSFU, and in his absence, the SDF Manager, represents SDF. The Grant Committee has the authority to approve projects for funding and PSFU incurs associated obligations by entering into grant agreements. Officials duly authorized by the entity to enter into legally binding agreements represent the grantee, normally a legally recognized entity. In cases where the grantee is an individual, that person represents himself/herself. The provider appointed to deliver the training, will usually be a co-signatory of the grant agreement. The parties, through their designated representatives, indicate their acceptance of the terms and conditions of the agreement by their signatures.

362. The original signed grant document serves as the documentary evidence of the obligation, and is maintained in the financial files in the PSFU to support the obligation recorded in the accounting system. The SDF Manager maintains a copy of the agreement in a project file.

363. As described above, an obligation is created when all parties have signed the grant agreement, indicating their intention to abide by its contents. Thus, the date of obligation is the date of the last signature on the grant agreement, as that is the date upon which the agreement comes into effect.

364. While, for documentation purposes it is convenient to maintain the original signed document with both signatures, the signatures of each party on separate copies of the same document is sufficient to indicate intent of both parties and thus establish an obligation.

365. The amount to be recorded as an obligation is the amount, which the SDF will be obligated to pay out under the agreement assuming full compliance by the grantee. If the grant is denominated in Uganda shillings, the obligation will be the amount of the grant as
shown in the grant document. If the grant is denominated in one or more foreign currencies, the initial amount of the obligation shall be the Uganda shilling value of the obligation based on the latest exchange rate advertised by the Bank of Uganda and recorded by the Financial Management Specialist prior to the obligation date. The Uganda shilling amount of this obligation may change in accordance with fluctuations in the rate of exchange.

366. Grant obligations shall be recorded in the PSFU accounting system as indicated in the Project Agreement and the USDP Operations Manual.

367. In the case of grants denominated in foreign currencies, the amounts obligated are estimates of the total liability of the SDF and are subject to change as the exchange rates fluctuate. To ensure that the SDF accounts reflect as closely as possible the actual obligations of the SDF, the Financial Management Specialist will adjust the obligated amount of each grant at the end of every fiscal year based on the exchange rates in effect at the end of the fiscal year.

368. Upon the termination or expiration of a grant, any remaining obligated balances, which have not been used, are de-obligated. This is accomplished by entering a closeout transaction into the accounting system. The Financial Management Specialist enters closeout transactions at the time of closeout. At the end of the fiscal year, those grants which have expired or terminated but which have not been closed out because not all reports have been received will be manually de-obligated. Funds, which have been de-obligated, may be restored if there is an otherwise proper payment to be made and if the appropriation has not yet been cancelled.

369. The replacement grant is a rare exception to the rule that upon termination or expiration of a grant, any remaining unallocated balances are de-allocated. The replacement grant may be used where a grant is terminated prior to its expiration because the grantee is no longer in a position to carry out the project for which the grant was originally made, and the need to complete the original project still exists. Under these circumstances, the PSFU may enter into an agreement, called a replacement grant, with another individual or group to complete the project. The activities funded under such a grant must be essentially identical in scope and purpose to the original grant. If these conditions are met, any funds remaining in the original grant may then be ‘rolled over’ into the replacement grant, despite the fact that they may have been originally appropriated in a prior fiscal year.

370. Five years after the expiration of an appropriation (i.e. with project life), it is cancelled and is no longer available for payment. Thus, if a grant period extends beyond five years, it may be possible that the funds obligated for the grant are no longer available even though the grant has not expired.
371. Payments made against valid obligations after the cancellation of an appropriation must come from the appropriation current at the time the payment is made. The Financial Management Specialist establishes a Miscellaneous Obligation Document each year to record such payments. For grant management purposes, such payments are charged to the grant although for accounting purposes, they are charged to the Miscellaneous Obligation Document. To avoid the necessity of charging such payments to the current appropriation, the Project Manager should make every reasonable effort to ensure that grant projects are completed within five years.

7.6 Grantee Reporting (and Triggers)

372. As a part of the grant agreement with the grantees, SDF requires them to report periodically on the receipt and use of SDF funds as well as on the progress of their projects. These reports enable the Facility to effectively track the use of grant funds, to measure the effectiveness of the grant project execution and to identify problem areas. Timely reporting by grantees and effective and timely review and reaction to grantee reports are critical for PSFU’s management of the SDF.

373. For grants exceeding six months, the grantee will report to the PSFU on a quarterly basis using the reporting format provided by the Unit. The SDF Grant Agreements will include this as a requirement in the Grant Agreement. For shorter grants, the reporting will follow the sequence stated in the Grant Agreement.

374. The Activity Monitoring and Results Measurement Consultant (see Annex 6 to the POM) plays an important task in the reporting on progress. The consultant will frequently (preferably quarterly) visit all active grants and assist the grantee to prepare the required reports or, when the grantee is not capable of preparing the report, report on the observed progress. The grantee reports will represent the grantee’s official accounting for the receipt and use of funds provided by the SDF under the grant agreement. Where feasible, the SDF Manager may direct that the reports be submitted in electronic format and disseminate instructions for such submission.

375. Grantees are responsible for submitting signed copies of a complete and accurate report through to the SDF within 30 days of the end of a reporting period. Only when the SDF receives the report that it is considered officially received. Submission of satisfactory progress reports, whether by the grantee or the Activity Monitoring & Results Measurement consultant, is a precondition for release of the next agreed tranche to the grantee.

376. All grantee reports will be subject to review by the Activity Monitoring & Results Measurement Consultant. Upon completion of the review, the consultant will forward any comments and/or recommendations, to the SDF Manager. The SDF should assure follow-
up on any issues or corrections needed. The SDF representative must also ensure that data from the report is entered into the grant database.

377. The progress reports and financial statements together with the review by the Activity Monitoring & Results Measurement consultant (MES) constitute the basis on which the SDF will decide whether to release the next tranche to the grantee. If the review is unsatisfactory, PSFU will have to follow up with the grantee in order to take the necessary action to remedy the situation.

7.7 Amendment Procedures

378. An amendment is a mutual agreement between the grantee and PSFU to modify the original grant agreement. In many instances, the training provider must as well agree to the amendments. It may alter the amount of the grant, change provisions or requirements in the agreement itself, including the period of the grant, and/or authorize significant changes in the project activities for which the grant funds are allocated.

379. An amendment does not necessarily reflect negatively on the grantee or the SDF, but is a good way to assure that there is flexibility in dealing with field realities and to allow SDF and the grantee to modify project plans in response to new developments, external events beyond their control or lessons learned. Timely processing of amendments may be critical to a project’s success.

380. The Activity Monitoring & Results Measurement consultant plays an important role in identifying projects, which require amendments and will be assisting the grantee to prepare justification documentation or amendments in a timely fashion.

381. All amendment requests should be sent to PSFU for review. PSFU will critically analyze the stated needs of the project and determine whether they can be appropriately addressed through the proposed amendment. For reallocations within 10% of the grant amount, the SDF Manager can authorize the amendment, for reallocations exceeding this ceiling or, in the rare cases, where there are pervasive arguments for an increment of the grant amount; the PSFU Executive Director will take the final decision.

382. Decisions on grant amendments are subject to the SDF procedures for complaints and grievances.
7.8 Suspension and Termination of Grants

7.8.1 Grant suspension

383. If resources provided under grant agreements are not being used according to the agreed conditions and for the intended purposes, the SDF should consider terminating the grant in order to limit additional resources devoted by SDF to the grant or to recover resources already committed to the project. It is the responsibility of the Activity Monitoring & Results Measurement consultant to inform the SDF Manager when it observes such cases.

384. The SDF Manager is entitled to temporarily freeze a grant agreement pending corrective action by the grantee or a decision to terminate the agreement by PSFU. Suspension will include, but will not necessarily be limited to, a hold on any disbursements as well as a hold on the grantee's right to use SDF funds already on hand.

385. If the SDF Manager decides that a grant should be suspended, he/she will inform the grantee in writing, including the reason for the suspension. The Manager must also inform the Grant Committee and the PSFU Executive Director about the suspension.

386. Decisions on suspensions of grants are subject to the SDF procedures for complaints and grievances.

7.8.2 Grant Termination

387. The SD may terminate a grant agreement for cause, with or without preliminary suspension, when it is determined that the grantee has:

   a. Materially breached or failed to perform one or more provision of the agreement in a manner significantly affecting the achievement of its goals and objectives;
   b. Fraudulently misrepresented material facts during the application or project development process; or
   c. Used funds or equipment purchased with agreement funds for purposes other than those stipulated in the grant agreement with SDF's consent.

388. The SD Manager should immediately bring the matter to the attention of the PSFU Executive Director. The Executive Director may at this point determine that the grantee should be given the opportunity to take corrective action rather than face immediate termination of the grant. The Executive Director will take final decision on termination. In cases where it can be verified that the grantee misused equipment purchased with grant
funds, and where the legislations permits, the Executive Director may also recommend that some or all of the equipment be returned to the SDF.

389. The grantee must be informed in writing about the Executive Director’s decision and the reason for this. This notice should inform the grantee that it represents the PSFU’s final decision and that no further administrative appeal from this decision will be considered. Decisions on termination of grants are subject to the usual SDF procedures for complaints and grievances.

390. If a grant agreement is terminated, normal grant closure procedures will be followed.

7.9 Grant Closure

391. The closure process will begin immediately prior to the scheduled expiration of the grant and may continue up to ninety days after the expiration or termination of the grant.

392. The grantee is responsible for working with the Activity Monitoring & Results Measurement consultant to prepare for closure of the SDF funding, collecting and providing data on performance targets, expending funds in accordance with the SDF grant agreement, preparing and submitting a final report to the SDF Manager, returning to the SDF, in a timely manner, any SDF funds not properly expended on project activities.

393. A representative from the Activity Monitoring & Results Measurement consultant will conduct a visit to the grantee approximately one month prior to the completion of the project. During this visit, the representative and grantee will:

a. Review the status of the project budget to determine what funds remain, if any;
b. Review the project's implementation plan to determine what, if any, project activities remain to be completed;
c. Develop a plan for completing of unfinished activities and achieving the project outputs;
d. Assess the long-term sustainability of the activities;
e. If relevant, prepare a time amendment;
f. Identify possible after-project support needs of the grantee.

394. Based on this, the Activity Monitoring & Results Measurement consultant representative will prepare a visit report to the SDF Manager.

395. Ordinarily it is anticipated that all expenditures will be completed prior to the expiration date of the grant. In such a case, the grantee should submit a final report within 30 days after completion of the grant. Final reports should be accompanied by a check, payable to the SDF account of PSFU, for the balance of any unused SDF funds.
396. Upon completion of the funded activities, the grantee will fill in a short report based on the format provided by the PSFU. The report will summarize the activities carried out, the specific benefits of the grant, any deviations from the planned activities and the reasons for these, and an assessment of the prospects for continuing the activities after the completion of the supported activities.

397. Where grants have been terminated prematurely through action of SDF or of the grantee, it will probably not be possible to carry out the steps described above. In these instances, the SDF Manager should concentrate on ensuring that the grantee complies with the requirements of the grant agreement and that a final report is submitted and that any funds due SDF are collected.

7.10 Monitoring and evaluation of Component 3

398. The primary responsibility for monitoring and evaluation of the activities under Component 3, will be with the SDF Team and PSFU. To assist with the monitoring, the PSFU will contract one or two firms through a framework contract to conduct activity monitoring and results measurement.

399. The purpose of the SDF monitoring system is twofold:

a. To ensure that implementation of the SDF is on course and desired outcomes are likely to be achieved; and
b. To ensure that the support by the SDF to applicants is used for the purpose intended.

400. The monitoring and evaluation of the SDF will be conducted at two levels:

(i) Activity/output monitoring is intended to validate that the beneficiary grantee/institutions use the funds received from the SDF in accordance with the objectives and principles stipulated in the contract. The activity/output monitoring has two elements:
   • control of planned and implemented activities, and
   • Control of the use of allocated funds.

(ii) Furthermore, output monitoring is a way to confirm that annual work plans prepared by the SDF Team have been carried out as envisaged; and

(iii) Results measurement aimed at assessing whether the implementation of Component 3 is on track and the expected results likely to be achieved. The basis for the results measurement is the USDP Results Framework and the indicators stated herein.
401. The results measurement will be achieved through the following activities:

a. Baseline data on employment, turnover, output, revenue and profit – to the extent possible;

b. End of implementation data on employment, turnover, output, revenue and profit – to the extent possible;

c. Employer satisfaction surveys; and

d. Enrollment, pass-rates and employment rates and salaries of trainees (for Windows 3 and 4).

402. Evaluation: Evaluation studies and analytical documentation will be conducted as and when felt necessary. The purpose will be to assess the impact of the project activities, usually with focus on specific topical issues. It is expected that impact studies will be commissioned in connection with the mid-term review and completion of the USDP. The SDF Team will prepare the ToR for the studies, subject to no-objection by the WB.

COMPONENT 4: PROJECT MANAGEMENT, MONITORING AND EVALUATION

403. This component aims at financing: (i) management of the project including establishment of a PCU1 within the MoES and a PCU2 within the PSFU/MoFPED to manage the USDP; and (ii) monitoring and evaluation under the USDP including the carrying out of baseline studies, mid and end-term tracer studies, employer satisfaction surveys, mid-term management review and annual performance audits.

404. Staffing and Equipping the PCU1: The 6 person core staff of the PCU1 as further detailed in chapter 3 to the POM including the DPC have already been hired under ToRs, satisfactory to the MoES and the WB and following the procedures set for in the FA, the POM and the criteria included in the approved procurement plan. Signed contracts with the core PCU1 staff were made by the fourth quarter of 2015/2016.

405. The DPC with the support of the PRS will draft the technical specifications, satisfactory to the WB, for the acquisition of the PCU1-related office furniture and equipment, including vehicles and office supplies as well as for non-consulting services including the rental of office space.

406. Once the WB grants its no-objection to these technical specifications, the PRS of the PCU1 will initiate the procurement of goods, supplies and required non-consulting services following the procedures set for in the FA, the POM and the criteria included in the approved
procurement plan. The PCU1 is expected to be fully staffed, equipped and functional by the first quarter of 2016/2017.

407. **Staffing and equipping the PCU2:** As soon as the USDP Credit becomes effective expected in August 2016, the Executive Director of the PSFU with the support of the PRS of the PSFU, will draft ToRs, satisfactory to the MoFPED and the WB, for the recruitment of the 6 person core staff of the PCU2 as further detailed in chapter 3 to the POM including the PM of the PCU2.

408. Once the WB grants its no-objection, the Executive Director of the PSFU with the support of the PRS of the PSFU will initiate the selection process of the core PCU2 staff following the procedures set for in the FA, the PA, the POM and the criteria included in the approved procurement plan. Signed contracts with the core PCU2 staff are expected by the fourth quarter of 2016.

409. The PSFU has performance-based contract systems. Accordingly, the activities that require WB no-objection are fully indicated in the approved Procurement Plan. The PCU2 is expected to be fully staffed, equipped and functional by the end of September 2016.

410. Annex 11 to the POM includes a PSFU performance-based matrix including: (i) the payment- based results; (ii) description of the expected achievement; (iii) the verification entity; (iv) the means of verification; and (v) the implementation year of verification.

411. **Establishing the USDP Steering Committee (SC):** Within the first 3 months after the date of Credit effectiveness expected by September 2016, the Minister of the MoFPED, having signed the USDP FA on behalf of the GoU, will establish the USDP SC with the membership and functions fully detailed in Chapters 3 and 4 to the POM.

412. Establishing the Grant Committee (GC). The PS/ST will approve the members of the grant committee for component 3 with the membership and functions fully detailed in Chapters 3 and 4 to the POM.

413. **Studies:** During the first quarter of Financial Year 2016/17, the DPC of the PCU1, with the support of the TVETS and the MES of the PCU1 will: (i) conduct the base line surveys for the establishment of the required baseline data attuned to the USDP results framework (see Annex 1 to the POM); (ii) carry out tailored-made studies including impact evaluation and other USDP-related surveys; and (iii) carry out the annual institutional performance audits. The PC of the PCU2 will do likewise for the studies required for component 3.
414. The baseline and end line data of all the participating UTCs and VIs under Component 2 and grantees under Component 3 will correspond to key outcome and intermediate indicators at the start of the project (baseline) and continue to report progress every six months (or less frequency if applicable) before supervision missions. Participating training institutions will also provide details such as enrollment, pass-rates and employment rates and salaries of trainees, profile of training courses offered, and instructors’ number, their qualifications and in-service training.

415. The following studies will be undertaken to evaluate key project activities: (i) third party tracer studies will be conducted right at the beginning for baseline, at mid-term and at end-term; (ii) employer satisfaction surveys; and (iii) other evaluation, studies and analytical documentation as and when felt necessary.

416. Annual in-depth institutional performance audits will be conducted during the project. The objectives of the institutional audits will be to evaluate the extent to which project objectives have been achieved, the effectiveness of project interventions in enabling the achievement of targets, and the reasons for shortfalls that are internal to the institution and those that are contextual and policy related. These audits will also audit data submitted by project institutions on project progress and collect documentary and other evidence supporting the data.

417. Once the WB grants its no-objection to the corresponding studies/evaluation ToRs, the PRS of the PCU1 as well as the PRS of the PSFU will initiate the selection of these qualified consulting firms or individuals following the procedures set for in the FA, the PA, the POM and the criteria set for in the approved annual procurement plan.

418. Annual audits: Six months before the end of the first fiscal year of the USDP implementation cycle, the PC of the PCU1 in conjunction with the PM of the PCU2 and with the support of the FMSs in both the PCU1 and the PCU2 will seek concurrence from the Auditor General to engage an external auditor, satisfactory to the WB.

419. USDP Supervisions: The PCU1 and PCU2 will support and participate in the bi-annual supervision missions conducted jointly by the GoU and the WB as per Statement of Mission Objectives agreed between the WB, the MoES and MoFPED/PSFU. At the midpoint of the USDP implementation cycle, the review mission will be the in-depth Mid-Term Review. The basis for discussions and review will be the six-monthly progress reports prepared by the PCU1 in close collaboration with CoEs and VIs, the RFT/SDA and the PCU2 using data regularly submitted on key performance indicators, intermediate outputs and inputs indicators, financial and physical progress, for each project component and sub-component.
8.0 FINANCIAL MANAGEMENT

8.1 FINANCIAL MANAGEMENT PROCEDURES

420. The main objective of this section is to define the Financial and Accounting Policies and Procedures that will guide project financial and accounting team in their use and management of project resources to ensure value for money.

421. The USDP will use the GoU financial management system for planning and Budgeting, Accounting and financial reporting, treasury management and flow of funds, internal controls, internal audit and external audit.

422. At MoES, the Permanent Secretary, will be the overall Accounting Officer to oversee all Project activities in MoES while the day-to-day financial management functions will be led by the head of accounts, in this case the Assistant Commissioner Accounts.

423. For components 1 and 2 and the part of 4 related to the MoES, the PCU1 within the MoES will be the GoU’ designated and only entity to undertake the financial management of the USDP, including such functions as budgeting, accounting, management and disbursement of USDP’s financial transactions, payment for eligible USDP expenditures, financial reporting, facilitating external auditing, and internal controls.

424. For components 3 and the part of 4 related to the PSFU/MoFPED, the PCU2 within the PSFU will be the GoU’ designated and only entity to undertake the financial management of the USDP, including such functions as budgeting, accounting, management and disbursement of USDP’s financial transactions, payment for eligible USDP expenditures, financial reporting, facilitating external auditing, and internal controls.

425. The DPC of the PCU1, accountable to the PC of the PCU1, will be responsible for the overall day-to-day financial management of the USDP as it relates to components 1 and 2 and the part of 4 concerning the PCU1.

426. The PM of the PCU2, accountable to the Executive Director of the PSFU, will be responsible for the overall day-to-day financial management of the USDP as it relates to components 3 and the part of 4 concerning the PCU2.

427. The USDP financial management system will be aligned to the Integrated Management Information System (IFMS) implemented by the MoFPED and applicable to all donor-financed operations in the country.
428. Both, the FMS within the PCU1 and the FMS within the PCU2 will generate and maintain accounting vouchers and supporting documentation for expenditures on all eligible activities of the USDP, and will document the accounting transaction information flow. Both FMSs will also maintain appropriate financial records and reports in accordance with existing GoU financial regulations and the USDP specific procedures established in the POM.

8.2 Planning and Budgeting

429. USDP’s Annual Budget. The Planning and budgeting process will involve the determination of activities to be carried out during the budget year. The GoU planning and budgeting procedures which are documented in the government’s Treasury Accounting Instructions, 2003 (and as will be revised) shall be followed together with Public Finance and Management Act 2015.

430. Detailed USDP cost estimates serve as the basis for annual budgets that are aligned with the approved annual implementation/work and procurement plans. The DPC of the PCU1 in close coordination with the PM of the PCU2 and the chair of the RTF/SDA and with the support of their respective staff will develop an annual budget based on the annual USDP implementation and procurement plans and submit it for endorsement to the:

a. Permanent Secretary of the MoES, Chair of RTF/SDA for component 1; and
b. Executive Director of the PSFU for component 3 and part of 4 applicable to the PSFU.

431. The USDP budget will be detailed enough to provide a reasonable comparison of the planned and implemented USDP activities. The inputs for the various activities should be clearly defined for easy monitoring. The time and cost estimates used for budgeting the USDP activities should be realistic. It should be noted that, with such characteristics, the budget has internal control tools. The budget takes into account the targets of the USDP in a specific time interval. The differences between the budgeted and realized figures indicate how realistic targets were. The quarterly budgetary comparisons give some indications for revision of the targeted activities and their monetary figures.

432. Accordingly, the budget figures for each of group of activities will be recorded at the beginning of each fiscal year, based on the USDP Implementation Plan agreed with the WB. Budget figures recorded in the project accounting system will only be adjusted annually. However, the DPC in the PCU1, or the PM in the PCU2 or the Chair of the RTF/SDA in close cooperation with the FMSs of either PCU1 and/or PCU2 as applicable, may request budget revisions (effectively, authorization to deviate from the agreed annual budget) to be approved by the USDP SC.
433. During the USDP implementation, annual budgets will be monitored closely by the DPC of the PCU1 through the FMS of the PCU1 (for components 1, 2 and the part of 4 corresponding to the PCU1) and by the PM of the PCU2 (for component 3 and the part of component 4 applicable to the PCU2) and the WB to ensure that the resources are used within the agreed upon allocations and for the intended purposes.

434. In a nutshell, the planning and budgeting process includes:

i) Guidelines for the preparation of budgets shall be obtained from the Education Planning Department, in consultation with the WB;

ii) Annual work plans and budgets will be prepared to suit in GoU’s Planning and Budgeting processes and cycle;

iii) Education Planning Department will maintain close collaboration with implementing departments to ensure timely planning and adequate resourcing of project interventions through the work plans;

iv) Budgets should be as realistic as possible and based on planned activities;

v) Budgets should be prepared in a timely manner to enable the WB and other USDP relevant related GoU Authorities review and approve them for consolidation in the overall project Budget;

vi) The DPC in the PCU1 and the PM in the PCU2 shall ensure that the USDP is implemented in accordance with the Annual Work Plan and Budget approved for the respective fiscal year. However, in case of any conflict between the Annual Work Plans and Budgets (AWPB) and the provisions of the governing Financing Agreement, the provisions of the Loan Agreement shall prevail;

vii) The Education Planning Department of the MoES as it relates to components 1 and 2 and the part of 4 related to the MoES, and/or the PM of the PSFU as it relates to component 3 and the part of 4 related to the PSFU, will not make any changes to the approved Annual Work Plan and Budget without prior written approval from the WB;

viii) The budget figures for each of group of activities will be recorded at the beginning of each fiscal year, based on the USDP Implementation Plan agreed with the WB. Budget figures recorded in the project accounting system will only be adjusted annually;

ix) Quarterly physical and financial progress reports will be prepared and submitted to World Bank 45 days after the closure of the Quarter (see also section on financial management reporting).

x) Budget revisions during the year should be in accordance to GoU regulations and Bank guidelines.
8.3 Accounting

435. The financial management and accounting processes are guided by the Public Financial Management Act 2015, the Public Financial Management Regulations 2016, and Treasury Accounting Instruments 2003 and other circular issued by the treasury from time to time.

436. Consequently, the USDP is required to prepare financial statements on a cash basis accounting in accordance with the International Public Sector Accounting Standard (IPSAS).

437. The project financial management function will be managed by a financial management specialist assisted by accounting staff in the MoES.

438. The project will use the IFMS, which is being rolled out by the government of Uganda to manage its accounting function.

439. The project will ensure that all transactions are properly authorized, and fully supported by the required documentation. Accounting documents will be properly filed and archived in line with the GoU standards.

440. All cash advances to staff for project activities will be accounted for with 30 days after the completion of activity.

441. The following expenditures are ineligible expenditure for funding; expenditure contrary to Financing Agreement (FA), expenditure contrary to GoU rules and regulations, expenditure on different categories that may not be remedied, funds not used for purposes intended deemed, unsupported expenditure, expenditure where there is no value for money, expenditure where there is potential fraud and corruption issues, expenditure not approved.

442. The following rules and practices apply to projects financed by IDA unless otherwise explicitly provided for in the FA. These rules and practices apply to all project funds required to finance the total project cost, including IDA credit and counterpart funds.

<table>
<thead>
<tr>
<th>Type of Allowance</th>
<th>Basis</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salary top-up to Civil/Public Servants</td>
<td>Not allowed</td>
</tr>
<tr>
<td>Sitting allowance to Civil/Public Servants (for attending workshops, Project Steering Committee meetings, other committee meetings, etc.)</td>
<td>Not allowed</td>
</tr>
<tr>
<td>Honorarium to Civil/Public Servants (payment for services performed in committees, meetings, workshops, etc)</td>
<td>Not allowed</td>
</tr>
<tr>
<td>Internal consulting of public and civil servants currently on the government payrolls</td>
<td>Not allowed</td>
</tr>
</tbody>
</table>
### Travel and Transport

<table>
<thead>
<tr>
<th>Travel and Transport</th>
<th>Only as per governing rates***</th>
</tr>
</thead>
</table>

### Per Diem

<table>
<thead>
<tr>
<th>Per Diem</th>
<th>Only as per governing rates/or less***</th>
</tr>
</thead>
</table>

| Sitting allowances, honorarium, etc. to consultants financed under a project (for attending workshops, Project Steering Committee meetings, other committee meetings, etc.) | Not allowed |

**Notes:**

***The reference to governing rate means the rate currently agreed between the Government, Bank and other DPs (an harmonized rate is preferred). In most cases, this would be the UNDP rate, which normally involves lump sum hotel allowance and per diem. However, the governing rate could be the Government or Bank rate if any of these is lower than the UNDP rate and preferred by the Government.***

## 8.4 Financial Reporting

443. Accounting and financial reporting. Both, the PCU1 and PCU2 will maintain a computerized accounting system for the financial management of the USDP to record its transactions, prepare interim financial reports, annual financial statements and other required financial reporting that will be audited by auditors.

444. Quarterly Interim Financial Reports: Both PCU1 and PCU2 will be required to submit interim financial reports (IFRs) in acceptable format and accuracy to the bank within 45 days after the end of the quarter. The quarters are aligned to GoU FY ending June 30th as, September 30th, December 31st, March 31st and June 30th. The formats have been agreed with both implementing agencies.

452. The IFRs will comprise the following reports presented in the agreed format

(i) Project Sources and Uses of Funds;
(ii) Uses of Funds by Components and sub components
(iii) Uses of funds per category
(iv) Designated Account Activity Statements for DA1 and DA2;
(v) Expenditure subject to prior review
(vi) Expenditure not subject to prior review

445. Semi-annual progress report. A semi-annual progress report will be adequate to monitor physical and financial implementation progress of all the USDP eligible activities attuned to the FA and the PA. This report would pay particular attention to: (i) the USDP budgeting, planning, accounting and internal control systems; (ii) the USDP quarterly and annual financial reports; (iii) the audit reports, including financial statements and
implementation of remedial actions recommended in the auditor’s Management Letters; and (iv) the disbursement management and financial flows. This progress report should be furnished to the WB not later than forty five (45) days after the end of the period covered by such report.

446. The DPC of the PCU will integrate the semi-annual progress reports prepared by the RTF/SDA for component 1, the PCU 2 for components 3 and the part of 4 concerning the PCU2 with the one prepared by the MoES of the PCU1 for component 2 and the part of component 4 corresponding to the PCU1 into a consolidated report to be sent to the WB.

447. The IFRs also serves as a basis for the annual audited financial statements. The supporting documentation of the USDP financial statements shall be maintained by both, the PCU1 and PCU2 as applicable, and made easily accessible to WB supervision missions and to the external auditors.

8.5 Disbursement and Funds Flow

448. The USDP-related disbursements are the costs that the activities under all the four Components and corresponding seven sub-components accrue and incur in the course of the implementation of the USDP. The disbursement deadline date is 4 months after the closing date, or a later date that the WB agrees to, in accordance with the current guidelines as set out in the “Disbursement Handbook”, using traditional disbursements procedures. The USDP Credit Grant funds will flow to the USDP activities through any of the following three disbursement methods specified in the USDP’s Disbursement Letter: (i) Reimbursement; (ii) Direct Payment; and (iii) Special Commitment. (iv) Advance

449. Disbursements for the USDP will follow the Report-based method, with the following options:

(i) Advances to the two segregated Designated Accounts (DA1 and DA2) in the Bank of Uganda. DA1 will be maintained by the MoES/PCU1 for expenditures associated to components 1, 2 and part of 4 corresponding to the PCU1, while DA2 will be maintained by the PSFU/PCU2 for expenditures associated with components 3 and part of 4 corresponding to the PCU2;

(ii) Reimbursement;

(iii) Direct payments (requiring full documentation for reimbursement);

(iv) and
(v) Special commitments.

450. Withdrawals from the DA1 and DA2 will be made only for eligible expenditure.

451. Eligible expenditures paid from these DAs would be reported to the WB at least quarterly. An authorized representative of the MoES will sign withdrawal applications for DA1 and from the PSFU for DA2 or other designated officials to whom these powers were designated in writing in the “Authorized Signatories Letter” issued by the MoES and the PSFU.

453. The FMSs at both the PCU1 and PCU2 will ensure completeness and accuracy of all withdrawal applications.

454. Disbursements will be made based on quarterly interim financial reports that contain the six months cash flow forecast and expenditure to be documented by the Bank.

455. The DPC together with the FMS of the PCU1 will be in charge of administering the DA1, while the PM of the PCU2 along the FMS of the PCU2 will be in charge of administering the DA2. Both will manage the USDP flow of funds in line with the FA, and in the case of the DA2 the PA covenants, disbursement letter provisions, and the WB disbursement guidelines. Payments for most project activities will be made to project suppliers, contractors and consultants. Accordingly, the DPC together with the FMS in the PCU1 and the PM together with the FMS in the PCU2 will prepare the corresponding withdrawal applications for replenishment of this account, which ought to be signed by designated signatories according to the withdrawal process further detailed below.

Table 8.1 Disbursement Category

<table>
<thead>
<tr>
<th>Category</th>
<th>Amount of the Grant Allocated (expressed in SDR)</th>
<th>Percentages of Expenditures to be Financed (exclusive of Taxes except Withheld Taxes)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goods, works, non-consulting services, consultants’ services, training and operating costs for component 1, sub-component 2.3 and part of component 4 corresponding to the MoES/PCU1</td>
<td>14,950,000</td>
<td>100%</td>
</tr>
</tbody>
</table>

---

6 Special commitment implies an irrevocable commitment by the WB and/or co-financier made at the request of the borrower that undertakes to reimburse a commercial bank for payments it makes to a supplier against a letter of credit (see the entry on letter of credit). Letter of credit is a letter from a commercial bank guaranteeing that a purchaser’s payment to a supplier will be processed on time and for the correct amount as soon as required conditions, specified in this case in a special commitment, have been met.
<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goods, works, non-consulting services, consultants’ services, training and operating costs for sub-component 2.1</td>
<td>29,950,000</td>
<td>100%</td>
</tr>
<tr>
<td>Grants under sub-component 2.2</td>
<td>8,600,000</td>
<td>100%</td>
</tr>
<tr>
<td>Matching grants under the 4 windows of component 4</td>
<td>12,800,000</td>
<td>100%</td>
</tr>
<tr>
<td>Goods, works, non-consulting services, consultants’ services, training and operating costs for part of component 4 corresponding to the PSFU/PCU2</td>
<td>2,700,000</td>
<td>100%</td>
</tr>
<tr>
<td>Unallocated</td>
<td>2,100,000</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL AMOUNT</strong></td>
<td><strong>71,100,000</strong></td>
<td></td>
</tr>
</tbody>
</table>

456. The USDP funds will finance payments of eligible expenditures according to the disbursement category described in table 16 above describing the information included in Schedule 2, Section IV A2 in the FA.

457. The USDP’s Operating Costs are the incremental expenses incurred on account of the USDP implementation, based on the annual implementation and procurement plans and budget approved by the WB pursuant to the provisions of Section I.C.2 of Schedule 2 of the FA, and consisting of, financial audit fees, expenditures for office supplies, vehicle operation and maintenance, maintenance of equipment, communication and insurance costs, office administration costs, utilities, rental, consumables, accommodation, travel and per diem, and salaries of the PCU1, PCU2 and RTF/SDA staff, but excluding the salaries of the civil service participating in the USDP, meeting allowances, other sitting allowances, salary top ups and all honoraria for both the RTF, PCU1, PCU2, the 4 UTC/CoEs and the 12 VTIs.

458. **Disbursement:** According to the Letter of Disbursement agreed with the GoU, the WB will disburse USDP Credit funds based on the six months cash forecast contained in the quarterly IFRs.

459. The WB reserves the right to stop depositing funds into either the DA1 or DA2 if the DA1 or DA2 finances ineligible expenditures, or expenditures lacking sufficient evidence to justify them. The WB may continue to exercise this right until the GoU has: (a) refunded the amount involved; or (b) submitted evidence of other eligible expenditures that can be used to offset the ineligible amounts (if the WB agrees to this).

460. **Segregated Designated accounts (DA1 and DA2).** To facilitate timely implementation of the USDP Credit, the PCU1 will establish, maintain and operate, under conditions acceptable to the WB, a DA1 in USD in the name of the USDP/PCU1 in the Bank.
of Uganda in Kampala, while the PCU2 will establish a similar but different designated account DA2 also in USD in the name of the USDP/PCU2 in the Bank of Uganda in Kampala. USDP funds will flow from the WB, either as an advance, via the corresponding DA, or by direct payment, based on direct payment withdrawal applications.

461. Accordingly, the USDP will not operate under the Treasury Single Account (TSA) utilized by the MoFPED for GoU resources until the ongoing process of having separate TSA for donor-financed operations in the country is agreed and operationalized.

462. Funds from the DA1 and DA2 will be used exclusively to cover USDP expenditures as per their corresponding components and sub-components (other than direct payments or special commitments).

463. As per the Disbursement Letter, the DA1 and DA2 will have advanced funds for financing only eligible expenditures. The authorized signatories for withdrawal applications from the USDP Credit to replenish either DA1 or DA2 will request a partial amount of the initial advance (Deposit) when the respective implementing entities are ready to start implementation in order to avoid having the DA1 and DA2 in an inactive status.

464. The PCU1 and the PCU2 will also maintain a bank account in Ugandan Shillings – labeled the transit accounts 1 and 2 - in Bank of Uganda in Kampala, satisfactory to the MoFPED and the WB.

465. The PC of the PCU1 through its FMS or the PM of the PCU2 through its FMS should submit replenishment applications at least quarterly, or more frequently if needed, to ensure that sufficient funds are always available to support timely implementation. Replenishment applications of the DA1 and DA2 will be based on the IFRs and appropriate documentation including reconciled bank statements.

466. The FMSs in both the PCU1 and PCU2 will submit an IFR, bank statements and reconciliations of their respective designated and the USDP transit accounts (if in use) together with the withdrawal application.

467. The DPC of the PCU1 through its FMS or the PM of the PCU2 through its FMS as applicable is responsible for administering the corresponding USDP DA1 and DA2. Accordingly, the DPC of the PCU1 through its FMS or the PM of the PCU2 through its FMS as applicable is the sanctioned officers within the PCU1 or PCU2 respectively to authorize payments against funds in the DA1 or DA2 respectively.

---

7 Once the outstanding issue of the lapsed loan situation concerning the closed IDA-financed operation Uganda Post Primary Education and Training has been satisfactorily addressed by the GoU.
468. Payments out of the DA1 or DA2 are exclusively made for eligible expenditures in accordance with the provisions of the FA and the PA and are withdrawn through submission of sequentially numbered forms used by the WB. The FMSs of the PCU1 and PCU2 as applicable will keep all supporting documents; including contracts and procurement documentation, and evidence of payment in their files for examination by independent auditors and WB staff during the supervision missions.

469. Withdrawal Applications (WAs): The minimum value of application will be USD100,000. The WB will disburse the requested amount to the either DA1 or DA2 (as applicable) of the USDP Credit if it considers the WA acceptable. If any unusual items or amounts arise from such reconciliation, the FMSs of either the PCU1 or PCU2 as applicable, will report on this to the DPC of the PCU1 or the PM of the PCU2 as applicable, and contact the WB’s Financial Officer requesting clarifications on the inconsistencies. The FMSs of either the PCU1 or PCU2 as applicable, or the WB, (depending on the source of the inconsistencies) will address and remedy the inconsistencies.

470. Accepted WAs will include the appropriate IFRs, statements of expenditure subject to prior review, and the DA1 or DA2 reconciliation statement, as applicable. The FMSs of either the PCU1 or PCU2 as applicable, will keep records on expenditures. The WB disburses the requested amounts to the corresponding DA based on the WAs and provides either the PCU1 or the PCU2 as applicable, with access to disbursement information through the “Client-connection” website. The FMSs of either the PCU1 or PCU2 as applicable are responsible for comparing and checking the consistency of the website disbursement information with the USDP’s own records. The FMSs of either the PCU1 or PCU2 as applicable should check the amount available in the USDP Credit account for each category of expenditure and reevaluate the Uganda Shillings/USD rate to avoid over-spending of amounts available in the USDP Credit DAs.

471. Withdrawals of the allocation to the DAs and subsequent withdrawals from the DAs will be made as follows:

a) For withdrawals of the authorized allocations:
   
   (i) The authorized signatory of either the PCU1 or PCU2 as applicable, furnishes to the WB a request for deposit into the corresponding DA of an amount that do not exceed the aggregate amount of the authorized allocations (ceiling of the corresponding DA); and

   (ii) Based on such request, the WB, on behalf of the GoU, withdraws from the USDP Credit Account and deposits into the corresponding DA such amount as the authorized signatory has requested.
b) For replenishment of the corresponding DA:

(i) The authorized signatory furnishes to the WB requests for deposits into the corresponding DA at such intervals as the WB specifies;

(ii) Prior to or at the time of each such requests, the authorized signatory, through the DPC supported by the FMS of the PCU1 or the PM supported by the FMS of the PCU2 as applicable, furnishes to the WB the documents and other evidence required pursuant to the FA and the PA for the payment or payments in respect of which replenishment is requested;

(iii) On the basis of each such request, the WB, on behalf of the GoU, withdraws from the USDP Credit Account and deposits into the corresponding DA such amounts as the authorized signatory has requested and as have been shown by said documents and other evidence to be paid out of the corresponding DA for eligible expenditures. All such deposits are withdrawn by the WB from the USDP Credit Account under the eligible category (see table above), and in the equivalent amounts, as is justified by the said documents and other evidence.

472. The subsequent advances (replenishment of the corresponding DA) for eligible disbursements via the USDP segregated DAs will be made based on the IFRs (replenishment applications), prepared and submitted by the authorized signatory timely as defined in the Disbursement Letter for the USDP. The replenishment application package - transaction based disbursement method - shall contain and be supported with documents listed in Disbursement Letter.

473. The procedures for preparing and submitting replenishment application packages are the following:

(i) The FMS of either the PCU1 or the PCU2 as applicable, prepares for the approval of the DPC of the PCU1 or the PM of the PCU2 as applicable, the interim financial report;

(ii) If the DPC or the PM as applicable approves the IFR, it is sent to the Bank Task Team Leader for clearance by the Bank Financial Management Specialist and TTL approval.

(iii) Once the MoES and PSFU receive the Bank FMS Clearance and TTL approval, the FMSs will proceed and submit the WA through client connection attaching the FM clearance and TTL approval to the Ministry of Finance signatories.

(iv) The MoFPED signatories will review the WA submitted through client connection and if satisfied will sign off submitting it to the Bank’s Loan Department for processing.

(v) The WA/DA forms should be numbered sequentially, the first application being assigned number 1 (one) – corresponding DA, like for example PCU1/WA-01 for the PCU1 and PCU2/WA-01 for the PCU2;
474. Upon approval by the Loan Department of the WB, the total amount requested is deposited directly in the corresponding DA. The WB does not reimburse the required amount into special accounts if:

a. There are errors in the WA;
b. Disbursements do not correspond to expenditure categories, established in legal documents; and/or
c. The balance of the corresponding DA as per indicated in the respective DA Reconciliation Statement, and the bank statement copy do not correspond.

475. The WB based on direct payment to suppliers, contractors or service providers could make the direct payments. The applications for direct payments would be fully documented and would include the original records evidencing eligible expenditures, such as invoice and receipts.

476. **Flow of funds:** The FMSs in both the PCU1 and PCU2 will be in charge of managing the USDP flow of funds in line with the FA and the PA covenants, disbursement letter provisions, the WB disbursement guidelines and the POM. Payments for most project activities will be made using bank checks or bank transfers to contractors/suppliers.

477. The USDP Credit funds for all Components and sub-components will flow from the WB, via the corresponding DA (according to the component or sub-component), which will be replenished based on advances and documented WAs, (as explained paragraphs above) or by authorized payments to third parties through direct payment fully documented (fully explained below) and special commitment withdrawal applications. Accordingly:

a. After the DPC of the PCU1 or the PM of the PCU2 receives the invoice from the supplier, it is submitted to the PRS of the PCU1 or to the PRS of the PSFU as applicable, for analysis;
b. The corresponding PRS verifies the quality and quantity of the delivery covered by the invoice;
c. After the corresponding PRS approves the invoice in terms of quality and quantity of the good/service delivered against the relevant contract, the invoice is sent back to the DPC of the PCU1 or the PM of the PCU2 as applicable;
d. The corresponding FMS in either the PCU2 or PCU2 as applicable registers the invoice in a simple log file with name of supplier, amount, and date of payment. The corresponding FMS checks the invoice, its calculation, and finds the appropriate budget from which the amount will be charged (contract number, item number and program component). Then the receipt of the approved invoice is registered in the registry mentioned above, ensuring that payment will be made as per the payment
terms. Payment order and the invoice with all designated approvals and signatories will be submitted for payment;
e. The corresponding FMS prepares the payment instruction by the source of funding and communicates it to the DPC of the PCU1 or the PM of the PCU2 as applicable;
f. The DPC of the PCU1 or the PM of the PCU2 as applicable, authorizes the payment;
g. The DPC of the PCU1 or the PM of the PCU2 with the support of their respective FMS as applicable, processes the payment through the commercial bank; and
h. Based on the bank statements received by the PCU1 or PCU2 on a regular basis as applicable, the corresponding FMS records executed payments and performs due reconciliation of the bank balances.

478. **Payments to eligible suppliers:** If payments to eligible suppliers will be made from the WB funds in the corresponding DA, then the process for transferring the funds for payments will be as follows:

a. The corresponding FMS, either in the PCU1 or PCU2 as applicable, prepares a bank payment order/check and either the DPC in the PCU1 or the PM in the PCU2 as applicable, signs it; and

b. Upon receipt of the bank payment order, the **Bank of Uganda** transfers funds from the corresponding DA directly to the accounts of the foreign suppliers (in foreign currency) or to the local suppliers in Ugandan shillings after conversion and passing the Uganda Shillings funds through the corresponding Uganda Shilling transit account that is opened in Bank of Uganda Payments in foreign currency to local suppliers are allowed as well if the relevant regulations permit this.

479. **WB direct payments:** Either the DPC in the PCU1 or the PM in the PCU2 as applicable sends Direct Payment requests to the WB’s Loan Department as required using Form 2380 E, which is accessible through client connection (https://clientconnection.worldbank.org). The preparation of direct payment requests to the WB follows the same procedures as for a normal WAs (see paragraph above). The WB will, if it approves the requests, then make direct payment to the suppliers as directed.

480. **Accounts signatories:** The signatories to the USDP’s DA1 account and the transit bank accounts will be Permanent Secretary MoES, Assistant Commissioner Accounts MoES, FMS (PCU1), Project Coordinator USDP and Deputy Coordinator USDP of MoES and for the DA2 will be the Executive Director PSFU, PM PCU2, FMS –CEDP and the Project Accountant in the USDP implementation arrangement for component 3 and part of component 4 corresponding to the PCU2.
481. **Authorization of payment documents:** The DPC of the PCU1 or the PM of the PCU2 as applicable, reviews the delivery documents, the progress reports and the payment documents that the corresponding FMS has prepared or the eligible contractor has submitted to the either the PCU1 or PCU2 as applicable. The corresponding FMS will review and compile all of these documents for either the DPC or the PM as applicable, to approve and authorize for payment. If the DPC or the PM as applicable does not approve payment, the documents will be returned to the corresponding FMS for clarifications needed, including requesting additional information to the eligible contractor or provider of services or goods. If the DPC or the PM as applicable approves payment, the corresponding FMS prepares the payment documents and processes them accordingly within the number of days stipulated in the contract with the corresponding supplier after receipt of all appropriate supporting documents. In general, payments should be processed within 28 business days from receiving acceptable and approved claim with complete supporting documents.

482. **Payment for goods and works procured and services rendered:** The corresponding FMS makes payments for goods and works procured and services rendered, after authorization of either the DPC or the PM as applicable, or by direct payment from the WB, according to the eligibility of the disbursement, not later than twenty eight (28) working days from the DPC’s or PM’s authorization, as applicable. The corresponding FMS will make the appropriate accounting entries for the transactions in accordance with the Government of Uganda Chart of Accounts, on the same day that the payment is processed. The Chart of Accounts should allow data to be captured in a manner to facilitate financial reporting of project expenditures by: (i) project components; (ii) sub-components; and (iii) contracts.

483. **Payment of operating costs:** Operating costs means the incremental expenses incurred on account of USDP implementation, based on the annual implementation and procurement plans and budget approved by the WB pursuant to the provisions of Section I.C.2 of Schedule 2 of the FA, and of Schedule, Section II Part B of the PA, consisting of financial audit fees, expenditures for office supplies, vehicle operation and maintenance, maintenance of equipment, communication and insurance costs, office administration costs, utilities, rental, consumables, accommodation, travel and per diem, and salaries of the PCU1, PCU2 and RTF staff, but excluding the salaries of the civil service personnel participating in the implementation of the USDP, meeting allowances, other sitting allowances, salary top ups and all honoraria. The project will be required to report on operating costs in their quarterly reports to match it with other project costs.

484. Contingent on the authorization of either the DPC or the PM as applicable, the corresponding FMS pays for the operating costs according to the eligibility of the disbursement and the budgetary rules. The USDP will recognize eligible daily subsistence allowances as per existing GoU subsistence daily rates and regulations.
485. Budgetary and statutory control of the USDP Credit-related documents. The DPC or the PM as applicable, through their corresponding FMS controls the documents submitted in compliance with the USDP Credit budget and legislative regulations, and verifies the eligibility of the USDP Credit expenditures. The DPC or the PM as applicable, has to secure the WB approval of the annual budget at least one month before the beginning of the fiscal year. The budgets should be sufficiently detailed to the activity level. On a monthly basis, the WB task team leader should clear planned training and workshops, with detailed budget estimates, before proceeding with delivering the events.

486. The corresponding FMS is responsible to ensure that payments are in line with the approved annual budget and work plan. He/she should notify either the DPC or the PM as applicable, of any deviation from the approved budget. The DPC or the PM as applicable should obtain the WB “no objection” to any deviation exceeding 10 percent of the budget estimate. The corresponding FMS prepares the payment documents, and submits these to either the DPC or the PM as applicable, for authorization of payment. The DPC or the PM as applicable is also responsible to report on the variance analysis as part of the interim reports (IFRs).

487. **Internal controls:** this comprises the whole system of control, financial or otherwise, established by the GoU in order to: (a) carry out the project activities in an orderly and efficient manner; (b) ensure adherence to policies and procedures set forth in the FA and in the POM for the PCU1 and in the FA, the PA and the POM for the PCU2; and (c) safeguard the assets of the project and secure as far as possible the completeness and accuracy of the financial and other records.

488. Accordingly, the internal control lies in the organizational independence of the operating, custodial, and accounting functions comprising the initiation and authorization of a transaction, its recording, and custody of the resulting asset or liability carried out by at least three different and independent parties.

489. The focus of the internal control is placed on the following: (i) Segregation of duties; (ii) Physical control of assets; (iii) Authorization and approval; (iv) Clear channels of command; (v) Arithmetic and accounting accuracy; (vi) Integrity and performance of staff at all levels; and (vii) Supervision. Accordingly, ex post audits and social audits are crucial. These are documented in the Public Financial Management Act 2015, Treasury Accounting Instructions among others.
490. To ensure the segregation of duties, during the implementation of the USDP, the following policies shall be observed:

a. The following functional financial management responsibilities are performed by different qualified persons: (i) authorization to execute a transaction; (ii) recording of the transaction; and (iii) custody of assets involved in the transaction; and

b. Different qualified professionals will perform the functions of ordering, receiving, accounting for, and paying for goods and services.

491. The internal control system aims to:

a. Protect in all respects the intellectual and material integrity of the USDP;

b. Guarantee that all records are comprehensive, correct and safely protected;

c. Ensure the USDP is able to produce accurate financial statements; and

d. Take reasonable and appropriate precautions to guard against foreseeable emergencies.

492. The process of invoice handling and payments includes the following basic processing steps in the order presented:

a. The corresponding FMS receives for initial review all USDP related invoices associated with the USDP’s implementation;

b. The corresponding FMS in collaboration with the PRS of the PCU1 or the PRS of the PSFU as applicable, checks the invoices and verifies each of them for eligibility, consistency with the contract or ToRs that the invoice is for, with the approved budget and procurement plan and returns the invoice to the source for further clarification in the event of an inconsistency;

c. If the corresponding team FMS/PRS determine that the invoices are for eligible expenditures in accordance with the current approved budget and procurement plan and in addition, consistent with the contracts or ToRs to which they apply, they will submits an Acceptance Form (to be designed by the corresponding FMS) for approval by either the DPC of the PCU1 or the PM of the PCU2 as applicable, to process the corresponding payment;

d. The corresponding FMS checks each invoice for consistency with local legislation and the FA, PA (if required) and, if consistent, prepares a payment order for the Bank of Uganda where the corresponding DA is located, and submits the payment order to either the DPC or the PM as applicable, for approval and signing;

e. If the corresponding FMS finds any inconsistencies in an invoice, the corresponding FMS makes a request for clarification to the source of the invoice;

f. The DPC or the PM as applicable, signs the payment order; and
g. The corresponding FMS posts the necessary accounting transactions to the General Ledger (GL) corresponding to either the PCU1 or PCU2 as applicable.

493. To strengthen further the internal controls, the DPC and the PM should minimize the risk of misuse or fraud in the following ways:

a. The DPC and the PM as applicable, are responsible for deciding on approval of ToRs that are for amounts equal to or less than the WB “prior review” threshold stipulates for each activity in the project procurement plan;

b. Above those thresholds, a prior no-objection is required from the WB;

c. Disbursements are to be based on verifiable documents; and

d. The corresponding FMS develops a Fixed Assets Register (one for the PCU1 and one for the PCU2) to records all assets that the USDP Credit will finance. The corresponding FMS will apply the following rules to safeguard the assets:

   (i) The DPC and the PM as applicable, through their respective FMS will make available to the WB project implementation support missions, as well as on request from the MoES and the MoFPED/PSFU, information on fixed assets that the USDP Credit has financed, and on transfers and write-offs of these assets; and,

   (ii) The corresponding FMS will carry out regular stocktaking in addition to an annual stocktaking of the USDP assets that is carried out by an independent committee established for that purpose.

494. In exercising the internal control procedures, the FMS in either the PCU1 or PCU2 as applicable, will give special attention to ensure the following:

a. Financing arrangements and regulations stipulated in the FA/PA (“WB’s Disbursement Handbook” and “Financial Management and Internal Control Procedures”) apply to, and are observed for, use of all USDP Credit funds in general, and to the Contracts signed with the eligible contractors in particular. The DPC and the PM through their respective FMS will make reasonable efforts to use USDP Credit funds efficiently;

b. The DPC through the PRS of the PCU1 and the PM through the PRS of the PSFU procures goods and services in accordance with the FA, the PA, the POM and the approved procurement plan and budget; and

c. The corresponding FMS maintains all necessary supporting documents, records and accounts for all USDP Credit activities under its preview,
495. **Internal control procedures:** The general internal controls that the DPC and the PM will implement in the day-to-day operations through their respective SFMs are:

(i) Control of the staff: (the organizational chart, job descriptions and responsibilities, attendance schedules, activity schedules, performance evaluations);

(ii) Control of the disbursements: (work plans, budgets, procurement procedures and approval processes, payment procedures and approval processes, documentation);

(iii) Control of accounting records: (verification of source documents, reconciliation of records by journal and ledger entries, trial balance, bank statements and reconciliation of bank accounts);

(iv) Control of physical assets: (verification of physical assets by taking physical inventory, operational procedures and records, maintenance procedures and records, safety instructions) including a fixed asset inventory to be performed annually;

(v) Cash receipts are banked on a daily basis;

(vi) Cash receipts and payments are recorded on a daily basis;

(vii) A professional who does not make or approve payments shall prepare the monthly bank reconciliation. Unusual reconciling items are reviewed by the DPC or the PM as applicable;

(viii) Budgets are prepared for all significant activities in sufficient detail to provide a meaningful tool with which to monitor subsequent performance;

(ix) Actual expenditures are compared to the budget at least quarterly, and explanations required for significant variations from the budget;

(x) Approvals for variations from the budget must be obtained in advance in accordance to GoU and Bank guidelines. The budget is prepared by the corresponding FMS in cooperation with technical specialists of the PCU1 and PCU2 as applicable, and other implementing entities, and approved by the DPC or the PM as applicable;

(xi) Invoice processing procedures require that:

- Copies of purchase orders and receiving reports be obtained directly from issuing departments:
- Comparison be made of invoice quantities, prices, and terms, with those indicated on the purchase order and with records of goods actually received; and
- Comparison be made of invoice quantities with those indicated on the receiving reports.

(xii) Calculations be checked for accuracy;

(xiii) All invoices are to be stamped or otherwise marked “paid”, dated, reviewed and approved;
(xiv) The GLs (one for the PCU1 and the other for the PCU2) and subsidiary ledgers are reconciled on a monthly basis;
(xv) All accounting and supporting documents shall be retained on a permanent basis in a defined system that allows authorized users easy access; and
(xvi) Subsidiary records of fixed assets, containing the asset serial number, description, location of asset, date of acquisition and cost should be maintained and reconciled with control accounts on a quarterly basis.

496. **Bank Operations**: The corresponding FMS will review the monthly bank statements of their respective DA and the USDP Credit transit accounts for reconciliation purposes.

497. The corresponding FMS as applicable are responsible for issuing, and either the DPC of the PCU1 or the PM of the PCU2 as applicable, is responsible for reviewing all of the payment instructions for disbursements through the USDP Credit bank accounts, before the corresponding FMS submits these to either the DPC or the PM as applicable, for payment authorization.

498. The FMS will mark original cancelled payment instructions with a clearly visible “CANCELLED” stamp or sign, to avoid improper payment. The DPC or the PM as applicable will keep these to compare with monthly bank statements.

499. The corresponding FMS as applicable will be responsible for disbursements and will adhere to the following controls before submitting disbursement requests to either the DPC or the PM as applicable, for payment authorization. The corresponding FMS will:

a. Compare the documents with the budget of the related USDP Credit component or sub-component;
b. Review the reliability of the invoices, receipts and other disbursement documents;
c. Check the initials and signatures on the documents;
d. Verify the pricing information and calculations on the documents; and
e. Reimburse only valid business trip expenses of staff or external consultants (e.g. per diem, reasonable travel costs), and apply the WB regulations for payment and reimbursement of per diem/ subsistence allowances.

500. **Payroll Costs**: The corresponding FMS as applicable, will use supporting documents (e.g. attendance records/sheets) to control Payroll costs. The payroll control is to ensure compliance with the current tax and labor legislation of the GoU.

501. **Fixed Assets**: The fixed assets shown at the USDP Credit investment costs are not subject to the depreciation recording, whereas registration of the fixed assets is an important aspect of the Management Reports. The corresponding FMS as applicable, will record the
fixed assets of the USDP in the respective asset register (one for PCU1 and one for PCU2). The records of the fixed assets will include details on: (i) fixed asset tag number; (ii) model, type, and basic specifications; (iii) the date of acquisition; (iv) purchase costs reflected in original currency and USD; (v) location of the asset; and (vi) the names of the employee who is actually using it.

502. The DPC of the PCU1 or the PM of the PCU2 as applicable will establish a committee from the respective PCU staff that will conduct an annual physical inventory count of the fixed assets at the end of each year during the life of the USDP Credit. Each beneficiary of physical assets acquired under the USDP Credit will cooperate with the committee in conducting the inventory count of these assets. Afterward, the committee will submit the inventory count records to either the DPC or the PM as applicable, through the corresponding FMS, for the respective PCU to reconcile the assets identified in the physical count with the PCU’s records and prepare the appropriate reports.

503. Besides the fixed assets, some other inventories may exist, such as office supplies, low cost spare parts, small office equipment, equipment and other learning goods within the four CoEs, the VIs under sub-component 2.2, the RTF/SDA under component 1 and the grantees under the 4 window of component 3. The responsible person will keep such inventories under proper conditions. Disposals of obsolete assets will follow the PPDA regulations on disposal. The inventory can be counted during the annual fixed assets counts but they should be reported separately.

504. Project financial statements shall be presented in USD.

505. Reporting Fraud, Waste or Misuse: The DPC of the PCU1, will immediately report to the PS1 of the MoES (through the PC of the PCU1 via the commissioner of Planning of the MoES) and/or to the PS2 of the MoFPED via the Executive Director of the PSFU as applicable, and to the WB, any case of suspected fraud, waste, or misuse of USDP Credit resources or property brought to the information of the DPC or the PM as applicable. Nevertheless, any PCU1 and PCU2 staff or staff of the different implementing entities within the MoES, the RFT/SDA, the PSFU, CoEs, VIs and grantees, identifying such case should report it to his/her supervisor or to the next higher authority level, as appropriate.

