

Consultancy to undertake a Political Economy Assessment (PEA) in Western Uganda

1. Background

There are an estimated 5000 eastern chimpanzees (*Pan troglodytes schweinfurthii*) in western Uganda, the second largest documented population of this subspecies in Africa. The majority of the population is found within the boundaries of 16 reserves and 4 national parks. These parks and reserves cumulatively cover 4443 km² of forest. Approximately, 10% of the population are scattered over private and community forests between these protected areas and act as corridors between the larger populations. The major threats to chimpanzees in Uganda include habitat loss/fragmentation; injuries from illegal hunting and disease. An emerging threat is road kills which could conceivably become more serious as roads through chimpanzee habitat are paved because of oil developments in the area.

While most chimpanzee habitat is now found within protected areas, many of these are forest reserves that are poorly managed and subject to high levels of illegal resource extraction. It is estimated that approximately 20% of the chimpanzee population in Uganda suffer from permanent injuries from snares set for other wildlife. All chimpanzee habitats face a number of human population pressures around them and disease transmission is considered a major concern with regards to the potential risk of an epidemic.

Since 1991, JGI Uganda has been involved in activities that promote conservation of the chimpanzee as well as its habitats. These have ranged from environmental education to sustainable livelihoods. However, in the course of implementing these activities, it is becoming increasingly apparent that there are a number of factors that negatively impact the achievement of the broad and enduring changes that the Institute wishes to see. For example, JGI spent considerable efforts and resources trying to secure titles of customary ownership to forest land for private forest owners in Hoima District but this failed when the district land board declined to complete the process. Ongoing efforts to conserve forests on private land are currently threatened by the introduction of a sugarcane out grower scheme in Hoima District. Ecosystem services in the region are threatened by non-observance of existing national policies and legislation on wetland use and watershed protection.

In order to better understand these challenges and identify and implement activities to overcome them, JGI intends to carry out a detailed Political Economy Assessment in the territory where it currently implements activities in the Albertine Rift area of western Uganda.

The focus will be on the broad governance of natural resources, in particular the critical nexus of local and national government but the PEA will also look to address sector specific questions

relating to the growth of the commercial oil industry and the expansion of commercial agriculture.

2. PEA Objectives

The primary objectives of this study are to: more fully understand the scope of the problems, challenges, and opportunities through a focused political economy analysis that will provide actionable recommendations and internal guidance for JGI when it comes to adapting existing projects and designing new interventions.

The focus will be on the broad governance of natural resources, in particular the critical nexus of local and national government but the PEA will also look to address sector specific questions relating to the growth of the commercial oil industry and the expansion of commercial agriculture.

For each of these issues, JGI-Uganda has an urgent need for technical assistance to:

- Frame and assess the scope of the problems, challenges, and opportunities through focused political economy analyses
- Identify appropriate research questions, study design(s), and data collection methods and analysis
- Identify any significant information gaps and make recommendations for filling those gaps (e.g., baseline data collection to track improved implementation of ENR policies and laws)
- Recommend effective strategies for JGI-U's engagement with national as well as local government partners in support of better planned environment and natural resources management.

JGI recognizes that the analysis supporting this work must address political economy, change management, and social sustainability issues, as well as technical issues. The organization wants to build a stronger knowledge base of stakeholder interests and the political will for tackling non-implementation of policies/laws, corruption, and other systemic obstacles to the successful implementation of sustainable natural resources management.

Key outcomes from the political-economy analysis will include:

- 1) A full report on the Political-Economy Analysis Study based on an agreed research question set
- 2) A recommended Strategy for Engagement for JGI's internal use

Additionally, JGI is interested in building its own internal capacity to conduct political-economy analyses. A two-day training is therefore expected as part of the activities and deliverables of this contract, with the objective that participating staff will acquire a basic capacity to plan and implement political-economy analysis by the end of the training.

3. Consultant Primary Activities and Deliverables

3.1 REFINE KEY PEA QUESTION SET

While the broad areas of investigation have been highlighted and draft research questions developed internally (see Annex 1), the consultant is expected to further refine this list through a guided and participatory session with JGI staff at the commencement of the assignment following the framework identified in USAID's *Draft Working Document - Field Guide: USAID Applied Political Economy Analysis (2016)* namely:

- *Purpose Identified: The purpose of the PEA and its scope will shape its methodology, questions, any reporting of the findings and their uses.*
- *Foundational Factors: Deeply embedded national and sub-national structures that shape the character and legitimacy of the state, the political system and economic choices. Many are slow to change such as borders with conflict-affected countries, natural resource endowments, or class structures.*
- *Rules of the Game: Formal and informal institutions (rules and norms) that influence actors' behavior, their incentives, relationships and their capacity for collective action. This encompasses both the formal constitutional and legal framework, as well as informal norms, social and cultural traditions that guide behavior in practice.*
- *The Here and Now: Current or recent behavior of individuals and groups and their response to events ("games within the rules") that provide opportunities for, or impediments to change. For example: leadership changes and domestic and international pressures impact social, political and economic structures and processes.*
- *Dynamics: What features are in flux and may drive an opening or closing of space for change? What foreign or domestic drivers of change are acting on society already? What levels of complexity and uncertainty are there in any potential changes that are identified?*

Source: Draft Working Document - Field Guide: USAID Applied Political Economy Analysis (February 2016)

3.2 DEVELOP APPROACH: DATA COLLECTION AND ANALYSIS METHODS

The consultant will be expected to develop and submit a detailed work plan that includes: anticipated time-frame(s) for logistical and technical planning; the development of the research question sets as above; subsequent data collection instrument development, review, and analysis plans and key characteristics of data collection instruments (e.g., questionnaire or interview guide content, example questions or modules, etc.); measures to ensure protection, security, and confidentiality of data; and plans for encouraging participation by local counterparts, if and as appropriate in the design and conduct of the study.

It is anticipated that the final work plan will be developed collaboratively by the assessment team and embedded JGI Uganda staff as appropriate.

3.3 POLITICAL-ECONOMY ANALYSIS FIELD WORK/DATA COLLECTION AND ANALYSIS

This should include but not be limited to:

- Meetings and interviews with Government of Uganda, donor, and private-sector counterparts and their partners and selected members of Uganda’s civil society, media, and academia at local and national level.
- Meetings and interviews with various other stakeholders and beneficiaries
- Identification and follow-up on additional information and data sources
- Data/information review and analysis

3.4 PRESENTATION OF OUTPUTS TO JGI

The consultant will be expected to carry out an ‘out-brief’ exercise with JGI UG staff and submit FIRST DRAFTS of the PEA Study Report and Strategy for Engagement which should include: an overview of activities undertaken and the analytical approach, key findings, actionable recommendations, and suggested guidance on performance metrics.

The SECOND REVIEW DRAFT of the full study report will incorporate suggested input and/or address specific issues raised during the out-briefing. JGI will have five working days to submit additional comments on the outputs.

The complete SECOND REVIEW DRAFT must include:

- A description of the study purpose and the activities undertaken (including a clear articulation of the evaluation questions addressed in the report)
- Information on the assessment team
- A detailed account of the assessment study design or approach (including the scope and underlying assumptions addressed)
- A detailed description of the information collection methods (including the selection criteria used for identifying individuals to interview)

- Data analysis and findings (including acknowledgement and disclosure of any data limitations)
- Recommendations (these must be supported by the findings and presented as action-oriented recommendations appropriate to the evaluation purpose)
- Annex(es) that include:
 - A copy of this SOW
 - Data collection instruments
 - A list of data sources, individuals (if appropriate, given the sensitivity and need for confidentiality), and sites visited

The consultant will then have four working days after receipt of JGI's comments to submit the final detailed Study Report and Engagement Strategy electronically to JGI Uganda Office.

3.5 TRAINING IN PEA IMPLEMENTATION

This should be a focused, interactive course to a maximum of 2 full days covering the theory, design and implementation of PEAs as a tool. Facilities and other logistical requirements will be provided by JGI.

4. Consultant Qualifications

Members of the assessment team will include key personnel with demonstrable expertise in: political economy analysis; change management in relation to the implementation of complex policy reforms; effective anti-corruption measures; and the assessment of gender disparities and inequities. The team must include:

- A Political Economy Analyst/Team Leader with significant, demonstrable experience in designing and leading similarly complex, multi-sectoral political-economy analyses; and
- A Ugandan political and cultural expert who is well-connected and has demonstrable knowledge of Uganda's political and administrative systems, and development policy leadership.