506. External audit: Independent auditors acceptable to the WB will audit the USDP financial statements. In Uganda Bank financed projects under GoU are audited by the Office of the Auditor General (OAG) in cases where the audit is sub contracted by the OAG, the project will meet the audit fees and related costs. However, the OAG will sign final audit certificate. The audit will be conducted in accordance to the International Standards on
Auditing (ISA) as issued by the International Federation of Accountants (IFAC) and ToRs acceptable to the WB.

507. Two separate audit reports will be submitted, one for MoES-PCU1 and another for PSFU-PCU 2.

508. The DPC and/or the PM as applicable, and working as a team, with the support of their corresponding FMS, will clear the ToRs for the external audit with the WB (there will be only one ToRs for the external auditing of the entire USDP). However, the contracting process for the external auditor will be through the Office of the Auditor General.

509. The audited financial statements will be submitted to the Bank within six (6) months following the end of the USDP’s fiscal year and the closing of the USDP. The auditor will also submit a “Management Letter” to communicate any audit finding pertaining to the financial management systems, internal controls, etc.

510. The DPC and/or the PM as applicable, and working as a team, may request the WB to increase the first and last audit periods during the USDP’s entire implementation cycle if implementation or disbursements are delayed or extended.

511. The independent auditor shall become familiar with the relevant WB guidelines, which explain its financial reporting and auditing requirements. The auditor will be engaged not less than two months prior to the end of the financial year. The independent auditor shall be given access to all legal documents, correspondence, and any other information associated with the Project and deemed necessary by the auditor.

512. The scope of the auditing should include transactions that may indicate fraud, wasteful or illegal acts and expenditures. In addition, a detailed management letter containing recommendations for improvement of internal controls should also be part of the auditor’s report.

513. Once the annual audit has been completed, the independent auditor shall issue its Audit Report containing the specific opinions and conclusions required. All the reports resulting from a particular audit of the Project should be incorporated into one document. The reports shall be duly signed. In addition to the Audit Reports, the independent auditor shall prepare a Management Letter.
9.0 PROCUREMENT MANAGEMENT

9.1 Procurement Arrangements

514. Procurement under the project will be conducted by the following agencies; Ministry of Education and Sports, PSFU, Participating Colleges and VIs and Grantees. A capacity assessment of the Procurement and Disposal Unit (PDU) in the MoES was conducted and the findings, key risks and the mitigation measures were agreed on with the Bank. An officer from the PDU will be designated to fully support project procurement activities. Donor Contracts committee was established in the MoES.

9.2 Procurement Responsibilities

515. Procurement under the USDP will be conducted by the following agencies as shown in table 9.1 below.

Table 9.1 Procurement Agencies under USDP

<table>
<thead>
<tr>
<th>Component</th>
<th>Agency Responsible for procurement</th>
<th>Summary of Major procurements Expected</th>
</tr>
</thead>
</table>
| Component 1 – Institutionalizing systemic reforms in skills development | MoES/PCU1 | 1. Technical Assistance to support establishment and operations of the SSC  
2. Establishment of an MIS for the BTVET subsector  
3. Design and implementation of a communication and marketing program for the BTVET subsector |
| Component 2 – Improving Quality and Relevance of Skills Development | MoES/PCU1 | 1. Civil works in Refurbishment of the infrastructure in Institutes and Centers of Excellence  
2. Training Equipment and workshops for CoEs and twinning institutes  
3. Twinning partner institutes to provide technical assistance  
4. Small procurement under Operating Costs managed by the CoEs under sub-component 2.1 and the participating VIs under sub-component (see chapter 6 to the POM) |
| Component 3: Employer-led short-term training and recognition of prior learning | Grantees | 5. Providers of Skills training to grantees |
| Component 4 – Project Management | MoES/PCU1, PSFU/PCU2 | 6. Consultants to support project implementation  
7. Studies and surveys  
8. Impact evaluation and monitoring of the grant program |
<table>
<thead>
<tr>
<th>Component</th>
<th>Agency Responsible for procurement</th>
<th>Summary of Major procurements Expected</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>9. TA to conduct evaluation of grant applicants</td>
</tr>
</tbody>
</table>

516. In summary, the following are the USDP procurement responsibilities to be carried out following the procedures set for in the FA, the PA, the Procurement and Consultant Guidelines and this POM:-

(i) The PRS within the PCU1 for all the procurement of goods, services (consulting and non-consulting), works and supplies required for components 1, 2 and the part of 4 corresponding to the PCU1;

(ii) The PRS within the PSFU for all the procurement of goods, services (consulting and non-consulting) and supplies required for components 3 and the part of 4 corresponding to the PCU2;

(iii) The four CoEs being financed under sub-component 2.1 for minor procurements to be carried out under the category of operating costs as detailed in Chapters 5 and 6 to the POM;

(iv) The 12 VTIs being financed under sub-component 2.2 for minor procurements to be carried out under the category of operating costs as detailed in Chapter 6 to the POM and in their respective signed MoUs with the MoES/PCU1 as detailed in Chapter 5 to the POM; and

(v) The grantees being financed under any of the 4 windows under component 3 for all the procurements required in the implementation of their approved proposals as per their signed contract with the PSFU;

517. The various items under different expenditure categories for which procurement activities under the Project could be implemented are described below.

518. For each contract to be financed by the USDP, the different procurement or consultant methods, the need for prequalification, estimated costs, prior review requirements, and time frame are agreed between the GoU (represented respectively by the MoFPED/MoES with respect to the PCU1 and reflected in the FA and by the MoFPED/PSFU with respect to the PCU2 and reflected in the FA and the PA, herewith referred to as the Recipient) and the WB team and stated in the approved Procurement Plan.

519. The following are the USDP procurement responsibilities to be carried out following the procedures set for in the Financing Agreement, the Procurement and Consultant Guidelines and this POM:-

(a) **Procurement Arrangements for the MoES and RTF/SDA**

(i) Procurement under the MoES shall be conducted by the PCU1 through the PRS. PCU1 will be responsible for conducting procurement under the USDP working collaboratively with the PDU of the MoES, other technical departments of the MoES and other technical staff within the PCU1.
(ii) The PCU1 will be responsible for undertaking the eligible procurement requests including selection of consulting firms or individuals by the RTF/SDA as per the approved USDP implementation and procurement plans and budget.

(iii) The PDU of the MoES will be supported by the Procurement Specialist and with a specific person designated and dedicated to support the project. MoES has established a Donor Contracts Committee for donor financed Projects, which shall be responsible for adjudication of procurement decisions at key stages as envisaged in the Procurement, and Disposal of Public Assets Authority (PPDA) Act as further explained below.

(b) **Procurement Arrangements for the Participating CoEs and VTIs.**

520. While most of the major procurement for goods, works and consulting services under sub-components 2.1, 2.2 and 2.3 will be conducted by the MoES/PCU1, the 4 CoEs, when fully developed, and the 12 selected VIs will need to conduct some minor procurement under the category of expenditure “Operating Costs” defined in the approved annual work plan and procurement plan. The 4 UTCs (to migrate to CoEs) and the public VIs currently conduct their procurement using staff assigned on a part time basis. As part to institutional strengthening in component 2, the institute’s capacity will be built based on its planned procurements for the future. This will include determining the appropriate implementation structures for procurement and its development in a phased manner.

521. Given that the 4 UTCs are the beneficiaries of the USDP, they will participate in the procurement training to be done by the PCU1 by identifying their procurement needs, participating on evaluation teams and, more important, managing of procurement contracts.

(c) **Procurement Arrangements for the PSFU/PCU2**

522. The Procurement Office established under the Competitiveness and Enterprise Development Project (CEDP) at the request of the PCU2 shall conduct PSFU/PCU2. PSFU is in the process of strengthening the capacity in the unit by hiring an additional PRS to support PCU2 activities. The CEDP Contracts Committee (detailed further below) will do oversight and adjudication.

(d) **Procurement Arrangements for the Grantees under Component 3.**

523. Grant recipients under any of the 4 windows of component 3 shall be responsible for conducting procurement under their respective grants attuned to their signed contract with the PSFU and following the procedures set forth in the FA, the PA and the POM. The main procurement expected is for a training provider for which the grant is made. Procurement is expected to be conducted mainly following commercial practices acceptable to the WB.
524. The expected methods to be adopted are shopping and direct contracting of these training providers. Grantees will be required to attend a mandatory two-day induction training on basic financial management, procurement and safeguards.

525. In addition, grantees will require in their applications to demonstrate that: (i) the selected providers are well qualified to conduct the required training; and (ii) that the cost proposed for the training firm is reasonable. These will be subject to evaluation and verification by the PSFU/PCU2 evaluation consultant for grants above USD 10,000 to establish that this is the case. PSFU/PCU2 may maintain a database of potential providers but this shall not be exhaustive and binding on applicants and they may select other providers as long as the above conditions are met.

(c) General characteristics of the procurement under the USDP.

526. The procurement and selection of consultants to be undertaken under the USDP, needs to be effective and efficient and the procurement risks clearly and properly anticipated and addressed by all the responsible actors undertaking procurement activities under the USDP as described above.

(f) Publishing Procurement Notices and Contract Awards

527. The following publication requirements shall be followed for the Project

(i) The General Procurement Notice (GPN). The GPN was published in the UN Development Business and in DgMarket on-line for this Project on 13 May 2015. The GPN was announcing goods, works, consulting and non-consulting services to be procured for their respective components and sub-components, and inviting interested, eligible suppliers and consultants to express interest and to request more information from the MoES and PSFU. MoES and PSFU as applicable will duly record the contact details of all suppliers and consultants expressing interest following publication of the GPN. The GPN shall be updated as required.

(ii) For all contracts procured through ICB procedures, (for consulting contracts above USD300,000 for firms and USD100,000 for individuals,) the Specific Procurement Notice (SPN) or Invitation for Bids (IFB) shall be published in UNDB online, dg Market, and at least one newspaper of national circulation in Uganda. SPNs should also be transmitted to those who responded to the GPN.

(iii) For all contracts procured through NCB procedures, the Specific Procurement Notice (SPN) or Invitation for Bids (IFB) shall be published in newspapers of national circulation in Uganda.

---

8Effective, meaning getting the job done (goods acquired are delivered and installed, works contracted are timely completed meeting the technical specifications and contracted consulting and non-consulting services are performed on time and according to the ToRs).

9Efficient, meaning getting the job done in the best possible way in terms of remaining within the approved budget (costs), time (duration) and quality (functional parameters).
(iv) Requests for Expressions of Interest (EOIs) for consultancy contracts expected to cost more than US$ 300,000 shall be advertised in UNDB online and dg Market in addition to a national newspaper or an electronic portal with free access.

(g) **Advertising**

528. Whenever advertising is required according to the applicable provisions of the Procurement and Consultant Guidelines (like for example, Invitations to bid, including those to be procured through National Competitive Bidding (NCB) and ICB, or Request for Expressions of Interest, etc.), advertisements shall be published in at least two (2) consecutive days in a local newspaper of wide national circulation (Uganda media). Prospective bidders shall be allowed a minimum of thirty (30) days between the date on which the notification appears for the first time and the deadline for submission of bids or expressions of interest. With the specific approval of the WB, this minimum period of 30 days may be reduced to a minimum period of 10 days in the case of emergencies.

556. For all contracts procured through ICB and for consulting contracts above USD300, 000 for firms and USD100, 000 for individuals, the PRS in the PCU1 and the PRS in the PSFU as applicable, will advertise the respective SPN or REoIs for each of these in UN Development Business and DgMarket on-line. The PRS in the PCU1 and the PRS in the PSFU as applicable may also place advertisements in international newspapers or technical magazines. All contracts under these amounts should be advertised by the PRS in the PCU1 and the PRS in the PSFU as applicable, in local newspapers for at least two weeks.

(h) **Applicable Guidelines**

557. Procurement for goods, works and services (consulting and non-consulting) under the USDP will be carried out in accordance with the World Bank’s

a) Guidelines: Procurement of Goods, Works and Non-consulting Services under IBRD Loans and IDA Credits and Grants by WB Borrowers” dated January 2011 (revised July 2014), herewith referred to as the “Procurement Guidelines” in the case of goods and non-consulting services;

b) Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by WB Borrowers” dated January 2011 (revised July 2014), herewith referred to as the “Consultant Guidelines” in the case of consultants’ services;

c) Guidelines On Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants”, dated October 15, 2006; and

d) Provisions stipulated in the Financing Legal Agreement.
558. In case of conflict between GoU procurement and consultant regulations, guidelines and procedures with the ones from the World Bank, then the World Bank Procurement and Consultant Guidelines shall prevail.

9.3 Procurement Planning

559. Each contract to be financed by the Credit will be in the procurement plan prepared GoU and agreed with the Bank. The Procurement Plan will indicate for each contract the method for procurement of goods and works, and method for selection of consultants. The Plan will also indicate the planned and actual cost for each contract, the need for pre-qualification, estimated costs, prior review requirements, and time frame for key processing activities. The Procurement Plan will be updated at least semi-annually or, as required, to reflect the actual implementation progress of each contract against planned benchmarks. No procurement will be done if not indicated in the Procurement Plan.

560. The Procurement Plan provides the basis for the procurement methods. The plans were agreed between IDA and the Project Team.

561. The annual procurement plans shall be submitted to IDA for approval by the month of September of each Financial Year.

562. The steps for the approval of the USDP Credit procurement plans and budgets are as follows:

(i) The PCU1 and PCU2 working as a coordinated team, in close collaboration and consultation with the heads of the different implementing entities within the MoES, the RTF/SDA and the PSFU as per their respective USDP Component and sub-component prepare a draft procurement plan and budget based on actual USDP Credit implementation results and submit to USDP Steering Committee (USDP SC);

(ii) The USDP SC will review the proposed consolidated USDP procurement plan and if in agreement, they will endorse the plan and send it back to the implementing entities (MoES and PSFU) for further processing with the WB for its no-objection. If there are observations to the proposed consolidated USDP procurement plan, these need to be addressed by the corresponding entities, and if required, with the collaboration and consultation of the head of the corresponding implementing entity as per the questionable component and sub-component for which further clarification is required; and,

(iii) Once the WB provides its no-objection to the draft USDP procurement plan and budget, these documents become effective. In case of revisions upon WB review, these revisions are
subject to clearance from the USDP SC. Once cleared, the USDP procurement plan and budget then enter into force.

(a) Request for Procurement.

563. The heads of the different implementing entities within the MoES, the RFT/SDA and the PSFU will submit to PCU1 as applicable, any requests for procurement as they concern the implementation of their USDP-related activities. These requests will be submitted in written form in order to provide further processing of such request. These requests should include the technical specifications in case of goods, works, supplies/consumables and non-consulting services or ToRs Terms of Reference (ToRs) in case of consulting services.

564. PCU1 or the PSFU as applicable will first verify that these requests are consistent with the approved USDP annual implementation and procurement plan and budget.

565. If they are, the PCU1 or the PSFU as applicable, will then: (i) review the ToRs for technical assistance (TA)/consultancies or detailed technical specifications for the goods, works or non-consulting services of these requests; and (ii) in case there are no further clarifications, prepare the appropriate procurement documents in line with the applicable procurement or selection method (bidding documents, request for quotations, request for expressions of interest etc.). If the procurement procedure is subject to WB's prior review (depending on the estimated amount of the contract), MoES or PSFU as applicable, shall request the no-objection from the WB on the respective procurement documents. The ToRs for consultancy requires the WB is no objection regardless of the amount of the contract.

(b) Budget Compliance Control.

566. The PCU1 and the PSFU as applicable will submit the procurement request to their corresponding FMS for budget availability verification. The corresponding Financial Management Specialists (FMSs) as applicable will then verify the compliance of the procurement request with the approved budget, signing the procurement request upon verification or providing comments on non-compliance and informing the PRS in the PCU1 and the PCU2 in the PSFU as applicable, as well as the DPC in the PCU1 or the PM in the PCU2, as appropriate.

(c) Application of National Procurement Procedures

567. All contracts following National Competitive Bidding, and other lower procurement procedures (shopping, and selective tender for smaller works contracts) will follow the national public procurement law (the PPDA Act of 2003 [as amended] and attendant Regulations). These procedures have been reviewed by the Bank and found to be acceptable except for the following provisions, which will not be applicable under this project.
(i) **Application of Domestic Preference under NCB.** Domestic Preference shall only be applied under ICB.

(ii) **Charging of fees for dealing with bidder complaints at procuring entity level.** The procuring entities shall not be allowed to charge fees for dealing with complaints.

(iii) **Selection of Consultants:** The procedures for Selection of Consultants under the PPDA Act shall not apply. Only the Bank’s guidelines shall apply for selection of all Consultants under the project.

(iv) **Disqualification of Bidders** for not purchasing the bidding documents from the Ministry of Education and Sports or PSFU as the case may be shall not apply.

(v) Ineligibility shall in addition to firms suspended by PPDA extend to firms debarred or suspended by IDA.

(vi) Paragraph 6 (1) (b) of the 4th schedule of the Act restricting contract amendments to an aggregate amount of 25% of the original contract amount.

(vii) Regulations 48 of the PPDA regulations requiring the rejection of a bid submitted by a bidder who did not obtain the bidding document directly from the procuring and disposing entity shall not apply.

(viii) Regulation 53 (9) Restricting the use of bid securing declarations to restricted domestic bidding and quotations procurement. The declaration may also apply for National Competitive Bidding.

567. Under the proposed project, procurement processing under the project shall also in addition to the World Bank guidelines comply with the national approval system except where the two conflict, that is when the World Bank Guidelines will take precedence. Specifically, the Contracts Committees shall perform their oversight functions at every key procurement stage as required by the PPDA Act, and contracts shall be subjected to the Solicitor General's clearance where applicable.

(d) **Procedure for Shopping**

568. Shopping shall follow the Request for Quotation (RFQ) procedures as defined in the PPDA Act and attendant regulations. These procedures have been reviewed by the Bank and found to be satisfactory subject to the exceptions under para above. The thresholds for Quotations Method under the PPDA Act shall not apply.

(e) **Contracts Committee**

569. The projects Contracts Committee referred to above shall be responsible for review of all the projects procurements. The roles of the contracts committee shall be as follows:

(i) Adjudication of recommendations from the Procurement and Disposal Unit and award of contracts;

(ii) Approving Evaluation Committees;
(iii) Approving negotiation teams;
(iv) Ensuring that before it is approved, a procurement is in accordance with the procurement plan;
(v) Approving bidding and contract documents;
(vi) Approving procurement and disposal procedures;
(vii) Ensuring that best practices in relation to procurement and disposal are strictly adhered to by procuring and disposing entities;
(viii) Ensuring compliance with the Public Procurement and disposal of Public Assets Act, 2003 as Amended and the World Bank Procurement Guidelines where need be;
(ix) Liaising with the Public Procurement and Disposal of Public Assets Authority on matters within its jurisdiction.

(f) **Participation in Bidding.**

570. Government-owned enterprises in Uganda shall be eligible to participate in bidding only if they can establish that they are legally and financially autonomous, operate under commercial law, and are not a dependent agency of GoU.

571. Foreign bidders shall be eligible to participate under the same conditions as local bidders. In particular, no preference over foreign bidders shall be granted to local bidders in bid evaluations under national competitive biddings. The local preference can be granted in ICB cases.

572. Shortlists of contracts for consultant services estimated to cost less than USD200,000 equivalent per contract may comprise entirely of national consultants in accordance with the provisions of paragraph 2.7 of the WB Consultant Guidelines.

(g) **Standard Bidding Documents**

573. Until the GoU introduces standard bidding documents acceptable to the WB, simplified versions of WB’s standard bidding documents may be used with WB’s prior approval. In accordance with para.1.14 (e) of the Procurement Guidelines, each bidding document and contract financed out of the proceeds of the financing shall provide that:

(i) The bidders, suppliers, contractors and subcontractors shall permit the WB, at its request, to inspect their accounts and records relating to the bid submission and performance of the contract, and to have said accounts and records audited by auditors appointed by the WB; and

(ii) The deliberate and material violation by the bidder, supplier, contractor or subcontractor of such provision may account to an obstructive practice as defined in paragraph 1.14 (a) (v) of the Procurement Guidelines.
(h) Qualification Criteria and Evaluation Criteria.

574. Qualification criteria shall be clearly specified in the procurement documents, and all criteria so specified, and only criteria so specified, shall be used to determine whether a bidder is qualified. Bids of bidders not meeting such criteria shall be rejected as non-qualified.

575. In the procurement of goods, works and non-consulting services, the fact that a responsive bidder meets or exceeds the specified qualification criteria shall not influence the final ranking of bidders.

576. Evaluation criteria shall be clearly specified in the procurement documents, and all evaluation criteria other than price shall be quantified in monetary terms. All evaluation criteria so specified, and only criteria so specified, shall be used in the bid evaluation process.

(i) Pre-bid Meetings and Pre-proposal Conferences.

577. The bidding documents and RFP should invite prospective bidders to attend pre-bid meetings and pre-proposal conferences. During these meetings the PRS and PDU of the MoES and PRS of PSFU, shall explain the requirements of the bidding documents/RFP to ensure proper understanding of both procedural and technical aspects of the procurement process. Minutes of these meetings shall be disseminated among all bidders that have expressed interest in the respective procurement packages.

(j) Contracts Committees and Evaluation Committees

578. There will be two sets of Tender Committees also known as Contracts Committees. One set of contracts committee is associated to the PCU1 (officially known as the Donor Project Contracts Committee) and the other set, Tender Committee 2 for the PSFU/PCU2 (officially known as the CEDP Contracts Committee). Contracts Committee is responsible for launching the tender for each procurement package, opening the bidding offers jointly with PDU in a bid opening meeting and approving the evaluation teams and evaluation reports.

579. The Accounting officer of each entity will appoints members of the Contracts Committee after the approval of the members by the Secretary to the Treasury of MOFPED.

580. The Accounting Officer appoints as secretary of the Contracts Committee, a member of the MOES or PSFU as the case may be, but who is not a member of PDU. The chairperson chairs the meetings of the Contracts Committee and in the absence of the chairperson, the members elect from amongst themselves a member to chair the meeting. The quorum for a meeting of the Contracts Committee is any three members present at a meeting.
581. Evaluation Committees under PCU1 and PCU2 are Adhoc committees for each procurement package, and the Contracts Committee upon recommendation by the PDU approves members. A person appointed member of an evaluation committee should have the technical skills and experience relevant for the procurement requirement.

582. An evaluation committee should have among its members; a person representing the user department; and a member of the procurement and disposal unit. A member of a Contracts Committee should not be a member of an evaluation committee. A member of an evaluation committee shall declare that he or she has read the Code of Ethical Conduct in Business and does not have a conflict of interest in the procurement requirement by signing the code of ethical conduct.

583. The members of an evaluation committee shall select a chairperson, from amongst themselves. The chairperson of the evaluation committee is responsible for; chairing the meetings of the evaluation committee, conducting the evaluation in accordance with the bidding document; submitting the report of the evaluation committee to the Contracts Committee through PDU and communicating between the evaluation committee and a bidder where necessary.

584. No additional remuneration, bonus or incentive shall be paid to any Tender Committee and evaluation committee members, other than per diem if out of town travel is necessary. The per diem rate shall cover subsistence costs, travel and accommodation (to be reimbursed at actual cost) and shall be in line with applicable rates used for GoU employees.

585. All contracts for goods, supplies and non-consulting services equal, above 5,000,000 Ugandan Shillings (USD1, 666) and equal, or above 10,000,000 Ugandan Shillings (USD3, 333) for works needs to be approved by the respective Tender Committee.

586. Bid submission and opening. Bids shall be submitted in sealed envelopes and shall be accepted whether mailed or hand-carried.

587. Immediately after bid submission, once the names of the bidders are known, each PEC member shall sign a declaration on confidentiality and conflict of interest.

588. Bids shall be opened by the respective Tender Committee in the presence of the respective PEC members as well as bidders who wish to attend, and immediately after the deadline for bid submission. The said deadline and the place of bid opening shall be announced in the invitation to bid. The name of bidders, and the amount of their bid, shall be read aloud and recorded when opened in the minutes of bid opening. All attendants (PEC members and bidders' representatives) shall sign the minutes of bid opening. A copy of the minutes shall be provided to every bidder, regardless of his or her attendance of the bid-opening meeting. A copy shall also be sent to the WB for information immediately after the meeting.
589. Bids received after the deadline for bid submission shall be immediately returned to the bidders unopened.

590. Financial proposals for consulting contracts shall NOT be opened together with the technical proposals.

591. Bid evaluation and award of contracts. A bid containing material deviations from or reservations to the terms, conditions and specifications of the procurement documents shall be rejected as not substantially responsive. A bidder shall not be permitted to withdraw material deviations or reservations once bids have been opened.

592. The bid evaluation shall be carried out in strict adherence to the criteria specified in the procurement documents, and the contract shall be awarded to: (i) the qualified bidder offering the lowest evaluated and substantially responsive bid (in contracts for the procurement of goods, works and non-consulting services and consulting services procured under the Least Cost Selection method); or (ii) the consultant who submitted the proposal with the highest score (in consulting contracts except those procured under the Least Cost Selection method).

593. A bidder shall not be required, as a condition for award, to undertake obligations not specified in the procurement documents or otherwise to modify his bid as originally submitted.

594. In the procurement of goods, works and non-consulting services there shall be no post-bidding negotiations with the lowest or any other bidder. Negotiations are only allowed in the selection of consultants, according to the applicable provisions of the Consultant Guidelines and RfP

595. Bid prices, price adjustment and currency of contract. In order to mitigate the risks of inflation and foreign exchange fluctuations, as well as potential confusions generated by parallel exchange rates and to the extent allowed by national regulations, all bidders (foreign and local) shall be allowed to price their bids and proposals in any fully convertible currency, singly or in combination of up to three (03) foreign currency; however, all contracts (foreign and local) shall be signed in the local currency (Uganda shillings) and payment shall be effected in the same. The single currency for the conversion of all prices expressed in various currencies into a single one shall be Uganda Shillings and the official source of the selling (exchange) rate is Bank of Uganda. The date of the exchange rate shall be date of financial proposal opening. Price adjustment shall be allowed in such contracts where payments are made in local currency for those contracts with duration of more than 18 months.
(k) **Contract Documents.**

566. The contract documents will clearly define the scope of work to be performed, the goods to be supplied or works to be carried out or the services to be performed and the rights and obligations of the MoES and PSFU, as applicable, and of the Supplier/Contractor/Consultant. In addition to the general conditions of contract, the contract will include any special conditions particular to the specific goods, consulting services or non-consulting services to be procured and specify the location of the project.

567. The DPC in the PCU1 and the PM in the PCU2 as applicable, shall award the contract, within the period of the validity of bids. The notification of award will constitute the formation of the Contract. The award will not require any bidder to undertake responsibilities for work not stipulated in the bidding documents or to otherwise modify the bid as originally submitted. At the same time as the Purchaser notifies the successful Bidder that the former has accepted the bid of the latter, the DPC in the PCU1 and the PM in the PCU2 as applicable, will send the Bidder the Contract Form provided in the bidding documents, incorporating all agreements between the parties.

### 9.4 Types of Consulting Contracts.

596. For the USDP, only the following two types of contracts for consulting services will be considered.

(i) **Lump sum contracts** are mainly for assignments in which the content and the duration of the services and the required output of the consultants are clearly defined. They are widely used for simple planning and feasibility studies, environmental studies and preparation of data processing systems. Payments are linked to outputs (called “deliverables”), such as reports. Lump sum contracts are easy to administer because payments are due on clearly specified outputs; and

(ii) **Time-based contracts** are appropriate when it is difficult to define the scope and the length of services, either because the services are related to activities of others for which the completion period may vary, or because the input of the consultants required attaining the objectives of the assignment is difficult to assess. These types of contract are widely used for advisory services and for most training assignments. Payments are based on agreed hourly, daily, weekly, or monthly rates for staff (who are normally named in the contract) and on reimbursable items using actual expenses or agreed unit prices or both. The rates for staff include salary, social security costs, overhead, fee (or profit), and, where appropriate, special allowances. This type of contract will specify a maximum amount of total payments to consultants. This limit should include a contingency allowance for unforeseen work and extended duration, and a provision for price adjustments, where appropriate. The client needs
to closely monitor and administer time-based contracts to ensure that the assignment progresses satisfactorily, and that payments that the consultants claim are appropriate.

9.5 Procurement Methods for Goods, Works and Non-consulting Services.

597. Goods procured under the USDP would include, for example, school furniture, learning and training equipment and materials for the 4 CoEs and the 12 VIs and exceptionally, also for some grantees, vehicles, office and information and communication technologies (ICT) equipment. Most of the learning and training equipment that would be required for the USDP is not locally produced and therefore it would have to be imported. Accordingly, the procurement will be subject to international competitive bidding. To make it more attractive to the supplier, equipment shall as much as possible be consolidated and procured in bulk to make it more attractive to the supplier.

598. Works procured under the USDP would include mostly constructions, renovations and expansions, especially of workshop facilities and classrooms of the 4 CoEs and the 12 VIs. exceptionally; some minor works could be expected from some grantees under component 3. The refurbishment/upgrading is expected to be relatively small civil works contracts that can be done by local firms and not expected to attract major international competition. Sufficient local construction firms exist to perform the contracts and local competition will suffice. Nonetheless, the contracts shall be packaged into lots to allow firms to offer discounts on bigger contracts.

599. Non-consulting services would include, for example, printing of social marketing campaign-related materials, office utilities, transport, distribution and collection of USDP-related materials like survey questionnaires.

9.5.1 Procurement Methods for Goods and Works

600. The PSs in the PCU1 and in the PSFU as applicable will follow the methods of procurement described below.

601. **International Competitive Bidding (ICB).** The objective of ICB is to provide all eligible prospective bidders with timely and adequate notification of a buyer’s requirements and an equal opportunity to bid for the required goods and works. The procedures will apply for contracts of: (i) works equal or above USD10,000,000 equivalent per contract; (ii) goods equal or above USD1,000,000 equivalent per contract; (iii) non-consulting services equal or above USD500,000 equivalent per contract; and for consulting contracts equal or above USD300,000 for firms and USD100,000 for individuals.

602. The following features of ICB distinguish it from NCB:

(i) Bidding currency will be in USD
(ii) The IFB/SPN shall be advertised internationally in the **UN Development Business (UNDB)** online and **dg Market** in addition to the local and regional newspapers.
(iii) The procurements shall be subject to the Bank’s prior review.
(iv) The World Bank standard Bidding Documents shall be adopted

603. The contract award shall be published in dg market and UNDB within two weeks of Bank’s No Objection.

604. **Limited International Bidding (LIB)** is essentially ICB by direct invitation without open advertisement. It may be an appropriate method of procurement where (a) there are only a limited number of suppliers, or (b) other exceptional reasons may justify departure from full ICB procedures. Under LIB, bids shall be invited from a list of potential suppliers broad enough to assure competitive prices, such list to include all suppliers when there are only a limited number. Domestic preferences are not applicable in the evaluation of bids under LIB. In all respects other than advertisement and preferences, ICB procedures shall apply, including the publication of the Award of Contract.

605. **National Competitive Bidding (NCB)** is the competitive bidding procedure normally used for public procurement in the country of the Borrower, and may be the most appropriate way of procuring goods or works which, by their nature or scope, are unlikely to attract foreign competition e.g. (a) the contract values are small, (b) works are scattered geographically or spread over time, (c) works are labour intensive, or (d) the goods or works are available locally at prices below the international market or (e) where the advantages of ICB are clearly outweighed by the administrative or financial burden involved. To be acceptable for use in Bank-financed procurement, these procedures shall be reviewed and modified as necessary to assure economy, efficiency, transparency, and broad consistency with the provisions included in the Guidelines.

606. **National Competitive Bidding (NCB)** is the competitive bidding procedure normally used for public procurement in the country of the Borrower, and may be the most appropriate way of procuring goods or works which, by their nature or scope, are unlikely to attract foreign competition e.g. (a) the contract values are small, (b) works are scattered geographically or spread over time, (c) works are labour intensive, or (d) the goods or works are available locally at prices below the international market or (e) where the advantages of ICB are clearly outweighed by the administrative or financial burden involved. To be acceptable for use in Bank-financed procurement, these procedures shall be reviewed and modified as necessary to assure economy, efficiency, transparency, and broad consistency with the provisions included in the Guidelines.

607. Procedures will apply for contracts of: (i) works below USD10,000,000 equivalent per contract; (ii) goods below USD1,000,000 equivalent per contract; (iii) non-consulting services

---

10 Any such modification shall be reflected in the Loan Agreement.
11 Any such modification shall be reflected in the Loan Agreement.
below USD500,000 equivalent per contract and, iv) consulting contracts below USD300,000 for firms and USD100,000 for individuals.

608. Shopping is a procurement method based on comparing price quotations obtained from several suppliers (in the case of goods) or from several contractors (in the case of civil works), with a minimum of three, to assure competitive prices, and is an appropriate method for procuring readily available off-the-shelf goods or standard specification commodities of small value, or simple civil works of small value.

609. The method will apply for contracts of: (i) works below USD200,000 equivalent per contract; (ii) goods below USD100,000 equivalent per contract; and (iii) non-consulting services below USD50,000 equivalent per contract. This procurement method requires at least three technically, independent and commercially responsive quotes. This procurement method will apply because the value of goods is not large enough to justify the administrative and other costs of more competitive procurement methods.

610. Direct Contracting is contracting without competition (single source) and may be an appropriate method under the following circumstances:

(i) An existing contract for goods or works, awarded in accordance with procedures acceptable to the Bank, may be extended for additional goods or works of a similar nature. The Bank shall be satisfied in such cases that no advantage could be obtained by further competition and that the prices on the extended contract are reasonable. Provisions for such an extension, if considered likely in advance, shall be included in the original contract.

(ii) Standardization of equipment or spare parts, to be compatible with existing equipment, may justify additional purchases from the original Supplier. For such purchases to be justified, the original equipment shall be suitable, the number of new items shall generally be less than the existing number, the price shall be reasonable, and the advantages of another make or source of equipment shall have been considered and rejected on grounds acceptable to the Bank.

(iii) The required equipment is proprietary and obtainable only from one source.

(iv) The Contractor responsible for a process design requires the purchase of critical items from a particular Supplier as a condition of a performance guarantee.

(v) In exceptional cases, such as in response to natural disasters.

611. The Bank’s latest Standard Bidding Documents (SBDs) will be used for procurement of goods following ICB procedure and SBD acceptable to the Bank will be used for procuring NCB procedures.
612. Overall, the USDP will involve a large number of complex TA contracts with several requiring international competition, like for example: (i) the establishment and functioning of the SSCs and the SDA; (ii) the twinning arrangement for each one of the 4 CoEs; (iii) international accreditation; (iv) design and establishment of an MIS for the BTVET; (v) the carrying out of institutional performance audits; and (vi) the carrying out of some studies.

613. The refurbishment and/or upgrading shall be supervised by local engineering firms for which, a sufficient number with adequate capacity exists in the country. Strong supervision will however be required to keep works on track.

614. Short lists of consultants for services estimated to cost less than USD300, 000 equivalent per contract may be composed entirely of national consultants in accordance with the provisions of paragraph 2.7 of the Consultant Guidelines.

615. Where applicable, contracts will be packaged for consulting services (like for example, technical assistance, design of training modules and provision of the same, workshops, conferences) to combine related skills, to make them attractive to potential consultants, to increase competition, and to reduce the number of contracts the PCU1 and the PCU2 through as applicable, will have to manage.

616. The following methods of selection of consultants will be followed:

a) Quality and Cost-based Selection (QCBS) is a method based on the quality of the proposals and the cost of the services to be provided. It is the method that would be frequently used to select consultants under the Project and when: (i) the scope of work of the assignment can be precisely defined and the ToRs are well specified; and (ii) the Executing Agency and the consultants can estimate with reasonable precision the staff time as well as the other inputs and costs required of the consultants. This should be the default method for selecting consulting firms. This procedure will be applied to contracts of consulting firms above USD300, 000 equivalent per contract or consulting individuals above USD100, 000 equivalent per contract.

617. The process includes the following steps

(i) Preparation of the TOR;
(ii) Preparation of cost estimate and the budget;
(iii) Advertising;
(iv) Preparation of the short list of consultants;
(v) Preparation and issuance of the RFP [which should include: the Letter of Invitation (LOI); Instructions to Consultants (ITC); the TOR and the proposed draft contract];
(vi) Receipt of proposals;
(vii) Evaluation of technical proposals: consideration of quality;
(viii) Public opening of financial proposals;
(ix) Evaluation of financial proposal;
(x) final evaluation of quality and cost; and
(xi) Negotiations and award of the contract to the selected firm

(a) Consultant’s Qualifications Selection (CQS) procedures will apply for contracts with consulting firms costing less than USD300,000 equivalent per contract or USD100,000 or less per individual consultant per contract

(b) Quality Based Selection (QBS) is based on an evaluation of the quality of the proposals and the subsequent negotiation of the financial proposal and the contract with the consultant who submitted the highest ranked technical proposal (like for example, impact evaluation studies).

QBS could be used to engage consulting firms when:

✓ Downstream impact of the assignment is so large that the quality of the services becomes of overriding importance for the outcome of the project;

✓ Scope of work of the assignment and ToR are difficult to define because of the novelty or complexity of the assignment, or the need to select among innovative solutions, or due to particular physical, social, or political conditions;

✓ Assignment can be carried out in substantially different ways, such that cost proposals may not easily be comparable; and

✓ Introduction of cost as a factor of selection renders competition unfair.

In QBS, the RFP may request submission of a technical proposal only (without the financial proposal), or request submission of both technical and financial proposals at the same time, but in separate envelopes (two-envelope system). The RFP shall provide either the estimated budget or the estimated number of key staff time, specifying that this information is given as an indication only and that consultants shall be free to propose their own estimates.

If technical proposals alone were invited, after evaluating the technical proposals using the same methodology as in QCBS, the Borrower shall ask the consultant with the highest ranked technical proposal to submit a detailed financial proposal. The Borrower and the consultant shall then negotiate the financial proposal and the contract. All other aspects of the selection process shall be identical to those of QCBS, including the publication of the Award of Contract as described above except that only the price of the winning firm is published. If consultants were requested to provide financial proposals initially together with the technical proposals, safeguards shall be built in as in QCBS to ensure that the price proposal of only the selected firm is opened and the rest returned unopened, after the negotiations are successfully concluded.

12Financial negotiations under QBS includes negotiations of all consultant’s remuneration and other expenses.
(c) Fixed Budget Selection (FBS). This method applies when the assignment is simple and can be precisely defined and when the budget is fixed. The RFP shall indicate the available budget and request the consultants to provide their best technical and financial proposals in separate envelopes, within the budget. TOR should be particularly well prepared to make sure that the budget is sufficient for the consultants to perform the expected tasks. Evaluation of all technical proposals shall be carried out first as in the QCBS method. Then the price proposals shall be opened in public and prices shall be read out aloud. Proposals that exceed the indicated budget shall be rejected. The Consultant who has submitted the highest ranked technical proposal among the rest shall be selected and invited to negotiate a contract.

(d) Individual Consultants Selection (ICS) will be hired in accordance with Section V of the Consultant’s Guidelines. Individual consultants will be hired for small assignments of short-term duration for consulting services when no company or firm services are needed and only when the individual is qualified and can be reasonably expected to complete the assignment;

618. Individual consultants are engaged on assignments for which (a) the experience and qualifications of the individual are the predominant considerations, (b) no support from a home office is needed, and (c) teamwork or a multidisciplinary approach is not necessary. The process by which Borrowers select individual consultants under Bank funding does not strictly follow the selection methods used for firms.

619. The entity shall first prepare a ToR for the consultant assignment, including the scope of work and its estimated cost. Submit them to the Bank for “no objection”. Advertising is not required.

620. Selection is done by comparing the qualifications of at least three candidates among those who have expressed interest in the assignment or have been approached directly.

621. Individual consultants considered for the comparison shall meet the minimum relevant qualifications, and the one selected to be employed shall be the best qualified and shall be fully capable of carrying out the assignment and;

(e) Single Source Selection (SSS) for similar consulting activities financed under a previous IDRB Loan, or IDA Creditor or Global Partnership for Education grant in Uganda where no advantage could be obtained by further competition. It does not provide the benefits of competition concerning quality and cost, lacks transparency in selection, and could encourage unacceptable practices. It shall be used only in exceptional cases.
9.6 Training, Workshops and Conferences.

622. The training (including training materials and support) workshops and conferences will be carried out based on approved annual training and workshop/conference programs. Detailed programs indicating: (i) the nature of training/workshop, (ii) institutions where training/workshops would be conducted (selection of institutions and justification thereof); (iii) number and function/titles of trainees/participants; (iv) duration and timing; (v) estimated cost; and (vi) contents of the training, will be submitted to the WB for review and no-objection prior to initiating the process.

623. After the training, the beneficiaries will be requested to submit a brief report indicating which skills have been acquired and how these skills will contribute to enhance his/her performance and contribute to the attainment of the USDP’s developmental objectives.

624. The training costs will include: (i) the design of training materials and modules; (ii) the organizational expenses (rent of the premises, rent of equipment, stationery, handouts, training materials, and coffee breaks); Transportation, and (iii) the per diems for participants to cover lodging and subsistence at UN’s authorized per diems for trainees and trainers.

625. The PCU1 together with the heads of the implementing entities corresponding to the component or sub-component for which training or the carrying out of a workshop is required, will be responsible for the organization and administration of any required training and/or workshops including project launch, mid-term and completion workshops.

(a) Procurement supervision, prior review and ex-post review by the World Bank

(i) Prior Review by the World Bank

626. The WB reviews the procurement of goods, works and non-consulting services as well as the selection of consultants according to the review procedure specified in the approved Procurement Plan for each procurement package. Whenever prior review is required, the provisions of Appendix 1 of the Procurement and Consultants Guidelines shall apply.

627. The WB will review the selection process for the hiring of consultants as applicable, might propose, including the cost estimate, the contract packaging, the applicable procedures, the short list and the selection criteria, for conformity with these WB policies and Guidelines, and the proposed implementation program and disbursement schedule.
628. The Ministry will promptly inform the WB of any delay, or other changes in the scheduling of the hiring process, which could significantly affect the timely and successful implementation of the USDP Credit, and agree with the WB on corrective measures.

629. The contracts of qualified and eligible consulting firms or individuals that the Contract Committees have selected, following the above mentioned WB guidelines, will be awarded after the GoU has signed the Financing Agreement, the PSFU has signed the Partnership Agreement, the USDP Project Operations Manual, satisfactory to the WB has been adopted by both the MoES and the PSFU and the USDP Credit becomes effective.

630. The selected consulting firm or individual will sign the contract with the Permanent Secretary of the MoES if the procurement process was carried out by the PCU1 or with the Executive Director of the PSFU if the procurement process was carried out by the PCU2.

631. The MoES and PSFU, will promptly notify the firms and individuals on the shortlist that the Contracts Committee as applicable, did not select and the reasons for no selection.

632. Selection decisions that are subject to Prior Review by the WB are given in the Annual Procurement Plan according to the threshold described in the corresponding table above.

(ii) Routine Procurement Supervision by World Bank

633. WB procurement supervision will be carried out every 6 months after Credit effectiveness. The Procurement Specialist based in the region/country office will provide these routine procurement reviews and supervisions. In addition, one supervision mission is expected to take place per year during which ex-post reviews will be conducted for the contracts that are not subject to Bank prior review on a sample basis equivalent to not less than 10 percent in terms of number of contracts awarded during the review period.

634. Agreement was reached between the GoU and the WB that if a particular invitation for bid comprises several packages, lots or slices, and has been invited in the same invitation for bidding, then the aggregate value of the whole package determines the applicable threshold amount for procurement and also for the review by the WB.

635. Post review this will apply to any contract not governed by the Prior Review threshold.

9.7 Strengthening of the Procurement Unit in MoES

636. The MoES has a long established Procurement and Disposal Unit (PDU), which is responsible for all procurement activities. While some capacity has been built over the years, this capacity has been eroded by the transfer of all procurement staff as part of the 3 year rotation. There are major delays in procurement and overall weak contract administration including major
637. In order to mitigate such risks, the following measures have been or will be put in place:

(i) MoES/PDU will prepare manual to elaborate procurement arrangements as part of project preparation as a condition of project effectiveness;

(ii) Training of MoES, PCU1, PCU2 and related PSFU staff and staff comprising the different implementing entities starting from the project launch, repeated periodically thereafter, and supplemented by on the job training on procedures and methods required to effectively carry out their vigilance function. Such trainings will build confidence and skills in procurement for both Ministry and key institute staff;

(iii) Hire procurement specialists under the Albertine and GPE projects and these shall be responsible for the procurement under SDP;

(iv) MoES to designate and dedicate an officer in the PDU to support procurement under the USD project;

(v) MoES Internal Audit / to conduct 6 monthly internal audit of (i) timeliness of procurement, (ii) timeliness of contract performance, (iii) Quality of goods delivered and (iv) timeliness of payment. Audit to be done and reported on at least 6 monthly as a covenant in agreement. Thereafter monitor implementation of recommendations;

(vi) The MoES has established a separate Contracts Committee responsible for donor including IDA financed procurements given the significant increase in IDA portfolio in Education;

(vii) The MoES will recruit additional staff especially in the PCU to augment the Ministry’s procurement capacity. These shall include a Civil Engineer, Safeguards Specialist, Communications Specialist, Deputy Coordinator, Skills Development advisor, etc.;

(viii) Staff from Twinning institutes will support on specifications for equipment and type of upgrading;

(ix) Closely monitor hiring of twinning institutes to ensure timely hiring and hiring of qualified institutes;

(x) In order to strengthen contract management and reporting schemes with PDU responsible for reporting on overall progress on contract implementation and recommending measures...
to address delays, the following actions would be undertaken: (i) enforcement of penalties for delays; (ii) better management and enforcement of securities; and (iii) timely payments;

(xi) Hire sufficient technical staff and support staff to support contract administration;

(xii) The DPC in the PCU1 and the PM in the PCU2 as applicable will apply a ‘one-strike’ policy to all contractors and consultants involved in any case of complicity in corruption, collusion, nepotism or fraud. The DPC in the PCU1 and the PM in the PCU2 as applicable will dismiss these contractors and consultants, will disqualify them from all further USDP Credit activities and may subject them to prosecution.

638. **Due diligence** will be conducted on veracity bidder qualifications prior to contract award. Also, verify guarantees prior to release of funds.

639. **Complaints.** PCU1 and PCU2 as applicable will compile all complaints from bidders, observers or other parties and follow-up action. Compiled complaints will be submitted to World Bank for information. The complaint registration and handling mechanism to be set up in the PCU1 and PCU2 units aims at ensuring that any complaint is treated fairly and openly. Any complaint concerning the procurement or other aspects of the USDP implementation has to be registered and dealt within (30 working days).

640. **Anti-Fraud and Corruption Measures.** The Anti-Corruption Guidelines referred to in the FA, the PA and its provisions are included in all WB Standard Bid Documents and Contracts for Goods, Works and Consultants’ Services, and thus they are to be included in any bid documents and contracts, especially those used for ICB and NCB. The WB will maintain intensive oversight through its field implementation support missions and will carry out prior review of all major contracts according to the thresholds that will be regularly reviewed and adjusted as needed in the approved Procurement Plan.

641. **Transparency.** A public information system will be established by PCU1 and PCU2. Information on public procurement under the project will be published and distributed through available media, including through ministry website with free national and international access.

642. Information published will include at least invitations to prequalify, bid or express interest as required by paragraphs 2.7 and 2.8 of the Procurement Guidelines and paragraph 2.5 of the Consultants Guidelines. Similarly, all information related to awards of contracts will be published in accordance to the requirements detailed in paragraph 7 of Appendix 1 of both guidelines.

643. **Custom duties exemption.** MoES and PSFU as applicable shall apply to the relevant authorities in MoFPED to obtain exemption of custom duties for all goods to be imported for the purposes of the USDP and financed from the Financing agreements and Partnership.
644. Filing and record keeping. The PCU1 and the PCU2 as applicable will use filing and record keeping systems, including hard and/or electronic copies of procurement documents.

**9.8 Procurement Monitoring against Procurement Plans**

645. Procurement plans shall include rows to track actual progress against the procurement plan. The Procurement Specialist in collaboration with the Procurement and Disposal Unit shall be responsible for updating the plan at least annually to include the actual progress on procurement for each contract. The updated plan shall be available for review by the beneficiary departments as required in order for them to track progress on their procurements.

646. Based on the updated plan the Procurement Specialists in both the PCU1 and PCU2 in collaboration with the Procurement and Disposal Unit shall prepare a summary report for management on a bi-monthly basis. The report shall highlight the following:

- a. Progress against major procurements
- b. A summary of procurements for which are behind schedule
- c. Challenges being faced and proposals for addressing them to ensure that procurement is on track.
- d. The Updated procurement plan shall be annexed to this.

647. The MOES and the PSFU shall review and discuss these at least on a bi-monthly basis.
10.0 MONITORING AND EVALUATION

648. The Project performance will be monitored by the two PCUs as well as the RTF/SDA with oversight of the MoES and MoFPED. The Project will support the implementing entities to provide timely, sufficient, complete, and reliable information to assess whether USDP is improving quality of training in the supported institutions and if training in the private sector is supporting the sector to be more productive.

649. The primary responsibility for monitoring and evaluation of the project will be with the M&E section under the MoES and PSFU. Under component 3, the PSFU will contract a firm to support on monitoring and evaluation.

650. Monitoring and evaluation of the Project will be achieved through the following activities:

(a) Collection of Baseline data and end time: All UTCs and VTIs participating in the project under Component 2 as well as entities receiving grants under Component 3 will provide data on key indicators and intermediate indicators in their proposals at the start of the project (baseline) and continue to report progress every six months before supervision missions.

Participating training institutions will also provide data on enrollment, pass-rates and employment rates and salaries of trainers, profile of training courses offered, and instructors’ number, their qualifications and in-service training. In addition, they will also provide progress reports on performance of Environmental and social risks mitigation measures.

The baseline studies will be carried out immediately after the Credit Effectiveness, while the end-data will be collected and analyzed six months before the end of the project, during the third quarter of 2019 for the CoE and VIs; and (ii) six months after each call of proposals under component 3/window/call.

(b) Annual Institutional Performance Audits: Annual in-depth institutional performance audits will be conducted during the project. The objectives of the institutional audits will be to evaluate the extent to which project objectives have been achieved, the effectiveness of project interventions in enabling the achievement of targets, and the reasons for shortfalls that are internal to the institution and those that are contextual and policy related. These audits will also audit data submitted by project institutions on project progress and collect documentary and other evidence supporting the data. This will be inclusive of an annual procurement audit.
(c) **Evaluations:** The following studies will be undertaken to evaluate key project activities: (i) third party tracer studies will be conducted right at the beginning for baseline, at mid-term and at end-term; (ii) employer satisfaction surveys; and (iii) other evaluation, studies, and analytical documentation as and when felt necessary.

651. **Project Supervision Mechanism:** The project will be regularly monitored through a series of rigorous bi-annual supervision missions conducted jointly by the GoU and the World Bank. At the mid-point of project life, the review mission will be the Mid-Term Review. The basis for discussions and review will be the six-monthly progress reports prepared by the MoES PCU1 in close collaboration with CoEs and the PSFU PCU2 using data regularly submitted on key performance indicators, intermediate outputs and inputs indicators, financial and physical progress including on performance of Environmental and social risks mitigation measures, for each project component and sub-component.

10.1 **Institutional Arrangements for Results Monitoring**

652. The DPC through the MES of PCU1, will be responsible for coordinating all monitoring and evaluation activities/studies under the project, in close collaboration with the: (i) PM of the PCU2 (ii) the chair of the RTF/SDA (iii) heads of the implementing entities for which the monitoring and studies activities are qualified TA (consulting form or individual) that has been selected and recruited under ToRs satisfactory to the WB following the procedures set for in the FA and the PA and the POM as well procedures included and approved in the approved procurement plan.

653. A USDP monitoring and evaluation framework, agreed with the GoU, is included as Annex 1 to the POM. This results framework defines the baseline and the targets gauging the progress made towards achieving the Project Development Objectives.

654. The monitoring framework will involve three types of monitoring: (i) performance monitoring, (ii) compliance monitoring, and (iii) impact monitoring. Performance monitoring will be used to improve project management and identify any problems during the implementation process. Compliance monitoring will be used to ensure that project implementation follows prescribed policies, procedures, and timeline. Impact monitoring will provide lessons learned that would also feed into related technical assistance activities to strengthen the broader management other project preparation in the sector.

655. **Performance Monitoring:** Performance monitoring determines the progress of project implementation. Performance monitoring will have two facets: monitoring of activities and monitoring of processes (in terms of identification and prioritization of needs). It will be undertaken through Quarterly and annual progress reports from PCUs; Joint annual technical support and monitoring mission by MoES Top Management, MoFPED and NPA. This information will be
consolidated by the PCU1, and reported to the SC and World Bank as part of its financial management reports and Annual review of process.

656. **Compliance Monitoring:** Compliance monitoring is very important to the USDP. The PCU M&E system will have to assess whether the project is following the prescribed guidelines in terms of Compliance with: (i) Agreed criteria relating to eligible VITs, (ii) Agreed financial management arrangements (iii) Agreed procurement arrangements (iv) Environmental and social safeguard provisions.

657. **Impact Monitoring:** Impact monitoring measures the extent to which the project’s development objective is achieved. The monitoring will also be undertaken through Final evaluation, and Lessons Learned workshop, at the end of the Project.

658. PCU1 in collaboration with the Monitoring and Evaluation section of MoES will be responsible for coordinating all monitoring and evaluation/studies activities under the Project, in close collaboration with the implementing entities.

659. The Project will finance:

a) The periodic monitoring of the achievement towards the PDO intermediate and final outcome indicators as per the results framework included as Annex 1 to the POM including the collection and analysis of the baseline data;

b) Regular and joint quarterly monitoring activities shall be carried by the implementing entities and Biannual joint monitoring will be carried out during the supervision missions;

c) The carrying out of tracer studies of a random sample of graduates from the 4 CoEs, the 12 VIs and grantees from the first 3 windows;

d) Employers satisfaction surveys associated to sub-components 2.1 and 2.2 and component 3;

e) The establishment of an MIS for the BTVET;

f) Annual Institutional Performance Audits;

g) Quarterly internal audits; and

h) The annual USDP external audits.

10.2 **Reporting.**

660. The USDP’s physical and financial implementation progress reports will be prepared quarterly by the MoES of the PCU1 in close collaboration with the PM of the PCU2 and the Chair of the RTF/SDA to assess progress towards the achievement of the USDP’s PDOs and report on performance indicators (outcome, intermediate outcome and output). These reports will provide highlightof implementation progress and challenges in the implementation if any. Lessons learned
and recommendations will be documented in annual reports and provide a basis for discussion during the support supervision missions and reviews.

661. The MES of the PCU1 would be responsible for bringing together the reports and representatives of the above implementing entities mentioned in the paragraph above for the monitoring of the PDOs, final and intermediate outcomes and outputs of components and sub-components and communicating these with the WB according to the schedule of periodic reporting.

662. In addition to the annual progress reports, the PCU1 and PCU2 through the: (i) corresponding FMS as applicable, will submit financial reports to the WB implementation support missions in order to monitor disbursements and commitments under the Project; and (ii) PRS of the PCU1 and the PRS of the PSFU as applicable, will submit the progress against the annual approved procurement plan.

663. Before the arrival of each WB implementation support mission, or at any other frequency agreed with the MoFPED, the DPC through the MES and FMS of the PCU1 and in close collaboration with the PM of the PCU2 and the Executive Secretary of the RFT/SDA will provide updated information to the WB on:

664. The progress of the annual USDP implementation plans, including its annual procurement plan and budget. The DPC of the PCU1 will carry out this update in conjunction with the Commissioner BT VET & PC/ USDP of the PCU1 and in close collaboration with the PM of the PCU2, the Executive Secretary of the RFT/SDA and other heads of implementing entities as applicable, using a template that the DPC of the PCU1 and the WB have agreed to; and

665. All of the intermediate and final outcome as well as output indicators appearing in the results framework in Annex 1 to the POM.
10.3 Communication Strategy

666. Public Awareness of SDP intervention: Ministry of Education and Sports through Communication and Information Management Unit and the recruited Communication Specialist will oversee the implementation of this activity. The communication strategy is very critical to the implementation of the whole project since information sharing and dissemination do bridge the gaps between the project beneficiaries and implementers as well as other stakeholders (including policy makers, community leaders, CSOs, NGOs, LG leaders, Religious leaders, Technical/Vocational institutions and private sector players). The key information to be shared with the stakeholders will include information on the project interventions, scope of work, their roles and responsibilities to enlist their participation and ownership.

667. Building stakeholder Awareness: This will be promoted through; (i) Organize meetings/forums to share the objective and the scope of the intervention both at LG and at community/institution levels to create participation and ownership of the project and (ii) Conduct Radio talk shows on local FM stations.

668. At the National level, a national launch event will be organized to unveil the project. Additionally, Newspaper supplements on USDP will be run in the mainstream media communicating the project objectives, components and areas of intervention. A number of TV and radio talk shows will be conducted to share the project objectives and interventions with the public.

669. At the regional and Institution level, workshops will be organized to inform stakeholders about the project. Announcements shall be made in the Newspapers and television informing targeted participants on the meetings to be held in various targeted institutions and the announcements will communicate the date, time and venue.

670. Documentations: this will be in form of photos, video, and case study write-ups, newsletters; these will be undertaken at various stages of project implementation (i.e. before, during and after the intervention). Video documentation will be carried to get views of the stakeholders. Interview guides will be developed to guide the documentary on the other interventions.

WB Grievance Redress.

671. As mentioned in Chapter 2 to the POM, the following website is available to the general population to submit complaints to the WB’s corporate Grievance Redress Service (GRS): http://www.worldbank.org/GRS.

672. Information on how to submit complaints to the WB Inspection Panel is provided in www.inspectionpanel.org.
11.0 ENVIRONMENT AND SOCIAL SAFEGUARDS

673. Objective XXVII (i) of the Constitution of the Republic of Uganda provides that the State shall promote sustainable development and public awareness of the need to manage land, air, water resources in a balanced and sustainable manner for the present and future generations. Under Article 237 (2) (b), the Constitution provides that the Government or a local government as determined by Parliament by law, shall hold in trust for the people and protect natural lakes, rivers, wetlands, forest reserves, game reserves, national parks and any land to be reserved for ecological or touristic purposes for the common good of all citizens. In this regard, it is in the interest of the GoU that all socio-economic development activities protect and preserve the environment from abuse, pollution and degradation, thus ensuring sustainable development.

674. In addition, the National Environment Management Policy (1994), among other policies provides for promotion of sustainable economic and social development that enhances environmental quality without compromising the ability of the future generations to meet their own needs. The policy states that Environmental Impact Assessment should be conducted for a policy or project that is likely to have impacts on the environment.