JGI requires that these and the other members of the assessment team, collectively, will have significant, demonstrable expertise and experience relating to the implementation of policy and institutional reforms in the following area:

- Regulation and jurisdiction of land tenure, land use rights, and rights to the exploitation of forest, mineral, or other natural resources

In order to complete the training component of the contract, JGI expects one or more of the team members to have demonstrable expertise and experience in:

- Effectively organizing and managing the administrative and logistical requirements of complex assessment teams comparable to this one
- Teaching, training, mentoring, and other techniques for effectively communicating knowledge and skills required to conduct rigorous political economy analysis
- Training in conducting political-economy analysis

5. Consultant Selection Process

Interested parties are invited to submit a Technical Offer (not to exceed twenty pages) and Financial Offer that includes:

- A clear and logical approach (following political-economy analysis and data collection best practices) that will produce a comprehensive, well-informed, and in-depth Political-Economy Analysis Study Report of natural resource governance in Uganda that reflects an understanding of the sensitivities and challenge of the assignment
- The specific methodologies to be employed in the conduct of the political-economy analyses
- An overview of recent and relevant experience in undertaking PEAs
- CV's of all staff to be included
- A clear breakdown of all prices and proposed expenses

6. Timeline and Logistics

The assessment team must function with minimal logistical support from JGI. The team must have a logistician for in-country logistics. While JGI will provide as much information on key contacts for the research, the successful applicant must seek additional contacts and set its own schedule.

The Technical Offer must propose a timeline for the deliverables. However, the final report submission will not extend beyond February 2018. It is assumed that the deliverables will likely need to be staged, starting with the full team conducting the political economy analyses, followed by a split team for the implementation plan and training exercises.

7. Contact Details and Deadline for Submission

All submissions should be sent as MS Word and Excel files to info@janegoodallug.org by 1700 local time on November 10, 2017.

Annex 1: Potential PEA Framework

PEA Focus: Natural Resource Governance (NRG) in JGI Area of Operations, Western Uganda			
		<i>Key Factors to Consider</i>	<i>Potential Questions, topics to explore and data to collect</i>
Foundational Factors	Historically rooted structures that shape NRM, its role in the national economy, out puts and revenues	<ul style="list-style-type: none"> • Key foundational factors that affect the sector. • How do these shape the power and incentives of key actors, sector management, rents, etc.? • Who have been the main actors and organizations in the sector, and how have they shaped the sector and its outputs? • What resources does the sector depend on, and are they available and well used? 	<ul style="list-style-type: none"> • What impact on NRG have geography, historical legacies, social and economic structures, national integration, state formation, government legitimacy, revenue sources, territorial control, trade links, ownership structures, institutions, legal and regulatory frameworks and other national structural features? • How does each of these affect NRG, processes, outputs, funding levels, and performance? • What is the organizational structure of institutions mandated to own land or act as custodians of land (e.g., forests, national parks) in Uganda? • Are individuals and specific interest groups identified with the sector? How and why? What motivates them, why are they influential, and what forms do their actions take? What effect does each have on NR policy, processes and performance? • Which institutions/departments at national and local government levels are mandated to protect environment and natural resources? • What (staff) capacity constraints exist and why? Are sector (financial, management, human resource, etc.) systems operating well and why? • What level of resources are available to fulfil the mandate for conserving natural resources? • Are there reports of corruption, nepotism, clientelism, criminality, rights abuses, or partisan politics affecting the NR sector? Are these being addressed, by whom and how? What other problems in the sector have been identified, and what are their cause(s)? • Are entrepreneurs and businesses, NGOs, CBOs, religious organizations, gender or ethnic groups, and other non-state actors particularly active in the NRG sector? How and why?

<p>Rules of the Game</p>	<p>Formal and informal institutions that shape behaviors, distribution of power, rents, policy-making, and management of the sector.</p>	<ul style="list-style-type: none"> • What are the formal rules, public policies, laws and regulations governing the sector, and to what extent are they implemented in practice? • What informal norms and beliefs affect the sector? • How do formal and informal institutions effect the interests, incentives, capacity and level of influence of key actors in the sector? • What economic institutions (ownership, management, property rights etc.) affect the sector and its outputs? 	<ul style="list-style-type: none"> • What gaps and / or challenges exist in the implementation of environmental and natural resources policies and laws? • Is there an entity that has superseding authority over others on decision making over natural resources? How can this power relation be tapped and enhanced to achieve conservation outcomes? Given these mandates, what kind of thresholds or conditions can be included and how? • What entity is responsible for enforcement (conservation, land use plans, water protection, etc.,) at the regional/community level? • Who is the lead organization in land allocation and determines what goes where? Are they also involved in registration and conflict resolutions at both a planning level (inter-agency) and community/household level? • How are land use planning process and implementation of plans enforced? • Who can own land in Uganda as stipulated by the National Land Policy? What are the tenure regimes that allow for ownership in rural communities? • Can ownership of land be nullified and in what circumstances? • Are there any overlapping or contradictory NR policies? Do these overlapping and contradictory policies cascade to the different institutions mandated to implement the policy? • Are policies translated into strategic plans that are funded, and into systems being operated by adequate numbers of skilled personnel? If not, why?
<p><i>Issue Specific Rules of the Game:</i></p>			<ul style="list-style-type: none"> • <i>Do District Development Plans address issues of oil development in the region? How prepared are the environment and natural resources management departments at local government level prepared to deal with oil development?</i> • <i>The third schedule to the National Environment Management Act requires that certain activities must be subjected to environmental impact assessment. This includes any major changes in land use. Even forestry-related activities such as timber harvesting and</i>