675. In order to comply with the above policies, Ministry of Education and Sports has developed, Environment and Social Management Framework (ESMF), Resettlement Policy Framework (RPF) to provide a framework for integration of social and environmental aspects at all stages of project implementation (i.e. planning, design, execution and operation), to enhance positive social and environmental impacts of the project and avoid/minimize potential adverse impacts. The policies also make environment information available to stakeholders and the public to foster consensus and project ownership or collective responsibility for socio-environment actions.

676. In addition, the documents highlight potential socio-environmental impacts of the USDP project that have been predicted and mitigation actions proposed. Involvement of local governments is important especially for monitoring project implementation. All entities involved in this project have technical capacity however, capacity building in socio-environmental aspects was required by Construction Management Unit of MoES.

11.1 World Bank Policies on Environment and Social Safeguards in Relation to the USDP

677. WB has ten safeguard policies designed to help ensure that programs proposed for Bank financing are environmentally and socially sustainable, and thus improve decision-
making. Among the ten policies, the following are directly triggered by the Uganda Skills Development Project:

i) **OP 4.01 Environmental Assessment**: is triggered because the project will entail civil works and construction of buildings at selected UTCs and VTIs with associated environmental and social impacts. The ESMF and RPF studies (ESIA/ESMP) undertaken as part of this project have been disclosed both in-country and at the World Bank’s info shop.

ii) **OP 4.09 Pest Management**: This will be triggered because training at Bukalasa Agricultural Training College may involve use of pesticides. Basic guidance has been included in the ESMF covering aspects related to procurement, transportation, storage, use and disposal of pesticides.

iii) **OP 4.11 Physical Cultural Resources**: is triggered because project investments will involve civil works and may encounter chance finds of heritage value. A chance finds procedure has been developed as part of the ESMF to guide management of any physical cultural resources that may be encountered during project implementation.

iv) **OP 4.12 Involuntary Resettlement** The project will involve upgrading of UTCs and VTIs specializing in small and medium scale manufacturing/construction and agriculture, which may require land take and involve civil works which might trigger involuntary resettlement as result of displacement of land use by community members who encroached on this land for individual use.

A RPF has been prepared to address involuntary resettlement.

11.2 **Potential Socio-Environmental Impacts of USDP and Mitigation Measures**

Prediction and forestalling impacts of the proposed project will start with design and procurement stages as outlined below.

i) **Design stage**: Some socio-environmental impacts can be prevented by nature of facility design. For example, provision of ramp access for disabled people on buildings when constructing new or refurbishing existing workshops, classrooms and other facilities.

ii) **Procurement stage**: It should be a contractual obligation for the contractor to fulfill minimum social-environmental requirements such as having in place an HIV Policy, OHS Policy, Gender Policy, Ethical Code of Conduct, Child Protection Plans etc and implement social- environmental controls prescribed in ESMF and as predicted in the
ESIA and or Project Briefs. These are only possible when specific requirements are incorporated in bidding documents at tendering stage or in contracts of successful bidders. Among other requirements, the Contractor should develop Contractor”s ESMP to guide implementation of environmental and social aspects, and this includes making budgetary provision where necessary; for implementation of the evaluated mitigation measures.

iii) **Construction/ implementation stage (by contractor):** Contractors have obligation to implement environmental and social mitigation actions specified in the ESMF/ESIA/Project Briefs. It is essential that this requirement is made mandatory in contractors” contracts and controls should be instituted.

### 11.3 General Socio-Environmental Impacts

680. Assuming the possibility of the following USDP-related negative impact, the corresponding mitigation measures (impact management) have been identified:

i) **Land take and displacing prevailing uses at locations where new buildings would be constructed.** Land use change would occur if new buildings are constructed on land currently used by either local people or college staff for subsistence farming or small-scale businesses. Displacement of such activities would cause negative socio-economic impact such as reduction in income or household food supplies.

**Mitigation:**

Provide adequate notice for intended land use change to ensure that crops are harvested before project development or structures moved. Where this is impractical, the project should provide due compensation or resettlement to affected entities, as guided by the RPF. Ensure all grievances are conclusively addressed as per RFP. Compensate for any economic displacement occasioned by project development.

(iii) **Child labour/Gender violence and HIV/AIDs.** Commencement of civil works will attract labour in the areas causing labour influx, child labour and employment of women leading to child abuse (defilement), gender violence/sexual harassment and transmission of HIV/AIDs.

**Mitigation**

The contractors should have a Gender Policy, an Employee ethical code of conduct, child protection plan, and HIV/AIDs prevention plan.
(iv) **Dust emissions during civil works.** Dust will stain roadside structures and taint merchandise or produce in shops and markets. Staining may require washing or repainting. Tainted goods for sale (especially sugar, flour, etc) would lose monetary value, hence negative socio-economic impact to affected road-side vendors. This impact will be short-term manifesting only during construction phase.

681. Exposure to dust from construction materials, demolition and vehicle movement may pose short-term respiratory infirmities (e.g. coughs) to workers or college students and staff exposed.

**Mitigation measure:**

Contractor should water construction areas to control dust.

Travel speeds past roadside markets should be safely low to avoid dust plumes. Use of temporary speed humps should be encouraged. In addition, the contractor’s drivers should follow the recommended speed limits for these areas as shall be be guided by the relevant authorities. Construction workers should be provided with protective gear that includes among others masks. Temporary severance of access to certain areas on campuses during construction

(v) **Public and occupational safety risks.** Civil works and construction traffic may pose several risks e.g. road accidents risk at road crossings, on college campuses and through trading centers for especially children, women and elderly people

**Mitigation measure**

(i) The Contractor must provide appropriate and adequate PPE to all workers;
(ii) Safety drills should be carried out regularly to ensure workers are aware of occupational risks and their control measures;
(iii) Fence of the construction site to limit un-authorised access by non-construction personnel;
(iv) Safety signs, banks men, speed control measures and adequate sensitisation of construction workers and people in project area should be undertaken to minimise accident risk; and
(v) Contractors should work together with local leaders to agree on public safety measures which should be disseminated to local people.

(vi) **Construction noise and vibrations.** Construction noise or vibrations may disrupt teaching and learning at colleges. This impact can be significant where construction activities last for several months or spanning examination periods.
Mitigation (impact management). Schools management should require contractors to schedule noisy activities outside class time or examination periods and provide protective gear to the workers.

(vii) Impact on resources of cultural heritage. It is unlikely that construction at college campuses would encounter chance finds of cultural/heritage value but if this happened, mitigation measures below are proposed.

Mitigation:

a) In developing urban plans, municipalities should preserve resources (e.g. buildings, monuments) of cultural heritage; and
b) During constructing infrastructure, physical cultural resources should be protected and conserved. Any chance finds encountered should be handed to the Department of Museums and Monuments for preservation. In addition, the chance finds procedure for management of PCRs will be followed.

(viii) Management of Construction waste and debris. Common waste streams are wood/timber waste with sharp nails, cement bags, demolition debris, etc. Improper management of construction waste would pose public health impacts and environmental contamination. In addition, where Asbestos sheets are removed from old buildings; proper guidelines on disposal of asbestos should be followed.

Mitigation:

a) It should be a contractual obligation for the contractor to properly manage construction waste at any at any construction site; and
b) Waste must not be dumped in swamps or hazardous waste reused by local people. Disposal of waste should be in a designated location as advised by the respective local governments.

(ix) Damage to public and private property due to civil works: When no due care is taken by contractors, civil works damage public infrastructure on campuses (water mains, poles supporting 33 kV power lines) and private property (access roads, gardens, fences, etc) adjoining campuses on which construction is undertaken.

Mitigation:

a) Utilities layout/location assessment relative to proposed structures should be undertaken prior to carrying out civil works in order to establish their location and any relocation need; and
b) Any damages should be duly compensated immediately by contractors utilizing their public liability insurance.

(x) **Improper management (storage and disposal) of agricultural chemicals**: The chemicals used may contain hazardous elements leading to occupational risk and environmental (air, water, soil) contamination. This impact will apply to agricultural herbicides and pesticides used in training at Bukalasa Agricultural Training College.

**Mitigation (impact management)**: The college should have proper storage of hazardous agro-chemicals and a structure protocol for acquisition/procurement of pesticides, safe onsite storage, use and disposal of any expired agro-chemicals including empty containers. An Agro-Chemicals Management Strategy annexed in the ESMF will be followed in managing agro-chemicals at the College.

(xi) **Improper disposal of old training equipment discarded by Colleges**: The project will provide new equipment to use for training and instruction of students and ensure they are familiar with modern units the kind they would meet in workplaces upon employment. Once new equipment is provided to beneficiary colleges and VTIs, old units will be discarded. Improper disposal or abandonment at campuses would be an aesthetic impact yet scrap equipment has monetary value to iron and steel smelters.

**Mitigation (impact management)**: Colleges and VTIs should explore opportunities to sell off discarded equipment to iron and scrap recycling companies.

**Positive Impacts.**

682. The USDP is expected to have the following positive impact

(i) **Employment to construction workers**: Construction activities will provide employment at each site but this is a temporary and reversible impact benefit ending with completion of construction works.

(ii) **Income for material suppliers**: Local suppliers will earn money from provision of construction materials such as sand, cement, timber, steel bars, etc required during construction.

(iii) **Improved teaching and learning experience for tutors and students due to new infrastructure and equipment provided by the project**.

(iv) **Improving the environmental health of the Colleges/Institutions by reducing problems of poor sanitation, poor waste disposal and storm water/runoff.**

(v) **Improving the aesthetic beauty of the Colleges/Institutions.**
Environmental and Social Screening

683. The objective of screening is to determine the extent to which a project is likely to affect the environment-biological, physical and social and therefore, be able to determine the level of assessment required. Screening is generally guided by the following criteria largely based on the contents of the Project Brief thus:

(i) Size (land area, capital investment) or location of project if it is in a fragile ecosystem e.g. wetland, forest, at water courses;
(ii) Type of project (if listed in Schedule 3 of the National Environment Act, CAP. 153);
(iii) Potential socio-economic and biophysical impacts compared against set thresholds and standards; and
(iv) Labour requirements/employment issues and potential of escalation of spread of HIV/AIDS and sexually related risks within the institution and in the communities
(v) Provision of an Environmental and Social Management Plan to address any identified impacts.

684. Screening is in line with the National Environment Act, CAP. 153 and the WB Environment Assessment Operational Guidelines that require screening and development of an ESMP which is approved through the local government system.

685. There are three screening stages:

i) Screen I: The first screening decides on the projects that do not require an ESIA.

ii) Screen II: Projects that require mandatory ESIA are directly subjected to a detailed Environmental Impact Study (EIS).

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

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

687. The corresponding environmental screening action will be undertaken by the Environmental and Social Safeguard Specialists of the IDA Portfolio in the MoES and the MoES desk officer.
11.4 Environmental Impact Study

688. According to the EIA Regulations 1998, EIS refers to the detailed study conducted to determine the possible environmental impacts of a proposed project and measures to mitigate their effects.

689. The EIA study will be undertaken by various consultants selected under ToRs satisfactory to the WB according to the procedures set for in the FA and the USDP POM. The environmental and social impact assessment reports will be reviewed by NEMA together with local government environmental officers, before a decision is made regarding their environmental and social aspects.

11.5 Environmental and Social Monitoring and Management Plan

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

691. The objectives of the environmental and social monitoring include:

(i) Provide information that the predicted impacts from a project are within the engineering and environmental acceptable limits;
(ii) Provide early warning information for unacceptable environmental conditions;
(iii) Assess whether recommended mitigation measures have been successfully implemented;
(iv) Ensure that the mitigation measures proposed in the environmental management plans are implemented satisfactorily; and
(v) Assist in identifying additional mitigation efforts needed or where alteration to the adopted management approach may be required.

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

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

693. The MoES through the project will prepare a monitoring plan for both project implementation and environmental quality. It shall contain a schedule for inspecting and reporting upon the implementation of the project and associated mitigation measures identified. The monitoring plan shall also identify the key indicators of environmental impact. Further, the plan shall provide a schedule for monitoring each indicator and for reporting the monitoring results to NEMA or the Local Authority. This activity will be carried out on a quarterly basis.

694. The analyzed data collected during the above-mentioned monitoring aims at:
   i) Assessing any changes in baseline conditions;
   ii) Assessing whether recommended mitigation measures have been successfully implemented;
   iii) Determining reasons for unsuccessful mitigation;
   iv) Developing and recommending alternative mitigation measures or plans to replace unsatisfactory ones; and
   v) Identifying and explaining trends in environment improvement or degradation

695. In addition, environmental audits will be undertaken for the specific projects between twelve and thirty-six months after commencement of the projects operations as required under the National Environment Act, CAP. 153 and the regulations thereunder.

Involuntary Resettlement

696. A RPF has been prepared to address the possibility of involuntary resettlements that might occur as a consequence of the civil works to be financed under USDP, which are not fully detailed at this stage, but were described in general terms in Chapter 2 of the POM.

697. The RPF will be used to screen all interventions for their potential land acquisition impacts and streamline all the necessary procedures to follow in mitigating and minimizing involuntary resettlement associated with the proposed investments. During implementation of project activities, when required, appropriate RAPs will be developed to address specific impacts, proposed mitigation measures and compensation issues accordingly.

698. The RPF has been developed to:
i) Guide the management of all social issues associated with infrastructure investments financed under USDP and ensure that the resettlement aspects of the project are adequately understood and addressed;

ii) Provide a thorough understanding of how the developed RPF will be applied by the MoES/institutions and other implementing agencies and what type of tools, technical inputs, institutional capacity and other kinds of support will be required for its effective use and implementation; and

iii) Provide framework guidance to identify and manage situations where activities in the sub-projects and more specifically where proposed activities may lead to displacement of people, affect their livelihoods (physical or economic displacement/ resettlement, denial of rights of access to resources) or interfering with their cultural resources. Any resettlement and/or compensation measures will be implemented in accordance with the RPF, which will offer direction on when and how the site-specific RAPs will have to be prepared and implemented before any civil works can begin.

699. According to the WB’s OP 4.12 regardless of the number of people affected, the severity of the impact and the legality of the land holding, thorough impacts assessment should be undertaken and an action plan developed to respond to the issues. The policy further requires particular attention to be given to the needs of vulnerable groups especially those below the poverty line, the landless, the elderly, women and children, indigenous groups, ethnic minorities and other disadvantaged persons.

700. The Policy requires that a screening to identify the land acquisition be done for every site/sub-project to highlight the risks. If the screenings identify land acquisition or/and impacts on livelihood including property, crops and trees a RAP will be required to be prepared by the MoES and cleared by the WB prior to implementing resettlement activities. The BW also requires that the provision of compensation and other assistance included in the RAPs aiming at restoring the livelihoods when these people are significantly affected be provided prior to the displacement of people. Specifically, the policy requires that possession of land for project activities may take place only after compensation has been paid.

701. Resettlement sites, new homes and related infrastructure, public services and moving allowances must be provided to the affected persons in accordance with the provisions of the RAP.

Comprehensive RAP

702. In the event that resettlement will be triggered, a comprehensive RAP will be prepared for the respective sub-project. The RAP shall:
i) Provide the description of different categories of impacted people determined by the degree of impact and assets lost;

ii) Define the criteria to be used in identifying who is eligible for compensation for each category of the population impacted. These criteria may include, for example, whether losses are partial or total, whether people have their own land or also rent land, and what happens when buildings are occupied by more than one business tenant or household;

iii) Elaborate on the amount of losses, ownership status, tenancy status, and any other relevant information;

iv) Identify who and how affected persons will be impacted, who will determine eligibility, and how the process will work;

v) Set out the different categories of people that may be affected by the sub-project, and show the types of losses such people may suffer, whether to land, income, rights of access, housing, water sources, proximity to work, and others, and including combinations (house and land, for example);

vi) Assess vulnerability and define the vulnerable categories, livelihood restoration as may be appropriate and corresponding mitigation measures

vii) Make the eligibility criteria user-friendly, so that those applying the principles to the sub-projects “on the ground” will be able to quickly identify whether people affected are eligible for compensation or not, and how;

viii) Describe who will judge eligibility in difficult cases, for example by the use of neighborhood or village committees, or outside experts, and how such processes will work;

ix) Define categories of people eligible under the national law, and separately, any others who must be compensated because of the requirements of World Bank policy; and

x) Define the unit of compensation – individuals, families, collectivity (or all three, because some losses may be sustained by individuals, others by the community as a whole or by associations within it such as religious or farmers’ groups).

xi) Establish the method for determining a cut-off date for compensation.

703. As a general guide the RAP must:

(i) Sufficiently justify resettlement as unavoidable.

(ii) Be based on baseline study reports and inventory of assets.

(iii) Uphold the principle of fairness in compensating affected persons.

(iv) Contain deliberate activities and mechanisms to enhance capacity to efficiently manage the resettlement process. This must include strengthening existing capacities of relevant institutions and local governments to handle the process where necessary.
(v) Contain guidance on grievance redress mechanism and stakeholder engagement on land related issues

704. The process of preparing RAPs in line with the above requirements will involve the following:

(i) A census shall be carried out to identify the PAPs;
(ii) The census will generate information about the displaced persons, their entitlements regarding compensation, resettlement and rehabilitation assistance as required;
(iii) Disturbances, especially those affecting income-generating activities and impact on assets should be properly recorded with the view to compensation or replacement in case of resettlement and;
(iv) Based on the census and inventory of losses, and in consultation with the displaced persons, a time-phased action plan with a budget for provision of compensation, resettlement, and other assistance as required, shall be prepared.

705. The MoES through the project will be responsible for all payments of compensation, resettlement and rehabilitation assistance, as the case may be, in close collaboration with the Estates Officer and Farm Manager where they exist in each CoE and VTIs in the presence of the project affected persons (PAPs) in question, a witness, and local officials. To cater for managing all complaints or concerns including land related concerns about the project a grievance redress mechanism will be established within the CoE including a representation of the PAPs and other stakeholders as may be found appropriate. The MoES and Ministry of Lands, Housing and Urban Development (MoLHUD) will monitor this process and give advisory services as required.

Adverse Impacts and Mitigation Measures.

706. The adverse involuntary resettlement impacts and proposed mitigations measures are:

(i) Displacement of prevailing land uses at the locations where proposed new buildings would be constructed - If identified sites where proposed buildings would be built may currently be used for various purposes e.g. gardening, quarrying, grazing, green areas, staff housing, buildings, play grounds, and other land uses. The proposed project building on the screened site would not continue unless this is cited as the only alternative.

Mitigation Measure: Where feasible, avoid using land which is already in use or has encumbrances; plan early enough to relocate to alternative sites, any activities going
on at locations where new structures will be built. As may be dealt with during the assessment of alternative sites, the project would consider working on addressing the land use and/or incumberances to pave way.

(ii) Owners of non-permanent buildings: Owners of non-permanent buildings are entitled to compensation based on rates set by District Land Boards.

Mitigation Measure Project will provide compensation based on replacement value. This will include the payment of government valuation rates and payment of a disturbance allowance. Where the buildings belong to UTCs, the institution will decide on how to recover/replace the building affected. The new building may accommodate additional space to take care of the affected space.

Where a person is required to relocate to a new place, the RAP will define requirements to include labour and relocation expenses prior to displacement.

707. Grievance mechanism and dispute resolution. Grievance committees to be instituted at the MoESTS and all the UTCs as guided by the RPF. It is noted that the GRC should consider strengthening the current system rather than initiate new mechanisms. The overall mechanism will feed in to the existing legal process in Uganda. The project specific grievance mechanism and dispute resolution seeks to resolve issues quickly so as to expedite all project related complaints/concerns including receipt of entitlements and smooth resettlement without resorting to expensive and time-consuming legal action. If the grievance procedure fails to provide a settlement, complainants can still seek legal redress.

708. Safety, health and gender based violence: Where construction may will take place, the works may attract a sizable number of workers in each UTC for the project implementation period. In addition, an expected increased enrolment of students and trainers from across the country in the UTCs and the 12 VTI network institutions is expected to increase the risk of HIV/AIDS and sexually transmitted diseases amongst the groups (trainees and trainees including employer institutions) benefiting from the project. The risk may increase and affect the communities around the UTCs, potentially affecting all adults as well as young/child populations. The impacts may result in gender-based violence within and around the UTCs and the 12 VTI network institutions.

709. Mitigation Measure: For construction impacts, the ministry will ensure that contractor responsibilities are defined in the procurement process and contract. All contractors will require analysing each site situation and will putting in place gender and HIV/AIDs preventive plan and implementing activities. Impacts related to the student enrolment, the UTCs will draw plans and activities focused on the UTC community and the surroundings to mitigate the
potential risk. The project will provide dispensaries in each institution and provide and assign specific staff (if not recruit) to coordinate the activities at the institutions. The HIV/AIDS and gender based violence prevention activities will be augmented with sensitization on malaria control measures, development of students’ ethical code of conduct, prevention of gender based violence and control measures within the institutions and the community at large.

710. Exacerbate the current water and sanitation situation

711. Mitigation Measure: the constructors and beneficiaries of the project may consider rainwater harvesting and storage, expanding the sewerage facilities and connecting them to NWSC sewerage system where it is available instead of septic tanks which are inadequate at the moment.
Reference to the Resettlement Policy Framework

712. The users of this POM are advised to make reference to the developed Resettlement Policy framework for more and detailed information in regard to the involuntary resettlement.

713. Social Inclusion – The project will consider all the concerns raised in the social analysis of BTvET and mitigate the risks identified. These include: flexible affirmative actions to raise the low levels of female enrolments and regional balance; ensure reliable and consistent gender disaggregated data in all the reporting; influence and strengthen access to information of the project and trainings for vulnerable and marginalized/hard to reach regions and groups; and offer opportunities to female trainers to narrow the gender balance gap increasing access to skills development.

714. Stakeholder Engagement: The MoES in collaboration with participating UTCs will analyse and map out relevant stakeholders (including the communities around the the institutions) and their influences. Clear stakeholder engagement action plans (specific to each participating institutions) will be developed to support the entire social concerns and risks including land acquisitions, social inclusion based on regions and gender as well as prevention of HIV/AIDs, child protection and gender based violence amongst others. The stakeholder plans for this project will be progressive to accommodate feedback of the process including those from the grievance redress mechanisms. The MoES will facilitate and coordinate the development of the stakeholder engagement framework/plans for the participating institutions. The stakeholder engagement plans will define clear areas of responsibilities for MoES and those of the respective participating institutions. Progress report for implementation of the social issues including safeguards will include reports on stakeholder engagement.
12 ANNEXES

Annex 1 Consolidated result framework
Annex 2 USD PDraft 5- Year Work Plan and Budget
Annex 3 USDP annual procurement plan
Annex 4 Draft TOR for the Due Diligence/Technical Evaluation consultant
Annex 5 Draft TOR for Verification consultant
Annex 6 Draft TOR for Activity Monitoring and Results Measurement consultant
Annex 7 Grant application form
Annex 8 Pre-qualification matrix for grantees under component 3
Annex 9 Appraisal matrix
Annex 10 Client agreement under Component 3
Annex 11 PSFU Performance based results
Annex 12 Draft VTI Application Form
Annex 13 Draft Call for Submission of Proposals to Receive Grants to Support VTIs under USDP
Annex 14 Sample TORs for Twinning Institutions – Bukalasa Agricultural College Luweero to become a Center of Excellence in Crop & Animal Husbandry
Annex 15 Sample TORs for Twinning Institutions – UTC Bushenyo to become a Center of Excellence in Manufacturing
Annex 16 Sample TORs for Twinning Institutions – UTC Elgon to become a Center of Excellence in Civil Engineering and Construction
Annex 17 Sample TORs for Twinning Institutions – UTC Lira to become a Center of Excellence in Highway Engineering and Road Construction
Annex 1: Consolidated Results Framework and Monitoring (many targets are missing; is there a more updated version? If affirmative, include)

<table>
<thead>
<tr>
<th>UGANDA: Skills Development Project (P145309)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project Development Objectives</strong></td>
</tr>
<tr>
<td>PDO Statement: The project development objective is to enhance the capacity of target institutions to deliver high quality, demand-driven training programs in target sectors.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Project Development Objective Indicators</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Indicator Name</strong></td>
</tr>
<tr>
<td>-------------------</td>
</tr>
<tr>
<td>1 Development of National Occupational Standards for relevant trades/occupations in target sectors</td>
</tr>
<tr>
<td>2 Increased number of new intakes in the targeted training programs</td>
</tr>
<tr>
<td>3 Proportion of female intakes in the targeted training programs</td>
</tr>
<tr>
<td>4 Number of entrants who completed targeted short courses</td>
</tr>
<tr>
<td>Component 1: Institutionalizing systemic reforms in skills development</td>
</tr>
<tr>
<td>---</td>
</tr>
<tr>
<td>1</td>
</tr>
</tbody>
</table>

**Intermediate Results Indicators**

<table>
<thead>
<tr>
<th>Indicator Name</th>
<th>Core</th>
<th>Unit of Measure</th>
<th>Baseline</th>
<th>Cumulative Target Values</th>
<th>Frequency</th>
<th>Data Source/Methodology</th>
<th>Resp. for Data Collection</th>
<th>Description (Indicator definition etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Improved participation of employers in skills training programs</td>
<td>%</td>
<td></td>
<td>Mid-term and end-term</td>
<td>Surveys</td>
<td>PSFU</td>
<td>Increase in participation for skills training evidenced by enterprise survey</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Satisfaction with skills by trainees in supported firm disaggregated by economic sectors and size</td>
<td>%</td>
<td></td>
<td>Mid-term and end-term</td>
<td>Target Institutions/ MIS</td>
<td>PSFU</td>
<td>Data collected in connection with the application for Matching Grant support. Ex-post data from beneficiary assessment to be collected by external M&amp;E</td>
<td></td>
</tr>
</tbody>
</table>

**Intermediate Results Indicators**

<table>
<thead>
<tr>
<th>Indicator Name</th>
<th>Core</th>
<th>Unit of Measure</th>
<th>Baseline</th>
<th>Cumulative Target Values</th>
<th>Frequency</th>
<th>Data Source/Methodology</th>
<th>Resp. for Data Collection</th>
<th>Description (Indicator definition etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Improved participation of employers in skills training programs</td>
<td>%</td>
<td></td>
<td>Mid-term and end-term</td>
<td>Surveys</td>
<td>PSFU</td>
<td>Increase in participation for skills training evidenced by enterprise survey</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Satisfaction with skills by trainees in supported firm disaggregated by economic sectors and size</td>
<td>%</td>
<td></td>
<td>Mid-term and end-term</td>
<td>Target Institutions/ MIS</td>
<td>PSFU</td>
<td>Data collected in connection with the application for Matching Grant support. Ex-post data from beneficiary assessment to be collected by external M&amp;E</td>
<td></td>
</tr>
</tbody>
</table>

---

**Intermediate Results Indicators**

<table>
<thead>
<tr>
<th>Indicator Name</th>
<th>Core</th>
<th>Unit of Measure</th>
<th>Baseline</th>
<th>Cumulative Target Values</th>
<th>Frequency</th>
<th>Data Source/Methodology</th>
<th>Resp. for Data Collection</th>
<th>Description (Indicator definition etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Improved participation of employers in skills training programs</td>
<td>%</td>
<td></td>
<td>Mid-term and end-term</td>
<td>Surveys</td>
<td>PSFU</td>
<td>Increase in participation for skills training evidenced by enterprise survey</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Satisfaction with skills by trainees in supported firm disaggregated by economic sectors and size</td>
<td>%</td>
<td></td>
<td>Mid-term and end-term</td>
<td>Target Institutions/ MIS</td>
<td>PSFU</td>
<td>Data collected in connection with the application for Matching Grant support. Ex-post data from beneficiary assessment to be collected by external M&amp;E</td>
<td></td>
</tr>
</tbody>
</table>

---

**Intermediate Results Indicators**

<table>
<thead>
<tr>
<th>Indicator Name</th>
<th>Core</th>
<th>Unit of Measure</th>
<th>Baseline</th>
<th>Cumulative Target Values</th>
<th>Frequency</th>
<th>Data Source/Methodology</th>
<th>Resp. for Data Collection</th>
<th>Description (Indicator definition etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Improved participation of employers in skills training programs</td>
<td>%</td>
<td></td>
<td>Mid-term and end-term</td>
<td>Surveys</td>
<td>PSFU</td>
<td>Increase in participation for skills training evidenced by enterprise survey</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Satisfaction with skills by trainees in supported firm disaggregated by economic sectors and size</td>
<td>%</td>
<td></td>
<td>Mid-term and end-term</td>
<td>Target Institutions/ MIS</td>
<td>PSFU</td>
<td>Data collected in connection with the application for Matching Grant support. Ex-post data from beneficiary assessment to be collected by external M&amp;E</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Number of occupational and competency standards and qualifications developed and endorsed by the RTF</td>
<td>Number</td>
<td>Annual</td>
<td>RTF/DIT</td>
<td>MoES</td>
<td>As defined in the UVQF</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>--------------------------------------------------------------------------------------------------</td>
<td>--------</td>
<td>--------</td>
<td>---------</td>
<td>------</td>
<td>------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Component 2: Improving Quality and Relevance of Skills Development</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Number of competency based training courses developed and validated.</td>
<td>Number</td>
<td>Annual</td>
<td>Target Institutions/ MIS</td>
<td>MoES</td>
<td>Number of competency based training courses endorsed by the SSC</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Number of targeted CoEs with over 50% representation on governing council by employers</td>
<td>Number</td>
<td>0</td>
<td>Annual</td>
<td>CoE</td>
<td>MoES</td>
<td>Number of CoEs with over 50% employer representation on governing council</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Number of academic staff trained in the new CBT curriculum</td>
<td>Number</td>
<td>x</td>
<td>Annual</td>
<td>CoE/VI</td>
<td>MoES</td>
<td>Increase in the number of academic staff trained by twinning institute</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Component 3: Employer-led short-term training and recognition of prior learning</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>No. of collaboration agreements between enterprises and training providers</td>
<td>Number</td>
<td>Annual</td>
<td>Target Institutions/ MIS</td>
<td>PSFU</td>
<td>Number of agreements signed and activated by training</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Employers’ rating of competency of trained employees</td>
<td>%</td>
<td>Annual</td>
<td>Target Institutions/ MIS</td>
<td>PSFU</td>
<td>Competency and efficiency rates of trained staff to be measured in term of output</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

UGANDA: Skills Development Project (P145309)

Project Development Objectives

PDO Statement: The project development objective is to enhance the capacity of target institutions to deliver high quality, demand-driven training programs in target sectors.
<table>
<thead>
<tr>
<th>Indicator Name</th>
<th>Core</th>
<th>Unit of Measure</th>
<th>Baseline</th>
<th>Cumulative Target Values</th>
<th>Data Source/Methodology</th>
<th>Resp. for Data Collection</th>
<th>Descriptions (Indicator definition)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Development of National Occupational Standards for relevant trades/occupations in target sectors</td>
<td></td>
<td>Number</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Number of trades/occupations with National Occupational Standards in target sectors increases.</td>
</tr>
<tr>
<td>Increased number of new intakes in the targeted training programs</td>
<td></td>
<td>Number</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td>Increased enrolment in targeted training programs.</td>
</tr>
<tr>
<td>Proportion of female intakes in the targeted training programs</td>
<td></td>
<td>%</td>
<td>15</td>
<td></td>
<td></td>
<td></td>
<td>The numerator will be number of female enrolled, the denominator will be total number of enrolment</td>
</tr>
<tr>
<td>Number of entrants who completed targeted short courses</td>
<td></td>
<td>%</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
<td>The denominator will be the enrolment of targeted program, and numerator will be the number of entrants who completed the targeted training program from the same cohort</td>
</tr>
<tr>
<td>Number of entrants who completed targeted certificate courses</td>
<td></td>
<td>%</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of entrants who completed targeted diploma courses</td>
<td></td>
<td>%</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Improved participation of employers in skills training programs</td>
<td></td>
<td>%</td>
<td></td>
<td></td>
<td></td>
<td>Mid-term and end-term</td>
<td>Increase in participation for skills training evidenced by enterprise survey</td>
</tr>
</tbody>
</table>

**USDP – PROJECT OPERATIONS MANUAL**
### Intermediate Results Indicators

<table>
<thead>
<tr>
<th>Indicator Name</th>
<th>Core</th>
<th>Unit of Measure</th>
<th>Baseline</th>
<th>Cumulative Target Values 2016</th>
<th>Cumulative Target Values 2017</th>
<th>Cumulative Target Values 2018</th>
<th>Cumulative Target Values 2019</th>
<th>Cumulative Target Values 2020</th>
<th>Frequency</th>
<th>Data Source/Methodology</th>
<th>Resp. for Data Collection</th>
<th>Description (Indicator definition etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Component 1: Institutionalizing systemic reforms in skills development</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 Management Information System for BTVET sector established and functional</td>
<td></td>
<td>Number</td>
<td></td>
<td>X</td>
<td>X</td>
<td>Annual</td>
<td>RTF</td>
<td>MoES</td>
<td></td>
<td></td>
<td></td>
<td>System established, functional, and linked with PCU systems</td>
</tr>
<tr>
<td>2 Number of occupational and competency standards and qualifications developed and endorsed by the RTF</td>
<td></td>
<td>Number</td>
<td></td>
<td></td>
<td>Annual</td>
<td>RTF/DIR</td>
<td>MoES</td>
<td>As defined in the UVQF</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Component 2: Improving Quality and Relevance of Skills Development</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 Number of competency based training courses developed and validated.</td>
<td></td>
<td>Number</td>
<td></td>
<td>Annual</td>
<td>Target Institutions/MIS</td>
<td>MoES</td>
<td>Number of competency based training courses endorsed by the SSC</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 Number of targeted CoEs with over 50% representation on governing council by employers</td>
<td></td>
<td>Number</td>
<td>0</td>
<td>Annual</td>
<td>CoE</td>
<td>MoES</td>
<td>Number of CoEs with over 50% employer representation on governing council</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No.</td>
<td>Description</td>
<td>Measure</td>
<td>Reporting Unit</td>
<td>Ministry</td>
<td>Notes</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----</td>
<td>------------------------------------------------------------------------------</td>
<td>---------</td>
<td>----------------</td>
<td>----------</td>
<td>----------------------------------------------------------------------</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Number of academic staff trained in the new CBT curriculum</td>
<td>Number x</td>
<td>Annual</td>
<td>CoE/VI</td>
<td>MoES  Increase in the number of academic staff trained by twinning institute</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>No. of collaboration agreements between enterprises and training providers</td>
<td>Number</td>
<td>Annual</td>
<td>Target Institutions/MIS</td>
<td>PSFU  Number of agreements signed and activated by training</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Employers’ rating of competency of trained employees</td>
<td>%</td>
<td>Annual</td>
<td>Target Institutions/MIS</td>
<td>PSFU  Competency and efficiency rates of trained staff to be measured in term of output</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Annex 2 – Draft 5-year Work Plan and Budget

**Ministry of Education and Sports Uganda Skills Development Project (USDP)**

### Annual Budget Work plan by Financial Year, Quarter and Activity

<table>
<thead>
<tr>
<th>Components &amp; Activities</th>
<th>Year 01 (US$'000)</th>
<th>Year 02 (US$'000)</th>
<th>Year 03 (US$'000)</th>
<th>Year 04 (US$'000)</th>
<th>Year 05 (US$'000)</th>
<th>5-Years</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2016</td>
<td>2016</td>
<td>2017</td>
<td>2017</td>
<td>2018</td>
<td>2018</td>
</tr>
<tr>
<td></td>
<td>Jul-Sep</td>
<td>Oct-Dec</td>
<td>Jan-Mar</td>
<td>Apr-Jun</td>
<td>Jul-Sep</td>
<td>Oct-Dec</td>
</tr>
<tr>
<td>01 Comp 1: Institutionalising Systematic Reforms in Skills Development</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Establishing Sector Skills Councils in A, C, &amp; M</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1 Consultancy for Capacity Skills needs assessment, Occupational standards, and Sector Skills Strategy and Plan (A, C, &amp; M)</td>
<td>120.0</td>
<td>300.0</td>
<td>180.0</td>
<td></td>
<td></td>
<td>600.0</td>
</tr>
<tr>
<td>2 International Standard setting Bodies for Construction to assess and certify institutions</td>
<td>30.0</td>
<td>30.0</td>
<td>40.0</td>
<td></td>
<td></td>
<td>100.0</td>
</tr>
<tr>
<td>3 International Standard setting Bodies for Agriculture to assess and certify institutions</td>
<td>30.0</td>
<td>30.0</td>
<td>40.0</td>
<td></td>
<td></td>
<td>100.0</td>
</tr>
<tr>
<td>4 International Standard setting Bodies for Manufacturing to assess and certify institutions</td>
<td>30.0</td>
<td>30.0</td>
<td>40.0</td>
<td></td>
<td></td>
<td>100.0</td>
</tr>
<tr>
<td>5 Support to DIT &amp; NCDC to collaborate with the Twinning Institutions and the International accreditation bodies in occupational standards and qualifications as part of the UVDF</td>
<td>30.0</td>
<td>60.0</td>
<td>60.0</td>
<td></td>
<td></td>
<td>150.0</td>
</tr>
<tr>
<td>Sub-Comp : Establishing SSC (M, C &amp; A)</td>
<td>120.0</td>
<td>300.0</td>
<td>180.0</td>
<td>120.0</td>
<td>150.0</td>
<td>180.0</td>
</tr>
<tr>
<td>Support the Sector Skills Councils (SSC) in A, C &amp; M</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6 Facilitate Private Sector Members on SSC</td>
<td>4.0</td>
<td>6.0</td>
<td>6.0</td>
<td>2.0</td>
<td>2.0</td>
<td>2.0</td>
</tr>
<tr>
<td>7 Facilitate SSC of A, C &amp; M on Benchmarking Visit in 3 Countries</td>
<td>40.0</td>
<td>40.0</td>
<td>40.0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 Workshops to engage stakeholders and communicate agreed standards</td>
<td>30.0</td>
<td>30.0</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9 Technical Officers (3no) to support the SSC</td>
<td>13.5</td>
<td>13.5</td>
<td>13.5</td>
<td>13.5</td>
<td>13.5</td>
<td>13.5</td>
</tr>
<tr>
<td>10 Office furniture for the Technical officers (3no) supporting SSC</td>
<td>4.0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11 Office Equipment for the Technical Officers (3no) supporting SSC</td>
<td>6.0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12 Facilitate SSC to evaluate the performance in Skills Development during the project</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sub-Comp : Support Sector Skills Councils in A C &amp; M</td>
<td>4.0</td>
<td>69.5</td>
<td>79.5</td>
<td>85.5</td>
<td>15.5</td>
<td>35.5</td>
</tr>
<tr>
<td>Foundations of a Skills Development Authority (SDA)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13 Office Furniture and Equipment for SDA</td>
<td>50.0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14 Office Space for the first year of SDA</td>
<td>70.0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15 Facilitate SDA Board for Benchmarking visits</td>
<td>30.0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sub-Comp : Foundations Support for SDA</td>
<td>80.0</td>
<td>17.5</td>
<td>17.5</td>
<td>17.5</td>
<td>17.5</td>
<td></td>
</tr>
<tr>
<td>16 International long term TVET Expert</td>
<td>50.0</td>
<td>75.0</td>
<td>75.0</td>
<td>75.0</td>
<td>25.0</td>
<td></td>
</tr>
<tr>
<td>Sub-Comp : TVET Expert</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17 Operational Support to RTF / SDA</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operational support to RTF/SDA (Tel, consumables, maintenance)</td>
<td>6.0</td>
<td>6.0</td>
<td>6.0</td>
<td>6.0</td>
<td>6.0</td>
<td>6.0</td>
</tr>
<tr>
<td>Sub-Comp : Operational Support to RTF / SDA</td>
<td>6.0</td>
<td>6.0</td>
<td>6.0</td>
<td>6.0</td>
<td>6.0</td>
<td>6.0</td>
</tr>
<tr>
<td>Sub-Comp 1.1 - Total for SSC &amp; SDA</td>
<td>54.0</td>
<td>270.5</td>
<td>540.5</td>
<td>364.0</td>
<td>64.0</td>
<td>179.0</td>
</tr>
<tr>
<td>Components &amp; Activities</td>
<td>Year 01 (US$'000')</td>
<td>Year 02 (US$'000')</td>
<td>Year 03 (US$'000')</td>
<td>Year 04 (US$'000')</td>
<td>Year 05 (US$'000')</td>
<td>5-Years</td>
</tr>
<tr>
<td>-------------------------</td>
<td>---------------------</td>
<td>---------------------</td>
<td>---------------------</td>
<td>---------------------</td>
<td>---------------------</td>
<td>---------</td>
</tr>
<tr>
<td><strong>Alignment and Strengthening of the Assessment Systems</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18 Consultancy to develop an internationally recognised qualifications, assessment and certification system of Skills Training.</td>
<td>50.0</td>
<td>50.0</td>
<td>50.0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19 Support to DIT and UBTBEB to Align the standards for assessment and certification to the market needs.</td>
<td>60.0</td>
<td>60.0</td>
<td>60.0</td>
<td>60.0</td>
<td>60.0</td>
<td>60.0</td>
</tr>
<tr>
<td><strong>Sub-Comp 1.2: Alignment and Strengthening of the Assessment Systems</strong></td>
<td>60.0</td>
<td>60.0</td>
<td>60.0</td>
<td>60.0</td>
<td>60.0</td>
<td></td>
</tr>
<tr>
<td><strong>Management Information System (MIS)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20 Consultancy to develop, design the BTVET MIS System including Hardware, Software &amp; Training</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21 Facilitate and Train key stakeholders on the use of the Developed MIS system</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Sub-Comp 1.3 : Management Information System (MIS)</strong></td>
<td>240.0</td>
<td>160.0</td>
<td>120.0</td>
<td>60.0</td>
<td>80.0</td>
<td></td>
</tr>
<tr>
<td><strong>Communication and Marketing for the BTVET Sector</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>22 Consultant to Implement the BTVET Communication strategy + Rebranding of the BTVET image</td>
<td>120.0</td>
<td>180.0</td>
<td>120.0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>23 Regional and National dissemination workshops and campaigns on the benefits of the Skills Training</td>
<td>120.0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>24 Promotion of female participation in the BTVET</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Sub-Comp 1.4 : Communication and Marketing for the BTVET Sector</strong></td>
<td>120.0</td>
<td>120.0</td>
<td>120.0</td>
<td>40.0</td>
<td>120.0</td>
<td></td>
</tr>
<tr>
<td><strong>Total - Comp 1: Institutionalising Systematic Reforms in Skills Development</strong></td>
<td>54.0</td>
<td>450.5</td>
<td>660.5</td>
<td>834.0</td>
<td>124.0</td>
<td>389.0</td>
</tr>
</tbody>
</table>

02 Comp 2: Improving Quality and Relevance of Skills Development

Centres of Excellence at Lira, Elgon, Bushenyi, & Bukalasa

**CoE - Bukalasa Agricultural College (BAC)**

25 Civil Works at BAC; Classrooms, Workshops, Dormitories, Laboratories, General facilities | 1,000.0 | 500.0 | 1,000.0 | 1,000.0 | 500.0 | 500.0 | 250.0 | 250.0 | | | | | | | | 5,000.0 |
| 26 Equipment & Workshops at BAC | 787.5 | 525.0 | 525.0 | 525.0 | 262.5 | | | | | | | | | | 2,625.0 |
| 27 Training of instructors at BAC | 175.0 | 175.0 | 175.0 | 175.0 | | | | | | | | | | 700.0 |
| 28 Training materials and Instructional materials & Curriculum & Textbooks at BAC | 75.0 | 75.0 | 75.0 | 75.0 | 75.0 | 37.5 | 37.5 | 37.5 | 37.5 | 37.5 | 37.5 | 7.5 | 7.5 | 7.5 | 7.5 | | | | | | | | 950.0 |
| 29 Operating budget (baseline and continuous tracer studies, maintenance and consumables and Logistical Support BAC students) | 120.0 | 150.0 | 60.0 | 30.0 | | | | | | | | | | 300.0 |
| 30 Trace tracking system linked to the EMIS System (BAC) | 100.0 | 100.0 | 100.0 | | 100.0 | | | | | | | | | | 500.0 |
| **Sub-Comp : CoE Bukalasa BAC** | 235.0 | 75.0 | 400.0 | 310.0 | 350.0 | 2,067.5 | 1,082.5 | 1,800.0 | 1,900.0 | 1,037.5 | 775.0 | 287.5 | 387.5 | 7.5 | 7.5 | 7.5 | 7.5 | 7.5 | 10,825.0 |

**CoE - Uganda Technical College - Bushenyi**

32 Civil Works at UTC Bushenyi (Classrooms, Workshops, Dormitories, Laboratories, General facilities) | 1,000.0 | 500.0 | 1,000.0 | 1,000.0 | 500.0 | 500.0 | 250.0 | 250.0 | | | | | | | | 5,000.0 |
<p>| 33 Equipment &amp; Workshops at UTC Bushenyi | 787.5 | 525.0 | 525.0 | 525.0 | 262.5 | | | | | | | | | | 2,625.0 |
| 34 Training of instructors at UTC- Bushenyi | 175.0 | 175.0 | 175.0 | 175.0 | | | | | | | | | | 700.0 |
| 35 Training materials and Instructional materials &amp; Curriculum &amp; Textbooks at UTC Bushenyi | 75.0 | 75.0 | 75.0 | 75.0 | 75.0 | 37.5 | 37.5 | 37.5 | 37.5 | 37.5 | 37.5 | 7.5 | 7.5 | 7.5 | 7.5 | | | | | | | | 950.0 |
| 36 Operating budget (baseline and continuous tracer studies, maintenance and consumables and Logistical Support UTC Bushenyi) | 120.0 | 150.0 | 60.0 | 30.0 | | | | | | | | | | 300.0 |
| 37 Trace tracking system linked to the EMIS System UTC Bushenyi | 100.0 | 100.0 | 100.0 | | 100.0 | | | | | | | | | | 500.0 |
| <strong>Sub-Comp : CoE Bushenyi UTC (Manufacturing)</strong> | 75.0 | 235.0 | 400.0 | 310.0 | 350.0 | 2,067.5 | 1,082.5 | 1,800.0 | 1,900.0 | 1,037.5 | 775.0 | 287.5 | 387.5 | 7.5 | 7.5 | 7.5 | 7.5 | 7.5 | 10,825.0 |</p>
<table>
<thead>
<tr>
<th>Components &amp; Activities</th>
<th>Year 01 (US$'000')</th>
<th>Year 02 (US$'000')</th>
<th>Year 03 (US$'000')</th>
<th>Year 04 (US$'000')</th>
<th>Year 05 (US$'000')</th>
<th>5-Years</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Jul-Sep</td>
<td>Oct-Dec</td>
<td>Jan-Mar</td>
<td>Apr-Jun</td>
<td>Jul-Sep</td>
<td>2016-2020</td>
</tr>
<tr>
<td>CoE - Uganda Technical College - Elgon</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>39</td>
<td>Civil Works at UTC Elgon (Classrooms, Workshops, Dormitories, Laboratories, General facilities)</td>
<td>1,000.0</td>
<td>500.0</td>
<td>1,000.0</td>
<td>500.0</td>
<td>5,000.0</td>
</tr>
<tr>
<td>40</td>
<td>Equipment &amp; Workshops at UTC Elgon</td>
<td>787.5</td>
<td>525.0</td>
<td>525.0</td>
<td>525.0</td>
<td>2,625.0</td>
</tr>
<tr>
<td>41</td>
<td>Training of instructors at UTC-Elgon</td>
<td>175.0</td>
<td>175.0</td>
<td>175.0</td>
<td>175.0</td>
<td>700.0</td>
</tr>
<tr>
<td>42</td>
<td>Training materials and Instructional materials &amp; Curriculum &amp; Textbooks at UTC Elgon</td>
<td>237.5</td>
<td>237.5</td>
<td>237.5</td>
<td>237.5</td>
<td>950.0</td>
</tr>
<tr>
<td>43</td>
<td>Operating budget (baseline and continuous tracer studies, maintenance and consumables and Logistical Support for students at UTC Elgon)</td>
<td>75.0</td>
<td>75.0</td>
<td>75.0</td>
<td>75.0</td>
<td>750.0</td>
</tr>
<tr>
<td>44</td>
<td>Tracer tracking system linked to the EMIS System - at UTC Elgon</td>
<td>60.0</td>
<td>150.0</td>
<td>60.0</td>
<td>30.0</td>
<td>300.0</td>
</tr>
<tr>
<td>45</td>
<td>Student Support (Internship, placement &amp; industrial training &amp; logistical) - at UTC Elgon</td>
<td>100.0</td>
<td>100.0</td>
<td>100.0</td>
<td>100.0</td>
<td>500.0</td>
</tr>
<tr>
<td><strong>Sub-Comp : CoE Elgon UTC (Construction)</strong></td>
<td>75.0</td>
<td>235.0</td>
<td>400.0</td>
<td>310.0</td>
<td>350.0</td>
<td>10,625.0</td>
</tr>
<tr>
<td>CoE - Uganda Technical College - LRA</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>46</td>
<td>Civil Works at UTC-Lira (Classrooms, Workshops, Dormitories, Laboratories, General facilities)</td>
<td>1,000.0</td>
<td>500.0</td>
<td>1,000.0</td>
<td>500.0</td>
<td>5,000.0</td>
</tr>
<tr>
<td>47</td>
<td>Equipment &amp; Workshops at UTC-Lira</td>
<td>787.5</td>
<td>525.0</td>
<td>525.0</td>
<td>525.0</td>
<td>2,625.0</td>
</tr>
<tr>
<td>48</td>
<td>Training of instructors at UTC-Lira</td>
<td>175.0</td>
<td>175.0</td>
<td>175.0</td>
<td>175.0</td>
<td>700.0</td>
</tr>
<tr>
<td>49</td>
<td>Training materials and Instructional materials &amp; Curriculum &amp; Textbooks at UTC-Lira</td>
<td>237.5</td>
<td>237.5</td>
<td>237.5</td>
<td>237.5</td>
<td>950.0</td>
</tr>
<tr>
<td>50</td>
<td>Operating budget (baseline and continuous tracer studies, maintenance and consumables and Logistical Support for students at UTC-Lira)</td>
<td>75.0</td>
<td>75.0</td>
<td>75.0</td>
<td>75.0</td>
<td>750.0</td>
</tr>
<tr>
<td>51</td>
<td>Tracer tracking system linked to the EMIS System - at UTC-Lira</td>
<td>60.0</td>
<td>150.0</td>
<td>60.0</td>
<td>30.0</td>
<td>300.0</td>
</tr>
<tr>
<td>52</td>
<td>Student Support (Internship, placement &amp; industrial training &amp; logistical) - at UTC-Lira</td>
<td>100.0</td>
<td>100.0</td>
<td>100.0</td>
<td>100.0</td>
<td>500.0</td>
</tr>
<tr>
<td><strong>Sub-Comp : CoE Lira UTC (Civil Construction)</strong></td>
<td>75.0</td>
<td>235.0</td>
<td>400.0</td>
<td>310.0</td>
<td>350.0</td>
<td>10,625.0</td>
</tr>
<tr>
<td><strong>Sub-Comp 2.1 - Total for Establishment of CoE</strong></td>
<td>460.0</td>
<td>780.0</td>
<td>1,600.0</td>
<td>1,240.0</td>
<td>1,400.0</td>
<td>8,270.0</td>
</tr>
<tr>
<td><strong>Support to Public Vocational Training Institutes (VTIs)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>43,300.0</td>
</tr>
<tr>
<td>Vocational Training Institutes VTI (3) under BAC</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1,500.0</td>
</tr>
<tr>
<td>53</td>
<td>Civil Works at the VTIs (3) in Agriculture (Classrooms, Workshops, Dormitories, Laboratories, General facilities) - BAC</td>
<td>300.0</td>
<td>300.0</td>
<td>300.0</td>
<td>300.0</td>
<td>300.0</td>
</tr>
<tr>
<td>54</td>
<td>Equipment and Workshops at the 3 VTIs in Agriculture</td>
<td>187.5</td>
<td>187.5</td>
<td>125.0</td>
<td>125.0</td>
<td>625.0</td>
</tr>
<tr>
<td>55</td>
<td>Training of instructors for 3 VTIs in Agriculture</td>
<td>106.3</td>
<td>106.3</td>
<td>106.3</td>
<td>106.3</td>
<td>425.0</td>
</tr>
<tr>
<td>56</td>
<td>Training materials and Instructional materials &amp; Curriculum &amp; Textbooks 3 VTIs.</td>
<td>68.8</td>
<td>68.8</td>
<td>68.8</td>
<td>68.8</td>
<td>275.0</td>
</tr>
<tr>
<td>57</td>
<td>Operating Budget to the 3 VTIs in Agricultural</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>200.0</td>
</tr>
<tr>
<td>58</td>
<td>Internship, student placement and industrial training</td>
<td>20.0</td>
<td>20.0</td>
<td>195.0</td>
<td>195.0</td>
<td>3,025.0</td>
</tr>
<tr>
<td><strong>Sub-Comp 2.2.1 : VTIs (3) under BAC - Agriculture</strong></td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>3,025.0</td>
</tr>
<tr>
<td>Vocational Training Institutions (3) in Manufacturing Under UTC-Bushenyi</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1,500.0</td>
</tr>
<tr>
<td>59</td>
<td>Civil Works at VTIs (3) - Manufacturing (Classrooms, Workshops, Dormitories, Laboratories, General facilities)</td>
<td>300.0</td>
<td>300.0</td>
<td>300.0</td>
<td>300.0</td>
<td>300.0</td>
</tr>
<tr>
<td>60</td>
<td>Equipment and Workshops at the 3 VTIs in Manufacturing</td>
<td>187.5</td>
<td>187.5</td>
<td>125.0</td>
<td>125.0</td>
<td>625.0</td>
</tr>
<tr>
<td>61</td>
<td>Training of instructors for 3 VTIs in Manufacturing</td>
<td>106.3</td>
<td>106.3</td>
<td>106.3</td>
<td>106.3</td>
<td>425.0</td>
</tr>
<tr>
<td>62</td>
<td>Training materials and Instructional materials &amp; Curriculum &amp; Textbooks 3 VTIs.</td>
<td>68.8</td>
<td>68.8</td>
<td>68.8</td>
<td>68.8</td>
<td>275.0</td>
</tr>
<tr>
<td>63</td>
<td>Operating budget to the 3 VTIs in Manufacturing</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>200.0</td>
</tr>
<tr>
<td>64</td>
<td>Internship, student placement and industrial training</td>
<td>20.0</td>
<td>20.0</td>
<td>195.0</td>
<td>195.0</td>
<td>3,025.0</td>
</tr>
<tr>
<td><strong>Sub-Comp 2.2.2 : VTIs (3) under Bushenyi - Manufacturing</strong></td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>3,025.0</td>
</tr>
<tr>
<td>Components &amp; Activities</td>
<td>Year 01</td>
<td>Year 02</td>
<td>Year 03</td>
<td>Year 04</td>
<td>Year 05</td>
<td>5-Years</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------------------------</td>
<td>-----------</td>
<td>-----------</td>
<td>-----------</td>
<td>-----------</td>
<td>-----------</td>
<td>---------</td>
</tr>
<tr>
<td></td>
<td>(US$’000')</td>
<td>(US$’000')</td>
<td>(US$’000')</td>
<td>(US$’000')</td>
<td>(US$’000')</td>
<td></td>
</tr>
<tr>
<td>Vocational Training Institutions (3) in Civil Construction Under UTC-Elgon</td>
<td>300.0</td>
<td>300.0</td>
<td>300.0</td>
<td>100.0</td>
<td>100.0</td>
<td>1,500.0</td>
</tr>
<tr>
<td>Civil Wks at 3 VTIs - Civil construction (Classrooms, Workshops, Dormitories, Laboratories, General facilities)</td>
<td>106.3</td>
<td>106.3</td>
<td>106.3</td>
<td>125.0</td>
<td>125.0</td>
<td>425.0</td>
</tr>
<tr>
<td>Trainig of instructors for 3 VTIs in Civil construction</td>
<td>38.0</td>
<td>187.5</td>
<td>187.5</td>
<td>125.0</td>
<td>125.0</td>
<td>275.0</td>
</tr>
<tr>
<td>Operating budget to the 3 VTIs in Civil construction</td>
<td>100.0</td>
<td>100.0</td>
<td>100.0</td>
<td>100.0</td>
<td>100.0</td>
<td>200.0</td>
</tr>
<tr>
<td>Internship, student placement and industrial training</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
</tr>
<tr>
<td>Sub-Comp 2.2.3 : VTI (3) under UTC Elgon - Construction</td>
<td>20.0</td>
<td>20.0</td>
<td>195.0</td>
<td>195.0</td>
<td>495.0</td>
<td>3,025.0</td>
</tr>
<tr>
<td>Vocational Training Institutes (3) - Highway Construction Under UTC-Lira</td>
<td>300.0</td>
<td>300.0</td>
<td>300.0</td>
<td>100.0</td>
<td>100.0</td>
<td>1,500.0</td>
</tr>
<tr>
<td>Civil Wks at VTIs (3) - Highway construction (Classrooms, Workshops, Dormitories, Laboratories, General facilities)</td>
<td>106.3</td>
<td>106.3</td>
<td>106.3</td>
<td>125.0</td>
<td>125.0</td>
<td>425.0</td>
</tr>
<tr>
<td>Trainig of instructors for 3 VTIs in Highway construction</td>
<td>38.0</td>
<td>187.5</td>
<td>187.5</td>
<td>125.0</td>
<td>125.0</td>
<td>275.0</td>
</tr>
<tr>
<td>Operating budget to the 3 VTIs in Highway construction</td>
<td>100.0</td>
<td>100.0</td>
<td>100.0</td>
<td>100.0</td>
<td>100.0</td>
<td>200.0</td>
</tr>
<tr>
<td>Internship, student placement and industrial training</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
<td>20.0</td>
</tr>
<tr>
<td>Sub-Comp 2.2.4 : VTI (3) under UTC Lira - Civil Construction</td>
<td>20.0</td>
<td>20.0</td>
<td>195.0</td>
<td>195.0</td>
<td>495.0</td>
<td>3,025.0</td>
</tr>
<tr>
<td>Sub-Comp 2.2 : Total for VTIs</td>
<td>80.0</td>
<td>80.0</td>
<td>80.0</td>
<td>780.0</td>
<td>780.0</td>
<td>12,100.0</td>
</tr>
<tr>
<td>Twinning Arrangements for CoEs &amp; VTIs</td>
<td>400.0</td>
<td>200.0</td>
<td>200.0</td>
<td>200.0</td>
<td>200.0</td>
<td>2,000.0</td>
</tr>
<tr>
<td>Twinning Institution for UTC Busheny &amp; 3VTIs</td>
<td>400.0</td>
<td>200.0</td>
<td>200.0</td>
<td>200.0</td>
<td>200.0</td>
<td>2,000.0</td>
</tr>
<tr>
<td>Twinning Institution for UTC Elgon &amp; 3VTIs</td>
<td>400.0</td>
<td>200.0</td>
<td>200.0</td>
<td>200.0</td>
<td>200.0</td>
<td>2,000.0</td>
</tr>
<tr>
<td>Twinning Institution for UTC Lira &amp; 3VTIs</td>
<td>400.0</td>
<td>200.0</td>
<td>200.0</td>
<td>200.0</td>
<td>200.0</td>
<td>2,000.0</td>
</tr>
<tr>
<td>Sub-Comp 2.3 : Twinning Institutions</td>
<td>1,600.0</td>
<td>800.0</td>
<td>800.0</td>
<td>800.0</td>
<td>400.0</td>
<td>8,000.0</td>
</tr>
<tr>
<td>Total Comp 2: Improving Quality and Relevance of Skills Development</td>
<td>540.0</td>
<td>2,460.0</td>
<td>2,480.0</td>
<td>2,820.0</td>
<td>2,980.0</td>
<td>63,400.0</td>
</tr>
<tr>
<td>Comp 3 - Employer-led Training (PSFU)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Window 1 - GRANT FUNDS</td>
<td>2,000.0</td>
<td>3,000.0</td>
<td>2,500.0</td>
<td>1,000.0</td>
<td>500.0</td>
<td>9,000.0</td>
</tr>
<tr>
<td>Window 2 - GRANT FUNDS</td>
<td>1,000.0</td>
<td>2,000.0</td>
<td>1,000.0</td>
<td>800.0</td>
<td>160.0</td>
<td>4,960.0</td>
</tr>
<tr>
<td>Window 3 - GRANT FUNDS</td>
<td>300.0</td>
<td>500.0</td>
<td>500.0</td>
<td>500.0</td>
<td>200.0</td>
<td>2,000.0</td>
</tr>
<tr>
<td>Window 4 - GRANT FUNDS</td>
<td>300.0</td>
<td>300.0</td>
<td>700.0</td>
<td>500.0</td>
<td>200.0</td>
<td>2,000.0</td>
</tr>
<tr>
<td>Support to Grant Applicants (2000 usd)</td>
<td>10.0</td>
<td>20.0</td>
<td>10.0</td>
<td></td>
<td></td>
<td>40.0</td>
</tr>
<tr>
<td>Total Comp 3: GRANT FUNDS</td>
<td>3,610.0</td>
<td>5,820.0</td>
<td>4,710.0</td>
<td>2,800.0</td>
<td>1,060.0</td>
<td>18,000.0</td>
</tr>
</tbody>
</table>

**USDP –PROJECT OPERATIONS MANUAL**
<table>
<thead>
<tr>
<th>Components &amp; Activities</th>
<th>Year 01 (US$'000')</th>
<th>Year 02 (US$'000')</th>
<th>Year 03 (US$'000')</th>
<th>Year 04 (US$'000')</th>
<th>Year 05 (US$'000')</th>
<th>5-Years</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2023 Jan-Mar</td>
<td>2023 Apr-Jun</td>
<td>2023 Jan-Mar</td>
<td>2023 Apr-Jun</td>
<td>2023 Jan-Mar</td>
<td>2023 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2024 Jan-Mar</td>
<td>2024 Apr-Jun</td>
<td>2024 Jan-Mar</td>
<td>2024 Apr-Jun</td>
<td>2024 Jan-Mar</td>
<td>2024 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2025 Jan-Mar</td>
<td>2025 Apr-Jun</td>
<td>2025 Jan-Mar</td>
<td>2025 Apr-Jun</td>
<td>2025 Jan-Mar</td>
<td>2025 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2026 Jan-Mar</td>
<td>2026 Apr-Jun</td>
<td>2026 Jan-Mar</td>
<td>2026 Apr-Jun</td>
<td>2026 Jan-Mar</td>
<td>2026 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2027 Jan-Mar</td>
<td>2027 Apr-Jun</td>
<td>2027 Jan-Mar</td>
<td>2027 Apr-Jun</td>
<td>2027 Jan-Mar</td>
<td>2027 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2028 Jan-Mar</td>
<td>2028 Apr-Jun</td>
<td>2028 Jan-Mar</td>
<td>2028 Apr-Jun</td>
<td>2028 Jan-Mar</td>
<td>2028 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2029 Jan-Mar</td>
<td>2029 Apr-Jun</td>
<td>2029 Jan-Mar</td>
<td>2029 Apr-Jun</td>
<td>2029 Jan-Mar</td>
<td>2029 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2030 Jan-Mar</td>
<td>2030 Apr-Jun</td>
<td>2030 Jan-Mar</td>
<td>2030 Apr-Jun</td>
<td>2030 Jan-Mar</td>
<td>2030 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2031 Jan-Mar</td>
<td>2031 Apr-Jun</td>
<td>2031 Jan-Mar</td>
<td>2031 Apr-Jun</td>
<td>2031 Jan-Mar</td>
<td>2031 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2032 Jan-Mar</td>
<td>2032 Apr-Jun</td>
<td>2032 Jan-Mar</td>
<td>2032 Apr-Jun</td>
<td>2032 Jan-Mar</td>
<td>2032 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2033 Jan-Mar</td>
<td>2033 Apr-Jun</td>
<td>2033 Jan-Mar</td>
<td>2033 Apr-Jun</td>
<td>2033 Jan-Mar</td>
<td>2033 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2034 Jan-Mar</td>
<td>2034 Apr-Jun</td>
<td>2034 Jan-Mar</td>
<td>2034 Apr-Jun</td>
<td>2034 Jan-Mar</td>
<td>2034 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2035 Jan-Mar</td>
<td>2035 Apr-Jun</td>
<td>2035 Jan-Mar</td>
<td>2035 Apr-Jun</td>
<td>2035 Jan-Mar</td>
<td>2035 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2036 Jan-Mar</td>
<td>2036 Apr-Jun</td>
<td>2036 Jan-Mar</td>
<td>2036 Apr-Jun</td>
<td>2036 Jan-Mar</td>
<td>2036 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2037 Jan-Mar</td>
<td>2037 Apr-Jun</td>
<td>2037 Jan-Mar</td>
<td>2037 Apr-Jun</td>
<td>2037 Jan-Mar</td>
<td>2037 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2038 Jan-Mar</td>
<td>2038 Apr-Jun</td>
<td>2038 Jan-Mar</td>
<td>2038 Apr-Jun</td>
<td>2038 Jan-Mar</td>
<td>2038 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2039 Jan-Mar</td>
<td>2039 Apr-Jun</td>
<td>2039 Jan-Mar</td>
<td>2039 Apr-Jun</td>
<td>2039 Jan-Mar</td>
<td>2039 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2040 Jan-Mar</td>
<td>2040 Apr-Jun</td>
<td>2040 Jan-Mar</td>
<td>2040 Apr-Jun</td>
<td>2040 Jan-Mar</td>
<td>2040 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2041 Jan-Mar</td>
<td>2041 Apr-Jun</td>
<td>2041 Jan-Mar</td>
<td>2041 Apr-Jun</td>
<td>2041 Jan-Mar</td>
<td>2041 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2042 Jan-Mar</td>
<td>2042 Apr-Jun</td>
<td>2042 Jan-Mar</td>
<td>2042 Apr-Jun</td>
<td>2042 Jan-Mar</td>
<td>2042 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2043 Jan-Mar</td>
<td>2043 Apr-Jun</td>
<td>2043 Jan-Mar</td>
<td>2043 Apr-Jun</td>
<td>2043 Jan-Mar</td>
<td>2043 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2044 Jan-Mar</td>
<td>2044 Apr-Jun</td>
<td>2044 Jan-Mar</td>
<td>2044 Apr-Jun</td>
<td>2044 Jan-Mar</td>
<td>2044 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2045 Jan-Mar</td>
<td>2045 Apr-Jun</td>
<td>2045 Jan-Mar</td>
<td>2045 Apr-Jun</td>
<td>2045 Jan-Mar</td>
<td>2045 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2046 Jan-Mar</td>
<td>2046 Apr-Jun</td>
<td>2046 Jan-Mar</td>
<td>2046 Apr-Jun</td>
<td>2046 Jan-Mar</td>
<td>2046 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2047 Jan-Mar</td>
<td>2047 Apr-Jun</td>
<td>2047 Jan-Mar</td>
<td>2047 Apr-Jun</td>
<td>2047 Jan-Mar</td>
<td>2047 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2048 Jan-Mar</td>
<td>2048 Apr-Jun</td>
<td>2048 Jan-Mar</td>
<td>2048 Apr-Jun</td>
<td>2048 Jan-Mar</td>
<td>2048 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2049 Jan-Mar</td>
<td>2049 Apr-Jun</td>
<td>2049 Jan-Mar</td>
<td>2049 Apr-Jun</td>
<td>2049 Jan-Mar</td>
<td>2049 Apr-Jun</td>
</tr>
<tr>
<td></td>
<td>2050 Jan-Mar</td>
<td>2050 Apr-Jun</td>
<td>2050 Jan-Mar</td>
<td>2050 Apr-Jun</td>
<td>2050 Jan-Mar</td>
<td>2050 Apr-Jun</td>
</tr>
<tr>
<td>Total Comp 4 - Project Management &amp; Evaluation</td>
<td>92.4</td>
<td>242.4</td>
<td>855.4</td>
<td>767.8</td>
<td>371.4</td>
<td>352.4</td>
</tr>
<tr>
<td>Contingency - Balance/Unallocated</td>
<td>1,745.0</td>
<td>1,745.0</td>
<td>1,745.0</td>
<td>1,745.0</td>
<td>1,745.0</td>
<td>1,745.0</td>
</tr>
<tr>
<td>TOTAL Grand Project</td>
<td>4,946.9</td>
<td>1,745.0</td>
<td>6,770.4</td>
<td>4,227.8</td>
<td>3,794.9</td>
<td>9,255.9</td>
</tr>
</tbody>
</table>
## ANNEX 3: DRAFT 5-YEAR PROCUREMENT PLAN PACKAGES

**Goods, Works and Non-Consulting Services under USDP**

<table>
<thead>
<tr>
<th>Ref No</th>
<th>Contract (Description)</th>
<th>Estimated Cost (US$)</th>
<th>Procurement Method</th>
<th>P-Q</th>
<th>Domestic Preference (yes/No)</th>
<th>Review by Bank (Prior/Post)</th>
<th>Estimated Procurement Start Date</th>
<th>Estimated contract Signing Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Supply and installation of workshops and equipment for centers of excellence in Lot 1-Manufacturing, Lot 2-Agriculture and Lot 3-Construction</td>
<td>10,500,000</td>
<td>ICB</td>
<td>Post</td>
<td>N/A</td>
<td>Prior</td>
<td>1-Dec-17</td>
<td>30- March-18</td>
</tr>
<tr>
<td>2</td>
<td>Supply of training materials including books for centers of excellence in Lot 1Manufacturing, Lot 2 Agriculture and Lot 3 Construction</td>
<td>3,800,000</td>
<td>ICB</td>
<td>Post</td>
<td>N/A</td>
<td>Prior</td>
<td>1-Dec-17</td>
<td>30- March-18</td>
</tr>
<tr>
<td>3</td>
<td>Supply and installation of workshops and other facilities' equipment for 12 VTIs in Lot 1 Manufacturing, Lot 2 Agriculture and Lot 3 Construction</td>
<td>2,500,000</td>
<td>ICB</td>
<td>Post</td>
<td>N/A</td>
<td>Prior</td>
<td>1-Dec-17</td>
<td>30- March-18</td>
</tr>
<tr>
<td>4</td>
<td>Supply and deliver training materials and instructional materials including, adapted curriculum and textbooks for 12 Selected VTIs in Lot 1</td>
<td>1,100,000</td>
<td>ICB</td>
<td>Post</td>
<td>N/A</td>
<td>Prior</td>
<td>1-Dec-17</td>
<td>30- March-18</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>Ref No</td>
<td>Contract (Description)</td>
<td>Estimated Cost (US$)</td>
<td>Procurement Method</td>
<td>P-Q</td>
<td>Domestic Preference (yes/No)</td>
<td>Review by Bank (Prior/Post)</td>
<td>Estimated Procurement Start Date</td>
<td>Estimated contract Signing Date</td>
</tr>
<tr>
<td>5</td>
<td>Purchase of Motor vehicles (08 no.) for Project Coordination /implementation activities</td>
<td>400,000</td>
<td>NCB</td>
<td>Post</td>
<td>N/A</td>
<td>Prior</td>
<td>15-Nov-16</td>
<td>30-March-16</td>
</tr>
<tr>
<td>6</td>
<td>Office furniture and Equipment for the Project staff, SSC &amp; SDA</td>
<td>110,000</td>
<td>Shopping</td>
<td>Post</td>
<td>N/A</td>
<td>Post</td>
<td>5-Oct-16</td>
<td>15-Dec-16</td>
</tr>
<tr>
<td>7</td>
<td>Assorted office/printed stationery and tonners</td>
<td>300,000</td>
<td>Shopping</td>
<td>Post</td>
<td>N/A</td>
<td>Post</td>
<td>5-Oct-16</td>
<td>15-Dec-16</td>
</tr>
<tr>
<td>8</td>
<td>Internet services for PCU staff</td>
<td>80,000</td>
<td>Shopping</td>
<td>Post</td>
<td>N/A</td>
<td>Post</td>
<td>5-Oct-16</td>
<td>15-Dec-16</td>
</tr>
<tr>
<td>9</td>
<td>Civil Works for the renovations and expansion of facilities at four Centers of Excellence Lot 1 UTC Bushenyi, Lot 2 UTC Elgon, lot 3 Bukalasa Agricultural College and Lot 4 UTC Lira</td>
<td>20,000,000</td>
<td>NCB</td>
<td>Post</td>
<td>N/A</td>
<td>Prior</td>
<td>2-Aug-17</td>
<td>30-Jan-18</td>
</tr>
<tr>
<td>Ref No</td>
<td>Contract (Description)</td>
<td>Estimated Cost (US$)</td>
<td>Procurement Method</td>
<td>P-Q</td>
<td>Domestic Preference (yes/No)</td>
<td>Review by Bank (Prior/Post)</td>
<td>Estimated Procurement Start Date</td>
<td>Estimated Contract Signing Date</td>
</tr>
<tr>
<td>--------</td>
<td>------------------------</td>
<td>----------------------</td>
<td>-------------------</td>
<td>-----</td>
<td>-----------------------------</td>
<td>-----------------------------</td>
<td>-------------------------------</td>
<td>---------------------------------</td>
</tr>
<tr>
<td>10</td>
<td>Civil Works for construction of facilities (Classrooms, Workshops, and Dormitories etc) at 12 selected VTIs (3 no. Manufacturing, 3 no. Agriculture, 3 no. Civil construction and 3 no. Highway construction).</td>
<td>6,000,000</td>
<td>NCB</td>
<td>Post</td>
<td>N/A</td>
<td>Prior</td>
<td>2-Aug-17</td>
<td>30-Jan-18</td>
</tr>
</tbody>
</table>

**Consulting Services under USDP**

<table>
<thead>
<tr>
<th>Ref No</th>
<th>Contract (Description)</th>
<th>Estimated Cost (US$)</th>
<th>Procurement Method</th>
<th>P-Q</th>
<th>Review by Bank (Prior/Post)</th>
<th>Estimated Procurement Start Date</th>
<th>Estimated Contract Signing Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Support to the design, establishment and operationalization of MIS for BTVET</td>
<td>800,000</td>
<td>ICB</td>
<td>Post</td>
<td>Prior</td>
<td>15-Jan-17</td>
<td>20-July-17</td>
</tr>
<tr>
<td>2</td>
<td>Consultant/ Advisor to support BTVET sector</td>
<td>468,000</td>
<td>ICS</td>
<td>Post</td>
<td>Prior</td>
<td>15-March-15</td>
<td>30-Oct-16</td>
</tr>
<tr>
<td></td>
<td>Description</td>
<td>Amount</td>
<td>Unit</td>
<td>Start</td>
<td>End</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>-----------------------------------------------------------------------------</td>
<td>---------</td>
<td>------</td>
<td>-------</td>
<td>-------</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Design and implementation of a Communication strategy and campaign for BTET Sector</td>
<td>700,000</td>
<td>ICB Post</td>
<td>Prior</td>
<td>15-Jan-17</td>
<td>20-July-17</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>International Accreditation, Curriculum Adaptation and Training of Faculties and support to establishment of Centers of Excellence in Lot 1 Manufacturing, Lot 2 Agriculture (UTC Bushenyi, Bukalasa AC)</td>
<td>4,000,000</td>
<td>ICB Post</td>
<td>Prior</td>
<td>22-Aug-14</td>
<td>20-March-17</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>International Accreditation, Curriculum Adaptation and Training of Faculties and support to establishment of Centers of Excellence in Lot 3 Construction/Highway Construction (UTC Lira, UTC Elgon)</td>
<td>4,000,000</td>
<td>ICB Post</td>
<td>Prior</td>
<td>15-Nov-16</td>
<td>15-May-17</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Engineering Design and ESIA, and Supervision of Civil works (4-lots) at the four CoEs and VTI's Construction sites.</td>
<td>2,000,000</td>
<td>QCBS Post</td>
<td>Prior</td>
<td>16-March-15</td>
<td>4-March-17</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Consultancy firm to carry out Procurement, Financial and Physical performance Audits. (Procurement Audit in the 3rd year and Financial and Physical Performance and Construction Audit in the Final year of the Project)</td>
<td>300,000</td>
<td>QCBS Post</td>
<td>Prior</td>
<td>15-Jan-18</td>
<td>15-June-2018</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>A consultancy to develop an internationally recognised qualifications, assessment and certification system of Skills Training.</td>
<td>400,000</td>
<td>QCBS Post</td>
<td>Prior</td>
<td>20-March-17</td>
<td>30-Aug-17</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Consultancy to carry out a capacity skills needs assessment, establish Occupational standards, and develop Sector Skills Strategy and Plan in the</td>
<td>600,000</td>
<td>QCBS Post</td>
<td>Prior</td>
<td>20-March-17</td>
<td>30-Aug-17</td>
<td></td>
</tr>
<tr>
<td>Sector</td>
<td>Consultants</td>
<td>Amount</td>
<td>ICS</td>
<td>Post/Prior</td>
<td>Start</td>
<td>End</td>
<td></td>
</tr>
<tr>
<td>--------</td>
<td>-------------</td>
<td>--------</td>
<td>-----</td>
<td>------------</td>
<td>-------</td>
<td>-----</td>
<td></td>
</tr>
<tr>
<td>A, C, M</td>
<td>*Communications Specialist&lt;br&gt;*Deputy Project Coordinator</td>
<td>384,000</td>
<td>ICS</td>
<td>Prior</td>
<td>15-June-16</td>
<td>1-Feb-17</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>ICS</td>
<td>Post</td>
<td>25-Sept-16</td>
<td>30-March-17</td>
<td></td>
</tr>
</tbody>
</table>
Annex 4: Draft TOR for the Due Diligence/Technical Evaluation consultant

Objective of the Assignment

1. PSFU is planning to enter framework contracts with selected eligible consultancy companies or organizations to provide with specific services related to technical reviews/evaluations and due diligence of proposals received for funding Window 1 (addressing skills shortages in formal sector), Window 2 (assisting self-employed and workers in the informal sector, micro and small enterprises, master crafts-people and members of cooperatives to improve their practical, technical, business and foundational skills in order to enhance their productivity) and Window 3 (innovative skills training) of the Skills Development Facility.

2. The verification process comprises two steps, (i) a due diligence of the applicants and, where relevant, the proposed training provider, and (ii) an in-depth assessment of the capacity of the involved organizations. A site visit is supposed to be conducted to all applicants that pass the pre-evaluation stage.

   a) Due diligence: Due Diligence is a fiduciary activity carried out to verify, validate, and assess the quality, integrity, and completeness of the key information required to make a well informed grant funding decision and avoid waste, fraud, and abuse. The point of departure for the due diligence is the information submitted in the project application form. Hence, the purpose of the due diligence is to ensure that the information upon which the decision regarding a grant applications is accurate, that all material facts relevant to the funding decision have been revealed, and that the organizations to which it awards grants are honest, reliable, and fully capable of executing their responsibilities under the grant agreements.

   b) Capacity assessment: The purpose of the capacity assessment is to ensure that the applicant, and not least, the organization(s) supposed to deliver the skills training possess the required facilities, expertise and experience. For jua khali associations, this includes for instance assessment of their capacity to share the acquired skills and knowledge among the members, while it for training providers and applicants under Window 3 relate to issues such as conditions of existing facilities, competences of teaching staff, availability of learning material, management capacity etc. For all windows, the capacity assessment should look into the sustainability prospects of the proposed activity, i.e. the likeliness of applicant being able to continue the supported activity beyond the time of the support.
## Draft application assessment grid (Windows 1 and 2)

<table>
<thead>
<tr>
<th>#</th>
<th>Criterion</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>How relevant is the proposed training to the SDF’s objectives?</td>
</tr>
<tr>
<td>2</td>
<td>How relevant is the proposed training to the identified needs?</td>
</tr>
<tr>
<td>3</td>
<td>Is the proposed training activity based on a training needs assessment?</td>
</tr>
<tr>
<td>4</td>
<td>Is the proposed training likely to have an impact on the labor productivity (competitiveness) of the company?</td>
</tr>
<tr>
<td>5</td>
<td>Does the application contain specific elements of added value?</td>
</tr>
<tr>
<td>6</td>
<td>Whether there may be more effective and efficient alternatives to achieve the same impact</td>
</tr>
<tr>
<td>7</td>
<td>How coherent and efficient is the methodology to successfully achieve the desired results?</td>
</tr>
<tr>
<td>8</td>
<td>Are the activities proposed appropriate, practical and consistent with the objectives of the training and expected results?</td>
</tr>
<tr>
<td>9</td>
<td>Is the implementation plan and budget for the training time bound and doable?</td>
</tr>
<tr>
<td>10</td>
<td>Is the plan for the training/technological innovation clear and feasible?</td>
</tr>
<tr>
<td>11</td>
<td>Are the staffing and logistical arrangements relevant and efficient?</td>
</tr>
<tr>
<td>12</td>
<td>Will it be possible to monitor the progress, results and impact of the training? Are indicators relevant? Is the proposal results-oriented?</td>
</tr>
<tr>
<td>13</td>
<td>What is the potential impact on target group/groups? Is the action likely to have a sustainable impact on its beneficiaries? Does the proposal integrate gender equality considerations?</td>
</tr>
<tr>
<td>14</td>
<td>Are the expected results and impacts sustainable and have potential multiplier effects or replication and extension of outcomes of the project?</td>
</tr>
<tr>
<td>15</td>
<td>Applicant’s management and technical capacity</td>
</tr>
<tr>
<td>16</td>
<td>Is each proposed expense necessary and sufficient for the implementation of the training/technological innovation?</td>
</tr>
<tr>
<td>17</td>
<td>Are the ratios estimated cost/expected results and estimated cost/expected results satisfactory?</td>
</tr>
<tr>
<td>18</td>
<td>Is the contribution of SDF cost-effective (in terms of cost sharing with other potential sources of support)?</td>
</tr>
<tr>
<td>19</td>
<td>Does the proposed training provider have sufficient competences of training, technological innovation and financial management? Is there evidence of experience of similar assignments?</td>
</tr>
<tr>
<td>20</td>
<td>Does the proposed training provider have sufficient technical expertise?</td>
</tr>
<tr>
<td>21</td>
<td>Does the proposed training provider have sufficient capacity in terms of availability and workload of staff, equipment, etc?</td>
</tr>
<tr>
<td>22</td>
<td>Does the applicant have stable and sufficient sources of finance? Is there a genuine need for the grant to be undertaken?</td>
</tr>
</tbody>
</table>
Scope of the Work

3. The consultant will be responsible for the following:

a. Confirm that the information provided in the application by the grantee is accurate, complete and can be verified.

b. Undertake physical verifications to ascertain that all physical materials facts on which the funding decision is to be grounded have been revealed and information provided is true and accurate.

c. Assess the capacity of the grantee to fully execute their responsibilities under the grantee agreement.

d. Ascertain that the proposed activities if funded will lead to expected outcomes and contribute to attaining the required objectives of the SDF.

e. In particular assess that the proposed training if undertaken will lead to productivity improvements from the trainees and increased efficiency/productivity for the beneficiary enterprises in Window 1.

f. Assess that the required training if undertaken it will lead to improved competency and efficiency rates of the trained staff.

g. Undertake due diligence of the proposed training provider to ensure they have the relevant expertise, experience and facilities to effectively deliver the required training programs.

h. Ascertain that the proposed project offer value for money and that the proposed training costs and other costs related to the grant activity are justifiable.

i. Assess whether the project incorporate lessons learned, apply industry best practices and meets relevant industry sector benchmarks.

j. Assess whether there any risks associated with funding of the project.

k. Prepare a due diligence/assessment report for every Grantee visited and verified for submission to the Project Manager SDF.

l. Recommend Grant applications who meet the relevant requirements for grant award for consideration by the Grant committee to the SDF Project Manager.

m. Prepare and submit quarterly progress reports to the SDF Project Manager.

Reporting

4. The Due Diligence/Technical Evaluation Consultant is accountable to the Project Manager of the SDF.
**Deliverables and Time lines**

5. The Consultant is expected to deliver the following as per set guidelines.

**TIMELINES FOR DELIVERABLES**

<table>
<thead>
<tr>
<th>ITEM NUMBER</th>
<th>REPORT/DOCUMENT TITLE</th>
<th>CONTENT</th>
<th>TIMEFRAME</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1</td>
<td>Inception Report</td>
<td>The Inception Report shall outline the Consultant’s mobilization, implementation plan, detailed study methodology, refined technical evaluation /due diligence tools and provide an updated work-plan with clear dates for each activity</td>
<td>2 Weeks from contract effectiveness</td>
</tr>
<tr>
<td>5.2</td>
<td>Deligence/Technical evaluation Report for each Grant Proposal.</td>
<td>The Diligence/Technical Evaluation Report will include the general assessment report summarizing information for all the applications received and evaluated, including brief results of the conducted due diligence/technical evaluation/ and recommendations for consideration by the Grant committee with clear indicator of reasons for recommendation of the Grant applications for grant award or rejection.</td>
<td>4 Weeks from the time the preselected grant proposals have been submitted to the Consultant by PSFU</td>
</tr>
<tr>
<td>5.3</td>
<td>Quarterly Progress Report</td>
<td>The quarterly report will include a consolidated report of all the grant proposal processed, summarizing information for all the applications received and evaluated, including brief results of the conducted due diligence/technical evaluation with challenges, recommendations and action areas for improvement of the diligence and Technical evaluation process.</td>
<td>Every Quarter during the agreed period of contract</td>
</tr>
<tr>
<td>5.4</td>
<td>Final Assignment Report</td>
<td>Final comprehensive report of the activities undertaken and improvement recommendation and action plan covering the above aspects.</td>
<td>Not later than a month after end of Assignment</td>
</tr>
</tbody>
</table>
Duration of Assignment and mode of payment

6. The PSFU is expected to enter framework contracts with 2 consultants/consortia. The contract will initially have the duration of 2 years with possibility of extension. The consultant will be identified through public tendering, satisfactory to IDA. The consultant will be remunerated according to the number of assessments conducted. The contract between PSFU and the consultant will specify the unit cost for the different categories of applications.

Information to be provided/obligations of PSFU

7. Information includes:
   
   i) The Client will assist the Consulting firm to make contacts with relevant SDF client institutions.
   
   ii) Provide information within its jurisdiction,
   
   iii) Provide all the fund and logistics for its staff involved in meetings, preparations and undertaking the assignment.
   
   iv) Effect payment for the services rendered as per the contract
   
   v) To make available all documentation necessary for the evaluation and due diligence to be successfully carried out
   
   vi) To render payment to the Consultant within the stipulated time frame
   
   vii) Coordinate the work done by the consultant and ensure accountability is submitted on a timely basis
   
   viii) Review and present the grantee appraisal/assessment reports to the SDF Grants committee for consideration.

Qualification and experience of the consultant

Consultant Qualification

8. The Due Diligence/Technical Evaluation Consultant must be an individual company or a consortium of international and Ugandan companies and must have undertaken and be able to demonstrate they have carried out similar work on a similar or related program in the last four years and should have the following qualifications:

   Key Staff Qualifications:

9. The consultant must propose a key team of well experienced staff which will work on this assignment, including the level of competence and effort (as well as its approach to verification of the expected large number
of proposals from all over the country). The proposed key team must have at least the following experts with the following minimum qualifications:

**Team Leader**

a) The lead consultant should have documented experience of over 15 years in leading specific services related to technical reviews/evaluations and due diligence of funding proposals of similar or related programs.

b) Masters in Business Administration, Economics, Finance or related field from a recognized institution.

c) Experience working on similar skills development grant program for various international partners in developing countries is an added advantage.

**Associate Consultants (at least 2 people)**

a) The Associate consultants should have documented experience of over 7 years in any of the areas (Technical review and evaluation techniques of proposals and a clear understanding about undertaking due diligence of proposals and capacity assessment of grantees.)

b) A Master’s Degree in any of the following areas Vocational training, Finance, Economics, Business Administration, Engineering and other relevant fields.

**Senior Consultant**

a) The Senior Consultant should have strong research background and experience in workforce development/skills training programs analysis with over 10 years of experience

b) A Master’s Degree in any of the following areas Vocational training, Finance, Economics, Business Administration, Engineering and other relevant fields.

**Organization experience**

a. Experience carrying out similar Technical reviews/evaluations and undertaking due diligence of proposals particularly grant funding using result based methods of appraisal in the last five years

b. Demonstrated experience in undertaking enterprise capacity assessments and well acquainted with Uganda’s private sector.

c. Thorough knowledge of Ugandan and international skilling development policies and programs.

d. Good knowledge of the context in skills gap in the manufacturing, Agriculture and construction sectors.

e. Ability to work within set deadlines, and to write concise reports
Annex 5: Draft TOR for Verification consultant

Objective of the Assignment

1. The objective of the assignment is to assess the performance of PSFU in delivering the project objectives and expected outputs of SDF and make calculation of programme amounts to be disbursed to PSFU on relationship with the deliverables accomplished.

2. The assessment shall be conducted in a transparent and independent manner that will provide valid evidence of results for accountability and decision-making on disbursements.

Scope of Work

3. The SDF has windows with associated performance based results (PBR) as shown at Annex 1 to the POM. Each window has set targets at specific timelines and achievement levels linked to it, spread over from Year 0 to Year 5 of the project. The Consultant shall verify deliverables for the SDF falling in Year 1 to Year 5 of the project.

4. The Consultant shall perform, but not be limited to, the following tasks in the assessment of the SDF

   i. Review the results framework and other relevant literature on the project to comprehend the assignment.
   ii. Develop a detailed methodology for assessing results against each Window, based on the SDF Performance based lograme which will produce credible evidence.
   iii. Assess progress made for each Window against their agreed targets.
   iv. Compute amount to be disbursed for each period based on the achieved results.
   v. Prepare SDF Verification Report presenting: outline of verification activities undertaken to check the accuracy of gross results (data), verified results per Window and reporting period along with recommended disbursement levels, highlights of major discrepancies between gross and verified results along with explanations for such discrepancies; critical analysis for why achievement against specific deliverables may be above or below targets.
vi. Participate and present findings in annual SDF stakeholders’ workshops to review project performance.

1. The detailed methodology including sampling framework will be aligned to the criteria enumerated below and the disbursement requirements to be computed for the SDF over the five verification cycles is Annexed

**Reporting**

6. The Independent Verification Consultancy firm is accountable to the Commissioner Aid Liaison -MoFEPD. The Consultant shall closely work with the Project Manager SDF.

**Deliverables and Time line**

The Consultant is expected to deliver the following as per set guidelines.

<table>
<thead>
<tr>
<th>ITEM NUMBER</th>
<th>REPORT/DOCUMENT TITLE</th>
<th>CONTENT</th>
<th>TIMEFRAME</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Inception Report</td>
<td>The Inception Report shall outline the Consultant’s mobilization, implementation plan, detailed independent verification methodology and assessment tools and provide an updated work-plan with clear dates for each activity</td>
<td>2 Weeks from contract effectiveness</td>
</tr>
<tr>
<td>2</td>
<td>Verification Report No. 1</td>
<td>Detailed report indicating performance results against each Window and other deliverables based on the SDF Performance based lograme with documented evidence. And Computation of the amount to be disbursed for the period based on the achieved results.</td>
<td>End of Year 1</td>
</tr>
<tr>
<td>ITEM NUMBER</td>
<td>REPORT/DOCUMENT TITLE</td>
<td>CONTENT</td>
<td>TIMEFRAME</td>
</tr>
<tr>
<td>-------------</td>
<td>----------------------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>3</td>
<td>Verification Report No. 2</td>
<td>Detailed report indicating performance results against each Window and other deliverables based on the SDF Performance based lograme with documented evidence. And Computation of the amount to be disbursed for the period based on the achieved results.</td>
<td>End of Year Two</td>
</tr>
<tr>
<td>4</td>
<td>Verification Report No. 3</td>
<td>Detailed report indicating performance results against each Window and other deliverables based on the SDF Performance based lograme with documented evidence. And Computation of the amount to be disbursed for the period based on the achieved results.</td>
<td>End of Year Three</td>
</tr>
<tr>
<td>5</td>
<td>Verification Report No. 4</td>
<td>Detailed report indicating performance results against each Window and other deliverables based on the SDF Performance based lograme with documented evidence. And Computation of the amount to be disbursed for the period based on the achieved results.</td>
<td>End 2 ½ Years</td>
</tr>
<tr>
<td>6</td>
<td>Verification Report No. 5</td>
<td>Detailed report indicating performance results against each Window and other deliverables based on the SDF Performance based lograme with documented evidence. And Computation of the amount to be disbursed for the period based on the achieved results.</td>
<td>Beginning of Year 4</td>
</tr>
<tr>
<td>ITEM NUMBER</td>
<td>REPORT/DOCUMENT TITLE</td>
<td>CONTENT</td>
<td>TIMEFRAME</td>
</tr>
<tr>
<td>-------------</td>
<td>-----------------------</td>
<td>---------</td>
<td>-----------</td>
</tr>
<tr>
<td></td>
<td></td>
<td>period based on the achieved results.</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Verification Report No. 6</td>
<td>Detailed report indicating performance results against each Window and other deliverables based on the SDF Performance based lograme with documented evidence. And Computation of the amount to be disbursed for the period based on the achieved results.</td>
<td>End of Year 4</td>
</tr>
<tr>
<td>8</td>
<td>Verification Report No. 7</td>
<td>Detailed report indicating performance results against each Window and other deliverables based on the SDF Performance based lograme with documented evidence. And Computation of the amount to be disbursed for the period based on the achieved results.</td>
<td>End of Year 5</td>
</tr>
<tr>
<td>5.9</td>
<td>Final Assignment Report</td>
<td>Final consolidated report of the activities undertaken and improvement recommendation and action plan covering the above aspects.</td>
<td>Not later than a month after end of Assignment</td>
</tr>
</tbody>
</table>

**Duration of Assignment and mode of payment**

7. The contract will have initial duration of 2 years with possibility of extension. The consultancy firm will be identified through public tendering, satisfactory to International Development Association (IDA). Contract shall be lump sum in accordance with the World Bank Guidelines for Selection and Employment of Consultants.
Data/Information to be provided by PSFU

i. Copy of all relevant reports and documents pertaining to and as required in the assignment.

ii. Provision of contacts as well as access to information that is essential to the proper implementation of the assignment.

iii. Ensure that the project staff members and implementing partners are available for periodic meetings as needed.

iv. Details of the Grant applicants and their respective work plans and payment schedules.

Qualification and experience of consultant

Consultant Qualification

8. The Independent Verification Consultancy firm must be an individual company with at least 10 years of experience in performance monitoring and evaluation. The consultant shall have undertaken at least three similar assignments involving tracking of programme/project performance in Uganda or other country within the developing world.

Key Staff Qualifications

9. The consultancy firm must propose a team of well-experienced staff which will work on this assignment. The consultancy firm must specify the number of specialists the bidder intends to use in this assignment, including the level of competence and effort.

10. The proposed team must have at least the following experts with the following minimum qualifications:

M& E Specialist (Team Leader) should have:

a) Over 15 years of documented experience in leading relevant assignments on performance monitoring and evaluation of project activities for similar or related programs.

b) Master’s Degree in Business Administration, Economics, Finance or related field from a recognized institution.
c) Experience of work on similar skills development grant programs; prior work in developing countries would be considered an advantage.

Financial Management Specialist

a) The Associate consultants should have documented experience of over 7 years in the areas of performance monitoring and evaluation.
b) Master’s Degree in Business Administration, Economics, Finance or related field from a recognized institution.
c) At least 7 years of practical experience of in Financial management activities.
d) Excellent knowledge of English language (speaking, writing and reading).
e) Excellent computer skills, especially Microsoft Excel spreadsheet analysis.
f) Excellent interpersonal communication skills, demonstrated ability to work cooperatively with clients, and ability to liaise tactfully as a member of a multicultural team.
g) Experience in issues related to the Ugandan education and/or labor market systems shall be considered an advantage.

Senior Social Scientist (or Economist) should have:

a) Advanced degree in Education, Economics or other relevant field.
b) A minimum of 15 years of experience in workforce development/skills analysis and education and training programs monitoring and evaluation.
c) Experience of using quantitative and qualitative methodologies, strong research background; Knowledge of the education sector in Uganda would be highly desirable.
Annex 6: Draft TOR for Activity Monitoring and Results Measurement consultant

Objective of the Assignment

1. PSFU is planning to enter framework contracts with selected eligible consultancy companies or organizations to provide with specific services related to activity monitoring and results measurement of funded activities under Window 1 (addressing skills shortages in formal sector), Window 2 (assisting self-employed and workers in the informal sector, micro and small enterprises, master craftspeople and members of cooperatives to improve their practical, technical, business and foundational skills in order to enhance their productivity) and Window 3 (innovative skills training) of the Skills Development Facility. In addition, under Window 4, the PSFU, through the SDF, will also support private sector organizations who are interested in participating in the development of a system for certification of skills and competencies acquired through formal and informal means.

2. The activity monitoring and results measurement system for the SDF will serve two purposes: (i) to ensure that grants are implemented according to the grant agreements, and (ii) to facilitate reporting of results to PSFU, the Grant Committee, and the USDP Steering Committee and other stakeholders in order to foster learning that feeds into the improvement of program strategies and implementation. Thus, the activity monitoring and results measurement system will not only measure results, but will also contribute to quality assurance and results-based management.

3. The Activity Monitoring and Results Measurement Consultancy firm will assist the SDF Team with regular monitoring of activities funded by the SDF as well as collection and analysis of data related to the progress towards achievement of the expected results for Component 3 of the USDP. The PSFU is expected to enter a framework contract with 2 consultants/consultancy consortia.

Activity Monitoring

4. All grantees will receive frequent monitoring visits by a representative of the Activity Monitoring and Results Measurement Consultancy firm on behalf of the SDF. The frequency will depend on the nature of the grant, but for Windows 1 and 2 the visit to the grantees will be at least quarterly during the course of implementation. The purpose of the visit is two-fold. First, it will conduct physical monitoring to verify that the planned activities are making progress as envisaged in the grant agreement. Second, it will undertake the financial control
function of the grants to check that the activities are within the stipulated budget. If required, the consultancy firm will advise the grantee on ways to make the implementation more effective and efficient. Consultancy firm will work in close collaboration and will coordinate its activities with the SDF Team.

5. For each grant, the SDF Project Manager and the Activity Monitoring and Results Measurement Consultancy firm will establish a detailed activity monitoring plan. The consultancy firm will submit a report to the SDF Project Manager after each grantee’s visit in line with an agreed standard format/template.

**Results Measurement**

6. The SDF result measurement system will take its point of departure from the indicators of the USDP Results Framework including on participation of employers in skills training programs, number of collaboration agreements between enterprises and training providers, satisfaction with skills by trainees in supported firm (disaggregated by economic sectors and size), and employers’ rating of competency of trained employees. The results measurement will also focus on parameters such as gains in labour productivity, profitability of the company, income of employees (as well as number of interns and apprentices and their labour market outcomes upon completion of the training when applicable) and, for the jua khali sector, self-employed business operators results, and number of employees. More indicators may be added by the SDF Management or the Grant Committee. Upon signing of the grant agreement, the Activity Monitoring and Results Measurement Consultancy firm will collect key data regarding the grantee’s business. This will serve as the baseline for the results measurement. The consultancy firm will update the collected data quarterly and for short grants, upon completion of the planned activities.

7. This information will help the SDF Management and Grant Committee to adjust the grant selection criteria under the new calls for proposals and the support package offered to grantees. In addition, credible results measurement information will help the PSFU Management and the Project Steering Committee to assess value for money from the program and feed lessons learned into this and other programs.

**Scope of Work:**

8. The consultant expected tasks follow:

   a. Development and putting in place an effective M&E system in order to provide important feedback mechanisms for the SDF, to support and promote its effectiveness and credibility (all activities of the Consultancy firm should be
conducted in close collaboration and coordination with the SDF Project Manager and his team and all the M&E templates and tools should be agreed with the SDF management).

b. Development of the templates for monitoring and measuring impact of the various project funded activities per various window categories.

c. Design and implementation of tools to monitor the results framework for the relevant SDF activities.

d. Design and implementation of M&E studies/surveys to establish a baseline for project results indicators as well as their updates during project implementation and duration of this assignment.

e. Regular monitoring of activities funded by SDF as well as collection and analysis of data related to the progress towards achievement of expected results.

f. Conduct physical monitoring to verify that the planned activities are progressing as envisaged in the grant agreement.

g. Financial review of the grantees project budgets to check that activities are within the stipulated budget.

h. Development of plans for completion of unfinished activities of grantees and achieving the project outputs under the SDF.

i. Assessment of the long-term sustainability of the ongoing and completed activities funded by the SDF.

j. Verification of whether the funded training activity has led to productivity improvements in the trainees and increased efficiency/productivity for the beneficiary enterprises in Window 1, as well as improved labour market outcomes of interns and apprentices when applicable.

k. Verification of whether the funded training activity has contributed towards improving the competency and efficiency rates of the trained staff.

l. Verification that the funded activity offered value for money and the training costs and other costs related to the grant activity were justifiable (and preparation of the summary statistics for the SDF Project Manager).

m. Timely identification of any risks that may or have arisen as a result of the project funding and informing the Project Manager SDF of these risks.

n. Preparation of a monitoring report for every grantee visited and evaluated for submission to the SDF Project Manager.

o. Preparation of project related monitoring and progress reports, assistance to the SDF Project Manager in regular at least quarterly updates of the monitoring indicators.
p. Preparation and submission of quarterly progress reports to the SDF Project Manager.
q. Coordination of impact evaluation activities, if conducted.
r. Any other monitoring and evaluation activities in relation to implementation of the USDP Project assigned by the SDF Project Manager, the SDF Management and the Grant Committee.
s. Proper treatment of confidential information and high integrity.

9. The Consultancy firm shall report to the SDF Project Manager on a quarterly basis and present the report and all indicators in agreed format. Upon request by the SDF Project Manager, the Consultancy firm shall provide additional progress reports for the implementation of the relevant Project activities.

10. All documentation must be fit for purpose, comprehensive, understandable, accurate and appropriate to the needs of its target audience.

**Reporting**

11. The Activity Monitoring and Results Measurement Consultancy firm is accountable to the SDF Project Manager.

**1.0 Deliverables and Time line**

12. The Consultant is expected to deliverable the following as per set guidelines.

<table>
<thead>
<tr>
<th>ITEM NUMBER</th>
<th>REPORT/DOCUMENT TITLE</th>
<th>CONTENT</th>
<th>TIMEFRAME</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1</td>
<td>Inception Report</td>
<td>The Inception Report shall outline the Consultant’s mobilization, implementation plan, detailed monitoring and impact assessment methodology, technical monitoring and assessment tools and provide an updated work-plan with clear dates for each activity</td>
<td>2 Weeks from contract effectiveness</td>
</tr>
<tr>
<td>ITEM NUMBER</td>
<td>REPORT/DOCUMENT TITLE</td>
<td>CONTENT</td>
<td>TIMEFRAME</td>
</tr>
<tr>
<td>-------------</td>
<td>-----------------------</td>
<td>---------</td>
<td>-----------</td>
</tr>
<tr>
<td>5.2</td>
<td>Baseline Report and impact Assessment tool</td>
<td>Detailed report with a baseline for project results indicators and an impact assessment template to be used to measure performance of funded projects to be approved by IDA and the Ministry of Finance, Planning and Economic Development (MoFEPD).</td>
<td>12 Weeks from contract effectiveness</td>
</tr>
<tr>
<td>5.3</td>
<td>Activity Monitoring Plan</td>
<td>The Activity monitoring and Results measurement Consultancy firm shall have a detailed monitoring plan two weeks prior to each visit and have it ready for the attention of the Project Manager SDF,</td>
<td>2 Weeks prior to each visit</td>
</tr>
<tr>
<td>5.4</td>
<td>Grantee visit Reports</td>
<td>A report for each grantee visit for preselected grant recipients</td>
<td>2 weeks after each visit</td>
</tr>
<tr>
<td>5.5</td>
<td>Activity Monitoring Report</td>
<td>Submit activity monitoring reports for each grantee approximately one month prior to the completion/closure of the respective matching grant;</td>
<td>One month prior to the completion/closure of the respective grant.</td>
</tr>
<tr>
<td>5.6</td>
<td>Quarterly Progress Report</td>
<td>The quarterly report will include a consolidated report on the Develop and present quarterly progress implementation of the SDF activities and its results covering issues mentioned under section 3 of this Terms of Reference (“Scope of Work”); And recommendations and action areas for improvement of the Activity monitoring and results measurement process.</td>
<td>Every Quarter during the agreed period of contract</td>
</tr>
<tr>
<td>5.7</td>
<td>Final Assignment Report</td>
<td>Final comprehensive report of the activities undertaken and improvement recommendation and action plan covering the above aspects.</td>
<td>Not later than a month after end of Assignment</td>
</tr>
</tbody>
</table>

**Duration of Assignment and mode of payment**
13. The PSFU is expected to enter framework contracts with consultants/consortia. The contract will have initial duration of 2 years with possibility of extension. The consultancy firm will be identified through public tendering, satisfactory to International Development Association (IDA). Contract shall be lump sum in accordance with the World Bank Guidelines for Selection and Employment of Consultants

   **Date/Information to be provide by PSFU**
   I. Copy of the SDF Operations manual
   II. Copy of the PSFU Subsidiary agreement and performance based results
   III. Details of the Grant applicants and their respective work plans and payment schedules
   IV. Ant other document related to the grant

   **Qualification and experience of consultant**

   **Consultant Qualification**

14. The Activity Monitoring and Results Measurement must be an individual company or a consortium of international and Ugandan companies and must be able to demonstrate that it/they have carried out similar work on a similar or related program in the last four years and should have the following qualifications:

   a. At least 7 years of experience of related work
   b. At least 20 permanent employees
   c. Ability to prioritize effectively and work with minimal supervision;
   d. Ability to deliver assignments in a timely manner while operating under tight deadlines and juggling multiple tasks;
   e. Extensive experience in conducting Activity Monitoring and Results Measurement of the SDF grants, experience in skills analysis, and employer-led education and training programs monitoring and evaluation;

   **Key Staff Qualifications**

15. The consultancy firm must propose a team of well experienced staff which will work on this assignment. The consultancy firm must specify the number of specialists the bidder intends to use in this assignment, including the level of competence and effort.

16. The proposed team must have at least the following experts with the following minimum qualifications:

   **Team Leader** consultant should have:
a) Over 15 years of documented experience in leading relevant assignments on activity monitoring and results measurement of project activities for similar or related programs.

b) Master’s Degree in Business Administration, Economics, Finance or related field from a recognized institution.

c) Experience of work on similar skills development grant programs; prior work in developing countries would be considered an advantage.

Associate Consultants (at least 3)

a) The Associate consultants should have documented experience of over 7 years in the areas of monitoring, evaluation and/or results measurement of grantee projects.

b) A Master’s Degree in Vocational Training, Finance, Economics, Business Administration, Engineering or other relevant fields.

c) At least 7 years of experience of project work with international organizations in the field of monitoring, evaluation and analysis with solid knowledge and research experience pertaining to training-related issues;

d) Excellent knowledge of English language (speaking, writing and reading);

e) Excellent computer skills, especially Microsoft Excel spreadsheet analysis;

f) Excellent interpersonal communication skills, demonstrated ability to work cooperatively with clients, and ability to liaise tactfully as a member of a multicultural team.

g) Experience in issues related to the Ugandan education and/or labour market systems shall be considered an advantage.

Senior Social Scientist (or Economist) should have:

a) Advanced degree in Education, Economics or other relevant field;

b) A minimum of 15 years of experience in workforce development/skills analysis and education and training programs monitoring and evaluation;

c) Experience of using quantitative and qualitative methodologies, strong research background; Knowledge of the education sector in Uganda would be highly desirable.

Organization experience

a) Experience carrying out similar Activity monitoring and result measurement of project activities particularly grant funding using result based measurement methods of assessment in the last seven years

b) Demonstrated experience in undertaking enterprise capacity, performance and skills assessments and well acquainted with Uganda’s private sector.

c) Thorough knowledge of Ugandan and international skills development policies and programs.
d) Good knowledge of the context in skills gap in the manufacturing, Agriculture and construction sectors.

e) Ability to work within set deadlines, and to write concise, clear, accurate and understandable reports.
Annex 7: Draft Grant Application Form

Uganda Skills Development Programme (USDP)

<table>
<thead>
<tr>
<th>Skills Development Facility SDF</th>
</tr>
</thead>
<tbody>
<tr>
<td>SDF Grant Application Form</td>
</tr>
<tr>
<td>PLEASE COMPLETE ALL SECTIONS TO ENSURE THAT YOUR APPLICATION CAN BE CONSIDERED</td>
</tr>
</tbody>
</table>

Instructions on how to fill this form

1. This form may be filled electronically (on a computer) or manually
2. Fill all the empty spaces /white boxes where relevant
3. In spaces with a ☐, tick the box when relevant, skip when not applicable
4. All spaces with a * must be filled
5. After completing the form, remember to sign and enter the date
6. Deliver the application form to the PSFU office; Plot 43 Nakasero Road or agreed drop centers
7. Upon submission, you will get a submission acknowledgement form from PSFU. Keep this until you receive a formal reply from PSFU.

Steps in assessing your application

1. PSFU will assess whether your application is eligible.
2. If not eligible, you will be informed within two months after submission.
3. If eligible, PSFU will score your application. In case your application scores above the minimum threshold, PSFU will visit your business and make a detailed technical appraisal.
4. If your application is appraised favorably, and subject to availability of funds, PSFU will make a recommendation to the Grants Committee for a grant award.
5. The Grant Committee will decide if to award the grant, and for how much.
6. Attendance of the mandatory briefing and training
7. If you are awarded a grant, you will sign a Letter of Agreement with PSFU and a contract with your supplier.
8. Before signing the Letter of Agreement, you must show evidence that you have your own contribution.
9. In most cases, the grant will be paid to the contractor or supplier directly, after payment of your own contribution.
10. You will be responsible for execution of the activity financed by the grant within three months after the grant award.
I confirm that the information I provide hereafter is correct, complete and accurate. Please note that PSFU may check the correctness of the information provided in your application. If found untrue or incomplete, your application will be cancelled.

**CHECKLIST FOR GRANT APPLICATION**

<table>
<thead>
<tr>
<th>Please ensure that the following is provided with your grant application</th>
<th>Submitted (Yes/No)</th>
<th>Official only</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Fully filled and signed application form</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Valid copy of ID of the official representative of the applicant</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>If available:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Articles of Association of your business</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Certificate of Registration of your business</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Letter from the LC1, confirming the knowledge and presence of your business in the location as indicated for window 2 applicants</td>
<td></td>
</tr>
</tbody>
</table>

### 1: BASIC INFORMATION OF COMPANY

*Name of company:*

*Name of Manager/CEO/Principal/Chairman:*

*Physical address company>*

*Street/trading centre:*

*Sub county:*

*District:*

Contact address>

P.O. Box: District:

*Contact telephone>*

*Mobile 1:*

Mobile 2:

Email address:

*Legal status of company>*

Company [ ] Association [ ] Training Institution [ ] Network [ ]

Other [ ] Indicate: ..........................................................

Date of registration (If registered): Authority:

*Trading license>*

*Yes/No Trading license validity until:*

VAT number: Tin number:
### 2: PERSONAL INFORMATION OF OWNER/APPLICANT (WINDOW 2 & 4)

<table>
<thead>
<tr>
<th>*First name applicant:</th>
<th>*Last name applicant:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>*Date of birth:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>*Position in company:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>*Contact address:</th>
<th>P.O. Box:</th>
<th>District:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>*Contact telephone:</th>
<th>Mobile 1:</th>
<th>Mobile 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>*Education level:</th>
<th>Primary:</th>
<th>Completed:</th>
<th>If yes, in year:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

|                     | O-levels: | Completed: | If yes, in year: |
|                     |          |            |                  |
|                     | A-levels: | Completed: | If yes, in year: |
|                     |          |            |                  |
|                     | Vocational: | Completed: | If yes, in year: |
|                     |          |            |                  |
|                     | University: | Completed: | If yes, in year: |
|                     |          |            |                  |

### 3: FINANCIAL DATA

<table>
<thead>
<tr>
<th>*Bank details</th>
<th>Bank:</th>
<th>Account name:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Branch:</th>
<th>Account number:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><em>Your annual income from this business UGX:</em></th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><em>Your main operating costs of this business, e.g. salaries, produce, fuel, spare parts:</em></th>
<th>Item</th>
<th>Total expenditure per month / cost item</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>UGX</td>
<td></td>
</tr>
<tr>
<td></td>
<td>UGX</td>
<td></td>
</tr>
<tr>
<td></td>
<td>UGX</td>
<td></td>
</tr>
<tr>
<td></td>
<td>UGX</td>
<td></td>
</tr>
<tr>
<td></td>
<td>UGX</td>
<td></td>
</tr>
</tbody>
</table>
Total monthly operating costs

4: STAFFING DATA

<table>
<thead>
<tr>
<th></th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>*No of staff fulltime&gt;</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>*No of staff part-time&gt;</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

5: OWNER’S COMPANY ASSESSMENT

*What are the particular **internal strengths** of your business (eg product knowledge, client service):

*What are particular **internal weaknesses** of your business:

*What are particular **external opportunities** for your business to develop (eg increasing production of farmers, increasing demand for your products):

*What are particular **external threats** to your business (eg stiff competition):

*Describe what you expect your business to be in 5 years from now:

*What do you need to do to get where you want your business to be 5 years from now:

6. FOR COMPANIES ONLY (WINDOW)

* Total regular employment at present

**How many of these are women?**

**Number of casual workers last month?**

**How much did the company spend last year on training of the staff?**

**How many staff attended last year training that lasted more than 1 day?**
<table>
<thead>
<tr>
<th>What are the company’s three most important products?</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>How much of your production is exported?</td>
<td></td>
</tr>
<tr>
<td>How much labour force is required in productivity?</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>7 FOR ASSOCIATIONS ONLY (WINDOW 2)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of members</td>
<td></td>
</tr>
<tr>
<td>Objective of association</td>
<td></td>
</tr>
<tr>
<td>Income of association last year (dues)</td>
<td></td>
</tr>
<tr>
<td>Did you arrange any training for your members last year? Indicate which ones</td>
<td></td>
</tr>
<tr>
<td>Do you offer your members any advisory service? Indicate which ones</td>
<td></td>
</tr>
<tr>
<td>Products dealt in by members, how many are for women</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>8. FOR TRAINING INSTITUTIONS ONLY (WINDOW 3)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of permanent teaching staff</td>
<td></td>
</tr>
<tr>
<td>Number of ad hoc teaching staff</td>
<td></td>
</tr>
<tr>
<td>Number of male graduates last year</td>
<td></td>
</tr>
<tr>
<td>Number of female graduates last year</td>
<td></td>
</tr>
<tr>
<td>Number of enrolled students at present</td>
<td></td>
</tr>
<tr>
<td>How many trainees attended short-term courses at the institution last year?</td>
<td></td>
</tr>
</tbody>
</table>
### 9: GRANT APPLICATION DATA

- What is the grant application for?
  - Agricultural skills: [ ]
  - Manufacturing skills: [ ]
  - Construction skills: [ ]
  - Training/vocational skills: [ ]
  - Other (specify) ____________________________

*Describe the details of your skills need (attach list of trainees and profile of proposed trainers)*

<table>
<thead>
<tr>
<th>Type of training</th>
<th>Number of participants</th>
<th>Number of Women</th>
<th>Period of Training</th>
<th>Training cost</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**10: GRANT EXECUTION**

*Do you have a preferred supplier/trainer for your activity? yes/no

If Yes: Provide details of your suppliers and justification

SHOW IN THE TABLE BELOW HOW YOU WILL EXECUTE YOUR GRANT

| ACTIVITY | TIME OF IMPLEMENTATION (IN WEEKS) | TOT |  
|----------|-----------------------------------|-----|---
|          | WK 1 | WK 2 | WK 3 | WK 4 | WK 5 | WK 6 | WK 7 | WK 8 | WK 9 | WK10 | WK 11 | WK 12 |
|          |      |      |      |      |      |      |      |      |      |      |       |       |
|          |      |      |      |      |      |      |      |      |      |      |       |       |
|          |      |      |      |      |      |      |      |      |      |      |       |       |
|          |      |      |      |      |      |      |      |      |      |      |       |       |

TOTAL NUMBER OF WEEKS>

**11. SUMMARY OF PROPOSED PROJECT (Max. 1 page)**


**12. WHICH INSTITUTIONS ARE YOU PLANNING TO COLLABORATE WITH?**

1. 
2. 

**13. BUDGET SUMMARY**

<table>
<thead>
<tr>
<th>#</th>
<th>MAIN ITEM/ACTIVITY</th>
<th>ESTIMATED COST (UGX)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
1. **HOW WILL YOU CONTINUE THE ACTIVITY AFTER THE SDF SUPPORT HAS COME TO AN END** (Maximum 1000 characters)?

2. **SUMMARY OF OUTPUT INDICATORS** (for example no of people trained/outreach activities/new technologies introduced etc.)
   1. 
   2. 
   3. 
   4. 

3. **SUMMARY OF OUTCOME INDICATORS** (result/effect of planned activities – for example more efficient production, new production, higher turnover, new markets, improved quality etc.)
   1. 
   2. 
   3. 
   4. 