			<p><i>clearance of forest areas and large scale agriculture are supposed to be subjected to the EIA process. Is there any evidence that this is happening?</i></p> <ul style="list-style-type: none"> • <i>If NO, why is this so? What factors influence the implementation of EIA?</i>
<p>Here and Now</p>	<p>Current and recent events, actors and behaviors that affect the sector and its outcomes.</p>	<ul style="list-style-type: none"> • How are current events, personalities, political and economic developments affecting the sector context and key actors? • Are new actors, networks and issues emerging as other disappear? What influence have they on sector performance, including rents, service provision, management etc.? • How does the distribution of power between key actors explain the pattern of winners and losers in the sector? 	<ul style="list-style-type: none"> • Which significant events, actors and trends are currently affecting NRG operations and the delivery of public goods? How/why? • Are political contests affecting the sector, how and why? • Is governance of the sector changing? Are structures and management processes stable or being reformed (how/why and the impact)? • Are there reform processes underway (or hindered), what are their goals, who is driving/blocking reform and why, and will reform affect sector operations and outcomes? • As change happens in the sector, are there distinct winners or losers? Who, how and why? • Are there new actors (businesses, politicians, ministers, bureaucrats, NGOs et al) affecting the sector's operations and outputs, how and why? What interests and motives drive their actions? Are old actors and interests being displaced/why? • Are the sector's funding levels and human-resource capacity changing? What causes that and what is the impact? • Are there natural or man-made crises affecting the sector? • Are market conditions affecting sector performance? • Are global or regional events having an impact on the sector?
<p><i>Issue Specific Here and Now:</i></p>			<ul style="list-style-type: none"> • <i>How is the Government proposing to reconcile the emerging oil industry with ecologically sensitive habitats such as forests in the Albertine Rift? What are the potential adverse or beneficial impacts that could arise out of oil development in the region? How could the adverse ones be mitigated?</i>

			<ul style="list-style-type: none"> • <i>To what extent is the expansion of commercial agriculture particularly sugar cane affecting forest conservation in the “Bunyoro” region?</i> • <i>How do the developers obtain the land for this commercial agriculture?</i> • <i>What are the challenges faced by farmers in commercial agriculture?</i>
<p>Dynamics</p>	<p>Which political, social and economic processes are changing and how are they impacting the sector? Where is change likely to emerge in the sector?</p> <p>What processes within or outside the sector have the potential to generate significant change?</p>		<ul style="list-style-type: none"> • How are power and resources distributed and contested in the Ugandan context? What underlying interests, incentives, and institutions promote or frustrate this process? • What agencies gain the most from the extraction of resources? • Are these resources put back towards the management of natural resources or facilitating its sustainable use? • How are resources obtained from natural resources distributed among entities that have overlapping mandate for the management and conservation of these resources? • Which sector actors (ministers, NGOs, MPs et al) are most/least influential in the NRG sphere, and why? How do they maintain their influence? What and whose interests do their policy inputs serve? Is this situation changing, and how? • What opportunities are there at the national and regional level for improvement in how the NR sector can work? • Who might best lead pro-conservation reform initiatives and why? What are their goals, motives, advantages, sources of influence, alliances, funding sources, etc.? • What gender disparities are encountered and what are the risks of leaving gender disparities and imbalances unaddressed in policy reform? Are there discernable gender inequities? If so, what are they and what can be done about them? • What capacity needs are required to improve and / or facilitate better conservation and management of natural resources (including land use planning)?

			<ul style="list-style-type: none"> • What impact can outsiders have on reform in the sector and why? What is the best role for NGOs in support of sector-change?
Issue Specific Dynamics:			<ul style="list-style-type: none"> • <i>How is the district prepared to address the potential effects of oil industry growth due to destruction of livelihoods and social development of the community? What synergies are required? Who needs to be involved?</i> • <i>What capacity and skills are required by the district to handle any potential adverse effects on environment and natural resources and how can any gaps be addressed?</i>