4. **SUMMARY OF PROCUREMENT PLAN**

5. **HOW MANY MONTHS WILL IT TAKE TO COMPLETE THIS?**
## 19: POST GRANT SITUATION

<table>
<thead>
<tr>
<th>Cost item</th>
<th>Total expenditure per month / cost item</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>UGX</td>
</tr>
<tr>
<td>Produce</td>
<td>UGX</td>
</tr>
<tr>
<td>Fuel</td>
<td>UGX</td>
</tr>
</tbody>
</table>

| Total monthly operating costs | UGX |

*By how much do you expect your operating costs to increase after the activity?*

*Cost item | Total expenditure per month / cost item |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries</td>
<td>UGX</td>
</tr>
<tr>
<td>Produce</td>
<td>UGX</td>
</tr>
<tr>
<td>Fuel</td>
<td>UGX</td>
</tr>
</tbody>
</table>

| Total monthly operating costs | UGX |

*How would the activity improve your annual income from your business?*

*By how much do you estimate your annual income would increase?*

*How would the activity increase your clients / customers?*

*How many additional clients / customers do you estimate would you get annually?*

*What new type of clients would you attract by your activity?*

*How would the investment improve the services to your clients?*

I declare that the above information is correct and true to the best of knowledge. By signing this form, I accept that this application is subject to the rules as set out in the SDF Grants Operations Manual, and that I will accept the decisions of the Grant Committee as final and binding.

*Sign*  

*Date*
ANNEXES

Please attach the following documents, as appropriate:

- Certification of registration with local or national authorities
- Last 2 years audited accounts for window 1 & window 3
- Last 2 months bank statements for window 1 & window 3
- Detailed budget
- Detailed activity plan
- List of TraineesProfile of trainers

Other relevant documentation.
Annex 8: Pre-qualification matrix

*To be filled out by a Grant Specialist*

<table>
<thead>
<tr>
<th><strong>PRE-QUALIFICATION FORM</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. CONTACT DETAILS</strong></td>
<td></td>
</tr>
</tbody>
</table>

| **SDF FILE NUMBER**       |  |
| **NAME OF APPLYING ORGANISATION** |  |
| **NAME OF CONTACT PERSON** |  |
| **ADDRESS OF APPLICANT**  |  |
| **TELEPHONE NUMBER OF APPLICANT** |  |
| **E-MAIL ADDRESS OF APPLICANT** |  |

<table>
<thead>
<tr>
<th><strong>2. BASIC INFORMATION</strong></th>
<th>Yes/No/NA</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Information</strong></td>
<td>Yes/No/NA</td>
</tr>
<tr>
<td>Adequate contact data on applicant?</td>
<td></td>
</tr>
<tr>
<td>Adequate information on main activity?</td>
<td></td>
</tr>
<tr>
<td>Adequate information on registration?</td>
<td></td>
</tr>
<tr>
<td>Adequate information on ownership?</td>
<td></td>
</tr>
<tr>
<td>Adequate bank information?</td>
<td></td>
</tr>
<tr>
<td>Adequate information on contact person(s)?</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>3. ASSESSMENT OF APPLICANT</strong></th>
<th>Yes/No/NA</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Criteria</strong></td>
<td>Yes/No/NA</td>
</tr>
<tr>
<td>Does the applicant belong to SDF’s target group?</td>
<td></td>
</tr>
<tr>
<td>Does the budget allow a realistic assessment of the likely results of the proposed activities?</td>
<td></td>
</tr>
<tr>
<td>Does the applicant appear to have the capacity to implement the proposed project?</td>
<td></td>
</tr>
</tbody>
</table>
Is the situation the applicant wants to address relevant for SDF?

Does the proposed solution to improvement of the situation make sense?

Are the proposed activities an adequate response to the described situation?

Does the expected final result justify the estimated cost of the proposed project?

Is the proposed timeframe realistic?

Does the proposed activities offer value for money?

Is the application above US$ 5,000?

<table>
<thead>
<tr>
<th>4. CONCLUSION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes/No</td>
</tr>
<tr>
<td>Can you recommend that the application in its present form continues to the next step of the evaluation process?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5. IF YOU THINK THE APPLICATION SHOULD BE REJECTED, PLEASE EXPLAIN WHY</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Place</th>
<th>Date</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Signature:
Annex 9: Appraisal Matrix

1. The purpose of assessment is to ensure that the SDF’s resources are targeted at identified priorities. Effective training development depend on knowing what results are required – for the individual, the applicant, and the SDF. The objective is to confirm that the priorities, objectives, training needs and training indicated in the application (either expressly or by implication) are the right ones for the applicant’s situation, and that the SDF assistance will yield the “triple bottom line” of increased business revenues, more jobs created and enhanced livelihoods for workers and the self-employed through increased incomes.

2. The task is to review the analytical process (whether implied or overt) through which the applicant identified the training and technology needs and evaluate the relevance of the requested support from the SDF.

Evaluating Applications under Windows 1, 2 and 3

<table>
<thead>
<tr>
<th>SDF Perspective</th>
<th>Remarks</th>
<th>Evaluation Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>What is (are) the training need(s)?</td>
<td>A training needs assessment has two defining features: It is identifying any shortcoming, gap, or problem that prevents an individual, or organisation from achieving its objectives; it suggests actions that can help to overcome or reduce the challenge through training and/or development.</td>
</tr>
<tr>
<td>2</td>
<td>At what level in the organisation does the need arise?</td>
<td>Training needs can arise at the organisation, the activity, or the individual levels. A training need might be limited to an individual or an activity, but it is more likely to impact on at least two, and perhaps all three levels. E.g., if the company generally treats customers as a nuisance, it needs to change its overall approach. Giving one or two people training addresses the training need at the wrong level; organisational development is needed, not individual training sessions.</td>
</tr>
<tr>
<td>3</td>
<td>Was the training need anticipated? Or it was determined through a monitoring process? Or it is a reaction to unexpected problems?</td>
<td>Anticipated needs often appear at organisational or activity level. E.g. a new machine introduced into a workshop or office may have training implications for everyone using it. Similarly, a company that decides to enhance customer service as part of its corporate strategy knows that a programme of training and development is essential for its success.</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>4</td>
<td>Are training needs coordinated across the organisation?</td>
<td>Training needs that exist in one department are likely to exist in others. It is pointless for individual managers to throw their own limited resources at each problem as it arises, duplicating efforts and dissipating resources. All managers must liaise with each other to aggregate training need information, so that the company integrates its training and development activities.</td>
</tr>
<tr>
<td>5</td>
<td>What tools are have been used to spot the gaps and problems that may indicate the existence of training needs in the organisation?</td>
<td>Some problems that fall into the category of training needs can go unnoticed while they creep up on the organisation. Active monitoring systems help spot these. One approach to monitoring is variance analysis. This tool is usually used to monitor budgets. It translates into identification of training needs by replacing budget numbers with specific performance standards and indicators. Any major variance from the forecast – upwards or downwards – triggers an investigation into why it occurred and what the results will be.</td>
</tr>
<tr>
<td></td>
<td>What assumption(s) is (are) used to explain the identified gap or problem indicating existence of the training need?</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>----------------------------------------------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Monitoring will indicate where gaps and problems exist, but care must be taken not to rush into the wrong assumption to explain a particular set of circumstances. E.g., it may be natural to conclude that unusually rapid staff turnover in a small section is due to unsocial hours. However, exit interviews may indicate that cramped working conditions and poor ventilation are to blame. Training cannot resolve this problem, even though the monitoring process helped identify it. On the other hand, it could be the behaviour and managerial style of the section head are the root cause or that because of errors at the recruitment stage the wrong people are being taken on. In either of these cases there is a training need – in the first case with the section head, and in the second, with the recruiter(s).</td>
<td></td>
</tr>
</tbody>
</table>
3. For assessment of applicants that have passed the pre-qualification and verification stage. To be filled out by SDF Grants Specialist or persons designated by SDF.

### APPLICATION ASSESSMENT GRID

<table>
<thead>
<tr>
<th>SECTION</th>
<th>Yes/No/NA</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.0 Relevance of the training</strong></td>
<td></td>
</tr>
<tr>
<td>1.1 Is the training relevant to the SDF’s objectives?</td>
<td></td>
</tr>
<tr>
<td>1.2 Is the training responding to the identified needs or constraints?</td>
<td></td>
</tr>
<tr>
<td>1.3 Is the proposed training sufficient to overcome the identified skills problem?</td>
<td></td>
</tr>
<tr>
<td>1.4 Is the proposed training relevant to other enterprises in the sector?</td>
<td></td>
</tr>
<tr>
<td>1.5 Does the application contain specific elements of added value?</td>
<td></td>
</tr>
<tr>
<td><strong>2.0 Technical quality and methodology of the training</strong></td>
<td></td>
</tr>
<tr>
<td>2.1 How coherent and efficient is the methodology to successfully achieve the desired results?</td>
<td></td>
</tr>
<tr>
<td>2.2 Are the activities proposed appropriate, practical and consistent with the objectives of the training and expected results?</td>
<td></td>
</tr>
<tr>
<td>2.3 Are the implementation plan and budget for the training/training innovation time bound?</td>
<td></td>
</tr>
<tr>
<td>2.4 Is the plan for the training/training innovation clear and feasible?</td>
<td></td>
</tr>
<tr>
<td>2.5 Are the staffing and logistical arrangements relevant and efficient?</td>
<td></td>
</tr>
<tr>
<td>2.6 Does the application contain objectively verifiable indicators (and initial values) to monitor the progress, results and impact of the training/training innovation?</td>
<td></td>
</tr>
<tr>
<td><strong>3.0 Sustainability of the training/training innovation</strong></td>
<td></td>
</tr>
<tr>
<td>3.1 Is the action likely to have a sustainable impact on its beneficiaries?</td>
<td></td>
</tr>
<tr>
<td>3.2 Are the expected results and impacts sustainable and have potential multiplier effects or replication and extension of outcomes of the project? At policy level? The institutional level? Financially?</td>
<td></td>
</tr>
<tr>
<td><strong>4.0 The budget and cost effectiveness</strong></td>
<td></td>
</tr>
<tr>
<td>4.1 Is each proposed expense necessary and sufficient for the implementation of the training/training innovation?</td>
<td></td>
</tr>
<tr>
<td>4.2 Are the ratios estimated cost/expected results and estimated cost/expected impacts satisfactory?</td>
<td></td>
</tr>
</tbody>
</table>
4.3 Is the contribution of SDF cost-effective (in terms of cost sharing with other donors and training providers)?

5.0 The proposer’s operational and financial capacity

5.1 Does the proposer have sufficient competences of training, technological innovation and financial management? Is there evidence of experience of similar assignments?

5.2 Does the applicant have sufficient technical expertise?

5.3 Does the applicant have sufficient capacity in terms of availability and workload of staff, equipment, etc.?

5.4 Does the applicant have stable and sufficient sources of finance?

6.0 Gender

6.1 Do women constitute more than 25% of the beneficiaries?

Number of ‘Yes’

4. In order to qualify for presentation to the Grant Committee an application must have a score of at least 17 ‘yes’ out of 22 possible.
Annex 10: Client Agreement under Component 3

SDF - CLIENT LETTER OF AGREEMENT
This Letter of Agreement is made this……….. day of ………….2015 between
……………………………………………………………………..henceforth called the Client, and the Skills
Development Facility, henceforth called SDF, for the payment of grant assistance, following
the approval on ……………………………………… of Grant Application No. ……………………..

The Agreement is formulated under the SDF, which has been established with the aim of
improving quality and relevance of skills training in specific training institutions, and also lay
the foundations for scaling up interventions across the spectrum of institutions that provide
training for the target sectors which include; Agro processing, manufacturing, construction
and vocational training institutions.

The Private Sector Foundation Uganda (PSFU), utilizing funds provided by the World Bank
(IDA) and the Government of Uganda, implements the facility on behalf of the Ministry of
Finance.

1. The approved Skills Development Grant relates to the application number noted above.
   The financial assistance, which is the subject of this Agreement, covers the eligible
   activities and approved budget detailed in that application. This is attached to this Letter
   of Agreement as Appendix 1 and is considered an integral part of this Agreement.

2. In the event of a group membership activity, the signatory of this Agreement, acting as the
   Client, accepts full responsibility for the financial management of the approved activity and
   for meeting the requirements of SDF to qualify for grant assistance.

3. Under this Agreement, SDF agrees to reimburse payment on all eligible costs as agreed
   upon for the approved activity as per the following windows;
<table>
<thead>
<tr>
<th>Window</th>
<th>Cost sharing Modalities</th>
</tr>
</thead>
</table>
| **Window1** (Skills shortages in the formal sector with focus on medium and large firms, including increased access to internships) | • Ceiling: US$ 250,000  
• Grant 80% for (small Companies)  
• Grant 50% for Large companies (100+employees, Annual Turnover 30 billion+)  
• Voucher scheme SDF will cover 90%  
• Internships 100% of costs |
| **Window 2** (Skills shortages experienced by self-employed, workers and apprentices in the informal (juakhali) sector, master craftsmen, micro and small enterprises and members of cooperatives) | • Ceiling of US$50,000  
• Maximum grant 90 %, which in this case, can be made in-kind.  
• National umbrella organizations the amount may exceed US$ 50,000.  
• Up to 10% of the grant can be spent on equipment |
| **Window 3** (Support to development of new innovative skills training programs) | • Applications will have a ceiling of US$350,000 with a maximum grant element of 75% |
| **Window 4** (Support to systems for certification of skills and competencies acquired through informal and non-formal training) | • Ceiling of US$300,000 with a maximum grant element of 90%  
• Activities will be rolled out in phases; Development of operational details for rolling out of the workers PAS and Implementation. |

Such payment is dependent on:

a) this Agreement having been signed by the client and returned to SDF  
b) the Client having clearly stated deliverables and SDF having verified the deliverables which are specified in the approved grant application, and these being satisfactory to both.  
c) the Client having made the payments detailed in this Agreement and these having been certified by a legal representative of the client firm signed and returned to SDF  
d) Any payment made by the client in respect of this activity prior to the agreement shall not be included in this agreement, nor may they be reimbursed.
4. This Agreement commences on receipt of it by SDF, signed by both parties. It is the responsibility of the Client to ensure such receipt.

5. Implementation of the approved activity can be undertaken on commencement of this Agreement. It shall be completed by …………………………………………… the termination date specified in the grant application, on which date this approval lapses and the funds may be de-committed and reallocated. (See paragraph 6 below.)

6. No changes or time extensions may be made to the approved activities without the formal and written advance approval of SDF. Approval shall not be given retrospectively, and failure to get approval may invalidate the entire Agreement.

7. Applications for payment must be made within two months of the activity completion date, stated in (5 above). Failure to do so may result in de-commitment and reallocation of the funds. Any extension of the payment date requires the written agreement in advance to, and acceptance.

8. Provided they are in accordance with the General Regulations and the terms of this Letter of Agreement, satisfactory applications for payment of approved expenditures will be made within fifteen (15) working days.

9. SDF undertakes to maintain strict confidentiality on all aspects of any grant application and no aspect of it or of the approved activities or anything arising from these will be divulged to any third party. All materials, printed or otherwise, arising from the execution of the activity are the property of the client. Any reports or documents submitted by the Client to SDF to support an application for payment will be retained by the Facility for accountability purposes. Where a beneficiary specifically expresses interest in obtaining originals, a formal request has to be made and certified copies of the same attached. The client is obliged to retain deliverables for a minimum period of 3 years after the grant and to make them available to the project officers on demand.

10. In its agreements with service providers, the client will include a clause that SDF or those authorised by them may at any time verify outputs and payment receipts related to this agreement. Further, the Client agrees and declares that, to the best of his knowledge, the consultant(s) being contracted is/are not an active civil servant(s).

11. In accepting financial assistance from SDF, the Client and its service providers agree to co-operate in any confidential survey of the operations of the Facility designed to monitor
the Facility progress. SDF reserves the right to publish data on the progress of the Facility in an aggregated manner, in such a way that no single firm is identifiable. All company data provided will be confidential to SDF and will not be divulged to any third party. SDF may at any time during the execution of the approved activity, seek information on its progress, which the client will give. Normal confidentiality provisions will apply. If, for promotional purposes, SDF wishes to portray a given client’s “success story”, permission will first be requested from the client.

12. In the event that the Client and/or service providers commit fraudulent acts related to this Agreement it agrees that details of such acts, including the names of individuals, may be published in the national press. Signature of this agreement binds the Client to advise suppliers of this clause.

13. The Client agrees and declares that the World Bank (IDA), the PSFU and any other institution related to the SDF is and are totally and absolutely free of any form of responsibility for any act, relation or deed in which the Client and its supplier/s may be part.

14. In signing this letter of Agreement, the Client, the Client’s service provider(s) and SDF, accept and submit to each provision of it. In the event that a dispute arises at any time over any aspect of this letter, the Client accepts that the General Regulations of SDF have over-riding authority.

Please sign one copy of this agreement, initial it and the attached Appendix on each page and return the document to SDF.

For the Client:                                                                 For PSFU: Executive Director

________________________________________   __________________________________________
Signature                                                                               Signature

Name   ______________________________________________

Title:   ______________________________________________

SDF

Date:   ______________________________________________

Manager,

For Consultant

Name   ______________________________________________

Title:   ______________________________________________

USDP –PROJECT OPERATIONS MANUAL
### Annex 11. PSFU Performance based results

<table>
<thead>
<tr>
<th>Payment Based Result</th>
<th>Description of Achievement</th>
<th>Verification Entity</th>
<th>Means of Verification</th>
<th>Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>1(a). Grants Committee established</td>
<td>Grants Committee has been established and oriented by PSDU on operational manual and roles and responsibilities</td>
<td>MoFPED</td>
<td>Copies of appointment letters for the GAC members and the minutes of the inaugural orientation meeting</td>
<td>Year 0</td>
</tr>
<tr>
<td>1(b). Operational Manual established</td>
<td>Operational manual approved by the World Bank and Project Steering committee (PSC)</td>
<td>MoFPED</td>
<td>Copy of the approved grant manual, minutes of PSC and the World Bank’s No Objection letter</td>
<td></td>
</tr>
<tr>
<td>1(C). Project Implementation Team established</td>
<td>PSFU has appointed the agreed Project implementation team with qualifications acceptable to IDA</td>
<td>MoFPED</td>
<td>Copies of Appointment letters and copies of the letters of No Objection from IDA. Positions include: Project Manager, 3 Grant Specialists and Project Accountant</td>
<td></td>
</tr>
<tr>
<td>2(a). Development and implementation of the Marketing and Communication Strategy</td>
<td>PSFU to develop the marketing and communication strategy for the purpose of communicating the project with the public and begin its implementation</td>
<td>MoFPED</td>
<td>Copy of the Marketing and Communications Strategy. Spot check actions proposed in the strategy to ensure implementation is effective. To include; adverts in various media avenues, awareness workshop reports and no of applications received per regions.</td>
<td>Year 1</td>
</tr>
<tr>
<td>2(b). Technical Assistance to support grant application evaluation and impact evaluations contracted</td>
<td>PSFU to procure and sign contracts with consultants to undertake the following: 1. Consultancy services for evaluation of the impact of the grants 2. Consultancy Services for due diligence / evaluation of grants 3. Independent verification agent to assess performance based results (consultant to report to MoFPED)</td>
<td>MoFPED</td>
<td>Signed copies of contracts between PSFU and the consultants</td>
<td></td>
</tr>
<tr>
<td>2(c). Baseline survey completed</td>
<td>Establish the number of firms who currently have training programs for</td>
<td>MoFPED</td>
<td>Data available</td>
<td></td>
</tr>
<tr>
<td>Payment Based Result</td>
<td>Description of Achievement</td>
<td>Verification Entity</td>
<td>Means of Verification</td>
<td>Period</td>
</tr>
<tr>
<td>----------------------</td>
<td>----------------------------</td>
<td>---------------------</td>
<td>----------------------</td>
<td>--------</td>
</tr>
<tr>
<td>2(d). 1st round of grants has been awarded</td>
<td>1st round of grants to be awarded by Grants Committee and PSFU to communicate awards to the beneficiaries</td>
<td>MoFPED</td>
<td>Copies of the minutes of the Grants Committee meeting approving awards of round 1 and copies of the Grant award letters acknowledged by applicants</td>
<td></td>
</tr>
<tr>
<td>2(e). Submission of Progress Reports to IDA/Project Steering committee</td>
<td>Completion of 6 monthly progress reports to be submitted to the IDA grants committee</td>
<td>MoFPED</td>
<td>Assess the 6 monthly reports submitted by the PSFU for the following: reports contains all relevant information, Minutes of the PSC that report was presented, feedback from IDA</td>
<td></td>
</tr>
<tr>
<td>3(a). 2nd round of grants has been awarded</td>
<td>2nd round of grants has been awarded with total grants awarded from 2 rounds constituting at least 15% of the total grant amount</td>
<td>MoFPED</td>
<td>Copies of the minutes of the Grants Committee meeting approving awards for round 2 and copies of the Grant award letters acknowledged by applicants</td>
<td>Year 2</td>
</tr>
<tr>
<td>3(b). At least 60% of Round 1 grantees by value have completed implementation</td>
<td>60% of round 1 grantees by value have completed the training and the providers have been fully paid</td>
<td>MoFPED</td>
<td>Copies of the certificates of completion of grants</td>
<td></td>
</tr>
<tr>
<td>3(d). Template for measuring impact established</td>
<td>Developed Template for measuring impact</td>
<td>MoFPED</td>
<td>Template for measuring impact and proof of clearance from PSC and IDA</td>
<td></td>
</tr>
<tr>
<td>3(e). Submission of Progress Reports to IDA/Project Steering committee</td>
<td>Completion of 6 monthly progress reports to be submitted to the IDA grants committee</td>
<td>MoFPED</td>
<td>Assess the 6 monthly reports submitted by the PSFU for the following: reports contains all relevant information, Minutes of the PSC that report was presented, feedback from IDA</td>
<td></td>
</tr>
<tr>
<td>4(a). 3rd round of grants has been awarded</td>
<td>3rd round of grants has been awarded with total grants awarded from 3 rounds constituting at least 40% of the total grant amount</td>
<td>MoFPED</td>
<td>Copies of the minutes of the Grants Committee meeting approving awards for round 3 and copies of the Grant award letters acknowledged by applicants</td>
<td>Year 3</td>
</tr>
<tr>
<td>4(b). At least 70% of round 1 and 2 grantees have completed implementation</td>
<td>At least 70% of grantees by value have completed the training and the providers have been fully paid</td>
<td>MoFPED</td>
<td>Copies of the certificates of completion of grants after verifying PSFU monitoring reports</td>
<td></td>
</tr>
<tr>
<td>Payment Based Result</td>
<td>Description of Achievement</td>
<td>Verification Entity</td>
<td>Means of Verification</td>
<td>Period</td>
</tr>
<tr>
<td>----------------------</td>
<td>----------------------------</td>
<td>---------------------</td>
<td>----------------------</td>
<td>--------</td>
</tr>
<tr>
<td>4(a). At least 50% of round 1 and 2 grantees register productivity improvements</td>
<td>At least 50% of the round 1 and 2 grantees from windows 1 register productivity improvements from the trainees assessed as increase in efficiency or productivity / output. At least 40% of window 2 grantees register quality improvements</td>
<td>MoFPED</td>
<td>Copies of the impact assessment reports and assess</td>
<td>Mid Term</td>
</tr>
<tr>
<td>4(b). At least 70% employer satisfaction with training provision</td>
<td>Competency and efficiency rates of trained staff to be measured in terms of output with at least 70% of employers satisfied with the training provision</td>
<td>MoFPED</td>
<td>From the PSFU obtain copies of the employer survey and assess the results</td>
<td></td>
</tr>
<tr>
<td>4(c). Submission of Mid Term Report to IDA/Project Steering committee</td>
<td>Completion of 6 monthly progress reports to be submitted to the IDA grants committee</td>
<td>MoFPED</td>
<td>Assess the Mid Term Report: reports contains all relevant information, feedback from IDA. Target beneficiaries W1-3600, W2-7500, W3-400, W4-860</td>
<td></td>
</tr>
<tr>
<td>5(a). 4th round of grants has been awarded</td>
<td>4th round of grants has been awarded with total grants awarded from 4 rounds constituting at least 80% of the total grant amount</td>
<td>MoFPED</td>
<td>Copies of the minutes of the Grants Committee meeting approving for round 4 and copies of the Grant award letters acknowledged by applicants</td>
<td>Year 4</td>
</tr>
<tr>
<td>5(b). At least 80% of round 1, 2 and 3 grantees by value have completed implementation</td>
<td>At least 80% of the round 1, 2 and 3 grantees by value have completed implementation and providers have been fully paid</td>
<td>MoFPED</td>
<td>Copies of the certificates of completion of grants</td>
<td></td>
</tr>
<tr>
<td>5(c). Submission of Progress Reports to IDA/Project Steering committee</td>
<td>Completion of 6 monthly progress reports to be submitted to the IDA grants committee</td>
<td>MoFPED</td>
<td>Assess the 6 monthly reports submitted by the PSFU for the following: reports contains all relevant information, Minutes of the PSC that report was presented, feedback from IDA</td>
<td>Year 4</td>
</tr>
<tr>
<td>6(a). 5th round of grants has been awarded</td>
<td>5th round of grants has been awarded with total grants awarded from 5 rounds constituting at least 90% of the total grant amount</td>
<td>MoFPED</td>
<td>From PSFU obtain copies of the minutes of the Grants Committee meeting approving for round 5 and copies of the Grant award letters acknowledged by applicants</td>
<td>Year 5</td>
</tr>
<tr>
<td>6(b). At least 90% of all grantees by value have completed implementation and providers have been fully paid</td>
<td>At least 90% of all grantees by value have completed implementation and providers have been fully paid</td>
<td>MoFPED</td>
<td>From PSFU obtain copies of the certificates of completion of grants</td>
<td></td>
</tr>
<tr>
<td><strong>Payment Based Result</strong></td>
<td><strong>Description of Achievement</strong></td>
<td><strong>Verification Entity</strong></td>
<td><strong>Means of Verification</strong></td>
<td><strong>Period</strong></td>
</tr>
<tr>
<td>--------------------------</td>
<td>-------------------------------</td>
<td>------------------------</td>
<td>--------------------------</td>
<td>------------</td>
</tr>
<tr>
<td>completed implementation</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6(c). Submission of Progress Reports to IDA/Project Steering committee</td>
<td>Completion of 6 monthly progress reports to be submitted to the IDA grants committee</td>
<td>MoFPED</td>
<td>Assess the 6 monthly reports submitted by the PSFU for the following: reports contains all relevant information, Minutes of the PSC that report was presented, feedback from IDA</td>
<td></td>
</tr>
<tr>
<td>7(a). End term Productivity Improvements</td>
<td>At least 60% of all grantees from window 1 register productivity improvements from the trainees assessed as increase in efficiency or productivity/output. At least 50% of window 2 grantees register quality improvements</td>
<td>MoFPED</td>
<td>From the PSFU obtain copies of the impact assessment reports and assess</td>
<td>End of project</td>
</tr>
<tr>
<td>7(b). End of project survey in respect of employer satisfaction with training provision</td>
<td>Completion of employer survey at the end of the project to assess satisfaction with the training provision provided</td>
<td>MoFPED</td>
<td>Assess the results of the employer survey to understand the satisfaction with the training provision provided under the project</td>
<td></td>
</tr>
</tbody>
</table>
Annex 12: VOCATIONAL TRAINING INSTITUTION (VTI) APPLICATION FORM  
(applicable to only government aided institutions)

THE APPLICATION FORM MUST BE SUBMITTED TO THE PROJECT COORDINATION UNIT AT RWENZORI COURTS IN HARD COPY

<table>
<thead>
<tr>
<th>1. INFORMATION ON INSTITUTION</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a) NAME OF THE INSTITUTION IN FULL</td>
<td></td>
</tr>
<tr>
<td>b) REGION (indicate either western, southern central, eastern or northern Uganda)</td>
<td></td>
</tr>
<tr>
<td>c) DISTRICT (indicate the district but not the local government)</td>
<td></td>
</tr>
<tr>
<td>d) SUB COUNTY</td>
<td></td>
</tr>
<tr>
<td>e) PARISH</td>
<td></td>
</tr>
<tr>
<td>f) ESTIMATED DISTANCE OF THE INSTITUTE FROM THE DISTRICT HEADQUARTERS IN KMS</td>
<td></td>
</tr>
<tr>
<td>g) POSTAL ADDRESS</td>
<td></td>
</tr>
<tr>
<td>h) EMAIL ADDRESS</td>
<td></td>
</tr>
<tr>
<td>i) PHONE CONTACT</td>
<td></td>
</tr>
<tr>
<td>j) VISION OF THE INSTITUTION</td>
<td></td>
</tr>
<tr>
<td>k) MISSION STATEMENT</td>
<td></td>
</tr>
<tr>
<td>l) CORE VALUES OF THE INSTITUTION</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. OWNERSHIP OF THE INSTITUTION</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a) FOUNDING BODY ((indicate either, church of uganda, roman catholic, islamic, community or others specify))</td>
<td></td>
</tr>
<tr>
<td>b) DATE OF ESTABLISHMENT (Indicate, day/month/year))</td>
<td></td>
</tr>
<tr>
<td>c) TOTAL ACRES OF LAND THAT BELONGS TO THE INSTITUTION (As Annex 1: attach either a land title or proof of ownership of the land and annex 1.2- attach a small map indicating the land in use)</td>
<td></td>
</tr>
</tbody>
</table>
### 3. BOARD OF GOVERNORS AT THE INSTITUTION

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>a)</td>
<td>DATE OF APPOINTMENT OF THE CURRENT BOARD OF GOVERNORS ( As Annex 2: attach the list of board members by Name, sex, representation/constituency and their appointment letters)</td>
<td></td>
</tr>
<tr>
<td>b)</td>
<td>DATE OF THE LAST BOARD MEETING FOR THE ACADEMIC YEAR 2015 ( As Annex 3: attach copies of a dully signed minutes for the meetings held in academics year 2015)</td>
<td></td>
</tr>
<tr>
<td>c)</td>
<td>INDICATE THE FREQUENCY OF BOARD OF GOVERNORS MEETINGS</td>
<td></td>
</tr>
<tr>
<td>d)</td>
<td>NUMBER OF SUBCOMMITTEES OF THE BOARD</td>
<td></td>
</tr>
<tr>
<td>e)</td>
<td>% OF EMPLOYER REPRESENTATION ON BOARD</td>
<td></td>
</tr>
<tr>
<td>f)</td>
<td>DOES THE INSTITUTION HAVE ORGANISATION CHART ( Yes or No) - As Annex 4: attach organigram of the institution indicating the reporting lines)</td>
<td></td>
</tr>
</tbody>
</table>

### 4. ENROLMENT AT THE INSTITUTION IN, 2013, 2014 AND 2015

<table>
<thead>
<tr>
<th></th>
<th>FEMALE</th>
<th>MALE</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>a)</td>
<td>TOTAL ENROLMENT OF STUDENTS DURING THE ACADEMIC YEAR 2013</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b)</td>
<td>TOTAL ENROLMENT OF STUDENTS DURING THE ACADEMIC YEAR 2014</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c)</td>
<td>TOTAL ENROLMENT OF STUDENTS DURING THE ACADEMIC YEAR 2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d)</td>
<td>TOTAL ENROLMENT OF STUDENTS WITH DISABILITY IN 2013</td>
<td></td>
<td></td>
</tr>
<tr>
<td>e)</td>
<td>TOTAL ENROLMENT OF STUDENTS WITH DISABILITY IN 2014</td>
<td></td>
<td></td>
</tr>
<tr>
<td>f)</td>
<td>TOTAL ENROLMENT OF STUDENTS WITH DISABILITY IN 2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td>g)</td>
<td>TOTAL ENROLMENT OF STUDENTS AT ARTISAN LEVEL DURING ACADEMIC YEAR 2015</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
5. COURSES OFFERED AT THE INSTITUTION

| a) SPECIFIC SECTOR OF SPECIALIZATION OF THE INSTITUTION (indicate either agriculture, manufacturing, building construction, tailoring, tourism etc) |
| b) NUMBER OF COURSES OFFERED AT THE INSTITUTION (annex 5. Attach a list of the courses offered with enrollment and completion 2013-2015) |
| ARTISAN LEVEL | TECHNICIAN | TOTAL |
| c) |

6. TRAINING MODALITY AND TRAINING PROGRAMS

| TRAINING MODALITY | not used | Seldom used | often used |
| Classroom-Based Instruction (as a part of the institutional programme of instruction) | 1 | 2 | 3 |
| Laboratory/Workshop-Based Instruction (as a part of the institutional programme of instruction) | 1 | 2 | 3 |
| Internships in Private Sector (may also be known as on-the-job training) | 1 | 2 | 3 |
| Apprenticeships (formal, with training contract) (an alternative to institutional training, but may include pre-apprenticeship training at the institution) | 1 | 2 | 3 |
| School-Based Production (for income generation or work experience) | 1 | 2 | 3 |

| TRAINING PROGRAMS | not used | Seldom used | often used |
| Short-Term Classes (for requesting firms or special training needs of trainees) | 1 | 2 | 3 |
| Adult Evening Courses (for employed workers in business and industry) | 1 | 2 | 3 |
| On-line Modules/Courses (as part of a course if it is a module or a stand-alone course) | 1 | 2 | 3 |

7. STAFF AT THE TRAINING INSTITUTION

| a) INDICATE THE STAFF CEILING FOR THE INSTITUTION |
| b) NUMBER OF TEACHING STAFF ON GOVERNMENT PAYROLL | FEMALE | MALE | TOTAL |
| c) INDICATE NUMBER OF VACANCIES FILLED |
### 8. Qualifications/Competencies of Training and Management Staff

#### a) Qualification of the Teaching Staff

<table>
<thead>
<tr>
<th>Qualification</th>
<th>PHD</th>
<th>Masters</th>
<th>Degree</th>
<th>Diploma</th>
<th>Certificate</th>
<th>Number of staff with industry experience</th>
<th>Number of academic staff trained in the new CBT curriculum</th>
</tr>
</thead>
<tbody>
<tr>
<td>FEMALE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MALE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### b) Does the Institution Have a Substantive Principal?

<table>
<thead>
<tr>
<th>Name:</th>
<th>Sex:</th>
<th>Date of Appointment</th>
<th>Qualification</th>
<th>Previous Work Place</th>
</tr>
</thead>
<tbody>
<tr>
<td>NAME:</td>
<td>Sex:</td>
<td>Date of Appointment</td>
<td>Qualification</td>
<td>Previous Work Place</td>
</tr>
</tbody>
</table>

#### c) Does the Institution Have a Substantive Deputy Principal?

<table>
<thead>
<tr>
<th>Name:</th>
<th>Sex:</th>
<th>Date of Appointment</th>
<th>Qualification</th>
<th>Previous Work Place</th>
</tr>
</thead>
</table>

#### d) Financial Management Person:

<table>
<thead>
<tr>
<th>Name:</th>
<th>Sex:</th>
</tr>
</thead>
</table>

---

**USDP – PROJECT OPERATIONS MANUAL**

---

**USDP – PROJECT OPERATIONS MANUAL**

---

**USDP – PROJECT OPERATIONS MANUAL**
### Bursar at the Institution

<table>
<thead>
<tr>
<th><strong>DATE OF APPOINTMENT</strong></th>
<th><strong>QUALIFICATION</strong></th>
<th><strong>PREVIOUS WORK PLACE</strong></th>
</tr>
</thead>
</table>

**e) Industrial Training Officer**

<table>
<thead>
<tr>
<th><strong>NAME:</strong></th>
<th><strong>SEX:</strong></th>
<th><strong>DATE OF APPOINTMENT</strong></th>
<th><strong>QUALIFICATION</strong></th>
<th><strong>PREVIOUS WORK PLACE</strong></th>
</tr>
</thead>
</table>

**f) Does the Institution Have Staff Capacity Building Program?**

| **g) What is the College’s Staff Motivation Program? (if any)** |

### 9. Graduate Follow Up

| **a) Does the Institution Trace Its Graduates?** (if yes please specify how students are traced and also answer the questions below.) Yes/No |
| **b) Number of Graduates of 2014 Employed in Formal Sector** | **FEMALE** | **MALE** | **TOTAL** |
| **c) Number of Graduates of 2014 That are Self Employed** | **FEMALE** | **MALE** | **TOTAL** |
| **d) Number of Graduates of 2014 That are Not Employed** | **FEMALE** | **MALE** | **TOTAL** |
| **e) Does the Institution Have Internship Program?** (i.e. a program that guides the students in finding internship and employment) Yes/No (if yes – what is the program) |
| **f) Does the Institution Have Follow Up Reports from the Employers on its Graduates?** |
## 10. LINKAGES WITH EMPLOYERS

a) **DOES INSTITUTION CARRY OUT DUAL TRAINING PROGRAMS? I.E. TRAINING BEING PROVIDED PARTLY AT THE COMPANY/INDUSTRY VENUE AND PARTLY AT THE VOCATIONAL INSTITUTE** (if yes, name at least 3 companies where training is carried out. please note this is not internship)

b) **If YES, HOW MANY COLLABORATION AGREEMENTS DO YOUR INSTITUTION HAVE WITH ENTERPRISES?**

c) **DOES THE INSTITUTION HAVE LECTURERS FROM COMPANIES/AGRICULTURAL FARMS WHO TEACH AT THE INSTITUTION** (if yes, name the companies and the lecturers)

d) **WHAT IS THE SURROUNDING WORKING ENVIRONMENT AT THE INSTITUTE** (is it near a market, a town, industry, company, agricultural farm etc? if yes please name the industry or company/farm?

## 11. SPECIALISED TRAINING WORKSHOPS AND OTHER FACILITIES

a) **NUMBER OF FUNCTIONAL/PRACTICUM SITES/ WORKSHOPS/TRAINING FACILITIES IN PLACE** (SPECIFY THE TRADE?)

b) **NUMBER OF FUNCTIONAL EQUIPMENT IN PLACE** (specify the trade)

c) **TYPE OF INSTRUCTIONAL MATERIALS AND TOOLS**

d) **DOES THE INSTITUTION HAVE EQUIPMENT, INFRASTRUCTURE AND TOOLS MAINTENANCE AND STORAGE PROGRAMME?** (annex 8: if yes attach the maintenance framework);

e) **ANNEX 9: INDICATING THE AVAILABLE INFRASTRUCTURE WITH CAPACITY**

## 12. GENDER AND EQUITY ARRANGEMENTS

a) **ATTRACTING AND RETAINING STUDENTS IN YOUR TRAINING INSTITUTION** (annex 10: please attach a one page proposal)

b) **ATTRACTING AND RETAINING FEMALE STUDENTS IN YOUR TRAINING INSTITUTION** (annex 11: please attach a one paged proposal)

c) **ATTRACTING AND RETAINING DISADVANTAGED STUDENTS TO JOIN THE**
13. INSTITUTION DEVELOPMENT NEEDS

a) NUMBER OF WORKSHOPS NEEDED (specify the kind of workshops needed)

b) OTHER INFRASTRUCTURE REQUIREMENTS NEEDED (please be specific)

c) EQUIPMENT NEEDED (specify the kind of equipments needed)

d) TRAINING MATERIALS NEEDED (specify the kind of training materials needed)

e) STAFF TRAINING NEEDS (specify the kind of training needed and the number of staff to be trained)

f) OTHER REQUIREMENTS NEEDED TO SUPPORT THE INSTITUTION DELIVER/IMPART THE DEMANDED SKILLS (be specific)

14. NAME OF THE INSTITUTION TO PARTNER WITH (TICK APPROPRIATELY)

<table>
<thead>
<tr>
<th>NAME OF THE INSTITUTION</th>
<th>AREA OF SPECIALISATION</th>
<th>TICK</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. UTC ELGON</td>
<td>CIVIL WORKS AND BUILDING TECHNOLOGY</td>
<td></td>
</tr>
<tr>
<td>2. UTC LIRA</td>
<td>HIGHWAYS, DRAINAGE, BRIDGES AND ROAD CONSTRUCTION</td>
<td></td>
</tr>
<tr>
<td>3. UTC BUSHENYI</td>
<td>STEEL MANUFACTURING AND FOOD PROCESSING EQUIPMENT</td>
<td></td>
</tr>
<tr>
<td>4. BUKALASA AGRI. COLLEGE</td>
<td>CROP AND ANIMAL HUSBANDRY</td>
<td></td>
</tr>
</tbody>
</table>

15. CO-CURRICULAR ACTIVITIES AT THE INSTITUTION

<table>
<thead>
<tr>
<th>PLEASE INDICATE THE CO-CURRICULAR ACTIVITIES PROVIDED BY THE INSTITUTION</th>
<th>TICK</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. MUSIC DANCE AND DRAMA</td>
<td></td>
</tr>
<tr>
<td>2. SPORTS (specify)</td>
<td></td>
</tr>
</tbody>
</table>
### 16. FINANCIAL MANAGEMENT AND SUSTAINABILITY

<table>
<thead>
<tr>
<th>DESCRIPTION</th>
<th>TOTAL BUDGET EXECUTED IN 2013 (UGX)</th>
<th>TOTAL BUDGET EXECUTED IN 2014 (UGX)</th>
<th>TOTAL BUDGET EXECUTED IN 2015 (UGX)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAPITATION GRANT FROM GOVERNMENT</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TUITION FEES FROM PRIVATE STUDENTS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ANY OTHER INCOME (specify the source)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL SOURCES</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>EXPENDITURE BY CATEGORY</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TEACHER SALARIES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ADMINISTRATIVE STAFF</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PURCHASE OF GOODS (including learning materials and equipments)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UTILITIES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SUPPLIES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>STAFF TRAINING</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MAINTENANCE AND REPAIRS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TRANSPORTATION</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OTHER (specify)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL EXPENDITURES</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 17. CHALLENGES AND PROSPECTS OF THE INSTITUTION

**WRITE ONE PAGE and ANSWER THE QUESTIONS BELOW**

| INDICATE THE STRENGTHS AND WEAKNESSES OF THE INSTITUTES |                                     |
| WHAT ARE THE MAJOR CONSTRAINTS OF THE INSTITUTION IN DESCENDING ORDER |                                     |
WHAT ARE THE INSTITUTIONS’ OBJECTIVES AND GOALS for THE NEXT FIVE YEARS?

INDICATE THE KIND OF SUPPORT THE INSTITUTION REQUIRES

ANNEXES

1) Annex 1: Land title or proof of ownership
2) Annex 2: Current board of governors
3) Annex 3: Copies of the signed minutes for the last academic year
4) Annex 4: Organigram of the institution
5) Annex 5: Enrolment by course and completion since 2013
6) Annex 6: Established ceiling vs filled by government for both teaching and non teaching staff
7) Annex 7: List indicating the qualifications of the teaching staff at the institution
8) Annex 8: Institution maintenance framework
9) Annex 9: Infrastructure by capacity a, area and current condition
10) Annex 10: Proposal to attract and retain more students in the institution
11) Annex 11: Proposal to attract retain and female students in the institution
12) Annex 12: Proposal to attract retain disadvantaged/ special needs students in the institution

ANNEX 2: CURRENT BOARD OF GOVERNORS

<table>
<thead>
<tr>
<th>SN</th>
<th>NAME</th>
<th>Gender</th>
<th>DESIGNATION</th>
<th>CONSISTUENCY</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
ANNEX 5: ENROLMENT BY COURSE AND COMPLETION FOR ACADEMIC YEARS 2013-2015

3 tables in the Annex 5 are needed – enrolment and completion under the short courses, certificate courses and diploma courses.

Definition of each of these courses should be provided.

<table>
<thead>
<tr>
<th>SN</th>
<th>NAME OF THE COURSE</th>
<th>Qualification (Certificate or Diploma)</th>
<th>EXISTING TRAINING CAPACITY</th>
<th>DATE OF ADMISSION</th>
<th>ENROLMENT</th>
<th>COURSE DURATION</th>
<th>DATE OF COMPLETION</th>
<th>NUMBER OF STUDENTS THAT COMPLETED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>FEMALE</td>
<td>MALE</td>
<td>TOTAL</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Short Courses**

1.
2.
3.
4.
5.
6.

**Certificate Courses**

1
2
3
4
<p>| | | | | | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Diploma Courses**

<p>| | | | | | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
ANNEX 6: GOVERNMENT POSITIONS ESTABLISHED AND FILLED FOR BOTH TEACHING AND NON TEACHING STAFF

<table>
<thead>
<tr>
<th>SN</th>
<th>POSITION ESTABLISHED BY GOVERNMENT</th>
<th>POSITIONS FILLED BY GOVERNMENT (Tick as appropriate ✓)</th>
<th>POSITION NOT FILLED (Cross as appropriate X)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>TEACHING STAFF</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>22.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>23.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>24.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>25.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>26.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>27.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>28.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>NON TEACHING STAFF</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
ANNEX 7: LIST OF ALL TEACHING STAFF BY QUALIFICATION AND COURSE

<table>
<thead>
<tr>
<th>Sn</th>
<th>Name Of The Teaching Staff</th>
<th>Sex</th>
<th>Qualifications</th>
<th>Relevant Industry Experience</th>
<th>Course Being Taught/Responsibility At The Institution</th>
<th>Previous Work Place</th>
<th>On Government Payroll (Tick)</th>
<th>Not On Payroll (Cross)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### ANNEX 9: AVAILABLE INFRASTRUCTURE BY CAPACITY, AREA AND CONDITION

<table>
<thead>
<tr>
<th>Sn</th>
<th>BASIC INFRASTRUCTURE (include all the infrastructure including: workshops, dormitories, offices, classrooms, staff houses, kitchen, dining hall, multipurpose, latrines, laboratories libraries, sports facilities)</th>
<th>NUMBER</th>
<th>PLANNED CAPACITY</th>
<th>CURRENT CAPACITY</th>
<th>OCCUPIED AREA (M²)</th>
<th>DATE OF ESTABLISHMENT</th>
<th>CURRENT CONDITION/STATE OF THE INFRASTRUCTURE (in good conditions, needs major renovation dilapidated etc.)</th>
<th>ANY REMARKS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>22.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Some additional information for consideration
## IX. Quality and New Program Development

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer Options</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is there a quality Assurance Council /committee in the institution?</td>
<td>1=Yes 2=No</td>
<td>____________</td>
</tr>
<tr>
<td>Is there a designated staff in charge of quality in the institution?</td>
<td>1=Yes 2=No</td>
<td>____________</td>
</tr>
<tr>
<td>How many new training courses have been introduced from 2014-2016?</td>
<td></td>
<td>____________</td>
</tr>
<tr>
<td>How many of the new courses introduced are Competency-Based courses?</td>
<td></td>
<td>____________</td>
</tr>
<tr>
<td>How many new Competency-Based Training courses have been developed and approved in 2016?</td>
<td></td>
<td>____________</td>
</tr>
<tr>
<td>How many new Competency-Based Training course have been launched in 2016?</td>
<td></td>
<td>____________</td>
</tr>
<tr>
<td>How many months does it take on average to develop a new course?</td>
<td></td>
<td>____________</td>
</tr>
<tr>
<td>Who makes decision on creating a new course?</td>
<td>1=Academic Committee, 2=Governing Board, 3=Head of Institution, 4=Trainer/Instructor</td>
<td>____________</td>
</tr>
<tr>
<td>How much does it cost on average to develop a new program?</td>
<td>1=UGX … 2=UGX … 3=UGX … 4=UGX … 5=More</td>
<td>____________</td>
</tr>
</tbody>
</table>
X. Buildings and Equipment

X.a Workshops, Laboratories, Specialized Rooms and Classrooms

<table>
<thead>
<tr>
<th>Type of Building</th>
<th>How Many</th>
<th>No. of Seats or Work Stations</th>
<th>Permanent Building</th>
<th>Temporary Building</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Good Condition</td>
<td>Poor Condition</td>
</tr>
<tr>
<td>Ordinary Classrooms</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Specialized Classrooms</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Workshops / Laboratories</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Multimedia Resource Unit</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Offices (buildings)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Library</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Dormitory</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff Accommodation</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Others</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

X.b Information on Other Equipment and Facilities

<table>
<thead>
<tr>
<th>Question</th>
<th>1=Yes</th>
<th>2=No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the institution have an operational electric power connection?</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>Does the Institution have alternative power sources</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>If Yes to the above, please specify...........................................</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>Does the institution have computers in working condition?</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>a) If the answer is yes, specify the number:</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>Does the institution have operating computers for trainers?</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>a) If the answer is yes, specify the number:</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>b) If the answer is yes, are trainers trained in the use of computers?</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>Does the institution have operating computers for learners?</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>a) If the answer is yes, specify the number:</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>b) If the answer is yes, are learners trained in the use of computers?</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>Does the institution have toilet rooms?</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>Do female trainees have separate toilet rooms from males?</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>Is the training institution fenced?</td>
<td></td>
<td>I__I</td>
</tr>
<tr>
<td>Does the institution have a medicine cabinet provided with first aid materials?</td>
<td></td>
<td>I__I</td>
</tr>
</tbody>
</table>
XI. Partnership and Relationship

<table>
<thead>
<tr>
<th>Does the institution have a relationship with any professional association?</th>
<th>1=Yes</th>
<th>2=No</th>
<th>I___I</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) If yes, specify the type of relationship</td>
<td>1=Formal <em>(based on an existing agreement)</em></td>
<td>2=Informal</td>
<td>I___I</td>
</tr>
<tr>
<td>If yes to above, and it is formal agreement, how many of such agreement does your institution have?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b) Specify the type of partners involved:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Public institutions</td>
<td>☐ Professional organizations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Private companies</td>
<td>☐ Civil society <em>(NGO)</em></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ SMEs</td>
<td>☐ Others ____________________________</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c) Specify the purpose of the partnership:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Financial assistance</td>
<td>☐ Supply of equipment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Work-study programme</td>
<td>☐ Internship</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Seminar/conference</td>
<td>☐ Technical projects with companies</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ On-going training of company personnel</td>
<td>☐ Professionals in the management committee</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ capacity building</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Company visit</td>
<td>☐ Others, specify ____________________</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d) Has your institution received any financial assistance in the following nature in 2015,:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Apprenticeship Tax Deduction</td>
<td>1=Yes</td>
<td>2=No</td>
<td>I___I</td>
</tr>
<tr>
<td>Donations</td>
<td>1=Yes</td>
<td>2=No</td>
<td>I___I</td>
</tr>
<tr>
<td>Grants</td>
<td>1=Yes</td>
<td>2=No</td>
<td>I___I</td>
</tr>
<tr>
<td>Internship fees</td>
<td>1=Yes</td>
<td>2=No</td>
<td>I___I</td>
</tr>
<tr>
<td>Government Subsidy</td>
<td>1=Yes</td>
<td>2=No</td>
<td>I___I</td>
</tr>
<tr>
<td>Scholarships</td>
<td>1=Yes</td>
<td>2=No</td>
<td>I___I</td>
</tr>
<tr>
<td>Others</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Others __________________________________________________________</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### XII. Cost of Training

<table>
<thead>
<tr>
<th>Programme Title</th>
<th>Duration of Training (month)</th>
<th>No. of Trainees</th>
<th>Tuition Fee</th>
<th>Registration Fee</th>
<th>No. of Trainers</th>
<th>Average Trainer’s Monthly Salary</th>
</tr>
</thead>
</table>
XIII. Governance and Management

<table>
<thead>
<tr>
<th>Does the institution have a governing board?</th>
<th>1=Yes 2=No</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) If yes, how many people on the Board? and how many of them come from industries?</td>
<td>___</td>
</tr>
<tr>
<td>b) If yes, can the Board make independent decisions for the institution?</td>
<td>1=Yes 2=No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Does the institution have a management team?</th>
<th>1=Yes 2=No</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) If yes, how many staff on this team? and how many of them are females?</td>
<td>___</td>
</tr>
<tr>
<td>b) If yes, can this team make independent decisions on personnel and academic affairs?</td>
<td>1=Yes 2=No</td>
</tr>
</tbody>
</table>

Is there an established feedback mechanism to get training market information for updating the training programmes and content? 1=Yes 2=No ___

Also what about the Statement of Commitment?

Statement of the Vocational Institute demonstrating its readiness for cooperation:

- commitment to assign available competent staff and to take active part in elaboration of an institutional development plan and its implementation in cooperation with the CoE and twinning institution;
- readiness to assign teaching and management personnel to take part in training and advisory activities;
- readiness to establish links with the private sector within occupational/training area selected for support;
- commitment to promote the gender balance of the new courses to be developed;
- openness to monitoring and evaluation and reporting requirements of the project;
- commitment to publicize the project’s activities and results through the local media and commit to disseminating the results to other communities and regions.

________________________________________
Name of the legal representative of the institution

Date: _________________ 201__
Annex 13: CALL FOR SUBMISSION OF PROPOSALS TO RECEIVE GRANTS TO SUPPORT PUBLIC VOCATIONAL TRAINING INSTITUTE UNDER UGANDA SKILLS DEVELOPMENT PROJECT

1.0 BACKGROUND

Ministry of Education and Sports with Loan Financing from World Bank, formulated Uganda Skills Development Project (USDP Project). The overall goal of the project is to enhance the capacity of institutions to deliver high-quality, and demand-driven training programs in target sectors. Specifically, the project seeks to: (i) Develop National Occupational Standards for relevant trades/occupations in the target sectors; (ii) Enhance equitable access/intakes in targeted training programs; (iii) Improve the student cohort that completes target training courses (short courses, certificate, diploma); (iv) Improve the participation of employers in skills training programs; and (v) Enhance the quality and relevance of skills acquired by trainees in supported firms disaggregated by economic sectors.

In line with the above, Under sub component 2.2 the project will support up to 12 public Vocational Institutes (VI) to strengthen their capacity to respond to the needs and opportunities of the labour market, including delivery of short term training courses and improve the quality of the training being offered. The selection will be done according to a set of eligibility and selection criteria. The selected VIs will be assisted to introduce new short and long competency based courses within one sector (occupational area), e.g. construction, manufacturing or agri-business. The support will include adaptation of curricula, training of trainers and assessors, basic civil works, selected trade-relevant equipment, machinery and tools, and training-learning resources both for students and instructors, and training consumables, development of students counseling, placement and tracing routines.
The purpose of this communication is to invite you to submit your proposal in order to benefit from this grant

2.0 ELIGIBILITY CRITERIA

The Eligibility criteria for the support will include;

i) A government aided training institution

ii) Institution has been in existence as a training institution for a period of at least three (3) Academic years

iii) The institute provides training programs and courses in either of the three target sectors (Agriculture, construction and manufacturing);

iv) Average annual enrolment of at least 100 students in the last 3 years

v) Established and functional Board of Governors

3.0 FUNDING

The selected VIs will be assisted to introduce new short and long-term competency based courses within one sector (occupational area), that is construction, manufacturing or agri-business.

4.0 NETWORKING PARTNERSHIP

The selected VIs will be partnered with one of the CoEs which include Uganda Technical Colleges- Lira, Uganda Technical Colleges- Elgon, Uganda Technical College- Bushenyi and Bukalasa Agriculture College (BAC) to strengthen their capacity to respond to the needs and opportunities of the labour market, including delivery of short term training courses and improve the quality of the training being offered” ..... A Memorandum of understanding will be signed between the Governing Council of the Centre of Excellence and the Governing Council of the selected VIs. A maximum of three (3) Vocational Training Institutes will be supported by each CoEs in the selected target sectors. The partner CoE, through its respective international recognized twinning partner institute, will assist with adaptation of curricula, training of trainers/instructors and assessors as well as guide on the equipment to be purchased.
5.0 TIMEFRAMES

The deadline for applications for consideration in this round of applications is ............. Once the applications have been received, they will be assessed and ranked by the Review and Selection Committee against the selection criteria outlined below. The outcome of the call for proposal assessment should be available by ................. The results will be made publically available on the web-site of the Ministry of Education, Science, Technology and Sports of Uganda at www.education.go.ug

6.0 PROPOSAL SUBMISSION AND SELECTION CRITERIA

Applications for funding are to be submitted in five (5) copies in English using the attached application form. An electronic copy of the proposal on memory stick should accompany the proposal. Electronic copies must be submitted in Microsoft Word format. Application forms can be down loaded on the Ministry’s website www.education.go.ug

Proposals will be assessed against the following selection criteria:

i) Applicant’s management capacity (including organizational set-up, Competence and Qualification levels of management personnel)

ii) Employment-relevance of training and linkages with employers

iii) Potential impact, result orientations, gender considerations, technical capacity, financial sustainability,

7.0 INELIGIBLE COSTS THAT CANNOT BE SUPPORTED BY THE GRANT

The following costs are not eligible for support:

i) Repayment of debts and bank loans;

ii) Purchase of land;

iii) Refunds towards earlier investments;

Deadline for submission of the Proposals 27th April, 2016 at 5.00pm

Application forms will be hand delivered to
Ministry of Education, Science, Technology and Sports
Legacy Towers
Western wing 3rd Floor
I. Project Background

2. The World Bank (WB) has approved a Credit in the amount of US$100 million to the Government of Uganda (GoU) for the implementation of the Uganda Skills Development Project (USDP). The project is expected to become effective in the third quarter of 2015 and close at the end of August 2020. The GoU through the Ministry of Education, Science and Technology (MoES) will use part of the loan proceeds to engage an internationally accredited training institution that will support the transformation of Bukalasa Agricultural College into a Center of Excellence (CoE) and enhance the capacity of selected Vocational Training Institutes (VIs).

3. **Objective of the USDP** is to enhance the capacity of target institutions to deliver high quality, demand-driven training programs in the agricultural sector.

   a. The achievement towards this objective will be observed and measured in terms of the following six outcome indicators:
      1) development of National Occupational Standards for relevant trades/occupations in the target sectors;
      2) increased number of new intakes in the targeted training programs;
      3) proportion of female intakes in targeted training programs;
      4) percentage of entrants who completed targeted courses (short courses, certificate, diploma);
      5) improved participation of employers in skills training programs; and
      6) Satisfaction with skills by trainees in supported firms disaggregated by economic sectors and size.

4. **Components.** The above-mentioned objective is to be achieved through the implementation of the following four components (details of all components and implementation arrangements in Annex 1):

   - Component 1: Institutionalizing systemic reforms in skills development
II. Objective and scope of the assignment for the international training institute

5. The overall objective of this assignment is to support the transformation of Bukalasa Agricultural College into a CoE in the agricultural sector and support its network of approximately three (3) Vocational Training Institutions to improve the quality of training. This TOR seeks the services of an internationally recognized training institution to provide support to the Bukalasa Agricultural College in Luweero to become a CoE in crop and animal husbandry, with a focus on value addition to the products. The twinning training institution is expected to provide continuous on-site technical support to ensure improvement in students’ outcomes and the relevance of training to the needs of the market.

6. Scope of the assignment
Under the envisaged twinning arrangement, the training institution will work with Bukalasa Agricultural College to:

a. Finalize Bukalasa Agricultural College’s 5-year Institutional Development Plan (IDP) which is to be supported by the USDP. The plan will outline the specific trades/occupations in agriculture that would be the focus of the College’s transformation to a CoE as well as an overall strategic plan for setting the foundations of a CoE outlined under sub-component 2.1 of Annex 1. This includes: 1) updating the CoE’s organizational structure and organizational mandates (and vision/mission statements; 2) strengthening the CoE’s capacity to produce strategic, operational, business, and budget plans; 3) identifying CoE’s manpower requirements; 4) developing human resource development (HRD) plans for the CoE’s management and personnel; 5) prepare a project-gender action plan alongside its Institutional Development Plan.

b. The twinning institution will guide and support the Bukalasa Agriculture College and its selected VIs in adapting its multi-skill competency-based curricula in the selected trades and courses below:
   (i) Crop production management skills
(ii) Animal Care and Production Management skills
(iii) Food processing and utilization skills

The above adapted courses shall meet Uganda skills needs in the Agricultural Sector while maintaining internationally recognized certification.

c. The twinning institution will assist with the development of suitable assessment instruments for both soft and sector specific multi-skills aligned to the adapted competency-based curriculum.

d. While carrying out the activities described in paragraphs 5(a) (b), and (c) above, the twinning institution will encourage the active participation and guidance of representatives of the employers of the respective trades in these sectors to ensure a truly demand-driven process.

e. The twinning institution will train the CoE’s and selected network VI trainers in order to assist with the provision of a cadre of tutors that are prepared and sufficiently motivated to facilitate a teaching-learning process in a competency-based contextual framework (hands-on) and not in a lecture-mode subject content-based framework, which is the traditional way of teaching amongst training providers. In this respect, the twinning institution needs to make sure that tutors have a command in the: (i) occupational competencies associated to the tenet of the training; and (ii) the pedagogical approach to transmit the training to the students in an appropriate way including the e-learning methods for delivery of module content to the College and VI.

f. In order to carry out the task described in paragraph 5(e) above, the twinning institution will provide one lead instructor and a team of support instructors for each of the multi-skills training courses to be offered at the CoE over a period of three years. The international instructors will not only teach these courses, but also develop a instructor nationalization plan for their own replacement under an agreed exit strategy (explained below) and be responsible for the College’s national instructor upgrading program;

g. The twinning institution will train a cadre of qualified trainers at the CoE and network VIs to develop and validate relevant, good-quality training and learning materials.

h. The twinning institution will support and ensure that CoE and VI design training, workshop with equipment, machinery and tools with appropriate specifications in accordance with the curricular and norms of national and international accreditation.
i. Concurrently with the development of the technical specifications for the acquisition of training equipment, the twinning institution will assist the CoE and the Network VIs in identifying the civil works to upgrade/refurbish the physical space required for the appropriate installation and functioning of this training equipment;

j. The twinning institution will assist the CoE and the network VIs in developing a monitoring and Management Information System to gather, process, trace, analyze and report information on: students, employers, job-placements, time to find a job after graduation, type of occupation and degree of alignment with the training provided, entry salary, career path and employers' satisfaction; The tracer reporting shall be imbedded in the Management Information System at the CoE linked to the central Management Information System controlled by the MoES.

k. The twinning institution will assist the CoE and network VIs establish strong and functional linkages with employers in the sector and trades for which the multi-skill training is being provided, including local, regional and umbrella employer representatives of the sector; and

l. The twinning institution will also provide training for instructors of selected VIs (as per sub-component 2.2 in Annex 1). The VIs will focus on training in trades that are lower down the value chain and will be supported by the project to procure equipment and upgrade workshops to deliver this training. Instructors from the network VIs will be trained by the education training institution at Bukalasa Agriculture College on the new curricula.

m. Based on the satisfactory undertaking of the above mentioned education training tasks, the twinning institution will also strengthen the entrepreneurial capacity in the CoE to identify local training needs and then develop, market, and deliver short “customized training programs” in institute-based or enterprise-based modes, or a combination of both, in the training being provided in the CoE. This entrepreneurial activity is to be provided on a fee-for-services basis with the aim of raising revenue for the CoE thus contributing to its long term sustainability.

n. The twinning institution will build the capacity of the management team and Governing Council/Board of the CoE and network VIs in monitoring and evaluation, financial management and accountability at the institutions.

o. The twinning institution will support the college in adapting the marketing and communication strategy to be developed by the Reform Task Force.
III. Timeframe
7. The twinning institution will take over this assignment in the second quarter of 2016.
8. The assignment is estimated to be implemented from the award of contract to the close of the project in August 2020.

IV. Reporting
9. The twinning institution will report to the Principal of Bukalasa Agricultural College and the Project Coordinator USDP or his/her designee at the project coordination unit, MoES.

V. Deliverables
10. The twinning institution will deliver:
   1. Submission of an accepted inception report with a time bound action plan with clear deliverables one month after award of contract
   2. Development and modification (based on Uganda industry input) of internationally certified, CBT curricula for the following 3 selected trades and courses; i) Crop production management skills ii) Animal Care and Production Management skills iii) Food processing and utilization skills
   3. Guidance provided to the engineering firm on workshop design, so that civil works meets the Twinning Institution’s certification requirements;
   4. Provision of equipment lists and equipment specifications for the 3 targeted Programs
   5. Report on type and amount of workshop consumable materials required for the delivery of the 3 programs
   6. Report on provision of the 5 international, certified technical instructors and delivery of the 3 training programs, described above, according to competency-based training (CBT) principles
   7. Establishment of a CBT assessment system and the assessment of all Bukalasa Agricultural College students participating in the 5 targeted training programs
   8. Development and implementation of the On-the Job, Offshore, and Return to Industry (RIS) instructor training programs for 15 (5 per course), national counterpart instructors
   9. Organization structure finalized, organizational mandates updated, manpower requirements identified, development of a human resource development plan for management and staff;
10. Improved Bukalasa Agricultural College strategic Plan, operational Plan, and budgets
11. Establishment and operationalization of an industrial liaison and student placement unit within Bukalasa Agricultural College; tracer studies conducted on at least 25% of graduates from each class
12. Development of one short customized course developed and delivered on a fees-for-services basis.
VI. **Ministry of Education and Sports’ (MoES)/BTVET’s input**

11. The MoES, through its BTVET Department, will provide the twinning institution all the required information associated with the USDP in general, and component 2 in particular, as further described in the attached Annex 1 to this terms of reference.

VII. **Composition of the Twinning Institution’s staff complement.**

12. The twinning institution will mobilize the following Team of International Experts (Team Leader, Project start-up team and sufficient instructors) to carry out the Scope of Work outlined above:

a. The **Team Leader** *(1 international expert, 15 Man-months, intermittent over the duration of the Project)*; should have at least 15 years of experience managing a higher TVET institute or polytechnic. He/she should also have extensive experience with developing and implementing Competency-Based Training (CBT) programs in the agricultural sector. The Team Leader will plan and coordinate all Twinning Institution expert inputs to ensure the successful implementation of the Bukalasa Agriculture College IDP and component 2 of the USDP. In addition, the Team Leader will:

i) review the CoE’s Strategic Objectives and Institutional Development Plan (IDP) and, based on these, develop a over-arching strategy with the College for implementing the IDP and achieving the CoE’s Strategic Objectives related to program relevance and quality;

ii) coordinate and manage the Twinning Institution’s start-up team, instructors, and institutional development specialist;

iii) monitor and advise the start-up Team on curricula design and modifications;

iv) assist with workshop/laboratory design and workshop equipment specifications;

v) assist instructors in arranging offshore instructor training for national, counterpart instructors at the Twinning Institution’s, home-base campus;

vi) assist CoE’s better liaison with the employers of the agricultural sector to ensure their representation on the Institute’s Governing Council, industrial secondments of CoE’s instructors, and student job placement in industry;

vii) monitor and evaluate the implementation of the transformation of the CoE and the functioning of its respective network;
viii) produce Inception Report, quarterly Progress Reports, and Final Report etc. The Team Leader will report to the CoE’s Principal and the Project Coordinator of the USDP.

b. **Start Up Facilitators (3 international experts, 6 man months each);** Each expert will be a certified instructor and have 5 years curriculum design and teaching experience in the training programs targeted by Bukalasa Agricultural College. They will:
   i) adapt existing Twinning Institution curricula for the identified trades, and possibly modify these course materials, based on local manufacturing sector input (provided through the umbrella employers’ organization), while also ensuring that these materials still maintain their international certification;
   ii) provide guidance on workshop design to the engineering firm, appointed by the MoES based on curricula and course certification requirements;
   iii) provide workshop equipment lists and equipment specifications to the MoES and CoE;
   iv) identify the types and amounts of consumables materials required for course delivery; and
   v) Strengthen the CoE’s partnering with industry by working with the local, regional or national employers in the sector and on the College’s Governing Council to obtain employers’ support of workplace instructor training and student job placement.

Other instructors as needed will include;

c. **Crop Production Management (1 international specialist, 12 Man- months):**
   The Crop Production Management Instructor should have 10 years experience in instructor training, training delivery, and be familiar with Competency-Based Training (CBT). The Instructor will:
   i) introduce and teach an internationally certified, diploma/certificate program in crop production management;
   ii) develop a program for national instructor training through team-teaching and mentoring to teach the CropProductionManagementProgram
iii) develop with the agricultural sector a secondment program to provide crop production management, national instructors with practical, hand-on, industrial experience;
iv) develop and assist the Team Leader with the implementation of an offshore training program, which will send 4 national instructors to the Twinning Institution’s campus for short term upgrading in crop production management;
v) provide pedagogical support and assistance to national instructors to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;
vi) develop standardized formats for expatriate and national instructors to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SOA);
vii) assist BAC with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place graduates in agricultural work, which addresses agricultural sector needs;
viii) assist BAC with the development of business plans (and marketing) for “customized” Crop production management courses, so that the College might generate additional income on a fee-for-services basis.

d. Animal Care and Production Management(1 international specialist, 12 Man-months); The Instructor should have 10 years experience in instructor training, training delivery, and be familiar with Competency-Based Training (CBT). The Instructor will:
i) introduce and teach an internationally certified, diploma/certificate program in Animal Care and Production Management;
ii) develop a program for national instructor training through team-teaching and mentoring to teach the Animal Care and Production Management program
iii) develop with local agricultural companies a secondment program to provide Animal Care and Production Management, national counterpart instructors with practical, hands-on, industrial experience;
iv) develop and assist the Team Leader with the implementation of an offshore training program, which will send 4 national instructors to the Twinning Institution’s campus for short term upgrading in Animal Care and Production Management;
v) provide pedagogical support and assistance to national instructors to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;
vi) develop standardized formats for expatriate and national instructors to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SOA);
vii) assist BAC with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place graduates in agricultural work, which addresses agricultural sector needs;
viii) assist BAC with the development of business plans (and marketing) of “customized” Animal Care and Production Management courses, so that the College might generate additional income on a fee-for-services basis.

e. Food Processing and Utilization (1 international specialist, 12 Man-months): The Food Processing and Utilization Instructor should have 10 years experience in instructor training, training delivery, and be familiar with Competency-Based Training (CBT). The Instructor will:
i) introduce and teach an internationally certified, diploma/certificate program in Food Processing and Utilization;
ii) develop a program for national instructor training through team-teaching and mentoring to teach the Food processing and utilization program
iii) develop with local agricultural companies a secondment program to provide Food Processing and Utilization, national counterpart instructors with practical, hands-on, industrial experience;
iv) develop and assist the Team Leader with the implementation of an offshore training program, which will send 4 national instructors to the Twinning Institution’s campus for short term upgrading in food processing and utilization;
v) provide pedagogical support and assistance to national instructors to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;
vi) develop standardized formats for expatriate and national instructors to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SOA);
vii) assist BAC with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place Food Processing and Utilization graduates in agricultural industry;

viii) assist BAC with the development of business plans (and marketing) of “customized” Food Processing and Utilization courses, so that the College might generate additional income on a fee-for-services basis.

f. **Agricultural Capacity Development Specialist (1 international specialist, 12 Man-months)**; The Institutional Capacity Development Specialist should have 10 years experience in human and institutional capacity development in Technical and Vocational Education and Training (TVET). The Agricultural Capacity Development Specialist will:

i) assist Bukalasa Agriculture College to update its mission and vision statements, develop its organizational structure, update work unit organizational mandates, determine the College’s manpower requirements;

ii) develop and implement a Human Resource Development (HRD) plan for Bukalasa Agriculture College management and staff;

iii) provide tools, formats, and procedures strengthening Bukalasa Agriculture College capacity to produce strategic and annual operational plans with supporting budgets;

iv) strengthen Bukalasa Agriculture College industry liaison and student job placement unit to better place the College’s graduates in industry and to conduct follow-up studies on graduates;

vi) strengthen entrepreneurial capacity in Bukalasa Agriculture College to better identify training needs in the agricultural sector and develop, market, and deliver short “customized training programs” in institute-based or enterprise-based modes, or a combination of both to meet these needs on a fee-for-services basis in order to raise revenue for Bukalasa Agriculture College long term sustainability;

vi) build capacity in Bukalasa Agriculture College management to develop strong business cases for proposed activities in order to access donor organizations, and service companies.
VIII Qualification requirements

13. The twinning institution needs to provide evidence of:

a. Its recognized experience in delivering occupational competency-based training in Crop and Animal Husbandry with focus on value addition to the products in the last 15 years in a scale involving at least 2000 students/per calendar year;
b. Accreditation of its training and alignment to international benchmarking;
c. Key indicators on student outcomes (e.g. continuous assessment scores, exam scores, graduation rates, cost per student per year, cost per hour of instruction);
d. Placement rates of its graduates in jobs related to the nature of their training;
e. Having past experience in the last 5 years in providing twinning arrangements to other training institutions in other countries outside their home country (preferably in Africa) covering the envisaged tasks described in paragraphs 2 (a), (b), (c), (d), (e), (f), (g), (h), (i), (j), (k) (l), (m), (n), and (o);
f. Being legally established and registered with any Government as a Training Institution including a tax identification number if they are obliged to pay taxes on an annual basis;
g. Being up to date with their fiscal responsibilities (payment of taxes);
h. Being in existence for at least seven (7) years prior to the date of the competitive cycle;
i. Having the qualified human resources comprising the envisaged College Staff complement as described in Chapter VII of these ToRs; and
j. Its ability to deliver its envisaged twinning tasks in English

14. In addition, the interested international twinning institution will need to present a draft business plan with preliminary costing on how it intends to carry out the envisaged tasks described in paragraph 5(a) to (o) and produce the deliverables under section V.
Annex 1: Details of Project Components:

1. **Component 1** aims to transform the Ugandan Business, Technical, and Vocational Education Training (BTVET) system from an educational sub-sector into a comprehensive system of skills development for employment, enhanced productivity and growth. It emphasizes on a paradigm shift for skills development, which essentially aims at realigning the policy and institutional framework as well as investment in skills development to transform the current supply-driven system to a robust sustainable dynamic demand driven skills development system that would respond to the skills needs of the growing Ugandan economy. Systemic reform in the sector is critical to realigning the delivery system without which investment in up-grading training institutions will eventually result in further reinforcing the existing supply driven system. The targets aimed by Component 1 are to be achieved through the implementation of the following 3 sub-components.

   - Sub-component 1.1. Establishment of Sector Skills Councils and Developing foundations of the skills development authority
   - Sub-component 1.2. Alignment and strengthening of the assessment system
   - Sub-component 1.3. Establishment of a Management Information System for BTVET
   - Sub-component 1.4. Communication and marketing for BTVET subsector

   Systemic reform activities proposed under Component 1 are key to the success of Component 2 and 3.

2. **Component 2** seeks to develop 4 colleges to eventually become Centers of Excellence (CoE) offering high quality competency-based training for artisans (low-level), craftsmen (medium-level) and technicians (higher-level) to equip them with skills demanded by selected trades/occupations in the manufacturing, construction, and agro-processing sectors of the Ugandan economy. In addition, at least 12 public vocational training institutes will be targeted to provide relevant and high quality training for artisans, and crafts persons in order to increase access to training by the general public.

   This component will address the current baseline functional and structural weaknesses of BTVET institutes in the country by transforming three selected UTCs and one agriculture college into CoEs enabling them to: (i) introduce multi-skill occupation relevant demand-driven training in key trades of the construction, manufacturing and
agriculture sectors along the corresponding competency-based curricula and assessment instruments to be carried out by an independent third qualifying party; (ii) significantly increase their intake capacity as well as their completion and certification rates; (iii) develop professional capacity of trainers in tune with the curricula; (iv) develop appropriate textbooks, and teaching and training aids; (v) establish new and/or refurbished training workshops, classrooms and other facilities including appropriate training equipment for soft and sector specific multi skills; (vi) develop and implement an educational management system to track students; (vii) establish strong partnerships with employers and industries in many respects, and (viii) undertake reform in the management of the institution and financial management.

The targets aimed by Component 2 are to be achieved through the implementation of the following 3 sub-components.

- Sub-component 2.1. Establishment of Centers of Excellence
- Sub-component 2.2. Support to public vocational training institutes (VIs)
- Sub-component 2.3. Twinning Arrangement for establishment of Centers of Excellence and networks

3. **Sub-component 2.1.** Under this sub-component, three Uganda Technical Colleges (UTC)-Bushenyi UTC, Elgon UTC, Lira UTC and the Bukalasa Agricultural College will be targeted to eventually become Centers of Excellence (CoE) with the characteristics and functions illustrated in Annex 3 of the PAD. By the end of the project, it is expected that the foundations for becoming a CoE have been established though it will take several more years for the colleges to actually function like a CoE. The targets set for the CoEs during the life of the project will be achieved through forging a partnership with an international recognized twinning partner institute to support the implementation of the following key activities: (i) Improving institutional governance; (ii) enhanced equity; (iii) Design and adaptation of demand driven competency-based curriculum and assessment system to international standards; (iv) Training for faculty and staff, and development of training and learning materials; (v) Establish and upgrade physical infrastructure, including civil works and establishment of modern workshops and classrooms with latest equipment and machinery and multi-media facilities; and (vi) Support to improve management and monitoring mechanisms within the CoEs. The functions of the twinning partner are detailed in Sub-component 2.3.
The CoEs will finance chosen trades and develop competency-based training courses, perhaps no more than five per CoE, during the life of this project. These courses would be validated by the employers of the relevant sectors through the auspices of the corresponding Sector Skill Council (SSC). As mentioned in Component 1, the SSCs in the sectors to be addressed by component 2 are being established by the Reform Task Force and will be formally included as part of the Skills Development Authority (likely during the second semester of 2016).

4. **Sub-component 2.2** will support selected public vocational institutes (VIs) to strengthen their capacity to respond to the needs and opportunities of the labor market, including delivery of short-term training courses, and improve the quality of the training being offered. The training will primarily be in artisan and craftsman trades that are lower down the value chain whereas component 2.1 focuses on training for craftsman trades and technicians.

5. **Sub-component 2.3**: Twinning Arrangement for establishment of Centers of Excellence and networks. Technically qualified institutions will be selected through an international competitive process to act as twinning partners responsible for providing all necessary support to help selected Colleges grow into “Centers of Excellence”. The partner institutions will also be responsible for providing support to the network institutions in order to improve quality of training. The partner institutions will prepare a time-bound detailed plan of action with clear deliverables. Once approved by the MoES and the IDA, the MoES will ensure that the partners do not face procedural bottlenecks in implementing the approved work plan.

Broadly, the partner institutions will be responsible for, but not limited to; (i) training and support for management reform; (ii) designing, with industry inputs, competency-based training curricula for craftsman, artisan and technician courses in the selected sectors; (iii) supporting the CoEs and network VIs adopting the new curricula; (iv) training the faculty and staff of the CoEs and network institutes on the new curricula; (v) helping the CoEs and network VIs design training workshops with equipment, machinery and tools with appropriate specifications in accordance with the curricula and the norms of national and international accreditation; (vi) advising the CoEs and VIs on training-learning materials for students and teachers; (vii) assisting CoEs with employer engagement, student counseling, placement and tracing, student internship with industries. The partnership is expected to last for about 4 years for each CoE and twinning institution.
6. **Implementation arrangements of the USDP in general, and of Component 2**, specifically oversight and advisory support will be the responsibility of a multi-sectoral Steering Committee (SC) comprising of members of relevant government Ministries and representatives from the workers associations and employers within the target sectors. The Permanent Secretary/Secretary to Treasury of the Ministry of Finance, Planning and Economic Development (MoFPED) will Chair the SC, while the representative of the MoES will act as the Secretariat of the SC. The SC will be established no later than three months after the Project is effective.

   a. There are two implementing agencies within the GoU, the MoES and the MoFPED. The MoES will be responsible for the implementation of: (a) Component 1 through the Skills Development Authority (SDA) when established, and in the interim period, the Technical Vocational Education and Training (TVET) Reform Task Force (RTF) housed within the MoES; and (b) Components 2 and 4 through a Project Coordination Unit (PCU1) accountable to the MoES, whose organization, staffing, attributions and responsibilities are fully described further down; and The MoFPED will be responsible for the implementation of Component 3 and 4 (under a shared responsibility with the PCU1 of the MoES) through the Private Sector Foundation of Uganda (PSFU) housed in the MoFPED and supported by a Project Coordination Unit (PCU2)

   b. A Project Coordination Unit (PCU1) accountable to the Permanent Secretary of the MoES or his/her designee, financed by the USDP, will be established in the MoES with the fundamental aim of supporting all education projects financed through IDA. The PCU1, will be headed by the Commissioner of Planning at the MoES and will be responsible and accountable for day-to-day project management and implementation of the IDA portfolio (including the Albertine Region Sustainable Development Project (ARSDP), the GPE-financed Teacher and School Effectiveness Project (UTSEP), the USDP and any other forthcoming IDA project).

   c. The PCU1 will include: (i) One Project Coordinator (PC), a senior officer seconded from the MoES under terms of reference satisfactory to IDA and one Deputy Project Coordinator (DPC) financed jointly by the ARSDP and SDP; and (ii) supported by a
financial management specialist, procurement specialist, safeguards specialist, civil works specialist; communications specialist, a skills advisor and a monitoring and evaluation specialist. Each of these specialists will be financed by the Project according to ToRs satisfactory to IDA following the selection procedures set for in the SDP financial agreement. The MoES will hire all the above mentioned core staff and have a fully operational PCU prior to effectiveness of the credit.

d. Component 1 will be implemented by the RTF and subsequently by the SDA when it becomes operational. The fiduciary and safeguards support of Component 1 will be provided by the PCU1.

e. The MoES will implement Component 2, including its three sub-components, through the PCU1 according to the following implementation arrangements. Sub-component 2.1 will be implemented by the four selected public training colleges to be transformed into centers of excellence - Bushenyi, Elgon, Lira and Bukalasa – under the close coordination and monitoring of the PCU1 and with the intensive technical support of qualified international competitive-based training providers selected and retained under a twinning partnership arrangement attuned to terms of reference satisfactory to IDA. Sub-component 2.2 will be coordinated and supported by the PCU1, and implemented by 12 vocational institutes (VIs) to be selected in a competitive fashion following selection criteria and procedures set for in the USDP Operational Manual. Completion of an Operational Manual that is satisfactory to the IDA will be a condition of effectiveness of the credit.

f. Sub-component 2.3 will be coordinated by the PCU1 and implemented by reputable technically qualified institutions to be selected through international competitive process following the procedures set for in USDP Financial Agreement and the USDP Operational Manual. These institutions will act as twinning partners responsible for providing all necessary support to help: (a) the training colleges under sub-component 2.1 to grow into “center of excellence (CoE)” with the operational characteristics listed in Annex 3 of the PAD and enable each CoE to perform its critical functions; and (b) the 12 VIs under sub-component 2.2 to appropriately and timely respond to the needs and opportunities of the labor market,
including delivery of short-term training courses, and improve the quality of the training being offered.
Annex 2: Information of Bukalasa Agriculture College

1 Background
Bukalasa Agricultural College is situated 40km from Kampala along the Kampala Gulu highway. Originally founded in 1920 as a research station for cotton as a cash crop, in 1956 it became a training institute offering certificated courses. In 1963 Bukalasa Training Institute became a college offering diploma courses in agriculture with the specific aim of training those intending to develop a career in the public sector. Through the merger with the Entebbe Veterinary Training Institute in 1990, Bukalasa Agricultural College extended its course offering to include mid-level veterinary courses. During this period, the college also began to prepare its graduates for careers in the private and Non-Governmental Organization sectors in addition to the public sector.

2 Governance and Administration
“Governance” here refers to the organizational and regulatory framework between the Private Sector, MAAIF, MoES, and Bukalasa Agricultural College. Bukalasa Agricultural College is a recognized public tertiary institution and is under the Universities and Other Tertiary Institutions Act 2001. The 2001 Act gives the following core functions of a public tertiary institution as:

1. To provide full-time and part-time courses of study and training in such fields of applied learning and research as the Minister may specify in the instrument establishing the institution;
2. To arrange and organize conferences, seminars, workshops and study groups in its field of operation;
3. To perform such other functions as may be directed by the Minister on the advice of the National Council in the promotion of higher education.

The Governing Council plays an oversight role alongside MAAIF in the governance of the College. The Council draws its mandate from the Universities and Other Tertiary Institutions Act 2001 (as amended in 2003 and amended in 2006) article 77. The law does not explicitly state representation from the agricultural sector and/or employers of the College graduates.

Currently BAC enjoys some autonomy through the Governing Council that enables it to: 1) partner with any Institution; 2) determine its programming to more flexibly respond to agricultural sector needs and develop its curriculum. Nevertheless BAC will seek for increased autonomy to carry out HRM functions including hiring, firing, and managing the performance of teaching and support staff.

The college is headed by a Principal who is the chief executive responsible for planning and running of day-to-day activities assisted by Deputy Principal. The Deputy Principal is also
overseer of implementation and quality of academic programs whereas there is an Academic Registrar who runs the day to activities of the academic calendar, students’ records, teaching, and admissions. There are Heads of Departments at the level of Principal Lectures who supervise teaching staff in implementation of curriculum. The Heads of departments are senior staff and together with the academic Registrar, the Bursar, the Warden, the Deputy Principal form the Management Committee and the Academic Board which are headed by the Principal. Whereas the Academic Board is a statutory requirement spelt out under the Universities and Other Tertiary Institutions Act 2001, the Management Committee and other committees not mentioned here are set up administratively to provide advisory roles to the chief executive. The bursar heads the finance Department while the Warden is in Charge of estates and students’ welfare. There college has two farm managers responsible for Livestock and crop production respectively and both are supervised by the Principal. The overall current staff population is 116 although 44 more positions are yet to be filled.

The objective for this component of the Strategic Plan is to:

- increase the autonomy of BAC to develop and implement new training programs
- Improve the participation of private sector stakeholders in curriculum design implementation and evaluation at BAC

Every effort must be made to ensure that BAC can address current regulations that might hamper or delay the introduction of its new programming.

3 Training Programs
Currently BAC is running 5 two year diploma programs; Crop Production and Management, Animal Production and Management, Horticultural Crop Production, Agribusiness Management, Human Nutrition and Dietetics. In addition to this there are also 3 certificate programs on offer; Animal Production and Management, Crop Production and Management and Floriculture.

The programming of all the above courses focuses on long term training (24 months) targeting ONLY school leavers for both the certificate and diploma courses. The qualification for admission to all certificate programs requires completion and passing 4 years of post-primary education either in secondary school or a farm school. Those who join the Diploma programs must have either obtained a certificate in an agricultural college or completed higher school certificate with at least one principal pass in a biological science subject. This arrangement locks out many potential beneficiaries especially those who do not wish to engage in full time study.

Curricula for longer term diploma or certificate training, targeting those with an interest in pursuing professional training, as well as short courses for those sector practitioners with specific needs will be introduced. A combination of promotion, partnerships, collaborative
awards and articulation agreements (demands) will be employed for this endeavor in line with skills sector council guidelines.

4 Student Enrollment

The general student enrollment has been growing over the last years. Table 1 below shows the current student enrolment.

The table below shows the enrolment level for diploma courses in the current year. Table 2 provides the equivalent information for certificates in the 2013/14 academic year.

**Table 1**: Students Enrolled on Diploma Courses for two Academic Years 2013/2014 and

<table>
<thead>
<tr>
<th>Diploma program</th>
<th>Duration Months</th>
<th>Current total Enrollment</th>
<th>% of Female Enrollment</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Male</td>
<td>Female</td>
</tr>
<tr>
<td>1. Crop Production and Management</td>
<td>24</td>
<td>308</td>
<td>113</td>
</tr>
<tr>
<td>2. Animal Production and Management</td>
<td>24</td>
<td>236</td>
<td>38</td>
</tr>
<tr>
<td>3. Horticultural Crop Production</td>
<td>24</td>
<td>30</td>
<td>10</td>
</tr>
<tr>
<td>4. Agribusiness Management</td>
<td>24</td>
<td>60</td>
<td>16</td>
</tr>
<tr>
<td>5. Nutrition and Dietetics</td>
<td>24</td>
<td>30</td>
<td>20</td>
</tr>
</tbody>
</table>

**ACADEMIC YEAR 2013/2014**

<table>
<thead>
<tr>
<th>PROGRAM</th>
<th>GOVT. SPONSORED</th>
<th>PRIVATE SPONSORED</th>
<th>TOTAL</th>
<th>TOTAL</th>
<th>GRAND TOTAL</th>
<th>% F</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>F</td>
<td>M</td>
<td>F</td>
<td>M</td>
<td>F</td>
<td>M</td>
</tr>
<tr>
<td>E</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DIPLOMA</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ANIMAL</td>
<td>08</td>
<td>55</td>
<td>30</td>
<td>181</td>
<td>38</td>
<td>236</td>
</tr>
<tr>
<td>CROP</td>
<td>10</td>
<td>62</td>
<td>103</td>
<td>246</td>
<td>113</td>
<td>308</td>
</tr>
<tr>
<td>AGIBUSINESS</td>
<td>00</td>
<td>05</td>
<td>16</td>
<td>55</td>
<td>16</td>
<td>60</td>
</tr>
<tr>
<td>NUTRTION</td>
<td>03</td>
<td>07</td>
<td>15</td>
<td>25</td>
<td>18</td>
<td>32</td>
</tr>
<tr>
<td>HORTICULTURE</td>
<td>01</td>
<td>06</td>
<td>09</td>
<td>24</td>
<td>10</td>
<td>30</td>
</tr>
<tr>
<td>TOTAL</td>
<td>102</td>
<td>392</td>
<td>494</td>
<td>21%</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

USDP –PROJECT OPERATIONS MANUAL
### Certificate

<table>
<thead>
<tr>
<th></th>
<th>F</th>
<th>M</th>
<th>F</th>
<th>M</th>
<th>TOTAL F</th>
<th>TOTAL M</th>
<th>GRAND TOTAL</th>
<th>%F</th>
</tr>
</thead>
<tbody>
<tr>
<td>Animal</td>
<td>00</td>
<td>00</td>
<td>49</td>
<td>146</td>
<td>49</td>
<td>146</td>
<td>195</td>
<td>34%</td>
</tr>
<tr>
<td>Crop</td>
<td>00</td>
<td>00</td>
<td>81</td>
<td>143</td>
<td>81</td>
<td>143</td>
<td>225</td>
<td>37%</td>
</tr>
<tr>
<td>Floriculture</td>
<td>00</td>
<td>00</td>
<td>10</td>
<td>10</td>
<td>10</td>
<td>10</td>
<td>20</td>
<td>50%</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td>140</td>
<td>299</td>
<td></td>
<td></td>
<td>439</td>
<td>32%</td>
</tr>
</tbody>
</table>

#### 2014/2015 Academic Year

<table>
<thead>
<tr>
<th></th>
<th>Govt Sponsored</th>
<th>Private Sponsored</th>
<th>TOTAL F</th>
<th>TOTAL M</th>
<th>Grand Total</th>
<th>%F</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>F</td>
<td>M</td>
<td>F</td>
<td>M</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Diploma</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Animal</td>
<td>10</td>
<td>39</td>
<td>19</td>
<td>73</td>
<td>29</td>
<td>112</td>
</tr>
<tr>
<td>Crop</td>
<td>09</td>
<td>31</td>
<td>27</td>
<td>83</td>
<td>36</td>
<td>114</td>
</tr>
<tr>
<td>Agribusiness</td>
<td>03</td>
<td>10</td>
<td>17</td>
<td>58</td>
<td>20</td>
<td>68</td>
</tr>
<tr>
<td>Human Nutrition</td>
<td>07</td>
<td>12</td>
<td>13</td>
<td>18</td>
<td>20</td>
<td>30</td>
</tr>
<tr>
<td>Horticulture</td>
<td>06</td>
<td>13</td>
<td>12</td>
<td>33</td>
<td>18</td>
<td>46</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td>123</td>
<td>370</td>
<td>493</td>
<td></td>
</tr>
</tbody>
</table>

### Certificate

<table>
<thead>
<tr>
<th></th>
<th>F</th>
<th>M</th>
<th>F</th>
<th>M</th>
<th>TOTAL F</th>
<th>TOTAL M</th>
<th>Grand Total</th>
<th>%F</th>
</tr>
</thead>
<tbody>
<tr>
<td>Animal</td>
<td>00</td>
<td>00</td>
<td>53</td>
<td>140</td>
<td>53</td>
<td>140</td>
<td>193</td>
<td>28%</td>
</tr>
<tr>
<td>Crop</td>
<td>00</td>
<td>00</td>
<td>74</td>
<td>132</td>
<td>73</td>
<td>132</td>
<td>205</td>
<td>36%</td>
</tr>
<tr>
<td>Floriculture</td>
<td>00</td>
<td>00</td>
<td>17</td>
<td>27</td>
<td>17</td>
<td>27</td>
<td>44</td>
<td>39%</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td>143</td>
<td>299</td>
<td>442</td>
<td></td>
<td>33%</td>
<td></td>
</tr>
</tbody>
</table>

The following can be deduced from the table:

The college enrollment figures indicate that at least 27% of the students in all programs are females. This compares favorably with the national statistics of 25% (World Bank 2010) of female enrollment for secondary education that provides the bulk of trainees.

Table 2: Students Enrolled on Certificate Courses 2013/14
The following can be deduced from the table:

The figures from the college indicate that 33% of those currently enrolled on certificate courses are female. The figures provided also show a 20% increase in enrollment over between 2011 and 2013. This is slightly less than the 29% increase experienced in diploma enrollment.

The figures for diploma and certificate courses provided by the College are inclusive of full and part time students. In addition to this, these total figures do not differentiate between Government sponsored and private students.

## 5 Human Resource Management

BAC has 27 permanent academic staff 13 permanent administrative staff and 3 senior administrators. The academic staff have the appropriate academic background but limited exposure to up-to-date practices in the agricultural sector. 7 have Master’s Degrees, 12 have Bachelor’s Degrees while8 are diploma holders.

To ameliorate the shortfall in staff numbers, the College spends almost 25% of the local revenue collected to employ academic and support staff on contracts. However, due to a lack of financial resources the College struggles to pay competitive rates to contracted staff resulting in high staff turnover.
MAAIF and the Public Service Commission, have approved the staff requirement that the College submitted to MAAIF. The process has begun for filling some of the vacant posts within senior management, academic staff and support staff.

(a) Academic Staff

The table below summarizes the state of staffing in academics based on the 2003 public service structure.

**Table 2: Academic Staffing Levels**

<table>
<thead>
<tr>
<th>Department</th>
<th>No. Staff Approved</th>
<th>Staff Employed</th>
<th>Staffing Gap</th>
<th>Total Employed</th>
<th>Reasons for Staffing Gap</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Govt.</td>
<td>GC</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Crop</td>
<td>17</td>
<td>8</td>
<td>8</td>
<td>8</td>
<td>2 Retired, 2 transferred not employed</td>
</tr>
<tr>
<td>Animal production</td>
<td>17</td>
<td>7</td>
<td>2</td>
<td>10</td>
<td>1 retired, 2 dead 3 transferred, 2 absconded</td>
</tr>
<tr>
<td>Management s</td>
<td>15</td>
<td>6</td>
<td>1</td>
<td>8</td>
<td>1 transferred 8 not employed</td>
</tr>
<tr>
<td>Human nutrition</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>6</td>
<td>Department Approved later after the structure</td>
</tr>
<tr>
<td>Horticulture crop Production</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>3</td>
<td>Department Approved later after the structure</td>
</tr>
<tr>
<td>Agribusiness</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td>Department Approved later after the structure</td>
</tr>
<tr>
<td>Non-teaching technical staff</td>
<td>24</td>
<td>10</td>
<td>3</td>
<td>12</td>
<td>4 Retired, 4 died</td>
</tr>
</tbody>
</table>


6 Financial management

A summary of the College’s financial position has been provided below which outlines the operating revenue and expenses.

**Table 3. Summary of Bukalasa Agricultural College Operating Income and Expenses FY 2012 to FY2014**

<table>
<thead>
<tr>
<th>Bukalasa Agricultural College</th>
<th>Revenue</th>
<th>FY14</th>
<th>FY13</th>
<th>FY12</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Number of Students Enrolled</strong></td>
<td>1,373</td>
<td>1,227</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td><strong>Revenue</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Government Grants</td>
<td>279,329,650</td>
<td>237,200,000</td>
<td>256,099,600</td>
<td></td>
</tr>
<tr>
<td>Special Grants</td>
<td>77,335,000</td>
<td>37,873,180</td>
<td>35,900,400</td>
<td></td>
</tr>
<tr>
<td>Self-generated Revenue</td>
<td>2,166,667,600</td>
<td>1,446,353,000</td>
<td>1,310,538,000</td>
<td></td>
</tr>
<tr>
<td>Construction</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td><strong>Total Revenue</strong></td>
<td>2,523,332,250</td>
<td>1,721,426,180</td>
<td>1,602,538,000</td>
<td></td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Salary and other employment compensation</td>
<td>491,943,970</td>
<td>324,615,410</td>
<td>353,943,000</td>
<td></td>
</tr>
</tbody>
</table>
### Table: Project Operations Expense Summary

<table>
<thead>
<tr>
<th>Category</th>
<th>2021</th>
<th>2020</th>
<th>2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Teaching and Training</td>
<td>214,578,500</td>
<td>107,559,250</td>
<td>100,190,500</td>
</tr>
<tr>
<td>Other Education Expenses</td>
<td>927,307,982</td>
<td>579,131,699</td>
<td>640,022,800</td>
</tr>
<tr>
<td>Support services</td>
<td>341,392,775</td>
<td>423,645,056</td>
<td>237,416,403</td>
</tr>
<tr>
<td>Utility, Supply and Maintenance</td>
<td>408,703,912</td>
<td>284,007,803</td>
<td>269,334,400</td>
</tr>
<tr>
<td>Construction</td>
<td>120,799,897</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total Expenses</strong></td>
<td><strong>2,504,727,036</strong></td>
<td><strong>1,718,959,218</strong></td>
<td><strong>1,600,907,103</strong></td>
</tr>
<tr>
<td>Surplus/(Deficit)</td>
<td><strong>18,605,214</strong></td>
<td><strong>2,466,962</strong></td>
<td><strong>1,630,897</strong></td>
</tr>
</tbody>
</table>

Additional information has been included below to describe the items above where necessary:

- **Special Grants:** The majority of the amounts in the special grants section were provided as a training fund from the Government.
- **Self-Generated Revenue:** This includes the amount charged by the College for student upkeep, tuition and additional charges such as exam registration fees.
- **Other Education Expenses:** Examination registration fees with the relevant accreditation body as well as student welfare expenses are captured under the other education expenses section.

Over the last three years, the College has significantly increased the amount of self-generated income seeing a rise of 65%. This has allowed the College to run a small surplus each year despite near stagnation in the Government grants and expenses rising by 56%.

However, this has only been achieved through passing on costs to students with the biggest rises in tuition and examination fees.

The Governing Council is responsible for budget approvals and monitoring of financial performance. Auditing of financial reports and records is conducted by the Office of the Auditor General on an annual basis.

6. **Procurement Management**
The college follows the PPDA 2003 in the procurement process but the structure does not provide for a Procurement Officer. BAC does not have an internal procurement officer and is assisted by the procurement unit of MAAIF. There is a College Contracts Committee appointed by the Principal. Micro-procurements of less than shillings ten millions are handled as an assigned duty to one of the officers in the college. The Governing Council recently approved the recruitment of a procurement officer and this request has been submitted to the Ministry.

For the SDP, the Principal will oversee the coordination of the day-to-day activities while the deputy will work as the safe guard specialist. In order to ensure timely availability of relevant data and information, a member of the academic staff from the department of management studies will be selected to be in charge of the M&E system. The academic registrar’s office does not have the available resources to oversee M&E activity. However, it is anticipated that the academic registrar’s office will work closely with staff member in charge of the M&E system to provide information across academic and non-academic areas.

1. 8 Physical Infrastructure

The College is set in 360 acres of land which includes a mixed livestock and arable farm. In addition to this, the College also has a number of buildings which are detailed below:

Table 4: Bukalasa Agricultural College Infrastructure

<table>
<thead>
<tr>
<th>Type of Building</th>
<th>How Many</th>
<th>No. of Seats or Work Stations</th>
<th>Permanent Building</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Good Condition</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Poor Condition</td>
</tr>
<tr>
<td>Ordinary Classrooms</td>
<td>9</td>
<td>720</td>
<td>9</td>
</tr>
<tr>
<td>Workshops</td>
<td>2</td>
<td>100</td>
<td></td>
</tr>
<tr>
<td>Laboratories</td>
<td>4</td>
<td>240</td>
<td>1</td>
</tr>
<tr>
<td>Offices (buildings)</td>
<td>2</td>
<td>50</td>
<td>1</td>
</tr>
<tr>
<td>Senior Staff Accommodation</td>
<td>26</td>
<td>26</td>
<td>6</td>
</tr>
<tr>
<td>Junior staff accommodation</td>
<td>31</td>
<td>31</td>
<td>0</td>
</tr>
<tr>
<td>Dormitories</td>
<td>15</td>
<td>400</td>
<td>5</td>
</tr>
<tr>
<td>Dining and kitchen</td>
<td>1</td>
<td>100</td>
<td>0</td>
</tr>
<tr>
<td>Auditorium/seminar room</td>
<td>1</td>
<td>100</td>
<td>0</td>
</tr>
<tr>
<td>Students guild canteen</td>
<td>1</td>
<td>100</td>
<td>0</td>
</tr>
<tr>
<td>Type of Building</td>
<td>How Many</td>
<td>No. of Seats or Work Stations</td>
<td>Permanent Building</td>
</tr>
<tr>
<td>-----------------</td>
<td>----------</td>
<td>------------------------------</td>
<td>--------------------</td>
</tr>
<tr>
<td>Staff pub</td>
<td>1</td>
<td>25</td>
<td>Good Condition</td>
</tr>
<tr>
<td>Stores</td>
<td>1</td>
<td>2</td>
<td>Poor Condition</td>
</tr>
</tbody>
</table>

The College Buildings
All the buildings at the college were constructed more than 50 years ago. Due to budget constraints maintenance activities have been irregular and inadequate. There has been an increase in both staff and student population at the college and the current space cannot accommodate the number. The last major rehabilitation was done at the college in 2003 but little was done to expand the infrastructure.

Classrooms:
There are 9 classroom units that can accommodate at least 720 students at once. However the classroom facilities are outdated. ICT infrastructure, such as overhead projector screens, is not available in all classrooms.

Student accommodation
Currently there are only 15 units designed to accommodate 400 students but the college has improvised to increase total accommodation to 790. The domatories accommodate a maximum of 50 students and are spread widely within the campus which renders administration and security management difficult and inefficient. Only two of the dormitories have been repaired in the last five years and can be declared relatively good to accommodate the students. The rest lack running water, toilets, and common rooms for students comfort.

Office buildings
The college has two main office building to accommodate administration and academic staff houses. Both buildings are over 70 years old and too small to accommodate the current staffing. Most of the staff members are squeezed and lack space for preparation of sessions and counseling of students. The office block for staff offices requires urgent expansion to provide space for current staff and any other visiting lecturers.

Staff houses
There are 26 housing units for senior staff but only 6 are in good habitable conditions as a result of the general rehabilitation in 2003. Twenty houses do not have properly functioning water system, electricity and toilets they have leaking roofs, are not burglar proof, and need painting. They cannot accommodate all staff and currently 10 senior staff members reside outside. All the 31 housing units for junior staff are in poor state with dilapidated shutters, roofs, walls and electricity infrastructure. At least 5 of them are in condemnable state.
Staff canteen
The staff canteen ceased to function in 2000 due to dilapidated facilities. The unit was too small to serve the current staff numbers. It is recommended for a new and bigger staff canteen to include all other social amenities. A guest house is also needed to accommodate visiting lecturers or any other visitor to the college.

The College has the following facilities and services:

i. *Electricity:* Linked to national grid.

ii. *Water-supply:* Water supply is fairly adequate.

iii. *Drainage:* Water drainage is natural due to the sloping terrain.

iv. *Sewerage:* The Sewerage is not connected to the mains with a high cost to empty.

v. *Boundary Wall:* There is no boundary wall.

The college infrastructure is managed through committees; for example the College Water Board, Farm and Land Committee and the Assetuse committee.

9 Physical Education and Sports Management
The sports unit at the college is managed by an officer as an assigned duty by the administration who is responsible for organizing annual internal competitions and friendly competitions with other institutions for both staff and students. The officer also advises the administration on entry into local and national sports competitions. There is no full time staff member responsible for tending to games and sports facilities on a daily basis. Currently there is a lack of sports equipment and while the college was designed with sufficient sports facilities most of the infrastructure such as the swimming pool and sports courts are now in a state of disrepair. However, football and athletics fields are available for use.

10 Health, Safety and Security Management
The College has a nurse employed by the public service who takes care of the students’ health complaints. The health unit is periodically stocked with drugs which are distributed by the nurse when required. While there is a health center outside the College gate to which the College health unit is linked, the nurse will often refer cases to a private hospital in Wobulenzi town. This is due to inadequate resources at the local health centre.
BAC has a safe reliable water source pumped from the ground and distributed throughout the college and neighbouring community via a water-pipe network. Due to increased enrolment at the college, the available reservoirs are inadequate and require an upgrade to a tank with a capacity of 200,000 litres.

The College Security is compromised due to its situation on an extensive plot of land. There is no perimeter fencing and it has many points of entry and exit. Many parts are not lit during night time, which creates a potential security threat. The College has a police post manned by two policemen and supplemented by some askaris. All the askaris, who were employed on the Government pay roll, have retired and have not been replaced due to difficulties in recruitment. The College is considering fencing off some units in a phased manner, introducing restrictive rules on access to certain areas, the installation of security cameras and fire extinguishers in critical areas as well as increasing the lighting systems.

11 Gender and Equity Mainstreaming
The College’s enrollment has increased beyond the capacity of its original design. One area which is acutely constrained is accommodation. Currently, the college is designed to accommodate less than 70 female students 200 male students. Due to increased enrolment the college improvised and converted some of the staff housing units into student accommodation. The community around the college also responded by constructing units for accommodating students off campus. The college policy of allowing non-resident students has been found to significantly impact female students by making them vulnerable. Under this project, the College is proposing to build hostels within the College Campus which can accommodate all the female students and at least 200 extra males.

Throughout the history of the college, many students with physical disabilities have been able to enroll and complete their training. Students are admitted basing on their academic achievement and are not prevented from enrolling because of their physical disabilities. The most recent renovations have ensured that all facilities are adjusted to accommodate them. The current enrollment has only one student of such need. However BAC currently does not have the resources or facilities available to admit and train deaf students. There is no scheme to cater for poor students whose performance does not enable them access government scholarships even if they qualify to be admitted into the college. Many of these students come from poor families and disadvantaged regions in terms of education infrastructure.
Annex 15: TOR for Twinning Institution to Twin with UTC Bushenyi

Terms of reference for a consultancy for an International Twinning Institution to support Uganda Technical College (UTC) at Bushenyi to become a Center of Excellence in Manufacturing trades

I. Project Background

15. The World Bank (WB) has approved a Credit in the amount of US$100 million to the Government of Uganda (GoU) for the implementation of the Uganda Skills Development Project (USDP). The project is expected to become effective in the third quarter of 2015 and close at the end of August 2020. The GoU through the Ministry of Education and Sports (MoES) will use part of the loan proceeds to engage an internationally accredited training institution that will support the transformation of UTC Bushenyi into a Center of Excellence (CoE) and enhance the capacity of its selected network of Vocational Institutes (VIs).

16. **Objective of the USDP** is to enhance the capacity of target institutions to deliver high quality, demand-driven training programs in target sectors.

   a. The achievement towards this objective will be observed and measured in terms of the following six outcome indicators:

      1) development of National Occupational Standards for relevant trades/occupations in the target sectors;
2) increased number of new intakes in the targeted training programs;
3) proportion of female intakes in targeted training programs;
4) percentage of entrants who completed targeted courses (short courses, certificate, diploma);
5) improved participation of employers in skills training programs; and
6) satisfaction with skills by trainees in supported firms disaggregated by economic sectors and size.

17. **Components.** The above-mentioned objective is to be achieved through the implementation of the following four components (details of all components and implementation arrangements in Annex 1):

   - Component 1: Institutionalizing systemic reforms in skills development
   - Component 2: Improving quality and relevance of skills development
   - Component 3: Employer-led short-term training and recognition of prior learning
   - Component 4: Project Management, Monitoring and Evaluation

1. **Objective and scope of the assignment for the international training institute**

18. The overall objective of this assignment is to support transformation of the Uganda Technical College, Bushenyi (UTC-Bushenyi) into a Centre of Excellence (CoE) in the manufacturing sector and support its three (3) network VIs to improve the quality of training. This TOR seeks the services of an internationally recognized training institution to provide support to the Uganda Technical College in Bushenyi to become a Center of Excellence in manufacturing, with a focus on mental products. The twinning training institution is expected to provide continuous on-sight technical support to ensure improvement in students outcomes and the relevance of training to the needs of the market.

19. **Scope of the assignment**
Under the envisaged twinning arrangement, the training institution will work with UTC Bushenyi to:

a. Finalize UTC Bushenyi’s 5-year Institutional Development Plan (IDP) which is to be supported by the USDP. The plan will outline the specific trades/occupations in manufacturing that would be the focus on the College’s transformation to a CoE as well as an overall strategic plan for setting the foundations of a CoE outlined under sub-component 2.1 of Annex 1. This includes: 1) updating the CoE’s organizational structure and organizational mandates (and vision/mission statements); 2) strengthening the CoE’s capacity to produce strategic, operational, business, and budget plans; 3) identifying CoE’s manpower requirements; 4) developing human resource development (HRD) plans for the CoE’s management and personnel; 5) prepare a project-gender action plan alongside its Institutional Development Plan.

b. The twinning institution will guide and support UTC Bushenyi and its selected VIs in adapting its multi-skill competency-based curricula in the selected trades and courses below:

1. Welding and Metal Fabrication
2. Manufacturing Technology
3. Equipment/Plant Maintenance Technology.

The above adapted courses shall meet Uganda skills needs in the manufacturing sectors, while maintaining its curriculum internationally recognized certification;

c. The twinning institution will assist in the development of suitable assessment instruments for both soft and sector specific multi-skills aligned to the adapted competency-based curriculum.

d. While carrying out the activities described in paragraphs 5(a), (b), and (c) the twinning institution will encourage the active participation and guidance of representatives of the employers of the respective trades in these sectors to ensure a truly demand-driven process;
e. The twinning institution will train the CoE’s and selected network VIs’ trainers in order to assist with the provision of a cadre of trainers who are prepared and sufficiently motivated to facilitate a teaching-learning process in a competency-based contextual framework (hands-on) and not in a lecture-mode subject content-based framework, which is the traditional way of teaching amongst training providers. In this respect, the twinning institution needs to make sure that teachers have a command in the: (i) occupational competencies associated to the principle of the training; and (ii) the pedagogical approach to transmit the training to the students in an appropriate way including the e-learning methods for delivery of modules to the College and network VI.

f. In order to carry out the task described in paragraph 5(e) above, the twinning institution will provide one lead instructor and a team of support instructors for each of the multi-skills training courses to be offered at the CoE over a period of three years. The international instructors will not only teach these courses, but also develop an instructor nationalization plan for their own replacement under and agreed exit strategy (explained below) and be responsible for the College’s national instructor upgrading program;

g. The twinning institution will train a cadre of qualified trainers at the CoE and network VIs to develop and validate relevant, good-quality training and learning materials;

h. The twinning institution will support and ensure that the CoE and network VIs design training and workshop with equipment, machinery and tools with appropriate specifications in accordance with the curricular and norms of national and international accreditation.

i. Concurrently with the development of the technical specifications for the acquisition of training equipment, the twinning institution will assist the CoE in identifying the minor civil works to upgrade/refurbish the physical space required for the appropriate installation and functioning of this training equipment.
j. The twinning institution will assist the CoE and network VIs develop a monitoring and management information system to: gather, process, trace, analyze and report information on students, employers, job-placement, time taken to find a job after graduation, type of occupation and degree of alignment with the training provided, entry salary, career path and employers’ satisfaction; The tracer reporting shall be imbedded in the Management Information System at the CoE and linked to the central Management Information System controlled by the MoES.

k. The twinning institution will assist the CoE and network VIs in establishing strong and functional linkages with employers in the sector and trades for which the multi-skill training is being provided, including local, regional and umbrella employer representatives of the sector; and

l. The twinning institution will also provide training for instructors of selected ‘network VIs (as per sub-component 2.2 in Annex 1). The VIs will focus on training in trades that are lower down the value chain and will be supported by the project to procure equipment and upgrade workshops to deliver this training. Instructors from the network VIs would be trained by the education training institution at UTC Bushenyi on the new curricula.

m. Based on the satisfactory undertaking of the above mentioned education training tasks, the twinning institution will also strengthen the entrepreneurial capacity in the CoE to identify local training needs and then develop, market, and deliver short “customized training programs” in institute-based or enterprise-based modes, or a combination of both, in the training being provided at the CoE. This entrepreneurial activity will be provided on a fee-for-services basis with the aim of raising the CoE’s revenue thus contributing to its long term sustainability.

n. The twinning institution will build the capacity of the management team and Governing Council/Board of the CoE and network VIs in monitoring and evaluation, financial management and accountability at the institutions.
o. The twinning institution will support the training institutions in adapting the marketing and communication strategy to be developed by the Reform Task Force.

III. Timeframe

20. The twinning institution will take over this assignment in the fourth quarter of 2016

21. The assignment is estimated to be implemented from the award of the contract to the close of the project in August 2020.

IV. Reporting

22. The twinning institution will report to the Principal of UTCBushenyi and the Project Coordinator USDP or his/her designee at the project coordination unit, MoES.

V. Deliverables

9. The twinning institution will deliver:

   a. Submission of an accepted inception report with a time bound action plan with clear deliverables one month after award of Contract

   b. Development and modification of internationally certified, CBT curricula in the selected trades and courses of Welding and Metal Fabrication, Manufacturing Technology, and Equipment/Plant Maintenance Technology.

   c. Guidance provided to the Engineering Firm on workshop/laboratory design, so that civil works meets the Twinning Institution’s certification requirements;

   d. Provision of equipment lists and equipment specifications for the 3 targeted Programs

   e. Report on the type and amount of consumable materials required for the delivery of the 3 programs
f. Provision of 5 international and certified technical instructors and delivery of the 3 training programs, described above, according to competency-based training principles

g. Establishment of a CBT assessment system and the assessment of all UTC Bushenyi students participating in the 3 targeted training programs

h. Development and implementation of the On-the Job, Offshore, and Return to Industry (RIS) instructor training programs for 12 national counterpart instructors

i. Finalization of UTC Bushenyi organization structure, organizational mandates updated, manpower requirements identified, development of a human resource development plan for UTC Bushenyi management and staff;

j. Report of Improved UTC Bushenyi strategic Plan, operational Plan, and budgets

k. Establishment and operationalization of an industrial liaison and student placement unit within UTC Bushenyi; tracer studies conducted on at least 25% of graduates from each class

Development one short customized course developed and delivered on a fees-for-services basis

VI. Ministry of Education and Sports’ (MoES)/BTVET’s Input

10. The MoES, through its BTVET Department, will provide the twinning institution all the required information associated with the USDP in general, and component 2 in particular, as further described in the attached Annex 1 to this terms of reference.

VII. Composition of the Twinning institution’s Staff complement.

11. The twinning institution will mobilize the following Team of Experts (Team Leader, Project start-up team and sufficient instructors) to carry out the Scope of Work outlined above:
a. The **Team Leader (1 international expert, 15 Man-months, intermittent over the 60 months duration of the Project)**: should have at least 15 years of experience managing a higher secondary TVET institute or polytechnic. He/she should also have extensive experience with developing and implementing Competency-Based Training (CBT) programs in the manufacturing sector. The Team Leader will plan and coordinate all Twinning Institution expert inputs to ensure the successful implementation of the UTC Bushenyi IDP and component 2 of the USDP. In addition, the Team Leader will:

i. review the CoE’s Strategic Objectives and Institutional Development Plan (IDP) and, based on these, develop a over-arching strategy with the College for implementing the IDP and achieving the CoE’s Strategic Objectives related to program relevance and quality;

ii. coordinate and manage the Twinning Institution’s start-up team, instructors, and institutional development specialist;

iii. monitor and advise the start-up Team on curricula design and modifications;

iv. assist with workshop/laboratory design and workshop equipment specifications;

v. assist instructors in arranging offshore instructor training for national, counterpart instructors at the Twinning Institution’s, home-base campus;

vi. assist CoE’s better liaison with the employers of the manufacturing sector to ensure their representation on the Institute’s Governing Council, industrial secondments of CoE’s instructors, and student job placement in industry;

vii. monitor and evaluate the implementation of the transformation of the CoE and the functioning of its respective network;

viii. produce Inception Report, quarterly Progress Reports, and Final Report etc.

ix. The Team Leader will report to the CoE’s Principal and the Project Coordinator of the USDP.

b. **Start Up Facilitators (3 international experts, 6 man months each)**: Each expert will be a certified instructor in a specific occupational trade/program and have 15 years curriculum design and teaching experience in the training programs targeted by the UTC-Bushenyi. They will:

i. adapt existing Twinning Institution curricula for the identified trades, and possibly modify these course materials, based on local manufacturing sector
input (provided through the umbrella employers’ organization), while also ensuring that these materials still maintain their international certification;

ii. provide guidance on workshop design to the engineering firm, appointed by the MoES, based on curricula and course certification requirements;

iii. provide workshop equipment lists and equipment specifications to the MoES and CoE;

iv. identify the types and amounts of consumables materials required for course delivery;

v. strengthen the CoE’s partnering with industry by working with the local, regional or national employers in the sector and on the College’s Governing Council to obtain employers’ support of workplace instructor training and student job placement.

Other instructors as needed will include.

c. **Welding and Metal Fabrication Instructor (2 international instructors, 30 Man-months each):** The Instructors should have 10 years experience in Instructor training, training delivery, and have experience with Competency-Based Training (CBT). The Instructor will:

   i. introduce and teach internationally certified, diploma/certificate and programs in Welding and Metal fabrication

   ii. develop a program for national Instructor training through team-teaching and mentoring to teach the program

   iii. develop with the Manufacturing sector a secondment program to provide national Instructors with practical, hands-on, industrial experience;

   iv. develop and assist the Team Leader with the implementation of an offshore training program, which will send 4 national Instructors to the Twinning Institution’s campus for short term upgrading;

   v. provide pedagogical support and assistance to national, Instructors to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;
vi. develop standardized formats for expatriate and national Instructors to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SOA);

vii. assist UTC Bushenyi with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place graduates in Manufacturing Industry, which addresses sector needs;

viii. assist UTC Bushenyi with the development of business plans (and marketing) for “customized”/short training Welding and Metal Fabrication courses/modules, so that the College might generate additional income on a fee-for-services basis.

d. Equipment/Plant Maintenance Technology Instructor (2 international instructors, 30 Man-months each): The Instructors should have 10 years experience in Instructor training, training delivery, and be familiar with Competency-Based Training (CBT). The Instructor will:

i. introduce and teach internationally certified, certificate and diploma programs in Plant Maintenance Technology;

ii. develop a program for national Instructor training through team-teaching and mentoring to teach the Maintenance & Plant maintenance program

iii. develop with local manufacturing companies a secondment program to provide Plant Maintenance Technology, national counterpart Instructors with practical, hands-on, industrial experience;

iv. develop and assist the Team Leader with the implementation of an offshore training program, which will send 4 national Instructors to the Twinning Institution’s campus for short term upgrading in relevant disciplines;

v. provide pedagogical support and assistance to national, Instructors to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;
vi. develop standardized formats for expatriate and national Instructors to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SOA);

vii. assist UTC Bushenyi with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place graduates in Manufacturing Industries, which addresses sector needs;

viii. assist UTC Bushenyi with the development of business plans (and marketing) of “customized” Maintenance & Plant maintenance courses, so that the College might generate additional income on a fee-for-services basis.

e. Manufacturing Technology Instructor (2 international instructors, 30 Man-months each): The Instructor should have 10 years experience in Instructor training, training delivery, and be familiar with Competency-Based Training (CBT). The Instructor will:

i. introduce and teach internationally certified, certificate and diploma programs in manufacturing technology;

ii. develop a program for national Instructor training through team-teaching and mentoring to teach the manufacturing technology program

iii. develop with local manufacturing companies a secondment program to provide manufacturing technology, national counterpart Instructors with practical, hands-on, industrial experience;

iv. develop and assist the Team Leader with the implementation of an offshore training program, which will send 4 national Instructors to the Twinning Institution’s campus for short term upgrading in relevant disciplines;

v. provide pedagogical support and assistance to national, Instructors to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;
vi. develop standardized formats for expatriate and national Instructors to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SOA);

vii. assist UTC Bushenyi with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place graduates in manufacturing industry;

viii. assist UTC Bushenyi with the development of business plans (and marketing) of “customized” Manufacturing Technology courses, so that the College might generate additional income on a fee-for-services basis.

f. **Institutional Capacity Development Specialist (1 international specialist, 12 Man-months):** The Institutional Capacity Development Specialist should have 10 years experience in human and institutional capacity development in Technical and Vocational Education and Training (TVET). The Institutional Capacity Development Specialist will:

i. assist UTC Bushenyi to update its mission and vision statements, develop its organizational structure, update work unit organizational mandates, determine the College’s manpower requirements; and

ii. develop and implement a Human Resource Development (HRD) plan for UTC Bushenyi management and staff;

iii. provide tools, formats, and procedures strengthening UTC Bushenyi’s capacity to produce strategic, annual operational, and supporting budget plans;

iv. strengthen UTC Bushenyi industry liaison and student job placement unit to better place the College’s graduates in industry and to conduct follow-up studies on graduates;

v. strengthen entrepreneurial capacity in UTC Bushenyi, so that it can better identify training needs in the sector and develop, market, and deliver short “customized training programs” in institute-based or enterprise-based modes, or a combination of both to meet these needs on a fee-for-services basis in order to raise revenue for UTC Bushenyi long term sustainability;
vi. build capacity in UTC Bushenyi management to develop strong business cases for proposed activities in order to access donor organizations, and service companies.

VIII Qualification requirements

12. The Twinning Institution needs to provide evidence of:

a. Its recognized experience in delivering occupational competency-based training in the manufacturing specifically for metal products in the last 15 years in a scale involving at least 2000 students/per calendar year;
b. Accreditation of its training and alignment to international benchmarking;
c. Key indicators on student outcomes (e.g., continuous assessment scores, exam scores, graduation rates, cost per student per year, cost per hour of instruction);
d. Placement rates of its graduates in jobs related to the nature of their training;
e. Having past experience in the last 5 years in providing twinning arrangements to other training institutions in other countries outside their home country (preferably in Africa) covering the envisaged tasks described in paragraphs 2 (a), (b), (c), (d), (e), (f), (g), (h), (i), (j), (k) (l), (m), (n), and (o);
f. Being legally established and registered with any Government as a training provider including a tax identification number if they are obliged to pay taxes on an annual basis;
g. Being up to date with their fiscal responsibilities (payment of taxes);
h. Being in existence for at least seven (7) years prior to the date of the competitive cycle;
i. Having the qualified human resources comprising the envisaged College Staff complement as described in Chapter VII of these ToRs; and
j. Its ability to deliver its envisaged twinning tasks in English

13. In addition, interested International Twinning Institutions will need to present a draft business plan with preliminary costing on how it intends to carry out the envisaged tasks described in paragraph 5 (a) to (o) and produce the deliverables under section V.
Annex 1: Details of Project Components:

7. **Component 1** aims to transform the Ugandan Business, Technical, and Vocational Education Training (BTVET) system from an educational sub-sector into a comprehensive system of skills development for employment, enhanced productivity and growth. It emphasizes on a paradigm shift for skills development, which essentially aims at realigning the policy and institutional framework as well as investment in skills development to transform the current supply-driven system to a robust sustainable dynamic demand driven skills development system that would respond to the skills needs of the growing Ugandan economy. Systemic reform in the sector is critical to realigning the delivery system without which investment in up-grading training institutions will eventually result in further reinforcing the existing supply driven system. The targets aimed by Component 1 are to be achieved through the implementation of the following 3 sub-components.

- Sub-component 1.1. Establishment of Sector Skills Councils and Developing foundations of the skills development authority
- Sub-component 1.2. Alignment and strengthening of the assessment system
- Sub-component 1.3. Establishment of a Management Information System for BTVET
- Sub-component 1.4. Communication and marketing for BTVET subsector

Systemic reform activities proposed under Component 1 are key to the success of Component 2 and 3.

8. **Component 2** seeks to develop 4 colleges to eventually become Centers of Excellence (CoE) offering high quality competency-based training for artisans (low-level), craftsmen (medium-level) and technicians (higher-level) to equip them with skills demanded by selected trades/occupations in the manufacturing, construction, and agro-processing sectors of the Ugandan economy. In addition, at least 12 public vocational training institutes will be targeted to provide relevant and high quality training for artisans, and craftspersons in order to increase access to training by the general public.

This component will address the current baseline functional and structural weaknesses of BTVET institutes in the country by transforming three selected UTCs and one agriculture college into CoEs enabling them to; (i) introduce multi-skill
occupation relevant demand-driven training in key trades of the construction, manufacturing and agriculture sectors along the corresponding competency-based curricula and assessment instruments to be carried out by an independent third qualifying party; (ii) significantly increase their intake capacity as well as their completion and certification rates; (iii) develop professional capacity of trainers in tune with the curricula; (iv) develop appropriate textbooks, and teaching and training aids; (v) establish new and/or refurbished training workshops, classrooms and other facilities including appropriate training equipment for soft and sector specific multi skills; (vi) develop and implement an educational management system to track students; (vii) establish strong partnerships with employers and industries in many respects, and (viii) undertake reform in the management of the institution and financial management.

The targets aimed by Component 2 are to be achieved through the implementation of the following 3 sub-components.

- **Sub-component 2.1. Establishment of Centers of Excellence**
- **Sub-component 2.2. Support to public vocational training institutes (VIs)**
- **Sub-component 2.3. Twinning Arrangement for establishment of Centers of Excellence and networks**

9. **Sub-component 2.1.** Under this sub-component, three Uganda Technical Colleges (UTC)- Lira UTC, Elgon UTC, Bushenyi UTC and the Bukalasa Agricultural College will be targeted to eventually become Centers of Excellence (CoE) with the characteristics and functions illustrated in Annex 3 of the PAD. By the end of the project, it is expected that the foundations for becoming a CoE have been established though it will take several more years for the colleges to actually function like a CoE. The targets set for the CoEs during the life of the project will be achieved through forging a partnership with an international recognized twinning partner institutes to support the implementation of the following key activities: (i) Improving institutional governance; (ii) enhanced equity; (iii) Design and adaptation of demand driven competency-based curriculum and assessment system to international standards; (iv) Training for faculty and staff, and development of training and learning materials; (v) Establish and upgrade physical infrastructure, including civil works and establishment of modern workshops and classrooms with latest equipment and machinery and multi-
media facilities; and (vi) Support to improve management and monitoring mechanisms within the CoEs. The functions of the twinning partner are detailed in Sub-component 2.3.

The CoEs will finance chosen trades and develop competency-based training courses, perhaps no more than five per CoE, during the life of this project. These courses would be validated by the employers of the relevant sectors through the auspices of the corresponding Sector Skill Council (SSC). As mentioned in Component 1, the SSCs in the sectors to be addressed by component 2 are being established by the Reform Task Force and will be formally included as part of the Skills Development Authority (likely during the second semester of 2016).

23. **Sub-component 2.2** will support selected public vocational institutes (VIs) to strengthen their capacity to respond to the needs and opportunities of the labor market, including delivery of short-term training courses, and improve the quality of the training being offered. The training will primarily be in artisan and craftsman trades that are lower down the value chain whereas component 2.1 focuses on training for craftsman trades and technicians.

24. **Sub-component 2.3:** Twinning Arrangement for establishment of Centers of Excellence and networks. Technically qualified institutions will be selected through an international competitive process to act as twinning partners responsible for providing all necessary support to help selected Colleges grow into “Centers of Excellence”. The partner institutions will also be responsible for providing support to the network institutions in order to improve quality of training. The partner institutions will prepare a time-bound detailed plan of action with clear deliverables. Once approved by the MoES and the IDA, the MoES will ensure that the partners do not face procedural bottlenecks in implementing the approved work plan.

Broadly, the partner institutions will be responsible for, but not limited to; (i) training and support for management reform; (ii) designing, with industry inputs, competency-based training curricula for craftsman, artisan and technician courses in the selected sectors; (iii) supporting the CoEs and network VIs adopting the new curricula; (iv) training the faculty and staff of the CoEs and network institutes on the new curricula; (v) helping the CoEs and network VIs design training workshops with equipment, machinery and tools with appropriate specifications in accordance with the curricula
and the norms of national and international accreditation; (vi) advising the CoEs and VIs on training-learning materials for students and teachers; (vii) assisting CoEs with employer engagement, student counseling, placement and tracing, student internship with industries. The partnership is expected to last for about 4 years for each CoE and twinning institution.

25. Implementation arrangements of the USDP in general, and of Component 2, Specifically Oversight and advisory support will be the responsibility of a multi-sectoral Steering Committee (SC) comprising of members of relevant government Ministries and representatives from the workers associations and employers within the target sectors. The Permanent Secretary/Secretary to Treasury of the Ministry of Finance, Planning and Economic Development (MoFPED) will Chair the SC, while the representative of the MoES will act as the Secretariat of the SC. The SC will be established no later than three months after the Project is effective.

a. There are two implementing agencies within the GoU, the MoES and the MoFPED. The MoES will be responsible for the implementation of: (a) Component 1 through the Skills Development Authority (SDA) when established, and in the interim period, the Technical Vocational Education and Training (TVET) Reform Task Force (RTF) housed within the MoES; and (b) Components 2 and 4 through a Project Coordination Unit (PCU1) accountable to the MoES, whose organization, staffing, attributions and responsibilities are fully described further down; and The MoFPED will be responsible for the implementation of Component 3 and 4 (under a shared responsibility with the PCU1 of the MoES) through the Private Sector Foundation of Uganda (PSFU) housed in the MoFPED and supported by a Project Coordination Unit (PCU2)

b. A Project Coordination Unit (PCU1) accountable to the Permanent Secretary of the MoES or his/her designee, financed by the USDP, will be established in the MoES with the fundamental aim of supporting all education projects financed through IDA. The PCU1, will be headed by the Commissioner of Planning at the MoES and will be responsible and accountable for day-to-day project management and implementation of the IDA portfolio (including the Albertine Region Sustainable Development Project (ARSDP), the GPE-financed Teacher and School Effectiveness Project (UTSEP), the USDP and any other forthcoming IDA project).
c. The PCU1 will include: (i) One Project Coordinator (PC), a senior officer seconded from the MoES under terms of reference satisfactory to IDA and one Deputy Project Coordinator (DPC) financed jointly by the ARSDP and SDP; and (ii) supported by a financial management specialist, procurement specialist, safeguards specialist, civil works specialist; communications specialist, a skills advisor and a monitoring and evaluation specialist. Each of these specialists will be financed by the Project according to ToRs satisfactory to IDA following the selection procedures set for in the SDP financial agreement. The MoES will hire all the above mentioned core staff and have a fully operational PCU prior to effectiveness of the credit.

d. Component 1 will be implemented by the RTF and subsequently by the SDA when it becomes operational. The fiduciary and safeguards support of Component 1 will be provided by the PCU1.

e. The MoES will implement Component 2, including its three sub-components, through the PCU1 according to the following implementation arrangements. Sub-component 2.1 will be implemented by the four selected public training colleges to be transformed into centers of excellence - Elgon, Lira, Bushenyi and Bukalasa – under the close coordination and monitoring of the PCU1 and with the intensive technical support of qualified international competitive-based training providers selected and retained under a twinning partnership arrangement attuned to terms of reference satisfactory to IDA. Sub-component 2.2 will be coordinated and supported by the PCU1, and implemented by 12 vocational institutes (VIs) to be selected in a competitive fashion following selection criteria and procedures set for in the USDP Operational Manual. Completion of an Operational Manual that is satisfactory to the IDA will be a condition of effectiveness of the credit.

f. Sub-component 2.3 will be coordinated by the PCU1 and implemented by reputable technically qualified institutions to be selected through international competitive process following the procedures set for in USDP Financial Agreement and the USDP Operational Manual. These institutions will act as twinning partners responsible for providing all necessary support to help: (a) the training colleges
under sub-component 2.1 to grow into “center of excellence (COE)” with the operational characteristics listed in Annex 3 of the PAD and enable each COE perform its critical functions; and (b) the 12 VIs under sub-component 2.2 to appropriately and timely respond to the needs and opportunities of the labor market, including delivery of short-term training courses, and improve the quality of the training being offered.
Annex 2: Information on UTC Bushenyi

1 Background

Uganda Technical College Bushenyi is located 50 km along the Mbarara-Kasese highway in the district of Bushenyi in the South Western part of Uganda and its nearest town is Bushenyi. The College was founded in 1956 as Kahaya Memorial Rural Trade School by the then Ankole Kingdom Government. During this period, it enrolled primary six leavers to train in carpentry and joinery, and bricklaying. Later in 1958, courses that included leather tanning, shoe making, and pottery and ceramics were introduced. In 1974, it was upgraded to Kahaya Technical School and elevated to Bushenyi Technical Institute in 1982, later becoming a Technical College in 1984. At this time it was re-named Uganda Technical College Bushenyi.

2 Governance and Administration

Uganda Technical College Bushenyi is a recognized public tertiary institution under the Ministry of Education and Sports under the direct supervision of the Department of BTVET. The Universities and other Tertiary Institutions Act, 2001 gives the following as the core functions of a public tertiary institution:

1. to provide full-time and part-time courses of study and training in such fields of applied learning and research as the Minister may specify in the instrument establishing the institution;

2. to arrange and organize conferences, seminars, workshops and study groups in its field of operation;

3. To perform such other functions as may be directed by the Minister on the advice of the National Council in the promotion of higher education.

The Governing Council plays an oversight role in the governance of the College. The Council draws its mandate from the Universities and Other Tertiary Institutions Act, 2001 (as amended in 2003 and as amended in 2006) article 77. The law does not explicitly state representation from the manufacturing sector and/or employers of the UTC graduates. Only two persons could be linked to the field of study (clause 2 (c)).

The Principal is the Accounting Officer of the College and is the head of academic and administrative business of the College. The principal is deputized by one deputy Principal. There are also positions for Academic Registrar who is in charge of all academic
programs. The College has six academic departments, namely Civil and Building Engineering, Mechanical Engineering, Electrical Engineering, Ceramics Engineering, Computer studies and Complementary studies; each with a departmental head. Other officers include the accountant, Librarian, Dean of Students and Institutional relations Officer.

3 Training Programmes

Currently, the College offers two year National Diploma programmes; i.e. National Diploma in Civil; Water; Electrical; Mechanical; Ceramics, Engineering and Architecture, and Information Communications Technology (ICT). All the programmes were developed/reviewed by National Curriculum Development Centre with the financial support of the Royal Netherlands Government under the project “Strengthening the Institutional Capacity of Uganda Technical Colleges, NPT/UGA/171. The programmes emphasise practical training “with real life” projects as the core of the training with the aim of producing skilled graduates. Assessment of students is done both locally, through coursework assessment, which contributes 40% to the final grade and through National Semester Examinations administered by Uganda Business and Technical Examinations Board (UBTEB) which contribute 60% to the final grade. The training programmes also provide a 12 week industrial training (IT) session at the end of every academic year which is a complete module on its own. The IT is assessed by both college staff and industry-based staff.

National Diploma programmes require a candidate to have either
(a) an Advanced Craft Certificate in the relevant field of study or
(b) an advanced level certificate with a minimum of one principal pass and two subsidiary passes obtained at the same sitting or
(c) a degree in Physical Sciences.

The college also offers short (tailor made) courses on request.

4 Student Enrollment

The general student enrollment has been growing over the last eight years as shown in Table 1 below:

Table 1: Student Enrollment 2006/2007 to 2013/2014 Academic year
| Prog. | M | F | T | M | F | T | M | F | T | M | F | T | M | F | T | M | F | T | M | F | T | M | F | T | M | F | T | M | F | T | M | F | T | M | F | T | M | F | T | M | F | T |
| ADD  | 42| 7 | 49| 55| 11| 66| 58| 16| 74| 79| 5 | 84| 78| 8 | 86| 79| 10| 89| 95| 13| 108| 125| 21| 146|
| ODWE | 47| 11| 58| 40| 11| 51| 47| 19| 66| 45| 21| 66| 41| 23| 64| 31| 42| 73| 44| 32| 76| 64| 18| 82|
| ODE  | 46| 5 | 51| 62| 6 | 68| 69| 12| 81| 78| 9 | 87| 79| 12| 91| 83| 12| 95| 103| 12| 115| 106| 18| 124|
| ODIC | 3 | 0 | 3 | 6 | 0 | 6 | 10| 1 | 11| 11| 1 | 12| 5 | 1 | 6 | 0 | 0 | 0 | 0 | 3 | 0 | 3 |
| ODM  | 22| 1 | 23| 36| 2 | 38| 94| 3 | 96| 87| 11| 98| 103| 12| 115| 101| 6 | 107| 127| 12| 139| 143| 16| 159|
| DCS  | 0 | 0 | 0 | 0 | 12| 1 | 13| 17| 1 | 18| 11| 2 | 13| 6 | 2 | 8 | 7 | 2 | 9  | 6 | 0 | 6 |
| HDC  | 0 | 0 | 0 | 0 | 11| 0 | 11| 15| 0 | 15| 4 | 0 | 4 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| PLG I| 24| 2 | 26| 15| 2 | 17| 22| 4 | 26| 17| 0 | 17| 20| 1 | 21| 6 | 0 | 6 | 0 | 0 | 0 | 0 | 0 | 0 |
| EIB  | 4 | 1 | 5 | 4 | 0 | 4 | 22| 1 | 23| 30| 1 | 31| 25| 1 | 26| 12| 0 | 12| 0 | 0 | 0 | 0 | 0 |
| EIC  | 0 | 0 | 0 | 4 | 0 | 4 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| MVT II| 0 | 0 | 0 | 2 | 0 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| PLG II| 0 | 0 | 0 | 1 | 1 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| MECP | 0 | 0 | 0 | 4 | 0 | 4 | 9 | 0 | 9 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| CTTE | 22| 1 | 23| 20| 5 | 25| 9 | 3 | 12| 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Total| 294| 33| 327| 337| 43| 380| 398| 70| 468| 443| 53| 496| 427| 57| 484| 337| 43| 494| 474| 81| 555| 559| 79| 638|

**Key**

- **ODC**: Ordinary Diploma in Civil and Building Engineering
- **ADD**: Ordinary Diploma in Architectural Drawing and Draughtsmanship
- **ODWE**: Ordinary Diploma in Water Engineering
- **ODE**: Ordinary Diploma in Electrical Engineering
- **ODIC**: Ordinary Diploma in Industrial Ceramics
- **ODM**: Ordinary Diploma in Mechanical Engineering
- **HDC**: Higher Diploma in Building and Civil Engineering
- **DCS**: Diploma in Computer Science and Information Technology
- **EIB**: Craft Certificate in Electrical Installation Part B
- **EIC**: Craft Certificate in Electrical Installation Part C
- **PLG I**: Craft Certificate in Plumbing in East African Countries Part I
- **PLG II**: Advanced Craft Certificate in Plumbing in East African Countries (Part II)
- **MVT II**: Motor Vehicle Technicians Course Part II
- **MECP**: Mechanical Engineering Craft Practice/Fitter Machinist
- **CTTE**: Certificate in Technical Teacher Education (examined by Kyambogo University)
### Table

<table>
<thead>
<tr>
<th>M</th>
<th>Male</th>
</tr>
</thead>
<tbody>
<tr>
<td>F</td>
<td>Female</td>
</tr>
<tr>
<td>T</td>
<td>Total</td>
</tr>
</tbody>
</table>

**Note:** In 2010/2011 Academic year the curriculum of the Colleges was reviewed and the programmes were changed from Ordinary Diploma to National Diploma.

The new Diploma programmes are more practically oriented and significant about the programmes is the introduction of real life projects.

Effective 2010/2011 academic year, the College stopped offering certificate programmes due to the reduction in enrolment. This was mainly due to:

- A directive from BTVET that technical colleges should concentrate on diploma programmes;
- The increase in number of technical institutes (public and private) in the region offering similar training at the same level;
- Increase in cost of welfare that could not be afforded by the certificate students studying under the same or similar conditions as diploma students.

The following can be deduced from the table:

(a) That the student enrolment has doubled over the last nine years;
(b) That the number of female students has increased by 139% over the period under consideration;
(c) That programs that support the manufacturing sector have realised tremendous incremental growth in numbers when compared with other sectors. For example, mechanical engineering had its enrollment increase by 365%, electrical engineering had its enrollment increase by 186% compared to 130% for civil engineering;
(d) That some programmes have continued to operate below capacity thereby breeding idle installed capacity, e.g. Ceramics and Information Technology.

### 5 Human Resource Management

The current approved human resource establishment provides for 40 teaching staff (includes Principal and Deputy Principal) and 43 non-teaching staff members. This
structure was approved by the Ministry of Public Service in 2008. Due to the new developments at the College, this does need to be reviewed again to bring it up to date.

(b) Academic Staff

The College has a total number of 29 Full-time Teaching staff members of which 27 are duly appointed by the Education Service Commission. Of the total number, only two are female. (Refer to Appendix 2 of the IDP)
The table below indicates the qualification levels of the academic staff

<table>
<thead>
<tr>
<th>Qualification Level</th>
<th>Male</th>
<th>Female</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificate (technical)</td>
<td>1</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Diploma (technical)</td>
<td>8</td>
<td>0</td>
<td>8</td>
</tr>
<tr>
<td>Engineering Degree</td>
<td>10</td>
<td>1</td>
<td>11</td>
</tr>
<tr>
<td>Bachelor Degree (others)</td>
<td>4</td>
<td>1</td>
<td>5</td>
</tr>
<tr>
<td>Master Degree</td>
<td>2</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>PhD</td>
<td>2</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>27</strong></td>
<td><strong>2</strong></td>
<td><strong>29</strong></td>
</tr>
</tbody>
</table>

Most of the academic staff members have engineering/technical backgrounds and have teaching qualifications.

Administrative and Support Staff

The College has 35 Administrative and support staff members of whom 15 are substantively appointed. Details of the individual staff members can be found in Appendix 2 of the Institutional Development Plan.

6 Financial management

Although the percentage of internally generated revenue has been increasing over time, the College derives most of its funding from Government contributions. Over the last three years, however, the percentage of Government contributions has reduced from 54% to 42% (excluding the Government grant provided for construction). It is anticipated that over the coming years the College will be expected to generate its own funds to meet its operational expenses. The main source of internally generated funds is fees charged from

322
students. However, this cannot sustain the operations of the College as most of the students come from families with a low economic background.

**Table 3:** Summary of Bushenyi UTC Operating Income and Expenses FY 2012 to FY2014

<table>
<thead>
<tr>
<th></th>
<th>FY14</th>
<th>FY13</th>
<th>FY12</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Number of Students Enrolled</strong></td>
<td>659</td>
<td>638</td>
<td>555</td>
</tr>
<tr>
<td><strong>Revenue</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Government Grants</td>
<td>941,158,076</td>
<td>988,391,412</td>
<td>1,137,070,769</td>
</tr>
<tr>
<td>Special Grants</td>
<td>60,204,120</td>
<td>141,993,486</td>
<td>194,406,160</td>
</tr>
<tr>
<td>Self-generated Revenue</td>
<td>1,237,269,143</td>
<td>957,612,052</td>
<td>771,003,000</td>
</tr>
<tr>
<td>Construction Grants &amp; Sales</td>
<td>769,949,960</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total Revenue</strong></td>
<td>3,008,581,299</td>
<td>2,087,996,950</td>
<td>2,102,479,929</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Salary and other employment compensation</td>
<td>622,596,322</td>
<td>608,881,946</td>
<td>578,116,922</td>
</tr>
<tr>
<td>Direct Teaching and training Expenses</td>
<td>579,209,376</td>
<td>633,135,645</td>
<td>664,330,740</td>
</tr>
<tr>
<td>Other Education Expenses</td>
<td>507,870,905</td>
<td>373,734,446</td>
<td>335,143,162</td>
</tr>
<tr>
<td>Support services</td>
<td>286,919,521</td>
<td>257,709,476</td>
<td>388,808,397</td>
</tr>
<tr>
<td>Utility, Supply and Maintenance</td>
<td>261,406,553</td>
<td>171,649,257</td>
<td>152,202,148</td>
</tr>
<tr>
<td>Construction</td>
<td>18,000,000</td>
<td>-</td>
<td>20,285,245</td>
</tr>
<tr>
<td>Total Expenses</td>
<td>2,276,002,677</td>
<td>2,045,110,770</td>
<td>2,138,886,614</td>
</tr>
<tr>
<td>----------------</td>
<td>---------------</td>
<td>---------------</td>
<td>---------------</td>
</tr>
<tr>
<td>Surplus/ (deficit)</td>
<td>732,578,622</td>
<td>42,886,180</td>
<td>(36,406,685)</td>
</tr>
</tbody>
</table>

Additional information has been included below to describe the items above where necessary:

- **Special Grants:** The majority of the amounts in the special grants section were provided as a training fund from the Government.

- **Self-Generated Revenue:** This includes the amount students are charged by the College for student upkeep, tuition and additional charges such as exam registration fees.

- **Other Education Expenses:** Examination registration fees with the relevant accreditation body as well as student welfare expenses are captured under the other education expenses section.

Over the last three years, the College has significantly increased the amount of self-generated income seeing a rise of 60%. This has allowed the College to run a small surplus for the previous two years despite the decline in the Government grant funding.

The College still operates manually managed financial records and this may lead to loss of revenue and/or inaccuracy in financial reporting. The Governing Council is responsible for budget approvals and monitoring of financial performance. Auditing of financial reports and records is conducted by the Office of the Auditor General on an annual basis.

### 7 Procurement Management

The College, like many other Government departments, is expected to follow the PPDA Act 2003 in its procurement management. The challenge, however, is that the College lacks qualified procurement officers to effectively handle procurement business. In cases where procurement is large the College has to enlist the support from the Ministry of Education and Sports or from sister institutions.

### 8 Physical Infrastructures

The College has land totaling about **24 hectares** located in Kyeizooba sub-county Igara County Bushenyi district. Table 3 below gives a summary of the infrastructure that is available.
Table 3: **Basic infrastructure**

<table>
<thead>
<tr>
<th>Type</th>
<th>No.</th>
<th>Particulars</th>
<th>Area (m²)</th>
<th>State/Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Workshops and Laboratories</td>
<td>7</td>
<td>Computer Laboratory</td>
<td>228</td>
<td>Poor/1956</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Mechanical</td>
<td>278</td>
<td>Good/1998</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Electrical</td>
<td>201</td>
<td>Good/1998</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Ceramics</td>
<td>146</td>
<td>Poor/1956</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Plumbing</td>
<td>75</td>
<td>Small/1998</td>
</tr>
<tr>
<td></td>
<td></td>
<td>BCP</td>
<td>163</td>
<td>Fair/1995</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Tannery</td>
<td>78</td>
<td>Poor/1956</td>
</tr>
<tr>
<td>Classrooms</td>
<td>18</td>
<td>Most have a sitting capacity of less than 30 students</td>
<td>1,136</td>
<td>5 Good/1998</td>
</tr>
<tr>
<td>Dormitories</td>
<td>08</td>
<td>The dormitories meant to accommodate 20 students now accommodate 50 students each</td>
<td>1,050</td>
<td>2 Fair/1995-97</td>
</tr>
<tr>
<td>Offices</td>
<td>13</td>
<td>1 Administration Block (Principal, D/Principal, Academic Registrar, Bursar, stationery store)</td>
<td>176</td>
<td>Small and Poor/1956</td>
</tr>
<tr>
<td></td>
<td></td>
<td>1 Staffroom</td>
<td>52</td>
<td>Poor/1956</td>
</tr>
<tr>
<td></td>
<td></td>
<td>7 Departments</td>
<td>142</td>
<td>Poor/1956</td>
</tr>
<tr>
<td>Staff Houses</td>
<td>17</td>
<td>15 Senior staff</td>
<td>821</td>
<td>Poor/1956</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2 Junior staff</td>
<td>65</td>
<td>Poor/1956</td>
</tr>
<tr>
<td>Students Kitchen/Dining Hall</td>
<td></td>
<td></td>
<td></td>
<td>Poor/1956</td>
</tr>
</tbody>
</table>
9. Physical Education and Sports Management
The College lacks both a functional Physical Education and Sports department and infrastructure to support physical education and sports. However the College organises some sports activities like football, volleyball and netball within the institution and within institutions in the local area. Physical education in the institution is poorly funded and the college has no transport facilities to transport of students and staff to participate in major events.

Health and safety are important aspects of training. The College has a “first aid facility” managed by two nursing officers. The facility is inadequate for the increasing numbers of students. The College employs “watchmen” to oversee the security of the College however the College land and premises are not secured with a fence; this has led to increased numbers of thefts in the institution. The College is connected to a national water supply system, even though the water is unreliable and expensive to maintain.

11. Gender and Equity Mainstreaming
The College has championed promotion of girl-child in technical education. In April 2013 the College organized the first ever celebrations for the girl-child in technical education where all technical and vocational institutions in the region and some secondary schools participated; the activity has now become an annual event.

The College is a leading promoter of technical education through public awareness campaigns. Over the last five years the College carried out a number of public awareness campaigns through the print and electronic media. This has led to an increase in enrollment at the College and technical and vocational institutes in the region.

The College has carried out career guidance in schools, printing of promotional materials like diaries, calendars etc where the girl features prominently. In addition the College has taken deliberate efforts to increase female enrollment to at least 20%.

The College has a limited number of students with special needs who do not have serious complications. The College lacks the necessary support services, facilities and expertise to adequately provide for these students. However, all new infrastructure have been
designed with facilities to cater for persons with special needs. These include sanitary facilities, buildings with ramps etc.

The College has developed strategies to improve access to technical/vocational education by the disadvantaged groups. These include introduction of short training courses/packages, introducing packages that favour disadvantaged persons and persons with special needs education. The Government of the Republic of Uganda has established a law governing financing of higher education and has established a body responsible for management of a loan scheme for needy/poor students. The College has, through radio programmes, encouraged needy students to apply for the loan scheme.

In addition the College intends to establish partnerships with funding institutions and agencies that support needy and disadvantaged persons.

Annex 16: TERMS OF REFERENCE

International Twinning Institution to support Uganda Technical College (UTC) at Elgon to become a Center of Excellence in Civil Engineering & Construction

II. Project Background

The World Bank (WB) has approved a Credit for US$100 million to the Government of Uganda (GoU) for the implementation of the Uganda Skills Development Project (USDP). The project is expected to become effective in the third quarter of 2015 and close at the end of August 2020. The GoU through the Ministry of Education, Science and Technology (MoESTS) will use part of the loan proceeds to engage an internationally accredited training institution that will support the transformation of UTC Elgon into a Center of Excellence (CoE) and enhance the capacity of selected network of Vocational Training Institutions (VIs).

Objective of the USDP is to enhance the capacity of target institutions to deliver high quality, demand-driven training programs in the construction sector.
g. The achievement towards this objective will be observed and measured in terms of the following six outcome indicators:

1) development of National Occupational Standards for relevant trades/occupations in the target sectors;
2) increased number of new intakes in the targeted training programs;
3) proportion of female intakes in targeted training programs;
4) percentage of entrants who completed targeted courses (short courses, certificate, diploma);
5) improved participation of employers in skills training programs; and
6) satisfaction with skills by trainees in supported firms disaggregated by economic sectors and size.

Components. The above-mentioned objective is to be achieved through the implementation of the following four components of the USDP (details of all components and implementation arrangements in Annex 1):

- Component 1: Institutionalizing systemic reforms in skills development;
- Component 2: Improving quality and relevance of skills development;
- Component 3: Employer-led short-term training and recognition of prior learning
- Component 4: Project Management, Monitoring and Evaluation

II. Objective and scope of the assignment for the international training institute

The overall objective of this assignment is to support transformation of the Uganda Technical College, Elgon (UTC-Elgon) into a Centre of Excellence (CoE) in the construction sector and support its network VI institutions to improve the quality of training.

Scope of the assignment

Under the envisaged twinning arrangement, the training institution will work with UTC Elgon to:

Finalize UTC Elgon’s 5-year Institutional Development Plan (IDP) which is to be supported by the USDP. The plan will outline the specific trades/occupations in construction that would be the focus on the Colleges’ transformation to a CoE as well as an overall strategic plan for setting the foundations of a CoE outlined under sub-component 2.1 of Annex 1. This includes: 1) updating the CoE’s organizational structure and organizational mandates (and vision/mission statements; 2) strengthening the CoE’s capacity to produce strategic, operational, business, and budget plans; 3) identifying CoE’s manpower requirements; 4) developing human resource development (HRD) plans for the CoE’s management and
personnel, 5) prepare a project-gender action plan alongside its Institutional Development Plan.

The twinning institution will guide and support the UTC Elgon and its selected VIs in adapting its multi-skill competency-based curricula in the selected trades and courses below.

i. Geotechnical & Building construction  
ii. Electrical Installation  
iii. Plumbing, Gas Line construction & Maintenance  
iv. Welding & Fabrication

The above adapted courses shall meet Uganda skills needs in the construction sector, while maintaining its curriculum to meet internationally recognized certification standards;

Based on the curricular developed under paragraph 5(a) above, the twinning institution will support and assist the CoE and its selected VIs develop an e-learning module that will deliver courses at Technician, Artisan and Craft levels.

The twinning institution will assist with the development of suitable assessment instruments for both soft and sector specific multi-skills aligned to the adapted competency-based curriculum.

While carrying out the activities described in paragraphs 5(a), (b), (c), and (d) above the twinning institution will ensure that this process is done with the active participation and guidance of representatives of the employers of the respective trades in these sectors to ensure a truly demand-driven process;

The twinning institution will train the CoE’s and selected network VI’s trainers in order to ensure that the CoE has a cadre of trainers that are prepared and sufficiently motivated to facilitate a teaching-learning process in a competency-based contextual framework (hands-on) and not in a lecture-mode subject content-based framework, which is the traditional way of teaching amongst training providers. In this respect, the twinning institution needs to make sure that teachers have a command in the: (i) occupational competencies associated to the principle of the training; and (ii) the pedagogical approach to transmit the training to the students in an appropriate way including e-learning methods for delivery of module content to the College and the network VIs.
In order to carry out the task described in paragraph 2(f) above, the twinning institution will provide one lead instructor/facilitator and a team of support instructors for each of the multi-skills training courses to be offered at the CoE over a period of three years. The international instructors will not only teach these courses, but will also develop an instructor nationalization plan for their own replacement under an agreed exit strategy (explained below) and be responsible for the College’s national instructor upgrading program.

The twinning institution will train a cadre of qualified trainers at the CoE and network VIs develop and validate relevant, good-quality training and learning materials.

The twinning institution will support and ensure that CoE and VIs design a training workshop with equipment, machinery and tools which adhere to the appropriate specifications in accordance with the curricular and norms of national and international accreditation standards.

Concurrently with the development of the technical specifications for the acquisition of training equipment, the twinning institution will assist the CoE and network VIs in identifying the civil works to upgrade/refurbish and the physical space required for the appropriate installation and functioning of this training equipment.

The twinning institution will support and ensure that the CoE and VIs develop a monitoring and Management Information System to gather, process, trace, analyze and report information on students, employers, job-placement, time taken to find a job after graduation, type of occupation and degree of alignment with the training provided, entry salary, career path and employers’ satisfaction; The tracer reporting shall be imbedded in the Management Information System at the CoE linked to the central Management Information System controlled by the MoESTS.

The twinning institution will assist the CoE and network VIs in establishing strong and functional linkages with employers in the sector and trades for which the multi-skill training is being provided, including local, regional and umbrella employer representatives of the sector; and

The twinning institution will also provide training for instructors of selected VIs (as per sub-component 2.2 in Annex 1). The VIs will focus on training in trades that are lower down the value chain and will be supported by the project to procure equipment and upgrade
workshops to deliver this training. Instructors from the network VIs will be trained by the education training institution at UTC Elgon on the new curricula;

Based on the satisfactory undertaking of the above mentioned education training tasks, the twinning institution will also strengthen the entrepreneurial capacity in the CoE to identify local training needs and then develop, market, and deliver short “customized training programs” in institute-based or enterprise-based modes, or a combination of both, in the training being provided in the CoE and network VIs. This entrepreneurial activity is to be provided on a fee-for-services basis with the aim of raising revenue for the CoE’s thus contributing to its long term sustainability

The Twinning institution will build capacity of the management team and Governing Council/Board of the CoE and network VIs in monitoring and evaluation, financial management and accountability at the institutions.

The twinning institution will support the training institutions in adapting the marketing and communication strategy to be developed by the Reform Task Force.

III. Timeframe

The twinning institution will take over this assignment in the second quarter of 2016.

The assignment is estimated to be implemented in a maximum of five (5) years from the award of the contract.

IV. Reporting

The twinning institution will report to the Principal of UTC Elgon and the Project Coordinator USDP or his/her designee at the project coordination unit, MoESTS.

V. Deliverables

The twinning institution will deliver:

(a) An Inception report with a time bound plan of action with clear deliverables, one (1) month after the Award of the contract.

(b) A revised Institutional Development Plan for UTC-Elgon about three months after signing the Contract with the MoESTS;
(c) Adapted competency-based curriculum package(s) six (6) months after signing the Contract;
(d) The training course(s) syllabi(s) eight (8) months after signing the Contract;
(e) The assessment instrument(s) 8 months after signing the Contract;
(f) Commence training of CoE trainers 12 months after signing the Contract;
(g) Prototype modules of training material 12 months after signing the Contract;
(h) The technical specifications of the training equipment 8 months after signing the Contract;
(i) Recommendations on civil works to upgrade or refurbish classrooms and/or workshops 4 months after signing the Contract;
(j) The start up of a monitoring system (computerized management information system with internet connectivity) to follow up graduates 4 months after signing the Contract;
(k) Evidence of strong and functional linkages with the employment sector 12 months after signing the Contract;
(l) Evidence of a more effective and efficient CoE management and organization 15 months after signing the Contract; and;
(m) Commence training of network vocational institutes at the CoE 15 months after signing the Contract.

VI. Ministry of Education Science Technology and Sports’ (MoESTS) input

The MoESTS, through its relevant units/Departments and RTF, will provide the twinning institution with the required initial data associated with the USDP in general, and component 2 in particular, as further described in the attached Annex 1 to this terms of reference.

VII. Composition of the Twinning institution’s staff component

The twinning institution will mobilize the following Team of Experts (Team Leader, Project start-up team and sufficient instructors) to carry out the Scope of Work outlined above:

a. The Team Leader should have at least 15 years of experience managing a higher TVET institution or polytechnic. He/she should also have extensive experience with developing and implementing Competency-Based Training (CBT) programs in the construction sector. The Team Leader will plan and coordinate all Twinning
Institution experts’ inputs to ensure the successful implementation of the UTC Elgon IDP and component 2 of the USDP. In addition, the Team Leader will:

i. review the CoE’s Strategic Objectives and Institutional Development Plan (IDP) and, based on these, develop an over-arching strategy with the College for implementing the IDP and achieving the CoE’s Strategic Objectives related to program relevance and quality;

ii. coordinate and manage the Twinning Institution’s start-up team, instructors, and institutional development specialist;

iii. monitor and advise the start-up Team on curricula design and modifications;

iv. assist with workshop/laboratory design and workshop equipment specifications;

v. assist instructors in arranging offshore instructor training for national, counterpart instructors at the Twinning Institution’s home-base campus;

vi. assist CoE’s better liaison with the employers of the construction sector to ensure their representation on the College’s Governing Council, industrial secondments of CoE’s instructors, and student job placement in industry;

vii. monitor and evaluate the implementation of the transformation of the CoE and the functioning of its respective network;

viii. produce Inception Report, quarterly Progress Reports, and Final Report etc.

ix. The Team Leader will report to the CoE’s Principal and the Project Coordinator of the USDP.

b. **Start Up Facilitators.** Each expert will be a certified instructor in a specific occupational trade/program and have 15 years curriculum design and teaching experience in the training programs targeted by the UTC-Elgon. They will:

i. adapt existing Twinning Institution curricula for the identified trades, and possibly modify these course materials, based on local manufacturing sector input (provided through the umbrella employers’ organization), while also ensuring that these materials still maintain their international certification;

ii. provide guidance on workshop design to the engineering firm, appointed by the MoESTS based on curricula and course certification requirements;

iii. provide workshop equipment lists and equipment specifications to the MoESTS and CoE;

iv. identify the types and amounts of consumables materials required for course delivery; and
v. strengthen the CoE’s partnering with industry by working with the local, regional or national employers in the sector and on the College’s Governing Council to obtain employers’ support of workplace instructor training and student job placement.

Other support instructors as needed will include.

c. **Geotechnical & Building construction Lecturer/instructor** The Geotechnical & Building construction instructors should have 10 years experience in training of trainers, training delivery, and be familiar with Competency-Based Training (CBT). The Geotechnical & Building construction Lecturer/instructor will:

i. introduce and teach an internationally certified, diploma/certificate program in Geotechnical & Building construction;

ii. develop a program for national lecturer training through team-teaching and mentoring to train the Geotechnical & Building construction program

iii. develop with the construction sector a secondment program to provide Geotechnical & Building construction, national lecturers with practical, hand-on, industrial experience;

iv. develop and assist the Team Leader and the lead instructor with the implementation of an offshore training program, which will send 4 national lecturers to the Twinning Institution’s campus for short term upgrading in Geotechnical & Building construction;

v. provide pedagogical support and assistance to national, lecturers to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;

vi. develop standardized formats for expatriate and national lecturers to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SOA);

vii. assist UTC Elgon with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place Geotechnical & Building construction graduates in construction work, which addresses Construction sector needs;

viii. assist UTC Elgon with the development of business plans (and marketing) for “customized” Geotechnical & Building construction courses, so that the College might generate additional income on a fee-for-services basis.
d. **Electrical Installation Lecturer/instructor** The Electrical Installation Lecturer should have 10 years experience in lecturer training, training delivery, and be familiar with Competency-Based Training (CBT).

The Lecturer will:

i. introduce and teach an internationally certified, diploma/certificate program in bricklaying;

ii. develop a program for national lecturer training through team-teaching and mentoring to teach the Electrical Installation Lecturer program;

iii. develop with local construction companies a secondment program to provide Electrical Installation, national counterpart lecturers with practical, hands-on, industrial experience;

iv. develop and assist the Team Leader with the implementation of an offshore training program, which will send 4 national lecturers to the Twinning Institution’s campus for short term upgrading in Electrical Installation Lecturer;

v. provide pedagogical support and assistance to national lecturers to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;

vi. develop standardized formats for expatriate and national lecturers to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SOA);

vii. assist UTC Elgon with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place Electrical Installation graduates in construction work, which addresses the sector needs;

viii. assist UTC Elgon with the development of business plans (and marketing) of “customized” Electrical Installation courses, so that the College might generate additional income on a fee-for-services basis.

e. **Plumbing, Gas Line construction & Maintenance Lecturer/instructor** The Lecturers should have 10 years experience in lecturer training, training delivery, and be familiar with Competency-Based Training (CBT). The Lecturer will:

i. introduce and teach an internationally certified, diploma/certificate program in Plumbing, Gas Line construction & Maintenance;

ii. develop a program for national lecturer training through team-teaching and mentoring to teach the Plumbing, Gas Line construction & Maintenance program;

iii. develop with local construction companies a secondment program to provide Plumbing, Gas Line construction & Maintenance, national counterpart lecturers with practical, hands-on, industrial experience;
iv. develop and assist the Team Leader with the implementation of an offshore training program, which will send 4 national lecturers to the Twinning Institution’s campus for short term upgrading;

v. provide pedagogical support and assistance to national, lecturers to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;

vi. develop standardized formats for expatriate and national lecturers to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SOA);

vii. assist UTC Elgon with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place graduates in construction Industry;

viii. assist UTC Elgon with the development of business plans (and marketing) of “customized” courses, so that the College might generate additional income on a fee-for-services basis.

f. **Welding & Fabrication Lecturer/instructor** The Lecturer should have 10 years experience in lecturer training, training delivery, and be familiar with Competency-Based Training (CBT). The Welding & Fabrication Lecturer will:

i. introduce and teach an internationally certified, diploma/certificate program in welding & fabrication;

ii. develop a program for national lecturer training through team-teaching and mentoring to teach the welding & fabrication program

iii. develop with local construction companies a secondment program to provide welding & fabrication, national counterpart lecturers with practical, hand-on, industrial experience;

iv. develop and assist the Team Leader with the implementation of an offshore training program, which will send 4 national lecturers to the Twinning Institution’s campus for short term upgrading in welding & fabrication;

v. provide pedagogical support and assistance to national, lecturers to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;

vi. develop standardized formats for expatriate and national lecturers to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SOA);

vii. assist UTC Elgon with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place welding & fabrication graduates in construction work needs;
viii. assist UTC Elgon with the development of business plans (and marketing) of “customized” welding & fabrication courses, so that the College might generate additional income on a fee-for-services basis.

g. **Institutional Capacity Development Specialist** The Institutional Capacity Development Specialist should have 10 years experience in human and institutional capacity development in Technical and Vocational Education and Training (TVET). The Institutional Capacity Development Specialist will:

i. assist UTC Elgon and its VTI partners to update their mission and vision statements, develop its organizational structure, update work unit organizational mandates, determine the College’s and VTI’s manpower requirements and develop and implement a Human Resource Development (HRD) plan for UTC Elgon and partner VIs management and staff;

ii. provide tools, formats, and procedures strengthening UTC Elgon’s and VTI’s capacity to produce strategic, annual operational, and supporting budget plans;

iii. strengthen UTC Elgon and its partner VTI’s industry liaison and student job placement unit to better place the College’s graduates in industry and to conduct follow-up studies on graduates;

iv. strengthen entrepreneurial capacity in UTC Elgon, so that it can better identify training needs in the petroleum sector and develop, market, and deliver short “customized training programs” in institute-based or enterprise-based modes, or a combination of both to meet these needs on a fee-for-services basis in order to raise revenue for UTC Elgon long term sustainability;

v. build capacity in UTC Elgon management to develop strong business cases for proposed activities in order to access, donor organizations, and service companies. vi) develop and assist the Team Leader with the implementation of an offshore training program, which will send national Administrators to the Twinning Institution’s campus for short term training in managing a Center of Excellence

VIII Qualification requirements

The International twinning institution needs to provide evidence of:

a. Its recognized experience in delivering occupational competency-based training in the Civil Engineering and Construction specifically for building trades in the last 15 years in a scale involving at least 2000 students/per calendar year;

b. Accreditation of its training and alignment to international benchmarking;
c. Key indicators on student outcomes (e.g., continuous assessment scores, exam scores, graduation rates, cost per student per year, cost per hour of instruction);

d. Placement rates of its graduates in jobs related to the nature of their training;

e. Having past experience in the last 5 years in providing twinning arrangements to other training institutions in developing countries outside their home country (preferably in Africa) covering the envisaged tasks described in section II paragraphs 2 (a), (b), (c), (d), (e), (f), (g), (h), (i), (j), (k) (l), (m), (n), (o), (p);

f. Being legally established and registered with any Government as a training provider including a tax identification number if they are obliged to pay taxes on an annual basis;

g. Being up to date with their fiscal responsibilities (payment of taxes);

h. Being in existence for at least seven (7) years prior to the date of the competitive cycle;

i. Having the qualified human resources comprising the envisaged College Staff as described in Chapter VII of these ToRs; and

j. Its ability to deliver its envisaged twinning tasks in English

In addition, interested International twinning institution will need to present a draft business plan with preliminary costing on how it intends to carry out the envisaged tasks described in paragraph 5 (a) to (p) and produce the deliverables under section V.
Annex 1: Details of Project Components:

10. **Component 1** aims to transform the Ugandan Business, Technical, and Vocational Education Training (BTVET) system from an educational sub-sector into a comprehensive system of skills development for employment, enhanced productivity and growth. It emphasizes on a paradigm shift for skills development, which essentially aims at realigning the policy and institutional framework as well as investment in skills development to transform the current supply-driven system to a robust sustainable dynamic demand driven skills development system that would respond to the skills needs of the growing Ugandan economy. Systemic reform in the sector is critical to realigning the delivery system without which investment in up-grading training institutions will eventually result in further reinforcing the existing supply driven system. The targets aimed by Component 1 are to be achieved through the implementation of the following 3 sub-components.

- Sub-component 1.1. Establishment of Sector Skills Councils and Developing foundations of the skills development authority
- Sub-component 1.2. Alignment and strengthening of the assessment system
- Sub-component 1.3. Establishment of a Management Information System for BTVET
- Sub-component 1.4. Communication and marketing for BTVET subsector

Systemic reform activities proposed under Component 1 are key to the success of Component 2 and 3.

11. **Component 2** seeks to develop 4 colleges to eventually become Centers of Excellence (CoE) offering high quality competency-based training for artisans (low-level), craftsmen (medium-level) and technicians (higher-level) to equip them with skills demanded by selected trades/occupations in the manufacturing, construction, and agro-processing sectors of the Ugandan economy. In addition, at least 12 public vocational training institutes will be targeted to provide relevant and high quality training for artisans, and craftspersons in order to increase access to training by the general public.

This component will address the current baseline functional and structural weaknesses of BTVET institutes in the country by transforming three selected UTCs
and one agriculture college into CoEs enabling them to: (i) introduce multi-skill occupation relevant demand-driven training in key trades of the construction, manufacturing and agriculture sectors along the corresponding competency-based curricula and assessment instruments to be carried out by an independent third qualifying party; (ii) significantly increase their intake capacity as well as their completion and certification rates; (iii) develop professional capacity of trainers in tune with the curricula; (iv) develop of appropriate textbooks, and teaching and training aids; (v) establish new and/or refurbished training workshops, classrooms and other facilities including appropriate training equipment for soft and sector specific multi skills; (vi) develop and implement an educational management system to track students; (vii) establish strong partnership with employers and industries in many respects, and (viii) undertake reform in the management of the institution and financial management.

The targets aimed by Component 2 are to be achieved through the implementation of the following 3 sub-components.

- Sub-component 2.1. Establishment of Centers of Excellence
- Sub-component 2.2. Support to public vocational training institutes (VIs)
- Sub-component 2.3. Twinning Arrangement for establishment of Centers of Excellence and networks

12. Sub-component 2.1. Under this sub-component, three Uganda Technical Colleges (UTC)- Lira UTC, Elgon UTC, Bushenyi UTC and the Bukalasa Agricultural College will be targeted to eventually become Centers of Excellence (CoE) with the characteristics and functions illustrated in Annex 3 of the PAD. By the end of the project, it is expected that the foundations for becoming a CoE have been established though it will take several more years for the Colleges to actually function like a CoE. The targets set for the CoEs during the life of the project will be achieved through forging a partnership with an international recognized twinning partner institute to support the implementation of the following key activities: (i) Improving institutional governance; (ii) enhanced equity; (iii) Design and adaptation of demand driven competency-based curriculum and assessment system to international standards; (iv) Training for faculty and staff, and development of training and learning materials; (v) Establish and upgrade physical infrastructure, including civil works and establishment of modern workshops and classrooms with latest equipment and machinery and multi-
media facilities; and (vi) Support to improve management and monitoring mechanisms within the CoEs. The functions of the twinning partner are detailed in Sub-component 2.3.

The CoEs will finance chosen trades and develop competency-based training courses, perhaps no more than five per CoE, during the life of this project. These courses would be validated by the employers of the relevant sectors through the auspices of the corresponding Sector Skill Council (SSC). As mentioned in Component 1, the SSCs in the sectors to be addressed by component 2 are being established by the Reform Task Force and will be formally included as part of the Skills Development Authority (likely during the second semester of 2016).

4. **Sub-component 2.2** will support selected public vocational institutes (VIs) to strengthen their capacity to respond to the needs and opportunities of the labor market, including delivery of short-term training courses, and improve the quality of the training being offered. The training will primarily be in artisan and craftsman trades that are lower down the value chain whereas component 2.1 focuses on training for craftsman trades and technicians.

5. **Sub-component 2.3**: Twinning Arrangement for establishment of Centers of Excellence and networks. Technically qualified institutions will be selected through an international competitive process to act as twinning partners responsible for providing all necessary support to help selected Colleges grow into “Centers of Excellence”. The partner institutions will also be responsible for providing support to the network institutions in order to improve quality of training. The partner institutions will prepare a time-bound detailed plan of action with clear deliverables. Once approved by the MoESTS and the IDA, the MoESTS will ensure that the partners do not face procedural bottlenecks in implementing the approved work plan.

Broadly, the partner institutions will be responsible for, but not limited to; (i) training and support for management reform; (ii) designing, with industry inputs, competency-based training curricula for craftsman, artisan and technician courses in the selected sectors; (iii) supporting the CoEs and network VIs adopting the new curricula; (iv) training the faculty and staff of the CoEs and network institutes on the new curricula; (v) helping the CoEs and network VIs design training workshops with equipment,
machinery and tools with appropriate specifications in accordance with the curricula and the norms of national and international accreditation; (vi) advising the CoEs and VIs on training-learning materials for students and teachers; (vii) assisting CoEs with employer engagement, student counseling, placement and tracing, student internship with industries. The partnership is expected to last for about 4 years for each CoE and twinning institution.

6. **Implementation arrangements of the USDP in general, and of Component 2**, Specifically Oversight and advisory support will be the responsibility of a multi-sectoral Steering Committee (SC) comprising of members of relevant government Ministries and representatives from the workers associations and employers within the target sectors. The Permanent Secretary/Secretary to Treasury of the Ministry of Finance, Planning and Economic Development (MoFPED) will Chair the SC, while the representative of the MoESTS will act as the Secretariat of the SC. The SC will be established no later than three months after the Project is effective.

a. There are two implementing agencies within the GoU, the MoESTS and the MoFPED. The MoESTS will be responsible for the implementation of: (a) Component 1 through the Skills Development Authority (SDA) when established, and in the interim period, the Technical Vocational Education and Training (TVET) Reform Task Force (RTF) housed within the MoESTS; and (b) Components 2 and 4 through a Project Coordination Unit (PCU1) accountable to the MoESTS, whose organization, staffing, attributions and responsibilities are fully described further down; and The MoFPED will be responsible for the implementation of Component 3 and 4 (under a shared responsibility with the PCU1 of the MoESTS) through the Private Sector Foundation of Uganda (PSFU) housed in the MoFPED and supported by a Project Coordination Unit (PCU2).

b. A Project Coordination Unit (PCU1) accountable to the Permanent Secretary of the MoESTS or his/her designee, financed by the USDP, will be established in the MoESTS with the fundamental aim of supporting all education projects financed through IDA. The PCU1, will be headed by the Commissioner of Planning at the MoESTS and will be responsible and accountable for day-to-day project management and implementation of the IDA portfolio (including the Albertine Region Sustainable
The PCU1 will include: (i) One Project Coordinator (PC), a senior officer seconded from the MoESTS under terms of reference satisfactory to IDA and one Deputy Project Coordinator (DPC) financed jointly by the ARSDP and SDP; and (ii) supported by a financial management specialist, procurement specialist, safeguards specialist, civil works specialist; communications specialist, a skills advisor and a monitoring and evaluation specialist. Each of these specialists will be financed by the Project according to ToRs satisfactory to IDA following the selection procedures set for in the SDP financial agreement. The MoESTS will hire all the above mentioned core staff and have a fully operational PCU prior to effectiveness of the credit.

d. Component 1 will be implemented by the RTF and subsequently by the SDA when it becomes operational. The fiduciary and safeguards support of Component 1 will be provided by the PCU1.

e. The MoESTS will implement Component 2, including its three sub-components, through the PCU1 according to the following implementation arrangements. Sub-component 2.1 will be implemented by the four selected public training colleges to be transformed into centers of excellence - Elgon, Lira, Bushenyi and Bukalasa – under the close coordination and monitoring of the PCU1 and with the intensive technical support of qualified international competitive-based training providers selected and retained under a twinning partnership arrangement attuned to terms of reference satisfactory to IDA. Sub-component 2.2 will be coordinated and supported by the PCU1, and implemented by 12 vocational institutes (VIIs) to be selected in a competitive fashion following selection criteria and procedures set for in the USDP Operational Manual. Completion of an Operational Manual that is satisfactory to the IDA will be a condition of effectiveness of the credit.

f. Sub-component 2.3 will be coordinated by the PCU1 and implemented by reputable technically qualified institutions to be selected through international competitive process following the procedures set for in USDP Financial Agreement and the USDP Operational Manual. These institutions will act as twinning partners responsible for
providing all necessary support to help: (a) the training colleges under sub-component 2.1 to grow into “center of excellence (CoE)” with the operational characteristics listed in Annex 3 of the PAD and enable each CoE perform its critical functions; and (b) the 12 VIs under sub-component 2.2 to appropriately and timely respond to the needs and opportunities of the labor market, including delivery of short-term training courses, and improve the quality of the training being offered.
Annex 17: TERMS OF REFERENCE International Twinning Institution to support Uganda Technical College (UTC) Lira to become a Center of Excellence in Highway Engineering & Road Construction

Project Background

The World Bank (WB) has approved a Credit in the amount of US$100 million to the Government of Uganda (GoU) for the implementation of the Uganda Skills Development Project (USDP). The project is expected to become effective in the third quarter of 2015 and close at the end of August 2020. The GoU through the Ministry of Education, Science and Technology and Sport (MoESTS) will use part of the loan proceeds to engage an internationally accredited training institution that will support the transformation of UTC Lira into a Center of Excellence and assist it with the support of the selected network Vocational Training Institutes (VIs).

Objective of the USDP is to enhance the capacity of target institutions to deliver high quality, demand-driven training programs in Highway engineering and the road construction sector.

The achievement towards this objective will be observed and measured in terms of the following six outcome indicators:

(i) development of National Occupational Standards for relevant trades/occupations in the target sectors;
(ii) increased number of new intakes in the targeted training programs;
(iii) proportion of female intakes in targeted training programs;
(iv) percentage of entrants who completed targeted courses (short courses, certificate, diploma);
(v) improved participation of employers in skills training programs; and
(vi) Satisfaction with skills by trainees in supported firms disaggregated by economic sectors and size.

Components. The above-mentioned objective is to be achieved through the implementation of the following four components (details of all components and implementation arrangements in Annex 1):

- Component 1: Institutionalizing systemic reforms in skills development;
- Component 2: Improving quality and relevance of skills development
- Component 3: Employer-led short-term training and recognition of prior learning
- Component 4: Project Management, Monitoring and Evaluation
II. Objective and Scope of the Assignment for the International Training Institute

The overall objective of this assignment is to support transformation of the Uganda Technical College, Lira (UTC-Lira) into a Centre of Excellence (CoE) in the Highway and Road Construction sector and support its network of up to three (3) VIs to improve the quality of training. This TOR seeks the services of an internationally recognized training institution to provide support to the Uganda Technical College in Lira to become a Centre of Excellence in Highway Engineering & Road Construction, with a focus on road construction trades. The twinning institution is expected to provide continuous on-site technical support to ensure improvement in students’ outcomes and the relevance of training to the needs of the market.

Scope of the Assignment
Under the envisaged twinning arrangement, the training institution will work with UTC Lira to:

a. Finalize UTC Lira’s 5-year Institutional Development Plan (IDP) which is to be supported by the USDP. The plan will outline the specific trades/occupations in road construction that would be the focus on the Colleges’ transformation to a CoE as well as an overall strategic plan for setting the foundations of a CoE outlined under sub-component 2.1 of Annex 1. This includes: 1) updating the CoE’s organizational structure and organizational mandates (and vision/mission statements; 2) strengthening the CoE’s capacity to produce strategic, operational, business, and budget plans; 3) identifying CoE’s manpower requirements; 4) developing human resource development (HRD) plans for the CoE’s management and personnel; 5) prepare a project-gender action plan alongside its Institutional Development Plan.

b. The twinning institution will assist the UTC Lira and selected VIs in adapting its multi-skill competency-based curricula in the selected trades and courses below:

   i. Topographical & Land Surveying
   ii. Road construction & Maintenance
   iii. Bridge Construction Technology
   iv. Materials & Soil Testing Technology
   v. Equipment & Fleet Management
The above adapted courses shall meet Uganda skills needs in the construction sectors, while maintaining its curriculum internationally recognized certification;

Based on the curricular developed under paragraph 1 (a) above, the twinning institution will support the CoE and its selected VIs develop an e-learning module that will deliver courses at Technician, Artisan and Craft level.

The twinning institution will assist with the development of suitable assessment instruments for both soft and sector specific multi-skills aligned to the adapted competency-based curriculum.

While carrying out the activities described in paragraphs 5(a), (b), (c) and (d), the twinning institution will encourage the active participation and guidance of representatives of the employers of the respective trades in these sector to ensure a truly demand-driven process;

The twinning institution will train the CoE’s and selected network VI’s trainers in order to assist with the provision of a cadre of trainers that are prepared and sufficiently motivated to facilitate a teaching-learning process in a competency-based contextual framework (hands-on) and not in a lecture-mode subject content-based framework, which is the traditional way of teaching amongst training providers. In this respect, the twinning institution needs to make sure that teachers have a command in the: (i) occupational competencies associated to the principle of the training; and (ii) the pedagogical approach to transmit the training to the students in an appropriate way including e-learning methods for delivery of module content to the College and the network VIs.

In order to carry out the task described in paragraph 5(f) above, the twinning institution will provide one lead instructor/facilitator and a team of support instructors for each of the multi-skills training courses to be offered at the CoE over a period of three years. The international instructors will not only teach these courses, but will also develop an instructor nationalization plan for their own replacement under an agreed exit strategy (explained below) and be responsible for the College’s national instructor upgrading program;

The twinning institution will train a cadre of qualified trainers at the CoE and network VIs develop and validate relevant, good-quality training and learning materials;

The twinning institution will support and ensure that CoE and VIs design a training workshop with equipment, machinery and tools with appropriate specification in accordance with the curricular and norms of national and international accreditations.
Concurrently with the development of the technical specifications for the acquisition of training equipment, the twinning institution will assist the CoE and network VIs in identifying the minor civil works to upgrade/refurbish the physical space required for the appropriate installation and functioning of this training equipment;

The twinning institution will support and ensure that the CoE and VIs develop a monitoring and management information system to gather, process, trace, analyze and report information on: students, employers, job-placement, time to find a job after graduation, type of occupation and degree of alignment with the training provided, entry salary, career path and employers’ satisfaction; The tracer reporting shall be imbedded in the Management Information System at the CoE linked to the central Management Information System controlled by the MoESTS (Ministry of Education, Science, Technology and Sports).

The twinning institution will assist the CoE and network VIs establish strong and functional linkages with employers of the sector and trades for which the multi-skill training is being provided, including local, regional and umbrella employer representatives of the sector;

The twinning institution will also provide training for instructors of selected VIs (as per sub-component 2.2 in Annex 1). VIs will focus on training in trades that are lower down the value chain and will be supported by the project to procure equipment and upgrade workshops to deliver this training. Instructors from the network VIs will be trained by the education training institution at UTC Lira on the new curricula;

Based on the satisfactorily undertaking of the above mentioned education training tasks, the twinning institution will also strengthen the entrepreneurial capacity in the CoE to identify local training needs and then develop, market, and deliver short “customized training programs” in institute-based or enterprise-based modes, or a combination of both, with the training being provided in the CoE. This entrepreneurial activity is to be provided on a fee-for-services basis with the aim of raising the CoE’s revenue thus contributing to its long term sustainability.

The twinning institution will build capacity of the management team and Governing Council/Board of the CoE and network VIs in monitoring and evaluation, financial management and accountability at the Institutions.

The twinning institution will support the training institutions in adapting the marketing and communication strategy to be developed by the Reform Task Force.
III. Timeframe

The twinning institution will take over this assignment in the second quarter of 2016. The assignment is estimated to be implemented in a maximum of five (5) years from the award of the contract.

IV. Reporting

The twinning institution will report to the Principal of UTC Lira and the Project Coordinator USDP or his/her designee at the project coordination unit, MoESTS.

V. Deliverables

The twinning institution will deliver:

a. An Inception report with a time bound plan of action with clear deliverables, one (1) month after the Award of the contract.

b. A revised Institutional Development Plan for the UTC-Lira about three (3) months after signing the Contract with the MoESTS;

c. Adapted competency-based curriculum package(s) six (6) months after signing the Contract;

d. The training course(s) syllabi(s) eight (8) months after signing the Contract;

e. The assessment instrument(s) 8 months after signing the Contract;

f. Commence training of CoE trainers 12 months after signing the Contract;

g. Prototype modules of training material 12 months after signing the Contract;

h. The technical specifications of the training equipment 8 months after signing the Contract;

i. Recommendations on civil works to upgrade or refurbish classrooms and/or workshops 4 months after signing the Contract;
j. The start up of a monitoring system (computerized management information system with internet connectivity) to follow up graduates 4 months after signing the Contract;

k. Evidence of strong and functional linkages with the employment sector 12 months after signing the Contract;

l. Evidence of a more effective and efficient CoE management and organization 15 months after signing the Contract; and

m. Commence training of network vocational institutes at the CoE 15 months after signing the Contract.

VI. Ministry of Education Science Technology and Sports’ (MoESTS) Input

The MoESTS, through its relevant units/Departments and RTF, will provide the twinning institution the required initial data associated with the USDP in general, and component 2 in particular, as further described in the attached Annex 1 to this terms of reference.

VII. Composition of the Twinning Institution’s Staff Complement

The twinning institution will mobilize the following Team of Experts (Team Leader, Project start-up team and sufficient instructors) to carry out the Scope of Work outlined above:

The Team Leaders should have at least 15 years of experience managing a higher secondary TVET institute or polytechnic. He/she should also have extensive experience with developing and implementing Competency-Based Training (CBT) programs in the highway and road engineering sector. The Team Leader will plan and coordinate all twinning institution expert inputs to ensure the successful implementation of the UTC Lira IDP and component 2 of the USDP. In addition, the Team Leader will:

i. review the CoE’s Strategic Objectives and Institutional Development Plan (IDP) and, based on these, develop an over-arching strategy with the College for implementing the IDP and achieving the CoE’s Strategic Objectives related to program relevance and quality;

ii. coordinate and manage the twinning institution’s start-up team, instructors, and institutional development specialist;

iii. monitor and advise the start-up team on curricula design and modifications;

iv. assist with workshop/laboratory design and workshop equipment specifications;
assist instructors in arranging offshore instructor training for national, counterpart instructors at the twinning institution’s home-base campus;

vi. assist CoE’s better liaison with the employers of the construction sector to ensure their representation on the College’s Governing Council, industrial secondments of CoE’s instructors, and student job placement in industry;

vii. monitor and evaluate the implementation of the transformation of the CoE and the functioning of its respective network;

viii. produce an Inception Report, Quarterly Progress Reports, and Final Report etc.

ix. The Team Leader will report to the CoE’s Principal and the Project Coordinator of the USDP.

**Start Up Facilitators/instructors**

Each expert will be a certified instructor in a specific occupational trade/program and have 15 years curriculum design and teaching experience in the training programs targeted by the UTC-Lira. They will:

i. adapt existing twinning institution curricula for the identified trades, and possibly modify these course materials, based on local road construction sector input (provided through the umbrella employers’ organization), while also ensuring that these materials still maintain their international certification;

ii. provide guidance on workshop design to the engineering firm, appointed by the MoESTS based on curricula and course certification requirements;

iii. provide workshop equipment lists and equipment specifications to the MoESTS and CoE;

iv. identify the types and amounts of consumables materials required for course delivery; and

v. strengthen the CoE’s partnering with industry by working with the local, regional or national employers in the sector and on the College’s Governing Council to obtain employers’ support of workplace instructor training and student job placement.

Other instructors as needed will include.

**Topographical & Land Surveying Lecturer**

The Lecturer should have 10 years experience in lecturer training, training delivery, and be familiar with Competency-Based Training (CBT). The Lecturer will:

i. introduce and teach an internationally certified, diploma/certificate program in Topographical & Land Surveying

ii. develop a program for national lecturer training through team-teaching and mentoring to teach the Topographical & Land Surveying program

iii. develop with the construction sector a secondment program to provide, Topographical & Land Surveying national lecturers with practical, hands-on, industrial experience;
iv. develop and assist the Team Leader with the implementation of an offshore training program, which will send 4 national lecturers to the twinning institution’s campus for short term upgrading in Topographical & Land Surveying
v. provide pedagogical support and assistance to national lecturers to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;
vi. develop standardized formats for expatriate and national lecturers to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SOA);
vii. assist UTC Lira with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place graduates in Topographical & Land Surveying, which addresses sector needs;
viii. assist UTC Lira with the development of business plans (and marketing) for “customized” courses, so that the College might generate additional income on a fee-for-services basis.

Road construction & Maintenance Lecturer The Lecturer should have 10 years experience in lecturer training, training delivery, and be familiar with Competency-Based Training (CBT). The Lecturer will:
i. introduce and teach an internationally certified, diploma/certificate program in Road construction & Maintenance;
ii. develop a program for national lecturer training through team-teaching and mentoring to teach the Road Construction & Maintenance program
iii. develop with local construction companies a secondment program to provide Road Construction & Maintenance, national counterpart lecturers with practical, hand-on, industrial experience;
iv. develop and assist the Team Leader with the implementation of an offshore training program, which will send 4 national lecturers to the twinning institution’s campus for short term upgrading in Road Construction & Maintenance;
v. provide pedagogical support and assistance to national, lecturers to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;
vi. develop standardized formats for expatriate and national lecturers to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SOA);
vii. assist UTC Lira with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place graduates in construction work, which addresses sector needs;
viii. assist UTC Lira with the development of business plans (and marketing) of “customized” courses, so that the College might generate additional income on a fee-for-services basis.
**Bridge Construction Technology Lecturer** The Lecturer should have 10 years experience in lecturer training, training delivery, and be familiar with Competency-Based Training (CBT). The Lecturer will:

i. introduce and teach an internationally certified, diploma/certificate program in Bridge and Calvert Construction;

ii. develop a program for national lecturer training through team-teaching and mentoring to teach the Bridge Construction program;

iii. develop, with local road and Highway construction companies, a secondment program to provide Bridge Construction national counterpart lecturers with practical, hand-on, industrial experience;

iv. develop and assist the Team Leader with the implementation of an offshore training program, which will send 4 national lecturers to the twinning institution’s campus for short term upgrading in Bridge Construction technology;

v. provide pedagogical support and assistance to national, lecturers to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;

vi. develop standardized formats for expatriate and national lecturers to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SOA);

vii. assist UTC Lira with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place graduates in construction industry;

viii. assist UTC Lira with the development of business plans (and marketing) of “customized” courses, so that the College might generate additional income on a fee-for-services basis.

**Materials & Soil Testing Technology Lecturer** The Lecturer should have 10 years experience in lecturer training, training delivery, and be familiar with Competency-Based Training (CBT). The Lecturer will:

i. introduce and teach an internationally certified, diploma/certificate program in Materials & Soil Testing Technology;

ii. develop a program for national lecturer training through team-teaching and mentoring to teach the Materials & Soil Testing Technology program;

iii. develop with local construction companies a secondment program to provide Highway Construction national counterpart lecturers with practical, hand-on, industrial experience;

iv. develop and assist the Team Leader with the implementation of an offshore training program which will send 4 national lecturers to the twinning institution’s campus for short term upgrading in Materials & Soil Testing Technology.
v. provide pedagogical support and assistance to national, lecturers to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;

vi. develop standardized formats for expatriate and national lecturers to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SoA);

vii. assist UTC Lira with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place graduates in Materials & Soil Testing Technology work;

viii. assist UTC Lira with the development of business plans (and marketing) of “customized” Programs so that the College might generate additional income on a fee-for-services basis.

a. Equipment and Fleet Management Lecturer The Lecturer should have 10 years experience in lecturer training, training delivery, and be familiar with Competency-Based Training (CBT). The Lecturer will:

i. introduce and teach an internationally certified, diploma/certificate program in Equipment and Fleet Management;

ii. develop a program for national lecturer training through team-teaching and mentoring to teach the Equipment and Fleet Management program;

iii. develop with local Road construction Equipment companies a secondment program to Equipment and Fleet management, national counterpart lecturers with practical, hand-on, industrial experience;

iv. develop and assist the Team Leader with the implementation of an offshore training program, which will send 4 national lecturers to the twinning institution’s campus for short term upgrading in Equipment and Fleet Management;

v. provide pedagogical support and assistance to national, lecturers to ensure the successful introduction and implementation of Competency-Based Training (CBT) and Assessment;

vi. develop standardized formats for expatriate and national lecturers to document student work to facilitate outside assessors and student certification such as issuance of a Statement of Attainment (SoA);

vii. assist UTC Lira with the establishment of a Student Placement Unit, help it build links with industry, and assist unit staff to place graduates Equipment and Fleet Management work;

viii. assist UTC Lira with the development of business plans (and marketing) of “customized” programs so that the College might generate additional income on a fee-for-services basis.
The Institutional Capacity Development Specialist should have 10 years experience in human and institutional capacity development in Technical and Vocational Education and Training (TVET). He will:

i. assist UTC Lira to update its mission and vision statements, develop its organizational structure, update work unit organizational mandates, determine the College’s manpower requirements and develop and implement a Human Resource Development (HRD) plan for UTC Lira management and staff;

ii. provide tools, formats, and procedures strengthening UTC Lira’s capacity to produce strategic, annual operational, and supporting budget plans;

iii. strengthen UTC Lira industry liaison and student job placement unit to better place the College’s graduates in industry and to conduct follow-up studies on graduates;

iv. strengthen entrepreneurial capacity in UTC Lira, so that it can better identify training needs in the Highway & Road Construction sector and develop, market, and deliver short “customized training programs” in institute-based or enterprise-based modes, or a combination of both to meet these needs on a fee-for-services basis in order to raise revenue for UTC Lira long term sustainability;

v. build capacity in UTC Lira management to develop strong business cases for proposed activities in order to access, donor organizations, and service companies.

VIII Qualification requirements

The twinning institution needs to provide evidence of:

i. Its recognized experience in delivering occupational competency-based training in the highway engineering and road construction trades, specifically for road construction trades in the last 15 years in a scale involving at least 2000 students/per calendar year;

ii. Accreditation of its training and alignment to international benchmarking;

iii. Key indicators on student outcomes (e.g., continuous assessment scores, exam scores, graduation rates, cost per student per year, cost per hour of instruction);

iv. Placement rates of its graduates in jobs related to the nature of their training;

v. Having past experience in the last 5 years in providing twinning arrangements to other training institutions in developing countries outside their home country (preferably in Africa) covering the envisaged tasks described in paragraphs 1 (a), (b), (c), (d) (e), (f), (g), (h), (i), (j), (k) (l), (m), (n);

vi. Being legally established and registered with any Government as a training provider including a tax identification number if they are obliged to pay taxes on an annual basis;

vii. Being up to date with their fiscal responsibilities (payment of taxes);
viii. Being in existence for at least seven (7) years prior to the date of the competitive cycle;
ix. Having the qualified human resources comprising the envisaged College Staff as described in Chapter VII of these ToRs; and
x. Its ability to deliver its envisaged twinning tasks in English

In addition, interested International Twinning Institutions will need to present a draft business plan with preliminary costing on how it intends to carry out the envisaged tasks described in paragraph 5 (a) to (p) and produce the deliverables under section V.

**Annex 1: Details of Project Components:**

**Component 1** aims to transform the Ugandan Business, Technical, and Vocational Education Training (BTVET) system from an educational sub-sector into a comprehensive system of skills development for employment, enhanced productivity and growth. It emphasizes on a paradigm shift for skills development, which essentially aims at realigning the policy and institutional framework as well as investment in skills development to transform the current supply-driven system to a robust sustainable dynamic demand driven skills development system that would respond to the skills needs of the growing Ugandan economy. Systemic reform in the sector is critical to realigning the delivery system without which investment in up-grading training institutions will eventually result in further reinforcing the existing supply driven system.

The targets aimed by Component 1 are to be achieved through the implementation of the following 3 sub-components.

- Sub-component 1.1. Establishment of Sector Skills Councils and Developing foundations of the skills development authority
- Sub-component 1.2. Alignment and strengthening of the assessment system
- Sub-component 1.3. Establishment of a Management Information System for BTVET
- Sub-component 1.4. Communication and marketing for BTVET subsector

Systemic reform activities proposed under Component 1 are key to the success of Component 2 and 3.

**Component 2** seeks to develop 4 colleges to eventually become Centers of Excellence (CoE) offering high quality competency-based training for artisans (low-level), craftsmen (medium-level) and technicians (higher-level) to equip them with skills demanded by selected trades/occupations in the manufacturing, construction, and agro-processing sectors of the Ugandan economy. In addition, at least 12 public vocational training institutes will be targeted...
to provide relevant and high quality training for artisans, and craftspersons in order to increase access to training by the general public.

This component will address the current baseline functional and structural weaknesses of BTVET institutes in the country by transforming three selected UTCs and one agriculture college into COEs enabling them to: (i) introduce multi-skill occupation relevant demand-driven training in key trades of the construction, manufacturing and agriculture sectors along the corresponding competency-based curricula and assessment instruments to be carried out by an independent third qualifying party; (ii) significantly increase their intake capacity as well as their completion and certification rates; (iii) develop professional capacity of trainers in tune with the curricula; (iv) develop of appropriate textbooks, and teaching and training aids; (v) establish new and/or refurbished training workshops, classrooms and other facilities including appropriate training equipment for soft and sector specific multi skills; (vi) develop and implement an educational management system to track students; (vii) establish strong partnership with employers and industries in many respects, and (viii) undertake reform in the management of the institution and financial management.

The targets aimed by Component 2 are to be achieved through the implementation of the following 3 sub-components.

- Sub-component 2.1. Establishment of Centers of Excellence
- Sub-component 2.2. Support to public vocational training institutes (VIs)
- Sub-component 2.3. Twinning Arrangement for establishment of Centers of Excellence and networks

**Sub-component 2.1.** Under this sub-component, three Uganda Technical Colleges (UTC)-Elgon UTC, Bushenyi UTC, Lira UTC and the Bukalasa Agricultural College will be targeted to eventually become Centers of Excellence (CoE) with the characteristics and functions illustrated in Annex 3 of the PAD. By the end of the project, it is expected that the foundations for becoming a CoE have been established though it will take several more years for the Colleges to actually function like a CoE. The targets set for the CoEs during the life of the project will be achieved through forging a partnership with an international recognized twinning partner institute to support the implementation of the following key activities: (i) Improving institutional governance; (ii) enhanced equity; (iii) Design and adaptation of demand driven competency-based curriculum and assessment system to international standards; (iv) Training for faculty and staff, and development of training and learning materials; (v) Establish and upgrade physical infrastructure, including civil works and establishment of modern workshops and classrooms with latest equipment and machinery and multi-media facilities; and (vi) Support to improve management and monitoring.
mechanisms within the CoEs. The functions of the twinning partner are detailed in Sub-component 2.3.

The CoEs will finance chosen trades and develop competency-based training courses, perhaps no more than five per CoE, during the life of this project. These courses would be validated by the employers of the relevant sectors through the auspices of the corresponding Sector Skill Council (SSC). As mentioned in Component 1, the SSCs in the sectors to be addressed by component 2 are being established by the Reform Task Force and will be formally included as part of the Skills Development Authority (likely during the second semester of 2016).

Sub-component 2.2 will support selected public vocational institutes (VIs) to strengthen their capacity to respond to the needs and opportunities of the labor market, including delivery of short-term training courses, and improve the quality of the training being offered. The training will primarily be in artisan and craftsman trades that are lower down the value chain whereas component 2.1 focuses on training for craftsman trades and technicians.

Sub-component 2.3: Twinning Arrangement for establishment of Centers of Excellence and networks. Technically qualified institutions will be selected through an international competitive process to act as twinning partners responsible for providing all necessary support to help selected Colleges grow into “Centers of Excellence”. The partner institutions will also be responsible for providing support to the network institutions in order to improve quality of training. The partner institutions will prepare a time-bound detailed plan of action with clear deliverables. Once approved by the MoESTS and the IDA, the MoESTS will ensure that the partners do not face procedural bottlenecks in implementing the approved work plan.

Broadly, the partner institutions will be responsible for, but not limited to; (i) training and support for management reform; (ii) designing, with industry inputs, competency-based training curricula for craftsman, artisan and technician courses in the selected sectors; (iii) supporting the CoEs and network VIs adopting the new curricula; (iv) training the faculty and staff of the CoEs and network institutes on the new curricula; (v) helping the CoEs and network VIs design training workshops with equipment, machinery and tools with appropriate specifications in accordance with the curricula and the norms of national and international accreditation; (vi) advising the CoEs and VIs on training-learning materials for students and teachers; (vii) assisting CoEs with employer engagement, student counseling, placement and tracing, student internship with industries. The partnership is expected to last for about 4 years for each CoE and twinning institution.
Implementation arrangements of the USDP in general, and of Component 2, Specifically oversight and advisory support will be the responsibility of a multi-sectoral Steering Committee (SC) comprising of members of relevant government Ministries and representatives from the workers associations and employers within the target sectors. The Permanent Secretary/Secretary to Treasury of the Ministry of Finance, Planning and Economic Development (MoFPED) will Chair the SC, while the representative of the MoESTS will act as the Secretariat of the SC. The SC will be established no later than three months after the Project is effective.

There are two implementing agencies within the GoU, the MoESTS and the MoFPED. The MoESTS will be responsible for the implementation of: (a) Component 1 through the Skills Development Authority (SDA) when established, and in the interim period, the Technical Vocational Education and Training (TVET) Reform Task Force (RTF) housed within the MoESTS; and (b) Components 2 and 4 through a Project Coordination Unit (PCU1) accountable to the MoESTS, whose organization, staffing, attributions and responsibilities are fully described further down; and The MoFPED will be responsible for the implementation of Component 3 and 4 (under a shared responsibility with the PCU1 of the MoESTS) through the Private Sector Foundation of Uganda (PSFU) housed in the MoFPED and supported by a Project Coordination Unit (PCU2).

A Project Coordination Unit (PCU1) accountable to the Permanent Secretary of the MoESTS or his/her designee, financed by the USDP, will be established in the MoESTS with the fundamental aim of supporting all education projects financed through IDA. The PCU1, will be headed by the Commissioner of Planning at the MoESTS and will be responsible and accountable for day-to-day project management and implementation of the IDA portfolio (including the Albertine Region Sustainable Development Project (ARSDP), the GPE-financed Teacher and School Effectiveness Project (UTSEP), the USDP and any other forthcoming IDA project).

The PCU1 will include: (i) One Project Coordinator (PC), a senior officer seconded from the MoESTS under terms of reference satisfactory to IDA and one Deputy Project Coordinator (DPC) financed jointly by the ARSDP and SDP; and (ii) supported by a financial management specialist, procurement specialist, safeguards specialist, civil works specialist; communications specialist, a skills advisor and a monitoring and evaluation specialist. Each of these specialists will be financed by the Project according to ToRs satisfactory to IDA following the selection procedures set for in the SDP financial agreement. The MoESTS will hire all the above mentioned core staff and have a fully operational PCU prior to effectiveness of the credit.
Component 1 will be implemented by the RTF and subsequently by the SDA when it becomes operational. The fiduciary and safeguards support of Component 1 will be provided by the PCU1.

The MoESTS will implement Component 2, including its three sub-components, through the PCU1 according to the following implementation arrangements. Sub-component 2.1 will be implemented by the four selected public training colleges to be transformed into centers of excellence - Elgon, Bushenyi, Lira and Bukalasa – under the close coordination and monitoring of the PCU1 and with the intensive technical support of qualified international competitive-based training providers selected and retained under a twinning partnership arrangement attuned to terms of reference satisfactory to IDA. Sub-component 2.2 will be coordinated and supported by the PCU1, and implemented by 12 vocational institutes (VIs) to be selected in a competitive fashion following selection criteria and procedures set for in the USDP Operational Manual. Completion of an Operational Manual that is satisfactory to the IDA will be a condition of effectiveness of the credit.

Sub-component 2.3 will be coordinated by the PCU1 and implemented by reputable technically qualified institutions to be selected through international competitive process following the procedures set for in USDP Financial Agreement and the USDP Operational Manual. These institutions will act as twinning partners responsible for providing all necessary support to help: (a) the training colleges under sub-component 2.1 to grow into “center of excellence (COE)” with the operational characteristics listed in Annex 3 of the PAD and enable each COE perform its critical functions; and (b) the 12 VIs under sub-component 2.2 to appropriately and timely respond to the needs and opportunities of the labor market, including delivery of short-term training courses, and improve the quality of the training being offered.
Annex 2: Information of UTC Lira

1 Background
The College is situated on a campus of 1000 acres which is located approximately 1 km away from Lira on the Lira–Soroti Road. It was established in 1945 as a Junior Technical School for war veterans providing training in bricklaying, concreting, carpentry, painting, electrics and motor vehicle mechanics. On completion of the courses the College would award Junior Technical Certificates. During this period, enrollment was between 100-150 students. In 1972, the College became a technical institute before becoming a Uganda Technical College in 1984 offering diploma in civil, mechanical and electrical engineering programmes.

2 Governance and Administration

“Governance” here refers to the organizational and regulatory framework between the Ministry of Education, Science Technology and Sports (MoESTS) and UTC- Lira.

Uganda Technical College Lira is a recognized public tertiary institution under the MoESTS under the direct supervision of the Department of BTVET. The Universities and other Tertiary Institutions Act, 2001 gives the following as the core functions of a public tertiary institution to:

(i) to provide full-time and part-time courses of study and training in such fields of applied learning and research as the Minister may specify in the instrument establishing the institution;

(ii) arrange and organise conferences, seminars, workshops and study groups in its field of operation;

(iii) perform such other functions as may be directed by the Minister on the advice of the National Council in the promotion of higher education.

The Governing Council plays an oversight role in the governance of the College. The Council draws its mandate from the Universities and Other Tertiary Institutions Act, 2001 (as amended in 2003 and as amended in 2006) article 77. The law does not explicitly state representation from the construction sector and/or employers of the UTC graduates.

3 Training Programs
The College like other UTCs is currently running National Diploma programs as mandated by MoESTS and a Higher Diploma program in Civil Engineering having phased out certificate programs. It does not currently offer any short term courses that respond to market needs. All the programmes were developed/reviewed by the National Curriculum Development Centre with the financial support of the Royal Netherlands Government under the project “Strengthening the Institutional Capacity of Uganda Technical Colleges, NPT/UGA/171”. The programs emphasise practical training “with real life” projects as the core of the training with the aim of producing skilled graduates.
Assessment of students is done both locally, through coursework assessment, which contributes 40% to the final grade and through national semester examinations administered by Uganda Business and Technical Examinations Board (UBTEB) which contribute 60% to the final grade. The training programs also provide a 12 week industrial training (IT) session at the end of every academic year and this is a complete module on its own. The IT is assessed by both college staff and industry-based staff.

National Diploma programmes require a candidate to have either
(d) an Advanced Craft Certificate in the relevant field of study or
(e) an advanced level certificate with a minimum of one Principal Pass and two subsidiary passes obtained at the same sitting or
(f) a degree in Physical Sciences.

The college also offers short (tailor made) courses offered on request.

### 4 Student Enrollment

There are currently 685 students enrolled at the college of whom 320 are supported by the GoU. Only 49 of the enrolled students are female, falling below the 30% target put in place by the Government.

The general student enrollment has been growing over the last years.

**Table 1. Students Enrolled at UTC Lira 2011 to 2013**

<table>
<thead>
<tr>
<th>Programme Title</th>
<th>Duration of Training (Months)</th>
<th>Accreditation Body</th>
<th>Number of Trainees</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Total</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>2011</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>FT  P T</td>
</tr>
<tr>
<td>Higher diploma in civil</td>
<td>18</td>
<td>NCHE</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>45</td>
</tr>
<tr>
<td>National Diploma</td>
<td>18</td>
<td>NCHE</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>48</td>
</tr>
<tr>
<td><strong>Total Enrollment</strong></td>
<td></td>
<td></td>
<td><strong>534</strong></td>
</tr>
</tbody>
</table>

From the table it can be seen that the College has experienced growth in the number of those enrolled over the past three years. This increase has been accompanied by a 90% increase in the number of females attending the college although they make up only 11% of those currently enrolled.

The number of Females in the year 2012 was 26 but drastically after the massive National Campaign it increased by 23 to 49 representing 90% drastic increment.

The campaign is ongoing to:-
Reverse the fear for mathematics and science among Primary and Secondary females, yet the Mathematics and Science are the entry requirements for the programmes offered at the Colleges.

Reverse the dislike of Technical programmes considering them as manual, dirty and for males to pursue programmes at the College.

Consider 1.5 additional points as advantage for Females while selecting new students.

Campaign it increased by 23 to 49 representing 90% drastic increment

The Providing special Security, privacy and comfort for female accommodation.

Providing recreational facilities for females

Market the College female Graduates in the world of works.

5 Human Resource Management

The current approved human resource establishment provides for 40 teaching staff however, currently there are just 30 members of the academic team as shown in Table 2. Of these 30 members of staff, 12 are full time with 11 of those being employed by the Government and one by the College. The remainder consists of part-time employees. In addition to this, there are twenty-two support staff who run the administration of the College.

<table>
<thead>
<tr>
<th>Trainer’s Status</th>
<th>Males</th>
<th>Females</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Civil Servants / Permanent</td>
<td>10</td>
<td>1</td>
<td>11</td>
</tr>
<tr>
<td>School-ContractedEmployees</td>
<td>-</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Part-Time</td>
<td>18</td>
<td>-</td>
<td>18</td>
</tr>
<tr>
<td>Others</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Total</td>
<td>28</td>
<td>2</td>
<td>30</td>
</tr>
</tbody>
</table>

Many of the instructors have limited hands-on practical experience in the industry. In addition to this, over half of the staff do not have formal teaching qualifications.

6 Financial management

A summary of the College’s financial position has been provided below which outlines the operating revenue and expenses.

<table>
<thead>
<tr>
<th>Revenue</th>
<th>FY14</th>
<th>FY13</th>
<th>FY12</th>
</tr>
</thead>
</table>
### Total Number of Students Enrolled

<table>
<thead>
<tr>
<th></th>
<th>720</th>
<th>685</th>
<th>647</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenue</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Government Grants</td>
<td>662,589,304</td>
<td>947,684,732</td>
<td>997,093,284</td>
</tr>
<tr>
<td>Special Grants</td>
<td>57,118,413</td>
<td>78,242,077</td>
<td>67,650,000</td>
</tr>
<tr>
<td>Self-generated Revenue</td>
<td>1,125,852,600</td>
<td>902,649,150</td>
<td>907,566,720</td>
</tr>
<tr>
<td>Construction Grants &amp; Sales</td>
<td>218,957,200</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total Revenue</strong></td>
<td><strong>2,064,517,517</strong></td>
<td><strong>1,928,575,959</strong></td>
<td><strong>1,972,310,004</strong></td>
</tr>
</tbody>
</table>

### Expenses

<table>
<thead>
<tr>
<th></th>
<th>720</th>
<th>685</th>
<th>647</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salary and other employment compensation</td>
<td>314,640,973</td>
<td>345,383,909</td>
<td>368,900,613</td>
</tr>
<tr>
<td>Direct Teaching and training Expenses</td>
<td>376,322,250</td>
<td>547,492,090</td>
<td>455,555,545</td>
</tr>
<tr>
<td>Other Education Expenses</td>
<td>598,951,053</td>
<td>717,786,510</td>
<td>584,513,770</td>
</tr>
<tr>
<td>Support services</td>
<td>347,943,584</td>
<td>191,879,173</td>
<td>239,347,560</td>
</tr>
<tr>
<td>Utility, Supply and Maintenance</td>
<td>189,932,790</td>
<td>142,971,400</td>
<td>234,222,906</td>
</tr>
<tr>
<td>Construction</td>
<td>218,957,200</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total Expenses</strong></td>
<td><strong>2,046,747,850</strong></td>
<td><strong>1,945,513,082</strong></td>
<td><strong>1,882,540,394</strong></td>
</tr>
</tbody>
</table>

**Surplus/ (deficit)**

<table>
<thead>
<tr>
<th></th>
<th>720</th>
<th>685</th>
<th>647</th>
</tr>
</thead>
<tbody>
<tr>
<td>Surplus/ (deficit)</td>
<td><strong>17,769,667</strong></td>
<td><strong>(16,937,123)</strong></td>
<td><strong>89,769,610</strong></td>
</tr>
</tbody>
</table>

Additional information has been included below to describe the items above where necessary:

- **Special Grants**: The majority of the amounts in the special grants section were provided as a training fund from the Government.
- **Self-Generated Revenue**: This includes the amount charged by the College for student upkeep, tuition and additional charges such as exam registration fees.
- **Other Education Expenses**: Examination registration fees with the relevant accreditation body as well as student welfare expenses are captured under the other education expenses section.

Over the last three years, the College has increased its self-generating revenue by 24% which has offset the significant fall in Government grant funding. The Government grant funding element of revenue has declined from 51% in 2012 to 32% in 2014.

The Governing Council is responsible for budget approvals and monitoring of financial performance. Auditing of financial reports and records is conducted by the Office of the Auditor General on an annual basis.
Although the percentage of internally generated revenue has been increasing over time, the College derives most of its funding from Government contributions. Over the last three years, however, the percentage of government contributions has reduced from 63% to 59%. It is expected that over the coming years this trend will continue with the College having to generate its own funds to meet its operational expenses. The main source of internally generated funds is fees charged from students and this cannot sustain the operations of the College as most of the students come from families with a low economic background.

The College still operates manually managed financial records which may lead to loss of revenue and/or inaccuracy in financial reporting.

The Governing Council is responsible for budget approvals and monitoring of financial performance. Auditing of financial reports and records is conducted by the Office of the Auditor General on an annual basis.

7 Procurement Management
The College, like many other Government departments, is expected to follow the PPDA Act 2003 in its procurement management. However, the College lacks qualified procurement officers to effectively handle procurement business. In cases where procurement is large the College has to enlists the support from the MoESTS or sister institutions.

8. Physical Infrastructure
The current infrastructure at UTC Lira has been detailed below:

<table>
<thead>
<tr>
<th>Type of Building</th>
<th>How Many</th>
<th>No. of Seats or Work Stations</th>
<th>Permanent Building</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ordinary Classrooms</td>
<td>12</td>
<td>480</td>
<td>480</td>
</tr>
<tr>
<td>Specialised Classrooms</td>
<td>Nil</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Workshops / Laboratories</td>
<td>7</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Multimedia Resource Unit</td>
<td>NA</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Offices (buildings)</td>
<td>1</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>Library</td>
<td>1</td>
<td>30</td>
<td>30</td>
</tr>
<tr>
<td>Student Dormitory</td>
<td>9</td>
<td>600 beds</td>
<td>600</td>
</tr>
<tr>
<td>Staff Accommodation Houses</td>
<td>26</td>
<td>-</td>
<td>26</td>
</tr>
</tbody>
</table>

The list of key facilities and services are as follows:

i. **Buildings:** There are 12 classrooms with total capacity for 480 students, 5 workshops, 2 laboratories, 10 offices, 1 library with 40 seating capacity and 9 student dormitories with 600 beds and 26 staff houses. Of the existing buildings, one building has been condemned, walls are cracked in carpentry and joinery workshops, the double story dormitory has also developed cracks, and the staff quarters require various degree of renovations.
ii. **Electricity**: Linked to national grid, 3 phase. Back-up generator of low capacity to power 5 computers. Solar power for the library and principal’s house.

iii. **Water-supply**: Linked to the national grid. The supply is augmented by water harvesting equipment. Underground tank capacity is 200,000 liters.

iv. **Sewerage**: The Sewerage is not connected to the mains, and the cost of emptying is too high. One solution is to connect to the main sewer, which is located 1.5 km away.

v. **Drainage**: There is no water drainage system on site. The College depends upon natural drainage, which has previously caused flooding in some staff quarters.

vi. **Boundary wall**: There is no boundary wall.

9. **Physical Education and Sports Management**

The College has a functional Physical Education and Sports department headed by a College Governing Council Employed Games Tutor. There is infrastructure namely Two football pitches, one netball pitch, two volleyball courts and a basket ball court to support Physical Education and Sports.

The College organizes Games and Sports activities within and outside the College competing per program of the College and with neighboring Institutions and National Colleges annually. Unfortunately the activities are not adequately funded and worse still the College has no transport facilities to transport students and staff to participate in major events away from the College.

10. **Health, Safety and Security Management**

**Health:**

Health and Safety are important aspects of training. The College has a medical Centre with a six number inpatient beds accommodation, a Laboratory, a Doctors room, and out patient’s room managed with two Governing Council Nurses. The facility is enough for the increasing number of students. The severe patients are always referred to a Regional referral Hospital which is three kilometers away.

**Safety and Security Management.**

The College employs four watchmen and hires armed private security guards, to oversee the Security of the College Buildings, Equipment, staff & Students and land. The premises are secured with chain link fencing and a strong metallic gate and security lights are all over the Buildings.

The security Department is headed by a Security Officer and coordination of Security is done quickly by phone to the District Central police station which is two kilometers away from the college.

The fire protection is by K-Fire group which regularly refills / replaces the fire fighting equipment on hire basis.

11. **Gender and Equality Mainstreaming**

**Gender:**

The 2013 enrolment figures shows only 49 of UTC – Lira’s total enrolment of the 685 students is considerably at 7% in 2013 which is considerably smaller than the 30% target set by the National Campaign. However the College is working to increase the percentages of females.
enrolled for example by the newly constructed Hostel with Security, Privacy, recreational playground and a 1.5 additional points at entry to attract more females.

Equity mainstreaming,
Currently the College is only enrolling students who have successfully completed “A” Level with a Principal in either Mathematics or Physics and two subsidiaries in science subjects or with Advance Craft certificate in related disciplines as entry levels to peruse two years programmes leading to Diploma awards.

This excludes a bigger population which has not attained the stated entry levels.

The College has plans to widen access through recognizing of prior learning (RPL) programmes which recognizes previous work experience who will take a shorter time. The current National Diploma programmes at the College are conducted during the week days i.e. Monday to Friday and only week end for Higher Diploma programmes in the future the plan is to mount week end programmes for both National Diploma and Higher Diploma to cater for the working groups.
Annex 2: Information of UTC Elgon

1 Background
UTC Elgon is located in eastern Uganda approximately 14 km from Mbale on the Mbale - Budadiri road. The College is situated in an area of 200 acres over two sites separated by a road. It was established in 1931 as a Technical School to provide technical training in bricklaying, concreting and carpentry for war veterans. The school gained Technical Institute status in 1972 before becoming a Technical College in 1984, offering diploma courses in the field of engineering. Currently, certificate and diploma programs are offered in a variety of engineering fields. The College is a public tertiary institution aided by the Government under the MoESTS. It is managed by a governing council of 16 members appointed by the MoESTS.

2 Governance and Administration

Uganda Technical College Elgon is a recognised public tertiary institution under the Ministry of Education, Science Technology and Sports under the direct supervision of the Department of BTVET. The Universities and other Tertiary Institutions Act, 2001 gives the following as the core functions of a public tertiary institution:

4. to provide full-time and part-time courses of study and training in such fields of applied learning and research as the Minister may specify in the instrument establishing the institution;

5. to arrange and organise conferences, seminars, workshops and study groups in its field of operation;

6. To perform such other functions as may be directed by the Minister on the advice of the National Council in the promotion of higher education.

7. The Governing Council plays an oversight role in the governance of the College. The Council draws its mandate from the Universities and Other Tertiary Institutions Act, 2001 (as amended in 2003 and as amended in 2006) article 77. The law does not explicitly state representation from the manufacturing sector and/or employers of the UTC graduates. Only two persons could be linked to the field of study (clause 2 (c)).

v) Appointment of Governing Members

The members of the Governing Council are nominated by the respective constituencies on request by the College, and appointed by the Minister of Education and Sports. The structure of the College is currently linked to the MoESTS and without a direct link to industries or employers.

vi) The Management of the College

UTC Elgon is managed by the Principal who is the Accounting Officer of the College. The College has a Top Management Committee comprising of nine members, the Deputy Principal, Registrar, Dean of
students, Accountant, Senior Accounts Assistant, Institution relations Officer, Human resource officer, Librarian and the Principal. The College also has academic & non-academic departments and sections, an Academic board to manage training affairs, Contracts Committee to manage procurement, and a Disciplinary Committee.

3 Training Programs

Currently the college offers two year National Diploma and certificate programmes in the subjects listed below. The Curriculum for each of these courses has been developed by the National Curriculum Development Centre (NCDC) on behalf of the Technical Colleges. NCDC hires experts from Technical Institutions and other Institutions/Universities to develop the Curriculum.

Once the curriculum has been developed by NCDC with technical input from the Colleges, it is presented to the Academic Board of the College for approval and later to the Governing Council for approval. Then Governing Council thereafter presents the Curriculum to NCHE for accreditation.

The Programs offered by the College include:

- National Diploma in Building and Civil Engineering
- National Diploma in Mechanical Engineering
- National Diploma in Electrical Engineering
- National Diploma in Water Engineering
- National Diploma in Architecture
- National Diploma in Refrigeration and Air Conditioning
- National Diploma in Information and Communication Technology
- Higher Diploma in Civil Engineering
- Certificate in Block Laying
- Certificate in Electrical Installation
- Certificate in Fitter Machinist
- Certificate in Plumbing
- Certificate in Motor Vehicle Technician
- Certificate in Carpentry and Joinery

National Diploma programmes require a candidate to have either:

(a) An Advanced Craft Certificate in the relevant field of study

(b) An Advanced Level Certificate with a minimum of one Principal Pass and two subsidiary passes obtained at the same sitting or
(c) A degree in Physical Sciences

4 Student Enrollment

The Government Sponsored students are selected by the Joint Admissions Board (JAB) and the Private students are selected by the College Academic Board. As shown in table 1, the general student enrolment has been growing over the last four years.

Students data is managed through a paper system as there is currently no computerized data management system.

Table 1 below shows the College enrolment from 2011-2014

The following can be deduced from the table:

(a) There has been a 152% increase in student enrolment since 2011.
(b) That the number of female students has increase by 271% over the period under consideration.
(c) That only 10% of students in the college are female.
(d) That programmes that support the construction sector have realized tremendous increment in numbers than the other sectors. For example Civil and Building Engineering had its enrolment increase by 314% while Electrical Engineering had its enrolment increase by 99%.

5 Human Resource Management

The College had a total of 85 staff in January 2015. 48 were fulltime staff and 37 were temporary on the Governing Council payroll. The College is supposed to have 105 staff appointed by Education Service Commission (ESC) and thus the College had a staffing gap of 57 staff.

The teaching and non-teaching staff face a number of challenges including the following:

- Low salaries, erratic and irregular payment of salaries as well as delays in payment. This has led to high staff turnover and absenteeism.
- Inadequate and dilapidated staff accommodation.
- Lack of funding for upgrading and refresher courses

The staff on the Government payroll are recruited by ESC while the Part –Time/Contract staff are recruited by the Governing Council through its Appointments Committee.

(a) Academic Staff
<table>
<thead>
<tr>
<th>Programme Title</th>
<th>Duration of Training (months)</th>
<th>Accreditation Body</th>
<th><strong>NUMBER OF STUDENTS</strong></th>
<th><strong>FEMALES</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>National Diploma in Civil &amp; Building Engineering</td>
<td>2</td>
<td>UBTEB</td>
<td></td>
<td></td>
</tr>
<tr>
<td>National Diploma in Electrical Engineering</td>
<td>2</td>
<td>UBTEB</td>
<td>83</td>
<td>78</td>
</tr>
<tr>
<td>National Diploma in Water &amp; Sanitation Engineering</td>
<td>2</td>
<td>UBTEB</td>
<td>26</td>
<td>62</td>
</tr>
<tr>
<td>National Diploma in Mechanical Engineering</td>
<td>2</td>
<td>UBTEB</td>
<td>24</td>
<td>37</td>
</tr>
<tr>
<td>National Diploma in Architectural</td>
<td>2</td>
<td>UBTEB</td>
<td>15</td>
<td>53</td>
</tr>
<tr>
<td>National Diploma in Refrigeration &amp; Air Conditioning</td>
<td>2</td>
<td>UBTEB</td>
<td>09</td>
<td>07</td>
</tr>
<tr>
<td>National Diploma in information &amp; Communic</td>
<td>2</td>
<td>UBTEB</td>
<td>02</td>
<td>12</td>
</tr>
</tbody>
</table>
The human resource plan below indicates the existing department and staff, including workshop/lab assistants, administrative staff, required in view of the reorganization. The certificate courses are being reintroduced and need new human resource.

Table 2: Staffing Level 2014/15

<table>
<thead>
<tr>
<th>S/N</th>
<th>DEPARTMENT</th>
<th>TITLE</th>
<th>GOU &amp;MoESTS APPOINTED STAFF</th>
<th>STAFF RECRUITED BY GOVERNING COUNCIL</th>
<th>TOTAL STAFF EMPLOYED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Approved Posts</td>
<td>Filled Posts</td>
<td>Vacant Posts</td>
</tr>
<tr>
<td>1</td>
<td>Administration</td>
<td>Principal</td>
<td>1</td>
<td>1</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Typists</td>
<td>2</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>----------------</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>Office attendant</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Deputy principal</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>HRM</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>Personal Secretary</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>Assistant Secretary</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>Registrar</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Dean</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>2 Accounts</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accountant</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Senior Accounts Assistant</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Senior Stores Assistant</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Cashier</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>3 Electrical</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Senior Lecturer</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Lecturer</td>
<td>4</td>
<td>3</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Assistant Lecturer</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>Technician</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>4 Mechanical</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Senior Lecturer</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Lecturer</td>
<td>4</td>
<td>6</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Assistant Lecturer</td>
<td>2</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Technician</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>5 Civil &amp; Building</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Senior Lecturer</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Lecturer</td>
<td>4</td>
<td>3</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Assistant Lecturer</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>Technician</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>3</td>
</tr>
<tr>
<td>Senior Lecturer</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>6 Electrical</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lecturer</td>
<td>4</td>
<td>3</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Assistant Lecturer</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>Technician</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Senior Lecturer</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>7 ICT</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lecturer</td>
<td>4</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>Assistant Lecturer</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Technician</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>No.</td>
<td>Department</td>
<td>Rank</td>
<td>Senior Lecturer</td>
<td>Lecturer</td>
<td>Assistant Lecturer</td>
</tr>
<tr>
<td>-----</td>
<td>------------------------------------</td>
<td>--------------------</td>
<td>-----------------</td>
<td>----------</td>
<td>--------------------</td>
</tr>
<tr>
<td>8</td>
<td>IR &amp; Communication Skills</td>
<td>Lecturer</td>
<td>2</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Assistant Lecturer</td>
<td>2</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Technician</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Senior Lecturer</td>
<td>2</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>9</td>
<td>Mathematics &amp; Applied Science</td>
<td>Lecturer</td>
<td>4</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Assistant Lecturer</td>
<td>2</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Technician</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Senior Lecturer</td>
<td>2</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>10</td>
<td>Library</td>
<td>Librarian</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Library Assistant</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Library Attendant</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>11</td>
<td>Medical</td>
<td>Enrolled Nurse</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Nursing Aid</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>12</td>
<td>Security</td>
<td>Security Officer</td>
<td>1</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Askari</td>
<td>8</td>
<td>2</td>
<td>6</td>
</tr>
<tr>
<td>13</td>
<td>Estates</td>
<td>Clerical officer</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>(Estates)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Cleaner</td>
<td>1</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>14</td>
<td>Kitchen</td>
<td>Cooks</td>
<td>8</td>
<td>3</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Catering Officer</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Waiters/ Waitress</td>
<td>4</td>
<td>0</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>TOTALS</strong></td>
<td></td>
<td><strong>105</strong></td>
<td><strong>48</strong></td>
<td><strong>51</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
7. **Financial Management**

The College accounts are prepared annually by the College Accountant and audited by the Office of the Auditor General. The College has automated part of its accounting system but a lot needs to be done to fully automate the system. The College budget is drawn by College Management and approved by the Governing Council.

The table below provides further information on the revenue streams and expenses the College incurred over the previous three financial years.

**Table 3. Summary of Elgon UTC Operating Income and Expenses FY 2012 to FY2014**

<table>
<thead>
<tr>
<th></th>
<th>FY14</th>
<th>FY13</th>
<th>FY12</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Number of Students Enrolled</strong></td>
<td>916</td>
<td>728</td>
<td>517</td>
</tr>
<tr>
<td><strong>Revenue</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Government Grants</td>
<td>872,438,366</td>
<td>1,084,482,937</td>
<td>1,335,031,471</td>
</tr>
<tr>
<td>Special Grants</td>
<td>66,975,000</td>
<td>4,410,000</td>
<td>66,611,326</td>
</tr>
<tr>
<td>Self-generated Revenue</td>
<td>1,428,646,000</td>
<td>961,814,950</td>
<td>776,474,616</td>
</tr>
<tr>
<td>Construction</td>
<td>1,657,000,000</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total Revenue</strong></td>
<td>4,025,059,366</td>
<td>2,050,707,887</td>
<td>2,178,117,413</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Salary and other employment compensation</td>
<td>555,372,877</td>
<td>517,286,459</td>
<td>531,041,332</td>
</tr>
<tr>
<td>Direct Teaching and training Expenses</td>
<td>586,109,130</td>
<td>487,788,198</td>
<td>571,149,194</td>
</tr>
<tr>
<td>Other Education Expenses</td>
<td>688,113,082</td>
<td>640,680,586</td>
<td>583,698,269</td>
</tr>
<tr>
<td>Support services</td>
<td>317,447,598</td>
<td>296,580,000</td>
<td>371,642,315</td>
</tr>
<tr>
<td>Utility, Supply and Maintenance</td>
<td>166,304,550</td>
<td>95,098,000</td>
<td>146,898,108</td>
</tr>
<tr>
<td>Construction</td>
<td>18,450,000</td>
<td>16,000,000</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total Expenses</strong></td>
<td>2,331,797,237</td>
<td>2,053,433,243</td>
<td>2,204,429,218</td>
</tr>
<tr>
<td><strong>Surplus/(Deficit)</strong></td>
<td>1,693,262,129</td>
<td>(2,725,356)</td>
<td>(26,311,805)</td>
</tr>
</tbody>
</table>

Additional information has been included below to describe the items above where necessary:

- **Special Grants**: The majority of the amounts in FY2014 was provided by the Islamic Development Bank. Previously, the College received funds from the Government’s Training Funds in FY2012.
• **Self-Generated Revenue:** This includes the amount charged by the College for student upkeep, tuition and additional charges such as exam registration fees

• **Other Education Expenses:** Examination registration fees with the relevant accreditation body as well as student welfare expenses are captured under the other education expenses section

Over the last three years, the College has significantly increased the amount of self-generated income seeing a rise of 84%. This has allowed the College to return a surplus in FY2014 despite a 34% decline in Government grant funding. This has also been helped through a fairly small increase in expenses over the period. However, this has only been achieved through passing on costs to students with the biggest rises in tuition and examination fees.

### 8. Procurement Management

Procurement is in accordance with the procedures of the PPDA Act 2004 (as amended), guided by the Procurement and Disposal Unit (PDU). The College has a Contracts Committee that was appointed by the Governing Council with the Deputy Principal as its chair person and when the procurements are done at the MoESTS, the college is represented.

### 9. Physical Infrastructure

The College has a Clerical Officer (Estates Officer) who is in charge of the facilities. The Estates Officer works hand in hand with the Custodian and the Warden. The College has a repair and maintenance plan however, due to underfunding it has not been possible to act upon this.

**Table 4:** Buildings and Equipment

<table>
<thead>
<tr>
<th>Type of Building</th>
<th>How Many</th>
<th>Capacity</th>
<th>Status of Facilities</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Good Condition</td>
</tr>
<tr>
<td>Ordinary Classrooms</td>
<td>13</td>
<td>50 / Class</td>
<td>Good</td>
</tr>
<tr>
<td>Specialised Classrooms</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Workshops / Laboratories</td>
<td>06</td>
<td>300</td>
<td>-</td>
</tr>
<tr>
<td>Multimedia Resource Unit</td>
<td>01</td>
<td>60</td>
<td>Good</td>
</tr>
<tr>
<td>Offices (buildings)</td>
<td>01</td>
<td>8 offices</td>
<td>-</td>
</tr>
<tr>
<td>New Library</td>
<td>01</td>
<td>400</td>
<td>Good</td>
</tr>
<tr>
<td>Student Dormitory girls and boys</td>
<td>13</td>
<td>650</td>
<td>-</td>
</tr>
<tr>
<td>Staff Accommodation</td>
<td>29</td>
<td>29</td>
<td></td>
</tr>
</tbody>
</table>
The list of key facilities and services are as follows:

i. **Electricity**: Linked to national grid, 3 phase, 415 volts. Back-up generator, which supplies electricity to administrative buildings and some lab/workshops. Requires a back-up generator.

ii. **Water-supply**: Two sources gravity fill and one source to be pumped. During dry season water supply is a problem. There is a proposal to connect to municipal supply 4 km away.

iii. **Sewerage**: This is still under review.

iv. **Drainage**: Water drainage is not a problem due to natural sloping side.

v. **Boundary Wall**: There is no boundary wall.

Most of the facilities at the College are ill equipped due to inadequate funding.

10. **Physical Education and Sports Management**

Sports at the College are managed by the Dean of Students through the Sports Master and Minister of Sports in the Guild Cabinet. Schedules/fixtures for Sports are made by the Minister for Sports on semester basis.

The College has internal Sports Competitions based on Hostels/Halls of residence and cultural competitions based on tribes. External competitions are organized by the College but on a small scale.

11. **Healthy Safety and Security Management**

Due to the constrained resource envelope, the MoESTS does not contribute towards sports and this is a big challenge as regards Inter College games & sports. The College has a Sick bay and a new Medical Centre is under construction. The Medical Centre is managed by a Nursing Officer and Nursing Aid. The Sick bay is equipped by the College and it is at the level of Grade II Health Centre. The Bay handles common cases and the critical ones are referred to Mbale Regional Hospital.

The College has a Security Department headed by a Security Officer. The College is also near a Police Post, Elgon Police Post which was largely established by the Uganda Police to manage security at the College.

During Real Life Projects or practical work, students and staff wear Personal Protective Equipment.

The College has two sources of water; the Nakizira Community Based Gravity Water flow scheme and the UTC Elgon water pumping station.

Disaster at the College is managed though team work. The College top management is as well the disaster Management Team.
12. Gender and Equity Mainstreaming

The College endeavors to address the gender and equity issues by:

- Construction and maintenance of an incinerator for female students.
- Provision of Sports facilities for both female and male students.
- Renovations of Hostels for both female and male students.

The College has few students with special needs. The special needs cases are an Albino and epilepsy. The College doesn’t have special Lecturers/Instructors for students with special needs as these students do not have serious complications and also lacks the necessary support services and facilities to provide adequate care for these students.

The college does not discriminate on the basis of religion, gender, race or disability.